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Resilient nations.*



## Terminal Evaluation Report

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### Strengthening the PA system in the Qilian Mountains-Qinghai Lake landscape China-Protected Areas System Reform (CPAR) Program - Child Project #3

UNDP PIMS ID: 5690

GEF Project ID: 9464

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<b>Country:</b>	China
<b>Region:</b>	East Asia
<b>GEF Focal Areas:</b>	Biodiversity
<b>Implementing Agency:</b>	United Nations Development Programme
<b>Executive:</b>	Qinghai Forestry & Grassland Bureau
<b>Implementation:</b>	National Implementation Modality
<b>Project Timeframe:</b>	January 2019 – January 2024

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#### **Exhibits:**

- Exhibit 1: Project Information Table
- Exhibit 2: Ratings Summary Table
- Exhibit 3: Ratings & Achievement Summary Table
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#### **Disclaimer**

The TE views were discussed with UNDP, the Implementing Partner – Qinghai Forestry & Grassland Bureau (FGB), Project Board members, local government partners and other key stakeholders. There was a debriefing held to present views and refine findings. UNDP, the Project Management Office (PMO), and the Qinghai FGB provided comment on the draft report before finalization.

The views held within this report are those of the TE team.

#### **Acknowledgement**

The Terminal Evaluation Team would like to acknowledge all UNDP and project staff and partners who supported this evaluation of the project.

## Abbreviations and Acronyms

BCSAP	QMQL Landscape Biodiversity Conservation strategy & Action Plan (a project output)
BSAP	Qinghai Province Biodiversity Strategy & Action Plan
CBD	UN Convention on Biological Diversity
CPAR3	China Protected Area System Reform System – Qinghai child project 3 (i.e. this project)
CITES	Convention on the International Trade in Endangered Species of Wild Fauna and Flora
DoF	Qinghai Department of Finance
DRC	Development & Reform Committee (National or Qinghai)
EA	Executing Agency (Qinghai DoF / Qinghai FGB)
ECAs	Ecological Corridor Areas
ESIA	Environmental & Social Impact Assessment
FACE	UNDP Finance Advance Expenditure Certificate
FGB	Qinghai Forestry & Grasslands Bureau
gazelle	Przewalski's Gazelle
GEF	Global Environment Facility
IA	GEF Implementing Agency (UNDP)
IGAs	Income Generating Activities
IP	Project Implementing Partner (FGB)
IUCN	International Union for the Conservation of Nature (Classification of Threatened species)
KBA	Key Biodiversity Area (IUCN criteria for identification)
M&E	Monitoring and Evaluation
METT	GEF PA Management Effectiveness Tracking Tool
MTR	Mid-term review (of the project)
NIM	National Implementation Modality
NP	National Park (a PA under varying levels of nature conservation)
NR	Nature Reserve (a PA under strict nature conservation)
PA	Protected Area (for biodiversity conservation – includes NPs and NRs)
PIF	GEF Project Identification Form (concept note application / approval)
PIMS	UNDP Project Information Management System (refers to project code number)
PIR	Project Implementation Report (UNDP reporting method to GEF)
PMO	Project Management Office (within Qinghai FGB)
PMP	Pasture Management Plan
PPG	GEF Project Preparation Grant to prepare the prodoc
prodoc	project document (for this project)
PRF	Project Results Framework (~logframe / Strategic Results Framework)
PSC	Project Steering Committee
QMQL	Qilian Mountains-Qinghai Lake landscape (a.k.a. the overall project area)
QMNP	Qilian Mountains National Park (Pilot, refers to the area inside Qinghai Province only)
QMNR	Qilian Mountains Nature Reserve
QLNP	Qinghai Lake National Park
QLNR	Qinghai Lake Nature Reserve
Quantum	UNDP management & tracking system
SFU	State Forestry Unit (a.k.a Forest Farm)
SFGA	State Forestry & Grassland Administration
SMART	Specific, Measurable, Achievable, Relevant and Time-bound (for logframe indicators)
SMART	Spatial Monitoring & Reporting Tool (wildlife / crime monitoring method used by rangers)
TE	Terminal Evaluation (of the project)
TYWPB	Two-year Work Plan & Budget (every two years)
UNDP	United Nations Development Programme (GEF Implementing Agency, member of PSC)
VAC	Village Administrative Committee (lowest level of government)
VPMC	Village project management committee
<b>Units</b>	m - million or meters; ha - hectare (100 m x 100 metres); 1 ha = 15 mu; 7.3CNY – China Yuan (RMB) ~US\$1;

## Executive Summary

The executive summary is a 11-page summary of the Terminal Evaluation (TE) report.

<b>Project Title:</b>	Strengthening the PA system in the Qilian Mountains-Qinghai Lake Landscape (CPAR3)		
<b>UNDP Project ID:</b>	5690	<b>PIF Approval</b>	Oct -16
<b>TF ID:</b>	9464	<b>CEO Endorsement</b>	Nov 18
<b>Country</b>	China	<b>Project Document (ProDoc) Signature</b>	Jan-19
<b>Region</b>	Asia	<b>Project manager hired</b>	Feb-19
<b>Focal Area</b>	Biodiversity	<b>Inception Workshop</b>	Jun-19
<b>Strategic Programs</b>	Biodiversity 1 – Improve the sustainability of PA systems	<b>Terminal Evaluation</b>	Sep-23
<b>Trust Fund</b>	GEF	<b>Operational Closure</b>	Jan-24
<b>Modality</b>	NIM		
<b>Executing Agency / Implementing Partner</b>	Qinghai Forestry and Grasslands Bureau (FGB)		
<b>Other Partners / Responsible Parties</b>	Qinghai Department of Finance (Co-financing Department)		
<b>Project Financing:</b>	<b>At CEO endorsement (USD)</b>	<b>Expected at Completion (USD)*</b>	
<b>[1] TF financing:</b>	2,652,294	3,196,619	
<b>[2] UNDP contribution:</b>	45,000	45,000	
<b>[3] Government:</b>	18,000,000	56,771,343	
<b>[4] Other partners:</b>	0	0	
<b>[5] Total cofinancing [2 + 3+ 4]:</b>	18,045,000	56,816,343	
<b>PROJECT TOTAL COSTS [1 + 5]</b>	<b>20,697,294</b>	<b>59,967,962</b>	

\*Actual expenditures and cofinancing contributions through to end October 2023 were: TF \$2,225,505; Government \$45,820,000; Total Co-financing \$45,865,000; Project total \$48,090,505

### Project Description

#### Project Description

The full-sized UNDP-supported, GEF-financed project was titled ‘Strengthening the PA system in the Qilian Mountains-Qinghai Lake landscape (China Protected Areas System Reform (CPAR) Program Child Project #3) (PIMS #5690)’. The project started in January 2019 and is due to close in January 2024.

#### Issues that the project was designed to address

Though Protected Areas (PAs) cover a significant area of Qinghai Province, major gaps remain in the coverage of important ecosystems, particularly in the Qilian Mountains Qinghai Lake (QMQL) landscape. For example, two of the ten WWF Ecoregions found in the province (Qilian Mountains sub-alpine meadows, and Qilian Mountains conifer forests), were not represented in the province’s PA system.

There are three nature reserves within the QMQL landscape, namely the Qilian Mountains Nature Reserve (QMNR), the Qinghai Lake NR (QLNR) and the Datong NR and one national park under development (the QMNP pilot). Protecting significant biodiversity in this landscape requires the implementation of a landscape approach to strengthen the effectiveness of the PA sub-system, including through strengthening legislation and institutional frameworks and identifying / establishing Ecological Corridor Areas (ECAs) to improve habitat and wildlife population connectivity of globally significant threatened species.

#### Project Location

The project was located in the Qilian Mountains-Qinghai Lake (QMQL) landscape. It spanned nine counties, including Gangcha, Gonghe, Haiyan, Huzhu, Menyuan, Qilian, and Tianjun. The project worked with PA administrations, State Forestry Units (SFUs), local government including village administrative committees (VACs) and communities.

## Project Management

The 5-year UNDP-GEF project was under National Implementation Modality (NIM), with the Qinghai Forestry & Grassland Bureau (FGB) as the Executing Entity and designated Implementing Partner (IP). The project was implemented by a Project Management Office (PMO), led by a Project Manager (PM), appointed by the UNDP / IP. UNDP and the FGB / PMO were supported by a Project Steering Committee (PSC).

## Purpose and Methodology

The objective of the Terminal Evaluation (TE) was to gain an independent analysis of the achievement of the project at completion, as well as to assess its sustainability and impact. The report focuses on assessing outcomes and project management. The TE additionally considered accountability and transparency, and provided lessons-learned for future projects, in terms of selection, design and implementation. The report is in six sections - introduction, description, findings, sustainability, impact and conclusions / recommendations. The findings (Section 3) are additionally divided into strategy and design, implementation and management, and results.

The overall approach and methodology of the evaluation followed the guidelines outlined in UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects (2020). The TE was an evidence-based assessment and relied on feedback from persons who were involved in the design, implementation, and supervision of the project.

The TE determined if the project's building blocks (technical, financial, management, legal) were put in place and then, if together these were catalysed sufficiently to make the project successful. The TE method was to utilise a 'multi-level mixed evaluation', which is useful when evaluating delivery of a new service or approach, being piloted through state institutions. The method allows for cross-referencing and is suitable for finding insights which are sensitive and informative.

The TE interacted with the PMO project staff, the UNDP Country Office as well as with the project executive (Qinghai FGB) and other stakeholders such as PA staff, and State Forestry Units (SFUs), regional and local government and community leaders and farmers. The TE visited the project area to interact with local administrators, technical staff and beneficiaries. Gaining a representative view from local stakeholders was not limited, although gaining access to the PAs and high altitude pastures was not really possible for such a short mission.

## Evaluation Ratings Summary

GEF UNDP projects of this type require the TE to evaluate the implementation according to set parameters and ratings. The summary ratings of this evaluation are presented:<sup>1</sup>

**Exhibit 2: TE Ratings Summary Table**

1. Monitoring & Evaluation (M&E)	Rating	2. Implementing Agency (UNDP) & Executing Entity (QFGB / PMO) Execution	Rating
<b>Overall quality of M&amp;E</b>	<b>MS</b>	<b>Overall quality of Implementation / Execution</b>	<b>S</b>
M&E Design at entry	MS	Quality of UNDP Implementation	S
M&E Implementation	MS	Quality of Execution – QFGB / PMO	S
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
<b>Overall Project Outcome (Objective)</b>	<b>MS</b>	<b>Overall Likelihood of Sustainability</b>	<b>MU</b>
Effectiveness of Outcome 1	MU	Financial resources	MU
Effectiveness of Outcome 2	MS	Socio-economic	MU
Effectiveness of Outcome 3	S	Institutional framework & governance	MU
		Environmental	MU
Efficiency	MS		
Relevance	S		

Ratings Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Highly Unsatisfactory (HU); For Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U)

A detailed summary of the project is presented below.

<sup>1</sup> The GEF methodology for the ratings is presented in Annex 9

### Exhibit 3: TE Ratings and Achievement Summary Table

Project: UNDP GEF Strengthening the PA system in the Qilian Mountains-Qinghai Lake landscape - CPAR Program Project #3 (GEF ID: 9464; PIMS ID: 5690)
<b>Achievement Description &amp; TE Rating</b>
<b>Outcomes/ Results</b>
<p>Overall Project Objective Achievement - The overall grading is <b>Moderately Satisfactory</b></p> <p><b>Objective: Effectiveness of the PA system in the Qilian Mountains-Qinghai Lake (QMQL) landscape to conserve significant biodiversity, including Snow leopard and Przewalski's gazelle (3 indicators)</b></p> <p>The overall grading is Moderately Satisfactory (MS). There were three indicators attached to the objective level which were all rated as: moderately satisfactory. The two key statistics were the expansion of PA estate with the establishment of QMNP, and the snow leopard detection rate in the project area.</p> <p><u>Number of project beneficiaries</u> (Indicator 1)</p> <p>The target (750) for PA competency training was exceeded with 1,001 personnel trained, but the percentage of women trained overall was 25%, or 33% if the original target of 375 women to be trained was taken as the marker. There were 5,752 direct beneficiaries from the project.</p> <p><u>PA system expansion with increasing coverage of Ecological Corridor Areas (ECAs) and Key Biodiversity Areas (KBAs) to improve habitat connectivity</u> (Indicator 2)</p> <p>Qilian Mountains Nature Reserve (QMNR) with 775,400 ha was expanded to become Qilian Mountains National Park (QMNP) with 1,583,900 ha [an expansion of 808,500 ha]. This was approved in January 2019 by the State Forest &amp; Grassland Administration under the QMNP Masterplan (Trial), and launched in June 2019, but remains under development.</p> <p>Qinghai Lake ECAs were established covering 38,846 ha in the form of: fence removal in Qiaofudan Village, Qieji Township (16,733 ha) and on Hudong State Farm (1,932 ha); and topwire removal on Hudong State Farm (20,162 ha). There were 577 households benefitting from compensation payments. The ECA management measures were: Co-management agreement signed with households to keep the fence permanently lowered or removed; Compensation payments of CNY4 / metre labour to remove topwire or fence, and CNY2 for provision of winter fodder; Seasonal rotational grazing between winter and summer pastures; and ECA area patrol.</p> <p>This was a key GEF Indicator. To note the PA expansion was a pilot or trial that also included the re-grading of strict nature reserve to national park, meaning less emphasis on wildlife conservation outside core areas. Also, the new boundary of QMNP failed to sufficiently include two areas of snow leopard habitat in the north of Qilian and Menyuan counties, both of which also lie within the Eastern Qilian Mountains KBA.</p> <p>The Qinghai Lake National Park (QLNP) Master Plan (2021) was prepared with the aim to expand the PA of Qinghai Lake Nature Reserve (QLNR) (4,952 km<sup>2</sup>) to become NP (29,265 km<sup>2</sup>). The newly planned area is expected to cover much more of Przewalski's gazelle habitat, however gazelle sub-populations exist far from the lake area. The project supported the preparation of the Przewalski's Gazelle Conservation Plan (2020).</p> <p>All these plans remain under development. In particular the QMNP Pilot was approved in terms of boundary just before the project started, and has not come into full operation for the five years since. Thus project / PMO and the FGB have had few staff from the QMNP (under national implementation) to discuss the GEF project design with, and in particular the inclusion of added snow leopard habitat at least as demonstration ECAs. This has meant that the technical landscape approach of the GEF project design was somewhat curtailed for this key conservation action. The QMNP Pilot boundary suggests that the project was not effective in creating the inclusion of the northern part of Eastern Qilian Mountains in the updated planning process. The QMNP Pilot mostly appears to cover forest areas, but lost the opportunity to include significant areas of alpine grassland, which is key for snow leopard and its prey species.</p> <p>There remained an issue concerning conservation zoning within the snow leopard landscape. QMNR was constructed of 7-8 separate blocks covering 775,400 ha, with a core zone of 230,100 ha. Its zoning included core and buffer zones and two ECAs to increase wildlife habitat connectivity. In the QMNP Pilot, these ECAs were partly included as core zone, but not completely. QMNP has just two types of conservation area: the core zone and the general control zone. The QMNP Master Plan mentions that wildlife corridors should be developed but only within core zones. It doesn't describe where added wildlife corridor sites should be, nor any linkage between its core zones, particularly in the northern areas of the Eastern Qilian Mountains KBA, where there is important known snow leopard habitat (including its prey species). These same project areas within the northern parts of Qilian and Menyuan counties didn't appear to be encompassed by the new boundaries of the QMNP, or if so, they remained as NP general control zone and not core zone or specific ECA-designated areas. The PIF project design document, indicated an area adjacent to the QMNR as potential PA expansion for snow leopard. This area inside the horseshoe shape of QMNP, was also not included in the QMNP Pilot.</p> <p><u>Status of threatened species</u> (Indicator 3)</p> <p>In the project area, the snow leopard detection remained about the same from 2017-20 at ~0.1 leopards / camera / month, however it was double this at 0.2 in its centralised distribution area. From 2016 – 23, the Przewalski's gazelle population in</p>

the Qinghai Lake areas increased from 1,468 to >3,000. For the snow leopard, it was positive that the species was being recorded, but the detection rate was one individual every 10 months per camera in the project area, which is difficult to estimate a population level. Snow leopard markings from their hind flank could have been utilized to identify individuals and therefore calculate actual numbers detected.

