Terminal Evaluation Review form, GEF Independent Evaluation Office, APR 2016

1. Project Data

Summary project data			
GEF project ID		3100	
GEF Agency project ID		PIMS 2962	
GEF Replenishment Phase		GEF-4	
Lead GEF Agency (include all for joint projects)		United Nations Development Programme (UNDP)	
Project name		Enabling China to Prepare Its Second National Communication to the UNFCCC	
Country/Countries		China	
Region		Asia	
Focal area		Climate Change	
Operational Program or Strategic Priorities/Objectives		GEF-4 Climate Change Strategic Objective	
Executing agencies involved		National Development and Reform Commission (NDRC) - China	
NGOs/CBOs involvement		Energy Research Institute (ERI) of the NDRC; China Coal and Transportation and Marketing Association; Xi'an Thermal Power Research Institute Co. Ltd. and the National Administrative Center for Energy-Savings; Shenyang Branch of China Coal Research Institute; National Bureau of Statistics; Department of Environmental Science and Engineering of Tsinghua University; Several National Industry Associations; Institute of Atmospheric Physics within the Chinese Academy of Sciences (IAP-CAS); Institute of Forest Ecology, Environment and Protection (IFEEP)	
Private sector involvement		N/A	
CEO Endorsement (FSP) /Approval date (MSP)		August 20th, 2008	
Effectiveness date / project start		September 28th, 2008	
Expected date of project completion (at start)		May 2013	
Actual date of project completion		December 2012	
Project Financing			
		At Endorsement (US $M)	**At Completion (US $M)**
Project Preparation Grant	GEF funding	0.35	0.35
	Co-financing	0.05	0.05
GEF Project Grant		5.0	5.0
Co-financing	IA own		
	Government	0.65	1.0
	Other multi- /bi-laterals		
	Private sector		
	NGOs/CSOs		
Total GEF funding		5.35	5.35
Total Co-financing		.7	1.05
Total project funding (GEF grant(s) + co-financing)		6.05	6.40
Terminal evaluation/review information			
TE completion date		April 6, 2013	
Author of TE		Roland Wong, International Consultant;	

	Zhang Xiaohua, National Consultant
TER completion date	December 19, 2016
TER prepared by	Maria Elisa Passeri, Consultant
TER peer review by (if GEF IEO review)	Molly Fahey Watts, Evaluation Analyst, GEF

2. Summary of Project Ratings

Criteria	Final PIR	IA Terminal Evaluation	IA Evaluation Office Review	GEF IEO Review
Project Outcomes	Satisfactory (S)	Satisfactory (S)	N/A	Satisfactory (S)
Sustainability of Outcomes	N/A	Likely (L)	N/A	Likely (L)
M&E Design	N/A	Satisfactory (S)	N/A	Satisfactory (S)
M&E Implementation	N/A	Satisfactory (S)	N/A	Satisfactory (S)
Quality of Implementation	Satisfactory (S)	Satisfactory (S)	N/A	Satisfactory (S)
Quality of Execution	Satisfactory (S)	Satisfactory (S)	N/A	Satisfactory (S)
Quality of the Terminal Evaluation Report	N/A	N/A	N/A	Satisfactory (S)

3. Project Objectives

3.1 Global Environmental Objectives of the project:

The project's overall goal is the "Formulation & submission of SNC Report", that is China's Second National Communication to the United Nations Framework Convention on Climate Change (UNFCCC). The project will enable China to better fulfill its obligations specified in the Convention and prepare and submit the SNC to the UNFCCC in accordance with Article 12 of the Convention and Decision 17 of COP8; improve the capability of China in the development, systematic renewal and utilization of national communications and relevant knowledge; enable China to effectively put in place China's National Climate Change Programme and make new contributions to mitigation of global climate change based on national conditions and sustainable development strategy and policy.

3.2 Development Objectives of the project:

The project's development objective was to create in China "strengthened capacity to integrate climate change concerns into national and sectoral development priorities while fulfilling obligations to the UNFCCC." (ProDoc p.79) "This would include the development of a more comprehensive national Greenhouse Gas (GHG) inventory, with a report of extended categories and sources of GHG emissions and applying the IPCC Good Practice Guidance and Uncertainty Management to reduce uncertainties in the inventory. A preliminary national GHG inventory database management system would be established with a view to administering inventory data in a more scientific manner, making the preparation of GHG inventories a continual process, and to setup an approach to forecast GHG emissions in China. In addition, the assessment of the impacts of and vulnerability to climate change and dissemination of China's relevant policies and measures to address climate change would be strengthened and public awareness on climate change would be further enhanced. The Project will lead to the submission of the SNC to the UNFCCC in a timely manner" (TE, p.5).

