

People's Republic of China

An Integrated Ecosystem Management Approach to the Conservation of Biodiversity in Dryland Ecosystems

Terminal Evaluation Review



Main report and appendices

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Asia and the Pacific Division
Programme Management Department

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Abbreviations and acronyms

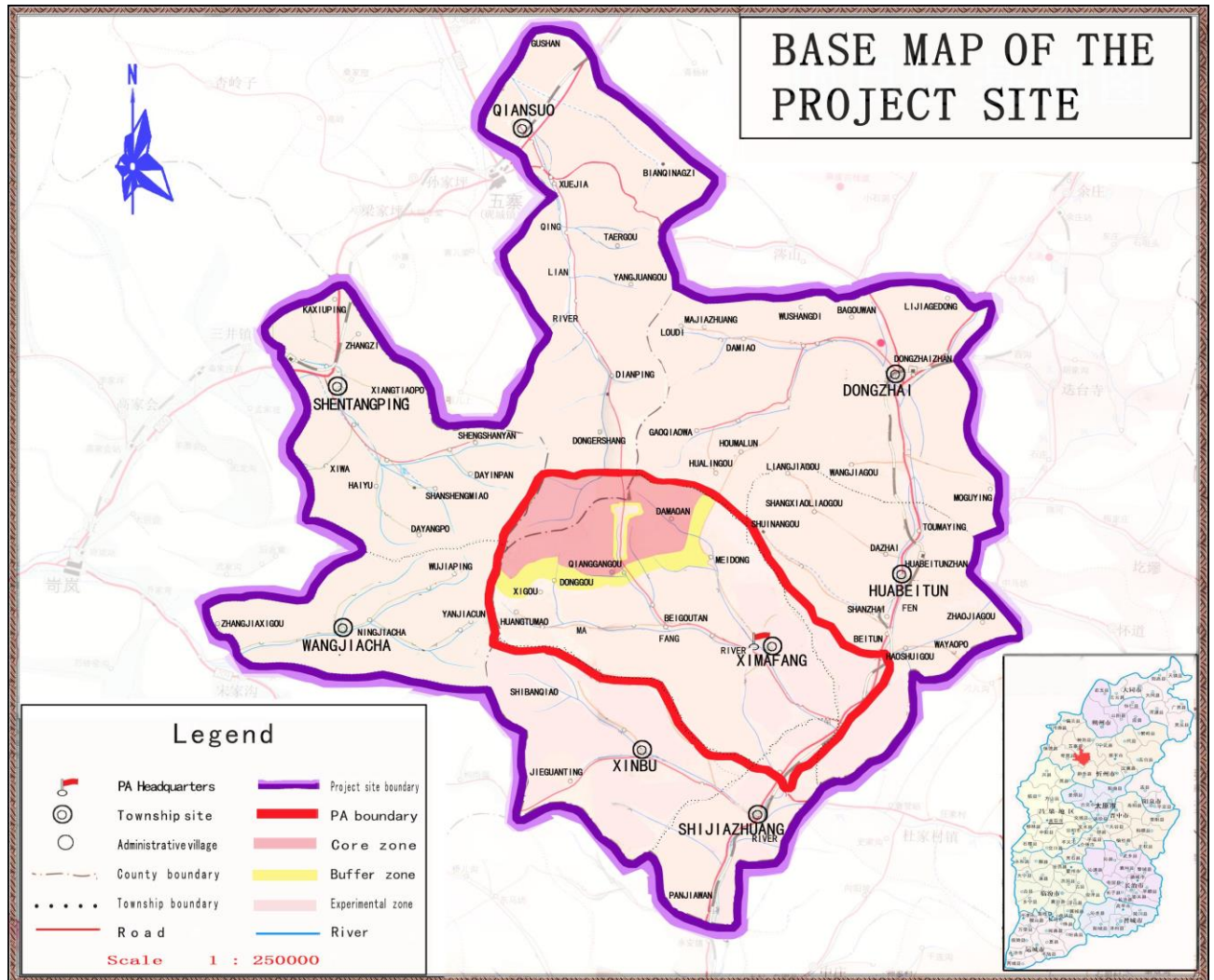
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|-------|--|
| ADB | Asian Development Bank |
| APR | Asia Pacific Division (IFAD) |
| AWPB | Annual Work Plan and Budget |
| CBD | UN Convention on Biodiversity Conservation |
| BD | Biodiversity |
| CCD | UN Convention of Combatting Desertification |
| CBOF | County Bureau of Finance |
| CNY | Chinese Yuan (or RMB) |
| CPM | Country Program Office |
| CPMO | County Project Management Office |
| CTA | Chief Technical Advisor |
| EA | Executing Agency |
| ECD | Environment and Climate Division (IFAD) |
| ECPRP | Environmental Conservation and Poverty Reduction Project, Ningxia and Shanxi |
| FA | Focal Area |
| FSP | Full Size Project |
| GEF | Global Environment Facility |
| GGP | Grain for Green Program |
| GIS | Global Information Systems |
| GS | Gansu |
| IA | Implementing Agency |
| IAS | Invasive Alien Species |
| IEM | Integrated Ecosystem Management |
| IFAD | International Fund for Agricultural Development |
| IOE | Independent Office of Evaluation (IFAD) |
| LD | Land Degradation |
| M&E | Monitoring and Evaluation |
| MLA | Mainline Agencies |
| MTR | Mid Term Review |
| Mu | Chinese unit of measure for area (15 Mu = 1 hectare) |
| NA | Not Applicable |
| NAPCD | National Action Plan to Combat Desertification |
| NFPP | National Forest Protection Program |
| NBSAP | National Biodiversity Conservation Strategy and Action Plan |
| NNR | National Nature Reserve |
| NX | Ningxia Hui Muslim Autonomous Region |
| OP | Operational Plan |
| PA | Protected Area |
| PBSAP | Provincial Biodiversity Conservation Strategy and Action Plan |
| PCR | Project Completion Report |
| PDOF | Provincial Department of Finance |
| PEPA | Provincial Environment Protection Administration |
| PES | Payment of Ecosystem Services |
| PIF | Project Identification Form |
| PIR | Project Implementation Report (Annual) |
| PLG | Project Leading Group |
| PMO | Project Management Office |
| PMM | Project Management Meeting |
| PPEA | Provincial Project Executing Agency |
| PPG | Project Preparation Grant (GEF) |
| PPM | Project Procedure Manual |
| PPMO | Provincial Project Management Office |
| PRA | Participatory Rural Appraisal |
| PSC | Project Steering Committee |
| PY | Project Year |
| RIMS | Results and Impact Management System |
| SAPR | Semi-Annual Progress Report |
| SFA | State Forest Administration |

| | |
|-------|--|
| SEPA | State Environment Protection Agency |
| SX | Shanxi Province |
| SGPRP | South Gansu Poverty Reduction Project |
| SLA | Sustainable Livelihoods Approach |
| SLM | Sustainable Land Management |
| TCM | Traditional Chinese Medicines |
| TER | Terminal Evaluation Review |
| USD | United States Dollar |
| VC | Village Committee |
| VDEP | Village Development and Environment Plan |
| VDP | Village Development Plan |
| VIG | Village Implementation Group |
| WB | The World Bank |

Map of the Project Area

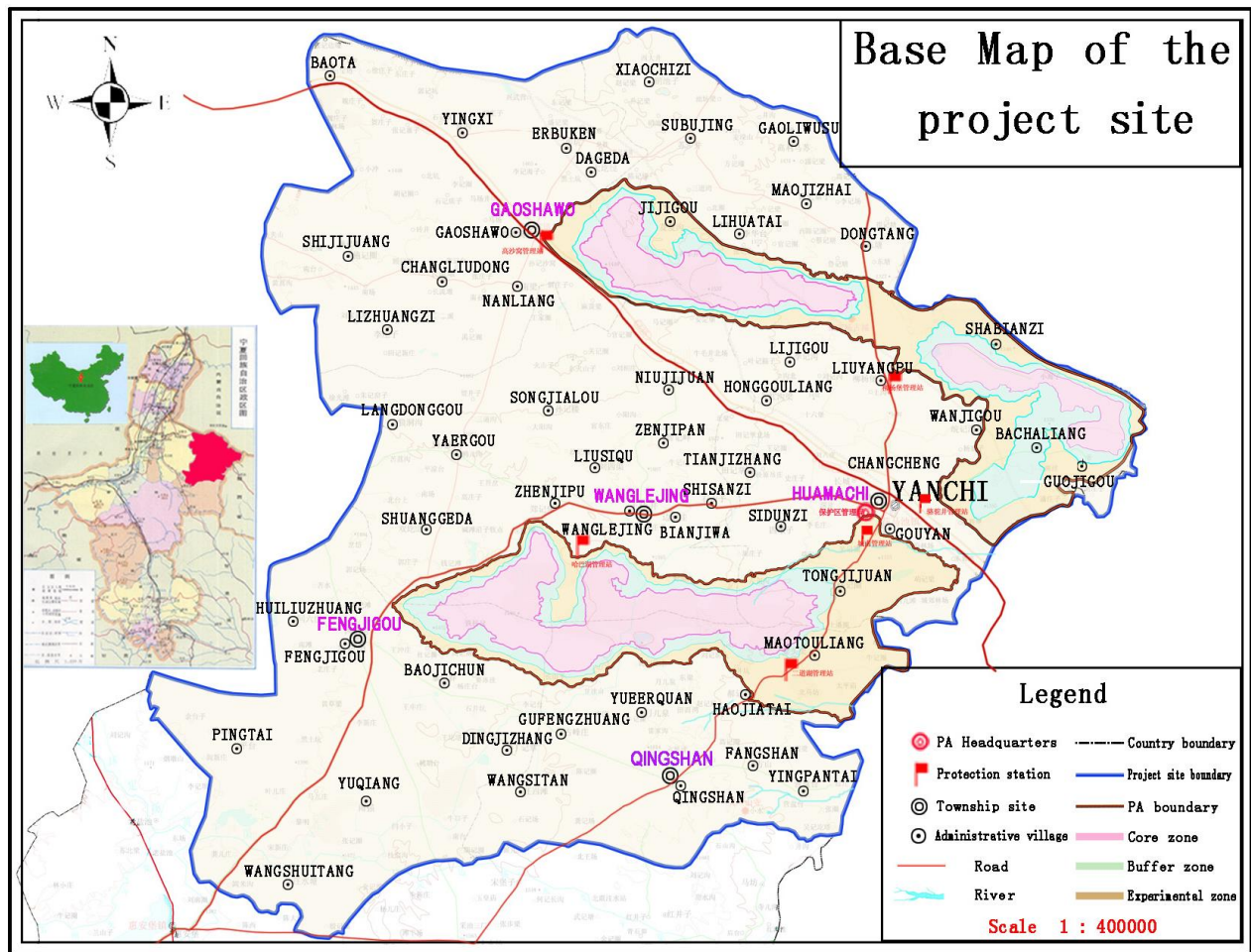
Shanxi Province

Figure 1: Base Map of the Project Site in Shanxi Province



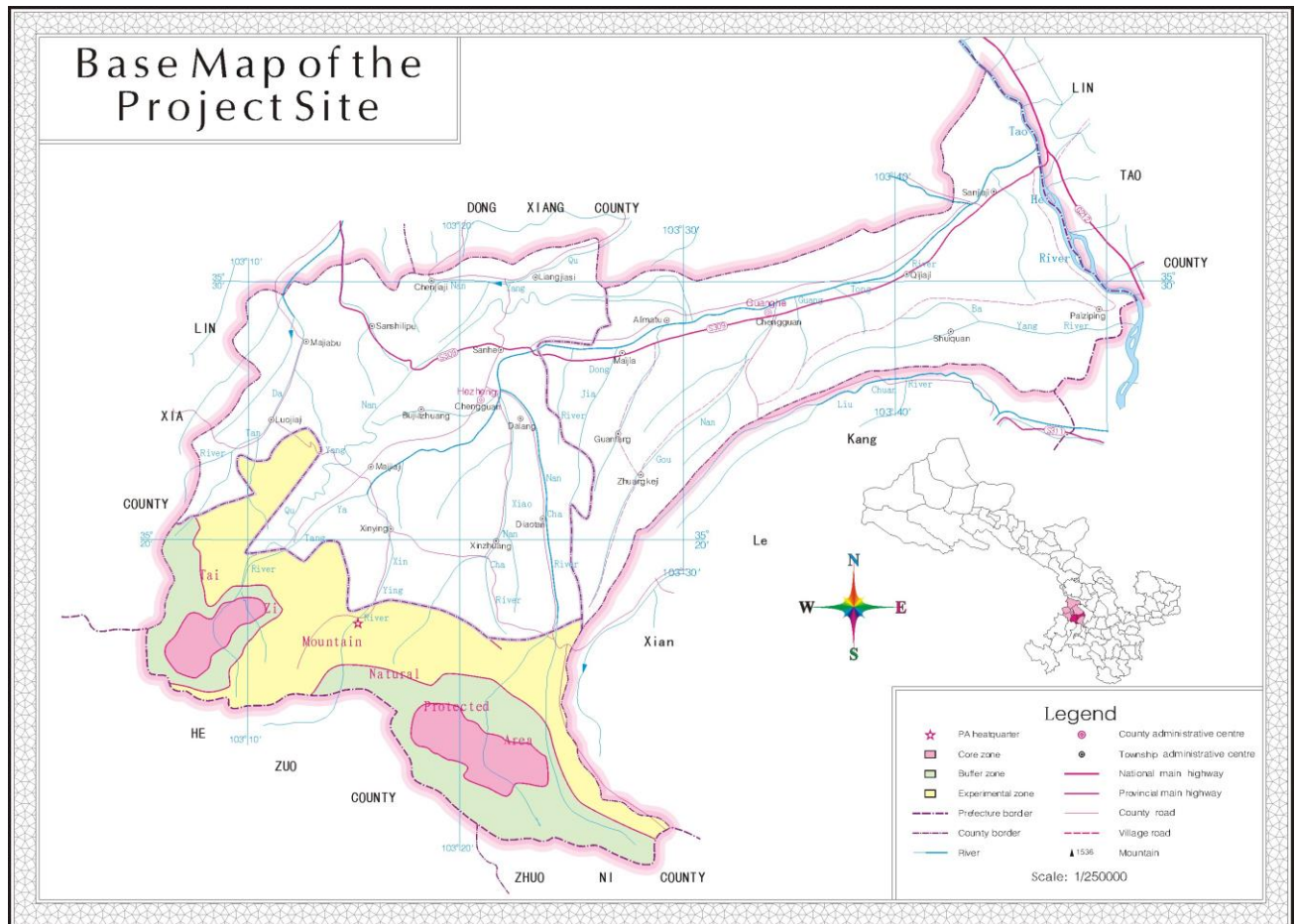
Ningxia Province

Figure 2: Base Map of the Project Site in Ningxia Province



Gansu Province

Figure 3: Base Map of the Project Site in Gansu Province



Project Identification Table

| | |
|-----------------------------------|---|
| Country: | People's Republic of China |
| Grant Title: | An Integrated Ecosystem Management Approach to the Conservation of Biodiversity in Dryland Ecosystems |
| Grant Type: | Full-sized Project |
| GEF ID Number: | 2369 |
| GEF Focal Area | Multi-focal Area, Land Degradation (LD) and Biodiversity (BD) Focal Areas |
| GEF-4 Strategic Objectives | BD-3; BD-4; LD-2; LD-3 |
| GEF Implementing Agency: | IFAD |
| IFAD Grant Agreement: | GEF-FSP-9-CN |
| Umbrella Project: | Biodiversity Conservation |
| Other Executing Partners: | IFAD and Ministry of Finance, People's Republic of China |

(i) Key Dates

| GEF/PIF Approval | GEF/PPG Approval | GEF Approval | IFAD Approval | Signing | Effective-ness | Mid-Term Review | Final Evaluation | Completion | | Grant Closing | |
|------------------|------------------|--------------|---------------|---------------|----------------|-----------------|------------------|--------------|---------------|---------------|-------------|
| | | | | | | | | Orig. | Actual | Orig. | Est. |
| 12 Nov 2007 | 24 April 2008 | 24-Feb 2009 | 6-May 2009 | 15 April 2011 | 15 April 2011 | 23-June 2014 | 9 May 2016 | 30 June 2014 | 15 April 2016 | 31 Dec 2014 | 15 Oct 2016 |

(ii) Financing, Proposed (USD '000)

| GEF | | Co-financiers | | | | Project Total ¹ |
|-----|---------------|---------------|------------|---------------|--------|----------------------------|
| PPG | Project Grant | IFAD | Government | Beneficiaries | Others | |
| 350 | 4,545 | 2,418 | 18,831 | 3,733 | - | 29,527 |

¹ Excluding Project Preparation Grant (PPG)

(iii) Actual Costs and Financing (USD '000)

| GEF | | Co-financiers | | | | Project Total ¹ |
|-----|---------------|---------------|------------|---------------|--------|----------------------------|
| PPG | Project Grant | IFAD | Government | Beneficiaries | Others | |
| 350 | 4,545 | 866 | 20,604 | 3,512 | - | 29,527 |

Excluding Project Preparation Grant (PPG)

(iv) Proposed Financing vs Actual Expenditure by Component (USD '000)¹

| Component | GEF | | Co-financing | | Total | |
|---|--------------|---------------------|---------------|---------------|---------------|---------------|
| | Proposed | Actual ² | Proposed | Actual | Proposed | Actual |
| 1. Policy, Planning & Institution Strengthening | 728 | 678 | 133 | 125 | 861 | 803 |
| 2. Community-based Restoration & Livelihoods | 879 | 985 | 10,208 | 11,279 | 11,087 | 12,139 |
| 3. Protected Areas & Biodiversity Conservation | 1,777 | 1,649 | 13,924 | 15,027 | 15,701 | 16,676 |
| 4. Increasing Public Awareness | 487 | 564 | 98 | 114 | 585 | 678 |
| 5. Project Management, M&E & Knowledge Share | 674 | 702 | 619 | 649 | 1,293 | 1,351 |
| Total | 4,545 | 4,578 | 24,982 | 27,068 | 29,527 | 31,646 |

(v) Project Ratings:

| MTR Assessment Categories | GEF Ratings | | | | |
|---|------------------|------------------|------------------|------------------|------------------|
| | 2012 Supervision | 2013 Supervision | 2014 MTR Mission | 2015 Supervision | 2016 TER Mission |
| Overall Project Assessment | NA | NA | S | S | S |
| Preparation and Readiness | NA | NA | HS | NA | S |
| Attainment of Objectives & Planned Results | NA | NA | S | S | S |
| Achievement of Outputs & Activities | NA | NA | S | S | S |
| Stakeholder Participation/Public Awareness | NA | NA | S | S | S |
| Implementation Approach & Adaptive Management | NA | NA | S | MS | NA |
| Monitoring & Evaluation | NA | NA | MS | S | MS |
| Financial Planning & Control | NA | NA | S | MS | MS |
| Sustainability | NA | NA | S | S | ML |
| Catalytic Role & Replication | NA | NA | MS | S | S |
| Country Ownership/Driven-ness | NA | NA | S | S | S |
| IFAD Supervision & Backstopping | NA | NA | S | S | S |

¹ This is confirmed by PEA and Coordinating PPMO after the TER mission.

Executive Summary

Introduction

1. The Integrated Ecosystem Management (IEM) Approach to the Conservation of Biodiversity in Dryland Ecosystems Project was designed based on the two IFAD programmes of the South Gansu Poverty Reduction (SGPRP) and Environmental Conservation and Poverty Reduction (Ningxia and Shanxi Provinces) (ECPRP). The goal of the GEF Project was to achieve a significant reduction in loss of biodiversity (BD) through addressing non-sustainable land use practices and the underlying causal factors of poverty in selected dryland ecosystems affected by land degradation (LD) in China's Western Region of Gansu, Ningxia and Shanxi. The Project's development objective was to increase on- and off-farm productive capacity, and to offer increased access to economic and social resources networks while improving the bio-physical environment in three provinces. The Project's global environmental objective through GEF financing was to increase biodiversity conservation, restore ecosystem integrity and services, and promote the appropriate renewable energy technologies designed to reduce pressure on forest resources and Project sites.

2. To achieve these objectives, Project activities were organized in four components: (i) Component 1: "Planning, Policy Re-alignment and Institutional Strengthening"; (ii) Component 2: "Community Based Ecological Planning and Restoration and Alternative/Sustainable Livelihoods"; (iii) Component 3: "Protected Areas and Biodiversity Conservation"; (iv) Component 4: "Increasing Public Awareness"; and (v) Component 5: Project Management, M&E and Information Dissemination.

3. The Project target areas are (i) the loess plateau gully zone in Gansu province; (ii) the central arid and sand eco-zone in Ningxia; and (iii) the northern Shanxi mountainous and hilly eco-zone in Shanxi. Each eco-zone was associated with an existing protected area such as the Mount Taizi National Nature Reserve in Gansu, the Haba Lake National Desert Protected Area in Ningxia; and the Mount Luya National Nature Reserve in Shanxi. The Project targeted 456,000 poor rural household beneficiaries in 450 villages, particularly women and extremely poor households in remote areas.

4. The overall project implementation was led by the Ministry of Finance. At provincial level, the Provincial Departments of Finance of Gansu Province, Shanxi Province and Ningxia Province were Provincial Project Execution Agencies (PPEAs) responsible for execution of the IEM Approach Project with delegation of authorities from the Ministry of Finance. As to Provincial Project Management Offices (PPMO) who were responsible for project implementation, in Shanxi and Gansu, the Departments of Agriculture which was experienced in IFAD project implementation led the coordination of agencies and supported project implementation. In Ningxia, the Department of Finance was responsible for coordination of project implementation and the de facto PPMO for the Ningxia Project implementation was the Haba Lake National Natural Reserve (NNR).

5. The GEF financing was approved by GEF in February 2009 and the financing agreement between IFAD and China was signed on 15 April 2011. The Project was implemented over 5 years from 15 April 2011 to 15 April 2016. The closing date was 15 October 2016. The total project budget amounted to US\$ 29,527,400 (US\$ 4.545 from GEF; USD\$ 865,600 from IFAD loan; US\$ 20.603 million from the Government of China; and US\$ 3,511,700 from beneficiaries). The Project's total realized funding was estimated at US\$ 31.645 million (US\$ 4.545 from GEF; US\$ 27.1 million from the Government of China).

Scope, Objectives and Method

6. The TER Team used the Guidelines for GEF Agencies in Conducting Terminal Evaluations as a basis for the TER and consulted the IFAD Evaluation Manual, Methodology and Processes. The TER is based on literature review and field visits from 9 May to 20 May 2016 during which the TER Mission met with key personnel of the Provincial and County Executing Agencies and Implementing Agencies in Gansu, Ningxia and Shanxi provinces. About 40% of the in-country mission were spent in government, Project or stakeholder meetings and the rest 60% in the field at Project sites with farmers, community leaders, farmer association, technical specialists, County and Provincial authorities, scientists and academics.

Project Performance Review

7. **Conclusions:** The Project has made satisfactory progress in completing the goals, objectives, outcomes and outputs and has delivered the expected results. The Project implementation has been satisfactory in terms of outputs completed and Project management. It is clear that the IFAD-GEF's IEM Approach has proven effective in encouraging vertical and horizontal integration within and beyond the immediate natural resources management sectors. The Project's participatory and multi-sectoral approach in strategic planning and in encouraging the key role of Provincial governments, County government, County level line agencies, farmer association and village leadership groups, ensured that there was multi-sectoral support for maintaining an enabling environment for biodiversity conservation in dryland ecosystems on a sustained basis. Based on the above observations, it was rated (i) highly relevant to the government's and IFAD's environment and development strategies, (ii) effective in achieving outcome and outputs, (iii) efficient in achieving outcome and outputs, and (iv) likely to be sustainable. The Project successfully generated effected changes from the baseline in ways that are meaningful, desirable, and quite substantial. Overall rating: Satisfactory

8. **Review of Project Outputs:** The Project made good progress in completing the planned activities and delivering the expected results. The overall Project implementation was satisfactory in terms of outputs completed and Project management, particularly recognizing the Project design complexity.

9. **Assessment of Project Outcomes and Objectives:** Project relevance and efficiency were rated as highly satisfactory, and project effectiveness were rated as satisfactory.

10. **Relevance:** The Project was consistent with the GEF Strategic Objectives and Programs, particularly, SO1, to catalyze the sustainability of PA systems; and SO2, to mainstream biodiversity in production landscapes and sectors, and the priorities of the national and regional plans of the Government in support of their commitments to the Convention on Biological Diversity (CBD, June 1992) and the priorities as identified in the PR China's Biodiversity Action Plan (1994). The Project strengthened the IEM participatory approach to re-align at the policy, planning, implementation and institutional aspects of governance to balance sustainable livelihoods with sustainable ecosystems to enhance biodiversity conservation.

11. **Effectiveness:** The design and implementation of the Project activities were effective in achieving the Project goal, objectives, outcomes and outputs. The Project attained the stated goals, objectives and planned results – most cases beyond the target. A feature of the Project was, on the one hand, the vertical integration of interventions to address poverty, ecosystem degradation and the loss of biodiversity from Province, County, Township and Village to farmer levels. On the other hand, the Project's IEM approach successfully demonstrated the horizontal integration across sectors involving stakeholders responsible for rural development, land-use planning, agriculture, forestry, water resources and environment working in collaboration.

12. Over the 5 year duration of the Project implementation, it was estimated that total beneficiaries were 270,000, of which about 77,400 people directly benefitted from participation in Project activities including 48,000 farmer households, of which poorer (category B and C) farmer households were 44,000 (92%). There were 193,000 indirect beneficiaries of the Project, It was estimated that of the 270,000 overall beneficiaries, 130,000 (48%) were women. The Project encouraged empowerment of women through participation in Project management, decision-making in households, VIGs, and public affairs. It was estimated that 132,000 (49%) of beneficiaries in Project activities were from ethnic minorities.

13. **Efficiency:** The Project was successful in implementing the planned activities and in producing the large majority of the expected outputs. Despite initial delays during inception there was generally smooth progress since the Mid Term Review in 2014 so that major outputs and outcomes were achieved by April 2016. The Project Executing Agency and Provincial and County Project Management Offices (PPMOs and CPMOs) decisions were based on past experience in coordinating of technical and financial delivery and cost-effectiveness in prior IFAD Projects. However, the appointment of the PPMO Gansu with the responsibility to coordinate technical and financial delivery for the overall Project was not matched with the authority to do so across Provinces, so some challenges, particularly in M&E and reporting were experienced.

14. **Sustainability:** In general, policy results achieved to date were considered to be long lasting and sustainable. The TER team feels that the policy work at the County and NNR levels, along with the Township and Village agreements (i.e. farmers associations and co-management, etc.), may be the Project's most sustainable policy work of all. The policy, socio-political, financial, institutional framework and governance risks to sustainability were considered negligible whilst the environmental risk to sustainability was considered moderately likely, primarily due to the exposure to extreme weather events and impacts on fragile ecosystems.

15. **Catalytic Role and Innovation: *Catalytic actions*** by the Project were significant with continued strengths in preparing strategically important planning tools, sharing knowledge and introducing innovative new techniques to sustain peoples' livelihoods and the environment. The Project was instrumental in improving the government's sectoral planning by changing it from top-down approach to a participatory, community-based and multi-sector integration based approach. The introduction of the IEM principles and actions into the Province, State, Township and Village planning systems and demonstrating. Also their planning tools and best practices guides are made available to the relevant institutions for support to livelihoods and biodiversity conservation in dryland ecosystems for the medium to long term. Additionally **Innovative** new scientific knowledge and appropriate technology were introduced for a wide range of alternative livelihoods activities for community-based farmer activities and NNR management.

16. **Replication and Scaling up** The Government (all levels) demonstrated the political will and the funding commitment to sustainable ecosystems and to improving the productivity and efficiency of agricultural practices to support peoples' livelihoods in dryland ecosystems. Assisted by Project personnel, the IEM and participatory approaches were replicated in other national programs and Projects addressing degraded lands and impacts on biodiversity conservation in arid and semi-arid ecosystems. The planning tools, best practices, innovative alternative livelihoods pilots and the improved PA/NNR management have been institutionalized and the NNR mechanisms will ensure that continued resourcing that will ensure continuance beyond the life of the Project. Furthermore, the VDEP played an accelerator role in ensuring mainstreaming of ecological considerations in national/provincial funded programs.

17. **M&E System:** The overall assessment of M&E was rated as Moderately Satisfactory. The M&E plan was well designed and accordingly the Project Procedures Manual (PPM) was prepared. The output-level monitoring and reporting were meticulously done. Yet some logframe indicators may have been understood or interpreted differently by different project officers. A joint preparation and coordination of M&E framework across three provinces and preparation of a stronger impact assessment methodology and procedures in the face of early graduation of IFAD baseline projects would have likely generated even better performance in the M&E.

18. **Financial Planning:** Financial planning from both IFAD/GEF and co-funding were identified and secured during the design stage. During the implementation, each implementing institution prepared and submitted their respective AWPBs (including procurement plan) based on the planned activities which were then used as a base in preparing the Withdrawal Applications (WA) to be consolidated by the coordinating PMO and PEA and then submitted to IFAD. Based on the above arrangements, the financial planning and monitoring mechanism was set up to facilitate smooth work and budgetary flows and generally worked satisfactorily.

19. **IFAD Supervision and Backstopping:** The TER Team gained a positive impression of IFAD's role in the Project. IFAD provided the Project with strong macro-level guidance on Project direction, sustainability and compliance with fiduciary standards, in line with international best practices and reporting. IFAD provided satisfactory support to the Project design process, design of the Project procedures and Project start-up and review. In Project implementation IFAD was responsible for the overall supervision of the Project, in accordance with their policies and procedures, as well as for the provision of related services for the management of the GEF Project cycle.

20. **Impacts of Delays:** The long Project preparatory process resulted in the IFAD baseline programs being completed by 2012/13, prior to the commencement of the GEF Project. This resulted in an initial IFAD funding shortfall. However, the TER mission noted that it had no adverse effect on Project outcomes or sustainability and all outputs and outcomes were achieved in a satisfactory manner by 15 April 2016 with the shortfall in funding being met by Government co-financing. No major delays were experienced and delays had no major impact on Project financial or technical delivery.

21. **Monitoring Long Term Changes:** A detailed Inception Report with Logical Frameworks for all five components was prepared, including baselines. Project actions toward establishing a long-term monitoring system were identified and included determining environmental baselines, specifying indicators and targets and identifying equipment and capacity building for data gathering, analysis and management use. Accomplishments and benefits of the M&E program included consistency in collecting data and reporting across components, and the data generated by this system were generally used as originally intended. Shortcomings included lack of clarity and specifics with regard to the achievement of some outcome and output indicators. Systems for monitoring and evaluating long-term changes beyond the life of the Project have been put in place for several Project initiatives.

22. **Fiduciary Aspects:** The financial management, procurement and audit aspects of the Project were in compliance with the grant covenants and generally in accordance with IFAD-GEF procedures and the Project Procedures and Financial Management Manuals. Procurements were generally in compliance with the Procurement Procedures and registers and records were of an acceptable standard. Support Missions sampled the procurement, reimbursement and disbursement of the PMOs and the NNRs and did not find any substantive irregularities. The Provincial Audit Bureaus conducted annual Project account audits as instructed by the National Audit Centre. The Gansu and Shanxi audit reports did not flag any substantial issues to be addressed. The Ningxia audit report highlighted insufficient counterpart funding and slow disbursement of GEF resources. Overall, the fiduciary aspects of the Project were rated as Moderately Satisfactory.