#### Effectiveness – Outcome 1 Achievement - **Moderately Unsatisfactory**

##### **Outcome 1 - PA system recognizing connectivity and KBAs and then mainstreamed into provincial planning** (3 indicators)

The expected result from Outcome 1 was a legal and institutional framework for the management of QMQL landscape strengthened through: Regulations for wildlife conservation and PA management recognizing KBAs; and a consolidated QMQL landscape conservation plan mainstreamed into the 14<sup>th</sup> Five Year Plan (FYP).

The overall grading is Moderately Unsatisfactory (MU). There were three indicators attached to the Outcome 1 level which were all rated as: moderately unsatisfactory (MU, 2), and satisfactory (S, 1). The indicator rated as satisfactory was for the development and delivery of training especially for conservation practitioners. Two indicators were rated as MU, because the the QMQL landscape biodiversity conservation strategic action plan (BCSAP) was not comprehensive, and because the ECAs / KBAs were not really adopted as part of the legal framework, for example within the QMNP plan.

##### Legal, policy and institutional frameworks for biodiversity conservation (Indicator 4)

The targets were to provide: a QMQL landscape BCSAP, which would be adopted and mainstreamed into 14<sup>th</sup> FYP; and regulations for PA management recognizing KBAs.

The project report on biodiversity protection spatial gaps for key species such as snow leopard and gazelle was useful, and set the scene. It indicated that the QMQL landscape is ~65,000 km<sup>2</sup>, with the area suitable for snow leopard as 6,600 km<sup>2</sup>, but despite this the QMNP presently covers ~2,900 km<sup>2</sup> of snow leopard habitat (44%), which was considered insufficient for the survival of the species. However thereafter, the BCSAP appeared topdown in re-iterating national policy, and not really promoting new key areas to come under conservation management, especially for snow leopard. It was written as a consultant report and not as a key government document that was promulgated.

Whilst aspects of the QMQL landscape BCSAP were mainstreamed into the 14<sup>th</sup> FYP, the report itself was not a full plan. KBAs were not fully recognised but in some cases were partly enclosed within new national park boundaries. More than 70 policy recommendations were made by the project and presented.

##### Institutional capacity for PA management (Indicator 5)

The institutional capacity for PA management for Qinghai FGB Wildlife Conservation Division improved (UNDP Capacity Development Scorecard)

##### PA system financing gap (Indicator 6)

The QMNP Pilot was not fully funded for five years during the project, which indicated that PA financing was insufficient. This would also suggest that biodiversity conservation financing is still not high enough on the political agenda of Ministry of Finance (MoF) / Department of Finance (DoF) agenda, despite the QMQL landscape being such an important area for wildlife and ecosystem services.

#### Effectiveness - Outcome 2 Achievement - **Moderately Satisfactory**

##### **Outcome 2 - Strengthened management of the expanded PA sub-system in the QMQL landscape** (3 indicators)

The overall grading is Moderately Satisfactory. There were three indicators attached to the Outcome 2 level which were rated as: satisfactory (2); and moderately unsatisfactory (1). Outcome 2 was expected to reduce threats to biodiversity, through: (a) 20,000 ha of degraded grasslands restored through participatory management; and (b) 60,000 ha of habitat under improved management. For the latter (b), the design was to: Create conservation set asides within pastures used by livestock herders - aimed at reducing snow leopard prey depletion due to high livestock numbers in their place (in the Qilian Mountains NR); and To remove fences to reduce the fragmentation of gazelle habitat (in the Qinghai Lake NNR). These actions were under Indicator 8, which was rated as MU. The main issue was that a reduction in livestock grazing density was not part of any clear agreement and was voluntary, so it could return to former levels after the project. Also the figures for differentiating between total fence removal and topwire-only removal for gazelle areas indicated that of this area of 38,846 ha, 20,162 ha (or 52%) were only for the removal of a topwire, so fragmentation and habitat restriction remained especially affecting breeding and juvenile gazelle.

##### Protected area management effectiveness score (Indicator 7)

The GEF Management Effectiveness Tracking Tool (METT) targets were achieved for both Qilian Mountains NR and Qinghai Lake NNR.

An improved patrolling regime was created, which was based on improved data collection with pro-forma templates, using mobile phones and an app. The SMART patrol system enabled improved patrolling with routes, data logging, and the collection of camera trap data (from the fixed camera data cards). If the cell tower network was sufficient, then the cameras could also be fitted with SIM cards for telemetric data transfer, which would provide real-time information, as opposed to standard data card collection while on patrol. However batteries, which can last 4-6 weeks would still have to be changed periodically.



What was not clear in the project's SMART system, was the collation and storage system for the data, its analysis and who would undertake the management of this. For example the app had been designed with basic functions, but had yet to be developed to the level of software coded for analysis or compilation of analysed data. The subsequent use of this data was also unclear, and whose responsibility to make management decisions based on it were also very unclear. There was no protocol on data collation, storage, analysis and conservation decision-making reporting, between the QMNP (under SFGA management), and the Qinghai FGB (with provincial responsibility for biodiversity conservation, and existing management of the ranger protection stations within the new QMNP area).

#### Reduced threats to biodiversity (Indicator 8)

(a) The area of degraded grasslands restored through participatory management was 18,321 ha against a target of 20,000 ha. This pasture restoration measure was mainly through the closure of pasture areas (18,000 ha for one year) within a state farm, which was government co-financed.

(b) The area of habitat under improved management was 82,660 ha against a target of 60,000 ha. The main activity was fences or fence topwire removal for gazelle covering 38,847 ha with payment for the activity. The other areas were supported by voluntarily reduced sheep numbers, with compensatory incentives provided such as: fodder threshing machines, supply of winter fodder; water supply for wildlife and livestock. Whilst the level of sheep grazing reduction was reported to be 180 sheep / year / household, this statistic could not be verified. From the 82,660 ha, only 13,000 ha were for livestock grazing density reduction in the Qilian mountain areas, where the important snow leopard – prey relationship was paramount, as well as the need to improve degraded alpine pastures for ecosystem services.

The project conflated lowland pasture under fencing, with alpine open pasture. The issue of mis-understanding (in GEF project designs) between lowland (winter pasture), midland (spring pasture) and alpine (summer pasture) is common, and affected the design and implementation of this project that needed to focus on such upland pasture (meadow) protection for wildlife and ecosystem services. The project missed an opportunity to conduct a significant conservation intervention for the habitat of snow leopard, but was more successful in lower grasslands with Przewalski's gazelle conservation.

#### Advances to collaborative PA governance (Indicator 9)

The project undertook a number of integrated conservation and development activities, mainly for seven villages, and grouped them together under the title of 'pasture management plans' (PMPs), however the changes in pasture management regimes were voluntary and based on reward for receiving project inputs as compensation or alternatives, such as new income-generating activities (IGAs). The permanence of the 'project-indicated' voluntary reduction in livestock numbers, appeared anecdotal and was difficult to verify.

The project developed an eco-compensation insurance scheme for the damage due to human-wildlife conflict (HWC). An insurance company was engaged by the project to pay compensation on claims. This also fostered stronger herder support for the conservation of wildlife, and was a successful innovation by the project.

#### **Effectiveness - Outcome 3 Achievement - Satisfactory**

##### **Outcome 3 - M&E, knowledge management, and social inclusion (2 indicators)**

The overall grading is Satisfactory. There were two indicators attached to the Outcome 3 level which were both rated as: satisfactory. The indicators concerned the transfer of project conservation knowledge and the measuring of this. The training data indicated a significant amount of time was spent undertaking various training events.

#### Knowledge management (Indicator 10) and Knowledge, attitudes and practices (KAP) of stakeholders (Indicator 11)

Six lessons learned were completed and will be published in the Journal of Qinghai Forestry Society. PA personnel and community members were assessed through KAP surveys, which reported an improvement in the former, but not in the latter.

#### **Efficiency**

##### **Efficiency Rating – Moderately satisfactory**

Whilst there was a reasonable budget which was utilised fairly effectively, there was a very high emphasis on training events. An issue with the design was that most of the project's key interventions were crammed into Outcome 2, and whilst there was a high level of input and activities within this outcome, the long-term tangible results for wildlife conservation were less definitive or demonstrated to be effective. The project seemed constrained in legal terms by the establishment of the QMNP Pilot which was approved but lacked an overall administrative body to talk to, but rather administrative jurisdiction for conservation was strengthened between a number of allied government offices.

#### **Relevance**

##### **Relevance Rating –Satisfactory**

The measures were required under the UN Convention on Biological Diversity (CBD, 1992), of which China became a member in 1993. The project was designed to address Aichi Targets 5 and 11, concerning loss of habitat and PA expansion and connectivity. The expected outcomes were directly linked to GEF-6 Focal Area - Biodiversity - 1 – Improve sustainability of PA systems (Financial sustainability & effective management; and Expansion of the PA estate). The project also remained relevant, for example in supporting two threatened species action plans, that of snow leopard and Przewalski's gazelle. The

project design remained highly relevant.

### Ownership

Whilst the ownership of the interventions with communities was very high. The ownership by government of the project's legal recommendations and update of legislation was variable. Government plans on a higher-level included biodiversity mainstreaming aspects, but too much emphasis was put on this, and not enough on the habitat management needs of key wildlife within the QMNP and adjacent key habitat areas. The project's main vehicle to approach this was the QMQL BCSP, but it turned out to be a re-iteration of the Qinghai's biodiversity plan, without substance or following on from the project's spatial gap analysis for snow leopard in particular. As a result, the project worked much more with communities in the lower lands, in providing compensatory measures for improved gazelle conservation.

The collaborative link with QMNP administrators at national level and FGB at the Qinghai Province level was not evident, with both appearing to be running on different tracks. This appeared to be an institutional issue. The fact that QMNP remained 'on paper' for the project's five years made this seem all the more poignant. The lack of emphasis on the FGB's snow leopard action plan added to this feeling.

However, as part of the implementing the QMNP pilot plan, Qinghai government designated a number of responsible bodies to work together: QMNP Management Bureau; Haixi Prefecture Work Coordination Office; Haibei Prefecture Work Coordination Office; four FGB county management bureaus; nine management centres; 40 protection stations; and the QMNP Service Guarantee Centre.

### Implementation - Execution

Implementation – The overall rating is **Satisfactory**.

**Project Implementation:** According to the given five categories - coordination & operational matters, partnership arrangements & stakeholder engagement, finance & co-finance, M&E systems (see next), and adaptive management (work planning, reporting & communications). The overall quality of implementation / execution was rated as Satisfactory, with both the quality of UNDP Implementation and PMO Execution rated as Satisfactory.

#### Coordination & Operational Management

UNDP were the GEF Implementing Agency (IA). The Qinghai FGB were the Executive and Implementing Partner (IP). Qinghai FGB designated a national project coordinator to formally work with the PMO, and chair the Project Steering Committee (PSC) meetings. The project was signed in January 2019, with the first PSC meeting held in June 2019. Further meetings were held in September 2020, January 2022, and April 2023

#### Coordination & Operational Management by Implementing Agency (UNDP)

A project appraisal committee meeting was held in December 2018. The meeting approved in principle the prodoc and SESP. An Inception Workshop was held in June 2019 together with the 1<sup>st</sup> PSC meeting.

#### Coordination & Operational Management by the Implementing Partner (FGB / PMO)

The project was under National Implementation Modality (NIM), with Qinghai FGB as the Executive, with fund provision controlled by the Qinghai Department of Finance (DoF). The project was managed by a Project Management Office (PMO), under the direction of the Qinghai FGB Project Service Centre (under Qinghai FGB)

In 2022, the PSC appeared to indicate that existing development planning would take precedence over Ecological Corridor Areas (ECAs) and Pasture Management Plans (PMPs).

Staff turnover occurred both in the PMO and within the QFGB. The Project Manager changed twice in 2019. The NPD changed in September 2020, and deputy director of the FGB Project Service Centre changed in 2021. The DoF coordination office responsible person changed three times.

Whilst, the PMO was staffed and local coordination methods were established, in order to achieve a significant number of outputs under a limited timeframe, the PMO also needed to contract out services to sub-contractors and consultants. This affected for example, the PMPs in terms of approach or lack of, towards grazing control.

The FGB has only had responsibility since 2019 for grassland (pasture) ecosystem monitoring, and this project was effectively its first test of how to create wildlife conservation measures in livestock-dominated high-altitude pasture.

#### Partnership Arrangements & Stakeholder Engagement

Prior to 2019, grassland management was the responsibility of the Animal Husbandry Bureau and pasture was used solely for economic production, with livestock carrying capacities developed for differing grassland types. After 2019, grassland management was transferred to the FGB, which came into being (after formerly being the Forestry Bureau).

It was noted during the first PSC meeting (June 2019) that the project was aligned with the government project – 'Construction of QMNP as the key body for the PA System Demonstration Province' which was jointly launched by SFGA and Qinghai FGB a week before the 1<sup>st</sup> PSC meeting. However this body was largely absent throughout the project period, although it had been officially formulated.

#### Women's Empowerment

The project was UNDP-rated as having 'gender equality as a significant objective' (UNDP Marker – GEN-2). The project reported that women represented 50% of the membership in the nine project pilot Village Project Management Committees (VPMC).