The project is composed of 6 major components:

1. Inventory of GHG emissions, development of GHG inventory database and GHG Emission forecasting & modeling systems, which includes 7 sub-components: the first five sub-components are the development

of national GHG inventory of five specific source categories; the sixth sub-component is the completion of the development of China's GHG database management system, and the seventh sub-component is the improvement of the methodology projecting the GHG emissions in China;

2. Completion of the assessment of the impacts of climate change on China and its vulnerabilities;

3. Further improve public awareness on climate change;

4. Present relevant climate change information of Hong Kong SAR and Macao SAR;

5. Supplementary support activities for achieving the UNFCCC objectives;

6. Publication and dissemination of the document on the Second National Communication of China to the UNFCCC.

3.3 Were there any **changes** in the Global Environmental Objectives, Development Objectives, or other activities during implementation?

There were no changes in the Global Environmental Objectives and Development Objectives during implementation. However, as the project closed ahead of time and with surplus budget, an additional activity was added to the Project. Surplus GEF funds were used in 2013 for the preparation of the Third National Communications (TNC) Project Document (TE, p.15). The extension for project duration had no negative effect on project implementation, but was conducive to the finalization and submission of China 2nd National Communication to the UNFCCC, and submission of the TNC PDF to the GEF.

4. GEF IEO assessment of Outcomes and Sustainability

Please refer to the GEF Terminal Evaluation Review Guidelines for detail on the criteria for ratings.

Relevance can receive either a Satisfactory or Unsatisfactory rating. For Effectiveness and Cost efficiency, a six point rating scale is used (Highly Satisfactory to Highly Unsatisfactory), or Unable to Assess. Sustainability ratings are assessed on a four-point scale: Likely=no or negligible risk; Moderately Likely=low risk; Moderately Unlikely=substantial risks; Unlikely=high risk. In assessing a Sustainability rating please note if, and to what degree, sustainability of project outcomes is threatened by financial, sociopolitical, institutional/governance, or environmental factors.

Please justify ratings in the space below each box.

4.1 **Relevance**	Rating: Satisfactory

The TE rates relevance as Satisfactory (S) for all project components, and this TER also rates relevance as Satisfactory (S).

The Project was developed with the aim of enhancing China's capacity to integrate climate change with its socioeconomic development planning and policymaking processes. The SNC Project is consistent with GEF-4's Climate Change Focal Area, specifically "GEF-4 Support to Enabling Activities''. This enabling activity was relevant to the GEF as national communications represent an obligation of non-Annex I parties under the UNFCCC. Article 4.3 of the UNFCCC specifies that the GEF shall pay the agreed full cost of the preparation of national communications. Non-Annex I national communications projects have helped countries undertake inventories of GHG emissions and describe steps to implement the convention. National communications remain at the heart of the implementation of the UNFCCC for all countries.

Long-term impacts of the Projects are expected to be the following (TE, p.viii), all of which consistent with the GEF's Climate Change Focal Area: (a) Improved understanding of China's vulnerability to the threats of climate change and predicted impacts in five sectors: agriculture, water resources, coastal resources, terrestrial ecosystems and human health; (b) Improved public awareness and availability of technically sound information to inform policy-decision making on climate change; (c) Operational institutional mechanisms for the provision of GHG emissions and climate change situations in the Hong Kong and Macao SARs; and (d) Knowledge in China that improves its ability to manage its drive towards sustainable development with climate change.

4.2 **Effectiveness**	Rating: Satisfactory

The TE rates effectiveness as Satisfactory (S) for all project components, and this TER also rates effectiveness as Satisfactory as the project achieved all intended outcomes, and the project's mail goal, to formulate and submit China's Second National Communication to the UNFCCC was achieved in December 2012, and because the objective of strengthening China's capacity to integrate climate change concerns into national and sectoral development priorities appears to have been met. The TE reports that the capacities of research institutions and universities involved with climate change issues from the INC has been strengthened during the SNC project through project-supported activities, including technical exchanges with international GHG inventory groups, and time spent formulating appropriate equations and methodologies for estimation of GHG emission from various sources. (TE p.23) Additionally, the project was able to use surplus funds in preparation of the Third National Communication Project Document and other work including the compilation of the 2010 GHG emissions for the 2014 BUR.

