

# Terminal Evaluation Report

2015 November

Version: final

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CBPF: Priority Institutional Strengthening and Capacity Development to Implement  
the China Biodiversity Partnership and Framework for Action

GEF Project ID: 2435

UNDP PIMS ID: 2902

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<b>Country:</b>	China
<b>Region:</b>	Asia and the Pacific
<b>GEF Replenishment Period:</b>	GEF-4
<b>Focal Area:</b>	Biodiversity
<b>Strategic Programmes:</b>	BD-SP4, BD-SP5
<b>Implementing Agency:</b>	United Nations Development Programme (UNDP)
<b>Executing Agency:</b>	Ministry of Finance (MOF) Ministry of Environmental Protection (MEP)

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## Terminal Evaluation Opening Page:

<b>Project Name:</b>	CBPF: Priority Institutional Strengthening and Capacity Development to Implement the China Biodiversity Partnership and Framework for Action	
<b>GEF Project ID:</b>	2435	
<b>UNDP PIMS ID:</b>	2902	
<b>Country:</b>	China	
<b>Region:</b>	Asia and the Pacific	
<b>GEF Replenishment Period:</b>	GEF-4	
<b>Focal Area:</b>	Biodiversity	
<b>Strategic Program:</b>	BD-SP4, BD-SP5	
<b>GEF CEO Endorsement Date:</b>	19 November 2009	
<b>Prodoc Signature MOF of China:</b>	May 2010	
<b>Prodoc Signature by UNDP:</b>	14 May 2010	
<b>Project Closing Date:</b>	Original: May 2015	Revised: March 2016
<b>Implementing Agency:</b>	United Nations Development Programme	
<b>Implementation Modality:</b>	National Implementation Modality (NIM)	
<b>Executing Agencies:</b>	Ministry of Finance (MOF) Ministry of Environmental Protection (MEP)	
<b>Project Cost:</b>	USD 23,098,182	
<b>PDF B Amount:</b>	USD 350,000	
<b>GEF Project Grant:</b>	USD 4,540,000	
<b>Co-Financing (CEO endorsement):</b>	USD 18,240,000	
	Government (In-kind/Cash):	USD 9,000,000
	UNDP/ECBP parallel funding:	USD 6,000,000
	Italy (In-kind):	USD 180,000
	WWF (In-kind):	USD 1,600,000
	TNC (In-Kind):	USD 1,460,000
<b>Evaluation Timeframe:</b>	October-December 2015	
<b>Evaluation Team:</b>	Professor Li He, National Consultant James Lenoci, International Consultant / Team Leader	
<b>Reporting Language:</b>	English	

The evaluation team would like acknowledge the information and feedback provided by interviewed project stakeholders, including the national project director, the FECO Division IV Director, the UNDP Assistant Country Director and Program Manager, the RTA, the CTA, the project manager, other members of the PMO, and other interviewed project stakeholders. Special thanks are also extended to the local beneficiaries in the visited provinces.

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## Executive Summary

Exhibit 1: Project Summary Table				
Project Title: CBPF: Priority Institutional Strengthening and Capacity Development to Implement the China Biodiversity Partnership and Framework for Action			at endorsement (USD million)	to date (USD million)
GEF Project ID:	2435	GEF financing:	4.54	2.75
UNDP PMIS ID:	2902	IA own:	6.00	15.29
Country:	China	Government:	9.00	10.95
Region:	Asia and the Pacific	Other:	3.24	6.19
Focal Area:	Biodiversity	Total co-financing:	18.24	32.43
Strategic Programmes:	GEF-4: BD-SP4, BD-SP5	Total Project Cost:	22.78	35.18
Executing Agency:	Ministry of Finance	Prodoc Signature (date project began):	May 2010	
Other Partners Involved:	Ministry of Environmental Protection	(Operational) Closing Date:	Proposed: May 2015	Planned: Mar 2016

Note: Total expenditures and cofinancing figures, through 31 October 2015

### Project Description

Over the past two decades, the Government of China made substantive strides in conserving their globally significant biological resources. However, important threats to this biodiversity remain, and recent socio-economic developments in China present opportunities for new approaches. In response to these challenges and opportunities, the Government of China initiated the *China Biodiversity Partnership and Framework for Action* (the CBPF). This new approach to biodiversity conservation is comprised of a partnership of key national and international stakeholders from Chinese biodiversity conservation community, working toward a results-oriented “Framework for Action”. This approach was initiated in order to increase coordination, integration, and eventually improved conservation efficiency and effectiveness.

The *Institutional Strengthening* (IS) project aimed to directly support the operationalization of the CBPF approach and to support critical initiatives under the Framework for Action.

The specific **Project Objective** was “*the development of the national policy and institutional framework, bringing it closer to international best practices*”. In order to achieve the project Objective, five inter-related Outcomes need to be secured.

**Outcome 1** aimed at strengthening coordination mechanisms at the central level for biodiversity conservation. This Outcome was directly related to the CBPF, and underpins all other work in the project and the work of many partner projects.

**Outcome 2** focused on improving the framework, system and capacity for *biodiversity* planning.

**Outcome 3** focused on socio-economic and sectoral planning, and ensuring that this planning plays a positive role in biodiversity conservation.

**Outcome 4** focuses on raising support for biodiversity in the financial agencies and diversifying funding sources— including the private sector.

**Outcomes 5** addresses the critically strategic issue of adapting biodiversity conservation to climate change.

## **Terminal Evaluation Purpose and Methodology**

This terminal evaluation was conducted to provide conclusions and recommendations about the relevance, efficiency, effectiveness, sustainability, and impact of the project. The evaluation also aimed to identify lessons from the Project for future similar undertakings, and to propose recommendations for ensuring the sustainability of the results. The evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, review of available documents and records, and findings made during field visits.

## **Summary of Findings and Conclusions**

### **Major Strengths/Achievements**

The national biodiversity strategy and action plan (NBSAP), approved in 2010, the year the project effectively started implementation has bridged the design phase and implementation phase. The design has held up fairly well considering the changes that were set into motion upon approval of the NBSAP, but the project did need to implement certain adaptive management measures to ensure priorities are aligned with the national ones. For instance, in May 2015, the MEP issued a Technical Guideline on Delineation of Ecological Conservation Redline Areas; a specific adaptive output of the project.

Institutional capacities of MEP-FECO have been substantively strengthened over the course of the project. FECO has been designated the implementing agency for the CBD Secretariat, for example. From 2015, FECO has been tasked on behalf of MEP to administer China's membership in the Global Partnership for Business and Biodiversity. And, FECO has qualified as a GEF implementing agency, and has been appointed as lead implementing partner for a new GEF programme in GEF VI.

The project has also made meaningful contributions to strengthening cross-sectoral and inter-departmental cooperation. For example, the National Committee on Biodiversity Conservation is coordinating 25 government departments for implementing Biodiversity Convention; AQSIQ cooperates with Customs; and the three provinces where provincial BSAPs were developed with project support have strengthened their cross-sectoral collaboration structures.

The project has also effectively promoted the mainstreaming of biodiversity into planning, policies programs, demonstrations, technical guidelines, and national standards. These mainstreaming efforts have not only targeted the top-level institutional design, but also at different sectors both at central and local levels, with three provincial BSAPs approved with project support.

This project has facilitated capacity building among the expert community, through extensive involvement of experts, both at central and local levels, providing technical support for the execution of project activities.

There have been substantive leveraged cofinancing mobilized from subnational administrations, e.g., for the development of provincial BSAPs.

### **Key Shortcomings**

The biodiversity governance structures in China have substantively developed in recent years, particularly since government approval in 2010 of the updated national biodiversity strategy and action plan (NBSAP). There is now a high-level National Committee on Biodiversity Conservation, chaired by the vice premier, and a CBD Secretariat that acts as the technical advisory arm for the national committee. These developments have, however, resulted in a general state of confusion

regarding the role of a CBPF coordination mechanism, whether in the form of a secretariat or not. Not maintaining the project coordination group (PCG) after 2012 is an important issue, and, in the opinion of the TE team, one of the underlying reasons behind the current level of uncertainty regarding the role and function of the CBPF coordination mechanism.

Stakeholder involvement among the CBPF partners has been fairly limited, with limited participation by some of the other key line ministries and agencies with biodiversity mandates, including the NRDC, SFA, MFA, etc., and also limited involvement by international financing institutions, including ADB and World Bank, both of which are founding members of the CBPF Partnership. A joint implementation modality for such a project, aimed at strengthening a multi-stakeholder partnership framework, might have been a more constructive approach to garner meaningful stakeholder involvement.

Persistent implementation inefficiencies throughout the project's lifespan diminish the likelihood that the achieved project results will be sustained. At the time of the terminal evaluation, 5 months prior to closure of a 5-year project that was extended by 10 months, only 61% of the USD 4.5 million GEF grant had been expended. This has led to a large number of outputs outstanding in the final few months of implementation. Even though many of the contracts for these outputs have been completed and the work is underway, there will be insufficient time to distil the results, formulate strategies for follow up work, and advocate for uptake of some of the technical guidelines and policy recommendations developed with project support.

The project has supported some important achievements, but there has been insufficient assessment and codification of knowledge, including preparation of case studies, best practice documents, etc., and communication of project results has been generally weak.

## Evaluation Ratings

Detailed ratings are tabulated below in **Exhibit 2**.

Exhibit 2: Evaluation Rating Table		
Criteria	Rating	Comments
1. Monitoring and Evaluation (M&E)		
M&E Design at Entry	Satisfactory	The monitoring and evaluation plan was systematically prepared, using the standard GEF template, with a good monitoring framework added. Consistent oversight by a full-time monitoring and evaluation coordinator enhanced overall quality of M&E implementation.  There were no adjustments made to the outcome level indicators in the strategic results framework, even though some of the performance indicators were deemed infeasible fairly early on. Also, while activity level monitoring has been good, there is room for improvement with respect to results based monitoring. And, the survey methodology used for the capacity development scorecards could also be improved; the longitudinal survey design limited the representativeness of the results.
M&E Plan Implementation	Satisfactory	
Overall Quality of M&E	Satisfactory	
2. Implementing Agency (IA) and Lead Implementing Partner (Executing Agency - EA) Execution		
Quality of IA (UNDP) Execution	Satisfactory	UNDP’s wealth of experience on biodiversity in China and globally, and their favourable standing with the Government was a strong comparative advantage. UNDP and Government cofinancing contributions exceeded pledged amounts. National implementation modality helped strengthen capacity of FECO and MEP.  Despite high level involvement and leadership, the overall quality of
Quality of EA (MEP-FECO) Execution	Moderately Satisfactory	

Exhibit 2: Evaluation Rating Table

Criteria	Rating	Comments
Overall IA-EA Execution	Moderately Satisfactory	execution by the lead implementing partner is rated as moderately satisfactory, largely because of not overcoming implementation inefficiencies. The result has been a high number of outputs being crowded at final phase of the implementation period; nearly 40% of the implementation budget is slated to be expended in the final 5 months of the 5-year project that was extended by 10 months. Even with rationalisation of some of the activities after the midterm review, there remained a high number of outputs that demanded significant time from the PMO in procurement and administration, reducing their time focused on results based management.
<b>3. Assessment of Outcomes</b>		
Overall Quality of Project Outcomes	Moderately Satisfactory	Based upon assessment against the strategic results framework, the achievement towards the project outcomes has been moderately satisfactory. The project is relevant across a number of criteria, but a series of implementation inefficiencies has held back more effective performance.
Relevance	Relevant	<p>The objectives of the project are closely aligned with the China National Biodiversity Conservation Strategy and Action Plan 2011-2030. The project was also developed in line with the GEF-4 Biodiversity Strategy, specifically Strategic Programs 4 and 5. With respect to Strategic Program 4 (<i>"Strengthening the Policy and Regulatory Framework for Mainstreaming Biodiversity"</i>), Outcome 3 of the IS project was designed to provide incremental support to the biodiversity mainstreaming efforts in the country.</p> <p>The project is mostly closely aligned with 2011-2015 UNDAF Outcome 1.2, which calls for strengthening of policy and implementation mechanisms to manage natural resources, with special attention to poor and vulnerable groups. This is also reflected in Outcome 5 (Environment and Sustainable Development) of the UNDP Country Programme Document for China for the same period, 2011-2015.</p>
Effectiveness	Moderately Satisfactory	<b>Outcome 1:</b> Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation
		<b>Output 2:</b> Strengthened Planning System for Biodiversity Conservation, including M&E
		<b>Outcome 3:</b> Biodiversity mainstreamed into national development plans and programmes
		<b>Outcome 4:</b> Enabling Framework for Government and Market Based Payments for Environmental Services
		<b>Outcome 5:</b> Integration of biodiversity conservation into climate change adaptation policies and plans
Efficiency	Moderately Satisfactory	<p>The project was designed with a sound incremental cost analysis, with outcomes formulated that address some of the critical policy, planning, institutional, and financial barriers to biodiversity conservation in China. These criteria were mostly maintained throughout the course of the project, but the inconsistent buy-in regarding the role and function of a CBPF coordination mechanism has diminished the incremental reasoning of the GEF funding.</p> <p>Project efficiency is enhanced by the fact that cofinancing contributions have exceeded the amounts pledged at project entry. However, persistent implementation inefficiencies have led to low levels of financial delivery.</p>

**Exhibit 2: Evaluation Rating Table**

Criteria	Rating	Comments
4. Sustainability		
Overall Likelihood of Risks to Sustainability	Moderately Likely	Government funding on biodiversity conservation has been substantial and will likely further expand, with the operationalization of ecological civilization principles in the 13th 5-year socio-economic development plan. Government and also market-based incentives are in place and ecological compensation programmes are fairly extensively mainstreamed into subnational development strategies, even though the legislative framework for payment for ecosystem services is not yet in place. And, MEP-FECO’s capacity at facilitation cross-sectoral coordination of biodiversity conservation planning has been strengthened. The continued commitment of GEF funds to biodiversity conservation projects in China enhances the likelihood of sustaining project results. The self-financing target for the CBPF Secretariat by the end of the project has not been achieved, and there is inconsistent stakeholder ownership with respect to the CBPF approach, and this diminishes the likelihood for garnering sufficient support after project closure for establishing and operationalizing a CBPF coordination mechanism. Implementation inefficiencies have impacted the likelihood of sustainability of project results, e.g., many outputs during last 1-1/2 years, with limited time to distil lessons learned, develop case studies and best practice documents, develop recommendations, etc.
Financial	Likely	
Socio-Economic	Likely	
Institutional Framework and Governance	Moderately Likely	
Environmental	Likely	
5. Impact		
Environmental Status Improvement	Not Applicable	Project contributions with respect to environmental status improvement and stress reduction have been indirect, through enhanced ecosystem management as a result of provincial BSAPs. The technical guidelines developed for ecological redline delineation is significant, with respect to progress towards stress/status change. Pilot redline delineation was carried out in Hubei Province, for a terrestrial ecosystem covering approximately 18.6 million hectares, and Ningxia Hui Autonomous Region, for a terrestrial ecosystem covering approximately 6.6 million hectares. In addition to this, the provincial BSAPs supported by the project in Guangxi, Hainan, and Jilin Provinces, have indirectly led to enhanced management of the protected areas under provincial management: 1,452,941 ha, 2,735,320 ha, and 2,303,900 ha, respectively.
Environmental Stress Reduction	Minimal	
Progress towards stress/status change	Significant	
6. Overall Project Results	Satisfactory	Assessment of overall project results is based upon a perspective beyond the scale of the strategic results framework. There have clearly been strengthened institutional capacities, with respect to MEP-FECO, which is the national coordination agency for biodiversity conservation in China. The role of the CBPF Partnership in the biodiversity conservation landscape in China, however, remains unclear and should be addressed in a sustainability plan, with committed ownership following project closure. Approval of three provincial BSAPs is also a noteworthy result, further enabling the biodiversity planning capacities and frameworks at the subnational level. The development and approval of ecological redline delineation technical guidelines, and the demonstrations completed in two provinces, are meaningful contributions to a recently adopted approach in the country, thus potentially having broad implications on a national scale.

## Recommendations

The recommendations compiled below in **Exhibit 3** have been formulated based upon the findings of the terminal evaluation (TE).

Exhibit 3: Recommendations Table		
No.	Recommendation	Responsible Entities
<b>Actions to follow up or reinforce initial benefits from the project</b>		
1.	A sustainability plan should be developed, that clearly identifies activities that will require follow-up action after project closure, and roles and responsibilities assigned for ensuring sustainability of project outcomes.	PMO, PCG
2.	The concept regarding the CBPF coordination mechanism was developed back in 2006-2007, and informed in part by a partner survey completed in December 2006. Considering the changes in China since that time, the role and function of a CBPF coordination mechanism should be reassessed. An updated CBPF partner survey should be carried out by an independent consultant or organization, one that is not a member of the CBPF, in order to assess the current expectations from the partners regarding the role and function of a CBPF Secretariat or other form of a coordination mechanism, and the willingness to cofinance the operation of such a body.	Independent Consultant or Organization
3.	Based upon the survey results, an updated the operational plan of the CBPF coordination mechanism should be prepared, including, but not limited to, the following: (a) objectives, (b) roles and responsibilities, (c) annual operation plan, (d) financing plan, and (e) monitoring and evaluation plan.	PCG, PMO
4.	As part of the recommended updated survey, CBPF partners should be asked what their expectations are with respect to a common monitoring framework, and the results consolidated into the operational plan for the CBPF coordination mechanism.	Independent Consultant or Organization, PCG, PMO
5.	It would be advisable to develop a “road map” for advancing the policy recommendations formulated under the project, in order to better guide governmental level stakeholders with advocating for further support toward eventual adoption of policies, and also to provide CBPF partners and the broader donor community with funding and advocacy opportunities.	PMO, PCG
6.	Use remaining time and budget on documenting results, focusing on how the various outputs contributing to the intended project outcomes, and consolidating these into informative knowledge products.	PMO, UNDP
7.	Establish foundational links between the CBPF coordination mechanism and the national CBD clearinghouse mechanism, which, as of 2015, FECO is responsible to maintain, and also the MEP Information Centre.	PMO, MEP
8.	Identify opportunities for upscaling and replication from the activities supported by the project, and share these with CBPF partners and the broader donor community.	PMO, PCG
9.	Quantitative monitoring data should be provided for as many of the outcome indicators as practicable, including but not limited to the following: <ul style="list-style-type: none"> <li>— Objective, Indicator 2: Biodiversity conservation resources available from government and private sector. Baseline figures are unclear and no monitoring data are available to assess progress.</li> <li>— Outcome 2, Indicator 2: Extent of use of NBSAP in sectoral work. The annual work plans of some of the key line ministries and agencies, including the MOA, SFA, SOA, etc., could be reviewed for this information.</li> <li>— Outcome 4, Indicator 1: Amount of funding for biodiversity conservation from all types of market-based PES schemes. Monitoring toward the indicator of 10 market-based PES schemes in at least 2 sectors has not been carried out.</li> <li>— Outcome 5, Indicators 1 and 2: Adaptation of national and provincial sectoral</li> </ul>	PMO

**Exhibit 3: Recommendations Table**

No.	Recommendation	Responsible Entities
	conservation plans with respect to incorporating adaptation to climate change. According to interviewed stakeholders during the TE mission, several sectors have incorporated climate change aspects into conservation plans and policies.	
<b>Proposals for future directions underlining main objectives</b>		
10.	Based upon the difficulties in recruiting experts for certain project assignments and the need to disseminate knowledge among the professional community with respect to some of the technical guidelines produced over the course of the project, a capacity needs assessment should be made among the professional community and a plan developed to design and deliver trainings on key topics, including market-based payment for ecosystem services, integrating climate change impacts to biodiversity into EIA and SEA processes, valuation of ecosystem services, etc.	CBPF Secretariat, UNDP
11.	Consider continuing to support the CBPF coordination mechanism, for example, over the next one or two GEF funding cycles, allowing more time for the mechanism to gain traction among a more developed biodiversity governance system in China as compared to the situation at project entry in 2009.	GEF, UNDP, MEP, CBPF Secretariat
12	Advocate for a clear role of the CBPF coordination mechanism in the design of GEF financed projects, including participation in monitoring and evaluation, knowledge management, and capacity building aspects.	GEF, UNDP, MEP-FECO, CBPF Secretariat
13	It might be advisable to consider setting up a roster of pre-qualified national and international experts, making procurement more efficient and enabling project management teams more guidance in selecting external support services.	MEP-FECO, CBPF Secretariat, UNDP

## Abbreviations and Acronyms

Exchange Rates on 10 November 2015: Chinese Yuan Renminbi CNY: United States Dollar USD = 6.35

ACG	Advisory and Consultative Group
ADB	Asian Development Bank
APR	Annual Progress Report (for UNDP Projects)
AWP	Annual Work Plan (for UNDP projects)
AZE	Alliance for Zero Extinction
BAP	Biodiversity Action Plan
BD	Biodiversity
BSAP	Biodiversity Strategy and Action Plan
CBD	Convention on Biological Diversity
CBDSC	China Steering Committee for Implementing the CBD1
CBPF	China Biodiversity Partnership and Framework for Action
CC	Climate Change
CI	Conservation International
CO	Country Office
COA	Country Office Administrative Fee
CP	Country Programme
ECBP	European Union-China Biodiversity Programme
EIA	Environmental Impact Assessment
EU	European Union
FECO	Foreign Economic Cooperation Office of the Ministry of Environmental Protection
FSP	Full Sized Project
GEF	Global Environment Facility
GoC	Government of China
IMELS	Ministry of Environment, Land and Sea (Government of Italy)
INGO	International Non-governmental organizations
IUCN	the World Conservation Union
DPZ	Development Priority Zone
LDP	Land Degradation Programme (supported by the Government of China, the GEF and other partners)
M&E	Monitoring and evaluation
MEP	Ministry of Environmental Protection
MLR	Ministry of Land and Resources
MOA	Ministry of Agriculture
MHURD	Ministry of Housing and Urban-Rural Development
MOF	Ministry of Finance
MYFF	Multi-year Funding Framework
PMO	Project Management Office
PRC	the People's Republic of China
NDRC	National Development and Reform Commission
NGO	Non-governmental organizations
NPD	National Project Director
NPM	National Project Manager

PCG	Partner Coordination Group
PDF	Project Development Funds
PES	Payments for Ecological/Environmental Services
PIR	Project Implementation Review (for GEF projects)
PM	Project Manager
PSC	Project Steering Committee
RCU	UNDP-GEF Regional Coordination Unit in Bangkok, Thailand
ROAR	Result-oriented Annual Report
SEA	Strategic Environmental Assessment
SFA	State Forestry Administration
SICP	Sino-Italian Cooperation Project
SOA	State Oceanic Administration
SRF	Strategic Results Framework
STAP	Scientific and Technical Advisory Panel (GEF)
TNC	the Nature Conservancy
TOR	Terms of Reference
UNDAF	United Nation Development Assistant Framework
WWF	World Wide Fund for Nature

## 1. INTRODUCTION

### 1.1. Purpose of Evaluation

Evaluations for UNDP Supported GEF financed projects have the following purposes:

- ✓ To promote accountability and transparency, and to assess and disclose the extent of project accomplishments;
- ✓ To synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;
- ✓ To provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues;
- ✓ To contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit;
- ✓ To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.

### 1.2. Evaluation Scope and Methodology

The terminal evaluation (TE) was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings made during field visits.

The overall approach and methodology of the evaluation followed the guidelines outlined in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects<sup>1</sup>.

The evaluation was carried out by a team of one national consultant and an international consultant / team leader, and included the following activities:

- ✓ A TE mission was carried out from 1-14 November 2015; the itinerary is compiled in **Annex 1**;
- ✓ As a data collection and analysis tool, an evaluation matrix was adapted from the preliminary set of questions included in the TOR (see **Annex 2**). Evidence gathered during the fact-finding phase of the TE was cross-checked between as many sources as practicable, in order to validate the findings;
- ✓ Key project stakeholders were interviewed for their feedback on the project; interviewed persons are listed in **Annex 3**;
- ✓ The evaluation completed a desk review of relevant sources of information, such as the project document, project progress reports, financial reports and key project deliverables. A complete list of information reviewed is compiled in **Annex 4**;
- ✓ Field visits were made to three provinces where the project has supported specific activities: Guangxi, Hubei, and Liaoning Provinces. A summary of the field visits is presented in **Annex 5**;
- ✓ The project has facilitated a number of outputs, through 40 contracts with a wide range to institutions, organizations, and experts. A list of the implementation contracts is in **Annex 6**;
- ✓ The project strategic results framework was also used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 7**);
- ✓ A compilation of actual financial expenditures is included in **Annex 8**, and available cofinancing information is summarized in **Annex 9**.