#### **Financial management & finance**

The prodoc was signed in January 2019 by International Finance Department, Ministry of Finance; Qinghai FGB; and UNDP. Fund release by UNDP was to MoF in the first instance which was an added layer of bureaucracy. The PMO established a coordination mechanism with the Loan Office of Qinghai DoF. Project implementation and fund disbursement followed a Two-year workplan & budget (TYWPB) system, within which quarterly workplans were prepared and co-signed by UNDP and the NPD. Fund use was supervised by UNDP, the Qinghai FGB Service Centre and the Qinghai DoF Project Coordination Office (PCO). Disbursements and financial statements were quarterly reported to UNDP and DoF PCO, with invoices, contracts, and related financial documents

According to UNDP procedures, the balance of advanced grant should be returned to UNDP at the end of each year. Whilst the PMO returned funds (US\$0.4m in 2021-22) using the UNDP FACE system, the returns were not recorded by MoF / Qinghai DoF finance system, despite being a signatory to the FACE forms. Qinghai FGB and Qinghai DoF have subsequently indicated that US\$280,000 will be applied to the system in 2024, with the remaining US\$120,000 to be further discussed. The average time taken to reconcile each FACE certificate was ~6 weeks.

Three external audits, and one UNDP financial check were undertaken, without any major issues identified.

The level of government in-kind co-financing to date was indicated to be US\$45.9 million, with US\$56.78 million expected by project close, which was considerably more than the \$18 million promised at project endorsement stage, however these figures were not verified.

#### **Adaptive management**

There were five two-year workplans & budgets (TYWPBs, 'workplans') produced, which were signed by UNDP and the FGB. They covered 2019-20, 2020-21, 2021-22, 2022-23 and 2023-24. Four Project Implementation Reviews (PIRs) were produced: To end-June 2020, end-June 2021, end-June 2022, and end-June 2023. The project's (PMOs) also undertook two-month meetings with UNDP in the first year of the project, which moved to become more ad hoc later in the project cycle.

Covid had an impact on the project for a total period of ~18 months. Whilst meetings between UNDP and PMO were more easily moved on-line, field work was hampered.

#### **Monitoring & Evaluation**

**M&E Systems** – The M&E system design and the implementation of the M&E system was rated as **Moderately Satisfactory**.

##### M&E at Design Stage

The M&E plan was presented in the prodoc with a budget of \$169,000

##### M&E Implementation

The MTR (November 2021) UNDP Management Response included three key requirements

- To make an assessment on whether the provincial programs in the two PAs clearly provide the project with the intended strategic ecological direction; to work on a strategic plan identifying the integrated landscape development direction required in the prodoc
- The PMO / CTA will work with FGB technical staff, to develop an ECA plan with a more clear objective to reduce the fragmentation of wildlife habitats in the landscape
- The PMO will urge the PMP subcontractor to submit the drafts by the end of 2021, and will review them based on the expected design in the prodoc

These three requirements were important, but not fully undertaken during the last two years of the project. In the first case, the QMQL BCSAP became a more of a summary document reiterating higher level plans, rather than providing the strategic direction for government. In the second case, there wasn't a clear ECA plan prepared, and in the last case, three years into the five year project, the PMPs were still being prepared. When they were reviewed by the TE, they lacked any clear commitments to reduce grazing pressure (location or timing), or be linked to ECA areas for example.

#### **Sustainability**

**Sustainability:** According to the four GEF risk categories (financial, socio-economic, institutional & governance and environmental), present status, and towards the future is assessed.

**Overall Rating: Moderately Unlikely**

##### **Financial Risks to Sustainability**

The rating is 'Financial Sustainability is **Moderately Unlikely**'

With the development of QMNP, part of the operational financial responsibility for this PA is to be taken up nationally, but had not been realised over the 5-year period of the project, thus the TE would suggest, that the PA financing gap has not actually been filled. The QMQL landscape BCSAP was expected to be supported by a sustainable financing plan, however under the latter, the timing and source of funds for QMNP was not clear.

Nearly all of the co-financing funds were in-kind and mostly recurrent, with only \$1,46m expected as cash co-financing by project closure.

#### **Socio-Economic Risks to Sustainability**

The rating is 'Socio-economic Sustainability is **Moderately Unlikely**'

The fodder field intensification intervention appeared quite successful and was being expanded which would support 'better' livelihoods (less livestock in degraded open pastures, and less labour needed to manage them).

The Tibetan sheep breeding activity was also successful in significantly reducing time to open-graze / fatten the lambs, thus reducing production costs. This included training for >400 herder families. The project invested in equipment for livestock keepers in the form of fodder threshing machines, and water wells.

The community ranger system in the QMQL landscape was expected to continue to provide financial benefit to communities and to conservation. The provision of winter fodder after the project was undetermined.

In terms of HWC, livestock loss from wildlife predation by bear, wolf and snow leopard was addressed through an innovative eco-compensation insurance scheme funded by government.

#### **Institutional Framework & Governance Risks to Sustainability**

The rating is 'Institutional & Governance Sustainability is **Moderately Unlikely**'

The project allocated substantial resources for capacity development, with a target to train 750 PA personnel. Moreover, the design was specific in two aspects, firstly to create a professional competency-based training system for PA staff, and secondly to add to this by leading a 'training of trainers' course module. Both of these interventions provided support towards institutional and governance sustainability.

In the Qinghai Lake landscape, there are a large number of wind turbine farms within the gazelle meadowlands. At present, the governance decisions made by the authorities don't include easement funds for conservation, only a one-off payment to herder families of ~\$1,600 for each turbine on their land. Clearly this is a conservation governance and legal omission in not requiring the power-generating companies to establish or pay into a conservation trust fund. Value-based eco-compensation mechanisms were part of the project design, but engaging private large infrastructure companies generating significant profits were missed from the design, and an opportunity lost.

#### **Environmental Risks to Sustainability**

The rating is 'Environmental Sustainability is **Moderately Unlikely**'

One of the assumptions in the Theory of Change was that the sustainability of effective PA management was intrinsically connected to the participation of herders and that the achievement of conservation objectives required their support, in addition to the existing community ranger program. However, whilst herders were provided compensatory support and in turn supported the project, they were not required by local government or the project to formally reduce livestock numbers within the fragile alpine and sub-alpine summer grazing meadow lands / pastures.

The SMART patrol system significantly added to conservation efforts, initially in terms of added impetus for PA rangers who were providing modern digital equipment to undertake their wildlife protection work. However the data being generated was not being analysed for wildlife management, and a responsible party or protocol is needed. This should be part of an institutional change / mandate of the FGB Wildlife Division.

#### **Impact**

The impact of the project was difficult to determine, but not considered significant at this stage.

##### Reduction in stress on ecological systems

Many of the inputs were training events and a number of the activities to reduce grazing pressure were based on temporary compensation (e.g. provision of winter fodder, payment for fence removal) with voluntary reduction in livestock grazing on high altitude pastures. Furthermore, the project 'estimated' and not counted the reduction in grazing pressure and there was no mention of reduced grazing numbers in the PMPs. Of the 60,000 ha planned for habitat improvement only ~13,000 ha was in the Qilian mountain pastures.

##### Regulatory & policy change

The awareness by the FGB to monitor pasture health and livestock quota numbers seemed low, and was without a responsible division or mandate with budget to do so.

The development of QMNP and Qinghai Lake National Park master plan were two major changes. There were also two species specific action plans, namely for snow leopard and Przewalski's gazelle. However, all these plans have yet to be adopted or implemented.

##### **Catalytic Effect**

The prodoc included a problem-tree analysis for logframe design. Some of the direct threats listed were: Overgrazing causing habitat degradation; Excessive livestock causing wildlife prey depletion (e.g. deer, blue sheep for snow leopard); Livestock death by wildlife; and Habitat fragmentation due to fences (Qinghai Lake gazelle areas). The three results aimed for were:

Threatened species protected; Threatened ecosystems / KBAs protected; and PA system to be benefit-sharing with resilient communities. The TE constructed a new simplified Theory of Change logic model (see main report text)

#### Scaling-up & Replication

The prodoc presented a vision of the project's expected replication which included: Demonstration of ECAs contiguous with the Qinghai NR for gazelle habitat; Conservation financing mechanisms for communities / herders which can be scaled up; Eco-compensation mechanism for livestock farmers in the Qinghai Lake area; and Strengthened collaborative partnerships, between institutions and civil society

There were a few examples of scaling-up and replication which included: Tibetan sheep breeding project; Ecotourism demonstration; and the Lowland grassland improvement through grass re-seeding

#### Demonstration & New technologies / approaches

The examples included: PMPs; Compensatory payment for fence removal for gazelle; - SMART patrol system with mobile app; HWC Insurance payment mechanism; and the Tibetan sheep breeding to reduce the lamb fattening period

## Analysis & Conclusions

### Project design

According to the prodoc, the specialised (or niche) aspects of the project included: collaborative PA governance, establishment of ECAs, participatory PMPs, value-based eco-compensation, volunteer management and tourism partnerships. These activities were expected to become models that could be scaled up across the landscape and Qinghai province. The project was expected to engage in best practice on social inclusion, strengthen community engagement, with broader participation of women and ethnic minorities. It was also expected to increase awareness on the value of the NP system and explain how management of the NP system would impact communities.

### Policy

China's government has a history of major environmental / ecological decisions, such as the prohibition of logging in both state and collective forest, which continues and has been added to in terms of public welfare forest.

Concerning high altitude meadows and pastures, the policy direction has been less forceful. The change of SFA to SFGA is a positive change in the right direction. However, despite *de jure* policy and regulation indicating PAs are 'protected', *de facto* livestock grazing continues. To make community agreements to allow limited grazing with continued 'user rights' would go against this *de jure* situation. The alpine pastures need livestock reduction, bearing mind the high importance of the area to ecosystem services (Three rivers source for example).

Such environmental measures have been enacted in China in the past, especially the Natural Forest Protection Program (NFPP) in forest closure, as mentioned, but the present grassland / water resources management (for climate mitigation – carbon sink and provision of ecosystem services – water supply) still lacks behind in these terms. The project was an opportunity to present this change. Compensation for the government's 'Grain to Green' program has also been successful, but there was no evidence of alpine meadow land being taken out of production or any similar scheme proposed for such a key ecological – environmentally sensitive area in China.

Moreover, it is commonly the case that herders who graze livestock in upland / alpine pastures, lack sufficient lowland grazing land. Thus the project activity to support lowland pasture intensification was good, but the alpine herders can become further marginalised.

### Implementing Partner - Qinghai FGB / PMO

The FGB did not really utilise their new status or power, but rather relied on awareness to direct change. The PMO appeared to shy away from clear ECA direction or BCSAP development, and only produced a short directional strategy document, not a major action plan endorsed by government (i.e. stamped to become policy). This should have been one of the major outputs of the project.

The FGB leadership in conservation and climate change mitigation should have been stronger. E.g. guaranteed reduction in livestock numbers, altered pasture opening / closing dates, with scientific surveys on pasture health. Saving a few gazelle in lowland areas of Qinghai Lake landscape was not sufficient for the project.

### QMNP Pilot

The government has been somewhat passive. It designed the QMNP as a pilot, but didn't change meadowland use for the greater benefit of wildlife or people (climate change). The provincial organs remained mainly as administrators following a top-down approach, and lacked clear initiation of these needed changes. E.g. QMNP Pilot was approved at the same time as the project started, despite the relevant decision-makers being part of the prodoc design process for 2-3 years beforehand, the QMNP plan followed existing government policy and lacked ECAs or strong inclusion of a key KBA. Thus the project appeared somewhat excluded from the QMNP

development.

The QMNP needed to be put into operation with linking-up of its new horseshoe shape, and the inclusion of a greater proportion of the Eastern Qilian Mountains KBA northern parts, where the sub-alpine meadows lie. The basics of wildlife conservation demonstrate that the greater the ratio of conserved area to length of boundary, the greater the survival of wildlife. Thus the QMNP with its long thin strip and an added horseshoe shape was not the best for conservation, and appeared to be based on settlements and grazing rights, and only thereafter considering conservation needs. The Eastern Qilian Mountains KBA's northern part was an obvious choice for the project to work on grazing control, with PMP production, and to identify a long-term conservation incentive or subsidy.

The MNR / SFGA decision one week before project start to designate the Qilian Mountains NP Pilot without including sufficient new key snow leopard habitat and extensive sub-alpine grassland areas, as core or ECA was difficult to understand and appeared political. Furthermore, it undermined the ability of the project to propose effective new conservation areas for snow leopard and its prey, which was one of the key tenets of the project design. The understanding of snow leopard populations and prey dynamics remained poorly understood. The project also had to grapple with the QMNP Pilot launch just before project inception, but with the QMNP not having a functioning over-arching operating unit or management authority (as it was in development phase). This was a major constraint and the advantage to all (including wildlife, ecosystems, and people) has yet to be seen.

The PSC asked the PMO asked to align with 'Building a new highland for Qinghai-Tibet Plateau ecological civilization', 'Qinghai's ecological protection strategy', and the goal on creating a 'National Park Demonstration Province'. However, it was not clear that the PSC really understand that the project was stifled from doing so in not being able to work with or in the QMNP.

#### ECAs

FGB / PMO didn't appear to work together on the higher provincial government levels to clearly present the conservation needs / changes needed according to the prodoc. E.g. The ECAs just got lost in the definition of QMNP, and with its horseshoe-shape just not joined up, to make a continuous corridor for wildlife. Seeing the status of the ECAs within or adjacent to QMNP would have been instructive. ECAs were mapped within QMNR Master Plan, however, they were only partially absorbed into core areas under the QMNP Pilot's new internal boundaries. These gaps should have been proposed as ECA, with recommended conservation actions, at least as a demonstration in practice (*de facto*), even if legally (*de jure*) not possible.

#### PMPs

The PMPs didn't address grazing pressure directly. The PSC direction was for the PMPs to follow existing planning, thus with existing grazing rates, and pasture closure times remained unchanged. The PMPs lack any discussion on the substitution / incentive / compensatory mechanisms being undertaken. E.g. providing threshers for fodder production in return for reduced livestock numbers grazing. In fact, there is no mention of reducing livestock. The prodoc design gave too many lesser alternatives to try, which the project then followed.

In the Qilian mountains, the decision to base the two herder PMPs on two villages and not incorporate the two ranger protection stations of Laohugou and Liuhuanggou was a lost opportunity. This was not least because their grazing areas (partly) lie within the new QMNP boundary. The project should have developed a different demonstration here with stronger livestock control, bearing in mind the positive effect of employing herders to be rangers for alternative income sources. Ecosystem health and conservation value (with predator – prey relationships and habitat in these locations - with snow leopard – blue sheep / deer for example) should have been at the forefront of these two PMPs.

