C	STRESS REDUCTION INDICATORS			
	Indicators	*Scroll down menu of ratings*		Ratings
13	Types of mechanisms in place to produce a monitoring report on stress reduction measures?	3		1 = No mechanisms in place to monitor/report change 2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators. 3 = monitoring mechanisms in place for some of the project related indicators 4 = Mechanisms in place and sustainable for long-term monitoring
14	Stress reduction measurements incorporated by project through improved management of:	*Choose Management Mechanism from list below:*	*Please specify the area or length of coastline currently under improved management out of total area identified by project below (e.g. 10,000/100,000 Ha):*	Management Mechanisms: 1 = Integrated Water Resource Management (watershed, lakes, aquifers) 2 = Integrated Coastal Management 3 = Marine Spatial Planning 4 = Marine Protected areas
		N/A		
15	*Please specify the types of technologies and measures impleme nted in ~~demo~~ i nvestments (Column D) and their respective results (Column I):*			
	Local investment #1 ICZM in Pisco province (Peru)	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

		19	1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below
				Coastline under ICZM. Baseline: 89 km Sechura province. End-of-project target: 183 km total adding Pisco province (94 km of coastline).

		Implement a participartoy process to prepare and adopt the integrated coastal management plan for Pisco province. This includes Paracas bay, a main focus of the project. The work in Paracas will include exploratory exercises on marine spatial planning and ocean health index.		

15	Local investment #2 Marine protected areas in Chile	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

		5	1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below
				New MPA to be created in Chipana = 11,469 ha
				Establish management of Punta Morro - desembocadura rio Copiapó - Isla Grande de Atacama MPU-MPA (currently paper MPA) = 3,994 ha
				End-of-project target = 15,463 ha

		Implement participatory processes with local stakeholders to (i) create a new marine protected area in Chipana, and (ii) prepare enabling conditions and management plan for the existing Punta Morro - desembocadura rio Copiapó - Isla Grande de Atacama MPU-MPA (currently not being managed).		

15	Local investment #3 Production diversification in coastal fishing communities	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*
		10	1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr) 2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr 3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr 4 = Restored habitat, including wetlands - ha restored 5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied	End-of-project targets Chile ≥298 people Peru >640 people Total >938 people
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size 7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques	

			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management	

			12 = Aquifer pumping reduction - m^3/yr water saved 13 = Aquifer recharge area protection - ha protected 14 = Managed Aquifer Recharge (MAR) - volume 15 = Pollution reduction to aquifers - kg/ha/year reduction	
			16 = Invasive species reduction - ha and/or #'s of targeted area 17 = Amount of $ leveraged from private sector 18 = Integrated Water Resource Management (Ha) 19= Integrated Coastal Management (Ha) 20= Other - please specify in box below	
		Pilot interventions to promote (i) production of value added seafood products for direct human consumption, (ii) seafood value chain support activities (e.g., transportation, input provision), (iii) alternative / complementary production activities in tourism and aquaculture.		
		NOTE: If the project has more than three local investments, please fill out the Annex A found in the worksheet tabs below.		

D	WATER, ENVIRONMENTAL & SOCIOECONOMIC STATUS Indicators			
	Indicators	*Scroll down menu of ratings*		Ratings
16	Number of national/regional/global policies, legislationn, plans and strategies that incorporate gender dimensions	3		
17	Number of women and men as direct beneficiares of project activities	3	*End-of-project target* *200,983 persons Chile = 98,520 females and 102,463 males* *89,021 persons Perú = 44,579 females and 44,442 males*	
18	Number of civil society stakeholders/participants engaged in TDA/SAP development (gender disaggregated)			
19	Types of mechanisms and project indicators in place to monitor the environmental status of the waterbody?	3		1 = No mechanisms in place 2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators. 3 = Monitoring mechanisms in place for some of the project related indicators 4 = Mechanisms in place for project related indicators and sustainable for long-term monitoring

E	IW:LEARN Indicators			
	Indicators	*Scroll down menu of ratings*		Ratings
20	Participation in IW events (GEF IWC, Training, Twinning and other IW:LEARN activities)	3		1 = No participation 2 = Documentation of minimum 1 event or limited Twinning participation 3 = Strong participation in training/twinning and in IWC 4 = Country participation in IWC, and submission of atleast one Results & one Experience Note
21	Project website (according to IW:LEARN guidelines)	3		1 = No project website 2 = Website not in line with IW:LEARN guidelines, not regularly updated 3 = Website in line with IW:LEARN guidelines, and regularly updated 4 = Website in line with IW:LEARN guidelines, and contributing spatial and other data to IWLEARN.net

GEF IW Tracking Tool -
Annex A: Additional Local Investments

Please specify the types of technologies and measures implemented in local investments (Column D) and their respective results (Column I):

15	Local investment #4. Improved integrated management of Iquique and Paracas bays	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

		20	1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below
				End-of-project targets:
				Paracas = 57,500 ha
				Bahía Independencia = 15,645 ha
				Iquique = 994 ha