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<sup>1</sup> Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP.

The GEF Tracking Tool for Biodiversity Projects was updated by the PMO, and the filled-in tracking tool is annexed in a separate file to this report.

### 1.3. Structure of the Evaluation Report

The evaluation report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following sections in the report: (1) Project Formulation, (2) Project Implementation, and (3) Project Results.

The discussion under **project formulation** focuses on an evaluation of how clear and practicable were the project's objectives and components, and whether project outcomes were designed according to SMART criteria:

- S. Specific:** Outcomes must use change language, describing a specific future condition
- M. Measurable:** Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
- A. Achievable:** Results must be within the capacity of the partners to achieve
- R. Relevant:** Results must make a contribution to selected priorities of the national development framework
- T. Time- bound:** Results are never open-ended. There should be an expected date of accomplishment

The section on project formulation also addresses whether or not capacities of the implementation partners were sufficiently considered when designing the project, and if partnership arrangements were identified and negotiated prior to project approval. An assessment of how assumptions and risks were taken into account in the development phase is also included.

The report section on **project implementation** first looks at how the logical results framework was used as an M&E tool during the course of the project. Also, the effectiveness of partnerships and the degree of involvement of stakeholders are evaluated. Project finance is assessed, by looking at the degree of cofinancing that was materialized in comparison to what was committed, and also whether or not additional or leveraged financing was secured during the implementation phase. The cost-effectiveness of the project is evaluated by analysing how the planned activities met or exceeded the expected outcomes over the designed timeframe, and whether an appropriate level of due diligence was maintained in managing project funds.

The quality of execution by both the implementing agency and the lead implementing partner (executing agency) is also evaluated and rated in the project implementation section of the report. This evaluation considers whether there was sufficient focus on results, looks at the level of support provided, quality of risk management, and the candour and realism represented in the annual reports.

The project implementation section also contains an evaluation and rating of the project M&E system. The appropriateness of the M&E plan is assessed, as well as a review of how the plan was implemented, e.g., compliance with progress and financial reporting requirements, how were adaptive measures taken in line with M&E findings, and management response to the recommendations from the midterm review.

In GEF terms, **project results** include direct project outputs, short- to medium-term outcomes, and longer term impact, including global environmental benefits, replication efforts, and local

effects. The main focus is at the outcome level, as most UNDP supported GEF financed projects are expected to achieve anticipated outcomes by project closing, and recognizing that global environmental benefit impacts are difficult to discern and measuring outputs is insufficient to capture project effectiveness.

Project outcomes are evaluated and rated according to relevance, effectiveness, and efficiency:

- Relevance:** The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. Also, relevance considers the extent to which the project is in line with GEF Operational Programs or the strategic priorities under which the project was funded.
- Effectiveness:** The extent to which an objective has been achieved or how likely it is to be achieved.
- Efficiency:** The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

In addition to assessing outcomes, the report includes an evaluation of country ownership, mainstreaming, **sustainability** (which is also rated), catalytic role, mainstreaming, and impact.

With respect to **mainstreaming**, the evaluation assesses the extent to which the Project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

In terms of **impact**, the evaluation team assessed whether the project has demonstrated: (a) verifiable improvements in ecological status, (b) verifiable reductions in stress on ecological systems, and/or (c) demonstrated progress towards these impact achievements.

Finally, the evaluation presents **recommendations** for reinforcing and following up on initial project benefits. The report concludes with a discussion of **lessons learned** and **good practices** which should be considered for other GEF and UNDP interventions.

## 1.4. Ethics

The evaluation was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluation team members have signed the Evaluation Consultant Code of Conduct Agreement form (**Annex 10**). In particular, the evaluation team ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that respects stakeholders' dignity and self-worth.

## 1.5. Audit Trail

As a means to document an "audit trail" of the evaluation process, responses to review comments to the draft evaluation report are embedded into the reviewed files and saved as separate enclosures to the evaluation report.

## 1.6. Limitations

The evaluation was carried out in October-November 2015; including preparatory activities, field mission, desk review, and completion of the evaluation report, according to the guidelines outlined in the Terms of Reference (**Annex 11**).

With respect to the strategic results framework, there were no adjustments made over the course of the project, although some of the indicators were deemed infeasible by the project management team. There was, hence, no monitoring data to review for some of the indicators.

The evaluation visited three provinces where the project has supported pilot and demonstration activities. At one of these locations, in Liaoning Province, weather conditions were prohibitive to carry out the field visit, but interviews were made with the local beneficiaries. There were insufficient time and budget to visit each of the subnational locations where the project has supported activities. The evaluation team consider the field visits to be representative.

Only a sampling of the CBPF partners was interviewed during the TE mission. Several of the line ministry/agency members, including the National Development and Reform Commission (NDRC), the State Forestry Administration (SFA), among others, were not interviewed. There were also no interviews made with representatives of international financing institutions, including ADB and the World Bank. Information pertaining to the CBPF was limited to feedback received from MEP-FECO, UNDP, and the international NGOs of WWF and TNC, as well as from review of available project documentation.

Many of the project deliverables were only available in English; however, the national consultant was able to review these as she is native Chinese. The evaluation team was supported with an interpreter during the TE mission, so there were no limitations with respect to language barriers.

## 1.7. Evaluation Ratings

The findings of the evaluation are compared against the targets set forth in the strategic results framework, and also analysed in light of particular local circumstances. The effectiveness and efficiency of project outcomes are rated according to the 6-point GEF scale, ranging from Highly Satisfactory (no shortcomings) to Highly Unsatisfactory (severe shortcomings). Monitoring & evaluation and execution of the implementing and executing agencies were also rated according to this scale. Relevance is evaluated to be either relevant or not relevant.

Sustainability is rated according to a 4-point scale, ranging from Likely (negligible risks to the likelihood of continued benefits after the project ends) to Unlikely (severe risks that project outcomes will not be sustained). Impact was rated according to a 3-point scale, including significant, minimal, and negligible. The rating scales are compiled below in **Exhibit 4**.

Exhibit 4: Rating Scales		
<b>Ratings for Effectiveness, Efficiency, M&amp;E, IA &amp; EA Execution</b>  <b>6. Highly Satisfactory (HS):</b> The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency  <b>5: Satisfactory (S):</b> There were only minor shortcomings  <b>4. Moderately Satisfactory (MS):</b> There were moderate shortcomings  <b>3. Moderately Unsatisfactory (MU):</b> The project had significant shortcomings  <b>2. Unsatisfactory (U):</b> There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency  <b>1. Highly Unsatisfactory (HU):</b> The project had severe shortcomings	<b>Sustainability Ratings:</b>  <b>4: Likely (L)</b> Negligible risks to sustainability  <b>3. Moderately Likely (ML):</b> Moderate risks to sustainability  <b>2. Moderately Unlikely (MU):</b> Significant risks to sustainability  <b>1. Unlikely (U):</b> Severe risks to sustainability	<b>Relevance Ratings:</b>  <b>2. Relevant (R)</b>  <b>1. Not relevant (NR)</b>  <b>Impact Ratings:</b>  <b>3. Significant (S)</b>  <b>2. Minimal (M)</b>  <b>1. Negligible (N)</b>
Additional ratings where relevant: <b>Not Applicable (N/A)</b> <b>Unable to Assess (U/A)</b>		
Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP		

## 2. PROJECT DESCRIPTION

### 2.1. Project Start and Duration

Key project dates are listed below:

<b>Pipeline Entry:</b>	25 March 2004
<b>PIF Approval:</b>	09 October 2007
<b>PDF-B Approval:</b>	24 June 2005
<b>Approval:</b>	16 November 2007
<b>GEF CEO Endorsement:</b>	19 November 2009
<b>GEF Agency (UNDP) approval:</b>	14 May 2010
<b>Government approval (Ministry of Finance): - Project Start</b>	May 2010
<b>Project inception workshop:</b>	20 April 2011
<b>Midterm review:</b>	May-July 2013
<b>Project completion (original)</b>	May 2015
<b>Project completion (extended)</b>	March 2016
<b>Terminal evaluation</b>	November 2015

The project first entered the GEF pipeline in 2005, and the project identification form (PIF) was approved in 2007. The project design endorsed by the GEF CEO in November 2009, and the Government of China, specifically the Ministry of Finance, and the GEF Agency, the UNDP, approved the project document in May 2010. It took some time to assemble the project management team and initiate project implementation. The inception workshop was carried out in April 2011, nearly a year after the official start date of May 2010.

The midterm review was completed in May-July 2013, and one of the recommendations was to grant a no-cost extension, largely because of the time lost in the first year. The project steering committee eventually approved a 10 month extension, adjusting the project closure date to March 2016.

The terminal evaluation was carried out in November 2015, approximately 5 months prior to the planned closure of the project, in order to allow the project team some time to implement the TE recommendations.

### 2.2. Problems that the Project Sought to Address

As outlined in the project document, despite China's efforts to protect biodiversity, biodiversity remains under severe threat, primarily through overuse of species with commercial and/or subsistence value; unsustainable land management leading to habitat degradation and clearance; and anthropogenic climate change; more specific threats include overgrazing of grasslands, unsustainable extraction of fresh water resources, commercial and illegal logging of forests, resource exploitation for the construction and mining sectors, urban expansion, increased reliance on monocultures, invasive alien species, and wildlife trade.

The underlying causes of these threats were concluded to include weak policy, legal and institutional frameworks for conservation from national to local levels; poor institutional capacities and knowledge to conserve biodiversity across production landscapes and poor integration of conservation needs and solutions into national sectoral development plans and

strategies. Efforts to embed biodiversity conservation into government development programmes had been inadequate. Conservation policies were often out of date and were not regularly updated. Overall, the investments in biodiversity conservation were inadequate. Institutional and individual capacities for biodiversity conservation were especially low on emerging issues such as the impacts of climate change on biodiversity. The situation was further complicated by a large disconnect between national policy and local implementation. Finally, there was often a lack of coherence and coordination between sectoral laws addressing natural resources. As a result, synergies were lost, mandates overlapped and competed, and efficiency was low.

### 2.3. Immediate and Development Objectives of the Project

The project was developed in response to the Government of China led initiative entitled the “China Biodiversity Partnership and Framework for Action (CBPF) This was a new approach, aiming to coordinate the actions of a core group of stakeholders central to biodiversity programming and planning in China (i.e., the CBPF ‘Partnership’) in line with a results-oriented ‘Framework for Action’, described in more detail below in **Exhibit 5**.

The CBPF Partnership consists of three mutually supportive groups – the CBPF Steering Committee, the Partner Coordination Group and the Advisory and Consultative Group. All of these groups will work in line with the China Steering Committee for the Implementation of the CBD (CBDSC), which will provide guidance and input to the overall CBPF process. The Partnership is to initially consist of 18 members from the Government of China’s key line ministries, intergovernmental organizations, international NGOs, one bilateral development program, and one intergovernmental membership organization.

The CBPF Steering Committee is to consist of high level representatives of each Partner. The CBPF Steering Committee is to be the main body for decision-making and is to include representatives from line ministries at the level of the Deputy Director General or higher. International partners will be represented by senior officers and/or country directors. The CBPF Steering Committee is to ensure that CBPF activities are being carried out in line with the CBDSC. GEF Implementing Agencies with biodiversity portfolios will be involved in this committee.

The CBPF Partner Coordination Group (PCG) is to consist of technical-level representatives from each Partner. The PCG is to act as a platform for practical CBPF activities and is to include representatives from the line ministries at the level of Division Chief. The group’s main responsibilities include - to improve coordination amongst international and national agencies, increase cooperation amongst international and national agencies, share lessons learnt and innovative technologies, and develop a CBPF monitoring and evaluation framework. The PCG (and related thematic work teams) are to carry-out the decisions made by CBPF Steering Committee and is to generate priority actions and targets for discussion and negotiation. GEF Implementing agencies with biodiversity portfolios will be also involved in this group.

The CBPF Advisory and Consultative Group (ACG) The ACG is to consist of national and international professionals on key issues under the CBPF. The members may include scientific research academies and institutes, universities, NGOs, embassies/development programs, key private enterprises and individual experts. The ACG is to provide: guidance and technical input from diverse viewpoints; information on national and international developments on biodiversity conservation; advice on biodiversity conservation policy and institutional governance issues; and a two-way communication channel between the broader conservation community and the PCG. This will also provide an additional mechanism to coordinate exchanges in information and expertise between different GEF supported projects.

#### **Exhibit 5: The CBPF Partnership<sup>1</sup>**

The longer-term global environmental benefits, through the overall CBPF programme at large, are projected as follows:

<sup>1</sup> Request for CEO Endorsement Approval, March 2009.

- At least 10 percent of the total hectares of each major habitat type, as indicated on global priority lists, is covered by protected areas and 20 percent managed as Ecological Function Conservation Areas<sup>1</sup>;
- At least 30 percent of protected areas are linked by managed corridors;
- The population of a number of key species threatened by hunting, including globally threatened species, is stabilized;
- A 40 percent increase in the habitats for globally threatened species are covered by the nature reserve system;
- A 25 percent increase of tropical rain forest and monsoon rain forest protected under nature reserves in Hainan and Yunnan provinces (which are globally important habitats harbouring several globally important species).

These achievements were considered not possible without the *Institutional Strengthening* project, which aimed at developing the CBPF Partnership.

This project also intended to yield national benefits. The project focused on the institutional and policy framework for biodiversity conservation. By strengthening that framework, it aimed at contributing to the overall institutional and policy framework for nature resource management, and therefore contribute to socio-economic and sectoral development. Specifically, the project was designed to strengthen the conceptual and operational links between biodiversity conservation and poverty alleviation, and should therefore contribute to the overall poverty alleviation in China.

The project was designed to generate several direct and indirect global environmental benefits. The project's influence on the climate change agenda was seen as support to long-term conservation of biodiversity that is vulnerable to climate change –including species such as the giant panda and the Yunnan snub-nose monkey. This project's influence on land zoning frameworks was also expected to greatly promote conservation outside protected areas and secure additional global biodiversity benefits. By strengthening the impacts and sustainability of conservation investments in China – such as the rest of the biodiversity GEF allocation for China and the 50-million US dollar European Union (EU)–China Biodiversity Programme (ECBP) working in 18 biodiversity-related field projects in biodiversity-rich landscapes across China, the project aimed at delivering greater global conservation dividends.

## 2.4. Baseline Indicators Established

Under a business-as-usual scenario, biodiversity conservation in China would continue to be hindered by a range of critical barriers, including inadequate coordination and collaboration between different biodiversity programmes and the absence of mechanisms to mainstream conservation into national economic and sectoral planning. GEF investments in China would continue to be programmed as individual projects addressing specific spatial or sectoral issues, with limited overall impact. GEF biodiversity investments in China would also continue to face systemic policy barriers nationally, which individual sectoral or sub-national projects cannot effectively address.

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<sup>1</sup> This referred to planning tool under development by MEP and complementary to Development Priority Zoning (DPZ), an initiative of NDRC. The DPZ initiative has been since discontinued, and the government has promoted a new one, entitled Ecological Redline.

## 2.5. Main Stakeholders

Stakeholder involvement was the cornerstone of this project, designed to strengthen MEP's capacity to coordinate a critical mass of international and national stakeholder action relevant to China's biodiversity conservation. The project was formulated to establish mechanisms to facilitate interactions between these stakeholders and the central government policy-makers to develop, test and scale-up innovative approaches. At project entry, the partners with the CBPF, the main stakeholders are listed below in **Exhibit 6**, and included eight key line ministries, five intergovernmental organizations, three international non-governmental organizations, one intergovernmental membership organization, and one bilateral development program.

### **Eight key line ministries of China**

National Development and Reform Commission (NDRC),  
Ministry of Finance (MOF)  
Ministry of Housing and Urban-Rural Development (MHURD)  
Ministry of Agriculture (MOA)  
Ministry of Land and Resources (MLR)  
Ministry of Environmental Protection (MEP)  
State Forestry administration (SFA)  
State Oceanic Administration (SOA)

### **Five intergovernmental organizations**

Global Environment Facility (GEF)  
United Nations Development Programme (UNDP)  
World Bank (WB)  
European Union (EU)  
Asian Development Bank (ADB)

### **Three international Non-governmental Organizations (NGOs)**

The Nature Conservancy (TNC)  
World Wild Fund for Nature (WWF)  
Conservation International (CI)

### **One intergovernmental membership organization**

The World Conservation Union (IUCN)

### **One bilateral development Program**

Sino-Italian Cooperation project (SICP)

### **Exhibit 6: List of CBPF partners at project entry**

## 2.6. Expected Results

This project was envisaged to support the implementation of CBPF in facilitating the following results:

- Establish an effective biodiversity conservation planning framework from the national to provincial levels;
- Strengthen MEP's capacity to coordinate a critical mass of international and national stakeholder action relevant to China's biodiversity conservation.

- Establish mechanisms to facilitate interactions between these stakeholders and the central government policy-makers to develop, test and scale-up innovative approaches.
- Establish a common framework to monitor CBPF's progress and to assess its achievements (including all projects developed under it) with regard to impacts on- the-ground.
- Strengthen CBPF's resource mobilization potential by promoting market based payments for ecosystem services (PES).
- Through transparency and accountability created through the CBPF, additional resources allocation from partners and from other relevant work – such as climate change adaptation – would be ensured; and
- Ensure the integration of biodiversity conservation issues within the planned national climate change adaptation guidelines and demonstrate how to do this in the sectoral policies/plans in a province as a demonstration.

## 2.7. Budget and Finance Breakdown

The total approved cost for project implementation was USD 22,748,182, which includes a GEF grant of USD 4,508,182, and USD 18,240,000 in cofinancing. The breakdown of the budget and finance for project implementation is outlined below in **Exhibit 7**.

<b>Exhibit 7: Breakdown of Project Budget and Financing</b>			
<i>Component</i>	GEF grant prodop budget	Committed Co-Financing	
		<i>Source</i>	<i>Value</i>
<b>Outcome 1:</b> Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation	USD 1,267,182	Gov't China-MEP UNDP/ECBP Gov't Italy WWF TNC	USD 5,080,000 USD 100,000 USD 180,000 USD 100,000 USD 250,000
<b>Outcome 2:</b> Strengthened Planning System for Biodiversity Conservation, including M&E	USD 577,200	Gov't China-MEP UNDP/ECBP WWF	USD 580,000 USD 500,000 USD 300,000
<b>Outcome 3:</b> Biodiversity mainstreamed into national development plans and programmes	USD 880,000	Gov't China-MEP UNDP/ECBP WWF TNC	USD 500,000 USD 2,000,000 USD 200,000 USD 1,010,000
<b>Outcome 4:</b> Enabling Framework for Market-Based Payments for Environmental Services	USD 822,400	Gov't China-MEP UNDP/ECBP WWF TNC	USD 1,660,000 USD 2,000,000 USD 500,000 USD 200,000
<b>Outcome 5:</b> Integration of Biodiversity conservation into climate change adaptation policies and plans	USD 511,400	Gov't China-MEP UNDP/ECBP WWF	USD 780,000 USD 1,400,000 USD 500,000
<b>Project Management</b>	USD 450,000	Gov't China-MEP	USD 400,000
<b>Total:</b>	<b>USD 4,508,182</b>	<b>Total:</b>	<b>USD 18,240,000</b>

Source: Project Document

### **3. FINDINGS**

#### **3.1. Project Design / Formulation**

##### **3.1.1. Analysis of Logical Results Framework**

Considering that the project was developed in 2006-2007, the design has held up fairly well in nearly 10 years, during which time there were a number of substantive changes in the legislative and strategic framework of biodiversity conservation in China. One example of the forward-thinking nature of the design was the focus on strengthening subnational biodiversity planning, which is something that was reinforced in the updated national biodiversity strategy and action plan (NBSAP), approved in 2010. The design was also formulated to build upon the gains made in the EU China Biodiversity Program, a comprehensive initiative that ran from 2007 through 2012.

There were certain aspects of the design that were insufficiently elaborated. For example, the envisaged common monitoring framework for the CBPF remains unclear to the project management team and the project beneficiaries.

##### **3.1.2. Assumptions and Risks**

Certain assumptions made in the project design held up over time; for instance, the Chinese economy continued to grow throughout, environmental protection has remained a priority of the national government, in fact, it has become a higher priority with respect to socio-economic planning, and the international community has remained committed to supporting China in biodiversity conservation – evidenced, for example, in the high proportion of GEF funding allocated to biodiversity in the GEF-5 and GEF-6 operational programs.

The risk of time delays was highlighted in the project document, but there was limited discussion of how this would be mitigated. The project has undergone a number of time delays, starting with recruiting a project manager; the first one hired more than a year after the project document was approved. There have also been a number of delays in procurement, which have partly been due to limited availability and capacity among the professional community, but also due to the time-consuming public procurement procedures.

##### **3.1.3. Lessons from other Relevant Projects**

The most relevant project with respect to lessons learned is the European Union China Biodiversity Programme (ECBP), which was a 5-year initiative, ending in 2012, with EUR 30 million contributed by the EU. Among the components of the ECBP, 18 field demonstration projects were implemented in the biodiversity-rich landscapes of southern, central, and western China. Other components included central policy and institutional development, and promoting increasing visibility and awareness of biodiversity conservation in China.

Among the 18 ECBP field projects, 10 of them involved developing provincial and local interdepartmental coordination structures, supporting them in formulating integrated biodiversity strategy and action plans. The lessons learned on these activities are directly relevant with respect to Outcome 2 of this project.

Other complementary dimensions of the ECBP included assisting national and subnational stakeholders in integrating biodiversity into environmental impact assessments (EIA) and strategic environmental assessment (SEA) processes, and promoting market-based payment for ecosystem services (PES) schemes.

### **3.1.4. Planned Stakeholder Participation**

The project had an ambitious stakeholder involvement plan, including facilitating coordination and capacity building among key national level line ministries, subnational administrations and the relevant local level departments responsible for biodiversity conservation issues, as well as intergovernmental organizations, nongovernmental organizations, one intergovernmental membership organization, and bilateral partners. This made up the membership base of the CBPF at project entry.

One of the main mechanisms in ensuring active stakeholder participation was the functional of the envisaged Project Coordination Group (PCG), which had representation of the CBPF partners and was meant to provide a structured process in coordinating activities and concerns among these stakeholders. The PCG convened meetings in the first two years of implementation, 2011 and 2012, but not in later years. Coordination after 2012 was largely on a governmental level, starting with the high-level National Committee on Biodiversity Conservation and also the CBD Secretariat, which is essentially the technical advisory arm of the National Committee. Coordination among other CBPF partners, including NGOs, multilateral agencies, and intergovernmental organizations was less structured thereafter.

The planned level of stakeholder involvement was not realized, particularly with respect to other line ministries and agencies having biodiversity mandates, including the NRDC, SFA, MFA, SOA, etc., international NGOs, and international financing institutions. A joint implementation modality might have been a more constructive approach to garner meaningful stakeholder involvement, and also might have opened up other entry points for collaboration between MEP-FECO and the other CBPF partners.

### **3.1.5. Replication Approach**

The replication approach focused on the CBPF has being a mechanism for replication, including knowledge management and lesson learning functions, coordinated by the PCG and the CBPF Secretariat. Some of the indicator targets included in the strategic results framework had a replication aim, including use of the NBSAP in sectoral work, technical PES guidelines being used across sectors, and a steady increase in biodiversity conservation funding from market-based PES schemes. The project also had a coordination role with respect to the other CBPF projects, particularly the ones supported by UNDP and financed by GEF.

Overall, however, the replication approach of the project was inadequately elaborated in the project design. For example, there were no explicit activities designed for knowledge management, and there was not budget line item for knowledge management either.