Despite the massive effort of the project to engage in voluntary change (which has no future guarantee), a major GEF / government opportunity was largely missed for a key ecological / environmental area to move towards sustainable management.

#### Habitat enhancement

In the Qinghai Lake landscape, topwire fence removal as habitat improvement for gazelle was a limited action in conservation benefit terms. The Qilian Mountains landscape, only accounted for 13,000 ha of this planned 60,000 ha for habitat enhancement, in terms of reduced grazing in return for fodder threshing machines, and winter supply of fodder. The project appeared to focus more heavily on gazelle in the Qinghai Lake area, and less so on snow leopard in the Qilian Mountains, especially in terms of measurable tangible benefits for their conservation.

#### Training / Awareness

There was a significant effort and focus on training and awareness with voluntary agreements (which was successful). However this was at the expense of guaranteed long-term change. E.g. grazing reduction was in part



based on compensation, such as the project providing free fodder. Thus post-project, grazing numbers could return to the previous levels.

GEF incremental change for the provision of significant cash funds was for significant long-term (permanent) biodiversity conservation improvement. The project hasn't guaranteed this, but tried to provide alternatives / compensation, some of which may be sustainable due to changes in farming practices and livelihoods. However here, the project lacked guarantees against future human greed or welfare needs which would reverse the good work.

#### SMART patrol

The SMART patrol system was successfully introduced with a mobile app for patrol survey reporting, and with added wildlife cameras and other equipment. However, the system was not sufficiently developed. There was a vacuum on data collation, analysis and decision-making feedback.

#### Rodents

The issue of rodent (pika, marmot) damage to the pastures was highlighted. However the basic reason is a high-density of livestock causing a lack of a wildlife predators for the pika and marmot. In turn, this is causing an increase in unpalatable plant species in the pasture. This situation has to be reversed. The only sensible solution is to reduce livestock pressure (number and seasonal timing – especially making the pasture spring opening times later in the season to allow predators to feed and breed themselves), allowing natural wildlife predators to return.

## **Lessons Learned**

The QMNP development was called a 'pilot' or 'demonstration', but it was confusing in that a boundary was delineated, but for five years, there wasn't a consolidated operating unit or overall management authority put in place to actually demonstrate what it was trying to achieve. However, the GEF project was supposed to be such a demonstration in wildlife, habitat and ecosystem protection terms in the same area, but due to the QMNP boundary delineation, it was rather precluded from using any of their major conservation design tools, such as ECAs or including KBAs in their plans. This would have been particularly useful in areas where proposed core areas of the QMNP still didn't link up, in being zoned for general conservation status within the boundary. Thus it appeared that the project was directed towards being a conservation training and awareness project, but excluded from key conservation actions within the new QMNP area. Therefore, the project worked as a fairly standard integrated conservation and development project with a high emphasis on training and awareness inputs, but then lacked the follow through into tangible conservation benefits in terms of its outputs and expected outcomes. This meant that the impact of the project for the GEF conservation habitat co-management incremental returns was difficult to measure.

Moreover, the lessons learned concerning co-management of PAs now need distilling, including the long-term conservation expectations in return for the compensatory animal husbandry interventions. This was particularly the case for the role and supervision of the PMPs, and their needed linkage to reduction in livestock grazing numbers. To date the PMPs lack a guaranteed reduction in livestock numbers in the alpine and sub-alpine pastures. The PMPs were also agreed too late in the project term to effectively monitor any changes, or put in place a more specific surveying approach to pasture vitality set against temporary closure from and /or rotation of livestock.

The lessons concerning the removal of gazelle habitat fence or topwire, and its benefits also need distilling. There was a clear difference between the approach trialed for the Hudong state sheep farm with one-year closure and fence topwire-only removal, against the villagers' three-year closure and complete fence removal.

## **Recommendations**

### **Exhibit 4: Key Recommendations Table [with responsible entity] (timeframe)**

1. There is a need for a protocol on SMART patrol data collation, storage, analysis and reporting of the analysis, including for data collected from the wildlife cameras. The protocol is needed between the Qinghai FGB (with its key ranger protection stations) and QMNP (under SFGA management). The protocol should outline a staffing mandate within the FGB Wildlife Division and key information needs for wildlife conservation and upland pasture ecosystem health monitoring. (FGB / PMO] (6 months)
2. The functions of the mobile phone SMART patrol application (app) need a technical assessment to see if

its app functions accommodate priority conservation needs, especially for key threatened species such as snow leopard. Thereafter the software company involved, will need a short contract addendum to finalise any software coding needed to achieve this end. [FGB / PMO] (12 months)

3. There is a need for a Qinghai PMO / FGB workshop with MNR / SFGA on project findings with respect to QMNP and QLNP development. (This should not be a presentation of project inputs (training / awareness), but discussion themes centered around wildlife habitat needs, legal gaps, co-management with county government, and pasture livestock number control in key alpine pasture locations, such as snow leopard habitat. The output of the workshop should be a Minutes of Meeting list of key wildlife conservation actions to be taken with a timeframe, including (i) list of key recommendations for QMNP; and (ii) list of key recommendations for QLNP [Qinghai FGB] (6 months)
4. All latest provincial and project snow leopard data in the QMQL landscape to be collated and re-assessed, including the report of protection gaps by China Academy of Sciences, with data and recommendations reported. Then Snow leopard action plan to be updated and presented to SFGA (FGB] (6 months)
5. The government on-going study of gazelle to report before end of project and present to a workshop. The study should include the impact (if any) of fence topwire removal in Hudong State Farm, compared with complete fence removal in village areas [FGB] (6 months)
6. Handover of supervision of PMPs to county government, with an annual reporting requirement [responsible county governments and FGB] (3 months)

## **Full report**

# **1. INTRODUCTION**

## **1.1. The project**

This document is the Terminal Evaluation (TE) of the full-sized UNDP-supported, GEF-financed project titled 'Strengthening the PA system in the Qilian Mountains-Qinghai Lake landscape (China Protected Areas System Reform (CPAR) Program Child Project #3 (PIMS #5690)'.

The project started in January 2019 and is in its 5<sup>th</sup> year of implementation. The 5-year UNDP-GEF project was under National Implementation Modality (NIM), with the Qinghai Forestry & Grassland Bureau (FGB) as the Executing Entity and designated Implementing Partner (IP). The project was implemented by a Project Management Office (PMO), led by a Project Manager (PM), appointed by the UNDP / IP. UNDP and the FGB / PMO were supported by a Project Steering Committee (PSC).

## **1.2. Purpose of the evaluation and report structure**

### **Purpose & Structure**

The objective of the Terminal Evaluation (TE) was to gain an independent analysis of the achievement of the project at completion, as well as to assess its sustainability and impact. The report focuses on assessing outcomes and project management. The TE additionally considered accountability and transparency, and provided lessons-learned for future projects, in terms of selection, design and implementation. The report is in six sections - introduction, description, findings, sustainability, impact and conclusions / recommendations. The findings (Section 3) are additionally divided into strategy and design, implementation and management, and results.

## **1.3. Scope and Methodology**

### **Approach**

The overall approach and methodology of the evaluation followed the guidelines outlined in UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects (2020). The TE was an evidence-based assessment and relied on feedback from persons who were involved in the design, implementation, and supervision of the project. The TE team reviewed available documents (**Annex 7**), conducted field visits and held



interviews. The international TE consultant was the evaluation team leader and responsible for quality assurance and consolidation of the findings, and provided the TE report.

The TE was conducted over the period of July – December 2023, including preparatory activities, inception report, document provision, desk review, field mission with stakeholder consultation (August – September 2023), and completion of the TE report.

## Methods

The TE determined if the project's building blocks (technical, financial, management, legal) were put in place and then, if together these were catalysed sufficiently to make the project successful. The TE method was to utilise a 'multi-level mixed evaluation', which is useful when evaluating delivery of a new service or approach, being piloted through state institutions. The method allows for cross-referencing and is suitable for finding insights which are sensitive and informative. The rating scales are provided in **Annex 9**. Pro-forma questions on key themes such as those provided by the UNDP GEF guideline were updated by the TE (**Annex 12**).

## Main partners and Stakeholder feedback

The TE interacted with the PMO project staff, the UNDP Country Office as well as with the project executive (Qinghai FGB) and other stakeholders such as PA staff, and State Forestry Units (SFUs), regional and local government and community leaders and farmers. The TE visited the project area to interact with local administrators, technical staff and beneficiaries. Gaining a representative view from local stakeholders was not limited, although gaining access to the PAs and high altitude pastures was not really possible for such a short mission. **Annex 6** provides a list of persons met and **Annex 10** is the mission schedule.

## Ethics

The review was conducted in accordance with the UN Ethical Guidelines for Evaluators, and the reviewer signed the Evaluation Consultant Code of Conduct Agreement (**Annex 13**). In particular, the TE 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 clearly respects stakeholders' dignity and self-worth.

## Limitations

There were a number of limitations. The field review was undertaken in one week only, with a significant time also taken up in travelling long distances. This was despite the TE request for a longer field mission. The field agenda was only provided a few days before the mission with no time for acceptance of previous TE requests for access to wildlife habitat areas to view habitat degradation. Key stakeholders were also omitted. The documentation was only provided a few days before the mission, and thus missing items could only be collected and collated after the mission which made understanding and reporting more difficult. A number of key documents pertinent to the project and TE were considered confidential such as the QMNP plan and the snow leopard plan. Other public legal documents were also withheld including the promulgation of the QMNP Pilot and the Qinghai Plan to Implement the QMNP Pilot<sup>2</sup>.

# 2. PROJECT DESCRIPTION

## 2.1. Development Context

### GEF-6 Focal Area linkage

- Biodiversity Objective - BD-1. 1 - Financial Sustainability & Effective Management of National Ecological Infrastructure; and BD-1.2 - Expanding the Reach of the Global PA Estate

### Sector-wide linkage with the International Community

- UN Convention on Biological Diversity (CBD, 1992) – China became a party to CBD in 1993, which in Article 8, obliges member states to: Establish a system of PAs; Develop guidelines for the creation and management of PAs; Promote the protection of ecosystems, natural habitats and the maintenance of viable populations of species in natural surroundings. FECCO is affiliated to the Ministry of Ecology & Environmental Protection (MEE), which is the leading ministry for the CBD in China. Qinghai EPB have the provincial mandate for implementation. COP-15 UN CBD was held in Kunming (2021)

### CBD Aichi Targets:

- Target 5 - by 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced. Project relevance - Landscape level

<sup>2</sup> Expansion of the PA system was a GEF project core indicator – to expand QMNP by 804,600 ha

conservation strategy & action plan, aimed at improving coverage of globally significant biodiversity within the PA sub-system. Management effectiveness improved at two PAs having cumulative area of >2 million ha

- Target 11 - Increase the area & connectivity of PAs with high biodiversity and ecosystem services, and increase management effectiveness of PAs through integration into the wider landscape. Target 11 has a goal of 17% PAs by 2020. Project relevance - The project supports strengthening of the PA system within the QMQL landscape, expanding the PA sub-system (including ecological corridors areas (ECAs) by 833,950 ha, increasing coverage of KBAs
- Target 15 - by 2020, ecosystem contribution to carbon stocks enhanced, through conservation and restoration, including restoration of 15% of degraded ecosystems, to contribute to climate change mitigation. Project relevance - Technical assistance to PA staff on integrating climate change adaptation into PA planning and monitoring
- CITES convention – China became a party in 1981, with snow leopard (IUCN VU, 2017) included in Appendix 1 (1975). China accounts for ~60% of their global habitat - distributed in Qinghai, Tibet, and Xinjiang, and found in Gansu, Sichuan and Yunnan provinces. The Qilian Mountains are one of the areas with the highest population density.
- Sustainable Development Goals: SDG 15 - Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and biodiversity loss. The project will also contribute to Goal 1 (End poverty); Goal 5 (Gender equality); and Goal 13 (Combat climate change)
- UNDAF 2016-20 Outcome 2 - More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth.

#### Project linkage to National / Provincial Planning (Policy & Regulatory)

- PRC Law Protection of Wildlife (2022) pp27
- PRC Law Grasslands (2021) pp20 - reasonably utilize grasslands, improve the ecological environment, maintain biodiversity, and develop modern animal husbandry
- PRC on Natural Reserve Regulations (2017) pp4
- PRC Law Ecological Protection of the Qinghai Tibet Plateau (2023) pp7 - control ecological risks, ensure ecological security, build a national ecological civilization highland; and Qinghai-Tibet Plateau Ecological Shelter Area Ecological Conservation & Rehabilitation Program (2021-35) - initiated by NDRC at national level in 2023
- 13<sup>th</sup> FYP of Qinghai (2016-20): Qilian Mountains – to implement forest and grassland restoration, and wetland rehabilitation; Qinghai Lake – to conserve ecosystems, to protect threatened species, to restore degraded areas
- 14<sup>th</sup> Five Year Plan for Forestry and Grassland Protection and Development in Qinghai (2023) pp110
- 14<sup>th</sup> Five Year Plan for Ecological Civilization Construction of Qinghai (2023) pp81; and Regulations on the Promotion of Ecological Civilization Construction in Qinghai Province (2015)
- Rules on Management of Nature Reserves for Forest and Wildlife in Qinghai Province (1994)
- National Biodiversity Strategy & Action Plan (NBSAP)
- Qinghai Biodiversity Conservation Strategy and Action Plan (Qinghai BCSAP) (2023)
- Master Plan for upgrading Qilian Mountains NR to a national NR (2017) – approved by Qinghai Government
- Qinghai Lake National Park (QLNP) Master Plan (2021) pp163, Chinese
- Przewalski's Gazelle Conservation Plan (2020) pp48, Chinese - In order to better protect the IUCN endangered species, protect the integrity of the Qinghai Lake ecosystem

#### Linkage to donor-projects

- Qinghai Qilian Mountains Ecological Conservation & Construction Integrated Treatment Program (Phase II) - concentrates on conservation, restoration and management of different vegetation types
- Regulations on Sanjiangyuan National Park (Trial) (2020) pp19

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

#### Threats, Root causes, & Impacts (PIF)

- Over-grazing, road construction, infrastructure and mining all cause damage to biodiversity. Most gazelle habitat has been lost to farming. Pastures over-grazing has led to unpalatable species, with loss of pasture for gazelle and livestock. Climate change and increase in pika population have also degraded grasslands, the latter due to the lack of predators
- With livestock herds increasing, there is added pressure on higher mountain meadows which are more fragile. There is competition for resources between livestock and gazelle and wild sheep, which are a key prey species of snow leopard.
- The major prey of snow leopard are wild sheep (blue sheep / argali), marmot, ground squirrel, pika and woolly hare, as well as domestic yak, goat and sheep, which leads herders to view leopard as a pest
- Fencing of areas, have limited gazelle area. As a result, populations are isolated, inbred and are more prone to attacks by herders' dogs

## 2.3. Description and Strategy

### Background

Though PAs cover a significant area of Qinghai Province, there were major gaps in the coverage of important ecosystems, particularly in the Qilian Mountains Qinghai Lake (QMQL) landscape. For example, two of the ten WWF Ecoregions found in the province (Qilian Mountains sub-alpine meadows, and Qilian Mountains conifer forests), were not represented in the province's PA system.