23. **Lessons Learned:** Key lessons learned from the Project include:

- **Ensuring IEM approach to achieve long-term success:** The IEM approach is highly relevant to biodiversity conservation in dryland ecosystems in China and is a significant change from traditional practices. The Project has successfully demonstrated the impacts of IEM principles and recommended actions on improved ecosystem services and on harmonizing socio-economic and environmental benefits to farmers and villages at the grassroots levels.
- **Institutional capacity building for establishing an enabling environment:** Key factors to the successful and effective IEM approach were capacity building at all levels to combine top-down and bottom-up approaches. The pool of experienced local experts trained by the Project played an important role in providing guidance for future land degradation prevention and control in other provinces and autonomous regions. Interagency cooperation and collaboration in policy and planning. Improved institutional coordination and harmonization of land degradation policies, programs, and budgets were also an important factor to the implementation of IEM approach.
- **Importance of public awareness building:** Strong awareness among stakeholders, especially the public, on the state of the environment and natural resources is important for gaining support for government plans and strategies for land degradation control and for overall environmental and natural resource management in general. Disclosure of government plans for management, and conservation and protection provides a solid foundation for cooperation in planning and implementing IEM plans and strategies. Important decisions, plans, and proposed investment Projects should be disclosed through public media for soliciting public opinion. Awareness building should be complemented by an effective information-sharing multimedia system.
- **Importance of a database system and information-sharing mechanism:** Clarification on the institutional role of each agency regarding IEM and land degradation control provides a clear basis for defining the type and level of data to be collected by each participating agency in the joint and collaborative management of environmental and natural resources. For information sharing to be effective and useful, the "institutional value" of data should be recognized and access to data should be made available for all government agencies in a timely and practical manner.

24. **Recommendations:** Key recommendations from the TER Team include:

- **Inclusion of policy dialogue engagement in the Project Design:** Strengthen the scope of policy work and rationale in the Project document, making clearer linkage to IFAD's RB-COSOP and government's related policies. Adopt an integrated and multi-sectoral approach to

policy making and planning to ensure that the challenges and bottlenecks of project implementation are addressed in a comprehensive and inter-sectoral manner.

- **Greater community involvement in natural resources management and ecosystem management:** Develop VDEPs as part of a planning exercise, and mobilize the enthusiasm of rural communities and private sector to address environment-related problems. This facilitates finding practical and realistic solutions to address the environment and poverty challenges at its roots.
- **Project M&E indicators and system:** For future conservation-related Projects, develop SMART indicators at the outcome and output levels to provide a solid quantitative assessment about impact of the restoration on improvement of biodiversity richness. Ensure that indicators are not ambiguous and not too difficult in measuring harmonization of environment and economic benefit.
- **Sharing of IEM knowledge products and programmatic approach experience:** Develop a knowledge management strategy which specifies the target audience and distribution level per product as well as linkages among products. Enhance the GIS database management systems established in each Province by clarifying and harmonizing data for analysis at the project level (beyond the provincial level) and connect it to patrolling, fire prevention, biodiversity monitoring. In addition, user Manuals for practical users of the GIS/database should be provided to make on-going post-Project use of the GIS/database. Explore an institutionally and financially practical way to share experiences and knowledge from IFAD funded Projects in China and policy recommendations for strengthened exchange and experiences sharing between IFAD funded Projects in China and in other developing countries.

A. Introduction³

1. The mission objectives were to (i) Examine the extent and magnitude of Project impacts to date and determine the likelihood of future impacts, especially relating to environmental sustainability due to policy making/implementation and behaviour change following the integrated ecosystem management (IEM) and inter-sectoral approaches; (ii) Provide an assessment of the Project performance, gender disaggregated achievements, and the implementation of planned Project activities and planned outputs against actual results; and (iii) Synthesize lessons learned that may help in the design and implementation of future IFAD, IFAD-GEF integrated ecosystem approaches to the conservation of biodiversity in Dryland Ecosystems related initiatives. The mission met with key personnel of the Provincial and County Executing Agencies and Implementing Agencies in Gansu, Ningxia and Shanxi provinces in the Western Region, P.R. China (Table 1). About 40% of the 12 days in-country were spent in government, Project or stakeholder meetings and about 60% in the field at Project sites with farmers, community leaders, farmer associations/co-operatives, technical specialists, County and Provincial authorities, scientists and academics.

Table 1: Summary of travel, meetings and field visits

| Province | Dates | Location | Meetings/Field Visits |
|----------------------------|--------|---|--|
| Taiyuan, Shanxi Province | 9 May | Team fly from Beijing - Taiyuan via Train G611 | Meeting Provincial Project personnel in Taiyuan City |
| | 10 May | Team land travel to Ningwu County | Meeting and field visit in Ningwu County |
| | 11 May | Mount Luya National Nature Reserve and Wuzhai County, Shanxi Province | Meeting and field visit in Mount Luya National Nature Reserve and Wuzhai County, Shanxi Province |
| | 12 May | Wuzhai County, Kelan County, Taiyuan City, Shanxi Province | Meeting and field visit in Kelan County and land travel to Taiyuan City |
| | 13 May | Team fly Taiyuan – Yinchuan via FU6517 and land travel to Yanchi County, Ningxia Province | Meeting and field visit in Yanchi County, Ningxia Province |
| Yinchuan, Ningxia Province | 13 May | Liuyangpu Town, Gaoshawo Township, Yanchi County | Meeting and field visit in Yanchi County, Ningxia Province |
| | 14 May | Wanglejing Township, Qingshan Township, Yanchi County, Ningxia Province | Meeting and field visit in Yanchi County, Ningxia Province |
| | 15 May | Haba Lake National Nature Reserve, Yanchi County, Yinchuan City, Ningxia Province | Meeting and field visit in Yanchi County and land travel to Yinchuan City, Ningxia Province |
| | 16 May | Team train Yinchuan, Ningxia – Lanzhou, Gansu Province via K9659 | Team over night Train K9659 from Yinchuan City of Ningxia Province to Lanzhou City of Gansu Province |
| Lanzhou Gansu Province | 17 May | Land travel to Hezheng County from Lanzhou City of Gansu Province | Travel to Hezheng County and field visit to Project sites in Hezheng County, Gansu Province |
| | 18 May | Land travel Hezheng County Mount Taizi National Nature Reserve, Gansu Province Land travel Lanzhou City, Gansu province | Field visit in Mount Taizi National Nature Reserve |
| | 19 May | Report writing and preparation for Wrap up workshop | Report writing and preparation for Wrap up workshop |
| | 20 May | Team Leader fly Lanzhou – Beijing via CA1222 | Wrap-up workshop in Lanzhou City of Gansu Province and Team Leader's return to Beijing. |
| | 21 May | Ecosystem Management Specialist fly Lanzhou – Beijing via CA1222 | Ecosystem Management Specialist - Data reconciliation in Lanzhou City, Gansu and return to Beijing |

2. **Project goal, development and global environment objectives:** The project's goal was to introduce an alternative IEM approach to address land degradation, desertification, loss of biodiversity that threatened peoples' livelihoods in selected dryland ecosystems in the Western Region, China. The Project's development objective is to achieve a sustainable increase in on-farm and off-farm

³ Mission composition: James Barrack CARLE, Team Leader and Natural Resources Management Specialist, Principal, JB Carle & Associates, Mount Maunganui, New Zealand; Mr. Sun Xuebing, Ecosystem Management Specialist, Independent Consultant, Beijing, People's Republic of China.

productive capacity and to increase access to economic and social resources including education, health and social networks while improving the bio-physical environment in China's western region.

3. The Project's global environmental objective was to demonstrate cross-area synergies associated with the development of and implementation of site-specific IEM strategies leading to: (i) increases in biodiversity conserved; (ii) partial restoration of ecosystem integrity and recovery of underlying functions and services; and (iii) promotion and use of appropriate renewable energy technologies designed to reduce pressure of forest resources and project sites.

4. **Baseline projects:** The IEM Approach to the Conservation of Biodiversity in Dryland Ecosystems was planned to support the People's Republic of China-GEF Partnership on Land Degradation in Dryland Ecosystems Program. The project proposal also intended to supplement the following two baseline IFAD loan projects: i) South Gansu Poverty Reduction (SGPRP); and ii) Environmental Conservation and Poverty Reduction in Ningxia and Shanxi Provinces (ECPRP). The incremental benefits expected from the GEF-financed project was to help neighbouring communities in arid and semi-arid ecosystems address the causal issues associated with land degradation, particularly rural poverty. While the baseline projects phased out within one or two years after the GEF project became effective⁴, those two IFAD baseline projects provided an unique opportunity to address biodiversity and land degradation issues from addressing rural poverty and an integrated approach.

5. **Target areas and beneficiaries:** The Project selected areas include (i) the loess plateau gully zone in Gansu province; (ii) the central arid and sand eco-zone in Ningxia; and (iii) the northern Shanxi mountainous and hilly eco-zone in Shanxi Province. Each eco-zone was associated with an existing Protected Area (PA), including the Mount Taizi National Nature Reserve in Gansu; the Haba Lake National Desert Protected Area in Ningxia; and the Mount. Luya National Nature Reserve in Shanxi. The Project targeted 456,000 poor rural household beneficiaries in 450 villages, particularly women and extremely poor households in remote areas.

6. **Financing:** The Project's total realized funding at 31 March 2016 was estimated at USD 31.645 million, of which GEF Trust Fund financed USD 4.545 million in grant. The rest co-financing of USD 27.107 million was largely met by the Government except approx. USD 0.74 million contribution from for SGPRP in Gansu.

7. **Key dates:** The GEF grant was approved by GEF in February, 2009 and the financing agreement between IFAD and China was signed on 15 April, 2011 for an implementation period of 5 years. The Project completion date was 15 April, 2016 and the closing date was 15 October, 2016.

B. Scope, Objective and Methods

8. An Approach Paper was prepared prior to the mission to detail the evaluation design, that included:

- Key evaluation partners;
- Methods and data collection/analysis;
- An evaluation framework (matrix linking objectives with criteria, issues and key questions);

⁴ The delay experienced in project preparation and implementation is explained in the Project Completion Report as follows: "The preparation of the project took as long as 8 years mainly due to changes in its focal areas shifted from land degradation control to biodiversity conservation during the transition from GEF 3 to GEF 4. GEF Secretariat reoriented its priority and planned resource allocation, consequently, land degradation was no longer the priority but support to biodiversity conservation was intensified. Furthermore, the envisaged project allocation was reduced a number of times to the final commitment of 4.54 million USD. Even though project preparation has gone through significant changes, the design team has been consistently focusing on the importance and urgency of biodiversity conservation and included NNRs in the scope of the GEF project, which facilitated the approval by GEF, IFAD and GOC and prepared the ground for smooth project delivery. GEF approved the project on February 24, 2009, IFAD signed the Grant Agreement with the Government of China on April 15, 2011, and the project became effective on April 15, 2011. Its implementation started right afterwards. However, IFAD projects in Gansu, Ningxia and Shanxi as the baseline of the GEF project were phased out in 2012 and 2013 respectively, hence, the GEF project became an independent project; furthermore, the phasing out of the IFAD projects left huge fund shortfall that had to be filled by domestic counterpart funding."

- Core Learning Partnership (main users, issues and data sources)
- Self-assessments (Project Completion Reports); and
- A timetable agreed with IFAD, Province Project Execution Agency (PPEA) and Provincial Project Management Offices (PPMOs).

9. Prior to the mission assembling in Taiyuan, Shanxi Province on 9 May 2016, evaluation team members consulted Project related documents, including the original Project Document, Inception Reports, Project Procedures Manual, Semi-annual Progress Reports (SAPRs), annual Project Implementation Reports (PIRs), semi-annual Project Management Meeting reports, annual Project Steering Committee Reports, Special Project Management Meetings, Mid-Term Review, draft Project Completion Report, Annual Work Plan and Budgets (AWPBs) and Grant Agreements and Subsidiary Agreements. Additionally the team consulted the Guidelines for GEF Agencies in Conducting Terminal Evaluations and the IFAD Evaluation Manual, Methodology and Processes. External and other relevant documents forests, wetlands and protected area management, national policies on eco-compensation, ecological civilization, western development, poverty alleviation, farmer association development and county/regional conditions were also referenced.

10. From 9-20 May 2016, the evaluation team visited participating Provinces and Counties to:

- Meet Province Project Execution Agency (PPEA) to discuss Project results, implementation modalities and agency support to Project implementation at Province, County, Township and Village levels in the context of their policies and plans relating to balancing alternative livelihoods and conservation of biodiversity in dryland ecosystems;
- Meet Project Implementing Agencies in Shanxi, Ningxia and Gansu provinces, including Project management, technical support teams, local communities, farmers associations and farmers and procurement and financial management units to review and assess Project implementation, results achieved, relevance, effectiveness and efficiency of outcomes at Province level, and challenges experienced and solutions adopted;
- Visit selected representative field sites in Project Counties and Villages to assess the physical results achieved, outcomes at the local level, and barriers to implementation experienced; and
- Undertake focused group discussions and in the field with the target communities, farmers associations and Project stakeholders.

11. Initial findings in the form of a draft Aide Memoire were presented to the PPEA, PPMOs, CPMOs and IFAD for the mission wrap-up meeting on 20 May as a summarized version of the proposed Terminal Evaluation Review report. The revised Aide Memoire, following constructive discussions with key stakeholders was signed by the PPEA, PPMOs, IFAD the TER mission Team Leader on 20 May 2016. A draft Terminal Evaluation Review report was presented to IFAD, PPEA and PPMOs by 31 May 2016 for feedback to refine a final report by 12 June, 2016.

12. The Project performance and impact were assessed according to the Guidelines for GEF Agencies in Conducting Terminal Evaluations (2008) and melded with the standard evaluation methodology as detailed in the IFAD Evaluation Manual: Methodology and Processes with the Terminal Evaluation Report.

13. The criteria⁵ used in the Terminal Evaluation Review in assessing level of achievement of Project outcomes and objectives were:

- **Relevance:** Were the Project outcomes consistent with the policies, strategies and priorities for biodiversity conservation in dryland ecosystems in the Western Region of the People's Republic of China.
- **Effectiveness:** Are the actual Project outcomes commensurate with the original or modified Project objectives? If the original or modified expected results are merely outputs/inputs, the

⁵ Consistent with the Guidelines for GEF Agencies in Conducting Terminal Evaluations

evaluators should assess if there were any real outcomes of the Project, and, if there were, determine whether these are commensurate with realistic expectations.

- **Efficiency:** Was the Project cost effective? Was the Project the least cost option? Was Project implementation delayed, and, if it was, did that affect cost effectiveness? Wherever possible draw comparisons of costs incurred and the time taken to achieve outcomes with those from similar Projects.

14. The GEF evaluation areas, criteria and performance ratings used in the evaluation followed the Guidelines for GEF Agencies in Conducting Terminal Evaluations (2008)

15. An Evaluation Framework of questions and sources of data and information were prepared in the Approach Paper in accordance with Section 3 of the Guidelines for GEF Agencies in Conducting Terminal Evaluations for each of the evaluation areas and criteria outlined in Table 2.

16. For the specific tasks requested for Terminal Evaluation Report, please refer to the Terms of Reference provided in Appendix 8. Data was collected and analysed to evaluate performance and impact as quantitatively and qualitatively as possible. The Terminal Evaluation Review team collected and analysed physical and financial data from:

- Project related documents prepared since Project design until now;
- Documents and data prepared for the Terminal Evaluation Review;
- Information derived from discussions with authorities and Project staff and field visits; and
- Comparisons with other external sources (other IFAD or GEF Projects).

17. The Core Learning Partnership of key clients and stakeholders were targeted to benefit from the Terminal Evaluation Review process and the guidance provided from the conclusions, recommendations and lessons learned as detailed in this Terminal Evaluation Review report.

18. The Core Learning Process includes:

- Reviewing the draft Approach Paper;
- Reviewing the draft Aide Memoire;
- Reviewing the draft Terminal Evaluation Review report; and
- Participating in a proposed Learning Workshop to discuss the main findings, conclusions and recommendations of the Terminal Evaluation Review.

C. Project Performance Review

a. Review of Project Outputs

Component 1: Planning, Policy Re-alignment and Institutional Strengthening

Sub-component 1A: Planning

19. ***Project Output 1.1: To develop a country-specific IEM plan that will provide provincial, county and local government the basis and guidance to integrate environmental planning principles into decision making processes in the short term (Project life) and long term (15 years) to achieve sustainability development objectives:***

20. The project supported the development of the IEM planning frameworks encouraging to adopt inter-sectoral participatory approaches to prepare IEM planning frameworks to integrate environmental planning principles into decision making processes at Village, County and Province levels in Gansu, Ningxia and Shanxi Provinces of the Western Region. The frameworks were endorsed by County and Provincial authorities, and institutionalized into inter-sectoral development planning, decision making and management mechanisms. This adoption of the framework gave authorities strong mandates for integrating environmental planning principles into wider development planning, implementation, monitoring and review.

21. Based on the IEM planning framework, four IEM plans have been developed – for Mount Taizi NNR (Gansu), Mount Luya Lake NNR (Shanxi), Yanchi County (Ningxia) and Guangtong River Basin (Gansu). These IEM Plans were officially issued in early 2016 by the County government as a guiding document for sectoral planning of agriculture, animal husbandry, forestry and the water sector for formulation of their County's 13th Five Year Development Plan (FYP) formulation.

22. The guidelines achieved by the Project are considered enforceable and have had positive impacts in the Project provinces, donor and domestic funded environment and development Projects, and formulation and revision of NNR Master Plans and Management Plans. Additionally, the change of decision making at County and Village levels after the Project began, in most cases, be considered direct results of introduction and development of an IEM Plan in the Project areas. Furthermore the Project has provided technical assistance to other provinces in the field of IEM, which created strong credibility of the IEM approach and promoted replication of the Project results nation widely.

Rating: Highly Satisfactory

Box 1: Mainstreaming IEM in the Master Plan for Forestry Ecological Construction in Shanxi Province

1. The overall goal of Master Plan for Forestry Ecological Construction in Shanxi Province (2011-2020) was to build a new Shanxi province with a harmonized socio-economic development and environmental protection, i.e. achieve a beautiful environment, improved efficiency of the forestry sector, and increased rural incomes so as to create a new era of social and economic development whilst restoring ecological conservation in harmony.
2. The initiation and development of the Master Plan for Forestry Ecological Construction in Shanxi Province (2011-2020) was synchronized with the preparation and implementation of the IFAD-GEF IEM Approach project, i.e. identification, development of a log frame and project document. The results of the IEM planning, eco-compensation research, alternative livelihoods approach, eco-tourism development plan, public participation and awareness promotion provided timely and effective technical assistance and case study support to the strategic positioning of the Master Plan. The key principles, concepts and actions of the IEM Approach introduced by the Project gained strong recognition and buy-in from research scholars, think-tanks and policy makers involved in the Master Plan preparation process.
3. As a results of assistance and support, the overall objective of the Master Plan was developed with strong compatibility with the IFAD-GEF IEM Approach, i.e. achieving a significant reduction in loss of biodiversity (BD) through addressing non-sustainable land use practices and the underlying causal factors of poverty in selected dryland ecosystems affected by land degradation (LD) in three provinces in China's Western Region. Applying the IEM Approach beyond administrative boundaries and establishing ecological rehabilitation as an overarching purpose of the Master Plan reflected the IFAD-GEF IEM multi-sectoral approach. Moreover, the participatory approach was used throughout the preparation and implementation processes of the Master Plan. Key principles, approaches and best practices of IFAD-GEF-IEM Approach project on raising public awareness on ecosystem services was also reflected in specific sections of the Master Plan on ecological culture system and institutional strengthening.
4. The Master Plan has included the IFAD-GEF IEM Approach in government-supported policy programs as priority projects, including its project area as part of the priority areas of the Master Plan. These policy programs included: (i) Improved national nature reserve construction program, in which Mount Luya NNR was included; (ii) Protection of the brown-eared pheasant and other animal protection program, in which Mount Luya NNR was included; (iii) Mount Guancen natural forest protection program, in which Mount Luya NNR included; (iv) Forest eco-tourism industry development program, which was highly consistent with the eco-tourism development plan prepared under the IFAD-GEF IEM Approach; (v) Wind Break Forest and Sand Fixing Forest Program in Northwest Shanxi, in which Wuzhai County and Kelan County were included as priority counties; (vi) Phase 5 of three-North Shelterbelt Forest Program, Mount Luya NNR was included. (vii) Ecological Rehabilitation and Conservation Program in Fen River Basin, where Mount Luya was located.

Sub-component 1B: Policy

23. **Project Output 1.2: Payment for environmental services study (1.2a) and public grasslands management and regulation study (1.2b):** Studies on the Payment for Ecosystem Services were completed to a satisfactory standard in Gansu, Ningxia and Shanxi. Also, the Public grasslands management and regulation study was completed in Gansu Province to a satisfactory standard. A substantial number of Project-related reports, research articles, and proceedings of provincial and county level workshops on Payment for Environmental Services and IEM practices were produced, with key reports and publications (in Chinese and executive summary in English) shared and disseminated among provincial policy decision makers, research scholars and think tanks.

24. The research studies conducted by the Project are considered as guidelines that can have positive impacts, such as providing knowledge, findings and recommendations on actions at the policy, practice and research fields in improving environmental sustainability in the Counties and Provinces. The studies provided technical assistance to formulation of integrated ecological zone planning in the Mount Taizi National Nature Reserve in Gansu; the Work Plan for implementing ecological zone planning in Yanchi County of Ningxia; and the Master Plan for Ecological Construction in the Forestry Sector in Shanxi and Regulation on Ecological Compensation in Shanxi. Inclusion of pathways to implement those guidelines in the research studies would have strengthened enforceability and linkage to policy implementation.

Rating: Satisfactory

Sub-component 1C: Institutional Strengthening

25. **Project Output 1.3: Strengthen township level farmer associations and provincial and township mainline agencies (MLAs):** Institutional strengthening and capacity building with targeted training for farmers, agricultural technicians achieved or exceeded target indicators. Five new farmers associations were established (target 5) and focused training was provided to 20,123 farmers (target 20,000) and 650 agricultural technicians (target 650) on different priority technical topics of relevance to balancing sustainable livelihoods and dryland ecosystems/landscapes. Training materials developed were practical and easy to understand by participating farmers. Training survey and Project Implementation Reports (PIRs) show high satisfaction about practicality and advancement of introduced technologies and by both institutional stakeholders (line agencies, extension services, associations and enterprises) and individual farmers. Transfer of knowledge and technologies for authorities, technicians and farmers was achieved by conducting 134 in-country study tours (target 125) and 30 cross-provincial site visits (target 30).

26. The investment in capacity building will have benefits in management of dryland livelihoods and landscapes far beyond the Project "*IEM Approach to the Conservation of Biodiversity in Dryland Ecosystems*" as the farmers, technicians and authorities (all levels) are also working with several other dryland development programs and Projects in Gansu, Ningxia and Shanxi.

Rating: Satisfactory

Component 2: "Community Based Ecological Planning and Restoration and Alternative/Sustainable Livelihoods"

Sub-component "A: Community-based Ecological Planning and Restoration

27. **Project Output 2.1: Preparation of Village Development/Environment Plans (VDEPs):** VDEPs were prepared in a participatory process for 444 villages (target 444) to detail approaches and priorities to achieve a balance in improving livelihoods conditions (poverty reduction and food security) by adopting new agricultural knowledge and technologies activities that were more ecologically

sustainable in achieving landscape restoration, reversing desertification and ecosystem rehabilitation. At 31 March 2016, all targeted villages developed VDEPs by using participatory approaches. The VDEP processes combined new scientific knowledge and technology with traditional knowledge and experience with local conditions that provided farmers and farmer associations with the catalyst for sedentarization (former farmers were nomadic herdsman) and intensification of land-use that provided more sustainable livelihoods options and reduced population pressure on fragile dryland ecosystems.

Box 2. Mainstreaming IEM in Village Development and Environmental Planning Process in Guangtong River Basin in Gansu Province

The Guangtong River Basin is located in the conjunction zone of Qinghai-Tibetan Plateau and Loess Plateau in Gansu Province. The river basin is characterized by ravines, ridges, plateaus and hills. Vegetation in the project area was dominated by planted trees, natural shrublands, natural grasslands and arable crops. There were 781 vascular plant species that belonged to 95 families and 306 genera. The project covered 178 administrative villages in 17 townships in Hezheng and Guanghe County, with a total population 337,200 and a total land area of 1,291.3 km².

Village development plans (VDPs) were formulated for the IFAD baseline project villages prior to the implementation of IFAD project. The new GEF project provided a valuable opportunity to mainstream IEM in the village development process so as to integrate IFAD project activities with those to be funded by GEF for achieving better ecological conservation and rehabilitation effects, while reducing poverty. The VDPs were upgraded to Village Development and Environment Plans (VDEPs) in all 178 administrative villages with the GEF project

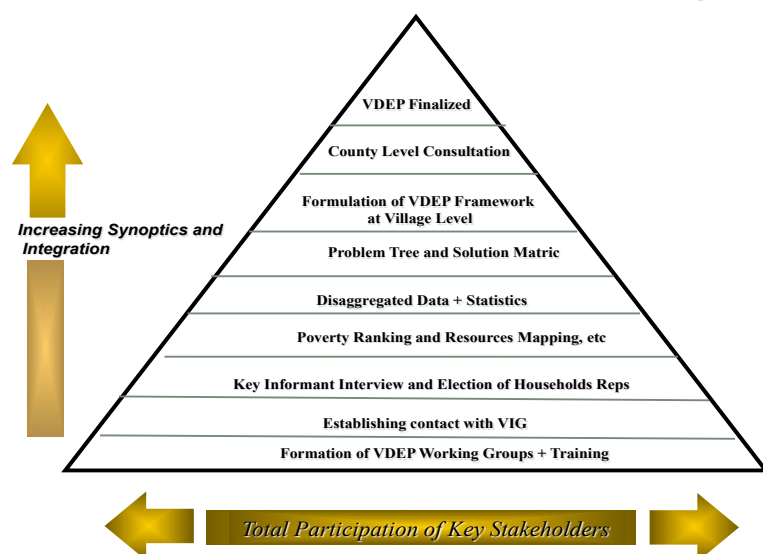
The VDEP preparation process included: (i) Administrative village as the planning unit, prepared by the village implementation group (VIG) with the assistance of County and Township PMO; (ii) The County PMO designated a person to coordinate the Township PMO and VIG planning activities and PRA training on IEM concepts, principles and actions and mainstreaming these into the VDEP process; (iii) A participatory planning approach was adopted to meld scientific knowledge and technology with traditional methods and to reflect the priority needs of authorities and target beneficiaries, laying down a solid foundation for sustainable development for the future. In order to mainstream IEM in the VDEP process, each County and Township PMO set up a PRA working group with 3-4 experts to provide technical support and guidance, analyse existing problems, identify solutions and formulate the VDEP with activities proposed, prioritized and costed. A resource map integrated with proposed activities at household and Village levels was developed as the outcome of the planning process; (iv) VDEP included all activities to be implemented at village communal land and farmer household's land. Those on the communal land were incorporated in the VDEP once the majority of villagers endorsed the majority of beneficiaries as well as with the concurrence of specific farmer households involved; and (v) In each Township, 3-5 Villages were selected as demonstration villages for VIG members from nearby Villages to visit and learn lessons in the planning and implementation processes to apply in their home Villages with the supervision and guidance of the County PMO.

The criteria for selection of Demonstration Villages included: (i) located in different parts of the Township with easy access to adjacent Villages; (ii) Villages representative of the majority of Villages in the Township for replicability to other villages; and (ii) demonstrated a range of IFAD-GEF field activities.

Each Demonstration Village budget allocation was 11,000 CNY calculated to cover: (i) County PMO: PRA group transport, daily stipend, management cost, PRA consumables estimated at 6,000 CNY; (ii) Township PMO: transportation, stipend and management cost: CNY 2,000; (iii) PRA technical support: 2,000 CNY; and (iv) Contingencies: 1,000 CNY. Each non-Demonstration Village budget allocation was 2,000 CNY calculated to cover: (i) VIG Group: transportation, daily stipend: 600 CNY; (ii) Township

PMO: transportation, daily stipend, management cost: 1,000 CNY; and (iii) Materials and others: 400 CNY.

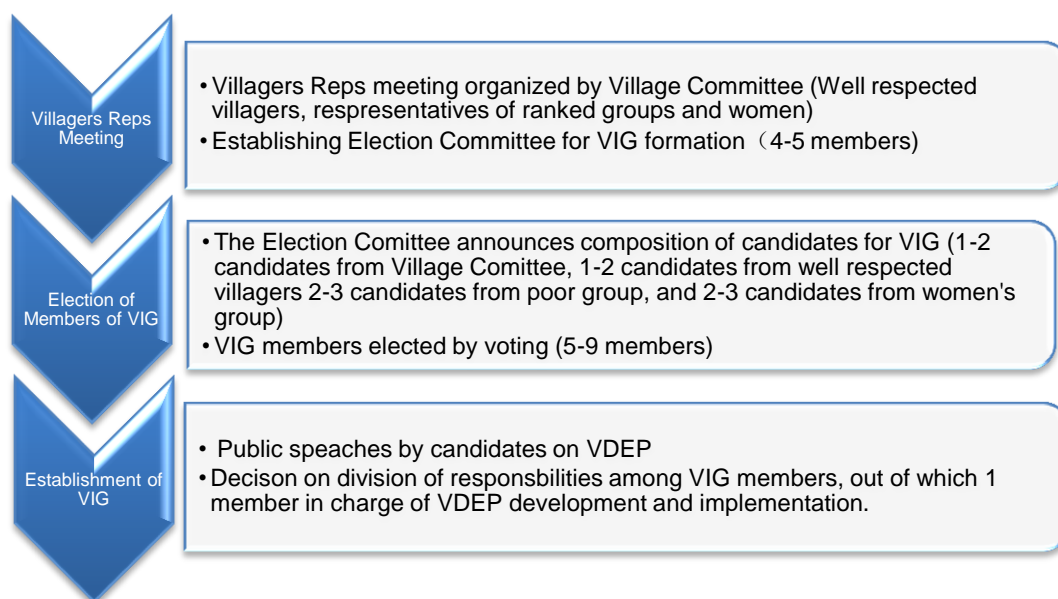
Figure 4: Procedure for Formulation of Village Development and Environment Plan



Rating: Satisfactory

28. **Project Output 2.2: Implementation of VDEPs in villages selected as demonstration sites through support for sub-Projects:** VDEPs were implemented in 31 demonstration sites (target 30, or 10 in each of 3 provinces). Figure 5 outlines the procedures for formulation of VIG.

Figure 5: Procedures for Formulation of a Village Implementation Group



29. The demonstration sites piloted alternative livelihoods activities including appropriate technology for pumping aquifer water; drip irrigation systems; tunnel glass house vegetable growing; irrigated and non-irrigated alfalfa crop management; improved maize germplasm and management; construction of sheep yards, shelters, feeding systems; improved animal husbandry; cropping of

medicinal herbs; and support to home and village improvement programs by providing solar panels, refuse collection, toilets and other home and village utilities.

30. While VDEP implementation directly addressed immediate environmental and economic challenges that the pilot villages had been facing, VDEP and participatory rural appraisal (PRA) approach applied in VDEP development and implementation were responding to the policy requirements of a number of national policies and priorities. For example, the Whole Village Development Programme on Poverty Alleviation, New Countryside Development Programme and Ecological Construction are directly linked with implementation of nationally funded Projects in the above fields. This has enabled the VDEP to play a catalyst and accelerator role in ensuring mainstreaming of ecological considerations in national/provincial programmes, improving programme implementation effectiveness, and in turn to provide a concrete basis and best practices for potential policy improvements. Some stakeholders believe that the Project's livelihood work has increased potential for sustainability due to the villager training conducted during the Project. Interestingly, some stakeholders also suggested that follow up investment in livelihoods should focus more on occupational training and mind-set change – the “software” rather than the “hardware.”