		Integrated interventions in three bays: Paracas (57,500 ha), Bahía Independencia (15,645 ha) and Iquique (994 ha). The interventions include a range of actions to improve the environmental quality of the bays and to establish plans for integrated management. Tools to be used include: integrated coastal zone managemente, marine spatial planning and ocean health index.		
	Local investment #5	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		

15	Local investment #6	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		
	Local investment #7	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		

15	Local investment #8	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		
	Local investment #9	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		

15	Local investment #10	*Stress Reduction Measurements (Choose up to five)*		Please enter amount/value of respective stress reduction below:

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		
	Local investment #11	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		

15	Local Investment #12	*Stress Reduction Measurements (Choose up to five)*		*Please enter amount/value of respective stress reduction below:*

			1 = Municipal wastewater pollution reduction - N, P & BOD (kg/yr)
			2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr
			3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P & BOD kg/yr
			4 = Restored habitat, including wetlands - ha restored
			5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied
			6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size
			7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques
			8 = Water use efficiency measures - m^3/yr water saved
			9 = Improved irrigation practices - m^3/ha/yr water saved
			10 = Alternative livelihoods introduced - # people provided alternative livelihoods
			11 = Catchment protection measures - ha under improved catchment management
			12 = Aquifer pumping reduction - m^3/yr water saved
			13 = Aquifer recharge area protection - ha protected
			14 = Managed Aquifer Recharge (MAR) - volume
			15 = Pollution reduction to aquifers - kg/ha/year reduction
			16 = Invasive species reduction - ha and/or #'s of targeted area
			17 = Amount of $ leveraged from private sector
			18 = Integrated Water Resource Management (Ha)
			19= Integrated Coastal Management (Ha)
			20= Other - please specify in box below	

		Briefly describe investment in a 100 words or less:		

ANEXO 5 – TÉRMINOS DE REFERENCIA

I. STEERING COMMITTEE

The Steering Committee supervises the project and provides strategic orientation. The Committee is formed by the following people: Undersecretary of Fisheries and Aquaculture of Chile, Vice Minister of Fisheries and Aquaculture of Peru, and UNDP Resident Representative in Chile. In addition, the national directors and GEF focal points of each country, will act as observers. The UNDP Regional Technical Advisor on waters and oceans governance will participate in the meetings, as part of his quality assurance role to provide advice and orientation. The person in charge of the project binational coordination will act as committee secretariat, participating in the meetings, with no right to vote.

The Steering Committee will take management decisions when orientation will be required by the Project Binational Coordinator, including approval recommendation on annual work plans and their revisions by UNDP/ the executing agency. In order to ensure UNDP's ultimate responsibility, the Steering Committee will take its decisions in accordance with standards that ensure the management to achieve project outcomes, best quality-price ratio, justice, integrity, transparency, and effective international competition. Decisions will be taken by consensus.

Specific responsibilities of the Steering Committee include:

1. Provide overall guidance and direction to the project, ensuring it remains within any specified constraints.
2. Address project issues as raised by the project manager.
3. Provide guidance on new project risks and agree on possible countermeasures and management actions to address specific risks.
4. Agree on project manager's tolerances as required.
5. Review the project progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
6. Appraise the annual project implementation report, including the quality assessment rating report. make recommendations for the workplan.
7. Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded.
8. Assess and decide to proceed on project changes through appropriate revisions.

In addition, the Steering Committee will be responsible for:

1. Monitoring project implementation
2. Approving the annual work plan, the procurement plan and their respective budget prepared by the CBP, and pre-approved by the Technical Committee.
3. Reviewing the annual project report, providing comments and recommendations, and take corrective measures needed to ensure an appropriate project performance.
4. Approving substantive changes in the multi-annual work plan, in the budget or in the project strategy.
5. Evaluating project performance, analyse the mid-term review and the terminal project evaluation, and provide comments and recommendations. After analysing the MTR, take corrective measures that might be needed in order that the project may accomplish the targets set and achieve the outcomes foreseen in the PRODOC.
6. Reviewing and approving the final project report
7. Arbitrating and solving conflicts that may arise.

The members of the Steering Committee will have three roles: executive, senior beneficiary and executive.

The Undersecretary of Fisheries and Aquaculture of Chile will be the senior executive in the committee. The executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the

project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier. Specific responsibilities of the Executive, as part of the responsibilities for the Steering Committee, are:

i. Ensure that there is a coherent project organisation structure and logical set of plans.
ii. Set tolerances in the annual workplan and other plans as required for the project manager.
iii. Monitor and control the progress of the project at a strategic level.
iv. Ensure that risks are being tracked and mitigated as effectively as possible.
v. Brief relevant stakeholders about project progress.
vi. Organise and chair Steering Committee meetings

The Vice minister of Fisheries and Aquaculture of Peru will be the senior beneficiary in the steering committee. The senior beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people. Specific responsibilities of the Senior beneficiary, as part of the responsibilities for the Steering Committee, are:

i. Prioritise and contribute beneficiaries' opinions on Steering Committee decisions on whether to implement recommendations on proposed changes.
ii. Specification of the Beneficiary's needs is accurate, complete and unambiguous.
iii. Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
iv. Impact of potential changes is evaluated from the beneficiary point of view.
v. Risks to the beneficiaries are frequently monitored.