The TE (p. viii) reports that the Chinese Government at the highest levels has expressed its support for full compliance to the UNFCCC. As such, the Second National Communication (SNC) produced with the assistance of this project has been effectively used as a platform on which to improve understanding of climate change in China and to inform Climate Change policies across all important economic sectors.

Achievements under the project's planned component are summarized below:

The project's first component, which was also the largest in terms of funding and effort, focused on creation of an Inventory of GHG emissions, development of GHG inventory database and GHG Emission forecasting & modeling systems, which included 7 sub-components. The first five sub-components were the development of national GHG inventory of five specific source categories; the sixth sub-component was the completion of the development of China's GHG database management system, and the seventh sub-component was the improvement of the methodology projecting the GHG emissions in China. According to the TE all aspects of this component were delivered on time, and the inventories are summarized in the Second National Communications report.

The project's second component was the completion of the assessment of the impacts of climate change on China and its vulnerabilities. The assessments were prepared by 9 major research institutions in China, and according to the TE, were based on an increased availability of data and an improved global understanding of climate change in comparison to the 2004 Initial National Communication, and ultimately constitutes an "improvement from the INC in the understanding of China's vulnerability to the threats of climate change to agriculture, water resources, costal resources, terrestrial ecosystems and human health." (TE p.31) The TE does note some gaps in these V&A Assessments, including some gaps in the understanding of socio-economic impacts, for example.

The project's third component focused on further improved public awareness on climate change. As part of this component, the project completed a comprehensive climate change website that is regularly updated, with staff dedicated to maintaining the website. The website had been setup by the government in 2002, and GEF funds were used to improve it by documenting China's actions and plans for mitigating and adapting to climate change. The TE reports that the website is comprehensive and informative. A summary of action plans for promoting and enhancing public awareness and knowledge on climate change was completed as well, and is summarized in the SNC Report. As a result of this action plan, the country has made improvements to public education and outreach, including extending climate change education to elementary school systems, and through TV radio and the internet.

The fourth project component was to present relevant climate change information of Hong Kong SAR and Macao SAR. A 2005 GHG emissions inventory for Hong Kong and Macau SARs was completed, and a report on climate change information in Hong Kong and Macau SARs was also completed. The TE reports that both were delivered on time and of satisfactory quality.

The project's fifth component included support activities for achieving the UNFCCC objectives. These included reports of 2005 National Circumstances, a Climate Change Mitigation Strategy Report, a Climate Change Adaptation Strategy Report, and report on Systematic Climate Observations, a guidelines & Action Framework for Technology Transfer and Cooperation, and capacity development for national communications. All outputs were delivered as expected, and the TE notes improved technical understanding and inputs for climate change-integrated development at local and national levels of government as a result.

The final component was the publication and dissemination of the document on the Second National Communication of China to the UNFCCC. This was completed and delivered in 2012 at Doha Conference of Parties (COP).

4.3 **Efficiency**	Rating: Satisfactory

The TE rates efficiency (S) for all project components, and this TER also rates efficiency as Satisfactory (S) as a result of the on-time and on-budget management of a project which presented a complex structure.

The TE (p.viii) reports that the Project has enabled the Government to provide a strong NC submission to the UNFCCC in a timely manner. However, the TE also notes that there was a clear need to improve the quality of their CC information, and its capacity to comply with the Convention as the country moves forward to the TNC. The Chinese Government has acknowledged these improvement areas

The TE (p.vi, and p.24) notes that the Project has achieved its intended outcomes in an effective and timely manner. The planned Project activities were completed ahead of time with a surplus budget which was allocated to an extension of the Project.

4.4 **Sustainability**	Rating: Likely

The TE rates overall Project sustainability rating is Likely (L), while this TER rates Project sustainability as Highly Likely (HL) as for the strong framework produced by the Project and for Government of China's strong commitment to UNFCCC.