### **3.1.6. UNDP Comparative Advantage**

The UNDP comparative advantage as implementing agency was based on their extensive experience working in China and their favourable standing among national and subnational stakeholders. Through UNDP's large portfolio of GEF-financed biodiversity projects, which has continued to grow under the GEF-5 and GEF-6 operational programs, the agency has built up a considerable track record in implementing GEF projects. Furthermore, UNDP was the implementing agency for the European Union financed EU-China Biodiversity Programme.

In addition to these factors, UNDP has extensive global experience in advocating sustainable human development, including cross-cutting issues associated with social, gender mainstreaming,

and indigenous people which are increasingly important considerations in mainstreaming biodiversity conservation into the wider aspect of sustainable development.

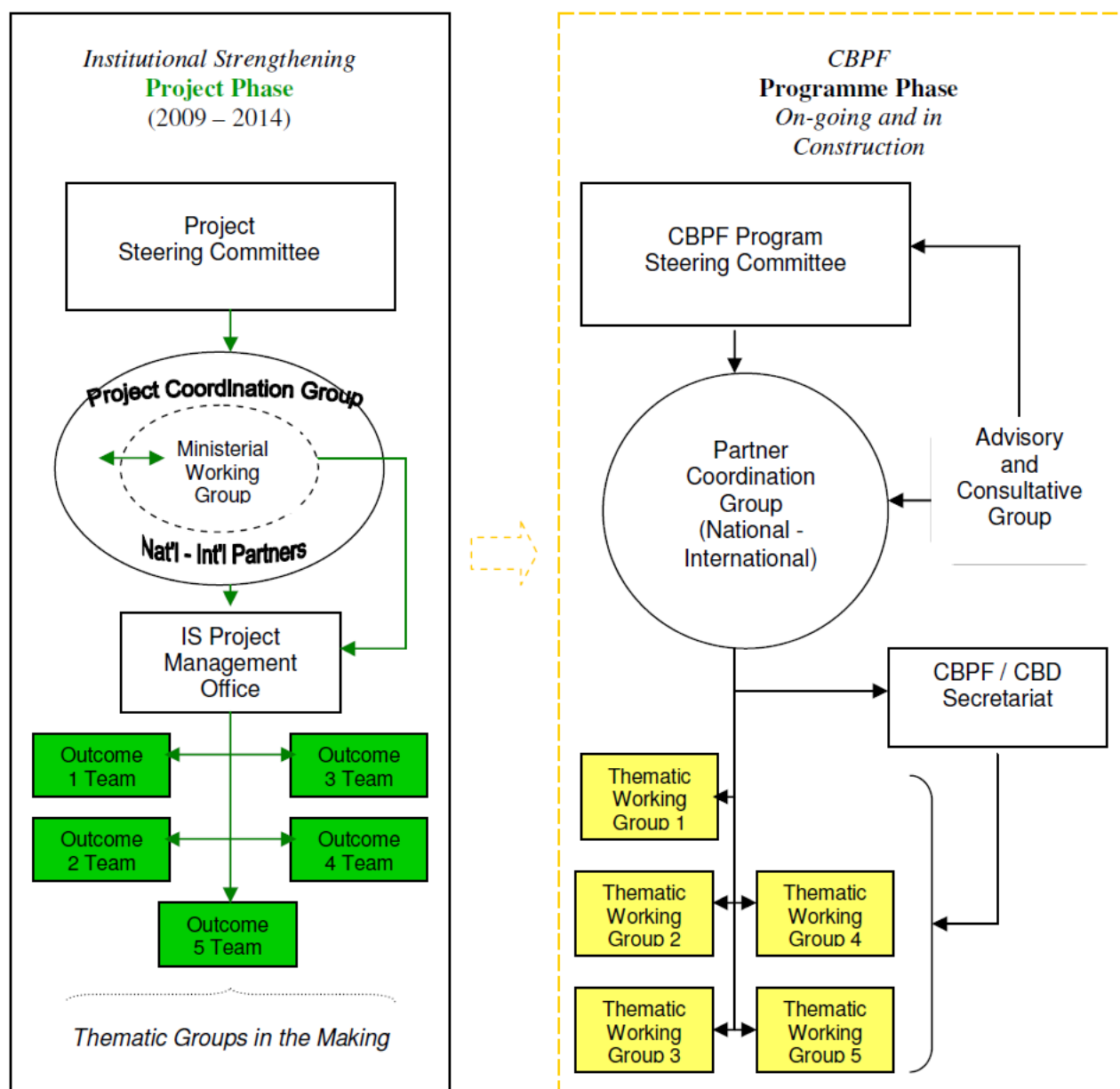
### **3.1.7. Linkages between Project and other Interventions**

The closest linkages between the project and other interventions was with the other GEF financed CBPF projects, particularly the ones supported by UNDP. Under the GEF-4 operational program, there were nine projects under the CBPF and UNDP was the implementing agency for the majority of these. This project had a coordination role, effectively functioning as the acting CBPF Secretariat. The project facilitated two information exchange workshops with other UNDP supported CBPF projects, for example.

The project coordination group (PCG) was envisaged as a coordinating mechanism for all of the partners under the CBPF, exchanging experiences, avoiding duplication, identifying cofinancing opportunities, etc. Although, as indicated earlier, the PCG did not function as planned, the achievements of some of the other CBPF partners were integrated into the project priorities, and also reflected in the national biodiversity conservation strategic direction. For example, the Blueprint project implemented by TNC introduced the concept of ecological regional assessment in China, and 32 priority conservation areas (PCAs) were identified. These PCAs formed the basis of the key ecological function areas delineated by the Chinese Government. There are also continues to be important contributions by WWF, including the introduction of protected area networks, such as the one across the Yangtze River basin. WWF has also implemented several pilot projects on market-based PES, and other pilots regarding the National Park System.

### **3.1.8. Management Arrangements**

The envisaged management arrangements for the project phase and programme phase, which is the operation of the CBPF coordination mechanism after project closure, is shown below in **Enclosure 8**.



**Exhibit 8: Management Arrangements for Project and Programme Phases<sup>1</sup>**

As documented in the project inception report, the Project Steering Committee consisted of representatives from the Department of Nature and Ecology Conservation of MEP; Foreign Economic Cooperation Office (FECO) of MEP; Department of International Cooperation of MOF and UNDP China Country Office. Director of the executing agency will act as chair of the PSC. And, the responsibilities of the PSC included:

- i. The PSC is responsible for providing guidance to project activities and overall direction. It is also responsible for providing policy and technical guidance to the structuring of the Project Coordination Group and the CBPF Secretariat;
- ii. At least one PSC meeting will be held every year in order to review the Project Annual Work Plan and its relevant budget plan, as well as to adjust major issues relating to project implementation and to review project results;

<sup>1</sup> Source: project document

- iii. The PSC is responsible to monitor project progress and to make recommendations to project implementation;
- iv. If necessary the constitution of the PSC can be adjusted according to procedures

Also, as reinforced in the project inception report, the Project Coordination Group (PCG) was envisaged to be responsible for establishing the CBPF and coordinating cooperation and communication among the CBPF partners. PCG was meant to act as the communication and information sharing body of the project. Members of the PCG, including line ministries such as National Development and Reform Commission (NDRC), Ministry of Finance (MOF), Ministry of Land and Resources (MLR), Ministry of Environmental Protection (MEP), Ministry of Housing and Urban-Rural Development (MHURD), Ministry of Agriculture (MOA), State Forestry Administration(SFA), State Oceanic Administration (SOA); international organizations such as United Nations Development Programme (UNDP), United Nations Environmental Programme (UNEP), European Union (EU), World Bank(WB), The World Conservation Union (IUCN), and international NGOs such as World Wide Fund for Nature (WWF), The Nature Conservancy (TNC) and Conservation International (CI), The PCG is co-chaired by the Department of Nature and Ecology Conservation, Ministry of Environmental Protection of the GoC and the UNDP China Country Office. The Project Management Office (PMO) was indicated as the Secretariat of the PCG, and the responsibilities of the PCG included:

- i. The PCG is responsible for coordinating members of the PCG in order to promote the smooth implementation of the project;
- ii. The PCG is responsible for helping resolve difficulties and barriers encountered by the project during implementation, especially those difficulties caused by duplication of responsibilities among various governmental departments
- iii. The PCG will participate in reviewing annual project plans, management and implementation measures, and is responsible for providing comments and recommendations;
- iv. The PCG is responsible for promoting information sharing, which includes relevant policies, development plans and work plans, in order to promote project implementation;
- v. PCG members are responsible for promoting and sharing project progress and results within PCG member agencies;
- vi. PCG members are responsible for recommending representatives to participate in project meetings and to give advices for project implementation.

The Project Management Office (PMO) was housed in the Foreign Economic Cooperation Office (FECO) of MEP. Tasks of the PMO included drafting project work plans, preparing project monitoring reports, procuring inputs, daily coordination across project outputs and general project communications. And, the PMO was designed to include the following positions:

- i. Project Manager
- ii. Senior Communications & Partnerships Officer
- iii. CBPF Monitoring and Evaluation Officer
- iv. Financial and Administrative Officer

## **3.2. Project Implementation**

### **3.2.1. Adaptive Management**

The midterm review rating for adaptive management was moderately satisfactory. The TE evaluation team found that the project had since made improvements, and observed a number of examples of adaptive management measures being implemented. For example, the project responded to the Government initiative on delineating ecological redlines in each province, an effort that is aiming at consolidating the various types of protected areas in China. Also, the project sponsored studies on a national park system, something the Government has outlined in the NBSAP, approved in 2010. With China joining the Global Partnership for Business and Biodiversity in 2015, FECO has been tasked with responsibility to facilitate increased participation by industrial enterprises, with respect to biodiversity conservation. The IS project has provided FECO with a practical platform for promoting involvement by businesses. Another example of adaptive management is the response to innovative approaches with respect to integrating biodiversity conservation with climate change priorities, specifically by sponsoring development of a community based carbon emission offset mechanism.

While there were some adjustments at the inception and midterm review phases to project activities, the overall strategic objective of the project was not critically reviewed and adjusted. This is largely in regard to the concept of the CBPF Secretariat. Based upon findings during the TE, national level stakeholders tend to have the opinion that existing coordination mechanisms, including the National Committee on Biodiversity Conservation and the CBD Secretariat, fulfil the envisaged role of the CBPF coordination mechanism, whether in the form of a secretariat or not. But, this opinion is not shared among all CBPF partners, some of which cite the fact that the national coordination mechanisms are predominantly aimed at facilitating interaction across line ministries, whereas the concept of the CBPF extends to multilateral agencies, international financing institutions, NGOs, etc. The role of the CBPF, as a coordination mechanism, is not consistently shared among key stakeholders.

### **3.2.2. Partnership Arrangements**

As the project was run under a national implementation modality (NIM), the signed project document is effectively the partnership arrangement between the UNDP as implementing agency and the Ministry of Environmental Protection (MEP), which is the executing agency on behalf of the Ministry of Finance (MOF).

For activities completed on the project, contractual arrangements were made with the institutions and organizations that were awarded the work based upon competitive procurement processes. By the time of the TE in November 2015, the number of contracts signed reached 40. Some institutions were successful in more than one contract, but in general, the project has done a good job at involving the expert community, both at the national and subnational levels.

With respect to partnership arrangements among the CBPF partners, the project coordination group (PCG) was designed to be the key mechanism for facilitating collaboration and interaction among the partners. The PCG was not maintained after 2012, and while there were various meetings and workshops where some of the CBPF partners participated, coordination in the since 2012 was generally managed on an ad hoc basis.

### 3.2.3. Feedback from M&E Activities used for Adaptive Management

The project steering committee (PSC) meetings were designed to be the main decision-making mechanism used for adaptive management. In reality, the PSC was more of a formality, with participation by high-level officials, but generally lacking substantive discussion. The PSC has also only convened four times in five years, with 21 months between the 3<sup>rd</sup> meeting, held in October 2013 and the 4<sup>th</sup> meeting, organized in July 2015. There was no PSC meeting in calendar year 2014, a time when there was a change in project manager and the pace of work increased substantially due to low delivery in previous years.

Project reporting, on the other hand, has been quite good. Project implementation reviews (PIRs) were completed on an annual basis, reflecting the progress made by the end of June of the respective year long period. The evaluation team found the PIRs to be sufficient with respect to detail, and input was provided by the national project coordinator, the UNDP programme manager, the national project manager, and the UNDP-GEF regional technical advisor. The project management team has also produced quarterly and annual progress reports. These reports addressed more activity level issues, and were good project management tools for documenting issues and adaptive measures implemented.

### 3.2.4. Project Finance

#### Financial Expenditures

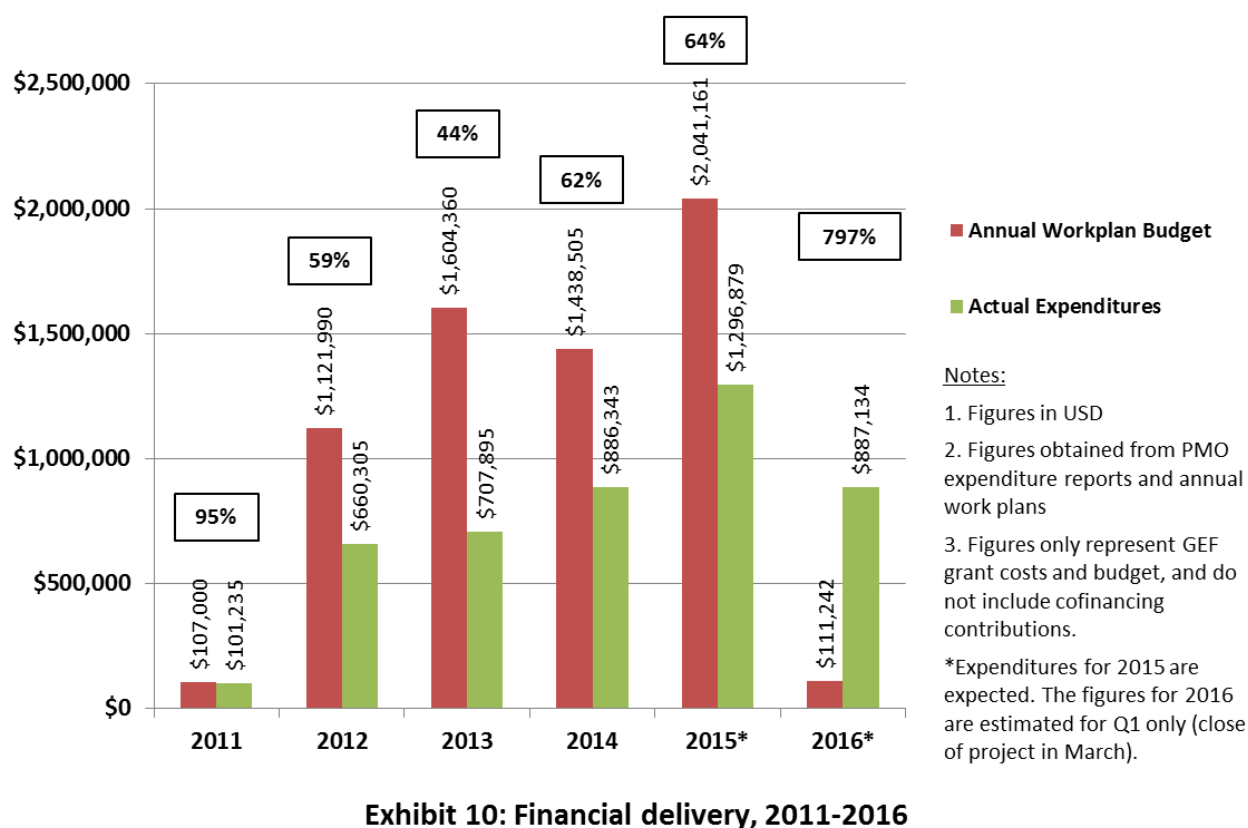
The total expenditures incurred for project implementation through 31 October 2015 is USD 2,745,158, which is 61% of the USD 4,508,182 GEF grant (see **Exhibit 9**).

Exhibit 9: Breakdown of Actual Project Expenditures, through 31 October 2015		
<i>Component</i>	GEF Grant Prodoc Budget % of Total	Actual Expenditures through 31 Oct 2015 % of Total spent
<b>Outcome 1:</b> Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation	USD 1,267,182 28%	USD 904,260 20%
<b>Outcome 2:</b> Strengthened Planning System for Biodiversity Conservation, including M&E	USD 577,200 13%	USD 489,025 11%
<b>Outcome 3:</b> Biodiversity mainstreamed into national development plans and programmes	USD 880,000 20%	USD 452,182 10%
<b>Outcome 4:</b> Enabling Framework for Market-Based Payments for Environmental Services	USD 822,400 18%	USD 424,128 9%
<b>Outcome 5:</b> Integration of Biodiversity conservation into climate change adaptation policies and plans	USD 511,400 11%	USD 163,058 4%
<b>Project Management</b>	USD 450,000 10%	USD 312,505 7%
<b>Total:</b>	<b>USD 4,508,182</b>	<b>USD 2,745,158</b>

Source: Project Document and PMO financial expenditure records (excluding unrealized gains)

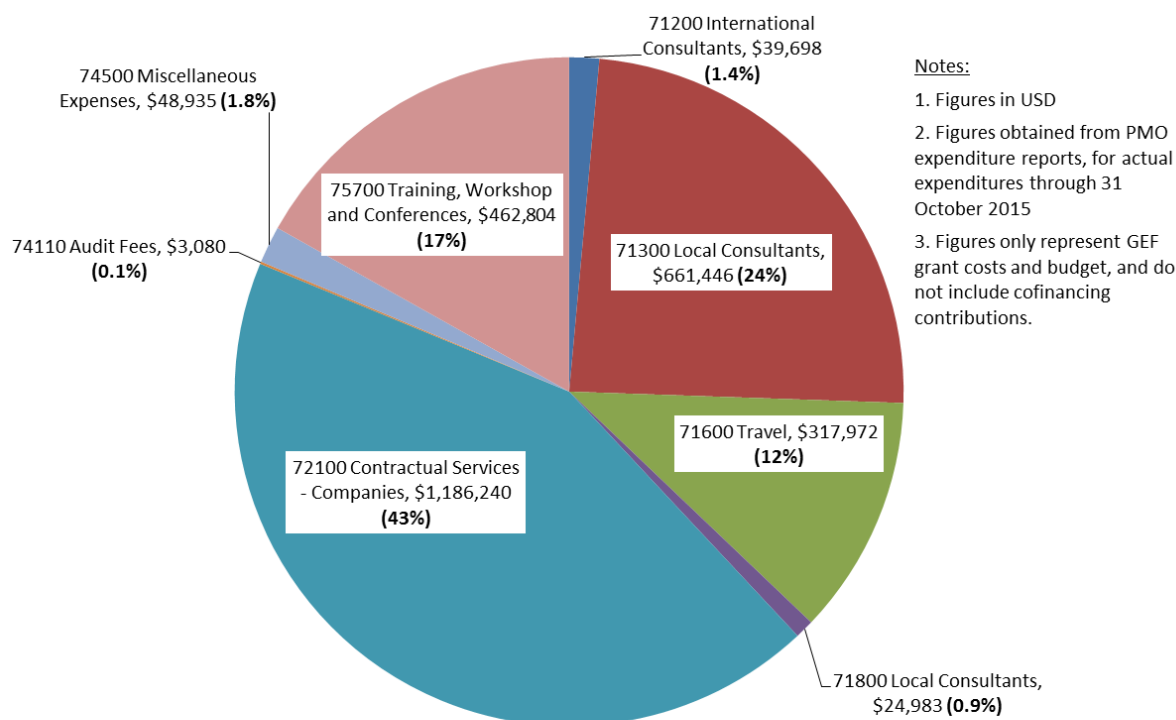
Considering that there are only 5 months remaining until project closure in March 2016, this level of spending is worrying, even though many of the contracts for the outstanding activities have been signed and the works are underway. As shown above in **Exhibit 9**, spending on Outcomes 3, 4, and 5 are particularly low.

When looking at the pattern of spending over the project's lifespan, expenditures have steadily increased year on year, with an expected USD 1,296,879 to be spent in 2015, the highest annual amount since the project started in 2011 (see **Exhibit 10**).



Financial delivery, as illustrated above in **Exhibit 10**, has been low, starting with 59% in 2011, 44% in 2012, improving a bit in 2014 at 62%, and an expected 64% in 2015. The expected delivery in 2015 might, in fact, be overly optimistic, as through 31 October only USD 357,769 have been expended, which is approximately 28% of the total expected for the year, i.e., USD 1 million is slated to be incurred in the final two months of the year.

A detailed breakdown of financial expenditures, broken down by output and Atlas code is compiled in **Annex 8**, and the Atlas cost categories are graphically illustrated below in **Exhibit 11**.



**Exhibit 11: Distribution of Actual Expenditures by Atlas Category**

As shown in **Exhibit 11**, the largest share of costs, at 43%, has been allocated under the Contractual Services-Companies (Atlas 72100). Approximately 25% has been spent on Local Consultants, including Atlas 71300 and 71800. It seems that the PMO staff salaries are also included under the Local Consultants category. The next highest category is Training, Workshops, and Conferences (Atlas 75700) at 17%, or USD 462,904. Travel costs (Atlas 71600) have amounted to USD 317,972, which is approximately 12% of the total expenditures incurred through October 2015. This proportion of travel cost exceeds the maximum GEF-4 threshold of 5%; however, the indicative budget approved in the project document had USD 722,000 in travel costs, or 16% of the total budget.

According to the specimen statement of assets and equipment, only three laptops are included on the list, each with a purchase value of CNY 15,500, totalling CNY 46,500 (USD 7,358).

Independent financial audits have been completed for years 2012, 2013, and 2014<sup>1</sup>. According to the audit reports, the auditors found that combined delivery reports presented fairly the expenditures occurred in those years. There were no compliance findings reported.

### Cofinancing

According feedback from cofinancing partners and information collected by the project management team, a total of USD 32.43 million in cofinancing has been realized (see **Annex 9**), exceeding the figure of USD 18.24 million pledged at project entry. The largest contribution has been USD 15.29 million in parallel cofinancing by UNDP, mobilized from the EU China Biodiversity Programme over the period of 2010-2012, which concurred with this project. Government cofinancing has been USD 10.95 million, which is higher than the USD 9 million pledged, and includes USD 5.1 million in leveraged resources contributed by both national and subnational governmental stakeholders after the project started implementation. There has also been USD

<sup>1</sup> The audit for 2012 was made by the Audit Service Center of China National Audit Office for Foreign Loan and Assistance Projects. The 2013 and 2014 audits were carried out by Mazars Certified Public Accountants.

2.08 million leveraged from the Government of Norway, in support of the PBSAP activities in Sichuan Province.

Cofinancing contributions from WWF also exceeded the pledged amount at project entry. According to email notification to the TE team, the actual amount of cofinancing from WWF was USD 2.652 million, compared to USD 1.6 million pledged, and is broken down as follows.

- Outcome 1: Yangtze wetland network: USD 0.500 million
- Outcome 2: Support River Master Plan in China: USD 0.402 million
- Outcome 3: Tiger, Panda, Flyway, etc.: USD 0.692 million
- Outcome 4: Payment for watershed services: USD 0.515 million
- Outcome 5: USD 0.543 million

According to feedback communicated during TE mission interviews, the pledged USD 1.46 million in cofinancing from TNC was also realised.

### 3.2.5. Monitoring & Evaluation

**Overall Quality of Monitoring & Evaluation is rated as: Satisfactory**

#### Supporting Evidence:

- + PIR reports contained feedback from key stakeholders and provided detailed summaries of project performance;
- + The quarterly and annual progress reports were informative;
- + Design consistent with GEF template, with good monitoring framework added;
- + Full-time M&E coordinator;
- + IS project organized 3 information exchange workshops with the other UNDP-GEF CBPF projects
- No evidence of monitoring progress against CBPF performance indicators;
- Strategic Results Framework (not only activities) not timely adjusted to changed circumstances;
- Follow up to midterm review recommendations has been inconsistent;
- Methodology for capacity development scorecards diminished the representativeness of the results ;

**Monitoring & Evaluation design at entry is rated as: Satisfactory**

The monitoring and evaluation plan was systematically prepared, using the standard GEF template. The budget allocated for the monitoring and evaluation plan was USD 655,000, which is 14.5% of the USD 4.5 million GEF grant; this is considerably above average allocation which tend to range between 3 and 5%. Included in the monitoring and evaluation plan was USD 75,000 per year for visiting project sites. This is on top of the USD 175,000 in monitoring costs for the PMO. Also, USD 40,000 per year was indicated for lessons learned.