Rating: Satisfactory

Sub-component 2B: Alternative Livelihoods

31. **Project Output 2.3: Implementation of Alternative/Sustainable Livelihoods Activities:** The implementation of alternative/sustainable livelihoods activities has made substantial positive impacts on improved farmer livelihoods that, in turn, have triggered restoration of degraded dryland landscapes, rehabilitation of fragile ecosystems, combating desertification and enhancing biodiversity conservation. Under this output an area of 12,100 mu (103%) of medicinal herbs were established (target 11,800 mu); an area of 15,202 mu (137%) of native tree species were established (target 11,100 mu); a total 5,540 households (346%) were provided with new biogas alternative energy technology (target 1,600); an area of 38,498 mu (104%) of artificial pasture was planted (target 37,000 mu); a total 10,715 (120%) cut and carry sheep sheds were constructed for farmers (target 8,900); and 60 deer units (100%) were established (target, 60).

Box 3: Integrated Maize Production and Sheep Rearing, Sihouzi Village, Guanghe County, Gansu

Prior to the baseline and GEF projects, nomadic sheep herders roamed the fragile Loess Plateau ecosystems causing severe erosion, unsustainable animal husbandry and poverty for the poor sheep herders. In 2013 the Sihouzi Sheep Rearing Farmer's Cooperative was established along the Guangtong River and Sihouzi Village of 400 households, population over 800 people. The Gansu Yunfeng Group was created Mr Ma Jainji from the Village, who encouraged 205 households to invest in the Cooperative as shareholders for their full participation and benefit. The Cooperative shareholders were committed to the shared principles including planning, construction, management, best practices standards, livestock rearing, marketing, disease prevention and benefits. Shareholder farmers and their neighbours were encouraged to adopt the new rain fed maize and grain farming techniques using plastic film, double furrow sowing technology with mulch to conserve water and increase fodder production and yields. The maize and grain was bought by the Cooperative as fodder for sheep raising.

The project provided scientific knowledge on the integration of maize production using new rain fed maize and grain farming techniques with improved sheep rearing techniques, including sheep rearing sheds, vigorous disease prevention techniques, vet monitoring, improved grain storage, feeding and watering systems and manure waste management. Maize and other fodder was purchased from local farmers who earned 1.5 million CNY per year from the sale of fodder to the Cooperative. From 2013 to the end of 2015 the Cooperative had bred 8,250 sheep and produced 2,350 lambs. Over 50 Villagers worked in the Cooperative with an average monthly wage of 3,000 CNY or annual income of

1.5 million CNY. Additionally, in the past two years the 205 household shareholders from Sihouzi Village were paid 2.07 million CNY as dividends, which equated to about 10,000 CNY per household.

The rapid development of the integrated maize and other grain fodders systems with improved and increased animal husbandry techniques, has brought about a rapid increase in organic fertilizer from manure which has significantly reduced the need for the use of chemical fertilizers, reduced production costs, improved quality and safety of agro products at the source and improved fertility and organic content in the soils and overall land productivity to increase farmer income and their livelihoods. Additionally, there has been a reverse the loss of biodiversity in these fragile ecosystems.

32. The TER mission found from the Project Completion Report, M&E Report and RIMS reporting that, due to introduction of the alternative livelihoods options, biodiversity loss in the Project area had not increased. The Project also achieved success in poverty reduction in the Project area. Under the conditions that the national poverty line was uplifted to 2,300 CNY per person, the poverty population of the Project sites in the three provinces was reduced by over 15%. For instance, the poverty population of Yanchi of Ningxia dropped from 40,580 in 2011 to 34,046 in 2015, representing a reduction of 16.1%. In Gansu Provincial Project area, the poverty population dropped from 145,700 in 2011 to 50,470 in 2015, representing a reduction of 65.4%. In Ningwu, Wuzhai and Kelan county of Shanxi, the poverty population dropped from 154,600 in 2011 to 85,150 in 2015, representing a reduction of 45%. This data is indicative only as the reduced poverty can't be attributed to the impact of the Project alone, but a series of Government programs and other Projects in these counties. However, they are indicative of the trend in improved livelihoods conditions.

Box 4: Maize and Potato Growing in Guanghe County, Gansu County, Gansu Province

Prior to the project, farmers used traditional open field methods for rain-fed maize and potato growing which were vulnerable to drought conditions, sometimes resulting in crop failure. Crops were variable and yields modest causing poverty and hunger that forced farmers to exploit natural resources and forests to supplement their food and income.

In Guanghe County, Gansu Province through the introduction of scientific knowledge and technology, combined with traditional knowledge shared in participatory planning approaches (VDEPs) new rain fed farming techniques using plastic film, double furrow sowing technology with mulch was introduced to conserve water. These techniques were expanded in the County from 200 Mu in 2012 to 361,300 Mu in 2015, of which 305,300 Mu was for maize growing and 56,000 Mu for potatoes. Prior to the project, the maize yields were variable, but averaged about 600kg/Mu and potatoes averaged about 1,765kg/Mu. With introduction of the new plastic film and mulch technology the maize yields were more consistent and increased to about 830kg/Mu, an increase of 38%, compared to traditional techniques; similarly the yield of potatoes increased to about 2,865 kg/Mu, an increase of 62% over the former open field production systems. As a result, the County grain production increased by 80,300 metric tonnes of maize with incremental benefits of 256 million CNY. The income per household increase was estimated at 6,804 CNY and per capita income increase was 1,279 CNY. The overall productivity increase of land was over 40%. The target indicator of achieving 700kg/Mu for maize production was exceeded by 19%.

33. Field visits and interviews with stakeholders at various levels presented an extremely positive impression of livelihood results at the Project sites in all three provinces, both in terms of what the villagers told us and in terms of the new alternative livelihoods options and infrastructures we saw. Most villagers, in particular, mentioned significant improvements in certain aspects of their agricultural productivity and positive impacts on their income, and most NNR staff believed that the Project resulted in positive impacts on biodiversity conservation and reduced pressure from communities around the NNRs on PA management. They believed that on-going support beyond the Project lifecycle is necessary by the Government to further stabilize and improve the co-management practices and reinforce the alternative livelihoods systems introduced. While interviews provide a positive impression of livelihood results at Project sites, the TER Team found that the limitations of

available data render a solid quantitative assessment about impact of the introduced alternative livelihoods on improvement of biodiversity conservation and PA management difficult to isolate.

Rating: Satisfactory

Component 3: “Protected Areas and Biodiversity Conservation”

Sub-component 3A: Protected Areas

34. **Project Output 3.1: Development of Protected Area (PA) Management Plans:** This output was well achieved. Nature Reserve planning and management in China remains a largely top-down process with little participation of the NR managers and staff themselves, adjacent communities and local government and relevant production sector agencies. Nature Reserve management is usually quite isolated from the surrounding communities. Under this output the Project supported the following activities: (i) provision of technical assistance of PA management and planning; (ii) training for Nature Reserve staff, provincial and local government officials and stakeholders on IEM and participatory conservation management planning – including in dealing with landscape-based (sector) developments (e.g. agriculture & water use, water & soil erosion, industries & water pollution, eco-tourism), threats (e.g. invasive species) and opportunities (e.g. PES); (iii) studies on threats to, and constraints faced, in the conservation of biodiversity in 3 NNRs; (iv) socio-economic baseline studies (v) workshops (on participatory planning, biodiversity conservation prioritization, identifying reserve management objectives and planning for management intervention); and (vi) management plan preparation, review, finalization and printing.

35. As a result of successful implementation of the above-mentioned activities, Protected Area Master Plans and Management Plans for 3 NNRs were prepared in a participatory manner with key stakeholder groups for the Mount Taizi National Nature Reserve (NNR) in Gansu and the Mount Luya NNR in Shanxi and a revised Master Plan in the Haba Lake NNR in Ningxia. The Master Plans were endorsed by County and Provincial authorities and the State Forest Administration, thus incorporated into their respective Work Plans and Budgeting cycles for resourcing beyond the Project. Management Plans adopted co-management approaches with relevant bureaus and local communities to ensure that the IEM principles and the Master Plan priorities were integrated into short to medium term planning and annual operational resourcing for NNRs activities on the ground. A good example is the Co-management Plan and Work Plan for implementing activities in the Haba Lake NNR.

Rating: Highly Satisfactory

36. **Project Output 3.2: Implementation of the Protected Area Management Plans:** This output was well achieved. There was evidence that institutional mechanisms and resourcing were in place to ensure implementation of Mount Taizi, Mount Luya and Haba Lake NNR Master and Management Plans currently and beyond the Project duration. The priority activities undertaken included: 1,003 (101%) signposts and concrete markers were constructed to demarcate PA/NNR boundaries (target 990); 565 (109%) Demarcation boards for PAs/NNRs were established (target 520); Eco-tourism Development Plans were prepared for each of the 3 NNRs; 9 (100%) Biodiversity Monitoring Plans were established (target 9); 3 (100%) GIS database management systems were created (one for each NNR) and demonstrated (target 3); The Spatial databases, Eco-tourism Development Plans and Biodiversity Monitoring Plans were prepared to a high quality. There was 138,000 Mu (111%) reclamation of mined-associated degraded land (target 125,000 Mu); 899 (150%) Villagers and farmers participated in PA awareness activities (target 600); and one Provincial PA (100%) was promoted to a National Nature Reserve (target, one).

37. The Project effectively supported the monitoring of the health of the protected ecosystems (forests, wetlands and bushes) in 3 NNRs. Participatory methods used in co-management in Project

sites in three provinces have likewise improved farmers' and technicians' appreciation, understanding, knowledge, and application of land degradation monitoring and evaluation methods. The impact of the participatory and bottom-up approach to PA management planning and biodiversity monitoring and evaluation was unprecedented in these provinces. In Haba Lake NNR in Yanchi County, Ningxia, with importance attached by the County government, a Work Plan for implementing co-management to conserve biodiversity in Haba Lake NNR was jointly issued by the County government and Haba Lake NNR Management Bureau in 2014. Additionally in the Haba Lake NNR many Forest Guards were also Village Heads or Deputies, so provided a critical link between meeting the plans and practices of NNRs, whilst understanding the needs of farmers. However, cooperation and coordination with other on-going programs and agencies for monitoring of biodiversity richness needs further strengthening and replication to wider areas beyond pilot and demonstration areas.

38. The TER Team had generally positive impressions of the GIS systems design, but some concerns about use. It is apparent that highly skilled expertise was utilised in the development of the GIS databases and information management. Equipment was procured in accordance with terms and conditions of the contracts. However, the mission found that the GIS database was only fully developed and installed in one NNR, i.e. Mount Taizi NNR, with display function. To a large extent the GIS database management will need to be further strengthened, for example adding more modules and functions for analysis, simulation, planning, and connecting patrolling, fire prevention, biodiversity monitoring, and other data sets in the future. In addition, a practical User Manual for the GIS database management should have been provided to facilitate on-going post-Project use. The omission of such documentation detracts from the potential value of the system developed. For guidance in the use of the GIS database management, NNR staff members are currently using photocopied pages of a general manual developed by the company that wrote the GIS program.

Rating: Satisfactory

Sub-component 3B: Biodiversity Conservation

39. ***Project Output 3.3.: Increased natural habitat and biodiversity richness in natural grasslands and areas adjacent to PAs and NNRs:*** This output was achieved satisfactorily. Past surveys, investigations and studies show that some species classified as Class 1 or Class II were not adequately protected by the existing assemblage of reserves in the Mount Taizi, Haba Lake and Mount Luya NNRs; a situation that was a combination of low management effectiveness of the reserves and low areal coverage. To address these issues, a high priority of the Project was placed on restoring degraded natural grasslands and areas adjacent to PAs and NNRs to increase biodiversity richness and natural habitats. The Project restored 204,440 Mu (189%) of natural grasslands (target 108,000 Mu) adjacent to and within NNRs to halt ecosystem and landscape degradation and desertification in Ningxia.

40. This output was achieved through (i) providing technical assistance in support of baseline surveys on the current biophysical and social-economic status; (ii) providing technical advice on selection of indigenous grass species, replanting patterns and field management; (iii) Assisting in action plan development and implementation in support of restoration of natural grassland habitats (by governmental agencies) and paid by Natural Forest Protection Program (NFPP) and Grain for Green Program (GGP) Programs etc.) and protection of its fauna and flora; and (iv) the promotion of linkages and incorporation of local community development and a poverty alleviation program. While good progress was made in restoring the degraded natural habitats and improving management of the NNRs, the TER Team found that the limitations of available data render a solid quantitative assessment about impact of the restoration on improvement of biodiversity richness was not possible, and thus suggest longer term monitoring of the impacts during the post Project period.

Rating: Satisfactory

Component 4: “Increasing Public Awareness”

41. ***Project Output 4.1: Increase levels of awareness among local farmers and farmer associations, decision makers and the public at large, of the significance of the country's critical ecosystems and their role in providing “goods and services”, including biodiversity, existing status and threats associated with land degradation and opportunities that exist to address the situation through incorporating alternative and sustainable livelihoods and biodiversity conservation principles and objectives into an ecosystem-based approach:*** The Project output was rather ambitious in comparison with the resources allocated and the target outputs. Within the dryland ecosystem landscapes increasing public knowledge and awareness of the importance of balancing sustainable livelihoods with sustainable ecosystems and landscapes is critical. The modest outputs and activities were well targeted and made a positive impact. Within this output, 62,000 (119%) public awareness pamphlets were produced (target 52,000); 707 (175%) decision makers participated in environmental awareness activities (target 403); 9 (100%) quizzes on the critical ecosystems and their role in providing goods and services were conducted (target, 9); and 77 (118%) thematic summer camps were held for children to experience ecosystems services first hand (target, 65).

42. The TER Team found from assessment of awareness promotion activities and interviews with participants that the awareness promotion brought in significant improvement of environmental awareness and knowledge about IEM and VDEP: (i) Officials, experts and villagers consulted indicated that the Project had changed farmers' awareness regarding conservation – they are now more understanding of conserving biodiversity richness; (ii) The factors that worked together to create the awareness change included training, discussions between villagers and local officials, alternative livelihoods options (with explanation to farmers that the support was being offered with the goal of achieving conservation), television broadcasts, booklets, and posters pasted in villages, and youth education on biodiversity conservation (e.g. Summer Camps) and associated awards for young people.

43. In Guanghe County, Gansu Province there was a strong focus of the public awareness activities invested in 16,000 school children and teachers with knowledge quizzes and summer camps with the theme “protecting ecosystems and caring about our homeland”. According to the CPMOs a sample survey revealed that about 70% of the school students transmitted the environmental protection message to their parents; 80% of students indicated that they would not discard garbage on the ground whilst visiting tourist sites.

Box 5: Impacts of Public Awareness – More Environmental Friendly Land-use in Shanxi

According to M&E data, the Project trained 39,000 farmers, 4,273 staff and public awareness and education activities reached out to 56,012 beneficiaries. “Protecting biodiversity and controlling land degradation” was deep seated in all training and awareness activities. Through information dissemination through school children, parents, teachers, newspapers and media networks the general public was informed of the need to mobilize activities in their daily lives that would support environmental protection, biodiversity conservation and ecological improvements.

Among the 160 households surveyed in a farmer household survey in Shanxi at the end of 2015, 159 responded that family members received training and awareness raising in environmental protection provided by the Project (99% of respondents); 143 households participated in the environment protection related activities of the Project, (89%).

The impact of the Project and public awareness campaigns is reflected in the number of farmer households which adopted environmental protection technologies. At baseline in 2011, the number was zero; in 2015, 115 households shifted from grain to medicinal herbs (72%); 26 adopted biogas technologies (16%); 48 households shifted from grain to forest products (30%); 109 households shifted from grain to cash crops (68%); 78 households shifted from grain to improved pasture (49%); 86 households raised livestock (54%). Data is indicative of production and income diversification.

Box 6: Impacts of Public Awareness – Recycling of Plastic Film in Guanghe County, Gansu Province

Along with improved maize and other grain crop cultivation in Guanghe County, Gansu Province was an increased use of plastic films. Guanghe County used about 2,000 tonnes of plastic film per year. As the plastic film was replaced every 2-3 years it was stored in piles in fields, bunds, roads and near homes. However, with high winds, the plastic tended to blow across the landscape causing pollution and an environmental hazard.

The Guanghe County government and their line bureaus established recycling stations in each Village and Township and a major recycling station at the County level. They also raised a plastic recycling fund and adopted an incentive method of “government’s call, administrators’ push, finances’ subsidy and farmers’ benefit”. In order to reduce the white plastic pollution on the agricultural landscape recovery and recycling of plastic film became an important priority within the sustainable agricultural development policies and practices. Farmers are paid 120 CNY/tonne of used plastic delivered to the recycle stations for recycling, processing and re-use. The plastic pollution has been reduced substantially in rural areas within and beyond the Project. By 2015 the Gansue County government had invested about 7 million CNY to recycle nearly 6,000 tonnes of used plastic film, which accounted for about 83% of plastic film use.

As a specific example, a farmer in Shilidun Village, Ghengguan Town, Guanghe County, collected about 14 tonnes/year of plastic film residue for sale to the recycling station at 120 CNY/tonne, at an annual supplementary income of 1,700 CNY to add to their maize and sheep rearing. After 5 years, over 70 tonnes of plastic film had been collected and sold to the recycling station for 8,500 CNY. As a result of the heightened public awareness of the need for environmental protection, the plastic pollution of the landscape was reduced and the farmer income was supplemented.

44. The TER Team found that another positive feature of the Project was the extent to which awareness change regarding the “IEM” approach was achieved among officials and experts and the extent to which they were able to build their knowledge and skills for implementing the “IEM” approach. During the mission, it was repeatedly heard from Provincial and County officials and experts that they had never thought of doing conservation in the “IEM” approach before. At first, some had been sceptical, but now believe that the IEM approach is an effective method. During the Project, there were many meetings, training workshops and study tours attended by local officials. These meetings and training workshops, in conjunction with the success of the site activities, were important in changing the thinking and raising enthusiasm among local officials for the IEM approach. The media were successfully enlisted to raise environmental awareness, especially at County, Provincial and Regional levels. Newsletters, newspaper, leaflets, posters, social media and radio articles were successfully utilised. Public participation events included Summer Camps, Biodiversity Day, Earth Day and so on in all three Provinces and Project Counties. This in turn provided a concrete ground for the Project implementation and future replication of the Project approach and best practices.

45. The TER Team found that no specific evaluation/technical reports on the various types of training and public participation were available. However, the Public Awareness component was well documented in Progress reports. However, the TER Team believe that in the future, the documentation of training materials and evaluation of the quality and effectiveness of training and public participation will further strengthen local capacity in public awareness.

Rating: Satisfactory

Component 5: Project Management, M&E and Information Dissemination
Sub-component 5A: Project Management

46. **Project Output 5.1: PMO coordination unit strengthened to manage and coordinate GEF-supported activities:** Despite some initial challenges, the Project achieved the stated outputs and activities as planned. These included: (i) Inception workshops in each Province (3) and County (7); (ii) 19 Provincial management workshops and 32 County workshops; (iii) Recruitment of a Project Coordinator in each province; (iv) Procurement of office equipment and materials for each of 3

Provinces; and 26 sets of County office equipment; and (v) 15 Village Implementation Group workshops conducted.

47. Overall, the Project was implemented in line with the arrangements envisioned at appraisal, the implementation arrangements as designed, provided the mechanism for effective cooperation among the CPMO, PPMOs, PPEAs and other government agencies involved. The arrangements likewise developed a keen interest and strong ownership at the County, Province and autonomous region levels. At the national level the Ministry of Finance had the overall Executing Agency responsibility delegated to their Provincial Departments of Finance. The Implementation Agencies with prior IFAD experience in Shanxi and Gansu Provinces were the Departments of Agriculture where the PPMO was responsible for coordination of agencies and NNRs that participated in Project implementation. In Ningxia the Department of Finance was responsible for coordination of Project implementation and the *de facto* PPMO for the Ningxia Project implementation was the Haba Lake NNR. The TER team found the methodology of setting up local leading groups and local PMOs to be effective. The leading groups, in particular, were a way to bring other departments on board to help support incentive mechanisms at the local level. At the County level, examples were found in which the local leading group included the County Party Secretary and County Governor and Director of NNR Management Bureau thus bringing a lot of leverage to these groups.

48. The PPMOs and CPMOs, under the guidance of the PPEAs, coordinated and implemented Project activities at Provincial, County, NNR and Village levels in conjunction with the relevant technical agencies and their affiliated technical extension service branches in the agriculture, land and resources, water resources, environmental protection, and forestry sectors. Coordination meetings among Project partners in a form of Project leading group meeting were held to (i) Review and assess the implementation status of the Projects under the partnership; (ii) Review and approve the Project Annual Work Plan and Budget (AWPB); and (iii) share experiences from related activities in the fields of environmental conservation and development. Cross provincial coordination was assigned to a Part Time Provincial Project Coordinator, More delegation of authority to match the responsibilities and decision-making required of the Part Time Provincial Project Coordinator would have facilitated more effective coordination, reporting and experiences exchanges between the Provinces and Counties. Reporting was made through Semi-Annual Progress Reports, Project Completion Reports, Project Implementation Status Reports and the Mid Term Review which were generally prepared on time. The Provincial, County, Town and Village coordination mechanisms remained effective through the Project and in most cases will likely continue beyond Project closure.

Rating: Satisfactory

Sub-component 5B: Monitoring and Evaluation

49. ***Project Output 5.2: Existing IFAD M&E unit strengthened to monitor GEF-supported activities:*** Monitoring and evaluation of the Project implementation and impacts was an important aspect of Project management. The institutional strengthening and capacity building for M&E Project outcomes, outputs and activities were conducted according to plan. These included: (i) Preparation of 3 M&E plans, one in each Province; (ii) 20 Provincial M&E workshops; and (iii) 32 County M&E workshops. By reviewing progress reports and monitoring reports, the TER Team found that the M&E arrangements were effective with step-wise improvement in capacity over the Project lifecycle.

Rating: Satisfactory

Sub-component 5C: Knowledge Management and Information Dissemination

50. **Project Output 5.3: Knowledge Management Systems Established and Implemented:** Sharing of knowledge and technology and lessons learned from Project implementation was a critical aspect of Project management. A dedicated knowledge management unit with dedicated office and computer facilities were established; 46 newsletters publications were produced and two Project webpages in each of the three provinces was established and maintained and an IFAD/GEF Project specific Social media account was created and maintained in Gansu; for the whole Project in the three provinces. Knowledge products development and dissemination throughout the Project implementation phase was proactive and effective. A detailed list of knowledge products is listed in Appendix 7.

51. In relation to further development of key knowledge products and experiences sharing, the TER Team recommends that (i) Project partners continually consolidate the Project concepts, approaches, mechanisms, tools, guidelines, policy recommendations and other key knowledge products introduced and developed by the Project, and Project results based case studies that are to be disseminated and promoted for replication. (ii) IFAD and its leading partners find a way that is institutionally and financially practical to make wise use of experiences and knowledge cultivated from the completed IFAD funded Projects in China in the process of consolidation of the Project concepts, approaches, mechanisms, tools, guidelines, policy recommendations and other key knowledge products.

Rating: Satisfactory

b. Assessment of Project Outcomes and Objectives

52. **Project Relevance:** The Project was designed under the auspices of the PRC-GEF Programmatic Approach to Integrated Ecosystem Management in the dryland ecosystems in Western China that included a suite of GEF funded Projects linked with the Asian Development Bank, IFAD, and the World Bank. The Project was consistent with the GEF Strategic Objectives and Programs, particularly, SO1, to catalyze the sustainability of PA systems; and SO2, to mainstream biodiversity in production landscapes and sectors. The Project strengthened the IEM participatory approach to re-align at the policy, planning, implementation and institutional aspects of governance to balance sustainable livelihoods with sustainable ecosystems to enhance biodiversity conservation. The selection of the participating provinces and sites reflect the GEF and PR China priorities to focus on areas severely affected by land degradation and support sustainable rangeland management, natural reserves and semi-arid forested ecosystems. Lessons learned from the evaluation of the Country Program Framework were incorporated in the Project design, including support for: (i) cross-sectoral coordination in IEM approaches; (ii) Community-level participation; and (iii) effective engagement with, and training of, farmers.

53. The Project was consistent with the priorities of the national and regional plans of the Government in support of their commitments to the Convention on Biological Diversity (CBD, June 1992) and the priorities as identified in the PR China's Biodiversity Action Plan (1994). Additionally the Project was compatible with the Government commitments to the Convention to Combat Desertification (CCD, December 1996) and the priorities as identified in the PR China's National Action Plan to Combat Desertification (NAPCD). Additionally, the Project was consistent with the: (i) 11th National Five-year Plan (2006-2010); (ii) 11th Five-year Plan for Overall West Development; (iii) the 12th National Five Year Plan (2011-2016); (iv) New Countryside Program; (v) China Biodiversity Partnership and Framework for Action (2007-2017); (vi) PRC-GEF Partnership on Land Degradation in Dryland Ecosystems (2003-2012); (vii) UNCCD National Action Plan (2004-2010); (viii) China National Biodiversity Conservation Strategy and Action Plan (NBSAP, 2011-2030) and Provincial Biodiversity Conservation Strategy and Action Plans (PBSAPs) in Gansu, Ningxia and Shanxi

Provinces; and (ix) Guidelines on Improving Eco-compensation Mechanism issued by the State Council on 13 May 2016.

54. Assisted by Project personnel, the IEM and participatory approaches were replicated in other national programs and Projects addressing degraded lands and impacts on biodiversity conservation in arid and semi-arid ecosystems including: (i) IFAD-PRC's Jiangxi Integrated Agricultural Development Project; (ii) IFAD-PRC's Qinghai Poverty Alleviation Program; (iii) IFAD-PRC's Xinjiang Integrated Agricultural Development Project; (iv) The World Bank-PRC/s Gansu Demonstration Project on Poverty Alleviation by Industry Development; (v) ADB-PRC's Gansu Agricultural Development Project; (vi) ADB-PRC's Shanxi Agricultural Development Project; and (vi) the establishment of the Gucheng Wetland National Park in Yuangu County, Shanxi.

55. The Project was planned for implementation in association with the two IFAD supported programs: (i) South Gansu Poverty Reduction; and (ii) Environmental Conservation and Poverty Reduction Programs in Ningxia and Shanxi Provinces. However due to the protracted preparatory and approval process for the GEF Project, these were completed prior to Project start-up.

Rating: Highly Satisfactory

56. **Project Effectiveness:** The design and implementation of the Project activities were effective in achieving the Project goal, objectives, outcomes and outputs. Through participatory approaches in the design phase of the Project, the root causes of poverty and inter-relationships with land degradation and the loss of biodiversity in surrounding PAs and NNRs were identified as starting points for Project design. Within the funding resources available to each province, various alternative interventions were considered before settling upon the existing Project design, considered the most achievable and appropriate. A feature of the Project has been, on the one hand, the vertical integration of interventions to address poverty, ecosystem degradation and the loss of biodiversity from Province, County, Township and Village to farmer levels. On the other hand, the IEM approach required the horizontal integration across sectors involving stakeholders responsible for rural development, land-use planning, agriculture, forestry and environment working in collaboration.

57. Over the 5 year duration of the Project implementation, it was estimated that total beneficiaries were 270,000, of which about 77,400 people directly benefitted from participation in Project activities including 48,000 farmer households, of which poorer (category B and C) farmer households were 44,000 (92%). There were 193,000 indirect beneficiaries of the Project. It was estimated that of the 270,000 overall beneficiaries, 130,000 (48%) were women. The Project encouraged empowerment of women through participation in Project management, decision-making in households, VIGs, and public affairs. It was estimated that 132,000 (49%) of beneficiaries in Project activities were from ethnic minorities.

58. The multi-faceted approach required targeted inputs, activities, outputs and outcomes tailored to each participating Province, County, Township and Village needs. This was achieved by adopting multi-stakeholder approaches from the outset, so interventions were those considered the most important and appropriate in each context. The multi-stakeholder approach paid dividends in unlocking co-financing and collaboration across sectors and through farmer associations and co-operatives ensured satisfactory Project delivery. The learning by doing, adaptive management approach was also a feature as lessons were learned from other Projects in the PRC-GEF Programmatic Approach to IEM in the dryland ecosystems and from pilots, demonstrations and study exchanges between Counties and Provinces.

59. The Project attained the Global Environmental Objectives and planned results including: (i) The trend in biodiversity loss was halted in Project areas in Gansu, Ningxia and Shanxi; (ii) Vegetation cover in the Project area in Shanxi was improved from 80% to 83% by 2015; (iii) Erosion in

grasslands was reduced in Gansu by 22%, in Ningxia by 25% and Shanxi by 75%; (iv) Desertification was reduced in Ningxia by 4.9% by 2015; (v) Land productivity improved by 7.7% (Gansu maize yields increased to about 700kg/Mu/year); (vi) According to the Provincial statistics office, those suffering poverty in Gansu from the baseline of 145,700 (2011) to 50,470 (2015) a reduction of 66%; in Shanxi from the baseline of 154,600 (2011) to 85,150 (2015) a reduction of 45%; and in Ningxia reduced from the baseline of 40,580 (2011) to 34,046 (2015), a reduction of 16.1%.

60. At the outcome level: (i) IEM plans were endorsed by provincial authorities in Gansu, Ningxia and Shanxi; (ii) IEM principles and recommended actions were incorporated into Provincial regulations in Gansu (2), Ningxia (1) and Shanxi (3); (iii) IEM principles and recommended actions and PES studies provided inputs to the 12th Five Year Development Plans in 6 Gansu Counties; 6 Ningxia Counties and 8 Shanxi Counties; (iv) Successful native tree reforestation was achieved in Gansu (84%), Ningxia (72%) and Shanxi (60%); (v) Villages outside IEM Project sites adopting VDEPs included: Gansu (53%); Ningxia (100%) and Shanxi (60%); (vi) Illegal harvesting of medicinal herbs in Shanxi was reduced by 80%; Illegal fuelwood, grazing and medicinal herbs in Gansu were reduced by 4%; and Illegal grazing and medicinal herbs in Ningxia reduced by 100%; (vii) According to the METT score cards PA management effectiveness was increased in Gansu by 51%; in Ningxia by 20% and in Shanxi by 20%; (viii) Mount Taizi PA was upgraded to an National Nature Reserve in Gansu; (ix) Natural grasslands were restored in Gansu (8,000 Mu); Ningxia (196,000 Mu) and Shanxi (30,000 Mu); and (x) There was more than 50% increase in participation of villagers at annual provincial events and 20-30% increase in average scores by participants in knowledge quizzes experienced in all 3 provinces.

Rating: Highly Satisfactory

61. **Project Efficiency:** Despite initial delays during inception and reduced co-financing from IFAD baseline projects (see para 4, footnote 4) there was generally smooth progress since the Mid Term Review in 2014 so that major outputs and outcomes were achieved by April 2016. The co-financing gap has been met by increased co-financing from the government. Despite the absence of IFAD baseline projects that were completed after the Project was launched, the baseline projects still offered means of cost effectiveness by allowing the Project to benefit from the experience of Project Executing Agency and Provincial and County Project Management Office (PPMOs and CPMOs) in coordinating of technical and financial delivery and cost-effectiveness in prior IFAD Projects. However, the appointment of the PPMO Gansu with the responsibility to coordinate technical and financial delivery for the overall Project was not matched with the authority to do so in Ningxia and Shanxi Provinces, so some challenges, particularly in monitoring and reporting were experienced.