Institutional Framework/Governance Sustainability: The TE (p.36) reports that SNC Project activities have been setup to be functional after completion of the Project. As such, NDRC and their subcontractors are in a state of readiness for preparation of the 2014 BUR and the TNC. This is based on the outcomes of the SNC Project which has generated improvements from the INC in its approaches, methodologies and tools for GHG inventories, impact and V&A assessments. The strategy of the SNC Project was to take available information from priority issues from the INC and various related scientific studies, conduct research into these areas and improve the understanding of these issues. The outputs of the SNC Project has been the documentation of the various climate change issues, most them critical to the formulation of the SNC. These outputs will be useful for scientific literature reviews with the IPCC and other peer organizations, enhancing the replicability of the Project. The replicability of certain practices of the SNC Project was enhanced through a study tour to Australia in June 2010 to meet with their Department of Climate Change and Energy Efficiency and share their practices for GHG inventory building. The study tour served to validate the Chinese approaches to GHG inventories (which have been based on IPCC guidelines), and to provide the confidence that Chinese practices could be shared and replicated in other

countries in the region, especially those which have similar national circumstances to China. The recognition of domestically-developed CH4MOD model for estimation of rice paddy GHG emissions in the 2006 IPCC Guidelines is also an excellent achievement that will encourage replication of best practices from the SNC Project.

Financial Sustainability: The TE also notes that the Government of China had specific funding allocations for the preparation of the 2014 BUR and TNC reports within a compressed time frame. As recently as April 2013, there was uncertainty of available resources and available time to prepare the 2014 BUR and the TNCs, primarily due to the uncertainty of the level of efforts required to collect and process GHG and climate change data necessary for the 2014 BUR report. These efforts include improving emission factors across the country and the measurements required to obtain this data over a wide geographic area and a longer time frame. A substantial labor investment will be required in order to prepare the reports as well as the procurement and use of a wide range of specialized equipment. Notwithstanding that NDRC can access test equipment and databases from institutions involved with the SNC at little or no cost, the Government will still require technical guidance from the UNFCCC and GEF for preparation of the 2014 Biennial Update Report (BUR) and the TNC for 2016.

Sociopolitical Sustainability: China's drive to be a responsible party and to fulfill its obligations to the UNFCCC in the future and to become an international actor on the climate change scene allows us to reasonably estimate a likely sociopolitical sustainability of the project.

5. Processes and factors affecting attainment of project outcomes

5.1 Co-financing. To what extent was the reported co-financing essential to the achievement of GEF objectives? If there was a difference in the level of expected co-financing and actual co-financing, then what were the reasons for it? Did the extent of materialization of co-financing affect project's outcomes and/or sustainability? If so, in what ways and through what causal linkages?

Co-financing was closer to USD 1.0 million (than the actual USD 0.65 million in the ProDoc) and was attributed to in-kind technical assistance from subcontractors on their additional work related to improved field testing and the collection of emission factors for various coal consuming activities and devices (TE, p.18). No information is provided on what activities co-financing was used for or its effect on sustainability.

The large amount of resources dedicated to the project by co-financers was not only essential to the achievement of GEF objectives, but also contributed to deliver a high-quality product.

5.2 Project extensions and/or delays. If there were delays in project implementation and completion, then what were the reasons for it? Did the delay affect the project's outcomes and/or sustainability? If so, in what ways and through what causal linkages?

There were no Project delays. The Project activities were delivered ahead of time (December 2012) and with surplus funds (over USD 482,565) which were allocated to fund a 12-month Project extension to December 2013.The extension's goal was to undertake: (a) the Preparation of the Third National

Communication (TNC) Project Document; and (b) other related work such as compilation of the 2010 GHG emissions for the 2014 BUR (TE, p.24).

5.3 Country ownership. Assess the extent to which country ownership has affected project outcomes and sustainability? Describe the ways in which it affected outcomes and sustainability, highlighting the causal links:

The TE (p.35) states that the success of the SNC Project was rooted in China's drive to be a responsible party and to fulfill its obligations to the UNFCCC. Country ownership of the SNC Project has been amply demonstrated by the Government's participation in the design and management of the Project. The Government's special attention to the project resulted in annual work programs which were accurate and designed against results, implemented and managed efficiently with minor deviation.