The UNDP Resident Representative in Chile will be the Senior Supplier. The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the committee is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. Specific responsibilities of the Senior supplier, as part of the responsibilities for the Steering Committee are:

i. Make sure that progress towards the outputs remains consistent from the supplier perspective.
ii. Promote and maintain focus on the expected project outputs from the point of view of supplier management.
iii. Ensure that the supplier resources required for the project are made available.
iv. Contribute supplier opinions on Steering Committee decisions on whether to implement recommendations on proposed changes.
v. Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

The Steering Committee will hold in-person or virtual meetings at least twice a year. The committee may meet extraordinarily when the chairperson convenes it as per request of its members.

II. TECHNICAL COMMITTEE

The Technical Committee is a binational interinstitutional coordinating instance. Its main role is to provide technical orientation to support the achievements of the project outcomes.

The committee will be co-chaired by the project national directors, and it will be formed by people formally appointed by SUBPESCA, Vice ministry of Fisheries and Aquaculture, MMA, MINAM, SERNAPESCA, SERNANP, IFOP,

IMARPE, Ministry of Foreign Affairs of Chile, Ministry of Foreign Affairs of Peru, and GEF operative focal points in each country. When appropriate, programme officers or other specialists of UNDP Chile and Peru offices will also participate. The members of the committee will decide on inviting other entities as appropriate.

The Technical Committee will be responsible for:

1. Promoting and enabling communication, coordination and articulation of actions among project partners and the different entities that contribute to it (e.g. key stakeholders and direct beneficiaries);
2. Providing practical orientation to optimize the project activities performance.
3. Reviewing and pre-approving the draft annual work plan, and its corresponding budget, prepared by CBP; and
4. Reviewing and commenting the draft annual project report.

At the beginning of the project a scientific-technical Coordination Subcommittee will be formed to coordinate and guide the joint assessment of the anchoveta shared stock, and in particular the activities of products 1.1 to 1.3. The committee will decide on the establishment of additional sub committees, if necessary.

The Technical Committee will hold in-person or virtual meetings at least every three months. Meetings will be organized by the co-chairpersons. The project unit will provide secretarial support and will prepare the minutes of the meetings. The committee might meet extraordinarily if the members requested so to the co-chairpersons.

III. NATIONAL DIRECTOR

In each country there will be a person who will exercise the national direction of the project, who will be a government official formally appointed by SUBPESCA in Chile and the Vice Ministry of Fisheries and Aquaculture in Peru.

In each country this person will be responsible for:

1. Ensuring that the project generates the outcomes set in the PRODOC.
2. Co-chair the Technical Committee and participate as observer in the Steering Committee.
3. Supervising and monitor the implementation of the project national activities.
4. Establish supervision and report mechanisms with the Project Binational Coordinator.
5. Enabling communication, coordination and articulation with the different national entities that contribute to the project.
6. Establishing strategic guidance and coordination actions with the Project Binational Coordinator as well as with the project unit.
7. Promoting national collaboration for an effective implementation of the joint actions between both countries.
8. Participation, upon request, in the committees or decision-making instances for the project's recruitment/procurement processes of personnel, goods and services.

IV. BINATIONAL COORDINATOR

The Project Binational Coordinator will direct the project unit and will execute the daily tasks, representing the executing agencies, within the restrictions established by the Steering Committee, in order to ensure that the project generates the outputs and outcomes set in the project document. This person will closely work with the national directors, executing agencies and the project's partners; and will be supervised by the national directors and the programme officer of UNDP's lead office.

The CBP will be hired for 60 months with resources from the GEF, under the modality of annual contract, subject to renewal based on the performance evaluation and the criteria established in the contracts by UNDP. This person will be based on the project's main office in Chile and will supervise the personnel of the project unit. The CBP functions will finalize once the final project report has been finished and delivered, and any other document required by GEF and UNDP, including the project administrative and financial closure.

The CBP will be responsible for:

1. An adequate technical, administrative and financial implementation of the project according to the approved annual work plan and the PRODOC.

2. Acting as the authorizing officer for the requirements to UNDP of disbursements of project funds.
3. Ensuring the logistic, administrative and financial effectiveness of the project unit.
4. Providing strategic and operative direction and guidance to the members of the project unit.
5. Promoting the coordination and fluent communication among the partners of the project, key stakeholders, and project beneficiaries. As well as with other entities related to the project or which contribute to the project (e.g., local governments, OSC, international cooperation, NOAA)

In addition, this person will coordinate the following:

1. Preparation of reports, work plans, budget and accounting records.
2. Preparation of terms of reference, technical specifications and other documents required for hiring personnel, goods and services.
3. Identification of consultants and supervision of consultancies and other goods and services providers,
4. Supervision of project tasks, to be accomplished on time and efficiently.
5. Organization of events, workshops and other activities indicated in the PRODOC.