Rating: Satisfactory

c. Assessment of sustainability⁶⁷

62. **Policy:** In general, policy results achieved to date are considered to be long lasting and sustainable. The TER team feels that the policy work at the County and NNR levels, along with the Township and Village agreements (i.e. farmers associations and co-management, etc.), may be the Project's most sustainable policy work of all. Another sustainability issue with regard to policy is that nation-wide the "IEM" conservation approach has not been substantively incorporated into the five-year planning process, especially sectorial planning. This issue was caused by limited participation of Development and Reform Commission, which is a leading government department in development planning. If continued work can be done in the coming years to secure a place in the next five-year

⁶ GEF Guidelines specify the Ratings as: **Likely (L)**. There are no or negligible risks that affect this dimension of sustainability; **Moderately Likely (ML)**. There are moderate risks that affect this dimension of sustainability; **Moderately Unlikely (MU)**. There are significant risks that affect this dimension of sustainability; **Unlikely (U)**. There are severe risks that affect this dimension of sustainability

⁷ Overall rating of sustainability will not be higher than the lowest rated dimension.

plan (Provincial Master Plan or Provincial Sectoral Plans in Forestry and Land Resources sectors) for the "IEM" approach to dryland ecosystem conservation, that would be a very positive achievement in terms of sustainability. The timing appears to be appropriate as the next five-year plan is in the preparatory phase. Indeed, Project partners advised the TER team that they will make sure the "IEM" approach is included in the discussion agenda for experts convened to make recommendations on the next five-year plan.

Rating: Likely

63. **Financial Risks:** The Project has been strongly supported by co-financing by the Government and beneficiaries. The completion of the IFAD baseline programs left a shortfall of USD1.55million which was met by Government co-financing. The approval of the 3 NNRs by the State Forest Administration ensures medium to long term financing through the State planning and budgeting system. The IEM approach has been adopted by the Asian Development Bank, the World Bank and IFAD in support of Projects and programs in the dryland ecosystems in the Western Regions. The Project has good prospects to be replicated or scaled up to other sites and there are negligible risks that affect the financial dimension of sustainability.

Rating: Likely

64. **Socio-political Risks:** Socio-political risks usually arise when there is a significant change in Government policies and priorities at National or Provincial levels that may change the conservation of biodiversity in dryland ecosystems as a result. Based on the current situation where interests, commitments and support from the Government (State, Province, County, Township and Villages) and donors are high, it is unlikely that there will be significant change in the policy and socio-political commitment to conservation of biodiversity in dryland ecosystems. There are negligible risks that affect the socio-political dimension of sustainability.

Rating: Likely

65. **Institutional Framework and Governance Risks:**

66. The key Project institutional arrangements refer to the establishment of the institutional setup of the partnership at Provincial, County and NNR, and Township levels. It was confirmed that the institutional setup of the partnership be maintained as part of the Project Phase-out/Exit Strategy. In particular, key experts leading groups who had played key roles in facilitating the necessary changes required for raising awareness, improving policy decision making, planning for ecosystem conservation and management, as well as in strengthening bottom-up participatory and multi-sectoral coordination in strategic planning will be sustained and used as a mechanism for building a pool of experienced local experts that may be mobilized for providing guidance for future biodiversity conservation in dryland ecosystems in other provinces. However, what is noticeable is that the 3 Project-related NNRs are within the State Forestry Administration jurisdiction. This requires particular cross-sectoral collaboration and building of bridges across the institutional divide to ensure post Project sustainability. The Project implemented within the Agricultural Administration jurisdiction, i.e. Department of Agriculture & Animal Husbandry and/or Agriculture and Countryside Affairs Committee at Provincial level, and Bureau of Agriculture & Animal Husbandry and/or Agriculture and Countryside Affairs Committee at County level.

67. The strengthening of Project, Province, County, Town and Village personnel to address the delicate balance between sustainable livelihoods and sustainable ecosystems in dryland ecosystems will ensure the capacity will endure beyond the Project life. The Project has trained a significant number of technical experts, policy decision makers, farmers, farmer association representatives, and communities on IEM and PRA, which ensures that the IEM approach will continue to be integrated into local planning processes. This provided a strong foundation for an enabling environment for

promotion and replication of IEM approach, interagency cooperation and collaboration, and community participation in 3 provinces and in the Northwest Region of China.

68. The preparation and the endorsement of Master Plans, Management Plans, Eco-tourist Development Plans, Biodiversity Monitoring Plans, Village Development and Environment Plans and M&E Plans have provided the planning tools for short, medium and long term planning for conservation of biodiversity in dryland ecosystems. Most plans were prepared in multi-stakeholder processes that were transparent and participatory so commitments are at all levels. The establishment of pilot and demonstration sites across a diverse number of alternative livelihoods initiatives provide excellent case studies for others to learn lessons in the future. Continued government support (i.e., financial or otherwise) at both Central and Provincial levels for applying the IEM approach for biodiversity conservation in dryland ecosystems at policy decision making and planning levels, will ensure long-term sustainability of the Project results. There are negligible risks that affect the institutional framework and governance dimension of sustainability.

Rating: Likely

69. **Environmental Risks:** Long term global and local climate changes and unpredictable fluctuations in extreme weather events (sand storms, floods, drought, associated fire, insects, pests and diseases) could alter the positive achievements of the Project alternative livelihoods development, restoring degraded ecosystems and enhancing conservation of biodiversity in dryland ecosystems. Although the Project design took measures to reduce environmental risks at Project sites through review of policies, plans, best practices tools, fire prevention and increased piloting, awareness and education within and beyond the Project, there remain moderate risks that affect this dimension of sustainability, particularly those that are external (e.g., long term climatic changes and unpredictable, extreme weather events). However, there are no foreseen major environmental risks that may significantly jeopardize the sustainability of Project outcomes.

Rating: Likely

d. Assessment of catalytic role

70. **Catalytic actions by the Project:** The catalytic actions of the Project were significant with continued strengths in preparing strategically important planning tools, sharing knowledge and introducing innovative new techniques to sustain peoples' livelihoods and the environment. The Project was instrumental in improving the government's sectoral planning by changing it from top-down approach to a participatory, community-based and multi-sector integration based approach. The introduction of the IEM principles and actions into the Province, State, Township and Village planning systems was done through this participatory, community-based approach. The planning tools and best practices guides developed and adopted through the project (for example, Master Plans, Management Plans, Biodiversity Monitoring Plans, Eco-tourist Development Plans) are made available to the relevant institutions to support livelihoods and biodiversity conservation in dryland ecosystems for the medium to long term.

71. The Project provided a catalytic role in ensuring that the IEM principles and recommended actions and participatory approaches were adopted in or linked to national programs and Projects addressing degraded lands and impacts on biodiversity conservation in arid and semi-arid ecosystems including: (i) IFAD-PRC's Jiangxi Integrated Agricultural Development Project; (ii) IFAD-PRC's Qinghai Poverty Alleviation Program; (iii) IFAD-PRC's Xinjiang Integrated Agricultural Development Project; (iv) The World Bank-PRC's Gansu Demonstration Project on Poverty Alleviation by Industry Development; (v) ADB-PRC's Gansu Agricultural Development Project; (vi) ADB-PRC's Shanxi Agricultural Development Project; and (vi) the establishment of the Gucheng Wetland National Park in Yuangu County, Shanxi.

72. **Innovation:** Innovative new scientific knowledge and appropriate technology were introduced for alternative livelihoods activities for community-based farmer activities and NRR management. These included: (i) new intensive sheep and cattle raising, animal husbandry and fodder management systems from drip irrigated alfalfa and maize; (ii) use of livestock waste for the production of biogas and the residues from this process for plant fertilizer; (iii) increasing yields and quality of vegetable growing by tunnel plastic houses; (iv) plastic strips, mulch and drip irrigation methods to increase yields of maize and other crops to conserve water, reduce weeds, extend the growing season; (v) flood irrigation methods for increasing yields of alfalfa; (vi) domestication processes for growing a large range of native medicinal herbs and mushrooms; (vii) simple, appropriate technology to access aquifers and deliver water to intensively managed crops; (viii) agroforestry systems that introduced 2-3 tiers of land-use (wood trees, fruit trees, poultry). Innovative tools introduced to improve the management of NNRs including: (i) fire monitoring camera and database videos; (ii) biodiversity monitoring cameras; (iii) GIS database management systems and mapping. Gansu province developed a partnership with a private company through which both the company and the beneficiaries benefited from Project interventions. The GEF Project provided the link that tied the company with the beneficiaries in the environmentally sound model of fodder and crop production that fed intensively housed cattle farming that produced meat and biogas production, power generation, vegetable crop production and waste residue for fertilizer.

73. **Replication and Scaling up:** The Government (all levels) demonstrated the political will and the funding commitment to sustainable ecosystems and to improving the productivity and efficiency of agricultural practices to support peoples' livelihoods in dryland ecosystems. The large part of the Project funding was provided by the Government and the mechanism for financial and technical delivery to beneficiaries was primarily through their Province, County, Township and Village mechanisms. The planning tools, best practices, innovative alternative livelihoods pilots and the improved PA/NNR management will continue to be used and built upon beyond the life of the Project. Many of the planning tools have been institutionalized and the NNR mechanisms will ensure resourcing in the medium to long term. Furthermore, the VDEP played an accelerator role in ensuring mainstreaming of ecological considerations in national/provincial funded programs such as the Whole Village Development Programme on Poverty Alleviation, New Countryside Development Programme and Ecological Construction which have adopted these principles and best practices to improve the livelihoods of rural poor. The ADB will commence a new Project for combating landscape restoration in dryland ecosystems in the Western Region that will adopt the IEM approach, together with major counterpart funding by the Government.

e. Assessment of M&E system

74. The overall assessment of M&E was rated as Moderately Satisfactory because the M&E Design and M&E Implementation were rated as Moderately Satisfactory and the M&E financing at Satisfactory. Each province had diligently recored the project achievements against output and outcome indicators. Sufficient evidences such as knowledge products, knowledge event photo journals, policy dialogue minutes were provided to the evaluation team, and capacity building experiences were confirmed through stakeholder interviews. Rather the weakness of the project's M&E reporting seemed more related to different interpretation of some indicators by project team members from what was intended (see below paragraph on M&E design). When IFAD projects are implemented in more than one province in China in the future, a joint M&E framework building and capacity building exercise by all engaged project provinces could help harmonize the M&E system at the project level – regardless of how strong it is, as observed in this project, at the provincial level.

Rating: Moderately Satisfactory

75. **M&E Design:** At Project design, it was envisioned that the monitoring system would serve as a basis for tracking progress towards achievement of Project objectives, outcomes and outputs as well as for assessing the impacts in relation to reversing dryland ecosystem degradation. The M&E plan was well designed. The Project Procedures Manual (PPM) recognized the vital importance of M&E for GEF funded Projects and detailed the Project Logical Framework by component, sub-component, outcome, output, baseline, targets and progress towards achievement according to region and each participating country.

76. The review of M&E implementation and reporting reveals that some logframe indicators may have been understood or interpreted differently within the project team. Developing an indicator system can be a challenging job. In the future, we recommend that individual PMO members, PEA and coordinators work closely together, step-by-step, including vigorous debate in the process, to come up with a set of indicators, each of which presents reasonable challenge and is expressed without ambiguity.

77. While the Project's monitoring of project activity implementation was well developed and strictly followed, the impact monitoring system seemed relatively weak. This might have been due to the early graduation of IFAD loan projects which could have led the impact assessment of both IFAD loan and GEF projects. A joint practice of developing impact assessment methodologies and capacity building of project directors and M&E officers for impact assessment, particularly for NRM practices (e.g. reduction in erosion of natural grasslands, reduction in soil loss, reduction in sedimentation in waterways, restoration of native tree areas) would have helped strengthening impact-level assessment.

78. As the Project has shown a lot of potential to integrate the "IEM" approach to biodiversity conservation in dryland ecosystems and further to overall economic development planning as well, the TER Team strongly recommend that follow-up monitoring some years after Project close (e.g. 5 years) is adopted: (i) whether the Project will truly have broader impact beyond its own Project intervention sites and on replication sites; (ii) whether livelihood results and associated conservation results at "IEM" approach sites will be sustainable. As part of this work, it will be important to see in those cases in which there have been livelihood issues or needs for follow-up investment, how needs had been addressed.

Rating: Moderately Satisfactory

79. **M&E Plan Implementation:** The M&E reporting process for the Project was designed and conducted as the following : i) Semi-annual Project Implementation Committee Meetings were held to review implementation and to resolve any issues; ii) Semi-annual Progress Reports were prepared by PPMOs to detail and analyze Project achievements, outcomes and outputs, major constraints, lessons learned and recommended actions; iii) Project Implementation Reports were submitted to IFAD on an annual basis; iv) Annual Project Progress Review Meetings were held at Province level to review technical and financial delivery compared to the AWPB; v) Field Visits were conducted by the PEA/PPMOs on a regular basis to respond to issues that arose and to guide corrective actions; and vi) Monitoring of AWPB by the PEA, PPMOs and CPMOs for implementation. The Project completed most of the standard M&E work, such as the Quarterly Reports, Annual Project Reviews, and Project Implementation Reports (the PIRs).

80. A Project Completion Report was prepared for the Terminal Evaluation Review. An independent Mid-Term Review was undertaken (June 2014) that highlighted issues requiring decisions, detailed lessons learned and recommended actions. In addition the Project adopted the RIMS system and supported development of a baseline survey system, which was used to evaluate conservation and development results. They are a strong aspect of the Project, though we would recommend that the PMO have a more systematic way to select and manage key baseline survey data.

81. The Project completed most of the standard M&E work, such as the Quarterly Reports, Annual Project Reviews, and Project Implementation Reports (the PIRs). The annual PIRs included a detailed assessment of the current status of Project indicators. Although the M&E plan was well designed, implementation varied between the three Provinces and the three NNRs. Gansu and Ningxia carried out a Mid Term Evaluation of Project results and impacts. For the Terminal Evaluation Review, all three Provinces prepared at least a basic M&E of results and impacts. The TER team provided additional support to the Project to fill in the impact-level achievements.

Rating: Moderately Satisfactory

82. **Budgeting and Financing for M&E:** The budget for M&E was included in the Project management budget of the AWPB in accordance with GEF limits. Monitoring implementation of physical/technical progress was verified using Semi-Annual Progress Reports, AWPBs and Project Implementation Reports. All reports contained information on the progress of Project achievements, the money spent and the budget remaining. The AWPB was presented to the PEA and steering and management committees and discussed in detail. It was endorsed or sent back for review. The Mid-Term and the Terminal Evaluation Reviews were budgeted as independent M&E for the Project. Based on the above arrangements, the monitoring and evaluation mechanism was set up to facilitate smooth work and budgetary flows and generally worked.

Rating: Satisfactory

f. Assessment of Processes Affecting Attainment of Project Results

83. **Preparation and Readiness:** The MTR noted the outstanding efforts of the design mission and counterparts from the three Provinces and key stakeholders, including the GEF focal point in the Ministry of Finance and the State Forest Administration for enabling the adoption of participatory approaches. These approaches helped identify the root causes of poverty, loss of biodiversity and ecosystem degradation and the actions necessary to address the issues and the most appropriate Provincial institutions identified for implementation. The original design under the auspices of the South Gansu Poverty Reduction (Gansu) and the Environmental Conservation and Poverty Reduction (Ningxia and Shanxi) programs were based on the IFAD and World Food Program's Vulnerability Analysis and Mapping methodology. The final selection of Counties was made between IFAD, WFP, Ministry of Agriculture and PMOs. The preparation of the Project was satisfactory and the process was an awareness and capacity building effort that benefitted the Project stakeholders at County, Provincial and farming communities in the environs of the 3 NNRs.

84. **Country Ownership:** The Project was designed under the auspices of the PRC-GEF Programmatic Approach to IEM in the dryland ecosystems in Western China that included a suite of GEF funded Projects linked with the Asian Development Bank, IFAD, and the World Bank. In the 1990s, land degradation control plans and programs achieved less than intended mainly because of a top-down approach in policy decision making and planning, which resulted in inefficient and uncoordinated efforts in tackling cross-cutting sectoral issues. A change in government strategy emerged in the early 2000s, which emphasized a bottom-up approach that integrated IEM concepts and principles in rural development and environmental protection. The government's commitment to sustainable natural resource and environmental management has been reflected in Central and Provincial SAPs, and five-year plans. The government's increased awareness and commitment to address environmental challenges drew support from the international community, which was keenly aware of the global implications of the PRC's size and potential impact of balancing sustainable livelihoods and ecosystems approaches.

85. Additionally, the Project was clearly in line with the following sectoral and development priorities/plans: i) Whole Village Development Programme on Poverty Alleviation; ii) New Countryside

Development Programme and Ecological Construction that adopted the IEM principles and best practices to improve the livelihoods of the rural poor; iii) Biodiversity Action Plan within the framework of CBD; iv) National Action Plan to Combat Desertification within the framework of the UNCCD; and v) priorities identified in the Western Regional plans. The Project also took into account lessons learned from the evaluation of the Country Programming Framework including: (i) cross-sectoral coordination; (ii) community level participation; and (iii) training of farmers and herders. The commitment of the country ownership was demonstrated in the high level of co-financing and integration of planning tools with other National and Provincial programs.

86. **Stakeholder Involvement:** A feature of the Project was the multi-stakeholder, inter-sectoral integration and participation approaches. One important strength exercised during implementation was the ability to mobilize government departments at different levels and responsible for different sectors. In Gansu, for example, over 20 departments in addition to the provincial department of agriculture, which is a typical IFAD counterpart, were involved through consultation for project design, implementation and M&E as well as information sharing and other knowledge events. Project's another way of making use of experience and knowledge of the appropriate government entities, local governments and community groups was through Project Leading Groups (PLGs). PLGs met once a year providing oversight and recommendations for project implementation enhancement. For example, the PLG member from the Poverty Alleviation Office had emphasized the need of alternative livelihood incentives, noting that training alone would not be enough. This has helped the Project expand into piloting livelihood options such as mushroom and medicinal herbs production. Other suggestions such as taking the training curriculum to local schools in Project areas were also reflected into the Project implementation.

87. Another important strategy to involve stakeholders of the Project was to create Village Implementation Groups (VIGs). The leading groups, in particular, were a way to bring other departments on board to help support incentive mechanisms at the local level. At the County level, we found examples in which the local leading group included the County Party Secretary and County Mayor, thus bringing a lot of leverage to these groups.

88. **Financial Planning:** Financial planning from both IFAD/GEF and co-funding were identified and secured during the design stage. During the implementation, each implementing institution prepared and submitted their respective AWPBs (including procurement plan) based on the planned activities which were then used as a basis for preparing the Withdrawal Applications (WA) to be consolidated by the coordinating PMO and PEA and then submitted to IFAD. Based on the above arrangements, the financial planning and monitoring mechanism was set up to facilitate smooth work and budgetary flows and generally worked satisfactorily.

89. **IFAD Supervision and Backstopping:** The TER Team gained a positive impression of IFAD's role in the Project. IFAD provided the Project with strong macro-level guidance on Project direction, sustainability and compliance with fiduciary standards, in line with international best practices and reporting. IFAD provided satisfactory support to the Project design process, design of the Project procedures and Project start-up and review. In Project implementation IFAD was responsible for the overall supervision of the Project, in accordance with their policies and procedures, as well as for the provision of related services for the management of the GEF Project cycle. Specific roles and responsibilities of IFAD were to assist the signatories to the Grant Agreement/Sub-Agreements in case of any disputes; facilitate Project implementation; monitor compliance with Grant Agreement/Sub-Agreement provisions; review and comment on AWPBs; review and approve payments based on the Grant Recipient and Project Parties' Withdrawal Applications and review and provide "No Objection" to the procurement of goods, civil works and services that required IFAD's notification.

90. The PEA and IFAD learned that during the inception phase strong guidance, supervision and in-house coordination was critical to avoid delays in fund disbursement. A dedicated officer was

appointed in IFAD to coordinate administrative and financial support to the Project. IFAD monitored the Project progress through the Semi-Annual Progress Reports, Project Implementation Reports and periodic in-country visits. IFAD was responsive to requests for management, administrative and financial guidance and was responsible for scheduling, financing, appointing and supervising implementation of the Mid Term and the Terminal Evaluation Reviews. As IFAD has a country programme office in China, they are familiar with the institutional and administrative systems and issues related to implementation of Projects and programs. Additionally IFAD worked with communities on poverty alleviation in the remote areas in the Western Region of China particularly to help restore the fragile and degraded desert and loess ecosystems and rehabilitate biodiversity. IFAD also brought their experience in mainstreaming biodiversity in productive landscapes, integrated ecosystem management and participatory approaches in working with authorities at all levels and with communities and farmer associations. IFAD introduced innovations for rural poor by complementing local know-how with new scientific knowledge and technology adapted to local needs. Their commitment to strong knowledge creation and dissemination and demonstration of best practices helped the Project to achieve intended outcomes and outputs.

91. **Co-financing⁸:** The Project co-financing exceeded targets. The approved Government co-financing was USD20.6 million, but the actual co-financing was USD22.6 million and the Beneficiary co-financing approved was USD3.5 million, but the actual co-financing was USD3.8. The supplementary co-financing by the Government substituted for the short fall in the IFAD funding anticipated from the completion of the baseline Projects (South Gansu Poverty Reduction Project and the Environmental Conservation and Poverty Reduction Project in Ningxia and Shanxi) prior to commencement of the Project. The co-financing support by the Government and Beneficiaries allowed Project outcomes and outputs to be achieved as planned and for the sustainability of the Project to be strengthened.

92. **Impacts of Delays:** The long preparatory process resulted in the IFAD baseline programs being completed by 2012/13, prior to the commencement of the GEF Project. This resulted in an initial IFAD funding shortfall. However, the TER mission noted that it had no adverse effect on Project outcomes or sustainability and all outputs and outcomes were achieved in a satisfactory manner by 15 April 2016 thanks to the increased Government contribution to fill any gaps in co-financing. No major delays were experienced and delays had no major impact on Project financial or technical delivery.

g. Monitoring of long-term changes

93. A detailed Inception Report with Logical Frameworks for all five components was prepared. Project actions toward establishing a long-term monitoring system were identified and included determining environmental baselines, specifying indicators and targets and identifying equipment and capacity building for data gathering, analysis and management use. The Project Procedures Manual recognized the vital importance of monitoring and evaluation in GEF funded Projects. Progress Reports, Project Leading Group (PLG)/Project Steering Committee (PSC) and Project Management Meeting (PMM) reports as well as site verifications and Annual Supervision and Implementation Support Mission Reports served as long-term M&E tools. Progress reporting included detailed presentation on progress by each component at six-monthly Project Management Meetings, Semi-Annual Progress Reports (SAPR) and Annual Project Implementation Reports (PIR) on IFAD/GEF Project grants. Monitoring and evaluation of progress was also made by the Mid-term Review in the MTR Report in June 2014. Individual Provincial Project Completion Reports with component Logical Frameworks carried over from the Inception phase were prepared during the Terminal Evaluation Review in May 2016 and included accomplishments and progress with meeting original targets.

⁸ Co-financing to be reviewed by the PPEA and PPMO to confirm final data

94. Accomplishments and benefits of the M&E program included consistency in collecting data and reporting across components, and the data generated by this system were generally used as originally intended. Shortcomings included lack of clarity and specifics with regard to the achievement of some outcome and output indicators. Systems for monitoring and evaluating long-term changes beyond the life of the Project have been put in place for several Project initiatives (e.g., poverty reduction, reduction, ecosystem degradation, reduction in soil erosion in natural grasslands, fire prevention, biodiversity monitoring). In general, policy results achieved to date are considered to be long-lasting and sustainable. The TER Team feels that the policy work at the County level, along with the Township and Village agreements, may be the Project's most sustainable policy work. These have been evidenced by the policies adopted at the Provincial, County and NNR levels.

95. The TER Team strongly recommends follow-up monitoring some years after Project closure to assess: (i) whether the Project has had a broader impact beyond its immediate demonstration and replication sites via the establishment of additional IEM Approach style sites in China; and (ii) whether livelihood results and associated conservation results of Project's IEM Approach sites will be sustainable.

D. Fiduciary aspects

96. The financial management, procurement and audit aspects of the Project were in compliance with the grant covenants and generally in accordance with IFAD-GEF procedures and the Project Procedures and Financial Management Manuals. Procurements were generally in compliance with the Procurement Procedures and registers and records were of an acceptable standard.

Rating: Moderately Satisfactory

97. **Financial management:** The evolution of Project financing is detailed in Table 3. The GEF grant of USD4.545 million was divided into the three Provinces roughly according to USD1.5 million per Province. Project implementation progressed slowly at the outset but picked up from the MTR. GEF funding was very small but targeted at strategically important planning and best practices tools, capacity building, pilot demonstrations, information dissemination and public awareness. The allocation and expenditure of GEF funds according to Project Component, at the 30 April, 2016 is detailed in Table 4.

Table 3: Evolution of Project Financing (USD 000) up to 30 April 2016

| Financing Body | Approval | First Revision | MTR Revision ⁹ | Actual ¹⁰ | % |
|-------------------|---------------|----------------|---------------------------|----------------------|------------|
| GEF ¹¹ | 4,545 | 4,545 | 4,545 | 4,578 | 101 |
| IFAD | 3,567 | 2,418 | 866 | 729 | 84 |
| Government | 17,993 | 18,831 | 19,945 | 22,617 | 110 |
| Beneficiary | 3,465 | 3,733 | 4,171 | 3,761 | 107 |
| TOTAL | 29,570 | 29,527 | 29,527 | 31,646 | 107 |

Note: Data according to PCR, May 2016

Table 4: Summary of GEF Financial Reporting by Component (USD 000) to 30 April 2016

| Outcome | Approved GEF Budget ¹² | Actual Expenditure ¹³ | Balance |
|---------|-----------------------------------|----------------------------------|---------|
|---------|-----------------------------------|----------------------------------|---------|

⁹ June 2014

¹⁰ Expenditure at 30 April 2016

¹¹ Check GEF funding - according to the Financing Agreement between PRC and IFAD should be USD4.545 million

¹² The GEF funding to be adjusted according to the Financing Agreement between PRC and IFAD to USD4.545 million

¹³ The GEF funding of USD4.545 million to be adjusted according to the Financing Agreement between PRC and IFAD

| | | | |
|---|--------------|--------------|-----------|
| I. Planning, Policy and Institutional Strengthening | 727 | 678 | -49 |
| II. Community-based Ecological Planning & Restoration and Alternative/Sustainable Livelihoods | 879 | 985 | 106 |
| III. Protected areas and biodiversity conservation | 1,777 | 1,649 | -128 |
| IV. Increasing Public Awareness | 488 | 564 | 76 |
| V. Project Management, M&E and Information Dissemination | 674 | 702 | 28 |
| TOTAL | 4,545 | 4,578 | 33 |

Note: 1) The co-financings include in cash and in-kind contributions; 2) The approved GEF budget figure is cited from Annual Supervision and Implementation Support Mission Report, August 2015, which reflects the most recent approved adjustment to the original plan;; 3) Actual expenditure figures are from the consolidated PCR received on 10 May 2016.

98. The allocation and expenditure of Counterpart funds by Project Component, at 30 April, 2016 is detailed in Table 5

Table 5: Summary of Co-funding (USD 000) to 30 April 2016

| Component | Co-funding target | Actual Co-funding secured | Variation | % |
|---|-------------------|---------------------------|--------------|----------|
| I. Planning, Policy and Institutional Strengthening | 134 | 124 | -10 | -1 |
| II. Community-based Ecological Planning & Restoration and Alternative/Sustainable Livelihoods | 10,209 | 11,154 | 945 | 9 |
| III. Protected areas and biodiversity conservation | 13,923 | 15,028 | 1,105 | 8 |
| IV. Increasing Public Awareness | 97 | 113 | 16 | 16 |
| V. Project Management, M&E and Information Dissemination | 618 | 649 | 31 | 5 |
| TOTAL | 24,981 | 27,068 | 2,087 | 8 |

Note: 1) The co-financings include in cash and in-kind contributions; 2) The co-financing target figures are from Annual Supervision and Implementation Support Mission Report, August 2015, which reflects the most recent approved adjustment to the original plan; 3) Actual co-financing secured figures from the consolidated PCR received on 10 May 2016.

99. In accordance with the Project Procedures Manual the PPMOs and CPMOs the PEA handled claims of eligible expenditure. The TER Team noted that the actual delivery of Project physical activities and outputs was faster than the reimbursement of Project funds.

100. **Procurement:** The PPMOs and PEAs exercised stringent internal control for Project expenditure, procurement and financial management. In each PMO at Province, County and NNR there was a full time accountant with appropriate financial management training. The MTR and Annual Supervision and Implementation Support Missions sampled the procurement, reimbursement and disbursement of the PMOs and the NNRs and did not find any substantive irregularities.

101. **Audit:** According to the Annual Supervision and Implementation Support Mission, July 2015, the Provincial Audit Bureaus conducted annual Project account audits as instructed by the National Audit Centre. The Gansu and Shanxi audit reports did not flag any substantial issues to be addressed. The Ningxia audit report highlighted insufficient counterpart funding and slow disbursement of GEF resources.

E. Conclusions and Rating

102. The Project has made satisfactory progress in completing the goals, objectives, outcomes and outputs and has delivered the expected results. The Project implementation has been satisfactory in terms of outputs completed and Project management, considering a certain level of the Project design complexity engaging three provinces. It is clear that the IFAD-GEF's IEM Approach has proven

effective in encouraging vertical and horizontal integration within and beyond the immediate natural resources management sectors. For example, the participatory approaches which engaged farmer associations and village leadership groups enabled to highlight their livelihoods issues and priorities and balance the project interventions among sustainable livelihoods, ecosystems approaches and conservation of PAs. As a result, the Project's innovative, alternative livelihoods initiatives not only reduced poverty but also reduced continued land degradation and desertification, and increased biodiversity conservation. This participatory and multi-sectoral approach in strategic planning and in encouraging the key role of Provincial governments, County government, County level line agencies, farmer association and village leadership groups, ensured that there was multi-sectoral support for maintaining an enabling environment for biodiversity conservation in dryland ecosystems on a sustained basis. Based on the above observations, it was rated (i) highly relevant to the government's and IFAD's environment and development strategies, (ii) effective in achieving outcome and outputs, (iii) efficient in achieving outcome and outputs, and (iv) likely to be sustainable. The Project successfully generated effected changes from the baseline in ways that are meaningful, desirable, and quite substantial.

Rating of Overall Project Performance: Satisfactory

F. Lessons Learned

103. ***IEM approach to achieving long-term Success:*** The IEM approach was highly relevant to biodiversity conservation in dryland ecosystems in China. This approach is bringing in a significant change from traditional practices although it would take some more time to become fully accepted by key sectors that were crucial for dryland ecosystem conservation. In the meantime, the Project has successfully demonstrated that the IEM principles and recommended actions can positively influence the ways in which people use natural resources and how they benefit from the improved ecosystem services. The Project made efforts to ensure that principles and recommended actions of the IEM approach were fully reinforced by line agencies in planning and programming, so as to avoid reversion to sector-based approaches. The IEM approach was effective in harmonizing socio-economic and environmental benefits to farmers and villages at the grassroots levels.