There are three PAs within the QMQL landscape, however this PA system had not been put into operation and there remained significant gaps in the coverage of key ecosystems. The Qilian Mountain Nature Reserve (QMNR) was designated 2005, but had not become a working conservation entity, lacking staff, a management system or a clearly demarcated boundary.

#### PAs in Qilian Mountains-Qinghai Lake (QMQL) landscape

Nature Reserve (NR)	Area (ha)	Key Habitats / Species Protected	Year	Relevant KBA	Operating budget p.a.	Staff	County
Qilian Mountains NR (Qinghai FGB)	775,400	Meadow, alpine forest; Snow leopard (EN)	2005	Eastern Qilian Mountains KBA 15510	N/A	6	Menyuan, Tianjun, and Qilian
Qinghai Lake NR (Qinghai government)	495,200	Przewalski's gazelle (EN)	1975	Qinghai Hu KBA 15569	\$590,000	20	Gangcha, Gonghe and Haiyan
<b>Total</b>	<b>1,270,600</b>						

### Project Location

The project was located in the Qilian Mountains-Qinghai Lake (QMQL) landscape. It spanned nine counties, including Gangcha, Gonghe, Haiyan, Huzhu, Menyuan, Qilian, and Tianjun. The project worked with PA administrations, State Forestry Units (SFUs), local government including village administrative committees (VACs) and communities.

For map - see **Annex 11**.

### Project Timing & Milestones

The UNDP project assurance and oversight role was to ensure that project milestones were attained. Although such milestones were not explicitly listed, they would include: supporting the PPG/ PIF and prodoc submissions, with updates; annual workplan (two-year plans in this case) signature; GEF fund disbursement scheduling; MTR / TE reviews with Management Responses; and project closure – soft and hard.

The PMO provided a milestone chart of achievement:

- January 2019 - Project document signed
- February 2019 - PMO established
- May 2019 - PSC established
- June 2019 - Inception workshop & the first PSC meeting
- August 2019 – 1<sup>st</sup> National Park Forum
- September 2019 – Project coordination system for 3 counties established
- September 2021 – MTR
- October 2021 – Participation in COP15
- September 2023 – Terminal Evaluation

### Comparative Advantage

UNDP had a comparative advantage of capacity building, provision of technical support in the design and implementation of the project. UNDP also had an advantage working with government especially in strengthening institutional, policy and legislative mechanisms, in undertaking risk assessments, in mainstreaming biodiversity conservation into development planning and harnessing best practices across the thematic area.

## 2.4. Implementation Arrangements

## Project Management Structure

The project was steered by a Project Steering Committee (PSC), chaired by the Deputy Director of Qinghai FGB (representing ownership of the project), as the Executive. The Executive was supported by Senior Supplier (UNDP) and Senior Beneficiary (Qinghai FGB).

The project implementation team was formed according to the UNDP procedure, to include a Project Manager (PM), a Chief Technical Advisor (CTA) and two Coordinators. The Project Management Office (PMO) was based at the Qinghai FGB in Xining. Coordination amongst provincial government agencies was facilitated by the International Division of Qinghai Department of Finance (DoF), who were also responsible for fund disbursement.

PA Coordination Teams were located at the project demonstration sites, namely: Qilian Mountains NR and the Qinghai Lake NNR.

The position of National Project Director (NPD) was realised as PSC chair, with an added Project Director leading the PMO, in the form of the Deputy Director of the International Cooperation Project Service Centre (ICPSC) of Qinghai FGB. This allowed the project to function within Qinghai government, remembering that the PM position is an externally recruited consultant position.

## Project Organisational Structure

The project organisational structure was presented in the prodoc (See **Annex 5**)

## 2.5 Key Partners & Stakeholders

The project prepared a stakeholder engagement plan. Key provincial government and other partners:

- Qinghai FGB – responsible for establishing and managing NRs, forest parks and wetland parks. FGB is the implementing partner for the project, will designate a NPD, who will chair the PSC. QFD will also set up a PMO and recruit staff
- Qinghai DoF - will provide an oversight function for of GEF fund disbursement and co-financing inputs
- Qilian Mountains NR Management Bureau -key partner on the project, hosting a PA Coordination Team, assigning a PA focal point, and designating a PSC official
- Qinghai Lake NNR Management Bureau - key partner on the project, hosting a PA Coordination Team, assigning a PA focal point, and designating a PSC official
- NR Management Stations within the QMQL landscape - They are key partners and beneficiaries of the project
- Hudong Breeding Sheep Research Farm - Supporting the conservation and livestock management in the region - Will be involved in development and implementation of pasture management plans (PMPs)
- Haiyan Forestry Bureau, Gangcha Forestry & Police Bureau, and Haibei Autonomous Prefecture Forestry Bureau - These agencies will be responsible for executing the expansion of the PAs, including managing possible resettlement plans
- Provincial, county, township and village government will be key partners during project implementation

A description of the set of Terminal Evaluation stakeholders – those who were responsible for implementation of the project and those associated with the project – is provided as **Annex 8**.

## 3. FINDINGS

### 3.1. Project Strategy

#### 3.1.1 Pre-project Barriers to Sustainable Natural Resource Use

- Barrier 1** – Under representation of key habitats in the PA system with insufficient systemic capacity and financing for integrated PA planning and management for the protection of threatened species
- The system covers threatened wildlife species such as snow leopard, Tibetan antelope, Przewalski's gazelle and black-necked crane, as well as wetland ecosystems. Though PAs cover a significant area of Qinghai, major gaps remain in coverage of important ecosystems, such as Qilian Mountains sub-alpine meadows and conifer forests<sup>3</sup>.
  - The PA system does not adequately encompass critical habitats for globally endangered species. Przewalski's gazelle habitat area is 109,708 ha with only 31,379 ha located within the Qinghai Lake NR (29%). Expanding PAs, or establishing ECAs to improve connectivity at a landscape scale is needed

<sup>3</sup> However, there have been advances in the PA system, including establishment of Sanjiangyuan NR and Qinghai Lake NR, and the inclusion of the Three-River Source National Park (NP) and the Qilian Mountains NP pilot

- Many laws are outdated and don't consider concepts such as ECAs and KBAs or make provisions for the use of conservation financing mechanisms to support biodiversity conservation
- Insufficient enforcement leading to ineffective management of current and emerging threats to the PA system
- The establishment of NP pilots means that new legal and institutional systems are required. Issues such as landscape-level management and building climate resilience of the PA network remain as gaps
- PA financing - Qinghai heavily depends on government for staff and operating costs, but is not adequate for capacity building and monitoring. There remains a priority placed on establishing PAs rather than effective management
- A financial gap analysis from the PPG, indicated US\$10.4 million was available for management of the 11 NRs in the provincial PA system in 2016. This is US\$5.2m short of annual PA financing needs to meet management requirements<sup>4</sup>

**Barrier 2** - Lack of operationalisation of PA system and weak institutional capacity for management of PAs and buffer zones

- In April 2017, Qinghai Government approved the Master Plan for upgrading Qilian Mountains NR to a national NR, however the process was put on hold after Gansu Province initiated an application for creating an inter-provincial national park pilot
- Master plans are developed with support of the PAs but with low community participation. Several initiatives have piloted community agreements and incentives to reduce biodiversity threats but these are of limited scale and impact.
- There is no systematic mechanism for participation, such as co-management, village agreements. Through a program coupling conservation and social welfare, the province has tasked several thousand people, many of which are Tibetan herders, to work for NRs in ecological positions, but the province lacks capacity to oversee this
- Qinghai FGB institutional capacity was diminished when the two largest NRs moved under the management of the Three-Rivers Source NP. However, staff of many PAs, including the QMNR, are workers from state forest units (SFUs) and lack biodiversity skills. For the Qinghai Lake NNR, staff members are recruited via open source and are motivated.
- Development in many (Tibetan) communities focuses of national poverty alleviation work counties. Their economic structures are singular, with traditional animal husbandry

Source – Prodoc / PIF

### 3.1.2 Project Design, Objective & Approach

There are three nature reserves within the QMQL landscape, namely the Qilian Mountains Nature Reserve (QMNR), the Qinghai Lake NR (QLNR) and the Datong NR and one national park under development (the QMNP pilot). Protecting significant biodiversity in this landscape requires the implementation of a landscape approach to strengthen the effectiveness of the PA sub-system, including through strengthening legislation and institutional frameworks and identifying / establishing ECAs to improve habitat and wildlife population connectivity of globally significant threatened species.

Summary of expected outcomes:

- Consolidation of PA system in Qilian Mountains - Qinghai Lake (QMQL) landscape, with supporting strategies, management and sustainable financing plans, indicated by: PA system expanded by 833,950 ha comprising: Qilian Mountains NP (Qinghai side) 804,600 ha expansion; and Qinghai Lake 29,350 ha of ecological corridor areas (ECAs) established
- Legal recognition of conservation approaches - KBAs and ECAs to increase connectivity
- Improved institutional capacity of county government staff to support PA management (In counties: Gangcha, Gonghe, Haiyan, Huzhu, Menyuan, Qilian, and Tianjun)
- Improved habitat protection and restoration in 80,000 ha as indicated by: 20,000 ha of degraded habitat restored; and 60,000 ha under improved management with wildlife threat reduction

### 3.1.3 Design Assumptions & Risks

There were eight risks with mitigation measures, outlined in the risk section of the prodoc (p51), which were all low to moderate grading. There were also eight risks from the UNDP SESP, two of which were rated as high. These are commented on:

Assumption / Risk with Mitigation	TE comment
Indigenous & Local Communities (ILCs) living in key conservation zones of Qilian Mountains National Park (QMNP) Pilot could be resettled	These statements would suggest that the risk was perhaps not

<sup>4</sup> This excludes responsibility of the Three-river Source NP, and Sanjiangyuan NNR, covering 152,300 km<sup>2</sup> which are not under the Qinghai FGB. A similar situation might arise over the management and governance arrangements for the Qilian Mountains NP.

<ul style="list-style-type: none"> <li>- An environmental &amp; social management framework (ESMF) was prepared during the PPG phase to put risks in, which will result in an ESIA and ESMP being prepared</li> <li>- Voluntary resettlement can only be undertaken with Free &amp; Prior Informed Consent (FPIC). The NP approval, master plan and any resettlement plans, are to be available at inception</li> <li>- Activities include strengthening the community ranger program, collaborative grassland restoration and livestock management in mountain areas. The activities will reinforce linkages between the herders and conservation objectives</li> <li>- Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project</li> </ul>	<p>high, but of a moderate nature</p> <p>The design of the QMNP pilot mostly covers mountain ridge lines and appears to deliberately avoid permanent settlements</p>
<p>Communities could face economic displacement, changes to land rights and / or restricted access to resources due to the expansion and control of the PA system, including the creation of ECAs</p> <ul style="list-style-type: none"> <li>- During the PPG phase, ILCs, government and civil society contributed to the project design. Local awareness was strengthened through the approval of the QMNP pilot in June 2017</li> <li>- The ESIA process will assess socio-economic impacts, including those related to economic displacement and land rights, due to QMNP establishment and project activities</li> <li>- The ESMP will be integrated into the project, with FPIC applied in line with the UNDP SES guidance on indigenous peoples. There will also be a grievance redress mechanism (GRM)</li> </ul>	<p>The design of the QMNP pilot also appears to avoid sub-alpine pastures which are key wildlife areas</p>

For the high level risks described above, the UNDP Quantum Risk log indicated the same response, and mentioned that the ESMP described recommendations and measures to ensure effective mitigation as required.

#### Indigenous Peoples Plan (2022) pp48

The plan describes the Free and prior informed consent (FPIC) process and a grievance redress mechanism (GRM).

Concerning risk to ILCs in terms of grazing restrictions, the IPP indicated (with edit) – ‘The population of QMNP in Qinghai is ~110,000, including >7,000 residents and >100,000 seasonal residents. Tibetans account for about 60% of the population. The population of Qinghai Lake National NR and its immediate area is 89,630. The establishment of NPs and the strengthening of conservation management may have impacts on the rights of some herdsman, including those relating to access to pastures. Changes in their traditional grazing patterns and lifestyles of local people may affect cultural heritage and livelihoods.’ And,

‘QMNP intends to implement grazing prohibition in fragile grasslands. Seasonal rest from grazing has been adopted. The potential area is 274,000 hectares. QMNP and the project are proposing new approaches, e.g. through conservation easements and other mechanisms that require changes in behaviour and current land use. This would be to promote grassland health to strengthen biodiversity by providing more habitat for wildlife. As long as herdsman abide by the grazing intensity, they will be able to continue grazing. However, restricting the volume of permitted grazing has the potential to result in adverse livelihood impacts.’ And,

‘In the process of the construction of PAs, the government will adopt support mechanisms for community residents to develop alternative livelihoods. The affected residents will be given priority in appointment to ecological management and social service posts so that they have the opportunity (should they accept it) gradually to change from natural resource users to ecological guardians. FPIC must be applied.’

The project focused on lowland intensification of fodder production, alternative livelihoods and training inputs for the ranger system, and not so much on grazing control.

#### **3.1.4 Results Framework Indicators & Targets**

The project objective was ‘to strengthen the effectiveness of the protected area system in the Qilian Mountains-Qinghai Lake (QMQL) landscape to conserve globally significant biodiversity, including snow leopard and Przewalski’s gazelle’.

The three component outcomes were:

1. Consolidated PA sub-system with connectivity and KBAs and mainstreamed into provincial planning
2. Strengthened participatory management of the expanded PA sub-system in the QMQL landscape
3. Sustainability enhanced through effective monitoring & evaluation, knowledge management, and social inclusion

Within the results framework, at the objective level, there were three indicators. There were three outcomes in a three component structure, with eight respective outcome level indicators. A significant number of these indicators also had sub-parts. See **Annex 1**.