Specific responsibilities of the CBP include:

1. Provide direction and guidance to the project team.
2. Liaise with the Steering Committee to assure the overall direction and integrity of the project.
3. Identify and obtain any support and advice required for the management, planning and control of the project.
4. Be responsible for project administration.
5. Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan.
6. Mobilise personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work.
7. Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required.
8. Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures.
9. Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.
10. Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis.
11. Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required. Update the status of these risks by maintaining the project risks log.
12. Capture lessons learned during project implementation.
13. Prepare the annual workplan for the following year and update the Atlas Project Management module if external access is made available.
14. Prepare the GEF PIR and submit the final report to the project Steering Committee.
15. Based on the GEF PIR and the project board review, prepare the annual workplan for the following year.
16. Ensure that the midterm review process is undertaken as per the UNDP guidance, and submit the final MTR report to the project Steering Committee.
17. Identify follow-on actions and submit them for consideration to the Steering Committee.
18. Ensure that the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Steering Committee.

In addition to his/her responsibilities for the integral execution of the project, this person will be in charge of (i) the technical execution of activities for the achievement of project's outcome 1, (ii) encouraging the pertinent actors to

develop operational mechanisms for the implementation of the SAP, and (iii) supporting the preparation of national plans for SAP implementation by means of a collaborative public - private partnership including financial contributions.

The CBP will generate (i) annual work plans, procurement plans and their corresponding budgets, (ii) quarterly progress reports, and (iii) annual project implementation reports (PIR). Drafts of the annual work plans and budget will be reviewed with the Technical Committee before presenting them to the Steering Committee. The quarterly progress report and PIR will provide details on achievements, difficulties and restrictions that the project is facing, and recommendations needed to achieve the planned outcomes. These reports will be presented to the Steering Committee.

This person must have solid experience in sustainable fisheries management and project management. Must have a sound understanding of sustainable and responsible value chains for seafood, development of coastal communities and marine conservation. This person must have an advanced level of the English language. Previous experience in GEF project implementation is very desirable.

V. BIODIVERSITY SPECIALIST

The person who performs as biodiversity specialist (EB) will guide and coordinate the implementation of project outcomes 2 and 3, in order to ensure the generation of the outputs and outcomes specified in the PRODOC, according to the required quality standards, and within time and costs restrictions.

This person will be hired for 57 months with GEF resources, with annual contract, renewal subject to performance evaluation and criteria established by UNDP contracts. He/She will be based on the project satellite office, in Peru and will be supervised by the CBP.

The EB will be responsible for:

1. Providing strategic orientation to the project to:
    (a) The intervention of integrated management in Paracas bay (Peru) and Iquique bay (Chile), including marine spatial planning exercises.
    (b) The conservation of biodiversity and marine-coastal areas, and
    (c) The operation of the technical cooperation network in marine areas of significant importance for the conservation of the Humboldt Current
2. Ensuring a prompt delivery of outputs and the generation of project outcomes.
3. Keeping an adequate and fluent communication and collaboration with project key stakeholders and partners.
4. Keeping an adequate and fluent communication and collaboration with the rest of the members of the project unit.
5. Preparing the annual work plan draft with the corresponding budget for project outcomes 2 and 3.
6. Promoting communication and sharing experiences among project partners, stakeholders and direct beneficiaries from both countries.
7. Systematically document the experiences generated during the implementation of the outcomes for which he/she is responsible. This includes to prepare and keep updated logbooks of each output.
8. Organizing annual brainstorming and self-assessment meetings with key stakeholders and beneficiaries from each outcome, in order to identify lessons learned and best practices.
9. Preparing, together with key stakeholders, the documents for the systematization of the project lessons on (i) integrated management in Paracas and Iquique bays, and (ii) in situ-conservation of marine-coastal biodiversity.
10. Providing information and support to prepare quarterly progress reports, annual project implementation reports, the mid-term review, and the terminal evaluation. As well as material for dissemination and communication actions of the project, and monitoring and evaluation (including gender indicators where appropriate), if requested.

This person must have solid experience in integrated management of marine-coastal zones. Must have previous experience in developing, implementing and managing participatory planning processes. Must have good understanding of coastal communities' development, environment monitoring in coastal zones, management on

marine-coastal protected areas, and marine pollution and conservation. This person must have advanced knowledge of the English language. Previous experience in implementation of GEF projects is desirable.

VI. SPECIALIST IN PRODUCTION DIVERSIFICATION

The person who will performs as specialist in production diversification (EDP) will guide and coordinate the implementation of project outcomes 4 and 5, in order to ensure the generation of inputs and outcomes specified in the PRODOC, according to the required quality standards, and within time and costs restrictions

This person will be hired for 57 months with GEF resources, under the modality of annual contract, subject to renewal based on the performance evaluation and the criteria established in the contracts by UNDP. He/she will be based on the project main office, in the host country.