The project design also included a separate monitoring framework, which the TE team found to be well put together and useful for guiding the project management team.

With respect to the capacity development scorecard, the project management team implemented a longitudinal design, in which the same people were surveyed over time – which was outlined in the project design. In the opinion of the TE team, there was insufficient time between surveys, which were made annually between 2012 and 2014, and thus, this methodology was not particularly reliable, as the surveyed people can recall previous answers, and thus, there is an inherent bias. A cross-section design, surveying different people in the same population at inception, midterm, and at closure, would have been a more suitable approach.

### **Implementation of Monitoring & Evaluation Plan is rated as: Satisfactory**

The project has had a full-time monitoring and evaluation coordinator, who started in 2012 and has been one of the few PMO staff that has remained throughout the implementation phase. This is a very positive aspect with respect to implementation of the monitoring and evaluation plan. One apparent downside that was noticed by the TE team was that results based management, including knowledge of the strategic results framework, was not shared across the project management team. In a meeting during the TE mission, there was general confusion regarding some of the indicators and targets within the project strategic results framework, including those associated with the CBPF Secretariat and a common monitoring framework.

There were some adjustments made at the inception phase and after the midterm review, but these primarily involved bundling activities and adding some additional activities, in response to governmental focus with respect to biodiversity conservation. There were, however, no changes made to the objective or outcome level indicators.

The indicators within the project strategic results framework were referenced against the broader CBPF indicator framework, but there was no evidence that the IS project was monitoring against progress made with respect to CBPF indicators. Considering the IS project was essentially coordinating the other projects under the CBPF, functioning as the acting CBPF Secretariat, the monitoring efforts should have been expanded.

The project did a good job with activity level monitoring and reporting, producing informative quarterly and annual reports, as well as annual project implementation reviews (PIRs).

The GEF tracking tool for biodiversity (BD) projects was completed at project entry, at midterm, and at the end of the project. The TE team found that this tracking tool was diligently filled in, accounting for changes in project implementation.

Certain adjustments were made in response to the midterm review recommendations, but overall the response has been inconsistent:

- The MTR recommended integrating the CBPF into the National Committee on Biodiversity Conservation. There was limited evidence that specific actions were taken in response to this recommendation; the viability of the CBPF Secretariat is tenuous among the majority of interviewed national level stakeholders.
- The MTR recommended a critical review of the strategic results framework, and to make adjustments according to changed circumstances. Some activity level changes were made, but not at the outcome level.
- The MTR recommended increasing participation by non-governmental organizations WWF and TNC. These NGOs have participated in meetings and workshops, but they have not been involved in implementation of project activities, as indicated in the PMO management response (even though international NGOs are unable to receive publicly distributed funds).

- The MTR recommended formulation of an exit strategy, addressing, for example, how the CBPF Secretariat would be operationalized. There was no evidence that such an exit strategy has been prepared.

### 3.2.6. Implementing Agency (IA) and Executing Agency (EA) Execution

#### Overall IA-EA Execution: Moderately Satisfactory

##### Supporting Evidence:

- + UNDP's wealth of experience on biodiversity in China and globally, and their favourable standing with the Government was a strong comparative advantage;
- + Consistent high-level MEP-FECO officials involved;
- + Proactive support from the UNDP programme manager, office, and RTA;
- + UNDP and Government cofinancing contributions exceeded pledged amounts;
- + National implementation modality helped strengthen capacity of FECO and MEP;
- Project coordination group not maintained (FECO used the MEP coordination mechanisms in the 2<sup>nd</sup> half of the project – but these are not replacements for the PCG);
- Financial delivery has been unsatisfactory in each year of implementation;
- Implementation efficiency has been impacted by changes in project managers;
- The inability to recruit a full-time chief technical advisor resulted in inconsistent strategic guidance to the lead implementing partner;
- The frequency of project steering committee meetings was insufficient, e.g., there was no PSC meeting in calendar year 2014: the 3<sup>rd</sup> PSC meeting was in Oct 2013 and the 4<sup>th</sup> in July 2015.

#### Quality of Implementing Agency (UNDP) Execution is rated as: Satisfactory

This project was an important part of the GEF-financed portfolio supported by UNDP in China, and the UNDP country office was actively involved throughout the process, including participation in project steering committee meetings, providing regular input and recommendations in the project management team, providing documented feedback in the project implementation reviews, and supporting procurement throughout the process. The UNDP-GEF regional technical advisor for biodiversity was also proactively engaged in the process, providing valuable guidance at design phase and throughout the implementation timeframe.

The TE team observed that the collective knowledge of GEF financed biodiversity projects was not particularly represented within the project work products, e.g., some activities included research of international best practice in biodiversity conservation. It would be advisable to develop some type of learning mechanism, accessible to project management teams and the local professional community supporting GEF projects.

#### Quality of the Executing Agency Execution is rated as: Moderately Satisfactory

This project was run under a national implementation modality, with the Foreign Economic Cooperation Office (FECO) of the Ministry of Environmental Protection acting as executing agency. The national project director and the director of the Division IV of FECO have been consistently actively involved in the project, providing high level support and guidance. The institutional

capacity of FECO, as well as that of the individuals among the core FECO staff, has been strengthened through the national implementation modality; in fact, FECO has recently qualified as a GEF implementing agency.

The project experienced delays in getting started, including a prolonged period of time before a project manager was recruited. The official start date of the project was May 2010, when Government of China approved the project document, but the inception workshop was held nearly a year later, in April 2011. Retaining a project manager has also been a challenge; the current project manager, who started in November 2014, is the third manager since 2011, and there have been gaps in time between each change. Recruitment of a chief technical advisor (CTA) has proven to be even more difficult. The first CTA was hired in 2013 and remained for approximately 6 months, and even though there has been regular part-time technical support from a leading official within MEP-FECO, finding a full-time CTA has been not been easy, after several procurement attempts, both domestically and internationally. During the second half of 2015, a CTA was retained for preparing a self-assessment report to support the terminal evaluation, and also to provide strategic guidance to the team in the critical final phase of implementation.

The technical activities on the project are executed by external institutions, organizations, and consultants, through a total of 40 contracts. This has required extensive procurement and administrative services. Procurement has been managed by the project management office, with assistance from Division IV of FECO and also UNDP. Along with other ministries, MEP-FECO is obliged to follow public procurement policies and procedures, and there is particular strong control regarding the international funding managed by FECO. Consequently, procurement times are long. Feedback shared during the TE mission and information recorded in project progress reports attributed some of the project delays to time-consuming procurement procedures. There have also been difficulties in recruiting certain expertise for some of the project activities, particularly those involving emerging issues. These circumstances have persisted throughout the implementation phase, and are reflected through low financial delivery rates, year on year.

Despite high level involvement and leadership, the overall quality of execution by the lead implementing partner is rated as moderately satisfactory, largely because of not overcoming the efficiencies described above. The result has been a high number of outputs being crowded final phase of the implementation period; nearly 40% of the implementation budget is slated to be expended in the final 5 months of the 5-year project that was extended by 10 months.

### 3.3. Project Results

#### 3.3.1. Overall Results (Attainment of Objective)

The results of the assessment of achievement towards project outputs are discussed below, and the completed qualitative evaluation is compiled in **Annex 7**.

#### **Attainment of the Project Objective is rated as: Satisfactory**

**Project Objective:** The development of the national policy and institutional framework, bringing it closer to international best practices

Assessment of overall project results is based upon a perspective beyond the scale of the strategic results framework. There have clearly been strengthened institutional capacities, with respect to MEP-FECO, which is the national coordination agency for biodiversity conservation in China.

Approval of three provincial BSAPs is also a noteworthy result, further enabling the biodiversity planning capacities and frameworks at the subnational level.

The objective level indicators are listed below.

Objective Indicators		Targets
<b>Obj-1</b>	A composite index of changes in UNDP capacity development scorecard for planning, mainstreaming and partnership	Total score on scorecard has increased from 17 to 31
<b>Obj-2</b>	Biodiversity conservation resources available from government and private sector	Increase by 100 % from 2006 figure. (PIR 2014 indicates a baseline of USD 500 million for government resources, and USD 25 million for private sector)
<b>Obj-3</b>	Tracking Tool for GEF Biodiversity Focal Area Strategic Priority Two	Not defined

The composite index of the Capacity Development Scorecard for Planning, Mainstreaming, and Partnership had an average score of 38.9 in the most recent survey, completed in June 2014, compared to a baseline of 17. This result exceeds the target of 31 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. Also, the TE team questions whether the June 2014 Capacity Development Scorecard survey captures the end-of-project circumstances, as more than 50% of project expenditures (and activities) have been incurred since that time.

With respect to biodiversity conservation resources available from government and private sector, there were no data available to assess progress made toward the intended target of 100% from 2006 figures. According to anecdotal evidence communicated during the TE mission interviews, government spending on biodiversity conservation has significantly expanded in recent years, exceeding CNY 10 billion annually. There were no baseline figures indicated in the project inception report, but the 2014 PIR indicated a figure of USD 500 million from government resources and USD 25 million from the private sector. There was no monitoring data available to assess increase in resources contributed for biodiversity conservation since project entry. Based upon anecdotal evidence obtained during TE mission interviews, there has likely been a significant increase in resources mobilized for biodiversity conservation. But, the TE team is unable to assess achievement of this indicator due to lack of supporting data.

The third objective level indicator, referencing the GEF biodiversity tracking tool, does not seem to have been developed. The tracking tool has been filled out, at inception, midterm, and near closure, in October 2015, but there is no evidence of indicators from the tracking tool being brought up to the strategic results framework. The project has facilitated some local level activities that have, indirectly, contributed to enhanced management of protected areas and increased land area being delineated for protection of ecosystem services and functions. The project design envisaged support to the Development Priority Zone programme in the country, but this programme has since received less attention, as the Redline Program is currently the main focus of the central level stakeholders. In response to this change, the project funded two demonstrations of delineation of Ecological Redlines, a new programme the government has adopted. Project support was extended for developing guidelines for delineating ecological redline areas, and also demonstration of applying these guidelines in two provinces: Hubei

Province, for a terrestrial ecosystem covering approximately 18.6 million hectares, and Ningxia Hui Autonomous Region, for a terrestrial ecosystem covering approximately 6.6 million hectares. In addition to this, the provincial BSAPs supported by the project in Guangxi, Hainan, and Jilin Provinces, have indirectly led to enhanced management of the protected areas under provincial management: 1,452,941 ha, 2,735,320 ha, and 2,303,900 ha, respectively.

### 3.3.2. Relevance

#### Relevance is rated as: Relevant

The Project was relevant across a number of criteria. The objectives of the project are closely aligned with the China National Biodiversity Conservation Strategy and Action Plan 2011-2030, specifically with respect to:

- Priority Area 1: To improve the policy and legal system of biodiversity conservation and sustainable use;
- Priority Area 2: To incorporate biodiversity conservation into sectoral and regional planning and promote sustainable use; and
- Priority Area 10: To establish public participatory mechanisms and partnerships for biodiversity conservation.

The conceptual role of the CBPF falls squarely within Priority Area 10, which aims to establish partnerships for biodiversity.

At the time of project development, before the approval of the 2011-2030 NBSAP, the intended results of the China Biodiversity Partnership and Framework for Action (CBPF) were formulated in response to the country's primary investment strategy for biodiversity conservation, contributing directly to the following results of the agreed CBPF Framework:

- Result 4: Financial flows to biodiversity conservation increase over current baseline;
- Result 18: NRs and PNRs are effectively managed;
- Result 19: NNRs and PNRs have stable and sufficient finance; and
- Result 20: at NNRs and PNRs, local communities, NGOs and/or the private sector are involved in PA co-management and development

The project was also developed in line with the GEF-4 Biodiversity Strategy, specifically Strategic Programs 4 and 5. With respect to Strategic Program 4 (*"Strengthening the Policy and Regulatory Framework for Mainstreaming Biodiversity"*), Outcome 3 of the IS project was designed to provide incremental support to the biodiversity mainstreaming efforts in the country.

Outcome 4 of the IS project, aimed at strengthening the enabling framework for Government and market based payments for environmental services was directly relevant with respect to the GEF-4 Biodiversity Strategic Program 5, "Fostering Markets for Biodiversity Goods and Services".

With respect to the United Nations Development Assistance Framework (UNDAF) for the People's Republic of China for the period 2011-2015, the project is mostly closely aligned with UNDAF Outcome 1.2, which calls for strengthening of policy and implementation mechanisms to manage natural resources, with special attention to poor and vulnerable groups. This is also reflected in Outcome 5 (Environment and Sustainable Development) of the UNDP Country Programme Document for China for the same period, 2011-2015.

With respect to the UNDP Strategic Plan 2014-2017, there is close alignment with Area of Work 1 (Sustainable Development Pathways), particularly with respect to effective maintenance and protection of natural capital, and planning at subnational levels to help connect national priorities with action on the ground.

### 3.3.3. Effectiveness

**The overall effectiveness in achieving project outcomes is rated as Moderately Satisfactory.**

Based upon assessment against the strategic results framework, the achievement towards the project outcomes has been moderately satisfactory. The project is relevant across a number of criteria, but a series of implementation inefficiencies has held back more effective performance.

Further information is presented below for each outcome, and the evaluation matrix used to rate the outcomes is compiled in **Annex 7**.

**Outcome 1:** Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation

Indicative budget in project document: USD 1,267,182

Actual cost incurred on this outcome (through 31 Oct 2015): USD 904,260

**Achievement of Outcome 1 is rated as Moderately Satisfactory.**

#### Key Outputs:

- Study on existing partnerships domestically and internationally;
- Compiled and analysed biodiversity policy information;
- Held forum on the operational mechanism and performance assessment of biodiversity partnerships, with participation of more than 20 stakeholders;
- Ongoing evaluation of the performance of the 9 GEF financed sub-projects under the CBPF;
- Facilitating three media trainings;
- Developed a CBPF website ([www.gefcbpf.org.cn](http://www.gefcbpf.org.cn));
- Organized and facilitated three information exchange meetings with the other GEF financed CBPF sub-projects: meetings were held in Beijing, Yancheng, and Tsingdao;
- Supported FECO in organizing the “International Forum on Biodiversity and Green Development”.

#### Discussion:

Outcome 1 Indicators		Targets
1.1	The Index in the UNDP Capacity Development Scorecard for partnerships	Total score on UNDP Capacity Development Scorecard for partnerships has increased from 4 to 8
1.2	Financial viability of the Secretariat for the Partnership. (CBPF Indicator: 9.4)	Secretariat has at least four full staff, with full resources and operating budget. At least 4 partners contribute to the budget
1.3	Existence of a common monitoring framework for CBPF partners (CBPF Indicator: 9.1)	GEF and MOF and at least four other partners accept and are using consolidated monitoring system

The Capacity Development Scorecard for Partnerships had an average score of 11.2 in the most recent survey, completed in June 2014, compared to a baseline of 4. This result exceeds the target of 8 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. The reported improvement in the scorecard result has been partly attributed to the influence of the National Committee on Biodiversity Conservation. This high-level committee is chaired by the Vice Premier, giving it considerable political clout. As many of the awareness oriented activities on the project were initiated starting in late 2014, the TE team question whether the June 2014 survey captures the end-of-project circumstances.

At the time of the TE mission, there was no consensus among interviewed stakeholders regarding the CBPF Secretariat. A self-financing body, with contributions from at least four partners, and having four full-time staff has not been achieved.

Similarly, at the time of the TE mission, there was no evidence of a consolidated monitoring framework by CBPF partners being established and accepted (by at least four of the partners).

### **Outcome 2: Strengthened Planning System for Biodiversity Conservation, including M&E**

Indicative budget in project document: USD 577,200

Actual cost incurred on this outcome (through 31 Oct 2015): USD 489,025

### **Achievement of Outcome 2 is rated as Satisfactory.**

#### **Key Outputs:**

- Development of a monitoring and evaluation indicator system for tracking the progress of the China National Biodiversity Strategy and Action Plan (CNBSAP);
- Support for the development of three provincial BSAP's, including Xinjiang, Guangxi, and Hainan Provinces;
- Support for the development of sectoral BSAP for the General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ);
- Support for the development of sectoral BSAP for the Ministry of Water Resources;
- Study on the historic development of national park systems in other countries, and a report on recommended categorization of national parks that would be consistent with the circumstances in China;
- Supported training courses on the development of provincial BSAP's.

#### **Discussion:**

Outcome 2 Indicators		Targets
<b>2.1</b>	The Index in the UNDP Capacity Development Scorecard for planning (CBPF Indicator: 1.1)	Total score on scorecard for 'planning' has increased from 7 to 14
<b>2.2</b>	Extent of use of NBSAP in sectoral work (CBPF Indicator: 1.2)	From 2010 onwards, MOA, SFA, Chinese Academy of Sciences, SOA and MEP all include initiatives in their annual work plans that explicitly address priority actions identified in the NBSAP

Outcome 2 Indicators		Targets
2.3	The number of approved provincial BSAPs (CBPF Indicator: 1.3)	By the end of the project, at least 3 provinces have prepared BAPs, in line with agreed national standards and guidelines, supported by budget allocations

The Capacity Development Scorecard for Planning had an average score of 15.1 in the most recent survey, completed in June 2014, compared to a baseline of 7. This result exceeds the target of 14 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. Also, the TE team questions whether the June 2014 survey captures the end-of-project circumstances, as more than 50% of project expenditures (and activities) since that time.

With respect to NBSAP priority actions identified in annual work plans of MOA, SFA, CAS, SOA, and MEP, there were no documentary evidence available. According to anecdotal evidence obtained during TE interviews, these line ministries and agencies likely have integrated NBSAP priority actions into their annual works plans.

The project has facilitated development of three provincial BSAPs, each of which has been approved: Guangxi, Hainan, and Jilin. This is a noteworthy achievement, representing a meaningful contribution to strengthened biodiversity conservation planning.

### Outcome 3: Biodiversity mainstreamed into national development plans and programmes

Indicative budget in project document: USD 880,000

Actual cost incurred on this outcome (through 31 Oct 2015): USD 452,182

### Achievement of Outcome 3 is rated as Satisfactory.

#### Key Outputs:

- Study on the process of delineation of the national ecological conservation redline system;
- Demonstration of delineating ecological conservation redline and developing associated management guidelines in Hubei Province;
- Demonstration of delineating ecological conservation redline and developing associated management guidelines in Ningxia HUI Autonomous Region;
- Research on expanding participation of enterprises into the CBPF.

#### Discussion:

Outcome 3 Indicators		Targets
3.1	The Index in the UNDP Capacity Development Scorecard for mainstreaming	Total score on scorecard for mainstreaming has increased from 6 to 9
3.2	The proportion that biodiversity conservation included in the provincial Development Priority Zones plans	2/3 of provincial Development Priority Zones plans refer to biodiversity conservation

The Capacity Development Scorecard for Mainstreaming had an average score of 12.6 in the most recent survey, completed in June 2014, compared to a baseline of 6. This result exceeds the target of 9 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. Also, the TE team questions whether the June 2014 survey captures the end-of-project circumstances, as more than 50% of project expenditures (and activities) since that time.

The indicator involving integrating biodiversity conservation into provincial Development Priority Zone (DPZ) plans has been considered void, as the government is no longer pursuing the DPZ programme. The project has supported activities piloting the Ecological Redline initiative, which the government recently initiated, for terrestrial ecosystems (Hubei Province and Ningxia Hui Autonomous Region). Considering that there were no adjustments made to this outcome level indicator, the TE team is unable to assess achievement made.

Spending on this outcome has been low, with approximately 51% of the indicative budget expended by 31 October 2015. There are a number of ongoing activities that will need to be completed and consolidated before project closure.

**Outcome 4:** Enabling Framework for Government and Market Based Payments for Environmental Services

Indicative budget in project document: USD 822,400

Actual cost incurred on this outcome (through 31 Oct 2015): USD 424,128

**Achievement of Outcome 4 is rated as Moderately Unsatisfactory.**

**Key Outputs:**

- Study on existing implementation of payment for ecosystem services (PES) schemes in China and comparison of PES implementation in developing and developed countries;
- Supported PES legislation and implementation in Liaoning Province;
- Research on nature reserve based PES mechanisms;
- Research on ecosystem services valuation approaches;
- Supported demonstration of market based PES, through a carbon emission offset intervention in the Xianju National Park.

**Discussion:**

Outcome 4 Indicators		Targets
<b>4.1</b>	Amount of funding available for BD conservation from all types of market-based PES schemes (CBPF Indicator: 4.2)	Every year the total amount of funding available for BD conservation through market-based PES increases, and by the end of the project this figure is at least twice the baseline value
<b>4.2</b>	Guidelines being used across sectors	Evidence that at least 10 PES across China, in at least 2 sectors, are being established in line with the Guidelines

At the time of the TE mission, there was no evidence available to the total amount of funding available for biodiversity conservation through market-based PES schemes, compared to the

baseline value. There is also no evidence that a baseline figure was established. Based upon anecdotal evidence obtained during TE mission interviews, there most likely has been a doubling of market-based PES schemes since project entry in 2009. But, there are no data available to confirm this, and, hence, the TE team is unable to assess the progress made with respect to this outcome level indicator.

The aim to complete PES guidelines and have them approved within the lifespan of the project was concluded to be infeasible, according to project progress reports, including the 2014 PIR. No adjustments were made to this particular outcome level indicator and target; the TE team concludes that there has been moderately satisfactory achievement realized. The project did support research activities regarding PES schemes, including market-based PES, and also funded pilot activities, including in Liaoning Province, with respect to the main drinking water basin in the region, and also a pilot carbon offset mechanism linking community based biodiversity conservation with carbon emission offsets.

Spending on this outcome has been low, with approximately 52% of the indicative budget expended by 31 October 2015. There are a number of ongoing activities that will need to be completed and consolidated before project closure.

**Outcome 5:** Integration of biodiversity conservation into climate change adaptation policies and plans

Indicative budget in project document: USD 511,400

Actual cost incurred on this outcome (through 31 Oct 2015): USD 163,058

**Achievement of Outcome 5 is rated as Satisfactory.**

#### Key Outputs:

- Supported the Qinghai Provincial Ecological Remote Sensing Center in expanding their existing information management system by addressing climate change impacts on biodiversity;
- Funded a survey on the willingness of enterprises and private companies to participate in biodiversity conservation, and supported training on corporate social responsibility;
- Supported development of guidelines for addressing biodiversity conservation concerns in environmental impact assessment processes.

#### Discussion:

Outcome 5 Indicators		Targets
5.1	The adaptation of national nature conservation policies and plans to the impacts of climate change (CBPF Indicator: 8.1)	By 2012, national nature conservation policies and plans explicitly address adaptation to climate change
5.2	Incorporation of BD into provincial sectoral adaptation to climate change (CBPF Indicator: 8.1)	By 2012, sectoral policies and plans in several provinces explicitly incorporate measures to increase the effectiveness of BD conservation by adapting to the impacts of CC

Priority Area 8, "To improve capacities to cope with climate change" of the 2011-2030 NBSAP is strong evidence that national conservation policies explicitly address adaptation to climate change.

The provincial BSAPs facilitated with project support, for Guangxi, Hainan, and Jilin Provinces have incorporated climate change adaptation considerations. The sectoral BSAP prepared for the Ministry of Water Resources, with support from the project, includes climate change adaptation as integral, cross-cutting aspect. The sectoral BSAP developed by the General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ), also with support from the project, does not explicitly address climate change aspects.

Spending on this outcome has been low, only 32% of the indicative budget has been expended by 31 October 2015. There are a number of ongoing activities that will need to be completed and consolidated before project closure.