## Outputs under the three Outcome / Component structure

1.1	Consolidated landscape conservation strategy and action plan, threatened species plans and PA sub-system regulations for the QMQL landscape adopted and mainstreamed into the provincial 14 <sup>th</sup> FYP
1.2	Policies developed for eco-compensation funds, and innovative financing mechanisms at the community level, strengthening the sustainability of PA financing
1.3	Institutional enabling environment strengthened through introduction of PA competency-based professional development and joint capacity building for collaborative PA governance
2.1	Operationalization and expansion of the PA sub-system according to the consolidated landscape conservation strategy and action plan
2.2	Strengthened implementation capacities, coordination and partnerships across the QMQL PA sub-system.
2.3	Participatory habitat restoration & management arrangement within the expanded PA sub-system
2.4	Pilot interventions for sustainable livelihoods, enterprise sector involvement and conservation financing, improving community benefits and biodiversity threat reduction
3.1	Project management supported by steering committee functions and inclusive monitoring & evaluation
3.2	Project results shared through implementation of a knowledge management action plan
3.3	Inclusive participation of local communities, including women and ethnic minorities ensured through implementation of an environmental and social management framework

## Logframe Changes and SMART Indicators

There were no significant changes to the logframe, although targets were reduced from the PIF to prodoc stage in terms of new PA estate coverage. One or two indicators were not so SMART (Specific, Measurable, Attributable, Realistic/Relative, Timebound). This included:

- Indicator 2 – Improved species status was not defined, and snow leopard numbers were not easily measurable
- Indicator 4 – The wording of the indicator focused too much towards the 14th FYP and not enough on the production of the QMQL landscape plan
- Indicator 8 – The type of habitat for improved management or restoration was not clearly defined, with the result being that farmers' lowland pasture was selected for 'improvement' as opposed to alpine pastures used by wildlife

### 3.1.5 Gender Design

The project was classified as with the UN Gender Marker GEN 2, which expects a project to 'make a significant contribution to gender equality and/or the empowerment of women and girls'. i.e. gender equality was a significant objective.

#### Gender Analysis & Plan

The plan was completed during the PPG phase to guide proactive women's empowerment efforts during implementation. The gender mainstreaming strategy recognizes the differences between labour, knowledge, needs, and priorities of men and women, and calls for:

- Equal consultation with women and men on their requirements associated with project interventions
- Promotion of equal representation and participation of women and men in activities
- Development planning documents with equal consultation of women and men at all levels
- Providing gender training to the PMO, the community mobilisers, and service providers
- Equal payment for men and women, when applicable
- 50% of the project direct beneficiaries are women

The PMO and its PA implementation teams were to assign gender focal points from within to be responsible for overseeing the gender plan and work with contracted gender specialists in trainings, and monitoring activities.

One of the criteria for selecting the villages for interventions was associated with opportunity to advance gender equality, and the project was expected to work with existing women's groups and / or establish new ones to support the design and implementation of activities.

## 3.2. Project Implementation

### 3.2.1 IA and EA Coordination & Operational Management

The project was implemented following UNDP's national implementation modality (NIM), according to the Standard Basic Assistance Agreement between UNDP and the People's Republic of China, and the United Nations Development Assistance Framework for the People's Republic of China (UNDAF 2016-20).

The overall quality of implementation / execution was rated as **Satisfactory**, with both the quality of UNDP Implementation and PMO Execution rated as Satisfactory.

UNDP were the GEF Implementing Agency (IA). The Qinghai FGB were the Executive and Implementing Partner (IP). Qinghai designated a national project coordinator to formally work with the PMO, and chair the PSC meetings. The project was supported by a PSC, with the PMO acting as the secretary.

#### Coordination & Operational Management by Implementing Agency (UNDP)

Coordination & Operational Management by Implementing Agency (UNDP) - The project was under UNDP-supported NIM, in terms of GEF fund management (See Section 3.2.4 Finance), and oversight of: PMO staff selection and sub-contract selection.'

#### Project Appraisal Committee

A project appraisal committee (PAC) meeting was held in December 2018. The meeting approved in principle the prodoc and SESP.

#### Coordination & Operational Management by the Executing Agency / Implementing Partner (FGB / PMO)

The project was under NIM, with Qinghai FGB as the Executive, with fund provision controlled by the Qinghai Department of Finance (DoF). The project was managed by a Project Management Office (PMO), under the direction of the Qinghai FGB Project Service Centre (under Qinghai FGB)

#### Project Steering Committee (PSC)

The project was signed in January 2019, with the first PSC meeting held in June 2019. Further meetings were held in September 2020, January 2022, and April 2023

PSC notes	TE comment
<ul style="list-style-type: none"> <li>- 1st meeting (2019) –</li> <li>- Minutes of meeting indicate Qinghai DoF signed the prodoc,</li> <li>- TYWPB (2019-20) introduced</li> </ul>	<ul style="list-style-type: none"> <li>- MoF signed the prodoc</li> </ul>
<ul style="list-style-type: none"> <li>- 2<sup>nd</sup> meeting (2020) –</li> <li>- NPD replaced</li> <li>- TYWPB (2020-21) approved</li> </ul>	<ul style="list-style-type: none"> <li>- The project director (Deputy Director of the FGB's project service centre) was also replaced in 2021, and the PM was replaced twice over the course of the project</li> </ul>
<ul style="list-style-type: none"> <li>- 3<sup>rd</sup> meeting (2022) –</li> <li>- Last TYWPB discussed; TYWBP (2022-23) agreed</li> <li>- MTR and response submitted</li> <li>- UNDP requested to provide guidance for this high risk project</li> <li>- ECAs, PMPs, and the landscape plan and need to be aligned with provincial plans</li> <li>- ECA objective needs definition and delineation</li> <li>- PMPs should be aligned with the activities on degenerated grassland restoration and habitat improvement</li> <li>- PSC recommended that snow leopard monitoring and analysis should be in accordance with the baseline methods</li> </ul>	<ul style="list-style-type: none"> <li>- Three years into the project and the ESIA and ESMP were still not finalised, meaning that risk mitigation measures had yet to be designed</li> <li>- The PSC appears to indicate that existing development planning would take precedence over Ecological Corridor Areas (ECAs) and PMPs</li> </ul>
<ul style="list-style-type: none"> <li>- 4<sup>th</sup> meeting (2023)</li> <li>- Calculation methods for indicator 8a (restored grasslands) to include counties – Menyuan, Qilian, Tianjun, Gonghe Haiyan, Gangcha; Hudong Sheep Farm; and 2 landscapes in Qilian Mountains Phase II project</li> <li>- 8b (improved area within PAs) were presented in detail to include 4 PMP village areas, but exclude Tibetan sheep breeding areas, and exclude ECAs</li> <li>- 2b (Qinghai Lake Landscape PA expansion) – to include ECAs, within the Qinghai Lake NNR, and counties Gonghe, Haiyan and Gangcha</li> </ul>	<p>The project focused on inputs, and not so much on monitoring indicators such as grassland health after restoration treatments</p>



- TYWPB (2023-24) agreed	
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PSC minutes were signed by Qinghai DoF, Qinghai FGB, and UNDP

#### PMO Project Staffing

There were seven full time staff within the PMO (Project Manager, Qinghai Lake PA Coordinator, Qilian Mountain PA Coordinator, M&E / Safeguard Officer, Accountant; Archive Assistant, and Community Mobiliser) with a part-time CTA.

#### Staff Changes

Staff turnover happened both in PMO and within the QFGB. The Project Manager changed twice in 2019. The NPD changed in September 2020, and deputy director of the FGB Project Service Centre changed in 2021. The DoF coordination office responsible person changed three times. There were also added PMO staff changes. This affected the implementation (Source Project Self-evaluation report).

At the end of 2020, new government administrative board members, and the project's village PMCs were also selected, meaning that project systems and approaches needed to be re-trained to these stakeholders.

#### PMO Implementation and 'Contracting out'

Whilst, the PMO was staffed and local coordination methods were established. However, in order to achieve a significant number of outputs under a limited timeframe, the PMO also needed to contract out services to individual and company sub-contractors. (see **Annex 5** for a list). This affected for example, the PMPs in terms of approach or lack of, towards grazing control, and the lack of a snow leopard action plan<sup>5</sup>.

### **3.2.2 Institutional Mechanisms & Stakeholder Engagement**

Project-level partnership arrangements are briefly described in the previous section, whereas this section describes state institutions and capacity which are the backbone for delivering new policies and services.

#### Qinghai Forest & Grassland Bureau (FGB) and pasture management

Prior to 2019, grassland management was the responsibility of the Animal Husbandry Bureau and it was used solely for economic production, with livestock carrying capacities developed for differing grassland types. After 2019, grassland management was transferred to the FGB, which came into being (after formerly being the Forestry Bureau).

Large scale restoration of degraded grassland has been conducted through the Land Conversion (Grain to Green) Program and the Qilian Mountains Ecological Conservation & Integrated Management Program (2014-20). Concurrently, the Grassland Ecological Compensation Policy was undertaken to close pastures and generally reduce livestock numbers needing to be in certain areas. The results reported up to 2018, were 2.53 million ha of grassland restored, 16 million ha under a grazing prohibition and 15 million ha attaining a balanced livestock stocking balance.

The project area of Haibei Tibet Autonomous Prefecture (the four counties of Qilian, Menyuan, Haiyan and Gangcha) contains 2.33 million ha of grassland out of the Qinghai Province grassland area of 40 million ha.

#### Qinghai FGB – QMNP (Qinghai) Management Bureau

In 2017, the government created the 'Pilot Plan for the QMNP Institution<sup>6</sup>, as a result The QMNP Management Bureau in Gansu was established in 2018.

The staff have been drawn from the Qilian Mountains NR Management Bureau NR and the FGB, and remain under the management of the FGB. As the QMNP remains as a pilot, key management decisions are with the SFGA, although day to day activities remain with the FGB and the QMNP Management Bureau within their areas of jurisdiction. A number of staff hold positions in both bureaus, i.e. 'they wear two hats'. The management of QMNP land, newly designated as Core, Experimental and Buffer Zone, remains with the original authorities until the QMNP becomes fully operational.

Moreover, as part of the implementing this pilot plan, Qinghai government determined the responsible bodies to

<sup>5</sup> The PMO was unable to provide the TE a copy of the snow leopard action plan, despite it being described as updated by the project. The plan was deemed confidential by FGB, however, the TE national expert could have reviewed it without providing any 'secret' details.

<sup>6</sup> Based on CPC Central Committee and State Council decree in 2017

be, and established: QMNP Management Bureau; Haixi Prefecture Work Coordination Office; Haibei Prefecture Work Coordination Office; four FGB county management bureaus; nine management centers; 40 protection stations; and the QMNP Service Guarantee Centre.

In terms of field activities, there have been 1,749 boundary markers installed with signage; a SMART patrol system has been put into operation (which the GEF project supported), including an unmanned aerial vehicle (UAV) patrol team. There are currently 1,265 patrol personnel conducting over 50,000 patrols / year.

The list of key stakeholders is described in **Annex 8**.

### 3.2.3 Gender Analysis – Women’s Empowerment

During design, the project was UNDP-rated as having ‘gender equality as a significant objective’ (UNDP Quantum Marker – GEN-2).

#### Gender Mainstreaming

The words ‘gender’ and ‘women’ were mentioned 56 and 67 times respectively in the prodoc. Gender Analysis & Action Plan was prepared, and annexed in the prodoc. It was later renamed the Gender Mainstreaming Plan. It detailed gender-based indicators, baselines and targets for the project. Its main results are presented in **Annex 5**.

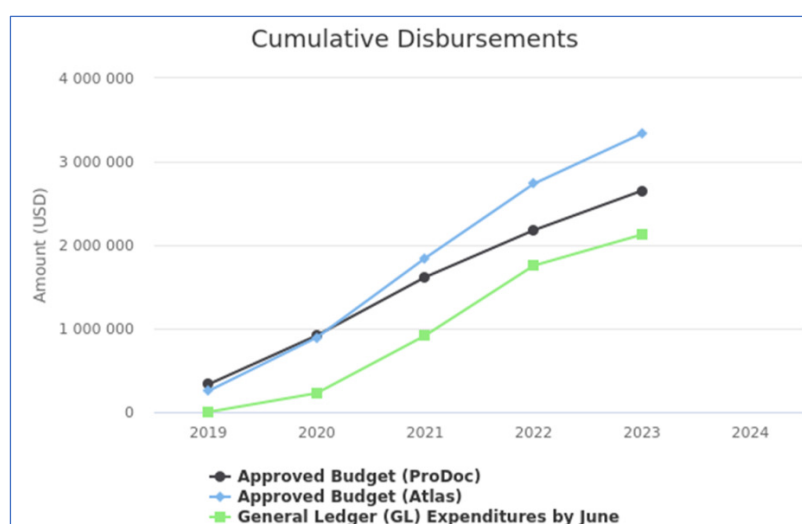
Some of the main actions were also described in the project’s self evaluation report:

- A gender specialist to develop the Gender Analysis & Action Plan and regularly monitor implementation of the plan
- One women-led patrolling team from 40 protection stations in QMNP
- 50% women representatives in the nine project pilot Village Project Management Committees (VPMC)
- Grant of CNY75,000 to a women’s group IGA in Sujiwan village to build pig-sty of 120m<sup>2</sup>. With the upgraded shelter, the group’s income increased by CNY40,000 and they now prefer raising pig rather than grazing sheep in natural grassland
- One women’s cooperation group created for eco-tourism in Sujiwan Village in 2021

Source – PMO Self Evaluation Report (2023)

### 3.2.4 Finance & Co-finance

#### UNDP Financial management and Finance



Cumulative GL delivery against total approved amount (in prodoc)	80%
Cumulative GL delivery against expected delivery as of this year	80%
Cumulative disbursement as of 30 June 2023	US\$2,126,432

PPG Amount	100,000
GEF Grant Amount	2,652,294
Co-financing	18,045,000

Source – PIR to end June 2023

The prodoc was signed in January 2019 by International Finance Department, Ministry of Finance; Qinghai FGB;

and UNDP. Fund release by UNDP was to MoF in the first instance which was an added layer of bureaucracy. PMO established a coordination mechanism with Loan Office of Qinghai DoF.

### Project Financial Management

Project implementation and fund disbursement followed the Two-year workplan & budget (TYWPB) system, within which quarterly workplans were prepared and co-signed by UNDP and the NPD. Fund use was supervised by UNDP, the Qinghai FGB Service Centre and the Qinghai DoF Project Coordination Office (PCO)

Disbursements and financial statements were quarterly reported to UNDP and DoF PCO, with invoices, contracts, and related financial documents

According to UNDP procedures, the balance of advanced grant should be returned to UNDP at the end of each year. Whilst the PMO returned funds (US\$0.4m in 2021-22) using the UNDP FACE system<sup>7</sup>, the returns were not recorded by MoF / Qinghai DoF finance system, despite being a signatory to the FACE forms. Qinghai FGB and Qinghai DoF has subsequently indicated that US\$280,000 will be applied to the system in 2024, with the remaining US\$120,000 to be further discussed.

The average time taken to reconcile each FACE certificate was ~6 weeks.