China's strong focus on the project's overall topic has been demonstrated over years through (TE, p.36):

- The Chinese Government setting up the National Coordination Committee on Climate Change (NCCCC) under the previous Environmental Protection Committee of the State Council as early as 1990. In 1998, the NCCCC was restructured and renamed as NDRC. NDRC represents the Chinese Government during international negotiations on global climate change and during its work with the IPCC;
- China being a signatory to the UNFCCC on June 11, 1992 that was then ratified by the Standing Committee of the National People's Congress on January 5, 1993;
- China preparing its INC in July 2001 with technical assistance from GEF, and officially submitting the INC Report to the UNFCCC during COP10 in December 2004 as a nonAnnex I Party;
- Addressing climate change as outlined in the Chinese Government's 11th Five-Year Plan (2006-2010) and 12th Five-Year Plan (2011-2015) for National Economic and Social Development and the Mid and Long-Term National Development Plan for Science and Technology;
- The State Council setting up the "National Leading Group on Climate Change" (NLGCC) in 2007, headed by Premier Wen Jiabao, giving climate change more prominence in China, and the formulation of China's National Climate Change Program (CNCCP) by the NDRC in cooperation with 17 departments, the country's first policy document on climate change and the first national program on climate change among all developing countries.

6. Assessment of project's Monitoring and Evaluation system

Ratings are assessed on a six point scale: Highly Satisfactory=no shortcomings in this M&E component; Satisfactory=minor shortcomings in this M&E component; Moderately Satisfactory=moderate shortcomings in this M&E component; Moderately Unsatisfactory=significant shortcomings in this M&E component; Unsatisfactory=major shortcomings in this M&E component; Highly Unsatisfactory=there were no project M&E systems.

Please justify ratings in the space below each box.

6.1 **M&E Design at entry**	Rating: Satisfactory

The TE rates M&E Design as satisfactory. This TER rates M&E Design as Satisfactory, due to its overall consistency. The TE (p.21) notes that M&E design at entry was not too detailed proving flexibility for the Project Manager to manage the project in a manner deemed appropriate for the level of resources being deployed.

The PD presents a complete log frame and a preliminary project M&E plan with a dedicated budget, timeframe and responsible parties for all M&E activities (PD, p.120). The quality of indicators was high. The total indicative cost for M&E activities at entry was estimated at US$ 32,000.

6.2 **M&E Implementation**	Rating: Satisfactory

The TE rates M&E Implementation as satisfactory. This TER rates M&E Implementation as Satisfactory, due to its coherence with the preliminary plan as reported in the PD and the quality of outputs.

The TE (p.21) notes that M&E functions of NDRC involved managing subcontracts of 10 major research institutes for GHG inventories and V&A assessments and impact statements. More than 80 workshops were organized during the course of the Project to discuss and review project progress and proceedings by sub-contracts, a detail not covered under the M&E design. Technical information generated from these workshops was used for preparing quarterly and annual PIRs. All M&E activities were carried out according to AWPs.

7. Assessment of project implementation and execution

Quality of Implementation includes the quality of project design, as well as the quality of supervision and assistance provided by implementing agency(s) to execution agencies throughout project implementation. Quality of Execution covers the effectiveness of the executing agency(s) in performing its roles and responsibilities. In both instances, the focus is upon factors that are largely within the control of the respective implementing and executing agency(s). A six point rating scale is used (Highly Satisfactory to Highly Unsatisfactory), or Unable to Assess.

Please justify ratings in the space below each box.

7.1 **Quality of Project Implementation**	Rating: Satisfactory

The TE rates Quality of Project Implementation as Satisfactory. This TER also rates the Quality of Project Implementation as Satisfactory as the overall quality of project supervision had no shortcomings.

The TE (p.22) notes that the performance of UNDP (Implementing Agency) presented no issues. UNDP managed the disbursement of the GEF funds for this project in a timely manner, and ensured that the

required reporting of expenditure and audit of Project funds complied with national laws and regulations as well as UNDP rules and procedures (TE, p.4). The UNDP China country office undertook these roles with oversight and supervision of the Project from the UNDP-GEF Asia-Pacific Regional Coordination Unit on behalf of the GEF. The project steering committee regularly called meetings to monitor and provide suggestions for smooth project implementation.