### 3.3.4. Efficiency

#### Efficiency is rated as: Moderately Satisfactory

##### Supporting Evidence:

- + The GEF funding addressed to overcome critical policy, planning, institutional and financial barriers to conservation;
- + Cofinancing contributions exceeded the pledged sums;
- Financial delivery has been low, and substantial proportion of funds spent in final year of implementation;
- The inconsistent buy-in regarding the role and function of a CBPF coordination mechanism has diminished the incremental reasoning of the GEF funding;
- Travel costs amounted to 12% of the total amount of GEF funds expended;

The project was designed with a sound incremental cost analysis, with outcomes formulated that address some of the critical policy, planning, institutional, and financial barriers to biodiversity conservation in China. These criteria were mostly maintained throughout the course of the project, but the inconsistent buy-in regarding the role and function of a CBPF coordination mechanism has diminished the incremental reasoning of the GEF funding.

Project efficiency is enhanced by the fact that cofinancing contributions have exceeded the amounts pledged at project entry. However, persistent implementation efficiencies have led to woeful levels of financial delivery. Implementation problems started with the delays in commencing the project. The Ministry of Finance and UNDP approved the project in May 2010, following GEF Council approval in November 2009, but the project management team was only assembled in 2011, with the inception workshop held in April of that year. Financial delivery over the four core years of the project, from 2012 through 2015, has been low, ranging between 44% and 64%. The low delivery rates seem to be partly due to exogenous conditions, including limited availability of qualified experts for certain assignments. But, changing project managers, the inability to secure a full-time chief technical advisor, and lengthy procurement processes have added to the inefficiencies. At the time of the terminal evaluation, 5 months prior to closure of a 5-year project that was extended by 10 months, only 61% of the USD 4.5 million GEF grant had been expended. This has led to a large number of outputs outstanding in the final few months of implementation.

Cost effectiveness is also partly diminished by the proportion of funds spent on travel. According to available expenditure records, USD 317,972, or 12% of the total amount spent through October 2015, has been on travel costs (Atlas 71600). This proportion of travel cost exceeds the maximum

GEF-4 threshold of 5%; however, the indicative budget approved in the project document had USD 722,000 in travel costs, or 16% of the total budget.

### **3.3.5. Country Ownership**

Country ownership was evident in the fact that the project is closely aligned with the national development priorities. And, this is further supported by the promotion of ecological civilization principle as one of the core pillars of the 13<sup>th</sup> 5-year socio-economic plan, for the period 2016-2020. Also, the contributions made by the project in development of sectoral BSAPs for the water sector and biological resources inspection sector, and support in formulating provincial level BSAPs in three provinces, is directly in line with the strategic objectives of the NBSAP.

Government cofinancing has exceeded the pledged amounts at project entry, and, also, there has been substantive leveraged resources mobilized, including from subnational governmental stakeholders with regarding to the provincial BSAPs and also central level stakeholders, including the AQSIQ in development of their sectoral BSAP.

Country ownership was also bolstered by the fact that high level officials have been keenly involved in the project, and the national project director has been consistent supporter of the project, even though there have been implementation challenges. Considering the high level of interest garnered during the project, there was somewhat of a missed opportunity to advocate for a clearer role of the CBPF coordination mechanism moving forward, for example working with National Committee on Biodiversity Conservation, which is led by the Vice Premier and established during the lifespan of the IS project, in securing political buy-in for the CBPF approach.

### **3.3.6. Mainstreaming**

For UNDP supported GEF financed projects, mainstreaming assessments as part of terminal evaluations look at how a project has addressed certain UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and women's empowerment.

In terms of gender inclusion, there were no specific plans included in the project design, and there is no evidence of a gender assessment being made during project implementation. The reason why gender inclusion was not focused on, as recorded in project progress reports, was because the project mainly centred on institutional strengthening and partnership building.

The activities supported at the subnational levels had a stronger mainstreaming dimension than those at the national level. For example, the ecological compensation programmes that have been implemented in rural areas of China in the past decade or so are rooted in poverty alleviation priorities. The cross-sectoral involvement in developing provincial BSAPs, for instance, provide subnational stakeholders an opportunity to align poverty alleviation and other cross-cutting issues, including disaster risk reduction, with biodiversity conservation planning.

In one of the biodiversity and climate change awareness surveys carried out as one of the project activities, that included assessing feedback from about 3,000 respondents, the results were disaggregated by several factors, including gender. There were reportedly no discernible differences between the levels of awareness between the male and female participants.

As this project was run under a national implementation modality, the gender policies of MEP-FECO were applied. Recruitment of project team members and procurement of external experts were made under the equal opportunity principles of the government. The national project director, Madame Li Pei, and one of the three project managers employed on the project is a

woman. Both the UNDP country office Programme Associate and the Regional Technical Advisor, who is also a woman, regularly shared the wealth of their institutional mainstreaming knowledge with the project team.

With respect to the terminal evaluation, the team was made up of one woman, the national consultant, and one man, the international consultant. These consultants have both worked on several other UNDP supported projects that had strong mainstreaming dimensions.

### 3.3.7. Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under GEF criteria, each sustainability dimension is critical, so the overall ranking cannot be higher than the lowest one.

#### **The Overall Likelihood of Risks to Sustainability is Rated as: Moderately Likely**

Government funding on biodiversity conservation has been substantial and will likely further expand, with the operationalization of ecological civilization principles in the 13th 5-year socio-economic development plan. Government and also market-based incentives are in place and ecological compensation programmes are fairly extensively mainstreamed into subnational development strategies, even though the legislative framework for payment for ecosystem services is not yet in place. And, MEP-FECO's capacity at facilitation cross-sectoral coordination of biodiversity conservation planning has been strengthened.

The self-financing target for the CBPF Secretariat by the end of the project has not been achieved, and there is inconsistent stakeholder ownership with respect to the CBPF approach, and this diminishes the likelihood for garnering sufficient support after project closure for establishing and operationalizing a CBPF coordination mechanism.

Project implementation delays have impacted the likelihood of sustainability of project results, e.g., many outputs during last 1-1/2 years, with limited time to distil lessons learned, develop case studies and best practice documents, develop recommendations, etc.

#### **Financial Risks**

#### **The Likelihood of Financial Risks to Sustainability is rated as: Likely**

##### **Supporting Evidence:**

- + Government funding on biodiversity conservation has been substantial and will likely further expand, with the operationalization of ecological civilization principles in the 13<sup>th</sup> 5-year plan;
- + Actual cofinancing contributions exceeded pledged amounts at project entry;
- + Government and also market-based incentives are in place, although the legislative framework for payment for ecosystem services is not yet in place;
- + Evidence that subnational governmental administrations can mobilize cofinancing resources, particularly if there is funding from an international body like GEF;
- The self-financing target for the CBPF Secretariat by the end of the project has not been achieved;
- There are subnational funding shortfalls for implementation of some of the programmes and initiatives promoted by the central government, including provincial BSAPs and ecological redline.

## ***Socio-Economic Risks***

**The Likelihood of Socio-Economic Risks to Sustainability is rated as: Likely**

### **Supporting Evidence:**

- + Ecological conservation is slated to be integrated into the 13<sup>th</sup> 5-year socio-economic development plan, 2016-2020;
- + Ecological compensation programmes are fairly extensively mainstreamed into subnational development strategies for rural areas in China;
- There is inconsistent stakeholder ownership with respect to the CBPF approach, and this diminishes the likelihood for garnering sufficient support after project closure for establishing and operationalizing a CBPF coordination mechanism;

## ***Institutional Framework and Governance Risks***

**The Likelihood of Institutional Framework/Governance Risks to Sustainability is rated as: Moderately Likely**

### **Supporting Evidence:**

- + MEP-FECO capacity at facilitation cross-sectoral coordination of biodiversity conservation planning has been strengthened;
- + FECO officially designated by MEP as implementing agency for CBD. Also has facilitation responsibilities for National Committee on Biodiversity and CBD Secretariat;
- + Continued substantive GEF funding on biodiversity conservation, inferring satisfactory governance structures in place;
- + There has been extensive involvement by the expert community, both at the national and subnational level;
- Inconsistent political buy-in for a CBPF coordination mechanism;
- Project implementation delays have impacted the likelihood of sustainability of project results, e.g., many outputs during last 1-1/2 years, with limited time to distil lessons learned, develop case studies and best practice documents, develop recommendations, etc.;
- The difficulty in recruiting certain expertise among the professional community implies that there are capacity gaps in certain, emerging biodiversity conservation fields.

## ***Environmental Risks***

**The Likelihood of Environmental Risks to Sustainability is rated as: Likely**

### **Supporting Evidence:**

- + Awareness on biodiversity conservation and climate change has been strengthened through a number of trainings and information exchanges supported by the project;
- + Applied biological indicator to assess watershed health, and training on water quality monitoring;
- + There is continued strong government and international donor support on environmental issues, including biodiversity and climate change issues;

- Considerable government and social attention has turned to pollution issues, due to air quality and public health concerns. This might result in diverting some funding away from biodiversity conservation;
- Uncertainties regarding climate change impacts.

### 3.3.8. Catalytic Role

The replication strategy was based upon the concept of a functioning CBPF coordination mechanism, with the project coordination group (PCG) informing the CBPF Secretariat with knowledge management and lessons learned support. The PCG has not been maintained after 2012, and the notion of a CBPF Secretariat has not been consistently advocated over the course of the project, due to inconsistent stakeholder ownership.

The project management team has facilitated certain information dissemination, including developing and maintaining a project website until June 2015. Information regarding activities among the CBPF partners should be linked to the national clearinghouse mechanism and also the MEP Information Centre. The project team has also facilitated three information exchange workshops with other GEF financed CBPF projects.

The project has supported a number of technical guidelines, research studies, and policy recommendations, but the follow up actions are not documented. Some examples are listed below:

- Research on the history and experience of global national parks and nature reserves
- Technical methods for ecological redline delineation
- Status assessment of biodiversity mainstreaming in China
- Technical specifications for addressing biodiversity conservation as part of environmental impact assessment processes
- Research on ecological compensation in China
- Research on the mechanisms for ecological compensation in nature reserves
- Research on evaluation techniques and application of valuation of ecosystem services
- Summary report on payment for biodiversity-based ecosystem services in China
- Research on the cost and benefits of addressing biodiversity adaption to climate change

It is unclear how the approaches studied and promoted in these studies will be taken up nationally.

The project has supported some important achievements at the local level, some of which are already being scaled up. But, there is room for improvement with respect to knowledge management, including case studies, best practice documents, knowledge dissemination, etc.

Some of the locations where local level activities were supported by the project are shown on the map in **Exhibit 12**.



**Exhibit 12: Map showing locations of subnational activities supported by the project**

Some observations from the TE field mission of replication examples and opportunities include the following:

- In Guangxi Province, the provincial BSAP process has helped facilitate cross-border collaboration, resulting in a memorandum of understanding signed with a Vietnamese province for capacity building and awareness-raising, as part of an ecological corridor project financed by the ADB as part of the Greater Mekong Subregion (GMS) program.
- Under the Clean Development Mechanism (CDM), the World Bank financed a carbon finance project in Guangxi Province; the lessons learned on this project might be useful in the implementation of the carbon emission offset pilot being run under Outcome 5 of the IS project, and there might be opportunities for scaling up what has been achieved in Guangxi on the project financed by the World Bank, which is a member of the CBPF.
- Also in Guangxi Province, the process of developing the provincial BSAP identified a concept for a project on access and benefit-sharing (ABS) – which has since led to funding to develop a separate GEF project.
- Hubei Province was the first province in China to complete ecological redline delineation. Through this process they have gained extensive experience in resolving stakeholder conflicts; this could be leveraged to assist other provinces in their redline processes.
- A case study on establishing mechanisms of payment for watershed services in the Chishui River Basin for conservation of globally significant biodiversity has resulted in development of a new GEF project.
- The Liaoning Province officials working on the payment for ecosystem services scheme there have been evaluating expanding the programme, possibly reaching out to the industrial sector.

- As part of the training on corporate social responsibility, a large hydropower company stressed particular interest on sharing their good practices in integrating biodiversity conservation.

These are just a few examples. There are a number of potential opportunities for replication and scale-up.

### 3.3.9. Impact

There were six key impact indicators incorporated into the project design, as assessed below in **Exhibit 13**.

<b>Exhibit 13: Achievement towards Key Impact Indicators</b>			
<b>Key Impact Indicator</b>	<b>Target (Year 4)</b>	<b>TE Comments</b>	<b>TE Rating</b>
Capacity Development Composite Index	The overall value will have increased from 17 to 31	Composite index value from June 2014 survey was 38.9, exceeding the target of 31.	<b>Satisfactory</b>
Financing status of partnership secretariat	Fully sustainable, with at least four full-time professional staff and operating budget	MEP-FECO has enhanced coordination mandate and capacity, but the CBPF Secretariat has not been realized as envisaged in the project design.	<b>Moderately Satisfactory</b>
Existence of single monitoring framework for partners	At least 6 partners using the same framework	There has been limited advancement of actualizing a common monitoring framework among CBPF partners.	<b>Moderately Unsatisfactory</b>
Approval of provincial BSAPs	At least 2, in line with the project developed guidelines	The project has facilitated development of three provincial BSAPs, each of which has been approved by provincial governments.	<b>Satisfactory</b>
Amount of funding generated by market-based PES schemes	At least double the 2006 figure (to be determined)	Insufficient quantitative monitoring data to enable assessment of progress towards this impact indicator.	Unable to Assess
Incorporation of BD into provincial sectoral adaptation to climate change	By 2012, sectoral policies and plans in several provinces explicitly incorporate measures to increase the effectiveness of BD conservation by adapting to the impacts of CC	National Strategy on Adaptation to Climate Change issued in 2013. NBSAP integrates climate change considerations.	<b>Satisfactory</b>

Assessing impacts with respect to verifiable improvements in ecological status is difficult, as such impacts typically take longer than 5 years, the timeframe of this GEF financed project. Project contributions with respect to environmental status improvement and stress reduction have been indirect, through enhanced ecosystem management as a result of provincial BSAPs. The technical guidelines developed for ecological redline delineation is significant, with respect to progress towards stress/status change. Pilot redline delineation was carried out in Hubei Province, for a terrestrial ecosystem covering approximately 18.6 million hectares, and Ningxia Hui Autonomous Region, for a terrestrial ecosystem covering approximately 6.6 million hectares. In addition to this, the provincial BSAPs supported by the project in Guangxi, Hainan, and Jilin Provinces, have

indirectly led to enhanced management of the protected areas under provincial management: 1,452,941 ha, 2,735,320 ha, and 2,303,900 ha, respectively.

As mentioned above, it is generally too early to evaluate verifiable impacts, so the likelihood of achieving the intended impacts was also assessed, using the general guidelines of the *Review of Outcomes to Impacts* (ROti<sup>1</sup>) method, which applies a Theory of Change approach to assess the overall performance of environmental management projects. The first step was to evaluate relevant outcomes to impacts pathways.

This alternative outcome is reflected in the Outcome to Impacts Pathways illustrated below in **Exhibit 14**.

Exhibit 14: Outcomes to Impacts Pathways			
Outcomes	Impact Drivers (ID) and Assumptions (A)	Intermediate States	Impacts
Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation	ID: Integrated approaches to biodiversity conservation developed	CBPF coordination mechanism functioning with broad partner participation	Ecosystem services sustainably contribute to national and subnational development priorities
Strengthened Planning System for Biodiversity Conservation, including M&E	ID: Implementation and mainstreaming of enabling CBPF approach at national and subnational levels	Biodiversity conservation is mainstreamed in sectoral planning	Globally significant biodiversity conserved
Biodiversity mainstreamed into national development plans and programmes	A: Stakeholder capacity is ensured through institutionalized training programmes	Ecological functions and ecosystem services restored	
Enabling Framework for Government and Market Based Payments for Environmental Services	A: Local management capacity and institutional knowledge are not lost through the departure of key personnel		
Integration of biodiversity conservation into climate change adaptation policies and plans			

A ROti desk assessment was then made, based on review of project deliverables and other findings of the terminal evaluation, and the results are summarized below in **Exhibit 15**.

<sup>1</sup> The ROti Handbook, Towards Enhancing the Impact of Environmental Projects, Aug 2009, Global Environmental Facility.

**Exhibit 15: Review of Outcomes to Impacts**

Outcome	Outcome Rating (A-D)	Intermediate State (IS)	IS Rating (A-D)	Impact	Impact Rating (+)	Overall
<p>Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation</p> <p>Strengthened Planning System for Biodiversity Conservation, including M&amp;E</p> <p>Biodiversity mainstreamed into national development plans and programmes</p> <p>Enabling Framework for Government and Market Based Payments for Environmental Services</p> <p>Integration of biodiversity conservation into climate change adaptation policies and plans</p>	<b>B</b>	<p>CBPF coordination mechanism functioning with broad partner participation</p> <p>Biodiversity conservation is mainstreamed in sectoral planning</p> <p>Ecological functions and ecosystem services restored</p>	<b>C</b>	<p>Ecosystem services sustainably contribute to national and subnational development priorities</p> <p>Globally significant biodiversity conserved</p>		<b>BC</b>
<b>Outcome Rating Justification:</b> The project has been successful in facilitating institutional strengthening, both at central and local levels. Due to the inconsistent buy-in regarding the role and function of the CBPF partnership, it is unclear if this modality will be supported after project closure.						
<b>Intermediate States Rating Justification:</b> The results of the project have strengthened the enabling environment with respect to mainstreaming biodiversity in sectoral planning. The CBPF coordination mechanism, however, was not realized as envisaged, and participation by CBPF partners, apart from governmental ones, is not as inclusive as planned.						
<b>Definitions</b> (adapted from the ROTI Handbook, Aug 2009, GEF):						
<b>Outcome Rating</b>		<b>Intermediate States Rating</b>			<b>Impact Rating</b>	
D: The project’s intended outcomes were not delivered.		D: The conditions necessary to achieve intermediate states are not in place.			Rating “+”: Measurable impacts or threat reduction achieved and documented within the project life-span.	
C: The outcomes were partially delivered, and were not designed to feed into a continuing process after funding.		C: The conditions necessary to achieve intermediate states are not in place, but the frameworks supporting the requisite reforms are largely developed.				
B: The outcomes were partially delivered, and were designed to feed into a continuing process but with unclear allocation of responsibilities after funding.		B: The conditions necessary to achieve intermediate states are in place, with moderate likelihood that they will progress toward the intended impacts.				
A: The outcomes were delivered and designed to feed into a continuing process with specific allocation of responsibilities after funding.		A: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with high likelihood that they will progress toward the intended impacts.				
<b>Overall Likelihood of Impact Achievement:</b>						
<b>Highly Likely</b>	<b>Likely</b>	<b>Moderately Likely</b>	<b>Moderately Unlikely</b>	<b>Unlikely</b>	<b>Highly Unlikely</b>	
AA BA AB CA BB+ CB+ DA+ DR+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD	

As outlined above, the outcomes-to-impact assessment results indicate that the likelihood of impact achievement is **moderately likely**. Government financing on biodiversity conservation is set to increase, there are several functional governmental incentive programmes in place, and national and subnational stakeholder capacity is high. The challenge will be to sort out the institutional framework and governance role of the CBPF Partnership.

## 4. CONCLUSIONS, RECOMMENDATIONS, LESSONS, GOOD PRACTICES

### 4.1. Major Achievements/Strengths and Good Practices

#### *Institutional capacities of MEP-FECO substantively strengthened over the course of the project*

Institutional capacities of MEP-FECO have been substantively strengthened over the course of the project. FECO has been designated the implementing agency for the CBD Secretariat, for example. And, FECO has qualified as a GEF implementing agency, and has been appointed as lead implementing partner for a new GEF programme in GEF VI.

#### *Government involvement in the entire process*

There has been participatory governmental involvement, starting at the design stage and extending throughout the implementation. This has ensured the consistency between the project activities and national strategic priorities, and also increased the likelihood that outputs of this project could be eventually adopted by the government. For example, MEP adopted the “The research on China biodiversity conditions (update)”; MEP issued the “task division for implementing the NBSAP (2011-2030)”; MEP issued the “Technical guidance of the delineation of the ecology conservation redline”, which has become the national technical guidance.

#### *Practical contributions to improved biodiversity planning, e.g., support in the preparation of Provincial BSAPs*

The project has effectively promoted the mainstreaming of biodiversity into planning, policies programs, demonstrations, technical guidelines, and national standards. These mainstreaming efforts have not only targeted the top-level institutional design, but also at different sectors both at central and local levels.

#### *Strengthened cross-sectoral collaboration*

As biodiversity conservation falls under the mandate of several governmental departments across several sectors, this project has made meaningful contributions to strengthening cross-sectoral and inter-departmental cooperation. For example, the National Committee on Biodiversity Conservation is coordinating 25 government departments for implementing Biodiversity Convention; AQSIQ cooperates with Customs; and the three provinces where provincial BSAPs were developed with project support have strengthened their cross-sectoral collaboration structures.

#### *Information sharing for the 9 subprojects*

This project organized information exchange meetings in Beijing, Yancheng, Qingdao and Qinhuangdao for the 9 GEF financed CBPF projects. During these meetings, the representatives from these projects had opportunities to share their experiences and lessons learned.

#### *Project outputs relevant to Central Government priorities*

The project has implemented several adaptive management measures, in response to current national biodiversity conservation priorities, including the Ecological Redline initiative, National Park System concept, and carbon emission offset instruments. In May 2015, the MEP issued a Technical Guideline on Delineation of Ecological Conservation Redline Areas; a specific output of the project.

***Extensive due diligence conducted in the design of the project activities***

In order to enhance the likelihood that project outputs could be adopted by the government and other stakeholders, during the project activities' design extensive due diligence has been consistently carried out by the project management team. This due diligence helped avoid duplication, and ensure the rationality and practicality of the project activities.

***Extensive involvement by the expert community***

This project has involved a substantive number of experts, both at central and local level, providing technical support for the execution of project activities. For example, several institutions and research centres were involved in this project. For example, in Guangxi Province 108 experts from different sectors provided the technical support in development of the PBSAP.

***Synergy among government, enterprises, research institutes, and NGOs***

This project involved not only government, but also academy, enterprises, research institutes, and NGOs. During the process of this project, there were a number of interactions among government, enterprises, research institutes, and NGOs. For example, the redline mission promoted the interaction and cooperation among academy and relevant government. Research institutes and the NGOs, such as WWF cooperate in the national park policy-making, the researches, and the pilot. The biodiversity carbon sequence pilot promoted the cooperation between enterprise and government, etc.

***Incremental reasoning of GEF financing demonstrated, e.g., through significant leveraged cofinancing***

There have been substantive leveraged cofinancing mobilized from subnational administrations, e.g., for the development of provincial BSAPs.

**Good Practice:** Only providing incremental financing for the PBSAPs has been a particular noteworthy good practice of the project, demonstrating how leveraged resources can be raised, particularly if cofunding is available from a multilateral partner such as GEF.

**4.2. Key Shortcomings, Recommendations, and Lessons Learned*****Persistent implementation inefficiencies diminish the likelihood that project results will be sustained***

The persistent implementation inefficiencies throughout the project's lifespan diminish the likelihood that the achieved project results will be sustained. The inefficiencies started with the delays in commencing the project. The Ministry of Finance and UNDP approved the project, and jointly signed the project document on 14 May 2010, following GEF Council approval in November 2009, but the project management team was only assembled in 2011, with the inception workshop held in April of that year. Financial delivery over the four core years of the project, from 2012 through 2015, has been low, ranging between 44% and 64%. The low delivery rates seem to be partly due to exogenous conditions, including limited availability of qualified experts for certain assignments. But, changing project managers, the inability to secure a full-time chief technical advisor, and lengthy procurement processes have added to the inefficiencies. At the time of the terminal evaluation, 5 months prior to closure of a 5-year project that was extended by 10 months, only 61% of the USD 4.5 million GEF grant had been expended. This has led to a large number of outputs outstanding in the final few months of implementation. Even though many of the contracts for these outputs have been completed and the work is underway, there will be

insufficient time to distil the results, formulate strategies for follow up work, and advocate for uptake of some of the technical guidelines and policy recommendations developed with project support.

**Recommendation:** A sustainability plan should be developed, that clearly identifies activities that will require follow-up action after project closure, and roles and responsibilities assigned for ensuring sustainability of project outcomes.

**Recommendation (future directions):** Based upon the difficulties in recruiting experts for certain project assignments and the need to disseminate knowledge among the professional community with respect to some of the technical guidelines produced over the course of the project, a capacity needs assessment should be made among the professional community and a plan developed to design and deliver trainings on key topics, including market-based payment for ecosystem services, integrating climate change impacts to biodiversity into EIA and SEA processes, valuation of ecosystem services, etc.