### Project spend by year against the prodoc plan

Year / US\$	2019	2020	2021	2022	2023	2024	Total US\$ to end June 2023
Prodoc	331,081	586,138	698,886	561,490	474,699	0	2,652,294
Total Disbursed	50,394	613,779	753,547	529,708	132,101	3,405	<b>2,082,935</b>
Balance	280,687	-27,641	-54,661	31,782	342,597	-3,405	569,360
% remaining	84.8	-4.7	-7.8	5.7	72.2		21.5

Source - **Annex 4**

There was little variance between annual prodoc budgets and spending, apart from the common front-loading of planned spending in the first year.'

Depending on the last PIR or **Annex 4** figures provided by the PMO for the TE, there remains just under 20% of funds (\$0.53 m according to the PIR) to be spent in the last seven months of the project. The breakdown of planned and actual expenditures by year and by component is provided in **Annex 4**.

### Audits

- 2022 audit noted two minor omissions from the FACE form
- 2021 audit noted
  - o No labour contract signed with some project staff in 2020-21. The salary is communicated orally between PD and staff at the end of each month before payment (high risk)
  - o The FACE form had not been reconciled with financial staff – with an expense of US\$3,922 recorded as sundry in the accounting, which should be and has been recorded as subcontract fee in FACE report.
- 2020 – no significant issues
- UNDP 'spot-check audit' of the project in 2020 – no inconsistencies were identified

### Co-financing

Co-financing contributions, either as direct support funds (grant or in-kind) or as complementary funds (e.g. linking up with similar project in a nearby area), are not often formally accounted for under GEF methods, with only the GEF and any UNDP funds accounted / audited. With this level of oversight, the actual extent of co-financing is estimated by the PMO / government contributors

UNDP co-financing was estimated at \$45,000 against the \$45,000 promised.

The government - Qinghai Department of Finance (DoF) - in-kind / cash was estimated at:

	At Endorsement	At Closure - Expected
Cash	\$1,360,000	\$1,462,757
In-kind	\$16,640,000	\$55,263,586
<b>Co-financing</b>	<b>\$18,000,000</b>	<b>\$56,771,343</b>

<sup>7</sup> Finance Advance Expenditure Certificate

Letters of co-financing were provided. A breakdown of co-financing was provided as **Annex 3**.

### 3.2.5 M&E Systems – Design & Implementation

The M&E system design and the implementation of the M&E system was rated as **Moderately Satisfactory**.

UNDP GEF projects have a particular M&E system that is report-based, centred around an annual PIR that runs mid to mid-year. The M&E system is based on a mixture UNDP's contractual compliance with GEF and its own systems, and checking the IP in terms of its contractual compliance of deliverables.

These included two-year annual workplans with budgets (TYWPBs), PIRs, and audits, with an MTR and Terminal Evaluation (this report).

For general M&E, it would have been useful for UNDP to have encouraged a spreadsheet tracking system, that ran annually and cumulatively with all the project numbers - inputs and outputs. For example, indicators (and their baselines and targets) are often number-based, whereas reporting is primarily text-based, with a few numbers 'put-in', but often not dated.

#### MTR & UNDP Management Response

An MTR was completed in November 2021 (104pp), with the ratings given as: Objective – S; Outcomes 1 and 2 were- MS; Outcome 3 was S. UNDP / PMO Implementation – MS; Sustainability – MU. [The TE ratings were similar, except Objective – MS, Outcome 1 – MU, and Sustainability - MU]. The MTR recommendations included:

<p><u>Landscape planning, ecological corridor areas (ECAs)<sup>8</sup> and PMPs</u></p> <ul style="list-style-type: none"> <li>- A 'landscape conservation strategy &amp; action plan' is intended to provide the project's ecological foundation, providing a framework in which to plan activities across the QMQL landscape. In the prodoc, this plan is described as including 'establishment of ECAs, recovery actions and habitat needs for globally significant species, recognition of KBAs'.</li> <li>- The project is not developing this plan, because it is considered that other programs are adequate. Although reporting under Indicator 2b refers to ECA establishment, the ECAs have not been clearly identified or with ecological objectives</li> <li>- The prodoc intended that PMPs would be developed and inform the restoration of degraded grasslands and the improved management of habitats; only one such plan (Dayu village) has been developed and the extent to which it is informing activities is not clear</li> </ul> <p><u>Recommendations</u></p> <ul style="list-style-type: none"> <li>- Obtain independent assessment of whether the provincial planning and programs in the QMQL areas provide the project with the intended strategic ecological direction; if necessary, work to establish such a framework</li> <li>- Develop a clear ecological objective for each corridor, including diagrams showing the ECA in the landscape and the wildlife populations that will benefit</li> <li>- Develop additional PMPs to inform the restoration of degraded grasslands and the improved management of habitats, in accordance with Activities 2.3.1, 2.3.2 and 2.3.3 in the prodoc</li> </ul> <p><u>Management Response</u></p> <ul style="list-style-type: none"> <li>- Services to make assessment on whether the provincial programs in the two PAs provide the project with intended strategic ecological direction; to work on a strategic plan identifying the integrated landscape development direction required in the prodoc</li> <li>- The PMO will work together with CTA, the IP technical staff, and communities, to develop an ECA plan with a more clear objective to reduce the fragmentation of wildlife habitats in the landscape</li> <li>- PMO will urge the subcontractor who is working on the PMPs to submit the draft by the end of this year, and will provide technical assistance to them reviewing and improving the drafts following the specific requirements set in the prodoc</li> </ul>
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The Management Response fully accepted the first two recommendations and partially accepted the third. However, the findings of the TE also independently draw very similar issues and conclusion with the strategic approach taken to achieve a much more cohesive ecological landscape was missing, especially in terms of key ECAs, and in largely the missing the Eastern Qilian Mountains KBA (meadow lands) for inclusion.

#### Exit Strategy

A sustainability plan / Exit strategy was under development during the TE.

#### Assets & Equipment

To end July 2023, the asset list was valued at \$153,829 spent. This included patrol equipment (infrared cameras, mobiles with apps for SMART patrol data transfer, binoculars, cameras with accessories, motorbikes (x22))

### 3.2.6 Adaptive Management (Work planning, Reporting & Communications)

<sup>8</sup> The TE has abbreviated the term 'ecological corridors' to Ecological Corridor Areas (ECAs) for easier reading

## Work planning

### Project duration

The project began in January 2019 and is expected to close in January 2024

### Inception Workshop

An Inception Workshop was held in June 2019 together with the 1<sup>st</sup> PSC meeting. An Inception Report (June 2019, pp67) was prepared and finalised after the event.

It was noted during the PSC meeting that component 1 of the project was aligned with the government project – ‘Construction of Qilian National Park as the key body of the Natural PA System Demonstration Province’ which was jointly launched by State Forestry & Grassland Administration (SFGA) and Qinghai FGB a week before the PSC meeting.

### Workplans & Budgets

There were five two-year workplans & budgets (TYWPBs, ‘workplans’) produced, which were signed by UNDP and the FGB (National Project Director). They covered 2019-20, 2020-21, 2021-22, 2022-23 and 2023-24.

## Reporting

The project’s (PMOs) also undertook two-month meetings with UNDP in the first year of the project, which moved to become more *ad hoc* later in the project cycle.

### Project Implementation Reviews (UNDP GEF PIRs)

Four PIRs were produced: To end-June 2020, end-June 2021, end-June 2022, and end June 2023. Pertinent information is presented in the relevant sections of this TE report. E.g. gender, risk, disbursement, social & environmental standards.

## Communications & Visibility

Covid had an impact on the project for a total period of ~18 months. Whilst meetings between UNDP and PMO were easily moved on-line, field work was hampered.

The GEF and UNDP logos were present on project outputs, such as reports and awareness materials. The project was visible on social media. (see also Training & Awareness section)

## 3.3. Project Results

The TE assessed the three levels of the project results framework - Objective, Outcome and Output. This was guided by the indicators and targets set at each level. Project success is also built upon achievement of the outputs, according to ‘framework logic.’ The Objective and Outcome levels include a rating according to UNDP GEF guidance as described in **Annex 9**. UNDP / PMO were provided with two tables:

- Progress towards Objective and Outcomes (Indicator-based) which is described in **Annex 1**, and
- Progress towards Outputs which is described in **Annex 2**

According to TE guidance, these tables were rated and commented on. A detailed result-level analysis follows firstly of the Objective, Outcomes with their Indicators, and then their corresponding Outputs.

### 3.3.1 Overall Result – Achievement of the Objective Indicators

#### Objective Level Indicators (Overall Result)

**Effectiveness of the PA system in the Qilian Mountains-Qinghai Lake (QMQL) landscape to conserve significant biodiversity, including Snow leopard and Przewalski’s gazelle (3 indicators)**

The overall grading is Moderately Satisfactory. There were three indicators attached to the objective level which were all rated as: moderately satisfactory. The two key statistics were the expansion of PA estate with the establishment of QMNP, and the snow leopard detection rate in the project area. (see **Annex 1**)

#### **Number of direct project beneficiaries (Indicator 1)**

(Baseline – 0; Target – No. of PA staff obtaining PA competency qualification; No. of direct beneficiaries)

*Result against Indicator*

Indicator	Target	Result
No. of staff obtaining PA competency qualification	750 (50% women)	1,001 (249 women)

Number of direct project beneficiaries	3,275 (50% women)	5,752 (2,404 women)
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### Analysis

The target for PA competency training was exceeded, but the percentage of women fell short of this and overall. The number of women trained was affected by the lower numbers of women working in PA conservation, however as a percentage of the workforce, they were over-represented in training, in comparison to men.

According to a different statistic, the PIR 2023, the number of direct project beneficiaries was 11,018 (5,339 women) which is near a 50% target.

### PA sub-system expansion (including ECAs), with increasing coverage of KBAs and improving habitat connectivity (Indicator 2)

(Baseline - 0 ha; ECAs - 0; Target – 833,950 ha expansion of PA sub-system comprising: QMNP on Qinghai side expanded by 804,600 ha; and Qinghai Lake 29,350 ha of ECAs established)

### Result against Indicator

Qilian Mountains NR with 775,400 ha was expanded to become QMNP with 1,583,900 ha [an expansion of 808,500 ha]. This was approved by State Forest & Grassland Administration under the QMNP Masterplan (Trial).

Qinghai Lake Ecological Corridor Areas (ECAs) were established covering 38,846 ha, in the form of fence or topwire removal (combined length of 527 km) to allow better movement of gazelle. The area included Qiaofudan village (Qieji Township, Gonghe County) (16,733 ha) and Hudong State Sheep Breeding Farm (22,113 ha) and, with 577 households benefitting.

### Construction of physical ECA for gazelle

Intervention / ha	Qiaofudan Village	Hudong State Farm	Total
Fence removal	16,733	1,932	18,665
Topwire removal	0	20,162	20,162

The ECA management measures were:

- Co-management agreement signed with households to keep the fence permanently lowered or removed
- Compensation payments of CNY4 / metre labour to remove topwire or fence, and CNY2 for provision of winter fodder (total CNY6)
- Seasonal rotational grazing between winter and summer pastures
- ECA area patrol

### Analysis

This was a key GEF Indicator. To note the PA expansion was a pilot or trial that also included the re-classification of strict nature reserve to national park, which could mean less emphasis on wildlife conservation in certain areas<sup>9</sup>. The new boundary of QMNP failed to sufficiently include two key areas of snow leopard habitat in the north of Qilian and Menyuan Counties, both of which also lie within the Eastern Qilian Mountains KBA.

### Status of threatened species (Indicator 3)

(Baseline, Target – Improved species status, and Result – see table)

### Result against Indicator

Threatened Species	Baseline - Camera detection rate (individuals / camera / month)	Result
Snow leopard	0.08 (2017 baseline)	0.1 (project area) 0.2 (centralized distribution area) (2020 survey)
Przewalski's gazelle	1,468 (2016 baseline)	>3,000 (Qinghai Lake NR, Aug 2023)

In 2022, QLNR set up a monitoring project (CNY1.2m), with QMNP to conduct gazelle monitoring, however data from this was not available.

<sup>9</sup> The PMO pointed out that the functional zoning and conservation strictness of national parks and NRs are the same, however the focus and permitted activities differ in terms of allowable infrastructure. Also under IUCN classification, NRs are higher in terms of protection than NPs, with the latter often including a wider range of land use.

According to data (October 2023), QMNP has 251 snow leopard, of which there are: 119 in Tianjun County in the west; 63 in Qilian County, and 24 in Menyuan County, in the middle part of the mountains<sup>10</sup>. (Source PMO from QMNP Management Bureau).

### *Analysis*

In the project area the snow leopard detection remained about the same from 2017-20 at ~0.1 leopards / camera / month, however it was double this at 0.2 in its centralised distribution area. For the snow leopard, it was positive that the species was being recorded, but the detection rate was one individual every 10 months per camera in the project area, from which it is difficult to estimate a population level. Camera images of snow leopard markings from their hind flank could have been utilized to identify individuals and therefore calculate actual numbers detected.

The area of the proposed QMNP is 15,839 km<sup>2</sup>. Population density of snow leopard depends on its habitat and prey availability, but a crude average could be put at 1 per 40km<sup>2</sup>.<sup>11</sup> This would indicate that the QMNP could support ~400 snow leopards. This is the sort of beginning figure that the SFGA could be aiming for. Whilst the detection of snow leopard appeared to have increased, this was not evidence of an increasing population<sup>12</sup>.

From 2016-23, the Przewalski's gazelle population in the Qinghai Lake areas increased from 1,468 to >3,000. Although gazelle has doubled in seven years, its population numbers remain low, with fragmented habitat.

### **3.3.2 Effectiveness – Achievement of the Outcome Indicators and Outputs**

#### **Effectiveness – Outcome 1 at the Indicator and Output Level**

#### **Outcome 1 - Consolidated PA sub-system recognizing connectivity and KBAs, and then mainstreamed into provincial planning (3 indicators)**

The expected result from Outcome 1 was a legal, policy and institutional framework for the management of QMQL landscape strengthened through: Regulations for wildlife conservation and PA management recognizing KBAs; and a consolidated QMQL landscape conservation plan mainstreamed into the 14<sup>th</sup> FYP.