The EDP will be responsible for:

1. Providing strategic orientation to the project, to develop products for direct human consumption, strengthen sustainable value chains, diversification of production in coastal zones and promote food safety and food security.
2. Ensuring a prompt delivery of outputs and the generation of project outcomes.
3. Keeping an adequate and fluent communication and collaboration with project key stakeholders and partners.
4. Keeping an adequate and fluent communication and collaboration with the rest of the members of the project unit.
5. Preparing the draft annual work plan with the corresponding budget for outcomes 4 and 5 of the project.
6. Promoting communication and sharing experiences among project partners, stakeholders and direct beneficiaries from both countries.
7. Systematically document the experiences generated during the implementation of the outcomes for which he/she is responsible. This includes to prepare and keep updated logbooks of each output.
8. Organizing annual brainstorming and self-assessment meetings with key stakeholders and beneficiaries from each outcome, in order to identify lessons learned and best practices.
9. Preparing, together with key stakeholders, the documents for the systematization of the project lessons on (i) promoting direct human consumption of anchoveta, jibia and macroalgae, (ii) promoting responsible value chains of benthic invertebrates, and (iii) promoting food safety and food security.
10. Providing information and support to prepare quarterly progress reports, annual project implementation reports, the mid-term review, and the terminal evaluation. As well as material for dissemination and communication actions of the project, and monitoring and evaluation (including gender indicators where appropriate), if requested.

This person must have solid experience in development of sustainable and responsible value chains for seafood. Must have good understanding in fisheries product development for direct human consumption, participatory and community processes of production diversification, and the development of sustainable livelihoods in coastal communities. It is desirable that this person has participated in projects to promote seafood consumption and food safety. This person must have an advance level of the English language. Previous experience in implementation of GEF projects is desirable.

VII. UNITED NATIONS VOLUNTEER IN PRODUCTION DIVERSIFICATION

The person who will work as a United Nations Volunteer in production diversification (UNV) will contribute to guide and coordinate the implementation of the project's outcomes 4 and 5.

This person, together with the EDP must ensure the generation of the inputs and outcomes specified in the PRODOC, according to the required quality standards, and within time and costs restrictions.

The UNV will be hired for 57 months with GEF resources, with annual contract, renewal subject to performance evaluation and criteria established by UNDP contracts. He/She will be based on the project satellite office, in Peru and will be supervised by the EDP.

The UNV will be responsible for:

1. Providing strategic orientation to the project, to develop products for direct human consumption, strengthen sustainable value chains, diversification of production in coastal zones and promote food safety and food security.
2. Ensuring a prompt delivery of outputs and the generation of Project outcomes.
3. Keeping an adequate and fluent communication and collaboration with project key stakeholders and partners.
4. Keeping an adequate and fluent communication and collaboration with the rest of the members of the project unit.
5. Preparing the draft annual work plan with the corresponding budget for the project outcomes 4 and 5.
6. Promoting communication and sharing experiences among project partners, stakeholders and direct beneficiaries from both countries.
7. Systematically document the experiences generated during the implementation of the outcomes for which he/she is responsible. This includes to prepare and keep updated logbooks of each output.
8. Organizing annual brainstorming and self-assessment meetings with key stakeholders and beneficiaries from each outcome, in order to identify lessons learned and best practices.
9. Preparing, together with key stakeholders, the documents for the systematization of the project lessons on (i) promoting direct human consumption of anchoveta, jibia and macroalgae, (ii) promoting responsible value chains of benthic invertebrates, and (iii) promoting food safety and food security.
10. Providing information and support to prepare quarterly progress reports, annual project implementation reports, the mid-term review, and the terminal evaluation. As well as material for dissemination and communication actions of the project, and monitoring and evaluation (including gender indicators where appropriate), if requested.

This person must have experience in the development of sustainable and responsible value chains for seafood. Must have good understanding in fisheries product development for direct human consumption, participatory and community processes of production diversification, and the development of sustainable livelihoods in coastal communities. It is desirable that this person has participated in projects to promote seafood consumption and food safety. This person must have at least a middle level of the English language. Previous experience in implementation of GEF projects is desirable.

VIII. SPECIALIST IN PARTICIPATION, COMMUNICATIONS AND GENDER

The person who will work as specialist in participation, communications and gender (EPCG) will have three basic functions:

- To guide and coordinate the implementation of outcome 6;
- To ensure effective engagement and participation of the key stakeholders and direct beneficiaries of the project; and
- To guarantee the incorporation of the gender perspective in the implementation of the project.

This person must ensure the generation of the outputs and outcomes specified in the PRODOC, according to the required quality standards, and within time and costs restrictions.

The EPCG will be hired for 57 months with GEF resources, with annual contract, renewal subject to performance evaluation and criteria established by UNDP contracts. He/She will be based on the project satellite office, in Peru and will be supervised by the CBP.

This person will be responsible for:

1. Preparing the communication strategy of the project, with particular elements (e.g., channels, materials) adjusted to the specific requirements of the public (project partners, key actors and beneficiaries) and locations where the project intervenes.