**Lesson Learned:** As part of regular work programming, the procurement demands associated with delivering the planned set of activities should be highlighted as a critical risk, and appropriate risk mitigation measures implemented as early as possible.

**Lesson Learned:** Short-term contract modalities are unattractive for many professionals in China, rendering the recruitment of project managers and project based experts difficult.

### ***Inconsistent partner buy-in regarding the role of the CBPF coordination mechanism***

The biodiversity governance system in China has substantively developed in recent years, particularly since government approval in 2011 of the updated national biodiversity strategy and action plan (NBSAP). There is now a high-level National Committee on Biodiversity Conservation, chaired by the vice premier, and a CBD Secretariat that acts as the technical advisory arm for the national committee. These developments have resulted in a general state of confusion regarding the role of a CBPF coordination mechanism, whether in the form of a secretariat or not. Some of the CBPF partners, particularly the national governmental level ones, feel that the current governance structures that are in place, including the National Committee on Biodiversity Conservation and the CBD Secretariat, are functioning as coordination mechanisms and a separate CBPF Secretariat would be redundant. Other partners, on the other hand, specifically the non-governmental ones, would like to see a CBPF coordination mechanism facilitate better coordination and interaction among the relevant stakeholders. Not maintaining the project coordination group (PCG) after 2012 is an important issue, and, in the opinion of the TE team, one of the underlying reasons behind the current level of uncertainty regarding the role and function of the CBPF coordination mechanism.

**Recommendation:** The concept regarding the CBPF coordination mechanism was developed back in 2006-2007, and informed in part by a partner survey completed in December 2006. Considering the changes in China since that time, the role and function of a CBPF coordination mechanism should be reassessed. An updated CBPF partner survey should be carried out by an independent consultant or organization, one that is not a member of the CBPF, in order to assess the current expectations from the partners regarding the role and function of a CBPF Secretariat or other form of a coordination mechanism, and the willingness to cofinance the operation of such a body.

**Recommendation:** Based upon the survey results, an updated the operational plan of the CBPF coordination mechanism should be prepared, including, but not limited to, the following:

- ✓ Objectives
- ✓ Roles and Responsibilities
- ✓ Annual operation plan
- ✓ Financing plan
- ✓ Monitoring and evaluation plan

***A functioning, self-financing CBPF Secretariat has not been realized as envisaged at project entry***

The operationalization of a self-financing CBPF coordination mechanism, one of the key intended outcomes of the project, has not been realized by project closure as envisaged in the project document. Governance structures have substantively changed in China since the time when the project was designed, and over the course of the project Division IV of FECO has been designated by the MEP as the implementing agency for the CBD Secretariat, and interviewed FECO-MEP officials that the coordinating activities carried out under the CBD Secretariat and the National Committee on Biodiversity Conservation, essentially fulfil CBPF coordination.

**Recommendation (future directions):** Consider continuing to support the CBPF coordination mechanism, for example, over the next one or two GEF funding cycles, allowing more time for the mechanism to gain traction among a more developed biodiversity governance system in China as compared to the situation at project entry in 2009.

**Recommendation (future directions):** Advocate for a clear role of the CBPF coordination mechanism in the design of GEF financed projects, including participation in monitoring and evaluation, knowledge management, and capacity building aspects.

**Lesson Learned:** The 5-year duration of the project might have too short for achieving a fully functioning and self-financing CBPF coordination mechanism.

***The concept of a common monitoring framework among CBPF partners has not been advocated***

The concept of a common monitoring framework among CBPF partners, one of the indicators under Outcome 1, has not been actively advocated, and, in fact, it seems to have lost relevance among some of the key stakeholders. According to interviewed MEP-FECO officials, there are efforts underway to align the monitoring and information management systems among the line ministries involved in biodiversity conservation, but this is a different monitoring framework than envisaged in the project design for the CBPF partners. The project management team is generally unclear what is meant by the monitoring framework indicated in the strategic results framework, and the progress reporting with respect to this indicator has been similarly ambiguous.

**Recommendation:** As part of the recommended updated survey, CBPF partners should be asked what their expectations are with respect to a common monitoring framework, and the results consolidated into the operational plan for the CBPF coordination mechanism.

***Unrealized technical assistance***

There was full-time technical assistance allocated in the project design; including 60 weeks of an international project advisor (USD 180,000 from GEF grant), three years of support from the EU-China Biodiversity Project (ECBP) chief technical advisor (USD 432,000 from cofinancing), and 60 weeks from an Italian expert (USD 180,000 from cofinancing). In addition to the USD 180,000 for the envisaged international project advisor, there was additional USD 222,000 allocated for international experts, including 15 weeks by a Communication and Partnership Advisor, 13 weeks

by a Senior Monitoring and Evaluation Advisor, 17 weeks by an Environmental economist, 17 weeks by an Adaptation Advisor, and 12 weeks by External Evaluators. Apart from the external evaluators, there was no other support realized by international experts, including no evidence of 60 weeks provided by an Italian expert as a cofinancing contribution. Considering that the ECBP project was completed in 2012, the three years of support from their CTA was also not realized.

A CTA was hired in 2013, but he only worked for approximately 6 months. Another CTA was retained in Q3 of 2015, to prepare a project self-assessment report and also extend strategic guidance to the project team. And, the project team indicated that there has been regular support provided by a technical advisor working for MEP-FECO. Also, there have been repeated attempts to recruit a CTA, both nationally and internationally, but according to MEP-FECO officials, there were limited offers received, several national experts refused the position because the scope was too comprehensive.

There have been consequences in not having consistent support by a chief technical advisor, For example, whilst the project has done a reasonably good job at adapting to current national biodiversity conservation focal areas, and a large number of outputs have been produced and many are still underway, but there has been limited distillation of the results achieved, with respect to progress toward the intended project outcomes.

**Recommendation (future directions):** It might be advisable to consider setting up a roster of pre-qualified national and international experts, making procurement more efficient and enabling project management teams more guidance in selecting external support services.

**Lesson Learned:** For a project with high-level strategic focus like this one, a full-time chief technical advisor should be allocated in the indicative implementation budget, and not connected to cofinancing contributions.

### ***Stakeholder involvement not sufficiently representative of CBPF partners***

The planned level of stakeholder involvement was not realized, particularly with respect to other line ministries and agencies having biodiversity mandates, including the NRDC, SFA, MFA, SOA, etc., international NGOs, and international financing institutions. This was partly due to not maintaining the functioning of the project coordination group, but also possibly a result of the implementation modality. A joint implementation modality might have been a more constructive approach to garner meaningful stakeholder involvement, and also might have opened up other entry points for collaboration between MEP-FECO and the other CBPF partners.

**Lesson Learned:** A joint implementation modality for such a project, aimed at strengthening a multi-stakeholder partnership framework, might have been a more constructive approach to garner meaningful stakeholder involvement.

### ***Unclear follow-up with respect to policy recommendations developed under the project***

A number of important policy recommendations have been developed under the project, but the follow up actions are not documented.

**Recommendation:** It would be advisable to develop a “road map” for advancing the policy recommendations formulated under the project, in order to better guide governmental level stakeholders with advocating for further support toward eventual adoption of policies, and also to provide CBPF partners and the broader donor community with funding and advocacy opportunities.

### ***Insufficient assessment and codification of knowledge and communication of results***

The project has supported some important achievements, but there has been insufficient assessment and codification of knowledge, including preparation of case studies, best practice documents, etc., and communication of project results has been generally weak. One reason behind this is the fact that the full-time partnership and communication officer envisaged for the project management team, according to the approved project document, was not appointed.

**Recommendation:** Use remaining time and budget on documenting results, focusing on how the various outputs contributing to the intended project outcomes, and consolidating these into informative knowledge products.

**Recommendation:** Establish foundational links between the CBPF coordination mechanism and the national CBD clearinghouse mechanism, which, as of 2015, FECO is responsible to maintain, and also the MEP Information Centre.

**Lesson Learned:** It would be advisable to develop some type of learning mechanism for disseminating lessons learned and best practices among the collective knowledge base of GEF financed projects, and make it accessible to project management teams and the local professional community supporting GEF projects.

### ***The replication strategy in the project design was relatively weak and upscaling opportunities have not been capitalized upon***

The project has supported a number of national and subnational activities, including development of sector BSAPs for the Ministry of Water Resources and the Administration for Inspection, development of provincial BSAPs in three provinces, delineation of ecological redline areas in Hubei province, a PES scheme in Liaoning province, and expanding an information management system in Qinghai province. Based upon findings during the TE mission, there are a number of upscaling and replication opportunities among these activities that the project has not capitalized upon. Identifying opportunities was one of the key expectations among the CBPF partners regarding the role of the CBPF coordination mechanism.

**Recommendation:** Identify opportunities for upscaling and replication from the activities supported by the project, and share these with CBPF partners and the broader donor community.

**Lesson Learned:** Replication strategies should be integrated into the design of pilot and demonstration activities.

### ***Insufficient monitoring on some of the project objective and outcome level indicators***

There has been limited quantitative monitoring on some of the project performance indicators. This is partly due to the assertion made in some of the project progress reports, including the 2014 PIR, that some of the outcome level indicators are infeasible; however, there has not been any adjustments made to the outcome indicators or targets over the course of the project.

**Recommendation:** Quantitative monitoring data should be provided for as many of the outcome indicators as practicable, including but not limited to the following:

- Objective, Indicator 2: Biodiversity conservation resources available from government and private sector. Baseline figures are unclear and no monitoring data are available to assess progress.

- Outcome 2, Indicator 2: Extent of use of NBSAP in sectoral work. The annual work plans of some of the key line ministries and agencies, including the MOA, SFA, SOA, etc., could be reviewed for this information.
- Outcome 4, Indicator 1: Amount of funding for biodiversity conservation from all types of market-based PES schemes. Monitoring toward the indicator of 10 market-based PES schemes in at least 2 sectors has not been carried out.
- Outcome 5, Indicators 1 and 2: Adaptation of national and provincial sectoral conservation plans with respect to incorporating adaptation to climate change. According to interviewed stakeholders during the TE mission, several sectors have incorporated climate change aspects into conservation plans and policies.

***The representativeness of capacity development scorecard results is limited due to the methodology used***

The project team used a longitudinal design, which was outlined in the project document, in completing the capacity development scorecards, i.e., the same people were surveyed over time, at inception, midterm, and closure. The timeframe between the surveys, annually from 2012-2014, is too short to implement a longitudinal approach, in the opinion of the TE team. People can recall their previous responses, thus there is an inherent bias on how they would tend to score in subsequent surveys. A cross-sectional design might have been more appropriate, possibly providing more representative results; a cross-sectional design involves surveying different people, but within the same stakeholder groups, over time.

**Lesson Learned:** It is important to minimize potential bias in designing the statistical methodology used to complete a survey-based tracking tool such as the capacity development scorecard.

## 5. ANNEXES

### Annex 1: Evaluation Mission Itinerary (1-14 November 2015)

DATE	ACTIVITY	VENUE
1 Nov. Sunday	Arrival of TE Consultants	Xiyuan Hotel nearby FECO
DAY1 2 Nov. Monday	9:00-10:00 Meeting with National Project Director (Madam LI Pei, DDG of FECO/MEP)	FECO
	10:00-12:00 Brief meeting with CBPF-IS PMO and CTA	FECO
	14:30-17:00 Meeting with TNC (Beijing Office)	TNC (Beijing Office)
DAY2 3 Nov. Tuesday	Flight from Beijing to Nanning (CA1335 : 07:20-10:45)	Beijing, Nanning
	15:00-18:00 Meeting with Guangxi Environmental Protection Department (Guangxi EPD), learn something on Guangxi PBSAP	Guangxi Nanning
DAY3 4 Nov. Wednesday	08:00-18:00 Field visit	Guangxi
DAY4 5 Nov. Thursday	Flight from Nanning to Wuhan (CZ6171 08:30- 10:15)	Nanning Wuhan
	14:00-17:00 Meeting with Hubei Environmental Protection Department (Hubei EPD) and Hubei Academy of Environmental Sciences (Hubei AES), learn something on Hubei Eco-redline	Hubei EPD
DAY 5 6 Nov. Friday	8:00-18:00 Field visit	
DAY6 7 Nov. Saturday	Flight from Wuhan to Shenyang (CZ6038 10:10- 12:50)	Wuhan Shenyang
	15:00-18:00 Meeting with Liaoning Environmental Protection Department (Liaoning EPD), learn something on PES	Liaoning EPD
DAY7 8 Nov. Sunday	Flight from Shenyang to Beijing CA1658 15:10-16:55	Shenyang Beijing
DAY8 9 Nov. Monday	09:00-10:30 Meeting with Chinese Research Academy of Environmental Sciences (CRAES, one of the subcontractors)	FECO
	10:30-11:30 Interview with M&E officer of PMO	FECO
	13:30-15:00 Meeting with Nanjing Institute of Environmental Sciences, MEP (NIES)	FECO
	15:00-16:30 Meeting with GoldenBee (Beijing) Management Consulting Co., Ltd.	FECO
	16:30-18:00 Meeting with Qinghai Remote Sensing Center of Ecological Environment	FECO
DAY9 10 Nov.	09:00-12:00 Meeting with the General Administration of Quality Supervision,	AQSIQ

DATE	ACTIVITY	VENUE
Tuesday	Inspection and Quarantine (AQSIQ)	
	14:00-17:00 Meeting with the Development Research Center of Ministry of Water Resources (MWR)	MWR
DAY10 11 Nov. Wednesday	09:00-10:30 Interview with Dr. Ma Chaode from UNDP	FECO
	10:30-11:30 Meeting with Department of Nature and Ecology Conservation, MEP	MEP
	13:30-14:30 Meeting with China Beijing Environment Exchange (CBEE)/Xianju EPB Zhejiang Province (one of subcontractors and the pilot)	FECO
	14:30-15:30 Meeting with WWF (Beijing Office)	
	15:30-18:00 Interview with PMO and project manager	
DAY11 12 Nov. Thursday	9:00-18:00 TE Consultants consolidating the findings and debrief with PMO and CTA	FECO
DAY12 13 Nov. Friday	9:00-15:00 TE Consultants consolidating the findings and discuss with PMO	FECO
	16:00-17:00 Meeting with UNDP	UNDP Office
DAY13 14 Nov. Saturday	International consultant Departs Beijing	

## Annex 2: Evaluation Matrix

Evaluation Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: Is the project relevant with respect to the environmental and development priorities at the local, regional and national levels?</b>			
To what extent is the principle of the project in line with sub-national and national priorities?	Level of participation of the concerned agencies in project activities. Consistency with relevant strategies and policies.	Minutes of meetings, Project progress reports, national and regional strategy and policy documents	Desk review, interviews
To what extent is the Project aligned to the main objectives of the GEF focal area?	Consistency with GEF strategic objectives	GEF Strategy documents, PIRs, Tracking Tools	Desk review, interview with UNDP-GEF RTA
To what extent is the project aligned to the strategic objectives of UNDP?	Consistency with UNDP strategic objectives	UNDP Strategic Plan, Country Programme Document	Desk review, interview
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
Assessment of progress made toward achieving the indicator targets agreed upon in the logical results framework			
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
Is there evidence that sufficient funding has been secured to sustain project results?	Financial risks	Progress reports, sectoral plans, budget allocation reports, testimonial evidence	Desk review, interviews
Have individual and institutional capacities been strengthened, and are governance structures capacitated and in place to sustain project results?	Institutional and individual capacities	Progress reports, testimonial evidence, training records	Desk review, interviews
Are there social or political risks that may threaten the sustainability of project results?	Socio-economic risks	Socio-economic studies, macroeconomic information	Desk review, interviews
Are there ongoing circumstances and/or activities that pose threats to the sustainability of project results?	Risks to sustainability	Sectoral plans, progress reports, macroeconomic information	Desk review, interviews, field visits
Have delays affected project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?	Impact of project delays	Progress reports	Desk review, interviews
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward long lasting desired changes?</b>			
Has the project made verifiable environmental improvements	Verifiable environmental improvements	Progress reports, sectoral plans, municipal development plans	Desk review, interviews, theory of change analysis
Has the project made verifiable reductions in stress on environmental systems	Verifiable reductions in stress on environmental systems	Progress reports, sectoral plans, municipal development plans	Desk review, interviews, theory of change analysis
Has the project demonstrated progress towards these impact achievements?	Progress toward impact achievements	Progress reports, sectoral plans, municipal development plans	Desk review, interviews, theory of change analysis
<b>Efficiency: Was the Project implemented efficiently, in-line with international and national norms and standards?</b>			
Was the project efficient with respect to incremental cost criteria?	Incremental cost	National strategies and plans, progress reports	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
Was the achievement of project objective and results realized according to the proposed budget and timeline	Efficient utilization of project resources	Progress reports, financial records	Desk review, interviews
<b>Country Ownership:</b>			
How are project results contributing to national development plans and priorities?	Development planning	Government approved plans and policies	Desk review, interviews
Have governments approved policies or regulatory frameworks in line with the project objective?	Policy reform	Government approved plans and policies	Desk review, interviews
Have governmental and other cofinancing partners maintained their financial commitment to the project?	Committed cofinancing realized	Audit reports, project accounting records	Desk review, interviews
<b>Stakeholder Involvement and Partnership Arrangements:</b>			
Has the project consulted with and made use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities, local governments, and academic institutions?	Effective stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits
Were partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?	Partnership arrangements	Memorandums of understanding, agreements	Desk review, interviews
How have partnerships influenced the effectiveness and efficiency of project implementation?	Effective partnerships	Progress reports, interview records	Desk review, interviews, field visits
Have relevant vulnerable groups and powerful supporters and opponents of the processes been properly involved?	Inclusive stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits
Has the project sought participation from stakeholders in (1) project design, (2) implementation, and (3) monitoring & evaluation?	Stakeholder involvement	Plans, reports	Desk review, interviews, field visits
<b>Catalytic Role:</b>			
How has the project had a catalytic or replication effect in the country?	Catalytic effect	Interview records, municipal development plans	Desk review, interviews
<b>Synergy with Other Projects/Programs</b>			
How were synergies with other projects/programs incorporated in the design and/or implementation of the project?	Collaboration with other projects/programs	Plans, reports, meeting minutes	Desk review, interviews
<b>Preparation and Readiness</b>			
Were project objective and components clear, practicable, and feasible within its time frame?	Project coherence	Logical results framework	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed?	Execution capacity	Progress reports, audit results	Desk review, interviews
Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry?	Readiness	Interview records, progress reports	Desk review, interviews, field visits
<b>Financial Planning</b>			
Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?	Financial control	Audit reports, project accounting records	Desk review, interviews
Has there been due diligence in the management of funds and financial audits?	Financial management	Audit reports, project accounting records	Desk review, interviews, field visits
Has promised cofinancing materialized?	Realization of cofinancing	Audit reports, project accounting records	Desk review, interviews
<b>Supervision and Backstopping</b>			
Has GEF agency staff members identified problems in a timely fashion and accurately estimate their seriousness?	Supervision effectiveness	Progress reports	Desk review, interviews
Has GEF agency staff members provided quality support, approved modifications in time, and restructured the project when needed?	Project oversight	Progress reports	Desk review, interviews
Has the implementing agency provided the right staffing levels, continuity, skill mix, and frequency of field visits for the project?	Project backstopping	Progress reports, back-to-office reports, internal appraisals	Desk review, interviews, field visits
<b>Monitoring &amp; Evaluation</b>			
Were intended results (outputs, outcomes) adequately defined, appropriate and stated in measurable terms, and were the results verifiable?	Monitoring and evaluation plan at entry	Project document, inception report	Desk review, interviews
Has the project monitoring & evaluation plan been implemented as planned?	Effective monitoring and evaluation	Progress reports, monitoring reports	Desk review, interviews
Has there been sufficient focus on results-based management?	Results based management	Progress reports, monitoring reports	Desk review, interviews
<b>Mainstreaming</b>			
Were gender issues had been taken into account in project design and implementation?	Greater consideration of gender aspects.	Project document, progress reports, monitoring reports	Desk review, interviews, field visits
Were effects on local populations taken into account in project design and implementation?	Positive or negative effects of the project on local populations.	Project document, progress reports, monitoring reports	Desk review, interviews, field visits

**Annex 3: List of Persons Interviewed**

Name	Organization	Position
Midori Paxton	UNDP Asia and the Pacific Regional Center	Regional Technical Advisor (RTA)
Carsten Germer	UNDP China	Assistant Country Director
Chaode Ma	UNDP China	Programme Manager of Energy & Environment
Xinhua Zhao	UNDP China	Programme Associate of Energy & Environment
Li Pei	FECO	National Project Director
Wang Xin	FECO	Division Chief of Division IV
Yu Zhidi	FECO	Deputy Division Chief of Division IV
Liu Yanqing	FECO	Project Manager
Gao Lei	FECO	Project Finance Officer
Fu Yulin	FECO	Project Assistant
Zhao Yang	FECO	Project M&E Officer
Xue Dayuan	Minzu University of China	CTA
Yu Qian	TNC	Director of External Affairs
Wang Lei	WWF	Researcher
Yan Lei	China Beijing Environment Exchange	Carbon Trading Center Manager
Zhang Wenguo	Department of Nature & Ecology Conservation, MEP	Division Chief
Wang Jianping	Development Research Center, MWR	Division Chief
Liao Sihui	Development Research Center, MWR	Senior Engineer
Li Fapeng	Development Research Center, MWR	Research Assistant
Yang Yan	Development Research Center, MWR	Engineer
Li Junsheng	Chinese Research Academy of Environmental Sciences	Subcontractor
Quan Zhanjun	Chinese Research Academy of Environmental Sciences	Associate Professor
Wan Benyi	AQSIQ	Deputy Chief of Bio-species Supervision Division
Li Li	Chinese Academy of Inspection and Quarantine, General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ)	Vice President
Chen Naizhong	Institute of Plant Quarantine, AQSIQ	Director
Li Mingfu	Institute of Plant Quarantine, AQSIQ	Deputy Director
Ji Fengzhi	Division of International Cooperation, Liaoning Provincial Environmental Protection Department	Division Chief
Zhao Peng Lei	Liaoning Research Academy of Environmental Sciences	Senior Engineer
Liu Dong	Nanjing Institute of Environmental Science	Associate Professor
Zou Changxin	Nanjing Institute of Environmental Science	Associate Professor
Wu Dan	Nanjing Institute of Environmental Science	Research Assistant
Wang Lixia	Nanjing Institute of Environmental Science	Research Assistant
Zhao Baozhu	Golden Bee (Beijing) Management Consulting Co., Ltd.	Deputy Director
Guan Zhusun	Golden Bee (Beijing) Management Consulting Co., Ltd.	Vice General Manager
Yu Xianghai	Golden Bee (Beijing) Management Consulting Co., Ltd.	Consultant
Ge Jinsong	Qinghai Remote Sensing Center of Ecological Environment	Senior Engineer

Name	Organization	Position
Ding LingLing	Qinghai Remote Sensing Center of Ecological Environment	Senior Engineer
Ma Liguang	Qinghai Remote Sensing Center of Ecological Environment	Senior Engineer
Jiang Bo	Guangxi Environmental Protection Department	Division Chief
Huang Ying	Guangxi Environmental Protection Department	Deputy Division Chief
Huang Xiaobu	Guangxi Environmental Protection Department	Deputy Division Chief
Yu Haolong	Guangxi Environmental Protection Department	Staff
Lin Weidong	Foreign cooperative communication center, Guangxi EPD	Office Director
Huang Shujuan	Foreign cooperative communication center, Guangxi EPD	Project officer
Cao Shengping	Foreign cooperative communication center, Guangxi EPD	Project officer
Ou Fang	Foreign cooperative communication center, Guangxi EPD	Project officer
Ding Min	Foreign cooperative communication center, Guangxi EPD	Project officer
Wang Shuangling	Guangxi Forest Inventory and Planning Institute	Researcher
Wu Jianbao	Administration Bureau of White-headed Langur National Nature Reserve, Guangxi	Director
Meng Yuning	Administration Bureau of White-headed Langur National Nature Reserve, Guangxi	Head of Protection Station
Tang Lifeng	Administration Bureau of White-headed Langur National Nature Reserve, Guangxi	Staff
Li Guobin	Hubei Environment Protection Department	Deputy Director General
Fang Fang	Hubei Environment Protection Department	Deputy Division Chief
Zhang Gang	Hubei Academy of Environmental Sciences	President
Li Songbing	Hubei Academy of Environmental Sciences	Vice President
Luo Feng	Hubei Academy of Environmental Sciences	Director of Chief Engineer Office
Wang LingLing	Planning Institute, Hubei Academy of Environmental Sciences	Director
Yan Senmiao	Hubei Academy of Environmental Sciences	Engineer
Zhong Daoliang	Xianning Environment Protection Bureau, Hubei Province	Deputy Bureau Chief
Tang Ning	Xianning Environment Protection Bureau, Hubei Province	Chief Engineer
Lu Yanzhong	Xianan District Forest Bureau, Xianning, Hubei Province	Deputy Bureau Chief
Pan Guangsheng	Xianan District Forest Bureau, Xianning, Hubei Province	Engineer