Overall, with the satisfactory progress of the Project, the development goal of the Project to "formulate and submit an SNC report to the UNFCCC" has been achieved as of December 2012, 4 years after the commencement of the Project. As well, the immediate objective of "strengthening capacity in China to integrate climate change concerns into national and sectoral development priorities while fulfilling obligations to the UNFCCC" has been achieved based on the fact the SNC report was of high quality and compiled by the Chinese Government and their subcontractors (TE, p.22).

7.2 **Quality of Project Execution**	Rating: Satisfactory

The TE rates Quality of Project Execution as Satisfactory. This TER also rates the Quality of Project Execution as Satisfactory as for the timeliness and strong management skills demonstrated by NDRC. This required significant coordination efforts and effective leverage of strategic partnerships. The Project was delivered ahead of time and surplus GEF funds were redirected for the preparation of the TNC Project Document.

The TE (p.15) notes that The SNC Project has been well managed by the executing agency, NDRC, through their Project Coordinators, the direction of the NPD and its associate research institutions and universities. NDRC's leadership has resulted in the SNC Project efficient and effective execution and delivery of outputs according to the ProDoc and the annual work plans. The TE also reports that although the execution of the SNC has been satisfactory, given the new increased reporting requirements for the next round of NCs that includes the 2014 Biennal Update Report and the TNC in 2016, the Chinese Government are now reviewing their management arrangements with NDRC and their subcontractors to improve their efficiencies to deliver this higher volume of national communications.

8. Assessment of Project Impacts

Note - In instances where information on any impact related topic is not provided in the terminal evaluations, the reviewer should indicate in the relevant sections below that this is indeed the case and identify the information gaps. When providing information on topics related to impact, please cite the page number of the terminal evaluation from where the information is sourced.

8.1 Environmental Change. Describe the changes in environmental stress and environmental status that occurred by the end of the project. Include both quantitative and qualitative changes documented,

sources of information for these changes, and how project activities contributed to or hindered these changes. Also include how contextual factors have contributed to or hindered these changes.

No Environmental changes are identified in the TE as having occurred as a result of the project.

8.2 Socioeconomic change. Describe any changes in human well-being (income, education, health, community relationships, etc.) that occurred by the end of the project. Include both quantitative and qualitative changes documented, sources of information for these changes, and how project activities contributed to or hindered these changes. Also include how contextual factors have contributed to or hindered these changes.

No Socioeconomic changes are identified in the TE as having occurred as a result of the project.

8.3 Capacity and governance changes. Describe notable changes in capacities and governance that can lead to large-scale action (both mass and legislative) bringing about positive environmental change. "Capacities" include awareness, knowledge, skills, infrastructure, and environmental monitoring systems, among others. "Governance" refers to decision-making processes, structures and systems, including access to and use of information, and thus would include laws, administrative bodies, trust-building and conflict resolution processes, information-sharing systems, etc. Indicate how project activities contributed to/ hindered these changes, as well as how contextual factors have influenced these changes.

a) Capacities

The TE (p.41) identified the following changes in Capacity as a result of the Project:

- Improved and comprehensive understanding of GHG emissions from the different source categories by relevant stakeholders as indicated by the UNFCCC Guidelines for non- Annex I National Communications

- Increased number of government officers and research personnel in China are able to model, analyze and project future GHG emissions using GHG inventory tools, inventory information and analyses

- Increased capacity for participating universities and research institutes in establishing GHG accounting systems

Beneficiaries of the SNC Project capacity building activities included:

- The NLGCC who now have access to more information for decision-making and to promote public awareness on climate change by linking the means to combat climate change with their daily life and work;

- A wide range of stakeholders and relevant players who prepared GHG emission inventories, established models for GHG emissions projection and analysis, and developed and managed a GHG database.

b) Governance

The TE (p.41) identified the following changes in Governance as a result of the Project:

- Fulfillment of China's obligation under the UNFCCC for the Second National Communication

- Strengthened leadership and guidance capacity of the NDRC with respect to GHG inventories, climate change assessments and adaptation policy issues, and raising public awareness of climate change issues

- Improved NDRC outreach to provincial governments on compiling GHG emission inventories;

- Strengthened National Communication process and defined linkages with national development priorities through:

i. A consolidated network of stakeholders;
ii. An enhanced technical capacity of national experts;
iii. A strengthened institutional framework for the preparation NCs;
iv. A greater emphasis on relevant policies on mitigation and adaptation to climate
v. change; and
vi. A results-based management during implementation.