2. Ensuring, with the support of the project team and the communicators of the project partners, the implementation of the communication strategy.
3. Keeping a fluent communication with the project partner communicators. Establishing joint annual work plans, regular coordination meetings, and protocols for the dissemination of news and information.
4. Based on international best practices and relevant national policies, prepare guidelines for:
    - Organizing sustainable[121], inclusive and gender-sensitive events (meetings, training sessions).
    - Using inclusive and gender-sensitive language in project activities, materials and communications.
5. At the beginning of the project organize the training for the project personnel and partners in gender issues, cultural sensitivity and use of inclusive language. Subsequently, provide induction in these areas to new people who join the work team.
6. Coordinating the implementation of the project gender action plan.
7. Establish the methods and procedures to systematically document the project experience and prepare the project learning systematization documents[122].
8. Guiding the project team on:
    - Development and implementation of participatory processes and multi-level dialogue among key stakeholders.
    - Culture-sensitive practices, social inclusion and gender mainstreaming.
    - Use of inclusive and gender-sensitive language.
    - Documentation of experiences, best practices and lessons learned.
9. Developing and maintaining the project web site, coordinated with the web sites of the project partners, of UNDP and IW:LEARN.
10. Preparing press material and news for the project web site, and dissemination through the channels and social networks of the project partners (e.g., YouTube, Instagram, Twitter).
11. Promoting the use of collaborative online tools among the project team and the project partners.
12. Organizing in-person and virtual meetings (including guided visits) to enable networking and sharing experiences among project participants.
13. Organizing and communicating project events (e.g., meetings, workshops, trainings).
14. Guaranteeing the application of the following policies and strategies:
    - UNDP information disclosure policy
    - Policy on Public Involvement in GEF Projects
    - GEF policy on gender mainstreaming.
    - UNDP gender equality strategy 2014-2017.
15. Ensuring a prompt delivery of outputs and the generation of project outcomes.
16. Keeping an adequate and fluent communication and collaboration with project key stakeholders and partners.
17. Keeping an adequate and fluent communication and collaboration with the rest of the members of the project unit.
18. Preparing the draft annual work plan with the corresponding budget for project outcome 6, and the project gender plan.
19. Promoting communication and sharing experiences among project partners, stakeholders and direct beneficiaries from both countries.

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[121] See UNEP (2009), UNEP (2012) and www.greeningtheblue.org.

[122] It is expected to have seven documents of project experience systematization: i. Coordinated management of the anchoveta stock, ii. Integrated management of Iquique and Paracas bays, iii. In-situ conservation of marine-coastal biodiversity, iv. Promotion of direct human consumption of jibia, anchoveta and macroalgae, v. Promotion of responsible value chains for benthic invertebrates, vi. Promotion of food safety and food security, vii. Visibility and strengthening of the role of women in fisheries and complementary / related activities, including value aggregation and productive diversification.

20. Systematically document the experiences generated during the implementation of outcome 6, the engagement processes of key stakeholders and beneficiaries, and the inclusion of a gender approach.
21. Elaborating, together with key stakeholders, the document for the systematization of project lessons on visibility and strengthening of women´s role in fisheries and complementary/related activities, including adding value and production diversification.
22. Contributing to the monitoring of indicators, related to gender and engagement of key stakeholders and beneficiaries, providing inputs in order that these subjects be analysed and included in the PIR, MTR and terminal evaluation.
23. Providing information and support for the preparation of quarterly progress reports, annual project implementation reports, the mid-term review and the terminal evaluation.

This person will have solid experience in communication for development, preferably with previous actions in coastal management, fisheries or marine conservation. Must have training and experience in participatory processes and gender perspective in development projects. This person must have advanced knowledge of the English language. Previous experience in implementation of GEF projects is desirable.

IX. MONITORING AND EVALUATION SPECIALIST

The person who will work as specialist in monitoring and evaluation (EME) will be responsible for monitoring project progress. This person must ensure the generation of the outputs and outcomes specified in the PRODOC, according to the required quality standards, and within time and costs restrictions.

The EME will be hired for 60 months with GEF resources, with annual contract, renewal subject to performance evaluation and criteria established by UNDP contracts. His/Her functions will end once the final project report has been finished and delivered to UNDP, and any other document required by GEF and UNDP, including the project administrative closure. This person will be based on the project main office in Chile, and will be supervised by the CBP.

The EME will be responsible for:

1. Guaranteeing the application of the GEF[123] monitoring and evaluation policy, and UNDP monitoring[124] and evaluation[125] policies,
2. Compiling and systematizing the information of the project indicators.
3. Monitoring and documenting the development of the activities of the various components of the project.
4. Verifying that the activities are being implemented according to the annual work plan and budget.
5. Ensuring the implementation of the monitoring and evaluation plans (Annexes 2 and 3 of the PRODOC)
6. Ensuring the monitoring of indicators related to gender and the involvement of key stakeholders and beneficiaries, and that these subjects be analysed and included in the PIRs, the MTR and the terminal evaluation.
7. Organizing and supporting the project´s mid-term review and terminal evaluation. Ensure that these evaluations are executed according to UNDP guidelines (UNDP 2012, UNDP 2014).
8. Ensuring the GEF tracking tools are updated before the project´s mid-term review and terminal evaluation.
9. Contributing to establish methods and procedures to systematically document the project experience and to prepare project learning systematizations documents.
10. Guiding the project team in the execution of actions to document, monitor and evaluate the project.