**Annex 4: List of Information Reviewed**

Document	Language Chi/Eng
<b>General</b>	
Project Identification Form (PIF)	Eng
Co-Financing Letters	Eng-Chi
Project document, signed version	Eng
Project inception workshop report	Eng
Project Steering Committee Meeting Minutes	Eng
Annual work plans for each year of implementation (APR)	Eng
Project Implementation Review (PIR)	Eng
Financial expenditures broken down by outcome and ATLAS Code, for each year	Eng
Financial audits completed to date	Eng-Chi
Co-financing realized (amount, source, activity, date)	Eng
Quarterly Project Progress Report (QPR)	Eng
Two Year Project Work-Plans	Eng
Extension proposal of IS Project	Eng
Mid Term Review Self Evaluation Report	Eng
Mid Term Review Report	Eng
Management Response to the Mid Term Review (MTR)	Eng
<b>Tracking Tools</b>	
GEF Biodiversity Tracking Tool	Eng
Capacity Development Scorecard	Eng
<b>Outcome 1:</b>	
Performance evaluation (draft)	Chi
Mid-term evaluation for implementation progress of 9 projects	Chi
Research on financial requirement for CBD implementation in China	Chi
research report of on China's Country Study national status on biodiversity	Chi
Working mechanism and performance evaluation for CBPF including 9 sub-projects	Chi
Compilation of achievements for 9 sub-projects (midterm report)	Chi
Development and issuing of CBPF information system/website backstage	Chi
<b>Outcome 2:</b>	
Evaluation of implementation effects of CNBSAP(Wang Wei)	Chi
National park system	Chi
Promoting demonstration of development of provincial BSAP, Hainan province	Chi
Promoting demonstration of development of provincial BSAP, Guangxi province	Chi
Promoting demonstration of development of provincial BSAP, Jilin Province	Chi
Facilitating development of sectoral BSAP, Ministry of Water Resource	Chi
Facilitating development of sectoral BSAP, General Administration of Quality Supervision, Inspection and Quarantine for Imports and exports (AQSIQ)	Chi
<b>Outcome 3:</b>	
National ecological redline and technical regulations	Chi with English abstract
Demonstration on outlining of ecological conservation redline and management practice in Ningxia HUI Autonomous Region (midterm report)	Chi
Demonstration on outlining of ecological conservation redline and management practice in Hubei Province (midterm report)	Chi
12th Five Year Plan of other sectors of central government and Provincial "12th Five Year Plan"	Chi
biodiversity integrated into technical guide to development projects	Chi
Integration of Biodiversity into Great Western Development Strategy	Chi
Institutional reforming for biodiversity conservation at local level	Chi
<b>Outcome 4:</b>	
Roadmap for PES (Payment for Ecosystem Services) Legislation in China	Chi

Document	Language Chi/Eng
PES Legislation Demonstration (Liaoning Province)	Chi
Research on PES Mechanism for Nature Reserve based	Chi
Research on Evaluation Technology and Application of Valuation of Ecosystem Services – Northeast Institute of Geography (midterm report)	Chi
Summarization of PES Experience and Report Collection (midterm report)	Chi
<b>Outcome 5:</b>	
coordination among sectors and develop information management system for climate adaptation through biodiversity: Qinghai Interface map	Chi
Awareness raising, Pilots for awareness and capacity building in local communities (midterm report)	Chi
Awareness raising, Survey on willingness of companies (midterm report)	Chi
Awareness raising, Corporate responsibility training (midterm report)	Chi
coordination among sectors and develop information management system for climate adaptation through biodiversity, Status analysis and focus for research (midterm report)	Chi
Awareness raising, Sectoral initiatives and climate adaptation via biodiversity conservation (midterm report)	Chi
<b>Other:</b>	
China National Biodiversity Strategy and Action Plan, 2011-2030	Eng
China's Fifth National Report on the Implementation of the Convention on Biological Diversity, The Ministry of Environmental Protection of China, March 2014	Eng
Global Environmental Facility, Biodiversity Focal Area Strategy and Strategic Programming for GEF-4	Eng
United Nations Development Assistance Framework for the People's Republic of China, 2011-2015	Eng

## **Annex 5: Summary of Field Visits**

### **3 November, Visit to Guangxi Province**

Province prepared their PBSAP with support from the project. The project funded approx. CNY 0.62 million (USD 100,000) and the province raised an additional CNY 3.25 million from the provincial department.

The department has good financial control: USD 6,095 on publications, USD 30,000 on expert consultants, USD 5,324 on transportation, USD 56,657 on meetings; total USD 98,235, not including this meeting with the TE consultants.

The PBSAP includes 39 priorities. In the last 2 years, 20 projects have been initiated, with funding from the Central Government, Nature Reserve Fund, Provincial Fund, and Forestry Department budget. The PBSAP has estimated the total cost to implement the priority actions – but this cost estimate was not included in the document. The department representatives indicated that they welcome external funding.

There is not a specific monitoring and evaluation plan in the PBSAP, but evaluation of progress is linked to the provinces midterm review of the 5-year plan. Several of the monitoring indicators included in the draft 13<sup>th</sup> 5-year plan are associated with biodiversity conservation.

The department plans on building a biodiversity information management system. They are currently soliciting comments.

The PBSAP process started in 2011, with an expert consultant meeting, exchanging experiences from other provinces. The developed a work plan, and submitted it to 23 provincial departments. They also formed a steering group which functioned over the course of the PBSAP process; the steering group is no longer functioning, but they a long-term cross-sectoral mechanism, a Biodiversity Conservation Joint Meeting.

The PBSAP process involved participation by NGOs, social enterprises, the tourism sector, traditional knowledge. In fact, a new access and benefit-sharing GEF project centred on traditional knowledge is under development.

One of the priority actions in the PBSAP is focused on poverty alleviation. PES is included under other provincial regulations.

In terms of institutional strengthening, this project helped build the capacity of the Foreign Exchange Office. Forestry has led 6 projects, gained training opportunities, and also facilitated cooperation with the ecological corridor project funded by ADB (Greater Mekong Sub-region). The department also had opportunities to learn from other provinces, through workshops organized by the project. The Vice Governor of the province joined one of these workshops.

### **5 November, Visit to Hubei Province**

#### **Meeting with Wuhan Stakeholders**

The Deputy Director of Hubei Environmental Protection Bureau provided some opening remarks.

Hubei is located in central China, there are approximately 61 million inhabitants, and the province ranks 10<sup>th</sup> among the 31 provinces in China in terms of economic output.

In terms of forest, water resource protection, there has been a great deal of progress made in the province in recent years. For example, the Yangtze River passes through Wuhan, the Three Rivers Gorges Reservoir is located in the province, and there is a large national project involving transport of water from the south to the drier north part of China.

The Bureau has 90 staff, also has a research institution and a management institution, other organizations on data and publicity, including the Hubei Academy of Environmental Sciences. With respect to the CBPF project, there was support in delineating the ecological redline in a particular area: Shenyang (pilot). The Hubei Academy of Sciences has done most of the work. The Director of the Academy was the project manager.

The majority of the work has been done, they need to submit a report of results to FECO in January 2016, and they plan to be finished by April 2016.

Hubei Province was the first to finish delineation of the Redline. Work was supported by the National Redline Technical Working Group, and Hubei Academy of Environmental Sciences did most of the work.

For the CBPF project, they selected the city of Shenyang for the pilot. The delineated redline for Shenyang covers about 22% of the land area in the municipality. The municipality covers 674 km<sup>2</sup>, and the delineated redline areas cover 148 km<sup>2</sup>. Shenyang ranks among the top 4 areas in Hubei Province, in terms of biodiversity. The redline areas cover four categories: water resources, soil retention, biodiversity, and flood management.

In terms of funding, the Provincial Environmental Protection Bureau provided CNY 2.6 million, and the CBPF project contributed CNY 583,000 (approximately USD 100,000). The Shenyang local government also provided support.

Hubei Province formulated guidelines for delineating redline areas before the central government issued national guidelines; in this context, the province has influenced national policies. The Provincial redline guideline has been reviewed but not officially approved yet.

The project has strengthened the Academy's capacity, e.g., in 2015 they have submitted six proposals to FECO, and two of them have been awarded to date.

Recommendation: the project could add value by compiling the incentive/compensation and enforcement mechanisms and innovations applied in the redline process in Hubei.

### **7 November, Visit to Liaoning Province**

The CBPF project support a payment for ecosystem services (PES) demonstration project, specifically one that is established for protection of the largest drinking water reservoir in the province.

The project has involved both top-down and bottom-up approaches. The PES schemes have been institutionalized and incorporated in provincial programmatic funding.

Some of the institutional benefits realized include promotion of the head of the project, and also promotion of the head of the Foreign Cooperation Office of the Provincial Environmental Protection Bureau.

The contract with the CBPF project (FECO as contractual partner) was signed on 16 Jan 2013. The Bureau formed a Leading Group to supervise the project and this group consisted of the director general and 5 deputy director generals. This was unusual to have such a high-level involvement.

The key deliverables have included:

1. Ordinance on protecting drinking water reservoir (new chapter on PES);
2. Suggestions on PES for the drinking water reservoir;
3. Development of management measures for the PES scheme;
4. Research on PES legislation;
5. Policy research report on improved PES in Liaoning Province.

With the support from the CBPF project, the Bureau would not have had the opportunity to make such a thorough and systematic study and implementation of the PES scheme.

The Bureau officials consider that they have achieved more than was expected, e.g., this province is considered now a pilot in terms of PES.

The Bureau plans to further develop and implement the PES scheme, and they hope that there are national PES guidelines in the future in order to strengthen the overall legislative framework.

**Annex 6: List of project implementation contracts**

No.	Contract	Organization/ Expert	Date	Contractual Budget	Value of Contract USD
1	The monitoring and assessment on CBPF	Zhonglv Company	2014.11- 2015.8.31	CNY 318,997	USD 50,474
2	GEF CBPF Project evaluation	Shengyan	2011.12.19- 2012.6.30	USD 20,000	USD 20,000
3	Analysis of capital requirements on the implementation of the Biological Diversity Convention in China	Chinese Research Academy of Environmental Sciences (CRAES)	2012.5.28- 2012.9.30	USD 15,000	USD 15,000
4	The training of biological diversity media and environmental protection organization	Zhonglv Company	2012.6.25- 2012.6.26	CNY 112,980	USD 17,877
5	China Biodiversity research report	Nanjing Institute of Environmental Science	2014.11- 2015.9.30	CNY 296,000	USD 46,835
6	The research of the mechanism on China Biodiversity Protection Coordination Optimization	Nanjing Institute of Environmental Science	2014.11.2- 2015.8.31	CNY 546,000	USD 86,392
7	The collection of the results on CBPF	All-China Environment Federation (ACEF)	2015.3- 2016.3.31	CNY 427,180	USD 67,592
8	CBPF Website and information platform construction	Zhongdian Xiangyun (Beijing) Company	2012.12.25- 2014.12.31	USD 45,000	USD 45,000
9	The Chief Technical Adviser of CBPF	Zhang Fengchun	2013.8.1- 2015.2.28	USD 40,000	USD 40,000
10	The Chief Technical Adviser of CBPF terminal evaluation	Xue Dayuan	2015.10- 2016.3.31	CNY 186,300	USD 29,478
11	The indicator system for BSAP	Nanjing Institute of Environmental Science	2014.9.1- 2015.6.30	CNY 318,500	USD 50,396
12	The development history and experience of the world national parks and nature reserves based on the provincial pilot border	Chinese Academy of Environmental Sciences	2014.10.10- 2015.9.30	CNY 301,000	USD 47,627

No.	Contract	Organization/ Expert	Date	Contractual Budget	Value of Contract USD
13	BSAP-Hainan Province	Environmental protection department Hainan Province	2012.3-2013.5	USD 100,000	USD 100,000
14	BSAP-Guangxi Province	Environmental protection department Guangxi Province	2012.3-2013.5	USD 100,000	USD 100,000
15	BSAP-Jilin Province	Environmental protection department Jilin Province	2012.3-2013.5	USD 100,000	USD 100,000
16	BSAP-Ministry of Water Resources of China	Development Research Center of the Ministry of Water Resources of China	2013.3-2014.8.31	USD 50,400	USD 50,400
17	BSAP—AQSIQ	AQSIQ	2013.10-2014.12.31	USD 45,000	USD 45,000
18	The technical methods of the red line delineated on the ecological protection	Nanjing Institute of Environmental Science	2014.9.1-2015.10.31	CNY 551,000	USD 87,184
19	Bio-diversity protection of the red line delineated based on the provincial pilot border	Ningxia Institute of Environmental Science	2015.3.31-2016.3.31	CNY 560,000	USD 88,608
20	The key the red line delineated of the ecological function areas	Hubei Institute of Environmental Science	2015.5.8-2016.5.8	CNY 583,000	USD 92,247
21	The red line of ecological function district on marine-ecology based on the provincial pilot border	Yantai Institute of Coastal Zone Research (YIC) , Chinese Academy of Sciences	2015.9.7-2016.6.7	CNY 518,800	USD 82,089
22	Status assessment on China Biodiversity Mainstreaming	Li Dianmo	2013.11.1-2015.2.28	USD 45,000	USD 45,000
23	The technical specification for evaluation of the Biodiversity during the processes of the environmental impact assessment	Chinese Academy of Environmental Sciences		USD 100,000	USD 100,000

No.	Contract	Organization/ Expert	Date	Contractual Budget	Value of Contract USD
24	The consultation of northwest strategic environmental impact assessment on "Environmental impact assessment included in the protection of biological diversity in western development strategy"	Mao Wenyong	2012.12.1-2013.6.30	USD 45,000	USD 45,000
25	Pilot study on strengthening the management system of the local environmental protection department	Beijing Normal University	2012.12.1-2013.7.31	USD 50,000	USD 50,000
26	The mechanism construction of the enterprise participation	UNEP-WCMC	?	USD 119,000	USD 119,000
27	The research project of legislative road map on the ecological compensation in China	Renmin University of China	2011.12.19-2012.6.30	USD 20,000	USD 20,000
28	The case study of the ecological compensation for biodiversity	Environmental protection department Liaoning Province	2013.2.25-2014.12.31	USD 170,400	USD 170,400
29	The research of the mechanism on the ecological compensation in Nature Reserve	Luo Zunlan	2013.12-2014.12	CNY 538,000	USD 85,127
30	Feasibility Study on Establishing mechanisms of Payment for Watershed Services in the Chishui River Basin for conservation of globally significant biodiversity	?	2012.11-2013.5	USD 13,200	USD 13,200
31	The value evaluation of the ecosystem services	Northeast Institute of Geography and Agroecology (IGA), Chinese Academy of Sciences (CAS)	2015.1.23-2016.1.22	CNY 425,000	USD 67,247
32	Case study of ecological compensation based on biological diversity	Renmin University of China	2013.12-2015.1	CNY 496,800	USD 78,608

No.	Contract	Organization/ Expert	Date	Contractual Budget	Value of Contract USD
33	Xianju National Park Pilot for the carbon sink compensation of biodiversity	China Beijing Environment Exchange (CBEEEX)	2015.7.1-2016.5.31	CNY 619,900	USD 98,085
34	The pilot mechanism and case study for the water ecological compensation	Development Research Center of the Ministry of Water Resources of China	2015.11.13-2016.3.31	CNY 570,000	USD 90,190
35	The information management system for biodiversity responding to climate change	Qinghai Remote Sensing Center of Ecological Environment	2015.6.20-2016.6.30	CNY 291,000	USD 46,044
36	The awareness raising and capacity building for biodiversity responding to the climate change in the enterprise	China Environmental Protection Foundation (CEPF)	2014.12.20-2015.12.30	CNY 575,500	USD 91,060
37	Promote biodiversity protection awareness and ability for the decision maker based on the climate change	Zeyang Company	2014.12.22-2015.12.30	CNY 880,000	USD 139,241
38	CBPF sustainable development strategy and implementation plan	Zeyang Company	2015.9.25-2016.1.31	CNY 445,000	USD 70,411
39	The report of the related projects on the China biodiversity and climate change	Wang Yukuan	2011.12.19-2012.4.30	USD 5,000	USD 5,000
40	The research of the evaluation method on the cost benefit of the biodiversity adapt to climate change	China WTO Tribune	2015.4.1-2015.12.31	CNY 379,000	USD 59,968
CNY:USD			6.32	<b>Total:</b>	<b>USD 2,655,778</b>

**Annex 7: Matrix for Rating Achievement of Project Results**

No.	Indicator	End of Project Target(s)	TE Comments	Rating	Rating Score
<b>Objective: The development of the national policy and institutional framework, bringing it closer to international best practices</b>					
<b>Obj-1</b>	A composite index of changes in UNDP capacity development scorecard for planning, mainstreaming and partnership	Total score on scorecard has increased from 17 to 31	The composite index of the Capacity Development Scorecard for Planning, Mainstreaming, and Partnership had an average score of 38.9 in the most recent survey, completed in June 2014, compared to a baseline of 17. This result exceeds the target of 31 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. Also, the TE team questions whether the June 2014 survey captures the end-of-project circumstances, as more than 50% of project expenditures (and activities) since that time.	<b>Satisfactory</b>	80
<b>Obj-2</b>	Biodiversity conservation resources available from government and private sector	Increase by 100 % from 2006 figure. (PIR 2014 indicates a baseline of USD 500 million for government resources, and USD 25 million for private sector)	With respect to biodiversity conservation resources available from government and private sector, there were no data available to assess progress made toward the intended target of 100% from 2006 figures. There were no baseline figures indicated in the project inception report, but the 2014 PIR indicated a figure of USD 500 million from government resources and USD 25 million from the private sector. There was no monitoring data available to assess increase in resources contributed for biodiversity conservation since project entry. Based upon anecdotal evidence obtained during TE mission interviews, there has likely been a significant increase in resources mobilized for biodiversity conservation. But, the TE team is unable to assess achievement of this indicator due to lack of supporting data.	<b>Unable to Assess</b>	
<b>Obj-3</b>	Tracking Tool for GEF Biodiversity Focal Area Strategic Priority Two	Not defined	The third objective level indicator, referencing the GEF biodiversity tracking tool, does not seem to have been developed. The tracking tool has been filled out, at inception, midterm, and near closure, in October 2015, but there is no evidence of indicators from the tracking tool being brought up to the strategic results framework. The project has facilitated some local level activities that have, indirectly, contributed to enhanced management of protected areas and increased land area being delineated for protection of ecosystem services and functions. The project design envisaged support to the Development Priority Zone programme in the country, but this programme was discontinued over the lifespan of the project. In response to this change, the project funded two demonstrations of delineation of Ecological Redlines, a new programme the government has adopted. Project support was extended for developing guidelines for delineating ecological redline areas, and also demonstration of applying these guidelines in two provinces: Hubei Province, for a terrestrial ecosystem covering approximately 18.6 million hectares, and Ningxia Hui Autonomous Region, for a terrestrial ecosystem covering approximately 6.6 million hectares. In addition to this, the provincial BSAPs supported by the project in Guangxi, Hainan, and Jilin Provinces, have indirectly led to enhanced management of the protected areas under provincial management: 1,452,941 ha, 2,735,320 ha, and 2,303,900 ha, respectively.	<b>Unable to Assess</b>	
<b>Project Objective</b>			<b>Objective Level Rating Score</b>	<b>Rating</b>	
			<b>80</b>	<b>Satisfactory</b>	

No.	Indicator	End of Project Target(s)	TE Comments				Rating	Rating Score
Outcome 1: Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation								
1.1	The Index in the UNDP Capacity Development Scorecard for partnerships	Total score on UNDP Capacity Development Scorecard for partnerships has increased from 4 to 8	The Capacity Development Scorecard for Partnerships had an average score of 11.2 in the most recent survey, completed in June 2014, compared to a baseline of 4. This result exceeds the target of 8 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. The reported improvement in the scorecard result has been partly attributed to the influence of the National Committee on Biodiversity Conservation. This high-level committee is chaired by the Vice Premier, giving it considerable political clout. As many of the awareness oriented activities on the project were initiated starting in late 2014, the TE team question whether the June 2014 survey captures the end-of-project circumstances.				Satisfactory	80
1.2	Financial viability of the Secretariat for the Partnership. (CBPF Indicator: 9.4)	Secretariat has at least four full staff, with full resources and operating budget. At least 4 partners contribute to the budget	At the time of the TE mission, there was no consensus among interviewed stakeholders regarding the CBPF Secretariat. A self-financing body, with contributions from at least four partners, and having four full-time staff has not been achieved.				Moderately Unsatisfactory	65
1.3	Existence of a common monitoring framework for CBPF partners (CBPF Indicator: 9.1)	GEF and MOF and at least four other partners accept and are using consolidated monitoring system	Similarly, at the time of the TE mission, there was no evidence of a consolidated monitoring framework by CBPF partners being established and accepted (by at least four of the partners).				Moderately Unsatisfactory	65
Sub-total, Outcome 1			Indicative Budget	Weighted Cost	TE Outcome Rating Score	Weighted Score	Rating	
			USD 1,267,182	0.31	70	22	Moderately Satisfactory	
Outcome 2: Strengthened Planning System for Biodiversity Conservation, including M&								
2.1	The Index in the UNDP Capacity Development Scorecard for planning (CBPF Indicator: 1.1)	Total score on scorecard for ‘planning’ has increased from 7 to 14	The Capacity Development Scorecard for Planning had an average score of 15.1 in the most recent survey, completed in June 2014, compared to a baseline of 7. This result exceeds the target of 14 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. Also, the TE team questions whether the June 2014 survey captures the end-of-project circumstances, as more than 50% of project expenditures (and activities) since that time.				Satisfactory	80
2.2	Extent of use of NBSAP in sectoral work (CBPF Indicator: 1.2)	From 2010 onwards, MOA, SFA, Chinese Academy of Sciences, SOA and MEP all include initiatives in their annual work plans that explicitly address priority actions identified in the NBSAP	With respect to NBSAP priority actions identified in annual work plans of MOA, SFA, CAS, SOA, and MEP, there were was no documentary evidence available. According to anecdotal evidence obtained during TE interviews, these line ministries and agencies likely have integrated NBSAP priority actions into their annual works plans.				Moderately Satisfactory	75