104. ***Institutional capacity building for establishing an enabling environment:*** For the IEM approach to be effective, cooperating and collaborating institutions and sectors had to be supported by IEM knowledge and skills for policymaking, planning, and joint management of the environment and natural resources. Joint and effective management of ecosystems and natural resources required improved capacities of cooperating and collaborating institutions that combined top-down and bottom-up approaches. The pool of experienced local experts trained by such groups, as well as the members of these groups, played an important role in providing guidance for future land degradation prevention and control in other Provinces and Autonomous regions. Interagency cooperation and collaboration institutional coordination and harmonization of land degradation policies, programs, and budgets was needed.

105. ***Importance of Public Awareness Building:*** Strong awareness among stakeholders, especially the public, on the state of the environment and natural resources is important for gaining support for government plans and strategies for land degradation control and for overall ecosystem and natural resource management in general. Disclosure of government plans for management, and conservation and protection provided a solid foundation for cooperation in planning and implementing IEM plans and strategies. Important decisions, plans, and proposed investment Projects were disclosed through public media for soliciting public opinion. Awareness building was complemented by an effective information-sharing multimedia system.

106. ***Importance of a database system and information-sharing mechanism:*** Clarification on the institutional role of each agency regarding IEM and land degradation control provides a clear basis for defining the type and level of data to be collected by each participating agency in the joint and collaborative management of ecosystems and natural resources. For information sharing to be

effective and useful, the “institutional value” of data should be recognized and access to data should be made available for all government agencies in a timely and practical manner.

G. Recommendations

107. Inclusion of policy dialogue engagement in the Project Design: Enhancing environmental management and addressing environmental concerns in the economic development planning are a growing effort of the Chinese government. Environmental concerns also have significant implications on food safety and sustainable agricultural development as emphasized in the latest IFAD COSOP for China. In future the Project could aim higher for creating enabling environment for integrating the IEM approach as part of development policy formulation.

→ **Recommendation:** The scope of policy work and rationale could be strengthened in the Project document, making clearer linkage to IFAD's RB-COSOP and government's related policies. For Projects designed to address complex problems of environmental and ecosystem degradation, an integrated and multi-sectoral approach to policy making and planning should be adopted to ensure that these problems are addressed in a comprehensive and inter-sectoral manner.

108. Greater community involvement in natural resources and ecosystem management: In the past insufficient attention has been given to balancing sustainable livelihoods with sustainable ecosystems. Natural resource management issues and problems need to be addressed through effective public participation mechanisms and incentives policy that clearly address the causes of poverty and define the roles and functions as well as the benefits that communities may derive through their perception of priority actions and embrace their active participation.

→ **Recommendation:** Developing VDEPs becomes a part of development a planning exercise, mobilizing the enthusiasm of rural communities and private sector to address environment-related problems. This facilitates finding practical and realistic solutions to address the environment and poverty challenges at its roots.

109. Project M&E indicators and monitoring system: The identification and the scoping of SMART Project indicators need to fit the ambition for the Project and the resources available to deliver. Insufficient priority has been given to define the baseline indicators for Projects to provide the basis of comparison for Project outcomes, outputs and activities. There has been insufficient understanding of the importance of defining baseline indicators and reporting of time-bound achievements within the Project logical framework. The IEM approach also requires to include indicators that could specify whether the livelihoods results and ecosystem conservation will be sustainable and whether follow-up investment will be necessary and forthcoming.

→ **Recommendation:** For future conservation-related Projects, considerable effort and debate should be put into developing SMART indicators at the outcome and output levels to provide a solid quantitative assessment about impact of the restoration on improvement of biodiversity richness. Effort should be made to ensure that indicators are not ambiguous and not too difficult in measuring harmonization of environment and economic benefit.

110. Sharing of IEM knowledge products and programmatic approach experience: The TER team noticed that at the GEF-PRC partnership programme level, extensive efforts were made to record and transfer knowledge and technology of the IEM approaches. Yet the Project could have better and more contributed to the programme-level knowledge management if the opportunities and publications are better coordinated in terms of timing. It was acknowledged that the Project had put a lot of effort to overcome traditional barriers of insufficient availability of data and relevant information on natural resources and ecosystem management. A more systematic manner of sharing pilot case studies to demonstrate new initiatives could have enhanced the Project's visibility and more

opportunities to link with other development partners' project approach and implementation. Also it is worth to pursue more strongly on establishing GIS-based monitoring system.

→ **Recommendation:** Develop a knowledge management strategy which specifies the target audience and distribution level per product as well as linkages among products. Enhance the GIS database management systems established in each Province by clarifying and harmonizing data for analysis at the project level (beyond the provincial level) and connect it to patrolling, fire prevention, biodiversity monitoring. In addition, user Manuals for practical users of the GIS/database should be provided to make on-going post-Project use of the GIS/database. Finally, IFAD and its leading partners may explore an institutionally and financially practical way to share experiences and knowledge from IFAD funded Projects in China (Project concepts, approaches, mechanisms, tools, guidelines, policy recommendations and other key knowledge products) and policy recommendations to IFAD and China for strengthened exchange and experiences sharing between IFAD funded Projects in China and in other developing countries.

Appendix 1: Summary of Project status and ratings

Table A1.1: Attainment of Objectives and Planned Results

| Impacts | Objectively Verifiable Indicators | | Achievements | Rating |
|---|--|--|--|--------|
| | Indicators (Original/Revised) | Means of Verification | Attainment of Objectives & Planned Results | |
| GOAL | | | | |
| The goal of the proposed Full-size Project is to achieve significant reductions in loss of biodiversity (BD) through addressing non-sustainable land use practices and the underlying causal factor of poverty in selected dryland ecosystems affected by land degradation (LD) in three Provinces in China's Western Region. | <ul style="list-style-type: none"> Replication of Project approach in other national programs to address the issue of LD and its impact on the conservation of biodiversity in arid and semi-arid ecosystems. (none at Project start) Trend of biodiversity loss in sites where SLM is adopted (Baseline: more than 27% of species are considered threatened in China) The vegetation cover improved by 3% of Project area (Shanxi); Reduction in erosion on grassland sites by 25 % over 5 years (baseline value 40 % of eroded land in IEM sites) The area of desertification reduced 3% (Ningxia, baseline is 580,000 h.m²) | <ul style="list-style-type: none"> New government programs Project documents and annual reports describing up-take of the IEM approach by other international funding agencies working in China. | <ul style="list-style-type: none"> 3 IFAD Projects in China (Qinghai, Jiangxi and Xinjiang), namely IFAD Jiangxi Integrated Agricultural Development Project, IFAD/Qinghai Poverty Alleviation Program, and IFAD/Xinjiang Integrated Agricultural Development Project. 1 WB Project in Gansu, namely WB/Gansu Demonstration Project on Poverty Alleviation by Industry Development 2 ADB Projects in Shanxi and Gansu, namely ADB/Gansu and ADB/Shanxi Agricultural Development Projects Gucheng Wetland National Park in Yuanqu County of Shanxi No biodiversity loss increased in 3 Project areas in 3 Provinces The vegetation cover was improved from 80% in 2011 to 83% in 2015 (Shanxi) The land productivity improved 7.7% of Project area (Gansu, corn achieved productivity gain to nearly 700kg/mu/yr corn in 2015) The area of desertification reduced by 4.9% (Ningxia 552,000 km² in 2015) | |

| OBJECTIVES | | | | |
|--|---|---|---|--|
| Development Objective (Grant Purpose) To achieve a sustainable increase in productive capacity, both on and off farm, and to offer increased access to economic and social resources including education, health and social networks while improving the bio-physical environment in China's Western Region. | <ul style="list-style-type: none"> Reduction of poverty population at the Project sites by 20-30% through adoption of sustainable land use practices. Targets at baseline for the baseline intervention: 800.000 people in Ningxia, 1.500.000 people in Gansu and 530.000 people in Shanxi. | <ul style="list-style-type: none"> Village surveys M&E system and reports | <ul style="list-style-type: none"> Gansu: Those in poverty reduced from 145,700 in 2011 to 50,470 in 2015, representing a reduction of 65.4%. Shanxi: dropped from 154,600 in 2011 to 85,150 in 2015, representing a reduction of 45% Ningxia: dropped from 40,580 in 2011 to 34,046 in 2015, representing a reduction of 16.1% | |
| Global Environmental Objectives Demonstrating cross-area synergies associated with the development of and implementation of site-specific IEM strategies leading to (i) increases in biodiversity conserved; (ii) partial restoration of ecosystem integrity and recovery of underlying functions and services; and (iii) promotion and of use of appropriate renewable energy technologies designed to reduce pressure of forest resources and Project sites. | <ul style="list-style-type: none"> Development and implementation of IEM plans lead to: (a) no decrease in biodiversity richness over 5 years measured by total number of species and diversity per unit area (baseline PY 1) and (b) The land productivity improved 5% of Project area (Gansu, as example of corn baseline, 650kg/mu/yr The vegetation cover improved by 3% of Project area (Shanxi); The area of desertification reduced 3% (Ningxia, baseline is 580,000 h^{mm}²) Reduction in erosion on grassland sites by 25 % over 5 years (baseline value 40 % of eroded land in IEM sites) | <ul style="list-style-type: none"> Technical field studies | <ul style="list-style-type: none"> 3 (1 GS, 1 NX, 1 SX) The land productivity improved 7.7% of Project area (Gansu, corn achieved productivity gain to nearly 700kg/mu/yr corn in 2015) The vegetation cover was improved from 80% in 2011 to 83% in 2015 (Shanxi) The area of desertification reduced by 4.9% (Ningxia 552,000 km² in 2015) Reduction of erosion in grasslands by 22% GS, 25% NX, 75% SX | |

| OUTCOME LEVEL | | | | |
|---|---|---|--|--|
| COMPONENT 1: Planning, policy re-alignment and institutional strengthening | | | | |
| Outcome 1.1: Improved policy formulation in support of biodiversity and mainstreaming of biodiversity principles in local/provincial policy frameworks and processes. | <ul style="list-style-type: none"> • IEM plan will be endorsed by 1 or more provincial environmental protection agencies (none at baseline) • IEM plan recommendations will be implemented by County governments through passage of regulations (1-NX), (2-GS), (3-SX) – none at baseline • Adoption of IEM plan and recommendations and findings of PES study in the formulation of 12th 5 year development plans counties) – none at baseline | <ul style="list-style-type: none"> • Legal documents • Official declarations • 12th 5 year County development plans | <ul style="list-style-type: none"> • 3 (1 GS, 1 NX, 1 SX) • 6 (2 GS, 1 NX, 3 SX) • 6 GS, 6 NX, 8 SX | |
| COMPONENT 2: Community-based Ecological Planning & Restoration & Alternative and sustainable Livelihoods | | | | |
| Outcome 2.1: Widespread inclusion of ecological principles in the village planning process | <ul style="list-style-type: none"> • % of successful implementation of native trees (Ref baseline value at PY1) • IFAD villages outside of IEM Project sites adopt VDEPs | <ul style="list-style-type: none"> • VDEPs • VIG annual reports | <ul style="list-style-type: none"> • 84% GS, 72% NX, 60% SX • 53% GS, 100% NX, 60% SX | |
| Outcome 2.2: Adoption and up-scaling of validated alternative livelihood options designed to reduce poverty and pressure on biodiversity resources in and adjacent to existing PAs. | <ul style="list-style-type: none"> • 25% of illegal harvesting of medicinal herbs, fungi and Seabuckthorn fruit is reduced (SX); 25 % of illegal fuelwood, grazing and medicinal herbs reduced (GS); illegal grazing and medicinal herbs reduced by 30 %. (NX) | <ul style="list-style-type: none"> • IFAD M&E reports • PA monitoring and annual reports | 4% GS, Almost eliminated, NX, 80% SX | |

| COMPONENT 3: Protected Areas and Biodiversity Conservation | | | | |
|--|--|---|--|--|
| Outcome 3.1: Increased protection of biodiversity and sustainability of PAs and strengthening of PA system nationally. | <ul style="list-style-type: none"> PA management effectiveness is increased by 30 % (scorecard value increases from baseline value of 31 to 40) over 5 years (SX); GZ scorecard increased 20 %; NX scorecard by 30 % (from baseline value of 33 – 43); specific increases in scores for local community participation in each PA (Scorecard # 23). Provincial PA upgraded to national PA (GS) | <ul style="list-style-type: none"> Score cards Official declaration of new designated PA status | <ul style="list-style-type: none"> 30% GS (Scorecard increased 51) 30% NX (Scorecard increased 20%) 30% SX (Scorecard increased 20) 1 (GS) | |
| Outcome 3.2. Partial restoration of ecological “goods and services” provided by the ecosystem. | <ul style="list-style-type: none"> Reduction in erosion on grassland sites by 25 % over 5 years (40 % of land at baseline) No reduction in populations of 3 indicator species of international importance in sites – baseline value: population of selected key species at PY1 (GS Betula, SX: Brown Eared Pheasant, NX Licorice) 108,000 mu of natural grassland restored by PY5 – existing baseline (grass land extends over 3120 sqkm in Nigxia and 36.1 sqkm in Shanxi) | <ul style="list-style-type: none"> Field studies from Agricultural bureau | <ul style="list-style-type: none"> 22% GS, 25% NX, 75% SX 0 GS, 0 NX, 0 SX 234,000 (8,000 GS, 196,000 NX, 30,000 SX) | |
| COMPONENT 4: Increasing Public Awareness | | | | |
| Outcome 4.1: Increased public Awareness and support for conservation of biodiversity, LD control, ecosystem protection in and around the PS. | <ul style="list-style-type: none"> 50% increase in participation of IEM site villagers in 3 annual provincial environmental events (tree planting month, environmental day, earth day); from none at baseline 20 % increase in average scores of participants participating in knowledge quizzes in each Province. Baseline value score at PY1 | <ul style="list-style-type: none"> Village surveys Results from knowledge quizzes M&E system and reports | <ul style="list-style-type: none"> 55% GS, 50% NX, 50% SX 31% GS, 20% NX, 30% SX | |

| COMPONENT 5: Project Management, M&E & Knowledge Management (Information Dissemination) | | | | |
|---|--|--|---|--|
| Outcome 5.1: An effectively managed Project that achieves its stated objectives and serves as a useful model to support replication both in intra- and extra-provincial areas. | <ul style="list-style-type: none"> • GEF reporting requirements complied with in a timely and satisfactory manner. | <ul style="list-style-type: none"> • Reports and dates of submission | <ul style="list-style-type: none"> • Complied with reporting requirements. | |
| Outcome 5.2: Project well monitored and potential risks identified and resolved early. | <ul style="list-style-type: none"> • GEF reporting requirements complied with in a timely and satisfactory manner. | <ul style="list-style-type: none"> • Reports and dates of submission | <ul style="list-style-type: none"> • Timely submission | |
| Outcome 5.3: Increased development and adaptation of IEM approaches designed to conserve biodiversity conservation in arid/semi-arid landscapes in China's Western Provinces through addressing issues of land degradation and poverty. | <ul style="list-style-type: none"> • Up to 3 "best practices" adopted in 10 other PAs in each participating Province. None at baseline • Up to 3 "best practices" of IEM replicated in at least one other IFAD Project. None at baseline | <ul style="list-style-type: none"> • Annual reports from Provincial SFA • IFAD Project preparation documents | <ul style="list-style-type: none"> • 6 GS, 3 NX, 3SX • 3 GS, 3 NX, 3 SX | |

Table A1.2: Achievement of Outputs and Activities

| Outputs/Sub-component | Verifiable Indicators | Planned Targets | Achieved Outputs & Activities | % |
|---|---|-----------------|--|---|
| GANSU LOGFRAME | | | | |
| Component 1: Planning, Policy and Institutional Strengthening | | | | |
| Sub-component 1A: Planning | | | | |
| Output 1.1. To develop a County-specific IEM plan that will provide provincial, County and local government the basis and guidance to integrate environmental planning principles into decision-making processes in the short-term (Project life) and long-term (15 years) to achieve sustainable development objectives. | <ul style="list-style-type: none"> • Site-specific IEM plan with a 15 year time horizon • Institutional arrangements for IEM plan implementation established. | | <ul style="list-style-type: none"> • Integrated Ecosystem Management Plan for Mount Taizi National Nature Reserve (for next 15 years), Gansu Province, Integrated Ecosystem Management Plan for Guangtong River Basin, Gansu Province, developed • Established and institutionally and operationally successfully. | |
| Sub-component 1B: Policy | | | | |
| Output 1.2a: Payment for environmental services study | • PES study and draft policy recommendations formulated | 1 | • Research on ecological compensation of poverty alleviation and ecological restoration countermeasures completed and well received by line agencies | |
| Output 1.2b: Public grasslands management and regulation study | • Public grasslands management study | 1 | • Research on animal husbandry and grasslands management in Linxia Prefect, Gansu, completed | |
| Sub-component 1C: Institutional Strengthening | | | | |
| Output 1.3: Strengthen township – level farmer associations and provincial and township main line agencies (MLAs) | <ul style="list-style-type: none"> • 5,000 farmers trained • 200 agricultural technicians trained • 30 in-country study tours • 30 cross provincial site visits | | <ul style="list-style-type: none"> • 5,086 famers trained • 200 agricultural technicians trained • 38 people participated in domestic learning and exchanges • 30 people took part in the trans-provincial field trips | |

| Component 2: Community-based Ecological Planning & Restoration and Alternative Sustainable Livelihoods | | | | |
|---|---|--|---|--|
| Sub-component 2A: Community-based Ecological Planning and Restoration | | | | |
| Output 2.1: Preparation of Village Development & Environment Plans (VDEPs). | <ul style="list-style-type: none"> • Revision and development of 178 VDEPs completed | | <ul style="list-style-type: none"> • Completed successfully | |
| Output 2.2: Implementation of VDEPs in villages selected as demonstration sites through support for xxx sub-Projects. | <ul style="list-style-type: none"> • 10 VDEPs implemented | | <ul style="list-style-type: none"> • Completed successfully | |
| Sub-component 2B: Alternative Sustainable Livelihoods | | | | |
| Output 2.3: Implementation of Alternative / Sustainable Livelihoods Activities | <ul style="list-style-type: none"> • 6,000 mu of medicinal herbs planted • 10,000 mu of native tree species planted • Biogas alternative energy technology provided in 1,600 households • 6,000 mu of artificial pasture planted • 3,000 sheep sheds provided to support cut and carry system | | <ul style="list-style-type: none"> • 7,000mu (equivalent to 467 ha) medical herbal planted • 12,202mu (equivalent to 813 ha) local trees planted • 5,540 biogas digesters constructed • 7,551mu (about 503 hectares) artificial pasture planted • 3,250 sheep sheds provided | |
| Component 3: Protected Areas and Biodiversity Conservation | | | | |
| Sub-component 3A: Protected Areas | | | | |
| Output 3.1: Development of Protected Area Management Plan for Mount Taizi NNR | <ul style="list-style-type: none"> • Mount Taizi NNR Master Plan developed • Mount Taizi Management Plan developed | | <ul style="list-style-type: none"> • Master Plan completed and endorsed by SFA • Management Plan completed and endorsed by SFA | |
| Output 3.2: Implementation of PA Master and Management Plan for Mount Taizi NNR | <ul style="list-style-type: none"> • Mount. Taizi NNR demarcated with sign posts/markers • Spatial database of PA created • Fire prevention program strengthened • One Eco-tourism Development Plan prepared • One NNR field patrol system strengthened • Biodiversity monitoring program established | | <ul style="list-style-type: none"> • 45 boundary signs and 292 boundary markers set up • A spatial database of Mount Tiazi NNR established • 1 forest fire prevention system strengthened • One Eco-tourism Development Plan prepared • One Mount Taizi NNR field patrol system strengthened • Biodiversity monitoring system established with 2x biodiversity monitoring sets of equipment | |

| | | | | |
|---|---|--|---|--|
| | <ul style="list-style-type: none"> • GIS spatial database established • 50,000mu of mining - associated degraded land reclaimed • 300 County villagers participated in PA awareness activities • Capacity of PA staff increased • One proposal to promote Provincial PA to NNR | | <ul style="list-style-type: none"> • GIS spatial database of Tiazi Mt. NNR established • 56,923 Mu of mining associated degraded land reclaimed • 624 villagers participated in PA awareness activities • Organized 22 trainings for PA staff • 1 proposal to promote Provincial PA to NNR developed by Mount Taizi PA and IFAD/GEF PMO and endorsed by SFA | |
| Sub-component 3B: Biodiversity Conservation | | | | |
| Output 3.3: Increased natural habitat and biodiversity richness in areas adjacent to and associated with the Mount Taizi NNR | <ul style="list-style-type: none"> • 8,000mu of natural grassland restored: | | <ul style="list-style-type: none"> • 8,000mu (equivalent to 533 ha) natural pasture restored | |
| Component 4: Increasing Public Awareness | | | | |
| Output 4.1: Increase levels of awareness among local farmers and farmer associations, decision-makers, and the public at large of the significance of the County's critical ecosystems and their role in providing "goods and services," including biodiversity, existing status and threats associated with land degradation and opportunities that exist to address the situation through incorporating alternative and sustainable livelihoods and biodiversity conservation principles and objectives into an ecosystem-based approach. | <ul style="list-style-type: none"> • 10,000 Environmental awareness pamphlets produced & distributed • 400 Decision-makers participated in environmental awareness activities • 3 Knowledge quizzes | | <ul style="list-style-type: none"> • 10,000 Environmental awareness pamphlets produced & distributed • 704 Decision makers participated in environmental awareness activities • 3 Knowledge quizzes conducted • Set of equipment for public awareness enhancement provided • 2 videos on environment protection developed • 2 public awareness campaigns • 1 environmental advocacy documentary developed • 1 online App platform on environmental protection developed and operationalized | |

| Component 5: Project Management, M&E, Knowledge Management (Information Dissemination) | | | | |
|---|--|--|---|--|
| Sub-component 5A: Project Management | | | | |
| Output 5.1: PMO coordination unit strengthened to manage and coordinate GEF-supported activities | <ul style="list-style-type: none"> • One Provincial inception workshop • 10 Provincial management workshops • One PT provincial Project coordinator hired • Office equipment purchased (Province) • County inception workshops & management • County management workshops • 10 VIG consultation workshops • Office equipment purchased at Counties & Provinces | | <ul style="list-style-type: none"> • 1 kick-off meeting at provincial level held • 10 Project management workshops at provincial level organized • 1 part-time provincial Project coordinator recruited • 1 set of office equipment (provincial level) purchased • 2 County inception workshops conducted • 10 County management workshops conducted • 10 VIG workshops organized • 3 sets of office equipment (County level) purchased | |
| Sub-component 5B: Monitoring and Evaluation | | | | |
| Output 5.2: Existing IFAD M&E unit strengthened to monitor GEF supported activities | <ul style="list-style-type: none"> • One M&E plan • 10 Provincial M&E workshops • 10 County M&E workshops | | <ul style="list-style-type: none"> • An M&E Plan completed • 10 Provincial M&E Workshops completed • 10 County M&E Workshops completed | |
| Sub-component 5C: Knowledge Management & Information Dissemination | | | | |
| Output 5.3: Knowledge management system established and implemented | <ul style="list-style-type: none"> • One Set of computer equipment • 10 Issues of Project Newsletter • One Project website established and upgraded monthly | | <ul style="list-style-type: none"> • 1 set of computer equipment purchased • 18 Issues of Project newsletters issued • 1 Project-dedicated online special column established based on Official website of Department of Agriculture and Animal Husbandry f Gansu and updated regularly • Release information about environment protection | |

| NINGXIA LOGFRAME | | | | |
|---|---|--|---|--|
| Component 1: Planning, Policy and Institutional Strengthening | | | | |
| Sub-component 1A: Planning | | | | |
| Output 1.1. To develop a County-specific IEM plan that will provide provincial, County and local government the basis and guidance to integrate environmental planning principles into decision-making processes in the short-term (Project life) and long-term (15 years) to achieve sustainable development objectives. | <ul style="list-style-type: none"> • An IEM plan developed to be adopted by County Government as basis for Strategic Development Plan of line bureaux • Institutional arrangements for IEM plan implementation established. | | <ul style="list-style-type: none"> • An IEM Plan for Yanchi County (for next 15 years), Ningxia, developed • Institutional arrangements for IEM Plan implementation established | |
| Sub-component 1B: Policy | | | | |
| Output 1.2a: Payment for environmental services study | <ul style="list-style-type: none"> • PES study produced and endorsed by Government and/or approved by local Government | | <ul style="list-style-type: none"> • Research Report on Eco-compensation in Yanchi County of Ningxia, completed | |
| Sub-component 1C: Institutional Strengthening | | | | |
| Output 1.3: Strengthen township – local farmer associations and provincial and township main line agencies (MLAs) | <ul style="list-style-type: none"> • 5 Farmers associations strengthened • 10,000 farmers trained • 450 agricultural technicians trained • 5 County decision making workshops • 10 Technician training workshops at County level • 25 Technician training workshops at Township • 50 Cross-site visits | | <ul style="list-style-type: none"> • 5 Farmers associations strengthened • 10,037 farmers trained • 10 County decision making workshops completed • 25 Technician training workshops at Township completed • 20 participants participated in cross-site visits • 51 participants participated in cross Province visit | |

| Component 2: Community-based Ecological Planning & Restoration and Alternative Sustainable Livelihoods | | | | |
|---|---|--|---|--|
| Sub-component 2A: Community-based Ecological Planning and Restoration | | | | |
| Output 2.1: Preparation of Village Development & Environment Plans (VDEPs). | <ul style="list-style-type: none"> • 58 village VDEPs covering aspects of Biodiversity Conservation | | <ul style="list-style-type: none"> • 58 VDEP in 5 townships developed | |
| Output 2.2: Implementation of VDEPs in villages selected as demonstration sites through support for sub-Projects. | <ul style="list-style-type: none"> • 10 VDEPs implemented | | <ul style="list-style-type: none"> • 10 VDEPs implemented | |
| Sub-component 2B: Alternative Sustainable Livelihoods | | | | |
| Output 2.3: Implementation of Alternative / Sustainable Livelihoods Activities 2.3.1 Liquorice Nursery Transplanting 2.3.2 Warm shed livestock production/sheep raising | <ul style="list-style-type: none"> • 2000 Mu Liquorice Nursery Transplanted • 549 warm livestock sheds established • 5900 sheep raised • 8500 Mu artificial pasture planted | | <ul style="list-style-type: none"> • 2000 Mu Liquorice Nursery Transplanted • 1,037 weatherproof livestock sheds established • 7,195 sheep and 60 deer raised • 8,447 Mu artificial pasture planted | |
| Component 3: Protected Areas and Biodiversity Conservation | | | | |
| Sub-component 3A: Protected Areas | | | | |
| Output 3.1: Development of Protected Area Master and Management Plans | <ul style="list-style-type: none"> • One PA Master Plan prepared and approved by Provincial Environment Protection Agency • One PA Management Plan prepared and approved by the Provincial Environment Protection Agency (PEPA) | | <ul style="list-style-type: none"> • One Master Plan for Haba Lake NNR prepared and approved by SFA and PEPA • One Haba Lake NNR Management Plan prepared and approved by SFA and PEPA | |

| | | | | |
|---|---|--|---|--|
| Output 3.2: Implementation of PA Master and Management Plan | <ul style="list-style-type: none"> • PA demarcated with sign posts/markers • One baseline survey PA completed • PA patrol law enforcement strengthened • One association enforcement program with other agencies strengthened • One fire control strengthened • 4,800ha of riparian vegetation and 10 ha of wetland restored • Wildlife habitat restored • One public awareness program strengthened • One Spatial database of PA created • One Biodiversity monitoring program established • One institutional program strengthened • One program of human capacity development implemented • 75000 Mu of mined-associated degraded land reclaimed • 200 staff training for PA | | <ul style="list-style-type: none"> • 580 boarder markers established • Baseline survey PA completed • Scientific Investigation Report completed and published; • 1 Management Decree developed and submitted to County PC for review and endorsement • 1 Co-management plan developed and implemented • 1 set of fire prevention monitoring system procured and operationalized • 4,800 ha of riparian vegetation 175ha of wetland restored • 30 ha Wildlife habitat restored • 22 public awareness promotion activities conducted • 1 Spatial database of PA/NNR created • 1 Biodiversity monitoring program established and implemented twice a year • Development of Biodiversity Monitoring Manual • 14 training workshops organized for NNR staff members; • 1 Communications and Education Centre established and operationalized • 1 Management Station established • 81,780 Mu of mined-associated degraded land reclaimed • 261 staff training for PA | |
|---|---|--|---|--|

| Sub-component 3B: Biodiversity Conservation | | | | |
|--|---|--|---|--|
| Output 3.3: Rehabilitation of natural grasslands | <ul style="list-style-type: none"> • 70,000 mu of natural grassland rehabilitated | | <ul style="list-style-type: none"> • 195,587 Mu (equivalent to 13,039ha) of natural grassland rehabilitated | |
| Component 4: Increasing Public Awareness | | | | |
| Output 4.1: Increase levels of awareness among local farmers and farmer associations, decision-makers, and the public at large of the significance of the County's critical ecosystems and their role in providing "goods and services," existing status and threats associated with land degradation and opportunities that exist to address the situation through incorporating alternative and sustainable livelihoods and biodiversity conservation principles and objectives into an ecosystem based approach | <ul style="list-style-type: none"> • 10,000 farmers participated in environmental awareness workshops • 3 Knowledge quizzes • 60 Environmental cultural events • 10,000 Farmer participated in environmental awareness activities • 3 Festival cultural events | | <ul style="list-style-type: none"> • 10,061 farmers participated in environmental awareness workshops • 3 Knowledge quizzes conducted • 60 Environmental cultural events • 10,254 Farmer participated in environmental awareness activities • 3 Festival cultural events conducted | |

| Component 5: Project Management, M&E, Knowledge Management (Information Dissemination) | | | | |
|---|---|--|--|--|
| Sub-component 5A: Project Management | | | | |
| Output 5.1: PMO coordination unit strengthened to manage and coordinate GEF-supported activities | <ul style="list-style-type: none"> • One Provincial inception workshop • 5 Provincial management workshops • PT provincial Project coordinator hired • Provincial Project coordinator hired • Office equipment purchased • One County inception workshop & management • 5 VIG consultation workshops | | <ul style="list-style-type: none"> • 1 Provincial inception workshop organized • 4 Provincial management workshops organized • 1 PT provincial Project coordinator hired • Provincial Project coordinator hired • 1 set of Office equipment purchased • 1 County inception workshop & management organized • 4 VIG consultation workshops | |
| Sub-component 5B: Monitoring and Evaluation | | | | |
| Output 5.2: Existing IFAD M&E unit strengthened to monitor GEF supported activities | <ul style="list-style-type: none"> • M&E plan developed • 5 Provincial M&E workshops • 5 County M&E workshops | | <ul style="list-style-type: none"> • M&E plan developed • 5 Provincial M&E workshops organized • 5 County M&E workshops organized | |
| Sub-component 5C: Knowledge Management & Information Dissemination | | | | |
| Output 5.3: Knowledge management system established and implemented | <ul style="list-style-type: none"> • One set of computer equipment • 10 Issues of Project newsletter • One Project website established and upgraded/updated monthly | | <ul style="list-style-type: none"> • 1 set of computer equipment purchased; • 6 issue of Project newsletter • 1 Project section on websites of Ningxia Forestry Administration and Haba Lake National Nature Reserve in Ningxia | |