[123] https://www.thegef.org/documents/policies
[124] https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=137
[125] http://web.undp.org/evaluation/policy.shtml

11. Encouraging that the target groups and key stakeholders of the project, including the GEF operational focal point in each country, get involved as much as possible in the project's monitoring and evaluation actions.
12. Preparing quarterly reports, with recommendations to optimize the project execution.
13. Keeping an adequate and fluent communication and collaboration with project key stakeholders and partners.
14. Keeping an adequate and fluent communication and collaboration with the rest of the members of the project Unit.
15. Preparing the draft annual work plan with the corresponding budget for project monitoring and evaluation tasks.
16. Supporting the systematic documentation of project experiences and the preparation of the documents for the systematization of project lessons
17. Providing information and support for the preparation of quarterly progress reports and annual project implementation reports.

This person must have solid experience in project monitoring and evaluation of initiatives related to fisheries, production diversification, coastal management or marine conservation. Preferably with previous experience in a GEF project monitoring. Must be sensitive about social inclusion, social participation and the incorporation of the gender perspective. This person must have advanced knowledge of the English language.

X. ADMINISTRATOR AND ACCOUNTANT

The person who will work as administrator and accountant (ACA) will be hired for 60 months with GEF resources, with annual contract, renewal subject to performance evaluation and criteria established by UNDP contracts. This person will be based on the project main office in Chile, and will be supervised by the CBP. His/Her functions will end once the final project report has been finished and delivered to UNDP, and any other document required by GEF and UNDP, including the project administrative closure.

This person will keep the necessary records, prepare financial and operative information, consolidate accounting information and provide administrative, logistic and financial support.to all activities carried out in both countries. Besides, this person will supervise the administrative assistant to ensure effective support to activities executed in the satellite office of the project. This person must have at least practical knowledge of the English language. It will be an asset to have previous experience in GEF project implementation.

XI. ADMINISTRATIVE ASSISTANT

The person who will work as administrative assistant (AA) will be hired for 57 months with GEF resources, with annual contract, renewal subject to performance evaluation and criteria established by UNDP contracts. He/She will be based on the project satellite office, in Peru, and will be supervised by the ACA.

Under supervision of the ACA, this person will keep the necessary records, prepare financial and operative information, consolidate accounting information and provide administrative, logistic and financial support to all the tasks carried out in Peru. This person must have at least practical knowledge of the English language. It will be an asset to have previous experience in GEF project implementation.

Anexo 6. Formato de evaluación social y ambiental de PNUD (SESP)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure and Toolkit for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Catalysing implementation of a Strategic Action Programme for the Sustainable Management of shared Living Marine Resources in the Humboldt Current System (HCS)
2. Project Number	5697
3. Location (Global/Region/Country)	Chile and Peru

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
The project directly contributes to Sustainable Development Goal 14 related to conserve and sustainably use the oceans, seas and marine resources. It has specific actions to contribute to target 14b "provide access for small-scale artisanal fishers to marine resources and markets". The project will support mainstreaming the human-rights based approach by assisting fishers' organizations to develop and implement fisheries management plans, actively engage into fisheries governance, and strengthen their role in seafood value chains without marginalization, exclusion and discrimination. The project has a highly participatory approach that will promote participation, inclusion and relationships among users and stakeholders (including authorities responsible for fisheries administration). The project includes actions to contribute to (i) develop sustainable and responsible seafood value chains for nutritious products (e.g., direct human consumption of anchoveta, giant squid and macroalgae), and (ii) diversify production activities (e.g., tourism, restaurants, provision of goods and services to seafood value chains). This will, in turn, contribute to foster improvements in livelihoods and socio-economic human rights of artisanal and small-scale fisherfolk, their families and their communities. The project also includes actions to improve seafood handling and promote that consumers demand safe and sustainable seafood. It is expected that this will contribute to improve food security and food safety for local consumption.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
The project has a highly participatory approach and incorporate specific actions to promote gender equality and women's empowerment. Through the actions to develop value chains for nutritious seafood products and foster productive diversification, the project will contribute to (i) make visible the role of women in seafood value chains, (ii) increase

job opportunities, and (iii) strengthen their socio-economic role (e.g., decision making in family and associative small businesses). In addition, the project will encourage the involvement of women and their organizations in the interventions to improve management and conservation of coastal and marine areas (e.g., management of resources use and pollution control in Iquique and Paracas bays). Finally, the project recognises the role of professional women (e.g., fisheries and environmental research, development of new seafood products, campaigns to improve seafood consumption) and will support making visible their contribution.
Briefly describe in the space below how the Project mainstreams environmental sustainability
The projects seek to foster the adoption in practice of ecosystem based management in the Humboldt Current System (HCS), in accordance with the Strategic Action Programme endorsed by Chile and Peru. The ecosystem approach to fisheries will be mainstreamed in outcomes 1 and 4. Of particular importance will be grounding this approach into the development of agreed protocols and tools for the collaborative assessment of the shared stock of anchoveta. The ecosystem approach will be mainstreamed in outcomes 2 and 3 through actions to strengthen integrated management of coastal and marine areas, including protected areas. A key action will be to contribute to the development of a binational technical cooperation network of priority conservation areas along the Humboldt current.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			**QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?**
Risk Description	***Impact and Probability (1-5)***	***Significance (Low, Moderate, High)***	***Comments***	***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.***
Risk 1. Barriers for women's involvement and participation (Principle 2. Question 3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?)	I = 3 P = 3	Moderate	**Women face two main issues (i) their role in fishery value chains is inconspicuous, and (ii) they have limited participation in fisheries organizations. There is a strong cultural factor, because fisheries in both countries have been a male-led domain. The project has identified the key barriers to women engagement and**	**Implement the gender plan and monitor and analyse the project's gender-related indicators.**