No.	Indicator	End of Project Target(s)	TE Comments				Rating	Rating Score
2.3	The number of approved provincial BSAPs (CBPF Indicator: 1.3)	By the end of the project, at least 3 provinces have prepared BAPs, in line with agreed national standards and guidelines, supported by budget allocations	The project has facilitated development of three provincial BSAPs, each of which has been approved: Guangxi, Hainan, and Jilin. This is a noteworthy achievement, representing a meaningful contribution to strengthened biodiversity conservation planning.				Highly Satisfactory	90
Sub-Total, Outcome 2			Indicative Budget	Weighted Cost	TE Outcome Rating Score	Weighted Score	Rating	
			USD 577,200	0.14	82	12	Satisfactory	
Outcome 3: Biodiversity mainstreamed into national development plans and programmes								
3.1	The Index in the UNDP Capacity Development Scorecard for mainstreaming	Total score on scorecard for mainstreaming has increased from 6 to 9	The Capacity Development Scorecard for Mainstreaming had an average score of 12.6 in the most recent survey, completed in June 2014, compared to a baseline of 6. This result exceeds the target of 9 by project closure. As discussed in the Monitoring and Evaluation section, the TE team consider the representativeness of the scorecard results to be questionable, as the same people were surveyed over a relatively short period of time, once per year from 2012-2014. Also, the TE team questions whether the June 2014 survey captures the end-of-project circumstances, as more than 50% of project expenditures (and activities) since that time.				Satisfactory	80
3.2	The proportion that biodiversity conservation included in the provincial Development Priority Zones plans	2/3 of provincial Development Priority Zones plans refer to biodiversity conservation	The indicator involving integrating biodiversity conservation into provincial Development Priority Zone (DPZ) plans has been considered void, as the government is no longer pursuing the DPZ programme. The project has supported activities piloting the Ecological Redline initiative, which the government recently initiated, for terrestrial ecosystems (Hubei Province and Ningxia Hui Autonomous Region).				Unable to Assess	
Sub-Total, Outcome 3			Indicative Budget	Weighted Cost	TE Outcome Rating Score	Weighted Score	Rating	
			USD 880,000	0.22	80	17	Satisfactory	
Outcome 4: Enabling Framework for Government and Market Based Payments for Environmental Services								
4.1	Amount of funding available for BD conservation from all types of market-based PES schemes (CBPF Indicator: 4.2)	Every year the total amount of funding available for BD conservation through market-based PES increases, and by the end of the project this figure is at least twice the baseline value	At the time of the TE mission, there was no evidence available to the total amount of funding available for biodiversity conservation through market-based PES schemes, compared to the baseline value. There is also no evidence that a baseline figure was established. Based upon anecdotal evidence obtained during TE mission interviews, there most likely has been a doubling of market-based PES schemes since project entry in 2009. But, there are no data available to confirm this, and, hence, the TE team is unable to assess the progress made with respect to this outcome level indicator.				Unable to Assess	

No.	Indicator	End of Project Target(s)		TE Comments				Rating	Rating Score
4.2	Guidelines being used across sectors	Evidence that at least 10 PES across China, in at least 2 sectors, are being established in line with the Guidelines	The aim to complete PES guidelines and have them approved within the lifespan of the project was concluded to be infeasible, according to project progress reports, including the 2014 PIR. No adjustments were made to this particular outcome level indicator and target; the TE team concludes that there has been moderately unsatisfactory achievement realized. The project did support research activities regarding PES schemes, including market-based PES, and also funded pilot activities, including in Liaoning Province, with respect to the main drinking water basin in the region, and also a pilot carbon offset mechanism linking community based biodiversity conservation with carbon emission offsets.				Moderately Satisfactory	70	
Sub-Total, Outcome 4			Indicative Budget	Weighted Cost	TE Outcome Rating Score	Weighted Score	Rating		
			USD 822,400	0.20	70	14	Moderately Satisfactory		
Outcome 5: Integration of biodiversity conservation into climate change adaptation policies and plans									
5.1	The adaptation of national nature conservation policies and plans to the impacts of climate change (CBPF Indicator: 8.1)	By 2012, national nature conservation policies and plans explicitly address adaptation to climate change	Priority Area 8, "To improve capacities to cope with climate change" of the 2011-2030 NBSAP is strong evidence that national conservation policies explicitly address adaptation to climate change.				Satisfactory	80	
5.2	Incorporation of BD into provincial sectoral adaptation to climate change (CBPF Indicator: 8.1)	By 2012, sectoral policies and plans in several provinces explicitly incorporate measures to increase the effectiveness of BD conservation by adapting to the impacts of CC	The provincial BSAPs facilitated with project support, for Guangxi, Hainan, and Jilin Provinces have incorporated climate change adaptation considerations. The sectoral BSAP prepared for the Ministry of Water Resources, with support from the project, includes climate change adaptation as integral, cross-cutting aspect. The sectoral BSAP developed by the General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ), also with support from the project, does not explicitly address climate change aspects. Also, National Strategy on Adaptation to Climate Change issued in 2013. And, NBSAP integrates climate change considerations.				Satisfactory	80	
Sub-Total, Outcome 5			Indicative Budget	Weighted Cost	TE Outcome Rating Score	Weighted Score	Rating		
			USD 511,400	0.13	80	10	Satisfactory		
Overall Outcome Rating			Indicative Budget		Overall Outcome Score		Rating		
			USD 4,058,182		75		Moderately Satisfactory		

**Notes:**

Weighted scores are based upon the weighted costs of each outcome. Indicative budget figures were applied, because of the low level of spending. The weighted outcome costs are based upon the indicative budget for Outcomes 1-5, excluding project management.

The TE rating scores are based upon the judgement of the evaluation team, according assessed achievement toward each outcome, using the following qualitative rating scale:

Qualitative Rating	Rating Score
Highly Satisfactory	90 – 100
Satisfactory	80 – 89
Moderately Satisfactory	70 – 79
Moderately Unsatisfactory	60 – 69
Unsatisfactory	50 – 59
Highly Unsatisfactory	<50

## Annex 8: Financial Expenditure Details

GEF Outcomes	Atlas Budgetary Account Code	Budget Description	Actual 2010 USD	Actual 2011 USD	Actual 2012 USD	Actual 2013 USD	Actual 2014 USD	Actual Q1-2015 USD	Actual Q2-2015 USD	Actual Q3-2015 USD	Expected Q4-2015 USD	Total 2010-2015 USD	Budget USD	Remaining USD
<b>OUTCOME1:</b> Strengthened Coordination Mechanisms at the Central Level for Biodiversity Conservation	<b>71200</b>	International Consultants	0	0	0	26,580	0	0	0	0	0	26,580	44,580	18,000
	<b>71300</b>	Local Consultants	0	6,298	100,760	76,401	78,628	0	15,614	40,208	19,800	337,709	398,587	60,878
	<b>71600</b>	Travel	0	1,949	38,956	59,569	74,921	4,998	0	133	37,000	217,524	250,445	32,921
	<b>72100</b>	Contractual Services - Companies	0	0	31,534	52,581	95,530	0	0	20,137	68,523	268,306	349,899	81,593
	<b>74500</b>	Miscellaneous Expenses	0	1,111	547	0	870	0	0	0	0	2,528	2,528	0
	<b>75700</b>	Training, Workshop and Conferences	0	0	74,562	36,563	65,316	0	495	0	0	176,936	221,141	44,205
		<b>Sub-total</b>	<b>0</b>	<b>9,358</b>	<b>246,359</b>	<b>251,693</b>	<b>315,264</b>	<b>4,998</b>	<b>16,109</b>	<b>60,478</b>	<b>125,323</b>	<b>1,029,583</b>	<b>1,267,181</b>	<b>237,598</b>
<b>OUTCOME 2:</b> Strengthened Planning System for Biodiversity Conservation including M&E	<b>71200</b>	International Consultants	0	0	0	0	0	0	0	0	0	0	0	0
	<b>71300</b>	Local Consultants	0	0	0	0	0	0	0	0	0	0	25,000	25,000
	<b>71600</b>	Travel	0	0	8,528	3,578	2,344	0	534	0	0	14,984	21,106	6,122
	<b>72100</b>	Contractual Services - Companies	0	0	179,263	161,409	76,009	0	0	14,189	43,393	474,262	467,372	-6,890
	<b>74500</b>	Miscellaneous Expenses	0	664	301	642	0	0	0	0	0	1,607	1,607	0
	<b>75700</b>	Training, Workshop and Conferences	0	16,200	22,158	1,127	2,078	0	0	0	0	41,564	62,115	20,551
		<b>Sub-total</b>	<b>0</b>	<b>16,864</b>	<b>210,251</b>	<b>166,756</b>	<b>80,431</b>	<b>0</b>	<b>534</b>	<b>14,189</b>	<b>43,393</b>	<b>532,417</b>	<b>577,200</b>	<b>44,783</b>
<b>OUTCOME 3:</b> Biodiversity mainstreamed into national development plans and programmes	<b>71200</b>	International Consultants	0	0	0	0	0	0	0	0	0	30,000	33,200	3,200
	<b>71300</b>	Local Consultants	0	0	13,370	27,004	36,000	0	13,169	0	0	89,544	89,874	331

GEF Outcomes	Atlas Budgetary Account Code	Budget Description	Actual 2010 USD	Actual 2011 USD	Actual 2012 USD	Actual 2013 USD	Actual 2014 USD	Actual Q1-2015 USD	Actual Q2-2015 USD	Actual Q3-2015 USD	Expected Q4-2015 USD	Total 2010-2015 USD	Budget USD	Remaining USD
	<b>71600</b>	Travel	0	0	0	0	55,202	2,551	563	0	0	58,315	65,486	7,170
	<b>72100</b>	Contractual Services - Companies	0	0	14,856	40,013	86,012	0	53,886	30,453	31,931	257,149	605,769	348,619
	<b>74500</b>	Miscellaneous Expenses	0	0	1,593	0	2	0	0	0	0	1,595	1,595	0
	<b>75700</b>	Training, Workshop and Conferences	0	0	16,534	21,022	36,520	299	2,145	990	0	77,510	84,076	6,567
		<b>Sub-total</b>	<b>0</b>	<b>0</b>	<b>46,353</b>	<b>88,040</b>	<b>213,735</b>	<b>2,850</b>	<b>69,762</b>	<b>31,442</b>	<b>31,931</b>	<b>484,113</b>	<b>880,000</b>	<b>395,887</b>
<b>OUTCOME 4:</b> Enabling Framework for Market-Based Payments for Environmental Services	<b>71200</b>	International Consultants	0	0	13,118	0	0	0	0	0	0	13,118	13,118	0
	<b>71300</b>	Local Consultants	0	7,400	21,455	0	0	0	0	0	0	28,855	63,855	35,000
	<b>71600</b>	Travel	0	1,567	2,149	39,213	255	0	2,202	7,569	0	52,955	55,929	2,974
	<b>72100</b>	Contractual Services - Companies	0	0	0	51,120	103,528	43,456	0	29,222	288,459	515,785	564,400	48,615
	<b>74500</b>	Miscellaneous Expenses	0	0	143	85	777	0	131	0	0	1,136	2,228	1,092
	<b>75700</b>	Training, Workshop and Conferences	0	392	37,126	33,139	20,130	3,983	212	5,754	0	100,737	122,869	22,132
		<b>Sub-total</b>	<b>0</b>	<b>9,359</b>	<b>73,992</b>	<b>123,557</b>	<b>124,690</b>	<b>47,440</b>	<b>2,545</b>	<b>42,545</b>	<b>288,459</b>	<b>712,587</b>	<b>822,400</b>	<b>109,813</b>
<b>OUTCOME 5:</b> Integration of Biodiversity Conservation into climate change adaptation policies and plans	<b>71200</b>	International Consultants	0	0	0	0	0	0	0	0	0	0	0	0
	<b>71300</b>	Local Consultants	0	1,500	3,505	0	0	0	0	0	0	5,005	5,005	0
	<b>71600</b>	Travel	0	0	0	3,974	2,891	0	4,328	0	0	11,192	17,574	6,382
	<b>72100</b>	Contractual Services - Companies	0	0	0	0	71,127	0	17,866	14,049	360,987	464,030	437,222	-26,808
	<b>74500</b>	Miscellaneous Expenses	0	0	0	0	245	0	0	0	0	245	245	0

GEF Outcomes	Atlas Budgetary Account Code	Budget Description	Actual 2010 USD	Actual 2011 USD	Actual 2012 USD	Actual 2013 USD	Actual 2014 USD	Actual Q1-2015 USD	Actual Q2-2015 USD	Actual Q3-2015 USD	Expected Q4-2015 USD	Total 2010-2015 USD	Budget USD	Remaining USD
	<b>75700</b>	Training, Workshop and Conferences	0	0	21,328	20,026	521	330	377	990	0	43,572	51,354	7,782
		<b>Sub-total</b>	<b>0</b>	<b>1,500</b>	<b>24,833</b>	<b>24,000</b>	<b>74,784</b>	<b>330</b>	<b>22,571</b>	<b>15,039</b>	<b>360,987</b>	<b>524,045</b>	<b>511,400</b>	<b>-12,645</b>
<b>Project Management</b>	<b>71200</b>	International Consultants	0	0	0	0	0	0	0	0	17,000	17,000	17,000	0
	<b>71300</b>	Local Consultants	0	51,506	58,135	48,879	61,613	0	0	0	13,000	233,133	233,133	0
	<b>71600</b>	Travel	0	0	0	0	0	0	0	0	0	0	13,000	13,000
	<b>71800</b>	Local Consultants	0	0	0	0	0	0	15,614	9,369	59,017	84,000	126,750	42,750
	<b>74110</b>	Audit Fees	0	0	0	0	3,080	0	0	0	0	3,080	29,373	26,292
	<b>74500</b>	Miscellaneous Expenses	0	0	13,148	10,770	15,951	376	1,364	215	0	41,823	39,869	-1,954
	<b>75700</b>	Training, Workshop and Conferences	0	17,461	0	5,025	0	0	0	0	0	22,485	22,485	0
		<b>Sub-total</b>	<b>0</b>	<b>68,967</b>	<b>71,283</b>	<b>64,674</b>	<b>80,644</b>	<b>376</b>	<b>16,978</b>	<b>9,583</b>	<b>89,017</b>	<b>401,522</b>	<b>481,610</b>	<b>80,088</b>
		<b>Total</b>	<b>0</b>	<b>106,048</b>	<b>673,072</b>	<b>718,720</b>	<b>889,549</b>	<b>55,993</b>	<b>128,500</b>	<b>173,277</b>	<b>939,110</b>	<b>3,684,267</b>	<b>4,539,791</b>	<b>855,524</b>
	<b>76130</b>	Unrealized Gain	<b>0</b>	<b>-4,812</b>	<b>-12,767</b>	<b>-10,825</b>	<b>-3,206</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-31,610</b>		<b>31,610</b>
		<b>Total</b>	<b>0</b>	<b>101,235</b>	<b>660,305</b>	<b>707,895</b>	<b>886,343</b>	<b>55,993</b>	<b>128,500</b>	<b>173,277</b>	<b>939,110</b>	<b>3,652,657</b>	<b>4,539,791</b>	<b>887,134</b>

## Annex 9: Cofinancing Table

Note	Cofinancing Source	Type	UNDP (USD million)		Government (USD million)		Other Sources (USD million)		Total Cofinancing (USD million)	
			Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
UNDP										
	UNDP cofinancing		6.00						6.00	
1	UNDP/ECBP	Parallel	6.00	15.29						15.29
	Sub-total, UNDP cofinancing		6.00	15.29					6.00	15.29
Government										
	Government cofinancing				9.00				9.00	
2	Central level, MEP, 2011-2015	Cash and In-Kind				4.75				4.75
3	Central level, FECO, 2010-2016	Cash and In-Kind				1.11				1.11
4	Central level, AQSIQ, 2014-2015	Cash and In-Kind				3.48				3.48
5	Central level, MWR, 2014-2015	Cash				0.13				0.13
6	Provincial level (Guangxi, Hubei, Jilin, Hainan, Liaoning), 2012-2015	Cash and In-Kind				1.49				1.49
	Sub-total, Government cofinancing				9.00	10.95			9.00	10.95
Other Sources										
	Bilateral Agency cofinancing						0.18		0.18	
7	Government of Italy	In-Kind					0.18	0.18	0.18	0.18
8	Gov't of Norway (project on biodiversity and climate change, 2011-2014)	In-Kind						1.90		1.90
	Sub-total, Bilateral Agency cofinancing						0.18	2.08	0.18	2.08
	Non-Governmental Organizations (NGOs)						3.06		3.06	
9	WWF	In-Kind					1.60	2.65		2.65
10	TNC	In-Kind					1.46	1.46		1.46
	Sub-total, NGOs cofinancing						3.06	4.11	3.06	4.11
Total Cofinancing for Project Implementation:			6.00	15.29	9.00	10.95	3.24	6.19	18.24	32.43

CNY:USD Exchange Rate

6.32

01 Nov 2015

## Notes:

- 1 Mobilized from the EU-China Biodiversity Programme, for period 2010-2012, according to UNDP combined delivery reports.
- 2 Relevant biodiversity capacity building and partner coordination financed by the MEP.
- 3 In-kind contributions from FECO, including senior staff time and services for operating the PMO
- 4 Leveraged resources from AQSIQ in preparation and implementation of their sectoral BSAP
- 5 Leveraged resources from the Ministry of Water Resources in preparation of their sectoral BSAP
- 6 Leveraged resources from Provincial governments in preparation of three PBSAPs, one ecological redline pilot, and USD 0.206 million from Liaoning Province in preparation of the PES scheme?
- 7 In-kind contribution from the Sino-Italian Cooperation Programme; including capacity building support with respect to multilateral environmental agreements.
- 8 Leveraged resources from biodiversity-climate change project financed by the Government of Norway, in Sichuan Province, supporting implementation of the PBSAP with integrating climate change and biodiversity.
- 9 Actual cofinancing communicated to TE team by email on 24 November 2015.
- 10 Based upon verbal confirmation communicated during TE interview.

## Annex 10: Evaluation Consultant Code of Conduct Agreement Form

### Evaluators / Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

### Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultants: Prof. Li He, James Lenoci

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signatures:

Beijing, 18 October 2015

Budapest, 18 October 2015



Professor Li He



James Lenoci

## **Annex 11: Terms of Reference (excluding annexes)**

# Terms of Reference

**Position title:** International/National Consultant on TE of The UNDP-GEF CBPF Priority Institutional Strengthening and Capacity Development to Implement the China Biodiversity Partnership and Framework for Action.

**Duty station:** ☐ Beijing, China ☒ home-based with mission travels to China

**Scope of advertisement:** ☒ Globally advertised ☐ locally advertised

**Practice Area:** ☐ Millennium Development Goals

☐ Democratic Governance

☐ Poverty Reduction

☒ Environment and Energy

☐ Crisis Prevention and Recovery

☐ HIV/AIDS

☐ Women's Empowerment

☐ Management

**Type of contract:** Individual Consultant

**Post Type and Level:** ☒ international consultant ☒ national consultant

**Languages required:** English, Chinese

**Application Deadline:** 30-April-2015

**Expected contract starting date:** 25 August 2015

**Duration if Initial Contract:** 3 months with possible extension based on performance

## Background

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China hosts a significant proportion of global biodiversity. Over the past two decades, the Government of China and the Chinese people have taken several steps to conserve this biodiversity. However, important threats to this biodiversity remain. Also, recent socio-economic developments in China present opportunities for new approaches. In response to these challenges and opportunities, the Government of China has initiated the *China Biodiversity Partnership and Framework for Action* (the CBPF). This new approach to biodiversity conservation is comprised of a Partnership of key national and international stakeholders from Chinese biodiversity conservation community and a Results-oriented "Framework for Action". This approach greatly increases coordination, integration and strategic impact.

The proposed project aims to directly support the operationalization of the CBPF approach and to support critical initiatives under the Framework for Action. Specifically, this project support is focused into five components:

- An institutionalized mechanism for the biodiversity conservation partnership;
- The planning system and framework for biodiversity conservation;
- Mainstreaming of biodiversity into socio-economic development;
- A mixed enabling framework for government and market based payments for ecological services;
- The integration of biodiversity into climate change adaptation measures.

The project mainstreams biodiversity into priority socio-economic issues (poverty and climate change adaptation), thereby constructing positive links between conservation and sustainable development.

This Project will contribute to the **Overall CBPF Goal**, which is “*A Significant Reduction of the Rate of Biodiversity Loss as a Contribution to Sustainable Development*”.

The specific **Project Objective** is “*the development of the national policy and institutional framework, bringing it closer to international best practices*”. In order to achieve the project Objective, five inter-related Outcomes need to be secured.

**Outcome 1** is strengthened coordination mechanisms at the central level for biodiversity conservation. This Outcome is directly related to the CBPF. This Outcome underpins all other work in the project and the work of many partner projects.

**Outcome 2** focuses on improving the framework, system and capacity for *biodiversity* planning. However, for biodiversity planning to be more effective, it should be linked to socio-economic and sectoral planning.

**Outcome 3** focuses on socio-economic and sectoral planning, and ensuring that this planning plays a positive role in biodiversity conservation. In addition, for more meaningful and effective planning, stronger links with the financial and budgetary processes are necessary, and increased financial resources are also required. Hence,

**Outcome 4** focuses on raising support for biodiversity in the financial agencies and diversifying funding sources– including the private sector.

**Outcomes 5** addresses the critically strategic issue of adapting biodiversity conservation to climate change.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. The evaluation team will be composed of 1 international and 1 national evaluator. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The international evaluator will be designated as the team leader and will be responsible for finalizing the report. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.”

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the UNDP-GEF CBPF: the *China Biodiversity Partnership and Framework for Action* (the CBPF) (PIMS 2902).

For detailed information of projects’ objectives, outcomes and indicators, please check the project documents posted on the GEF website, [www.thegef.org](http://www.thegef.org). The signed version will be shared after on board.

### EVALUATION APPROACH AND METHOD

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An overall approach and method<sup>1</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR. The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Jilin Province and Guangxi Zhuang Autonomous Region. Interviews will be held with the following organizations and individuals at a minimum.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review.

### EVALUATION CRITERIA & RATINGS

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An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary.

### PROJECT FINANCE / COFINANCE

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The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table, which will be included in the terminal evaluation report.

### MAINSTREAMING

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UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

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<sup>1</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.<sup>2</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**.

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in *China*. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

### Key Indicative Indicators for the Consultant's Performance

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial Findings	End of evaluation mission	To project management, UNDP CO
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

### Documents to be included when submitting application

Please provide **Offeror's Letter and proposal** (download the format in below link) together with your **CV** while submitting application.

Please note that the system will not accept the uploading of more than one document so **please merge or scan all your documents into one prior to uploading**.

In the **Offeror's Letter and proposal**, you will be asked to confirm your interest and availability for the assignment, and provide technical and financial proposal.

### Technical proposal

- Explaining why you are the most suitable for the work with example/former experience demonstrating your competencies;
- Provide a brief methodology on how you will approach and conduct the work.

<sup>2</sup> A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

## Financial Proposal

Please quote the daily rate for professional fee and others related.

## Download Link

Offeror's Letter and proposal

<https://www.dropbox.com/s/zhov5ekfaty7ncz/Offeror%27s%20letter%20and%20Proposal.doc>

General Conditions for Individual Contractor

<https://www.dropbox.com/s/4euv94xzevkefsm/General%20Conditions%20for%20IC.docx>

## Evaluation Criteria

**Candidates will be assessed based on the following technical criteria:**

### Technical Evaluation (70)

- Job Related Technical Expertise(20);
- Relevant working experience(20);
- Methodology & Approach to assignment (30).

### Financial Evaluation (30)

The final evaluation method will be based on a cumulative analysis of both the technical and financial proposals.

## Competencies

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- Strategic technical and intellectual skills in the substantive area with global dynamic perspectives;
- Leadership, innovation, facilitation, advocacy and coordination skills;
- Ability to manage technical teams and engage in long term strategic partnership;
- Entrepreneurial abilities and ability to work in an independent manner;
- Ability to work effectively in a team, with good relationship management skills ;
- Strong managerial and coordination skills, including ability to coordinate the development of large, complex projects;
- Demonstrated ability to operate effectively in a highly complex organizational context;
- Ability to maintain high standards despite pressing deadlines;
- Excellent communication (both oral and written) and partnership building skills with multi-dimension partners and people, skill for conflict resolution and negotiation;
- Excellent writing skills, especially in the preparation of official documents and reports;
- Good knowledge of China's environmental and socio-economic context.

## Required Skills and Experience

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### Education

- An advanced degree in conservation, natural resources management, environmental science or related fields, preferably in PA conservation and management.

### Experience

- Minimum 10 years of relevant professional experience including Project development, implementation and evaluation
- Knowledge of UNDP and GEF, such as GEF policy and practices, GEF project requirements;
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s) including biodiversity conservation, agriculture, natural resources co-management, integrated planning, etc.
- Expertise in economic and social development issues
- Good communications and writing skills in English
- Professional experiences in working in China and with Chinese counterparts would be an advantage.

### Language

- Fluency in written and spoken English is required;
- Good knowledge of Chinese is an asset.

### IT Skills:

- Good IT skills.