| SHANXI LOGFRAME | | | | |
|--|---|--|---|--|
| Component 1: Planning, Policy and Institutional Strengthening | | | | |
| Sub-component 1A: Planning | | | | |
| Output 1.1. To develop a County-specific IEM plan with a 15 year time horizon that will provide provincial, County and local government the basis for long term ecological planning, provide guidance for Project interventions (short term) and support sustainable development objectives (long term). | <ul style="list-style-type: none"> • IEM plan prepared with a 15 year time horizon and submitted to Provincial Environmental Planning Agency (PEPA) • Institutional arrangements for IEM plan implementation established. | | <ul style="list-style-type: none"> • Integrated Ecosystem Management Plan for Mount Luya National Nature Reserve (for next 15 years), Shanxi Province, developed. | |
| Sub-component 1B: Policy | | | | |
| Output 1.2: Ecological compensation study | <ul style="list-style-type: none"> • PES study produced and endorsed by local Government | | <ul style="list-style-type: none"> • Research on Mechanisms and Policies for Eco-compensation in Mount Luya NNR, Shanxi Province, completed | |
| Sub-component 1C: Institutional Strengthening | | | | |
| Output 1.3: Strengthen township – level farmer associations and provincial and township main line agencies (MLAs) | <ul style="list-style-type: none"> • 5 Farmers associations established and trained • 5,000 farmers trained • 400 technicians trained • 50 cross-site visits completed | | <ul style="list-style-type: none"> • 5 farmers associations established and trained; • 5,000 farmers trained; • 450 technician trained; • 50 participants participated in cross Province visit; • 30 participants participated in cross site visit | |
| Component 2: Community-based Ecological Planning & Restoration and Alternative Sustainable Livelihoods | | | | |
| Sub-component 2A: Community-based Ecological Planning and Restoration | | | | |
| Output 2.1: Preparation of Village Development & Environment Plans (VDEPs). | <ul style="list-style-type: none"> • 213 VDEPs prepared | | <ul style="list-style-type: none"> • 213 VDEP completed in 8 Townships | |
| Output 2.2: Implementation of VDEPs | <ul style="list-style-type: none"> • 10 VDEPs implemented | | <ul style="list-style-type: none"> • 11 VDEPs implemented | |

| Sub-component 2B: Alternative /Sustainable Livelihoods | | | | |
|--|--|--|--|--|
| Output 2.3: Implementation of Alternative/Sustainable Livelihoods Activities | <ul style="list-style-type: none"> • 2,800 mu of medicinal herbs planted • 2,500mu of Seabuckthorn fruit planted • 22,500 mu of native pasture planted | | <ul style="list-style-type: none"> • 3,100 Mu (equivalent to 206 ha) of medical herbs planted; • 3,000 Mu (equivalent to 200 ha) of indigenous trees planted • 22,500 Mu (equivalent to 1,500 ha) of native pasture planned | |
| Component 3: Protected Areas and Biodiversity Conservation | | | | |
| Sub-component 3A: Protected Areas | | | | |
| Output 3.1: Development of a Protected Area Master Plan and Management Plan | <ul style="list-style-type: none"> • One PA Master Plan prepared and endorsed • One PA Management Plan prepared and endorsed | | <ul style="list-style-type: none"> • NNR Master Plan prepared and endorsed by PEPA and SFA • NNR Management Plan prepared and endorsed by PEPA and SFA | |
| Output 3.2: Implementation of a PA Master and Management plan | <ul style="list-style-type: none"> • 650 PA demarcated with sign posts and markers • One baseline survey of PA completed • One Spatial database of PA created • Human capacity development completed • Biodiversity monitoring program established • Field patrol system strengthened • Forest fire prevention program strengthened • Ecotourism development plan prepared | | <ul style="list-style-type: none"> • 650 boarder markers established • One baseline survey of PA completed • 1 Spatial database of PA created • 15 training workshops for PA staff organized; • 1 Biodiversity monitoring program established • 1 Patrolling system established and operationalized • 1 fire prevention monitoring system established • Ecotourism development plan prepared | |

| Sub-component 3B: Biodiversity Conservation | | | | |
|---|--|--|---|--|
| Output 3.3: Rehabilitation of natural grasslands | <ul style="list-style-type: none"> • 30,000mu of natural grassland rehabilitated | | <ul style="list-style-type: none"> • 105 mu (7 ha) of natural grassland rehabilitated?? | |
| Component 4: Increasing Public Awareness | | | | |
| Output 4.1: Increase levels of awareness among local farmers and farmer associations, decision-makers, and the public at large of the significance of the County's critical ecosystems and their role in providing "goods and services," including biodiversity, existing status and threats associated with land degradation and opportunities that exist to address the situation through incorporating alternative and sustainable livelihoods and biodiversity conservation principles and objectives into an ecosystem-based approach. | <ul style="list-style-type: none"> • 32,000 pamphlets printed and distributed • 5 environmental summer camps • 3 session for decision-makers participate in public awareness workshops • 3 Knowledge quizzes conducted | | <ul style="list-style-type: none"> • 32,000 pamphlets printed and distributed • 7 environmental summer camps • 3 workshops for decision-makers participated in public awareness workshops • 3 Knowledge quizzes conducted | |

| Component 5: Project Management, M&E, Knowledge Management (Information Dissemination) | | | | |
|---|---|--|--|--|
| Sub-component 5A: Project Management | | | | |
| Output 5.1: PMO coordination unit strengthened to manage and coordinate GEF-supported activities | <ul style="list-style-type: none"> • One Provincial inception workshop • 5 provincial management workshop • One Provincial Project Coordinator appointed • 3 County inception workshops conducted • Office equipment purchased at Counties & Provinces | | <ul style="list-style-type: none"> • 1 provincial kickoff workshop organized; • 10 provincial workshops on Project management; • 1 provincial Project coordinator hired; • 1 set of office equipments purchased (Provincial level) • 3 sets of office equipments purchased (County level) | |
| Sub-component 5B: Monitoring and Evaluation | | | | |
| Output 5.2: Existing IFAD M&E unit strengthened to monitor GEF supported activities | <ul style="list-style-type: none"> • M&E plans established • 5 Provincial M&E workshops conducted • 17 County M&E workshops | | <ul style="list-style-type: none"> • 1 M&E plan developed • 5 Provincial level M&E workshops conducted; • 16 County level M&E workshops organized | |
| Sub-component 5C: Knowledge Management & Information Dissemination) | | | | |
| Output 5.3: Knowledge management system established and implemented | <ul style="list-style-type: none"> • 5 issues of Project Newsletter | | <ul style="list-style-type: none"> • 10 issues of Project Newsletter | |

Table A1.3: Aggregated Achievements by Component and Indicator

| Components | Indicators | Unit | Indicator level | Appraisal | Accumulative achievement | % |
|---|--|--------|-----------------|-----------|--------------------------|-----|
| Planning, Policy and Institutional Strengthening | 1.1 Site-specific IEM plan with a 15 year time horizon | number | 1st | 3 | 3 | 100 |
| | 1.2a PES study and draft policy recommendations formulated | number | 1st | 3 | 3 | 100 |
| | 1.2b Public grasslands management study | number | 1st | 1 | 1 | 100 |
| | 1.2 Farmers Associations Established | number | 1st | 5 | 5 | 100 |
| | 1.3a Farmers trained | number | 1st | 20,000 | 20,123 | 101 |
| | 1.3b Agriculture technicians trained | number | 1st | 650 | 650 | 100 |
| | 1.3c In-country study tours | number | 1st | 125 | 134 | 107 |
| | 1.3d Cross provincial site visits | number | 1st | 30 | 30 | 100 |
| Community-based Ecological Planning & Restoration and Alternative/Sustainable Livelihoods | 2.1 Revision and development of VDEPs completed VDEP | number | 1st | 444 | 444 | 100 |
| | 2.2 VDEPs implemented VDEP | number | 1st | 30 | 31 | 103 |
| | 2.3a Area of medicinal herbs planted | mu | 1st | 11,800 | 12,100 | 103 |
| | 2.3b Area of native tree species planted | mu | 1st | 11,100 | 15,202 | 137 |
| | 2.3c Households provided with biogas alternative energy technology | number | 1st | 1,600 | 5,540 | 346 |
| | 2.3d Area of artificial pasture planted | mu | 1st | 37,000 | 38,498 | 104 |
| | 2.3e Sheep sheds provided to support cut and carry system | number | 1st | 8,900 | 10,715 | 120 |
| | Ring feeding deer | number | 1st | 60 | 60 | 100 |
| PA and Biodiversity Conservation | 3.1 PA & NNR master and management plans | number | 1st | 3 | 3 | 100 |
| | 3.2a PA demarcated with sign posts and markers | number | 1st | 990 | 1,002 | 101 |
| | 3.2b Demarcation boards | number | 1st | 520 | 565 | 109 |
| | 3.2c Eco-tourism development plan prepared | number | 1st | 3 | 3 | 100 |
| | 3.2d Biodiversity monitoring program established | number | 1st | 9 | 9 | 100 |
| | 3.2e GIS spatial data base established | number | 1st | 3 | 3 | 100 |
| | 3.2f Area of mined-associated degraded land reclaimed | mu | 1st | 125,000 | 138,703 | 111 |

| | | | | | | |
|---|---|--------|-----|---------|---------|-----|
| | 3.2g Count/village residents participate in PA awareness activities | number | 1st | 600 | 899 | 150 |
| | 3.2h Proposal to promote provincial PA to national PA | number | 1st | 1 | 1 | 100 |
| | 3.3 Area of natural grassland restored | mu | 1st | 108,000 | 204,440 | 189 |
| Increasing Public Awareness | 4.1a Environmental awareness pamphlets produced/distributed | number | 1st | 52,000 | 62,000 | 119 |
| | 4.1b Decision makers participated in environmental awareness activities | number | 1st | 403 | 707 | 175 |
| | 4.1c Knowledge quizzes | number | 1st | 9 | 9 | 100 |
| | 4.1d Thematic summer camp | number | 1st | 65 | 77 | 118 |
| Project Management, M&E and Information Dissemination | 5.1a Provincial inception workshop | number | 1st | 3 | 3 | 100 |
| | 5.1b Provincial management workshops | number | 1st | 19 | 19 | 100 |
| | 5.1c PT provincial Project coordinator hired | number | 1st | 45 | 40 | 89 |
| | 5.1d Office equipment purchased (Province) | number | 1st | 3 | 3 | 100 |
| | 5.1e County inception workshops | number | 1st | 6 | 7 | 117 |
| | 5.1f VIG consultation workshops | number | 1st | 14 | 15 | 107 |
| | 5.1g Office equipment purchased (counties) | number | 1st | 26 | 26 | 100 |
| | 5.2a M&E plan | number | 1st | 3 | 3 | 100 |
| | 5.2b Provincial M&E workshops | number | 1st | 20 | 20 | 100 |
| | 5.2c County workshops | number | 1st | 32 | 32 | 100 |
| | 5.3a Set of computer equipment | number | 1st | 1 | 1 | 100 |
| | 5.3b Issues of a Project newsletter | number | 1st | 39 | 46 | 118 |
| | 5.3c Project website established and upgraded monthly | number | 1st | 60 | 60 | 100 |

Appendix 2: Project funding, expenditure, audit and compliance with covenants¹⁴

Table A2.1: Summary of financial performance by Financiers as at 30 April 2016¹⁵

| Financier | Approval USD (000) | Revised ¹⁶ USD (000) | Disbursements ¹⁷ USD (000) | Disbursed ¹⁸ % |
|--------------|-----------------------|------------------------------------|--|------------------------------|
| GEF Grant | 4,545 | 4,545 | 4,578 | 101 |
| IFAD Loan | 2,418 | 865 | 729 | 84 |
| Government | 18,8230 | 20,604 | 22,617 | 110 |
| Beneficiary | 3,733 | 3,512 | 3,761 | 107 |
| Total | 29,527 | 29,527 | 31,685 | 107 |

Note:

Table A2.2: Financial Performance by Financier by Component USD (000) as at 30 April 2016¹⁹

Table 2: Project funding and co-financing (in 000 USD), 31 March 2016²⁰

| Component | GEF Funding ²¹ | | IFAD Loan | | Government | | Beneficiary | | Total | | |
|----------------------------------|---------------------------|--------------|------------|------------|---------------|---------------|--------------|--------------|---------------|---------------|------------|
| | Approval | Actual | Approval | Actual | Approval | Actual | Approval | Actual | Approval | Actual | % |
| 1 Policy, Planning, Institutions | 727 | 678 | 0 | 0 | 134 | 124 | 0 | 0 | 861 | 802 | 93 |
| 2 Alternative Livelihoods | 879 | 985 | 786 | 709 | 6,507 | 7,378 | 2,918 | 3,106 | 11,087 | 12,139 | 109 |
| 3 PA & Biodiversity Cons. | 1,777 | 1649 | 80 | 20 | 13,247 | 14,353 | 594 | 655 | 15,701 | 16,676 | 106 |
| 4 Public Awareness | 488 | 564 | 0 | 0 | 97 | 113 | 0 | 0 | 585 | 678 | 115 |
| 5 Management, M&E etc | 674 | 702 | 0 | 0 | 619 | 649 | 0 | 0 | 1293 | 1,351 | 105 |
| TOTAL | 4,545 | 4,578 | 866 | 729 | 20,604 | 22,617 | 3,512 | 3,761 | 29,527 | 31,646 | 107 |

Note: 1) The co-financings include in cash and in-kind contributions; 2) The approval figures are from Annual Supervision and Implementation Support Mission Report, August 2015, which reflects the most recent approved adjustment to the original plan; 3) Actual figures are from the consolidated the consolidated PCR received on 10 May 2016.

¹⁴ Compliance with Grant Covenants to be added for final draft TER

¹⁵ Based on PCR May 2016

¹⁶ Revised at 30 June, 2014, MTR Mission

¹⁷ Disbursements at April 2016, according to PCR, May 2016

¹⁸ Disbursed percentage at April 2016, according to PCR, May 2016

¹⁹ Based on PCR May 2016

²⁰ Co-financing to be reviewed by the PPEA and PPMO to confirm final data

²¹ Note The GEF funding needs to be adjusted according to the Financing Agreement between PRC and IFAD – can't exceed USD4.545 million

Table A2.3: GEF Grant Disbursements USD (000) as at 30 April 2016

| Category | Description | Original Allocation | Revised ²² Allocation | Actual Disbursement | W/A Pending ²³ | Balance ²⁴ | Disbursed % |
|--------------|---|---------------------|----------------------------------|---------------------|---------------------------|-----------------------|-------------|
| I | Vehicle, Equipment, material, civil works | 878 | 906 | 815 | | | 90 |
| II | Training, information, study & TA | 2,152 | 2,473 | 2,000 | | | 81 |
| III | Agriculture | 533 | 584 | 635 | | | 109 |
| IV | VDEP preparation & implementation | 342 | 347 | 305 | | | 88 |
| V | Operating costs | 215 | 235 | 186 | | | 79 |
| | Unallocated | 277 | 0 | 0 | | | 0 |
| | Initial Deposit | 348 | 348 | 200 | | | 57 |
| Total | | 4,545 | 4,545 | 4,141 | ? | ? | 91 |

Note: Original Allocation from the Project Document, the Revised Allocation from the MTR, June 2014. The Actual Disbursements as at 30 April 2016

²² Revised at 30 June, 2014, MTR Mission

²³ PEA and PPMO to provide the Withdrawals pending

²⁴ PEA and PPMO to provide the Balance data

Appendix 3. Photos of Project Achievements

Shanxi Province



Project Briefing Ning Wu County



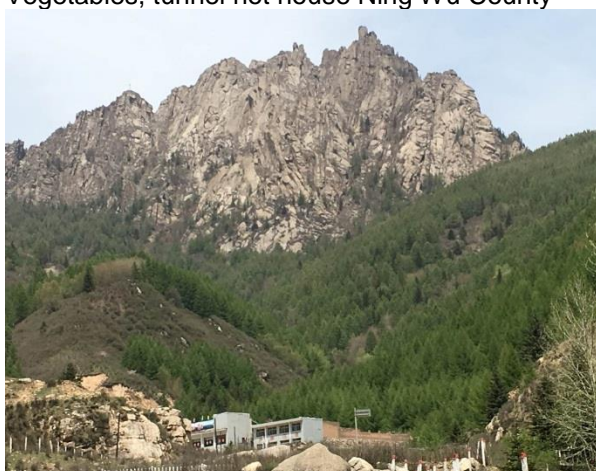
Checking Traditional Medicine Roots Ning Wu County



Vegetables, tunnel hot house Ning Wu County



Nature Museum, Mount Luya NNR



Mount Luya NNR



Natural Grassland Rehabilitation, Mount Luya NNR



Reforestation & Revegetation Wuzhai County



Farmer Association Growing Potatoes, Carrots & Maize, Ke Lan County



Domesticating Wild Mushrooms, Farmer Association Ke Lan County



Domesticating Wild Mushrooms, Farmer Association Ke Lan County

Ningxia Province



Project Meeting Yanchi County
 Project Resources stacked at back of room



VIG Meeting Wanjigou Village, Huamachi Town,
 Yanchi County



Drip Irrigation Maize, Wanjigou Village



Deep Irrigation Well, Wanjigou Village



Non-irrigated Alfalfa Harvest, Wanjigou Village



Sheep Shelters & Feed Systems, Wanjigou Village



Maize Fodder for Sheep Raising, Wanjigou Village



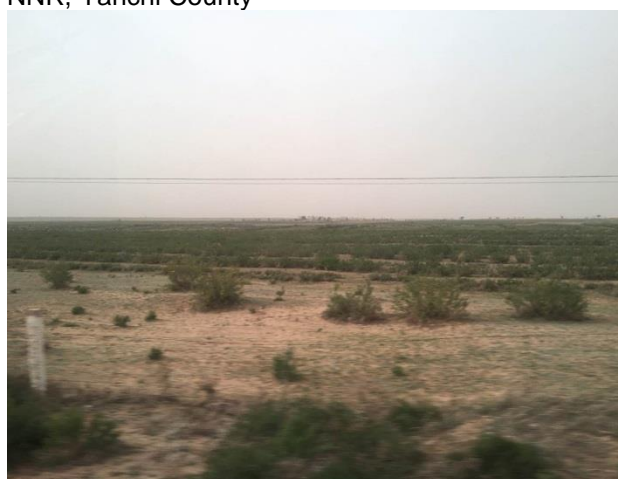
New Maize Silage Pit for Sheep Raising, Wanjigou Village



1 of 18 Forest Management Offices, Ha Ba Lake NNR, Yanchi County



Forester and Forest Guards Ha Ba Lake NNR, Yanchi County



Fenced natural regeneration of grass and shrublands, Guantan Village



Irrigation well and drip irrigation, Guantan Village



Drip irrigated water melons in plastic tunnel, Guantan Village, Yanchi County



Drip irrigated mixed vegetables in plastic tunnel, Guantan Village, Yanchi County



Sheltered sheep raising, Guantan Village



Plastic tunnel, drip irrigation, plastic mulch for vegetables, Yangjijuan Village



Alfalfa pilot Erbukeng Village



Solar panels and rubbish bins (GEF funded) Erbukeng New Village



Grassland revegetation of Ha Ba Lake NNR sand slopes



Plant specimen samples (GEF funded), Ha Ba Lake NNR

Gansu Province



Alternative livelihoods (agroforestry/chickens), Hezheng County



GEF Reforestation foreground, terraced agriculture background, Hezheng County



Sheltered sheep raising, maize & alfalfa fodder, Hezheng County



TER Meeting with PEA, PPMOs, CPMOs (Hezheng & Guanghe Counties), and Mount Taizi NNR, Hezheng County



Ecological reforestation & pasture restoration, Guanghe County



Sheltered cattle raising with maize & alfalfa fodder, Kang Feng Ecological farming coop, Guanghe County



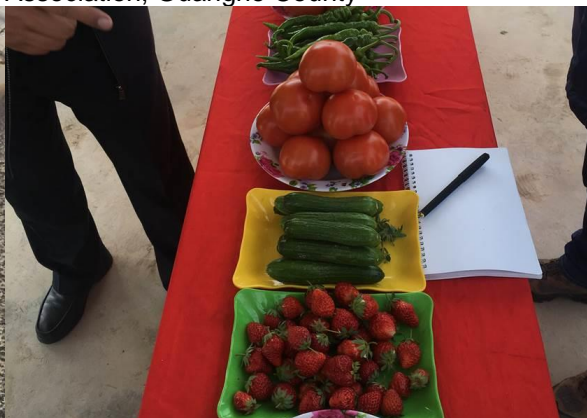
Maize Silage loading for cattle fodder, Kang Feng Ecological Farming, Guanghe County



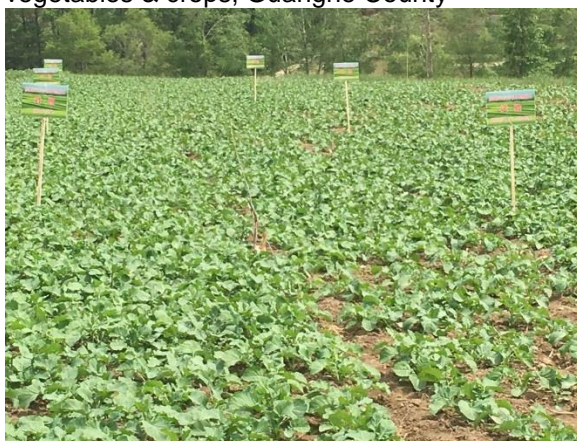
Bio-gas tanks from cattle manure, Kang Feng Farm Association, Guanghe County



Bio-gas residue used as liquid fertilizer for vegetables & crops, Guanghe County



Fresh vegetables grown in glass house with bio-gas residue liquid fertilizer, Guanghe County



Liquid bio-gas residue manure trials, Guanghe County



Sheltered sheep raising for meat and breeding stock production, Guanghe County



Multi-tier land-use – trees, fruit trees, alfalfa, poultry, Guanghe County



Remote fire monitoring camera and tower, Mount Taizi NNR



Mount Taizi restored landscape



Remote weather auto-monitoring station, Mount Taizi NNR



Viewing Project resources, Mount Taizi NNR



Viewing fire monitoring videos, Mount Taizi NNR



Demonstration of Mount Taizi NNR GIS Database System



Mount Taizi NNR Landscape – discussion on land-use and access



TER Mission Wrap-up Meeting, Lanzhou, 20 May 2016



TER Mission Aide Memoire signing, Lanzhou, 20 May 2016

Appendix 4: Mission Schedule, list of meetings, interviewees, persons met and evaluation timeline

Table A4.1: Mission schedule, list of meetings and time line

| Location/Travel | Dates | Activities/Meetings |
|--|-------------------------------|---|
| Home based Work | 2 May, Monday - 6 May, Friday | Preparation and Evaluation Design: - Approach paper to be developed for the TER mission - Desk review - Self-assessments by IFAD and Project authorities (incl. PCR) |
| Beijing City and Taiyuan City of Shanxi Province / Flight from Beijing to Taiyuan City | 9 May, Monday | Meetings and discussion with provincial executing agencies and partners in Shanxi Province <u>Morning:</u> Beijing to Taiyuan, Train G611 (11:10-14:20) <u>Afternoon:</u> 15:00: Meeting and discussion with provincial executing agencies and Partners at Department of Agriculture (Department of Finance, Provincial Project Management Office) Stay overnight in Grand Jingdu Hotel, Taiyuan, Shanxi Province |
| Ningwu County, Shanxi Province/Land Travel by Car | 10 May, Tuesday | Field visit and meetings in Ningwu County, Shanxi Province <u>Morning:</u> Leave Taiyuan for Ning Wu County (land travel); Meeting and discussion with County Project personnel <u>Afternoon:</u> Site visit to four pilots: 1) Traditional Chinese Medicines; 2) Ecological forests; 3) Economic trees; 4) edible mushrooms and vegetables, and meeting with Village Implementation Groups (VIG) Stay overnight at Xuefu Hotel, Ningwu County, Shanxi Province |

| | | |
|--|-------------------|---|
| Mount Luya National Nature Reserve, Shanxi Province / Land Travel by Car | 11 May, Wednesday | Field visit in Mount Luya National Nature Reserve, Shanxi Province <u>Morning:</u> Leave Ningwu County for Mount Luya National Nature Reserve; Meeting and discussion with Project personnel of Mount Luya National Nature Reserve; <u>Afternoon:</u> Site visit to 2 Project sites: 1) Vegetation restoration; 2) Natural reserve boundary markers, etc. Stay overnight in Wuzhai County, Shanxi Province |
| Wuzhai County and Ke Lan County, Shanxi Province / Land Travel by Car | 12 May, Thursday | Field visit in Wuzhai County and ke Lan County, Shanxi Province <u>Morning:</u> Meeting and discussion with Project personnel of Wuzhai County, Shanxi Province; Households interviews in 2 villages and 1 afforestation site <u>Afternoon:</u> Leave Wuzhai County for Ke Lan County, Shanxi Province; Site visits in Ke Lan County: 1) farm association – Potato production; 2) Farmer cooperative - Wild Mushroom plantation, processing and sales; Return to Taiyuan City, Shanxi Province |
| Taiyuan City, Shanxi Province / Yinchuan City, Yanchi County, Ningxia Province | 13 May, Friday | Travel Taiyuan – Yinchuan and Mission Activities <u>Morning:</u> Leave Taiyuan City for flight FU6517 (10:50-12:05, Taiyuan City to Yinchuan City) Land travel from Yinchuan Airport to Yanchi County, Ningxia Province <u>Afternoon:</u> Mission activity in Yanchi County, Ningxia Province Stay overnight in Yanchi Hotel, Ningxia Province |

| | | |
|---|------------------|--|
| Yanchi County, Ningxia Province / Land Travel by Car | 14 May, Saturday | <p>Meetings and site visits with provincial executing agencies and partners in Ningxia Province</p> <p><u>Morning:</u> Meetings, discussions with Project personnel in Ningxia Province</p> <p><u>Afternoon:</u> Site visits: 1) Pilots on animal raising, water saving irrigation, facility agriculture in Wanjiagou Village, Huamachi Town; 2) Pilots on water saving irrigation in Yangjijuan Village, Liuyangpu Management Station of Habahu National Nature Reserve, Vegetation restoration at Gaoshawo Management Station, 3) Pilot on alfalfa plantation in Erbukeng Village of Gaoshawo Town, pilot on pasture improvement in Shijiquan Village</p> <p>Stay overnight in Yanchi Hotel, Ningxia Province</p> |
| Yanchi County, Ningxia / Land Travel by Car | 15 May, Sunday | <p>Site visits in Yanchi County, Ningxia Province</p> <p><u>Morning:</u> Site visits: 1) Pilot on poverty reduction in Guantan Village; 2) Pilots on water saving irrigation, animal raising, facility agriculture, 3) Visit to a Village Implementation Group (VIG).</p> <p><u>Afternoon:</u> Site visits: 1) Haba Lake National Nature Reserve Museum; 2) Vegetation Restoration in Er Dao Hu Management Station; Alternative livelihoods introduction in Haojiatai Village.</p> <p>Land travel to Yinchuan City and stay overnight in Yinchuan City, Ningxia Province</p> |
| Yinchuan City, Ningxia – Lanzhou City, Gansu / Land Travel by Car and Train | 16-May, Monday | <p>Mission Activity and travel, Yinchuan City, Ningxia – Lanzhou City, Gansu Province</p> <p><u>Morning:</u> Mission activities – review documents and consolidate findings about mission visit in Shanxi and Ningxia Province</p> <p><u>Afternoon:</u> Mission activities – review documents and consolidate findings about mission visit in Shanxi and Ningxia Province Land travel to Yinchuan Train Station for Train K9679 (22:40-06:49)</p> <p>Overnight Sleeper Train K9659</p> |

| | | |
|--|-------------------|--|
| Lanzhou City to Hezheng County, Gansu Province / Land Travel by Car | 17 May, Tuesday | <p>Meetings and site visits with provincial executing agencies and partners in Gansu Province</p> <p><u>Morning:</u> Arrival in Lanzhou City and land travel to Hezheng County, Gansu Province Field visit to Project sites in Hezheng County.</p> <p><u>Afternoon:</u> Meeting and discussion with provincial executing agencies and partners, and County Project personnel in Hezheng County, Guanghe County and Mount Taizi NNR, Gansu Province</p> <p>Site visit in Hezheng County : 1) VDEP pilot; 2) Ecological forest construction; 3) ecological breeding; 4) Yufa Circular agriculture view; 5) Biological fertilizer application test.</p> <p>Stay overnight in YunHaiXianTing Hotel, Hezheng County, Gansu Province</p> |
| Mt.Tai Zi NNR and Guangde County County, Gansu Province / Land Travel by Car | 18 May, Wednesday | <p>Meetings and site visits with provincial executing agencies and partners in Gansu Province</p> <p><u>Morning:</u> Site visit in Guanghe County: 1)) Ecological forest, natural forest and natural pastures restoration 2) Kang Feng Ecological farming association practicing cattle raising, bio-energy production and vegetable growing; 3) Trials on use of bio-energy residues to fertilize vegetables; 4) Enterprise practicing 3 tier vertical land-use and sheep raising.</p> <p><u>Afternoon:</u> Site visit in Mount Taizi NNR: 1) GEF public awareness signs; 2) Project archive material and activities panel; 3) GIS database demonstration; 4) Fire monitoring video demonstration; 4) Ecological monitoring equipment.</p> <p>Travel by road to Lanzhou. Stay overnight at Lanzhou Hotel, Lanzhou City, Gansu Province</p> |
| Lanzhou City, Gansu Province | 19 May, Thursday | <p>Mission activities – review documents and field notes, consolidate findings, preparation of Aide Memoire and Wrap-up PPT</p> <p>Stay overnight at Xibei Hotel Gansu, Lanzhou City, Gansu Province</p> |

| | | |
|--|------------------------------------|--|
| Lanzhou City, Beijing City / Air Flight | 20 May, Friday | Wrap-up meeting, Team disband <u>Morning:</u> Present AM and Powerpoint & Stakeholder Discussion <u>Afternoon:</u> Focused Discussions with Project personnel Eve, Team Leader departed from Lanzhou City for Beijing City by flight CA1222 (19:45 – 22:00), Transit in Beijing City |
| Lanzhou City, Beijing City / Air Flight | 21 May, Saturday | Team Leader, flew Beijing – Auckland, New Zealand Ecosystem Management Specialist reconciled data with PPMOs Lanzhou Ecosystem Management Specialist departed from Lanzhou City for Beijing City by flight CA1222 (19:45 – 22:00) |
| Home based work | 22 May, Sunday - 29 May, Sunday | Prepare draft Final TER |
| Home based work | 30 May, Monday | Draft final report disseminated for comments, including IFAD/Implementing Agency, Executing Agencies, PMO, CPM, other relevant agencies |
| Home based work | 6 June, Monday -12 June, Sunday | Finalise report based on comments |
| Home based work | 13 June, Monday | Submission of Final Report to IFAD by Team Leader |
| TBC | TBC | Learning Workshop/PSC, Presentation of Final evaluation |