			empowerment, and has prepared a gender plan that has mainstreamed into the project. There will be a strong focus on fostering women's involvement in all project actions (e.g., selection of personnel, training, multi-level dialogue).	
Risk 2. Resistance of key stakeholders to the creation of new protected areas or in situ biodiversity conservation areas (Screening question 1.2. Are any project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?)	I = 3 P = 3	Moderate	The project will work with multiple use marine protected areas in both countries (e.g., Perú's National Reserve System of Islands, Islets and Guaneras Points). It will contribute to (i) prepare management plans for the sustainable use of fishery resources within MPAs in Perú, (ii) the creation of a new protected area in Chipana (Chile), (iii) strengthening the management of the Isla Grande de Atacama protected area (Chile), and (iv) the development of a binational technical cooperation network of priority conservation areas along the Humboldt current. It is common that the creation of new MPAs and strengthening their management generate opposition from some stakeholders. However, in the present case, all intervention sites have ongoing mechanisms to incorporate the stakeholders. - The new area in Chipana will be created after a long process of dialogue and consultation with local	It is not necessary to conduct an environmental impact assessment on these proposed activities, but it is highly recommended that during execution, highly participatory and inclusive processes are implemented to secure the engagement of key local stakeholders.

			stakeholders. The proposed limits and the allowed uses have been negotiated and agreed with them. - In Peru, the MPAs have participatory councils, and it is the stakeholders who have requested that the project support the development / updating of regulations and strengthening the mechanisms for control and enforcement. - The Isla Grande de Atacama MPA has gone through a long process of building the social basis to sustain its functioning. At the moment there are enabling conditions to move forward to prepare and implement a management plan. The project will apply a highly participatory process to facilitate multi-level dialogue and networking among stakeholder. Therefore, the project intervention will have a positive impact in the target protected areas. The intervention area does not include indigenous people territories.	
Risk 3. Overharvest of fishery resources (Screening question 1.7. Does the project involve the production and/or harvesting of fish populations or other aquatic species?)	I = 1 P = 5	Low	The project will contribute to improve management of key fishery resources. In the case of the shared anchoveta stock, the project intervention will foster the adoption of agreed	It is not necessary to conduct an environmental impact assessment on these proposed activities. However, it will be necessary to implement highly participatory and inclusive processes to engage the stakeholders of the entire value chains.

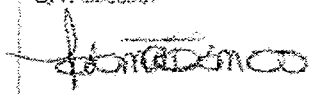
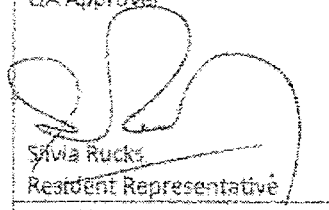
			protocols and tools for the collaborative assessment of the stock. In the case of fishery resources from protected areas, the project will facilitate the preparation and implementation of management plans for their sustainable use. The project will also contribute to develop sustainable and responsible seafood value chains for nutritious and affordable products of anchoveta and other fishery resources. Consequently, the project contributes to confront overharvesting and therefore will have positive impacts on fisheries administration.	
Risk 4: Impacts of climate variability and climate change (Screening question 2.2. Would the potential outcomes of the project be sensitive or vulnerable to potential impacts of climate change?)	I = 3 P = 3	Moderate	The HCS and the associated fishery resources and coastal ecosystems are vulnerable to climate variability (mainly El Niño southern oscillation, Pacific Decadal Oscillation and Interdecadal Pacific Oscillation) and climate change. However, it is not yet understood the extent of the potential impacts.	Climate variability and climate change will be mainstreamed in all project interventions. All plans to be prepared will analyse and address the impacts of climate change to include appropriate adaptation measures, per the PRODOC.

QUESTION 4: What is the overall Project risk categorization?		
Select one (see SESP for guidance)		Comments
Low Risk	☐	
Moderate Risk	☐	
High Risk	☐	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?

	Check all that apply		Comments
	Principle 1: Human Rights	☐	
	Principle 2: Gender Equality and Women's Empowerment	☐	The risk has a strong cultural base
	1. Biodiversity Conservation and Natural Resource Management	☐	
	2. Climate Change Mitigation and Adaptation	☐	
	3. Community Health, Safety and Working Conditions	☐	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	☐	
	6. Indigenous Peoples	☐	
	7. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

Signature	*Date*	*Description*
QA Assessor  Paloma Toranzos Programme Officer	27/2/18	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver  Silvia Rucks Resident Representative	27-02-18	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		**Answer (Yes/No)**
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?[1]	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	Yes
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

[1] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: If restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.*	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[2] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No

[2] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions?[4]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	No

[4] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections

6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No