8.4 Unintended impacts. Describe any impacts not targeted by the project, whether positive or negative, affecting either ecological or social aspects. Indicate the factors that contributed to these unintended impacts occurring.

No unintended impacts are identified in the TE as having occurred as a result of the project.

8.5 Adoption of GEF initiatives at scale. Identify any initiatives (e.g. technologies, approaches, financing instruments, implementing bodies, legal frameworks, information systems) that have been mainstreamed, replicated and/or scaled up by government and other stakeholders by project end. Include the extent to which this broader adoption has taken place, e.g. if plans and resources have been established but no actual adoption has taken place, or if market change and large-scale environmental benefits have begun to occur. Indicate how project activities and other contextual factors contributed to these taking place. If broader adoption has not taken place as expected, indicate which factors (both project-related and contextual) have hindered this from happening.

The TE (p.37) states that the outputs of the SNC Project (documentation of the various climate change issues, critical to the formulation of the NC) will be useful for scientific literature reviews with the IPCC and other peer organizations, enhancing the replicability of the Project.

The TE (p.37) also notes that the replicability of certain practices of the SNC Project was enhanced through a study tour to Australia in June 2010 to meet with their Department of Climate Change and Energy Efficiency and share their practices for GHG inventory building. The study tour served to validate the Chinese approaches to GHG inventories (which have been based on IPCC guidelines), and to provide the confidence that Chinese practices could be shared and replicated in other countries in the region, especially those which have similar national circumstances to China. The recognition of domestically-developed CH4MOD model for estimation of rice paddy GHG emissions in the 2006 IPCC Guidelines is also an excellent achievement that will encourage replication of best practices from the SNC Project.

9. Lessons and recommendations

9.1 Briefly describe the key lessons, good practices, or approaches mentioned in the terminal evaluation report that could have application for other GEF projects.

TE (p.44) identifies the following key lessons:

- Compilation of a climate change national communication is a large and challenging undertaking especially in a developing country such as China. Successful implementation of such an undertaking requires an experienced and responsible project implementation partner with competent management staff. NDRC has demonstrated the benefits of effective management leading to successful project implementation. The NPDs and NPMs who have served on the Project provided excellent direction and have taken responsibility for its outputs and outcomes. They have provided a conducive working and collaborative environment for a wide range of specialists from various government departments and agencies to compile and share information for the NC report;

- GEF is a key financial mechanism to governments of developing nations, in this case to assist developing countries in meeting their obligations to the UNFCCC through National Communications issues that requires adherence to international norms of reporting. The SNC Project has demonstrated this lesson with the Chinese Government stating its intention to meet its obligations under the UNFCCC, not having the full capacity or knowledge to meet these obligations, and utilizing GEF assistance to meet these obligations. Moreover, GEF support is a key resource for developing countries in their attempts to comply with changing UNFCCC reporting requirements such as the new requirement for the Biennial Update Report.

TE (p.45) identifies the following good practices:

- The selection of an implementation partner for a National Communications project should include a government agency that has support at the highest levels of government. The NDRC characterizes such a government-entity; it has the support of the Chinese Premier, houses the NLGCC that is chaired by the Premier, and has excellent managerial and coordination capacity for an NC project. The leadership of NDRC to coordinate and manage the NC process has attracted the best domestic professionals to be involved with activities of the NC process, and maximized cooperation between other government departments and local government agencies. In the case of the SNC Project, NDRC's high profile enables it to effectively coordinate and guide all relevant government agencies, research institutes and universities to provide their best technical professionals to an NC preparation. It also enabled NDRC to conduct more than 80 workshops and meetings that were well attended with the involvement of high level experts and government officials, who reviewed and provided expert guidance to all SNC Project components. Several of NDRC's subcontractors have also provided in-kind technical assistance in addition to their contractual obligations to ensure high quality of their outputs and to establish and secure their agency's reputations for climate change related work;

- The use of international expertise on the SNC Project was conducted in an effective manner by conducting much of the work internally prior to presenting the findings in an international workshop or study tour setting. During the SNC Project, GHG emissions and climate change V&A assessments and impacts were conducted internally and within the framework of the various related IPCC Guidelines. NDRC also encouraged more interaction between domestic subcontractors to improve the outputs which led to improvements and in some cases, the development of more precise models such as the CH4MOD model

for rice paddies. Interactions with international experts during the SNC Project expertise were conducted when GHG emission inventory formulation methods were being compared with those prepared by other countries (such as Australia which has similar coal emissions from power projects). In addition, foreign assistance was also used when there was a need for modifications on testing equipment (GHG monitoring equipment) that was imported into China.