Table A4.2: List of interviewees and persons met

| Name | Position and Organization |
|--|---|
| IFAD | |
| Ms. Sunae KIM | Environment and Climate Change Portfolio Officer |
| Mr. Yinhong Sun | National Program Officer, IFAD China Coordination Office |
| Shanxi Province | |
| Mr. Dong Xide | Deputy Director General, Department of Agriculture, Shanxi Province |
| Mr. Ju Liangtai | Director, International Cooperation Division, Department of Finance, Shanxi Province |
| Ms. Chen Wenli | Deputy Director, International Cooperation Division, Department of Finance, Shanxi Province |
| Mr. Yang Guoting | Deputy Director, International Cooperation Division, Department of Finance, Shanxi Province |
| Mr. Guo Zhong | Director, Provincial Project Management Office, Shanxi Province |
| Mr. Liu Zhi | Deputy Director, Provincial Project Management Office, Shanxi Province |
| Mr. Feng Yaobin | Provincial Coordinator, Provincial Project Management Office, Shanxi Province |
| Mr. Guo Yuanshou | Financer Officer, Provincial Project Management Office, Shanxi Province |
| Mr. Zhang Junhong | Program Officer, Provincial Project Management Office, Shanxi Province |
| Ms. Li Juan | Section Chief, Provincial Project Management Office, Shanxi Province |
| Mr. Tian Xiaopeng | Program Officer, Provincial Project Management Office, Shanxi Province |
| Mr. Fan Jintie | Director, Shanxi Economic Daily, Shanxi Province |
| Ning Wu County, Shanxi Province | |
| Mr. Liu Ming Liang | Vice Governor, Ning Wu County Government |
| Mr. Ma Guo Zhen | Director, County Project Management Office |
| Mr. Liu Wenguang | Deputy Director, Bureau of Finance |
| Mr. Qiu Gaoming | Project Officer, County Project Management Office |
| Ms. Zhen Shuhong | Project Officer, County Project Management Office |

| | |
|---|---|
| Mr. Zhang Qing | Project Officer, County Project Management Office |
| Mount Luya National Nature Reserve Management Bureau | |
| Mr. Wang Hongliang | Deputy Director, Mount Luya National Nature Reserve Management Bureau |
| Mr. Guo Jianrong | Program Officer, Mount Luya National Nature Reserve Management Bureau |
| Ms. Yue Zhihong | Program Officer, Mount Luya National Nature Reserve Management Bureau |
| Ms. Yang Dongmei | Program Officer, Mount Luya National Nature Reserve Management Bureau |
| Ms. Zhang Fan | Program Officer, Mount Luya National Nature Reserve Management Bureau |
| Mr. Sun Aisheng | Program Officer, Mount Luya National Nature Reserve Management Bureau |
| Mr. Gongsulong | Program Officer, Mount Luya National Nature Reserve Management Bureau |
| Wu Zhai County, Shanxi Province | |
| Mr. Jin Haizhen | Vice Governor, County Government |
| Mr. Zhang Pengzhen | Director, County Project Management Office |
| Mr. Guo Runqing | Director, Finance Bureau |
| Mr. Feng Shuming | Director Forestry Bureau |
| Ms. Li Qing | Vice Governor, Qiansuo Township |
| Mr. Xiao Yongsheng | Deputy Director, County Project Management Office |
| Mr. Zhang Jinzhong | Party Secretary, Bureau of Finance |
| Ke Lan County, Shanxi Province | |
| Mr. Yue Wenli | Vice Governor of County Government |
| Mr. Guo Yuxi | Deputy Director of Forestry Bureau |
| Mr. Li Guicai | Director of Animal Husbandry Station |
| Mr. Cheng Guiping | Director, Rural Development Committee |
| Mr. Wu Xiaodong | Deputy Director, Rural Development Committee |
| Mr. Zhou Manyuan | Deputy Director, Finance Bureau |

| | |
|---|--|
| Mr. Li Jihu | Deputy Director of Rural Development Committee and Financial Management Focal Point of the Project |
| Mr. Dang Ligang | Financial Staff of PMO |
| Ningxia Hui Muslim Autonomous Region | |
| Mr. Cui Yadong | Director, Foreign Debts Management Division, Department of Finance |
| Mr. Zhang Kebin | Prof. Technical Expert, Beijing Forestry University |
| Mr. He Xingdong | Prof, Technical expert, Nankai University |
| Mr. Nie Qinghua | Prof. Technical expert, Nankai University |
| Yanchi County, Ningxia | |
| Mr. Wu Ke | Vice Governor, Yanchi County Government |
| Mr. Wang Xuezheng | Director, Project Leading Group of Yanchi County and director of Habahu Lake National Nature Reserve Management Bureau |
| Mr. You Wanxue, | Deputy Director, Project Leading Group of Yanchi County, deputy director of Haba Lake National Nature Reserve Management Bureau, Director of Yanchi County Project Management Office |
| Mr. Yu Dian | Deputy Director, Haba Lake National Nature Reserve Management Bureau |
| Ms. Cai Li | Deputy Director & Treasure, GEF Project Management Office |
| Mr. Ren Chengbao | Deputy director, Haba Lake National Nature Reserve Management Bureau |
| Mr. You Pengchun | GEF Project Coordinator, deputy direct of Finance Bureau, Yanchi County |
| Mr. Zhao Hanze | Deputy director, Bureau of Science and technology |
| Mr. Wang Feng | Director, Pasture Management Station |
| Mr. Yang Feng | Sector Chief, Development and Reform Commission |
| Mr. Lu Huaibao | Director, Bureau of Water and Soil Conservation |
| Mr. Zhou Yongsheng | Vice Governor, Wanglejing Township Government |
| Ms. Wang Yongxian | Vice Governor, Qingshan Township Government |
| Mr. Niu Huilin | Director, Gaoshawo Management Station, Haba Lake National Nature Reserve |
| Mr. Yang Wen | Director, Liuyangpu Management Station, Haba Lake National Nature Reserve |

| | |
|--|---|
| Mr. Chen Zhirong | Director, Luotuojing Management Station, Haba Lake National Nature Reserve |
| Mr. Bai Cunlin | Director, Cheng Nan Management Station, Haba Lake National Nature Reserve |
| Gansu Province | |
| Mr. Zhang Jian | Director, Foreign Cooperation Division, Department of Finance |
| Mr. Duan Qibin | Director, Foreign Cooperation Division, Department of Agriculture and Animal Husbandry |
| Madam Zhao Dongqing | Deputy Director, Foreign Cooperation Division, Department of Agriculture and Animal Husbandry |
| Mr. Li Zhengquan | Technical Focal Point, Foreign Cooperation Division, Department of Agriculture and Animal Husbandry |
| He Zheng County, Gansu Province | |
| Mr. Chen Hailong | Deputy Director of County Party Secretary, |
| Mr. He Ling, | Director of County PMO |
| Mr. Wu Qiang | Director, Finance Bureau |
| Mr. Geng Biao | Deputy Director of County PMO |
| Guang He County, Gansu Province | |
| Mr. Ma Rong | Vice Governor of County Government |
| Mr. Sa Xuedong | Deputy Director of County Women Federation |
| Mr. Shi Hui | Deputy Director of Development and Reform Commission |
| Mr. Ma Huidong | Deputy Director of Agricultural Bureau |
| Mr. Wei Jianjun | Director of County PMO |
| Mr. Yang xiaojian | Project Officer, County PMO |
| Mount Taizi National Nature Reserve, Gansu Province | |
| Mr. Yin Dehuai | Director, Mount Taizi National Nature Reserve Management Bureau |
| Wang Chengrong | Deputy Director of Mount Taizi National Nature Reserve |
| Ma Shangzhi | Technical Chief, Mount Taizi National Nature Reserve |

Appendix 5: List of Project reports reviewed or consulted

1. Project Document and Appendices
2. GEF CEO Endorsement
3. Inception Reports and Revisions
4. Semi-Annual Progress Reports (SAPR)
5. Project Implementation Reports (PIR)
6. Project Completion Report, May 2016 (PCR)
7. Project Procedures Manual (PPM)
8. Annual Work Plan and Budgets (AWPB)
9. Procurement Plans, Actions and Contract Register
10. Annual audited accounts and Audit Reports
11. IFAD Grant Disbursements
12. Statements of Expenditure and Withdrawal Applications
13. Minutes of Project Management Meetings (PMM)
14. Reports of Project Steering Committee Meetings (PSC)
15. Report of the Mid Term Review, June 2014 (MTR) and Aide Memoire
16. Grant Agreements and Subsidiary Agreements
17. Declaration of Effectiveness
18. IFAD Evaluation Manual, Methodology and Processes
19. Guidelines for GEF Agencies in Conducting Terminal Evaluations
20. Project Knowledge Products as detailed in Appendix 6

Appendix 6: List of Provincial Regulations Consulted

The following regulations, which were formulated or revised in Gansu and Ningxia Province under the guidance and assistance of China-GEF Partnership on Land Degradation in Dryland Ecosystems Program, were consulted during the TER:

1. Gansu Province

- 1.1 Regulations for Environmental Protection in Liujiaxia Catchment in Linxia Hui Autonomous Prefecture in Gansu Province promulgated on 23 September 2005, adopted on 23 September 2005;
- 1.2 Regulations for Environmental Protection in Oil Drilling in Gansu Province promulgated on 8 January 2006, adopted on 1 March 2006
- 1.3 Regulations for Nationwide Tree Planting in Gansu Province promulgated on 29 March 2006, adopted on 1 May 2005
- 1.4 Regulations for Lianhua National Mountain Nature Reserve in Gansu Province promulgated on 1 June 2006, adopted on 1 July 2006
- 1.5 Regulations for Rangeland Protection in Gansu Province promulgated on 1 December 2006, adopted on 1 March 2007
- 1.6 Regulations for Integrated Use of Resources in Gansu Province promulgated on 3 May 2007, adopted on 1 July 2007
- 1.7 Regulations for Water Resource Management in Shiyang River Basin in Gansu Province promulgated on 27 July 2007, adopted on 1 September 2007
- 1.8 Regulations for Environmental Protection of Agricultural Ecosystems in Gansu Province promulgated on 20 December 2007, adopted on 1 March 2008
- 1.9 Regulations for Management of National Anxi Extremely Dry Desert Nature Reserve in Gansu Province promulgated on 29 May 2008, adopted on 1 August 2008

2. Ningxia Hui Autonomous Region

- 2.1 Measures for Implementation of China Water Act in Ningxia Hui Autonomous Region promulgated on 21 August 1993, revised in July 2008
- 2.2 Regulations for Wetland Protection in Ningxia Hui Autonomous Region promulgated in September 2008
- 2.3 Regulations for Rangeland Protection in Ningxia Hui Autonomous Region promulgated on 15 December 1994, revised on 16 November 2005, adopted on 1 January 2006
- 2.4 Regulations for Implementation Water Extract Permit and Levying of Water Resource in Ningxia Hui Autonomous

Appendix 7: Comprehensive List of Knowledge Products

Table A7.1: Publications

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|---|---------------|---|--------------|----------|-----------------------------|
| Key Knowledge Products from Researches | | | | | | |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Research on Countermeasures for eco-compensation based Poverty Reduction and Ecological Restoration in Minority Areas of Gansu Province | Sep-13 | Describes background, problem analysis, and pathways of application of Eco compensation for environment conservation | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Innovative Research on Alternative Livelihoods Options in Mount Taizi Area | Nov-14 | Describe background, problem analysis, interface between NNR and communities, and actions to be taken for harmonization of protection and livelihoods development | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Research on Grassland Sustainable Development in Lingxia Prefecture, Gansu | Dec-14 | Describes background, problem analysis, threats, principles and mitigating measures for sustainable grassland development | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Research on Optional model for Rural Economic Development and Environment Conservation in Mount Taizi Ecological Function Zone | Oct-14 | Describes background, problem analysis, principles and actions for harmonizing economic development and environment conservation | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Application and Demonstration of Bio-fertilizers in Mount Taizi Ecological Function Zone | Nov-15 | Describes problem analysis, formulas, storage and application of bio-fertilizers, experiments and results, procedures for field management under various treatments, etc. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Master Plan for Mount Taizi National Nature Reserve, Gansu | Jan-16 | Describes background and baseline, problem analysis, protected species and objectives, principles and direction of NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Management Plan of Mount Taizi National Nature Reserve, Gansu | Jun-13 | Describes actions to be taken for implementing the master plan and NNR strengthening activities. | Sunae Kim | Chinese | NA |

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|---|---------------|--|--------------|----------|-----------------------------|
| IFAD GEF Project Office, Department of Agriculture, Gansu | Master Plan Eco-tourism in Mount Taizi National Nature Reserve, Gansu | May-13 | Describes background and baseline, principles and objectives, cost benefit analysis, and direction of eco-tourism in the NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Integrated Ecosystem Management Plan of Mount Taizi Ecological Function Zone | May-15 | Describes IEM principles, baseline analysis, problem analysis and actions to be taken for incorporating environment conservation into development planning, etc. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Gansu Guangtong River Basin Ecological Conservation and Rehabilitation - Plan for Mainstreaming IEM in Village Development Planning Process | May-15 | Describes IEM principles, baseline analysis, problem analysis and actions to be taken for incorporating environment conservation into development planning, etc. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Biodiversity Baseline Survey Report of Mount Taizi National Nature Reserve, Gansu | Jan-16 | A report that sets up baseline of biodiversity conservation for implementing the Master and Management Plan | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Integrated Ecosystem Management Plan of Yanchi County, Ningxia | Feb-15 | Describes IEM principles, baseline analysis, problem analysis and actions to be taken for incorporating environment conservation into development planning, etc. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Research Report on Eco-compensation in Yanchi County of Ningxia | Mar-13 | Describes background, problem analysis, and pathways of application of Eco compensation for environment conservation | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Village Development and Ecological Plans (Project village specific, Gansu, Ningxia and Shanxi) | Oct-13 | Describes principles, methods, procedures, toolkits, proposed actions, implementing arrangement, case studies for VDEP development and implementation | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Master Plan of Haba Lake National Nature Reserve, Ningxia, | Dec-15 | Describes background and baseline, problem analysis, protected species and objectives, principles and direction of NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Integrated Scientific Investigation Report of Haba Lake National Nature Reserve, Ningxia | Dec-15 | A scientific report describing principles, methodologies, conduct of investigation, findings and | Sunae Kim | Chinese | NA |

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|---|---------------|--|--------------|----------|-----------------------------|
| | | | recommendations for NNR management. | | | |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Management Plan of Haba Lake National Nature Reserve, Ningxia | Jun-15 | Describes actions to be taken for implementing the master plan and NNR strengthening activities. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Master Plan Eco-tourism in Haba Lake National Nature Reserve, Ningxia | Jun-14 | Describes background and baseline, principles and objectives, cost benefit analysis, and direction of eco-tourism in the NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Biodiversity Spatial Database and GIS Information System Development Report for Haba Lake National Nature Reserve, Ningxia, | Dec-14 | Design report for establishment a database and GIS system in NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | A Handbook on Biodiversity Monitoring in Haba National Nature Reserve (Memols), Ningxia, | Dec-15 | A handbook for monitoring practionors that describing procedures for biodiversity monitoring and data analysis, and reporting. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | A Handbook on Biodiversity Monitoring in Haba National Nature Reserve (Insects), Ningxia, | Dec-15 | A handbook for monitoring practionors that describing procedures for biodiversity monitoring and data analysis, and reporting. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | A Handbook on Biodiversity Monitoring in Haba National Nature Reserve (Plants), Ningxia | Dec-15 | A handbook for monitoring practionors that describing procedures for biodiversity monitoring and data analysis, and reporting. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Baseline Survey Report on Biodiversity in Haba Lake National Nature Reserve in Ningxia | Dec-14 | Establishes biodiversity baseline for monitoring and improvement of biodiversity status | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Baseline Survey Report on Social and Economic Development in Haba Lake National Nature Reserve, | Dec-14 | Establishes social and economic baselines for monitoring and improvement of livelihoods development and pressure on the NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Theory on Ecological Restoration and Vegetation Rehabilitation in Yanchi County of Ningxia, | Dec-15 | Describes background and analysis, root courses, policy reform and actions for ecological restoration | Sunae Kim | Chinese | NA |

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|--|---------------|--|--------------|----------|-----------------------------|
| | | | and vegetation rehabilitation | | | |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Integrated Ecosystem Management Plan of Mount Luya National Nature Reserve, Shanxi | Dec-15 | Describes IEM principles, baseline analysis, problem analysis and actions to be taken for incorporating environment conservation into development planning, etc. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Policy Research on Eco-compensation in Mount Luya National Nature Reserve, Shanxi Province | Dec-15 | Describes background, problem analysis, and pathways of application of Eco compensation for environment conservation | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Master Plan for Mount Luya National Nature Reserve, Shanxi | Dec-13 | Describes background and baseline, problem analysis, protected species and objectives, principles and direction of NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Management Plan for Mount Luya National Nature Reserve, Shanxi | Dec-13 | Describes actions to be taken for implementing the master plan and NNR strengthening activities. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Master Plan for Eco-tourism Development in Mount Luya National Nature Reserve, Shanxi | Nov-13 | Describes background and baseline, principles and objectives, cost benefit analysis, and direction of eco-tourism in the NNR | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Biodiversity Monitoring plan for Mount Luya National Nature Reserve, Shanxi | Jun-13 | A handbook for monitoring practitioners that describing procedures for biodiversity monitoring and data analysis, and reporting. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Biodiversity Conservation and Management in Mount Luya National Nature Reserve, Shanxi | Apr-16 | Describes current status of biodiversity conservation and management practices, problems identified, and countermeasures for improvement and recommendations for policy support. | Sunae Kim | Chinese | NA |
| Knowledge Product for Knowledge Sharing, Communications and Education | | | | | | |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | A brochure on Haba Lake National Nature Reserve in Ningxia | Dec-14 | Introduction to wonders of Haba Lake, biodiversity richness, historical sites and recommended environment friendly behavior, so on. | Sunae Kim | Chinese | NA |

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|--|---------------|---|--------------|----------|-----------------------------|
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | A handbook on Fire Prevention in National Nature Reserve (Mount Taizi NNR, Mount Luya NNR, and Haba Lake NNR) | Aug-14 | Describes principles, fire warning system, technical operational actions, and contact points for fire prevention | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Training Curriculum on Desertification Control and Seedling breeding of sand forests in Maowusu Desert, Yanchi County, Ningxia | Dec-13 | Describes principles, recommended species (grasses and trees), technical specification of various grass and tree species plantation, water saving irrigation and techniques for desertification control, so on. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | A handbook on Plastic Films Utilization for Improving Cropping Technologies in Yanchi County, Ningxia | Dec-13 | Describes technical details of utilization of plastic films for cropping | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | A training Curriculum on Applied Agricultural Production Technologies (Gansu, Ningxia and Shanxi) | Dec-13 | Describes technical details of applied agricultural production technologies, e.g. maize, wheat, watermelon, millet and so on. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | A Handbook on Facility Agricultural Technologies, Yanchi County, Ningxia | Dec-13 | Describes details of greenhouse construction and operational management, drip irrigation technologies, so on. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Applied Technologies for Cropping and Animal Raising in Countryside of Yanchi County in Ningxia | Dec-13 | Describes technical details of water saving economic crops product and war shed sheep raising for farmers | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Leaflets for Earth Day, Biodiversity Day, Desertification Control Day, and birds caring week (Mount Taizi NNR, Haba Lake NNR and Mount Luya NNR) | Dec-15 | Environment awareness promotion materials with basic know-hows of biodiversity conservation and desertification control for general public | Sunae Kim | Chinese | NA |

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|---|---------------|---|--------------|----------|-----------------------------|
| IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Training Curriculums for Farmers Associations (Gansu, Ningxia and Shanxi) | Aug-15 | Training materials on establishment and operations of farmers associations | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Training Curriculums for Alternative livelihoods (Project County specific, Gansu, Ningxia and Shanxi) | Oct-15 | Training materials including plantation, field management, harvest and sales of alternative economic crops, e.g. various varieties of Traditional Chinese Medicine Herbs, so on | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Applied Technologies for Traditional Chinese Medicine Herbs Plantation (County specific, Gansu, Ningxia and Shanxi) | Apr-16 | Training materials on technical specifications about plantation, field management of TCM herbs | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Applied Technologies for Eatable Mushroom Plantation (County specific, Gansu and Shanxi) | Apr-16 | Training materials on breeding, plantation, field management, harvest and sales of eatable mushrooms | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Training Curriculums for Farmers Associations (County specific, Gansu, Ningxia and Shanxi) | Mar-16 | Training materials on establishment and operations of farmers associations | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Training curriculum on GEF Project, Wuzhai County, Shanxi | Mar-16 | Public awareness promotion materials including goal, objectives, outcomes, outputs and activities, implementing arrangements | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Training curriculum on Community mobilization (Gansu, Ningxia and Shanxi) | Mar-13 | Describes principles, methods, procedures, toolkits and case studies for effective community mobilization | Sunae Kim | Chinese | NA |

| Name of Publisher | Title | Date of Issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|--|---------------|--|--------------|----------|-----------------------------|
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Quizes on Environment Conservation Knowhow (Gansu, Ningxia and Shanxi) | Dec-15 | A public campaign for promotion of environment awareness | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu; IFAD GEF Project Office, Haba Lake NNR, Ningxia; IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | An Album on IFAD GEF Project Results (Gansu, Ningxia and Shanxi) | Oct-15 | including brief introduction, Project areas, preparation, implementation, technical assistance and supervision, and key results of the Project | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | An Album on Mount Luya National Nature Reserve, Shanxi | Jan-16 | Introduction to wonders of Mount Luya NNR, biodiversity richness, historical sites and recommended environment friendly behavior, so on. | Sunae Kim | Chinese | NA |

Table A7.2: Videos

| Name of publisher | Title | Date of issue | Brief Introduction | IFAD Manager | Language | Sites where it is published |
|---|---|---------------|---|--------------|----------|-----------------------------|
| Gansu Province | | | | | | |
| IFAD GEF Project Office, Department of Agriculture, Gansu | New Social Media App for IFAD GEF Project | Mar 214 | A new social media platform that is maintained regularly to promote strategy, approach, results and important activities of the Project, which is similar to combination of Facebook, Twitter and Blog. | Sunae Kim | Chinese | WeChat |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Promotional Documentary film on IFAD GEF Project (10 minutes) | Jul-14 | A documentary developed by the Project to introduce strategy, approach, results and important activities of the Project | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | Documentary - IFAD, GEF IEM Approach (80 minutes) | Jul-14 | A documentary developed by the Project to introduce strategy, approach, results and important activities of the Project | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture, Gansu | An animation on IFAD GEF Project in Gansu (10 s) | Oct-15 | An animation developed by the Project to introduce strategy, approach, results and important activities of the Project | Sunae Kim | Chinese | NA |

| | | | | | | |
|---|--|--------|---|-----------|---------|----|
| Ningxia Province | | | | | | |
| IFAD GEF Project Office, Haba Lake NNR, Ningxia | Documentary - Haba Lake National Nature Reserve | Jul-05 | Introduction to wonders of Haba Lake, biodiversity richness, historical sites and recommended environment friendly behavior, so on. | Sunae Kim | Chinese | NA |
| Shanxi Province | | | | | | |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Documentary – Mount Luya National Nature Reserve | Oct-15 | Introduction to wonders of Mount Luya, biodiversity richness, historical sites and recommended environment friendly behavior, so on. | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | Documentary on IFAD GEF Project Implementation (DVD) | Aug-14 | A documentary developed by the Project to introduce strategy, approach, results and important activities of the Project | Sunae Kim | Chinese | NA |
| IFAD GEF Project Office, Department of Agriculture and Animal Husbandry, Shanxi | TV Public-service advertisement (8 minutes) | Apr-14 | A TV Public-service advertisement developed by the Project to introduce strategy, approach, results and important activities of the Project | Sunae Kim | Chinese | NA |

Table A7.3: Newsletters

| Name of publisher | Title | Date of issue | Brief introduction | IFAD Manager | Language | Sites where it is published |
|--|--|---------------|---|--------------|----------|---|
| Gansu Province | | | | | | |
| Department of Agriculture, Animal Husbandry, Gansu | Monthly Newsletter- IFAD GEF IEM for Dryland Ecosystem Conservation, since Jul 2012 | Jul-16 | Monthly newsletter to inform key stakeholders of Project implementation progress, technical solutions and policy recommendations, and workplan for next reporting period. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Release of Research Report on Optimum Model for Rural Economic Development and Environment Conservation in Mount Taizi Ecological Function Zone | Oct-14 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Release of Research on Countermeasures for eco-compensation based Poverty Reduction and Ecological Restoration in Minority Areas of Gansu Province | Jan-14 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Annual Progress Review (2013) of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem successfully completed | Jun-13 | Informing key stakeholders, interested groups and general public of the results of the APR | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Successful organization of training workshop for Nursery Workers on Seedling in Guanghe and Hezheng County, Gansu Province | Apr-13 | Informing key stakeholders, interested groups and general public of key contents of the training workshop | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Successful Organization of Public Awareness Promotion and Painting Contest of Primary School Students in Linxia Prefecture of Gansu Province | Jan-13 | Informing key stakeholders, interested groups and general public of key messages of the campaign | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Successful completion of Annual Progress Review (2012) of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem successfully | Nov-12 | Informing key stakeholders, interested groups and general public of the results of the APR | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |

| Name of publisher | Title | Date of issue | Brief introduction | IFAD Manager | Language | Sites where it is published |
|--|---|---------------|--|--------------|----------|---|
| | completed | | | | | |
| Department of Agriculture, Animal Husbandry, Gansu | Annual Workshop and Planning Meeting of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem successfully organized in Lanzhou City of Gansu Province | Jul-12 | Informing key stakeholders, interested groups and general public of decision making of the meeting | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | President of IFAD, Mr. Kanayo F Nwanze, successfully paid his visit to IFAD Project area in Gansu Province | Jul-11 | Informing key stakeholders, interested groups and general public of the importance attached by IFAD senior leadership and key messages from the president to Project implementing agencies and Project beneficiaries. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Ningxia Province | | | | | | |
| Haba Lake National Nature Reserve, Ningxia | Monthly Newsletter- IFAD GEF IEM for Dryland Ecosystem Conservation, since Jul 2012 | Jul-12 | Monthly newsletter to inform key stakeholders of Project implementation progress, technical solutions and policy recommendations, and workplan for next reporting period. | Sunae Kim | Chinese | http://www.nx.xinhuanet.com/hbh/news.ht |
| Haba Lake National Nature Reserve, Ningxia | Release of Results Reports of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem in Haba Lake NNR, Ningxia Province | Mar-15 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.nx.xinhuanet.com/2015-03/16/c_1114655385.htm |
| Shanxi Province | | | | | | |
| Department of Agriculture, Shanxi | Introduction to GEF and IFAD/GEF IEM Approach Project | Feb-16 | Introducing GEF and IFAD GEF IEM Approach Project to policy makers, interest groups and general public of key mandates, priorities and approaches of GEF and the Project strategy, approach, objectives and structure, and implementing arrangement. | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzg/sydw/snygjhjlgzz/gzdt/201602/t20160229_263363.shtml |
| GooTech | Launch of A Campaign on Public Awareness Promotion on Conservation and restoration of Dryland Ecosystems in Shanxi | Jul-14 | Informing key stakeholders, interested groups and general public of key messages of the campaign | Sunae Kim | Chinese | http://www.goootech.com/topics/72010488/detail-10232930.html |

| Name of publisher | Title | Date of issue | Brief introduction | IFAD Manager | Language | Sites where it is published |
|-----------------------------------|---|---------------|---|--------------|----------|---|
| Shanxi Economic Daily | Launch of Summer Camp on Conservation and Restoration of Dryland Ecosystems in Shanxi | Aug-13 | Informing key stakeholders, interested groups and general public of key messages of the Summer Camp | Sunae Kim | Chinese | http://www.sxjib.cn/szb/sxjirb/html/2013-08/09/content_20449.htm |
| EaseNet | Quiz on Dryland ecosystem conservation and restoration in Shanxi successfully conducted | Oct-14 | Informing key stakeholders, interested groups and general public of key messages of the Quizz | Sunae Kim | Chinese | http://news.163.com/14/1030/13/A9QDSL3U00014Q4P.html |
| Department of Agriculture, Shanxi | Notice on Preparation on Project Completion Review of IFAD GEF IEM Approach Project | Aug-15 | Informing key stakeholders of working arrangement for Project completion review and leverage importance's to be attached by key stakeholders | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhjlgzz/zcfg/201508/t20150828_69467.shtml |
| Department of Agriculture, Shanxi | Annual Progress Review Meeting of IFAD GEF IEM Approach Project successfully organized in Taiyuan City of Shanxi | Nov-12 | Reporting on conduct and results of the APR and informing key stakeholders of results of the APR | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhjlgzz/gjhz/2012 |
| Department of Agriculture, Shanxi | MTR of IFAD GEF IEM Approach Project successfully concluded | Jul-14 | Reporting on conduct and results of the MTR and informing key stakeholders of results of the MTR | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhjlgzz/gzdt/201407/t20140707_55664.shtml |
| Sohu News | IFAD GEF IEM Approach Project launched in Shanxi, Gansu and Ningxia | Jun-06 | Informing key stakeholders of the Project structure, implementation arrangements and responsibilities, reflecting the latest development of policies and best practices into Project workplan | Sunae Kim | Chinese | http://news.sohu.com/20060602/n243542548.shtml |
| Department of Agriculture, Shanxi | Stakeholders Consultation Workshop of IFAD GEF IEM Approach Project successfully organized in Taiyuan City of Shanxi Province | Apr-16 | Informing stakeholders milestones and results achieved by the Project, collecting comments and recommendations for results consolidation. | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhjlgzz/gzdt/201604/t20160406_280955.shtml |
| Department of Agriculture, Shanxi | Training workshop on biodiversity conservation and Virus-free potato Plantation successfully conducted | Sep-15 | Basic know-hows on biodiversity conservation, and techniques for virus free potato plantation and field management | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhjlgzz/gzdt/201509/t20150923_70076.shtml |
| Department of Agriculture, Shanxi | Training workshop on IFAD GEF IEM Approach Project implementation successfully organized in Mount Luya NNR, Shanxi Province | Sep-12 | Training for Project staff on AWP&B development, baseline survey, field investigation, data entry and analysis, monitoring, evaluation and reporting. | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhjlgzz/gjhz/201209/t20120920_29987.shtml |

| Name of publisher | Title | Date of issue | Brief introduction | IFAD Manager | Language | Sites where it is published |
|-------------------|--|---------------|--|--------------|----------|---|
| Shanxi NewsNet | Making Mount Luya an Eco-pearl in North China- IFAD GEF IEM Approach Project significantly contributing to improvement of ecosystems of Mount Luya NNR | Feb-16 | Ecological importance of Mount Luya, ecological challenges faced by Mount Luya, and how IFAD GEF IEM Approach Project has contributed to improvement of ecosystems in Mount Luya NNR | Sunae Kim | Chinese | http://www.sxrb.com/sxjrb/sanban/5938690.shtml |

Table A7.4: Press Release

| Name of paper | Title | Date of issue | Brief introduction | IFAD Manager | Language | Sites where it is published |
|--|--|---------------|---|--------------|----------|---|
| Gansu Province | | | | | | |
| Department of Agriculture, Animal Husbandry, Gansu | Monthly Newsletter- IFAD GEF IEM for Dryland Ecosystem Conservation, since Jul 2012 | Jul-16 | Monthly newsletter to inform key stakeholders of Project implementation progress, technical solutions and policy recommendations, and workplan for next reporting period. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Release of Research Report on Optimum Model for Rural Economic Development and Environment Conservation in Mount Taizi Ecological Function Zone | Oct-14 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Release of Research on Countermeasures for eco-compensation based Poverty Reduction and Ecological Restoration in Minority Areas of Gansu Province | Jan-14 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Annual Progress Review (2013) of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem successfully completed | Jun-13 | Informing key stakeholders, interested groups and general public of the results of the APR | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Successful organization of training workshop for Nursery Workers on Seedling in Guanghe and Hezheng County, Gansu Province | Apr-13 | Informing key stakeholders, interested groups and general public of key contents of the training workshop | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |

| Name of paper | Title | Date of issue | Brief introduction | IFAD Manager | Language | Sites where it is published |
|--|---|---------------|---|--------------|----------|---|
| Department of Agriculture, Animal Husbandry, Gansu | Successful Organization of Public Awareness Promotion and Painting Contest of Primary School Students in Linxia Prefecture of Gansu Province | Jan-13 | Informing key stakeholders, interested groups and general public of key messages of the campaign | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Successful completion of Annual Progress Review (2012) of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem successfully completed | Nov-12 | Informing key stakeholders, interested groups and general public of the results of the APR | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | Annual Workshop and Planning Meeting of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem successfully organized in Lanzhou City of Gansu Province | Jul-12 | Informing key stakeholders, interested groups and general public of decision making of the meeting | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Department of Agriculture, Animal Husbandry, Gansu | President of IFAD, Mr. Kanayo F Nwanze, successfully paid his visit to IFAD Project area in Gansu Province | Jul-11 | Informing key stakeholders, interested groups and general public of the importance attached by IFAD senior leadership and key messages from the president to Project implementing agencies and Project beneficiaries. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Ningxia Province | | | | | | |
| Haba Lake National Nature Reserve, Ningxia | Monthly Newsletter- IFAD GEF IEM for Dryland Ecosystem Conservation, since Jul 2012 | Jul-12 | Monthly newsletter to inform key stakeholders of Project implementation progress, technical solutions and policy recommendations, and workplan for next reporting period. | Sunae Kim | Chinese | http://www.nx.xinhuanet.com/hbh/news.ht |
| Haba Lake National Nature Reserve, Ningxia | Release of Results Reports of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem in Haba Lake NNR, Ningxia Province | Mar-15 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.nx.xinhuanet.com/2015-03/16/c_1114655385.htm |

| Shanxi Province | | | | | | |
|-----------------------------------|--|--------|--|-----------|---------|---|
| Department of Agriculture, Shanxi | Introduction to GEF and IFAD/GEF IEM Approach Project | Feb-16 | Introducing GEF and IFAD GEF IEM Approach Project to policy makers, interest groups and general public of key mandates, priorities and approaches of GEF and the Project strategy, approach, objectives and structure, and implementing arrangement. | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygihzjlgzz/gzdt/201602/t20160229_263363.shtml |
| GoooTech | Launch of A Campaign on Public Awareness Promotion on Conservation and restoration of Dryland Ecosystems in Shanxi | Jul-14 | Informing key stakeholders, interested groups and general public of key messages of the campaign | Sunae Kim | Chinese | http://www.goootech.com/topics/72010488/detail-10232930.html |
| Shanxi Economic Daily | Launch of Summer Camp on Conservation and Restoration of Dryland Ecosystems in Shanxi | Aug-13 | Informing key stakeholders, interested groups and general public of key messages of the Summer Camp | Sunae Kim | Chinese | http://www.sxjib.cn/szb/sxjrb/html_192.168.100.9/sxjrb/html/2013-08/09/content_20449.htm |
| EaseNet | Quizz on Dryland ecosystem conservation and restoration in Shanxi successfully conducted | Oct-14 | Informing key stakeholders, interested groups and general public of key messages of the Quizz | Sunae Kim | Chinese | http://news.163.com/14/1030/13/A9QDSL3U00014Q4P.html |
| Department of Agriculture, Shanxi | Notice on Preparation on Project Completion Review of IFAD GEF IEM Approach Project | Aug-15 | Informing key stakeholders of working arrangement for Project completion review and leverage importance to be attached by key stakeholders | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygihzjlgzz/zcfg/201508/t20150828_69467.shtml |
| Department of Agriculture, Shanxi | Annual Progress Review Meeting of IFAD GEF IEM Approach Project successfully organized in Taiyuan City of Shanxi | Nov-12 | Reporting on conduct and results of the APR and informing key stakeholders of results of the APR | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygihzjlgzz/gjhz/2012 |
| Department of Agriculture, Shanxi | MTR of IFAD GEF IEM Approach Project successfully concluded | Jul-14 | Reporting on conduct and results of the MTR and informing key stakeholders of results of the MTR | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snygihzjlgzz/gzdt/201407/t20140707_55664.shtml |
| Sohu News | IFAD GEF IEM Approach Project launched in Shanxi, Gansu and Ningxia | Jun-06 | Informing key stakeholders of the Project structure, implementation arrangements and responsibilities, reflecting the latest development of policies and best practices into Project workplan | Sunae Kim | Chinese | http://news.sohu.com/20060602/n243542548.shtml |

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|-----------------------------------|--|--------|---|-----------|---------|---|
| Department of Agriculture, Shanxi | Stakeholders Consultation Workshop of IFAD GEF IEM Approach Project successfully organized in Taiyuan City of Shanxi Province | Apr-16 | Informing stakeholders milestones and results achieved by the Project, collecting comments and recommendations for results consolidation. | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snyghzjlgzz/gzdt/201604/t20160406_280955.shtml |
| Department of Agriculture, Shanxi | Training workshop on biodiversity conservation and Virus-free potato Plantation successfully conducted | Sep-15 | Basic know-hows on biodiversity conservation, and techniques for virus free potato plantation and field management | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snyghzjlgzz/gzdt/201509/t20150923_70076.shtml |
| Department of Agriculture, Shanxi | Training workshop on IFAD GEF IEM Approach Project implementation successfully organized in Mount Luya NNR, Shanxi Province | Sep-12 | Training for Project staff on AWP&B development, baseline survey, field investigation, data entry and analysis, monitoring, evaluation and reporting. | Sunae Kim | Chinese | http://www.sxnyt.gov.cn/nytwzq/sydw/snyghzjlgzz/gjhz/201209/t20120920_29987.shtml |
| Shanxi NewsNet | Making Mount Luya NNR an Eco-pearl in North China- IFAD GEF IEM Approach Project significantly contributing to improvement of ecosystems of Mount Luya NNR | Feb-16 | Ecological importance of Mount Luya NNR, ecological challenges faced by Mount Luya and how IFAD GEF IEM Approach Project has contributed to improvement of ecosystems in Mount Luya NNR | Sunae Kim | Chinese | http://www.sxrb.com/sxjrb/sanban/5938690.shtml |

Table A7.5: Events

| Type of Event | Title | Duration | Key issues discussed/ Recommendations reached | IFAD Manager | Language of the session | Place where docs are archived (Agenda, List of Participants) - ex IFADAsia |
|---------------------------|--|----------|---|--------------|-------------------------|---|
| Gansu Province | | | | | | |
| Technical review workshop | Technical Review Workshop on Optimum Model for Rural Economic Development and Environment Conservation in Mount Taizi Ecological Function Zone | Oct-14 | Review and endorse the research results report | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Technical review workshop | Technical Review Workshop on Countermeasures for eco-compensation based Poverty Reduction and Ecological Restoration in Minority Areas of Gansu Province | Jan-14 | Review and endorse the research results report | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Annual Review | Annual Progress Review (2013) of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem | Jun-13 | Review and endorse annual progress, and provide comments and recommendations for follow up. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Training workshop | Training workshop for Nursery Workers on Seedlings in Guanghe and Hezheng County, Gansu Province | Apr-13 | Delivery of technical training on seedling productions to nursery workers | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Public campaign | Public Awareness Promotion Campaign and Painting Contest of Primary School Students in Linxia Prefecture of Gansu Province | Jan-13 | Basic knowhow of dryland ecosystem and biodiversity conservation, and interfaces between biodiversity conservation and livelihoods | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Annual Review | Annual Progress Review (2012) of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem | Nov-12 | Review and endorse annual progress, and provide comments and recommendations for follow up. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |
| Annual Working Meeting | Annual Workshop and Planning Meeting of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem in Lanzhou City of Gansu Province | Jul-12 | Training for Project staff on AWP&B development, baseline survey, field investigation, data entry and analysis, monitoring, evaluation and reporting. | Sunae Kim | Chinese | http://www.gsny.gov.cn/apps/site/issue/nyxm/wzxm/index.html |

| Ningxia Province | | | | | | |
|---------------------------|---|--------|--|-----------|---------|---|
| Technical review workshop | Technical Review Workshop on Reports of IFAD/GEF IEM Approach for Biodiversity Conservation in Dryland Ecosystem in Haba Lake NNR, Ningxia Province | Mar-15 | Informing key stakeholders, interested groups and general public of the research results. | Sunae Kim | Chinese | http://www.nx.xinhuanet.com/2015-03/16/c_1114655385.htm |
| Shanxi Province | | | | | | |
| Public campaign | Public Campaign on Awareness Promotion on Conservation and restoration of Dryland Ecosystems in Shanxi | Jul-14 | Basic knowhow of dryland ecosystem and biodiversity conservation, and interfaces between biodiversity conservation and livelihoods | Sunae Kim | Chinese | http://www.goootech.com/topics/72010488/detail-10232930.html |
| Working meeting | Summer Camp on Conservation and Restoration of Dryland Ecosystems in Shanxi | Aug-13 | Basic knowhow of dryland ecosystem and biodiversity conservation, and interfaces between biodiversity conservation and livelihoods | Sunae Kim | Chinese | http://www.sxjib.cn/szb/sxjrb/html/p_192.168.100.9/sxjrb/html/2013-08/09/content_20449.htm |
| Stakeholders workshop | Quizz on Dryland ecosystem conservation and restoration in Shanxi | Oct-14 | Basic knowhow of dryland ecosystem and biodiversity conservation, and interfaces between biodiversity conservation and livelihoods | Sunae Kim | Chinese | http://news.163.com/14/1030/13/A9QDSL3U00014Q4P.html |
| Annual Review | Annual Progress Review Meeting of IFAD GEF IEM Approach Project in Taiyuan City of Shanxi | Nov-12 | Review and endorse annual progress, and provide coments and recommendations for follow up. | Sunae Kim | Chinese | http://www.sxny.gov.cn/nytwzg/sydw/snyghzjlgzz/gjhz/2012 |
| MTR | MTR of IFAD GEF IEM Approach Project | Jul-14 | Review and endorse mid term progress, and provide comments and recommendations for follow up. | Sunae Kim | Chinese | http://www.sxny.gov.cn/nytwzg/sydw/snyghzjlgzz/gzdt/201407/t20140707_55664.shtml |
| Inception workshop | Inception Workshop of IFAD GEF IEM Approach Project launched in Shanxi, Gansu and Ningxia | Jun-06 | Informing key stakeholders of the Project structure, implementation arrangements and responsibilities, reflecting the latest development of policies and best practices into Project work plan | Sunae Kim | Chinese | http://news.sohu.com/20060602/n243542548.shtml |

| | | | | | | |
|------------------------------------|--|--------|---|-----------|---------|---|
| Stakeholders consultation workshop | Stakeholders Consultation Workshop of IFAD GEF IEM Approach Project in Taiyuan City of Shanxi Province | Apr-16 | Informing stakeholders milestones and results achieved by the Project, collecting comments and recommendations for results consolidation. | Sunae Kim | Chinese | http://www.sxny.gov.cn/nytwzq/sydw/snyghzjlgzz/gzdt/201604/t20160406_280955.shtml |
| Technical training workshop | Training workshop on biodiversity conservation and Virus-free potato Plantation in Wuzhai County, Shanxi | Sep-15 | Basic know-hows on biodiversity conservation, and techniques for virus free potato plantation and field management | Sunae Kim | Chinese | http://www.sxny.gov.cn/nytwzq/sydw/snyghzjlgzz/gzdt/201509/t20150923_70076.shtml |
| Training workshop | Training workshop on IFAD GEF IEM Approach Project implementation in Mount Luya NNR, Shanxi Province | Sep-12 | Training for Project staff on AWP&B development, baseline survey, field investigation, data entry and analysis, monitoring, evaluation and reporting. | Sunae Kim | Chinese | http://www.sxny.gov.cn/nytwzq/sydw/snyghzjlgzz/gjhz/201209/t20120920_29987.shtml |

Table A7.6: Photos

| Author | Caption | Date of issue | Site (Country, city, village) | IFAD Manager | Sites where it is published (IFAD image bank; IFADAsia; etc) |
|--------------------------|-------------------------------------|---------------|---------------------------------|--------------|---|
| Li Zhengquan, Gansu PMO | Working Meeting of IFAD GEF Project | 2-Jul-12 | Lanzhou City, Gansu Province | Sunae Kim | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Li Zhengxuan, Gansu PMO | Annual Review | 13-Jun-13 | Mount Taizi NNR, Gansu Province | Sunae Kim | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/wzxm/index.html |
| Guo Yaunshou, Shanxi PMO | Annual Review | 18-Jun-13 | Ning Wu County, Shanxi Province | Sunae Kim | |
| Yu Dian, Haba Lake NNR | Technical Review | 12-Dec-14 | Yanchi County, Ningxia | Sunae Kim | |
| Yu Dian, Haba Lake NNR | Public Campaign - Earth day | 22-May-15 | Yanchi County, Ningxia | Sunae Kim | |
| Li Zhengxuan, Gansu PMO | Field visit by TER mission | 18-May-16 | He Zhneg County, Gansu | Sunae Kim | |
| Li Zhengxuan, Gansu PMO | Vertical Economy | 18-May-16 | He Zhneg County, Gansu | Sunae Kim | |
| Guo Yaunshou, Shanxi PMO | Improved landscape | 10-May-16 | WU Zhao County, Shanxi | Sunae Kim | |
| Yu Dian, Haba Lake NNR | Harvesting Alfalfa for animal feed | 15-May-16 | Yanchi County, Ningxia | Sunae Kim | |
| Li Zhengxuan, Gansu PMO | Mount Taiz. NNR | 18-May-16 | Mount Taizi NNR | Sunae Kim | |

Table A7.7: Useful URLs

| Organization | URLs |
|---|---|
| Shanxi Province | |
| Department of Agriculture | http://www.sxnyt.gov.cn |
| Working Station for International Cooperation and Exchange, Department of Agriculture | http://www.sxnyt.gov.cn/nytwzq/sydw/snygjhztjgzz/ |
| Ningxia Province | |
| Ningxia Forestry Administration | http://www.nxforestry.gov.cn/ |
| Habahu Lake National Nature Reserve in Ningxia | http://www.nxhbh.com.cn/ |
| Gansu Province | |
| 1 Department of Agriculture and Animal Husbandry | http://www.gsny.gov.cn |
| 2 Foreign Cooperation, Department of Agriculture and Animal Husbandry | http://www.gsny.gov.cn/apps/site/site/issue/nyxm/index.html |

Appendix 8: Terms of Reference for Terminal Evaluation Review

An Integrated Ecosystem Management Approach to the Conservation of Biodiversity in Dryland Ecosystems

1. Background

1. The Project, “An IEM Approach to the Conservation of Biodiversity in Dryland Ecosystems” (hereinafter referred as “the Project”) aims to achieve significant reductions in loss of biodiversity (BD) in selected dryland ecosystems affected by land degradation (LD) in three Provinces in China’s Western Region. The Project’s development objective is to achieve a sustainable increase in productive capacity, both on and off farm, and to offer increased access to economic and social resources including education, health and social networks while improving the bio-physical environment in China’s western region. The Project’s global environmental objective is demonstrating cross-area synergies associated with the development of and implementation of site-specific IEM strategies leading to: (i) increases in biodiversity conserved; (ii) partial restoration of ecosystem integrity and recovery of underlying functions and services; and (iii) promotion of use of appropriate renewable energy technologies designed to reduce pressure of forest resources and Project sites.

2. The Project comprises the following 4 components:

- Planning, Policy and Institutional Strengthening
- Community Based Ecological Planning and Restoration & Alternative/Sustainable Livelihoods
- Protected Areas and Biodiversity Conservation
- Public Awareness.

3. The Project aims to achieve the following outputs:

- Developing site-specific IEM plans
- Drafting policy analyses and policy recommendations to promote sustainable management practices in dryland ecosystems
- Strengthening farmers’ associations, extension agents and line agency technicians in basic principles of: ecology, IEM, biodiversity conservation and vulnerability and risk assessment of climate change, land degradation and sustainable land management
- Designing and implementing selected VDEPs designed to rehabilitate degraded communal areas
- Implementing a range of alternative and/or sustainable livelihood options designed to reduce non sustainable livelihood practices affecting biodiversity
- Developing and implementing Project area master and/or management plans,
- Partial restoration of natural habitats in proximity to the Project area
- Increasing the level of awareness among farmers, farmer associations, decision makers and the public at large of the significance of local ecosystems and its role in conserving the biodiversity and other critical “goods and services”
- Strengthening PMO Project coordination units to manage the Project
- Strengthening PMO monitoring and evaluation capacity to monitor the Project,
- Identifying, developing and disseminating Projects experiences and lessons learned

4. The GEF financing of this Project amounts to USD 4,545,000. The Project was approved by GEF in February 2009 and the financing agreement was signed between IFAD and China on 15 April 2011. The Project has an implementation period of five years. The two baseline IFAD loan Projects have

been completed by 2012, much of the matching funds to the GEF financing are thereafter supplemented by government contribution. The completion date is 15 April 2016 and closing date is 15 October 2016.

5. The Project areas are located in three different eco-zones found in the western Provinces of Gansu, Ningxia and Shanxi, respectively. These are: (i) loess plateau gully zone (Gansu), (ii) central Ningxia arid and sand eco-zone (Ningxia) and (iii) northern Shanxi mountainous and hilly zone (Shanxi). Each ecosystem is characterized by an existing protected area. These are: Mount Taizi National Nature Reserve (Gansu), Haba Lake National Desert PA (Ningxia) and Mount. Luya National Nature Reserve (Shanxi).

6. The Project beneficiaries are primary benefit poor rural households in these three eco-zones, with women and extremely poor rural households in remote areas receiving the highest priority. About 456,000 rural populations in 450 villages were targeted by the Project.

2. Objective and Scope of the Evaluation

7. The objectives of the Terminal Evaluation Review (TER) are:

- To examine the extent and magnitude of Project outcomes to date and determine the likelihood of future impacts especially relating to environmental sustainability due to policy making/implementation and behaviour change following IEM approach;
- To provide an assessment of the Project performance, gender disaggregated achievements, and the implementation of planned Project activities and planned outputs against actual results
- To synthesize lessons learned that may help in the design and implementation of future IFAD, IFAD-GEF or ecosystem management related initiatives

8. In accordance with the GEF Guidelines for Terminal Evaluation²⁵ and the IFAD Evaluation Manual²⁶, the TER is expected:

- To assess Project relevance: strategic alignment and relevance of Project to local/country contexts/developments, GEF and IFAD policies and strategies, as well as complementarities between the GEF Project and the IFAD loan Projects in the same areas. To assess Project effectiveness: the outputs delivered with relation to each Project component in the respective counties and at the eco-systems and provincial level and the attainment of Project objectives, against the Project logical framework, Annual Work plans and Budget (AWPBs), Procurement Plans
- To assess the Project's contribution to global environmental benefits and their effects on rural poverty in the Project areas
- To assess any factors affecting sustainability of Project outcomes
- To assess the quality of Project design including the design process and the intervention logic (Theory of Change) of the Project
- To assess any innovative features in the Project and the likelihood of replication and up-scaling of these innovations
- To assess stakeholder engagement (including community) in the Project in general and in specific interventions, and their level of benefit from and satisfaction with implementation
- To identify strengths and weaknesses, as well as challenges and opportunities encountered during implementation. This will include a review of Project delivery mechanism, including the functioning of counterparts and supervision and back-stopping arrangements

²⁵ <https://www.thegef.org/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf>

²⁶ <https://www.ifad.org/documents/10180/bfec198c-62fd-46ff-abae-285d0e0709d6>

- To assess performance and robustness of Project M&E system for recording results, informing implementation and facilitating learning
- To review the performance of financial management and flow of funds arrangements, procurement, contract management and mobilisation of co-financing and/or leveraged funding;
- To review compliance with Grant Agreement Covenants
- To collate all knowledge products and assess their relevance, quality and outreach in advancing the Projects objectives
- To synthesize lessons learned and best practice, and provide guidance on key areas needing further attention.

3. Methods and process

9. The evaluation will follow IFAD and GEF evaluation guidelines and policies. The methodology of the TER will adopt the following as per IFAD Evaluation Manual:

- **Step 1: Preparation**
 - Review and assess the quality of Project design documents
 - Review and validate the Project Completion Report (PCR). The final PCR will be shared with the evaluation team by mid April 2016 and further comments/discussions will be accommodated before the TER mission begins.
 - Prepare an approach paper which identifies key evaluation partners, specific evaluation questions, methods and techniques for data collection. The approach paper with 5 pages long will provide the following aspects:
 - Reconstructed Theory of Change of the Project showing the causal relationships between Project outputs, objectives and impact as well as the assumptions made for one level of change to lead to the next.
 - Evaluation Framework: The framework can be shown in a matrix that presents the specific evaluation questions under each evaluation criterion, and the sources for data collection.
 - Details on the intended field visits (site selection criteria, duration etc.)
 - Timetable: Dates of travel and deadlines are already provided in this TOR. Any suggested changes after the PCR review will be discussed with the IFAD China Team and Project Management Office (PMO) when the approach paper is finalized
- **Step 2: Desk Review**
 - A desk review of Project and other relevant documents including, but not limited to:
 - The Project documents, key outputs, monitoring reports (such as progress and financial reports to IFAD, Mid-Term Review [MTR], GEF annual Project Implementation Review (PIR) reports and M&E data) and relevant correspondence
 - External sources and other relevant documents with up-to-date information on IEM
 - Consolidated Project Completion Report submitted by the Project to IFAD
 - Minutes, decisions and notes from the Project Management meetings;
 - Other Project-related material produced by the Project staff or partners;
 - Relevant materials published about the Project; and

- Additional information and opinions from representatives of donor or government agencies and other organizations as required
- **Step 3: Field Mission and Data Collection**
 - Meeting with PMOs to discuss Project results, implementation modalities and agency support to Project implementation
 - Review and assess Project implementation, results achieved, outcomes at Province level, and challenges experienced and solutions adopted
 - Visits to selected field sites to assess the results achieved, outcomes at the local level, and barriers to implementation experienced
 - Organize focused group discussions in-country and in the field with the target communities and Project stakeholders
- **Step 4: Preparation of draft final report and review**
 - Present initial findings to IFAD, PMOs and other stakeholders.
 - Refine and conclude the Terminal Evaluation Review based on the feedback received at the validation workshop.

4. Responsibilities

10. The TER mission team will comprise of the following two members:

- Mr. Jim Carle - Team Leader with Natural Resource Management (NRM) Expertise (International)
- Mr. Sun Xuebing - Ecosystem Management Specialist (Local)

11. IFAD Lead Technical Specialist for Environment and Climate Change, Asia and the Pacific Division will support the TER mission.

12. The specific tasks for each mission member are the following:

Mr. Jim Carle - Team Leader, NRM Expert

- Review the Project Completion Report and validate through online and in-person consultation with IFAD and PMOs
- Review the overall progress and results of the Project. Assess to what extent the development goal, objective, outcomes and outputs have been achieved drawing on the inputs from the ecosystem management specialist
- Assess the Project according to the GEF TER guidelines in all aspects mentioned in the TER template
- Prepare the TER mission Aide-Memoire, powerpoint presentation, and TER report, appendices and annexes in line with the IFAD templates
- Present the findings of the TER mission at a wrap up meeting to PMOs and IFAD
- Undertake any other necessary tasks required to ensure that the Terms of Reference of the Terminal Evaluation Review are fully met

Mr. Sun Xuebing – Ecosystem Management Specialist

- Review overall progress and results of technical support activities relating to Integrated Ecosystem Management approaches

- Review Project outcomes and assess sustainability, innovativeness and scaling up potential. Also, identify gaps, challenges and weaknesses in Project approach with a view to scaling-up
- Assess the Project according to the GEF TER guidelines, particularly Component 1 Planning, Policy and Institutional Strengthening and Component 4 Increasing Public Awareness. Those areas could be further discussed and agreed with the Mission Team Leader.
- Collect the knowledge products generated by the Project and provide a comprehensive list of knowledge products developed
- Evaluate the effectiveness of M&E system in recording Project performance indicators, collecting and analysing Project progress data
- Provide all necessary inputs to the team leader for ensuring that the TER Aide Memoire, powerpoint presentation and TER report are comprehensive
- Undertake any other relevant tasks assigned by the Team Leader

5. Terminal Evaluation Review Report Format and Review Procedures

12. Report Format

- a) The Terminal Evaluation Review report should not exceed 35 pages excluding Annexes (see outline in Annex I).
- b) Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner.
- c) The TER shall be written in English, and use numbered paragraphs.
- d) The evaluation will rate the overall implementation success of the Project and provide individual ratings as described in this TOR.

13. TER will also include any formal response/ comments from the Project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report.

Review of the Draft Evaluation Report

14. The TER Team Leader will present the preliminary evaluation findings (in powerpoint) at the validation workshop to the PMO to obtain their views, clarifications and [dis]agreements. A draft TER, revised by TER Team Leader after the validation workshop, will be submitted to IFAD's Lead Technical Specialist for Environment and Climate Change, Asia and Pacific Division (APR) and Director of IFAD Evaluation Office for review. The Lead Technical Specialist will distribute the TER to CPM, PMOs and any relevant national/provincial agencies for final review and comments. The feedback should focus on any errors of fact or substantive gaps in the evaluation report. The PMO will provide review comments to IFAD, who will then communicate all the comments received by PMO, CPM and any other agencies to the evaluator(s) for their consideration in preparing the final report.

6. Submission of Final Terminal Evaluation Review Reports

15. The final report shall be submitted in electronic form in MS Word format and should be sent directly to the Environment and Climate Division (ECD) and APR. Director of ECD will submit the final report to the Independent Office of Evaluation of IFAD (IOE).

16. The Lead Technical Specialist will share the final report with PMO and CPM. Also, the report will be shared with the GEF Secretariat and GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

17. The final Terminal Evaluation Review report will be a public domain document and published on the ECD website <https://xdesk.ifad.org/sites/gef/> and may be printed in hard copy.

7. Evaluation Mission Team Qualifications

18. The evaluators should have the following common qualifications:

- No previous association with the policy-making process and the design, delivery, supervision and management of the Project.
- Knowledge of IFAD country programmes and GEF operational programmes, strategies and relevant policies.
- Requisite technical knowledge, academic qualifications and experience in line with the responsibilities of respective team members as outlined in Section No. 4 above
- Fluency in oral and written English is a must.

19. In addition, each mission team member should meet the following specific qualifications:

i) Mission Team Leader

- Degree in Natural Resource Management with at least 15 years of experience in the design/supervision/evaluation of the natural resources, environment, climate change Projects which address economic and social development issues
- Proven experience as evaluation team leader and familiarity with GEF Projects
- Possession of a sound understanding of development issues in the field of natural resources, environment, forestry management, and rural development
- Proven experiences in strategic policy development and legislation, and good understanding of policy context
- Broad knowledge of financial management review
- Excellent communication and engagement skills with a wide variety of stakeholders, from policymakers to community level

ii) Ecosystem Management Specialist

- At least 10 years of experiences in Project design/supervision/evaluation in ecosystem management
- Demonstrated knowledge and understanding of Project management tools and methodologies
- Broad knowledge of financial management review
- Knowledge of and work experience of natural resource management in China

8. Timeframe of the Field Mission

20. The contracted days will be spread between 2 May and 13 June 2016. TER Team will visit three Project Provinces from 9-20 May 2016 to undertake an evaluation mission.

| Activities | Dates | Remarks |
|---|-----------------|---|
| Evaluation Design | 2-6 May | Approach paper to be developed for the TER mission and Desk review note |
| Mission assemble in China/ one Project Province | 9 May | Kick-off meeting and discussion on the overall Project / Discussion |
| Field Visit – Province 1 | 10-12 May | |
| Field Visit – Province 2 | 12-14May | |
| Field Visit – Province 3 | 14-17 May | |
| Initial debrief with PMO | 19 May | |
| Presentation of draft evaluation/AM to IFAD and PMO | 20 May | Stakeholder Discussion |
| Draft final report disseminated for comments | 30 May (TBC) | disseminated to PMO, CPM and other relevant agencies |
| Finalising report based on comments | 6-10 June (TBC) | Team |
| Submission of the final report to IFAD | 13 June (TBC) | Team |

ANNEXES

Annex 1. Terminal Evaluation Review Report Outline

Annex 2. List of Documents to be provided by IFAD and PMO

Annex 1

Terminal Evaluation Review Report Outline

- I. **Project Identification Table:** Identify: (1) Project ID, (2) Title, (3) Location, (4) Start and End Date, (5) Mid-Term Evaluation (if applicable), (6) Executing and Implementing Agencies, and Partners, and (7) Budget;
- II. **Executive Summary** (no more than 3 pages): providing a brief overview of the main conclusions and recommendations of the evaluation;
- III. **Introduction and Background:** giving a brief overview of the evaluated Project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology;
- IV. **Scope, Objective and Methods:** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed, the key questions and the methodology;
- V. **Project Performance and Impact**²⁷: providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on the following areas:

| Evaluation Areas | Criteria | Rating |
|---|--|--|
| Assessment of Project Results | <u>Project Outcomes and Objectives</u> Criteria: Relevance Effectiveness Efficiency | Highly Satisfactory (HS) Satisfactory (S) Moderately Satisfactory (MS) Moderately Unsatisfactory (MU) Unsatisfactory (U) Highly Unsatisfactory (HU) |
| Assessment of Risks to Sustainability of Project Outcomes | Likelihood of sustainability of outcomes 4 dimensions of risks to sustainability: Financial risks Sociopolitical risks Institutional Framework and governance risks Environmental risks | Likely (L) Moderately Likely (ML) Moderately Unlikely (MU) Unlikely (U) |
| Catalytic Role | | No rating required |
| Assessment of M&E System | M&E design M&E plan implementation Budgeting and Financing for M&E | Highly Satisfactory (HS) Satisfactory (S) Moderately Satisfactory (MS) |

²⁷ The Evaluation Team should refer to *Guidelines for GEF Agencies in Conducting Terminal Evaluations (2008)* for more details.

| | | |
|---|---|--|
| | activities | Moderately Unsatisfactory (MU) Unsatisfactory (U) Highly Unsatisfactory (HU) |
| Monitoring of long-term changes | Contribution to establishment of long-term monitoring system Accomplishment/shortcoming Sustainability of system Use of the system as intended | (descriptive) |
| Assessment of processes affecting attainment of Project results | Preparation and readiness Country ownership/drivenness Stakeholder involvement Financing Planning GEF Agency supervision and backstopping Co-financing Delays | (descriptive) |

- VI. **Conclusions and Rating:** of Project implementation success giving the evaluator's concluding assessments and ratings of the Project against given evaluation criteria and standards of performance. The ratings should be provided with a brief narrative comment;
- VII. **Lessons (to be) Learned:** presenting general conclusions from the standpoint of the design and implementation of the Project, based on good practices and successes or problems and mistakes.
- VIII. **Recommendations:** suggesting *actionable* proposals for improvement addressing IFAD and other development partners. *Prior to each recommendation*, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.
- IX. **Annexes** should include:
1. The Evaluation Terms of Reference (**TOR**);
 2. A **list of interviewees**, and evaluation timeline;
 3. A **list of documents** reviewed/ consulted;
 4. Summary of **co-finance information** and a **statement of Project expenditure by activity**;
 5. Comprehensive list of knowledge products and URLs for accessing them
 6. The expertise of the evaluator (brief CV).

Annex 2. List of Documents to be provided by IFAD and PMO

1. Project Completion Report
2. Project Design Report
3. GEF CEO Endorsement Document
4. Grant Agreement
5. GEF Project Implementation Reviews (PIR)
6. Project Outputs (Powerpoints, Papers and Reports) by Project Staff and/or Partner Organizations
7. MTR report
8. AWPB and Annual Progress Reports
9. Guidelines for GEF Agencies in Conducting Terminal Evaluations
10. IFAD IOE Evaluation Manual