9.2 Briefly describe the recommendations given in the terminal evaluation.

The TE (p.43) provided three recommendations to NDRC on actions to strengthen and sustain climate change activities in advance of a GEF-supported Third National Communication (TNC) Project planned for 2014, to improve or validate its design.

Recommendation 1: NDRC should consider for inclusion into a TNC Project further activities related to reducing uncertainties in GHG emission identification and inventorying as identified in the TE.

Recommendation 2: NDRC should include in Climate Change vulnerability assessments and adaptation measures the following:

- Research work on the physical impacts of climate change. This may include impacts to coastal areas such as saltwater intrusion, changes in fluvial morphology from changes in hydrology and accelerated glacial melt, and ecosystem changes from changing weather patterns;
- Assessments of cross-sectoral impacts of climate change. For example, impacts of climate change on agriculture will have an impact on urban development and socioeconomic indicators; this has not yet been assessed in China;
- A methodology and indices for vulnerability assessments for various sectors such as agriculture, ecosystems, coastal zones and human health;
- Methodologies for assessment of adaptation measures and their corresponding effectiveness;
- Assessment of impacts of climate change to human health due to extreme weather events, relevant pathogens, intermediate hosts, vectors with temperature changes. The SNC Project only assessed impacts of climate change on human health on vector-borne diseases such as malaria, schistosomiasis and dengue;
- Increasing international exchanges and study tours to improve understanding of the methods of other countries in GHG inventories and CC impact and V&A assessments and to share methods that have already been developed in China. The process for selection of countries for international exchange and study tours should be similar to the SNC where Australia was selected on the basis of common ground on managing coal GHG inventories;
- Capacity building and technical training courses on climate change impact and V&A assessments, and advanced methodologies on preparing GHG inventories using experiences from Annex I countries.

Recommendation 3: NDRC should include in the TNC Project assistance to improve efficiencies in updating GHG inventories for 2010 and 2012 and to enable timely delivery of the 2014 BUR.

10. Quality of the Terminal Evaluation Report

A six point rating scale is used for each sub-criteria and overall rating of the terminal evaluation report (Highly Satisfactory to Highly Unsatisfactory)

Criteria	**GEF IEO comments**	Rating
To what extent does the report contain an assessment of relevant outcomes and impacts of the project and the achievement of the objectives?	The assessment of relevant outcomes, impacts and achievements of objectives is both thorough and consistent with the project design. The TE provides a detailed assessment for all project components.	**HIGHLY SATISFACTORY**
To what extent is the report internally consistent, the evidence presented complete and convincing, and ratings well substantiated?	TE is highly consistent internally, evidence is presented in an organized and detailed way, and ratings are provided against results/counterfactuals.	**SATISFACTORY**
To what extent does the report properly assess project sustainability and/or project exit strategy?	The assessment of sustainability is complete and includes next steps, actors and budget. Project exit strategy is not present.	**SATISFACTORY**
To what extent are the lessons learned supported by the evidence presented and are they comprehensive?	Lessons learned are comprehensive and supported by evidence and areas of knowledge sharing are identified.	**SATISFACTORY**
Does the report include the actual project costs (total and per activity) and actual co-financing used?	The project includes actual total project costs, as well as cost per activity (component and sub-component level). However, information on co-financing is incomplete and vague. We don't know what actors provided it and the final amount isn't listed.	**MODERATELY SATISFACTORY**
Assess the quality of the report's evaluation of project M&E systems:	The report's evaluation of Project M&E provides a good assessment of the general M&E framework and a detailed analysis of UNDP's M&E efforts.	**SATISFACTORY**
Overall TE Rating	(0.3 (6+5) + 0.1 (5+5+5+4) = 5.2	**SATISFACTORY**

11. Note any additional sources of information used in the preparation of the terminal evaluation report (excluding PIRs, TEs, and PADs).