The overall grading is Moderately Unsatisfactory (MU). There were three indicators attached to the Outcome 1 level which were all rated as: moderately unsatisfactory (2), and satisfactory (1). The indicator rated as satisfactory was for the development and delivery of training especially for conservation practitioners. Two indicators were rated as MU, because the the QMQL biodiversity strategic plan was not comprehensive or adopted as a legal document, and because the ECAs / KBAs were not really included as part of the legal framework, for example within the QMNP plan. (see **Annex 1**)

#### **Legal, policy and institutional frameworks to reflect national policy for biodiversity conservation (Indicator 4)**

*(Baseline – Gaps in legal framework, habitats within the PA system, and KBAs not recognised; Target – Framework for the management of the QMQL landscape strengthened through: a. Consolidated QMQL landscape BSAP adopted and mainstreamed into 14<sup>th</sup> FYP; and b. Policies and regulations for wildlife conservation and PA management recognizing KBAs)*

#### ***Result against Indicator***

Concerning mainstreaming conservation in policy and legislation, the project produced:

- QMQL Landscape Biodiversity Conservation Strategy & Action Plan (BCSAP)
- Assessment of the Strategic Direction of Provincial Ecological Conservation Programs (including landscape conservation and Key Species conservation) in QMQL
- Mainstreaming of QMQL Landscape BCSAP into six provincial ecological conservation programs
- Assessment Report on Legislation of the project
- Legislative Research Report for QMNP – with recommendations to be adopted into planning and policy

<sup>10</sup> In March 2023, QMNP commissioned a survey of snow leopard to update the 2017-22 numbers, using the camera trap information

<sup>11</sup> 'Home range sizes can vary from 4.6-15.4 sq. miles in Nepal to over 193 sq. miles in Mongolia. And population density can range from <0.1 to 10 or more individuals per 38.6 sq. miles, depending on prey densities and habitat quality. Nevertheless, the snow leopard population is very likely declining.' [www.worldwildlife.org/species/snow-leopard#:~:text=Home%20range%20sizes%20can%20vary,prey%20densities%20and%20habitat%20quality](http://www.worldwildlife.org/species/snow-leopard#:~:text=Home%20range%20sizes%20can%20vary,prey%20densities%20and%20habitat%20quality).

<sup>12</sup> According to the project, there are an estimated 1,200 snow leopard in Qinghai Province covering ~ half of the counties, including in Yushu and Guoluo Prefectures, and Qilian and Menyuan Counties (project area), Counties – Gonghe, Huzhu and Huangyuan. Snow Leopard range is thought to be increasing. There have also been traces in Dulan and Tianjun Counties, Delingha City area and other areas in Haixi Mongolian and Tibetan Autonomous Prefectures.

- QMQL landscape – Gaps in conservation and protection

More than 70 policy recommendations were made by the project's biodiversity legal consultant within two main documents: Assessment of the Qinghai Biodiversity Conservation Law & Legislation; and the QMNP Management Regulations Law & Legislation Research Report. The consultant also reviewed the two species-specific plans.

#### Analysis

The report on biodiversity protection gaps for key species was useful, and set the scene, however the BCSAP appeared topdown in re-iterating national policy, and not really promoting new key areas to come under conservation management, especially for snow leopard. It was written as a consultant report and not as a key government document to be promulgated (adopted) into law.

#### **Institutional capacity for PA management (UNDP Capacity Development Scorecard) (Indicator 5)**

(Baseline, target and Result in August 2023– see table)

#### Result against Indicator

For Qinghai FGB - Wildlife Conservation Division

Indicator (Capacity Scorecard)	Baseline (%)	Target (%)	Result (%)
Formulate policy, legislation, strategies	56	89	89
Implement legislation, strategies & programs	42	79	79
Consensus among all stakeholders	40	67	93
Mobilize information and knowledge	44	89	78
Monitor, evaluate, report and learn	47	80	80
Average	44	79	82

#### Analysis

The institutional capacity of FGB improved for PA management, according to the self-assessment.

#### **PA system financing gap (Indicator 6)**

(Baseline – Annual PA finances: US\$ 10.4 million; Annual PA financing gap is \$5.2 m; Target reduced to: \$ 3.6 m (30% reduction)

#### Result against Indicator

The PMO reported that the gap had been filled.

#### Analysis

QMNP Pilot was approved in September 2017, with planning starting in 2018, but five years on, all through the project period, a QMNP management authority was not fully operationalised, or at least not clearly visible to work with the GEF project. The QMNP Pilot was not fully funded for five years during the project, which indicated that PA financing was insufficient. This would also suggest that biodiversity conservation financing is still not high enough on the political agenda of MoF / DoF agenda, despite this QMQL landscape being such an important area for wildlife and ecosystem services.

#### **Outputs Relevant to Outcome 1**

#### **Output 1.1 - Landscape conservation strategy & action plan, threatened species plans and PA sub-system regulations for the QMQL landscape adopted & mainstreamed into the Provincial 14<sup>th</sup> FYP**

#### Result & Analysis

The project prepared a number of consultant assessment reports and plans as guidance for government. The finding and results were mainly captured in six reports which are reviewed:

Gap Analysis for the protection of Snow leopard and Przewalski's gazelle in the QMQL landscape<sup>13</sup> (2020) pp52

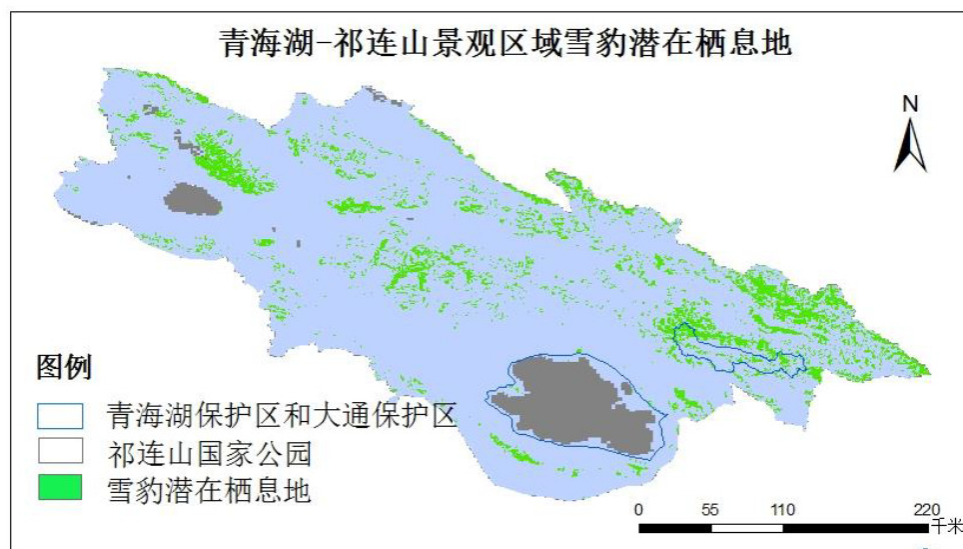
- The report indicates that the QMQL landscape is ~65,000 km<sup>2</sup>, with the area suitable for snow leopard as 6,600 km<sup>2</sup>. Presently QMNP covers ~2,900km<sup>2</sup> of snow leopard habitat (44%), which is considered insufficient for the survival of the species. The report recommends the expansion of existing core zone as well as designating new conservation habitat

<sup>13</sup> This is a research report by the Institute of Geographic Sciences & Natural Resources (Chinese Academy of Sciences), on behalf of Qinghai FGB's Project Service Centre



areas between QMNP and the Qinghai Lake<sup>14</sup>

- The report indicates that gazelle habitat is 110,000 ha of which only 31,000 ha (29%) is under conservation protection as NR. It identifies the exact areas for future conservation through NR or ECAs, but also considers the barrier of the railway line<sup>15</sup>
- *Analysis* - Whilst the FGB (QMNR and QLNR) agreed with the findings, no actual changes to the conservation area status of snow leopard were made, however the project made gains in area for gazelle monitoring
- The snow leopard potential distribution based on suitable habitat in the QMQL landscape:



Source – Gap Analysis report by CAS. Key - Blue lines – QLNR and Datong NR; Green area – potential snow leopard habitat

#### Assessment of Qinghai Ecological Conservation Programs, with reference to QMQL landscape (2023) pp108

- The report focusses on the Qinghai BSAP (2016-30), and undertakes a comparative analysis of five plans against the 'project's' landscape strategy document (see next). The five plans are: QMNP Plan; Qinghai Snow Leopard Protection Plan; Qinghai Lake NP Master Plan Przewalski's Gazelle Protection Plan
- The report highlighted the development of the Przewalski's gazelle conservation plan prepared by Qinghai FGB

#### QMQL Landscape Biodiversity Conservation Strategy & Action Plan (BCSAP) (2023) pp51

- This is a national consultant report that puts elements of the Qinghai BSAP that are relevant to the QMQL landscape into a 51 page report. It is called the QMQL Landscape BCSAP, but unfortunately it lacks substance as a plan, and is not a BCSAP government approved document.

#### Mainstreaming of QMQL Landscape BCSAP into six sectoral chapters of the Qinghai 14<sup>th</sup> FYP (2023) pp187

- Mainstreaming of QMQL landscape Biodiversity Conservation Strategy & Action Plan (BCSAP) into the Qinghai 14<sup>th</sup> FYP in six of its sectoral chapters<sup>16</sup>. Drafts of 14<sup>th</sup> FYP of Qinghai FGB, Natural Resources Department and other departments identified biodiversity conservation as one of key tasks in the future five years.

#### Assessment on the legislation of QMNP (Qinghai section) (2022) pp136

- Review of the park's management regulations, with recommendations to be adopted into planning and policy, with improved coordination mechanisms. The report included 70 recommendations for the legal framework and enforcement regarding the development of the NP adopted into planning and policy.
- A legislation consulting group was established (2020) to work with Qinghai FGB, Qinghai DRC, Hainan Tibetan Autonomous Prefecture, and Maqin County in Guoluo Tibetan Autonomous Prefecture. This helped with the progress of Outcome 1 on legislation and policy mainstreaming objectives. Six pieces of legislation revision were proposed.

Other assessments included:

#### Assessment on the legislation of Qinghai Lake Protected Natural Area (2023) pp141, draft

<sup>14</sup> This area could / would partly coincide with the KBA Eastern Qilian Mountains

<sup>15</sup> The model simulation showed that 80,000 ha can be used as habitat, of which 19,323 ha are located in the reserve, so the potential habitat remains ~60,000 ha. Kuairma district and Shengge Township (Tiantianjun County), have better grassland, which can become habitat; Secondly, Wayu District in Gonghe County should consider expanding habitat; the Halgay railway in Gangcha County and the Ganzi River Railway in Haiyan County causes habitat fragmentation

<sup>16</sup> To achieve this, the project created the 14<sup>th</sup> FYP Strategic Engagement Consulting Group (2020), with 11 members from provincial departments

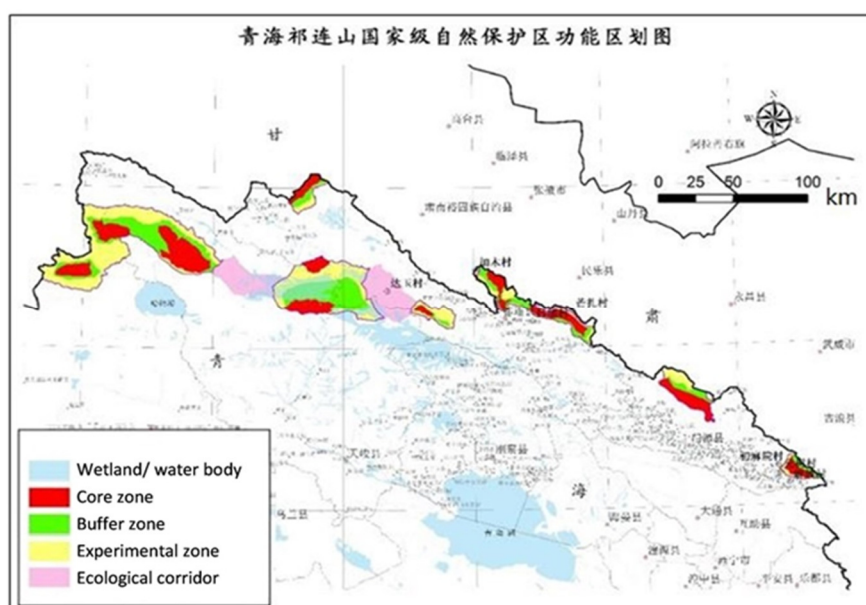
Assessment of the legislation required by the project (2020) pp216

### Analysis

The project assessed a number of government plans<sup>17</sup>, however the adoption of the proposed updates in the legal framework to incorporate conservation (mainstreaming) actions were perhaps limited. Examples:

- Legal framework to incorporate ECAs – ‘Corridor construction’ for Przewalski's gazelle are specifically included in the Qinghai Lake Master plan and the provincial conservation plans
- Legal framework to recognise KBAs into protection - There are 20 KBAs in Qinghai Province. Two KBAs within the project area. Eastern Qilian Mountains KBA (Site Code 15510) is only partly included in the QMNP Pilot; whereas the Qinghai Hu Lake KBA (Site Code 15569) is covered by the Qinghai Lake Master Plan
- Legal framework and conservation financing mechanism to include land conservation easements (under a trust or other state or community management entity) e.g. gazelle areas - There are eco-compensation and community development in the Qinghai Lake Master Plan. Community development will focus on IGAs and the improvement of public services. This is perhaps a form of land easements, but it is not direct funds for conservation, but rather a compensatory mechanism.

### Qilian Mountains Nature Reserve (QMNR) – Master Plan (2017–26) - with PA zoning

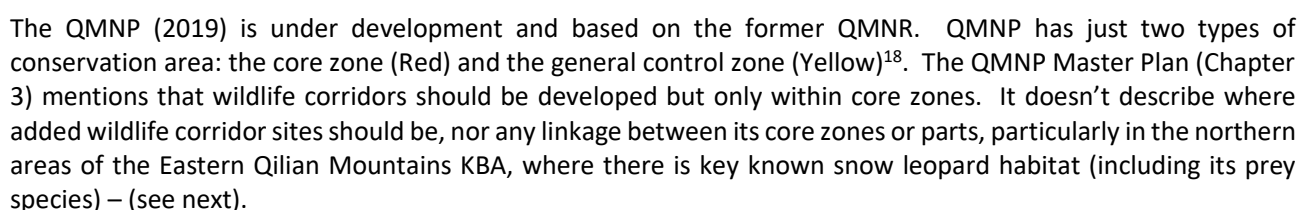


Source prodoc

The QMNR is constructed of 7-8 separate blocks covering an area of 775,400 ha, with a core zone of 230,100 ha. The map indicates the PA zoning, in particular the Core and buffer zones and two ECAs (in pink) to increase wildlife habitat connectivity. In the QMNP Pilot, the ECAs were partly included a core zone, but not completely (see next).

### Qilian Mountains National Park Pilot – Conservation Zones

<sup>17</sup> Inc. Qinghai-Tibet Plateau Ecological Conservation Law; Qinghai BSAP; QMNP Master Plan; Qinghai Lake Master Plan



**Legend**

- County Government Location
- Datong Beichuan River Natural Reserve Boundary
- Suosuo Lin Natural Reserve Boundary
- Qilian Mountain National Park Boundary
- Qinghai Lake Natural Reserve Boundary
- Project Pilot County Boundary
- County Boundary
- Qinghai Lake
- Project Area

**Scale: 1:2,000,000**

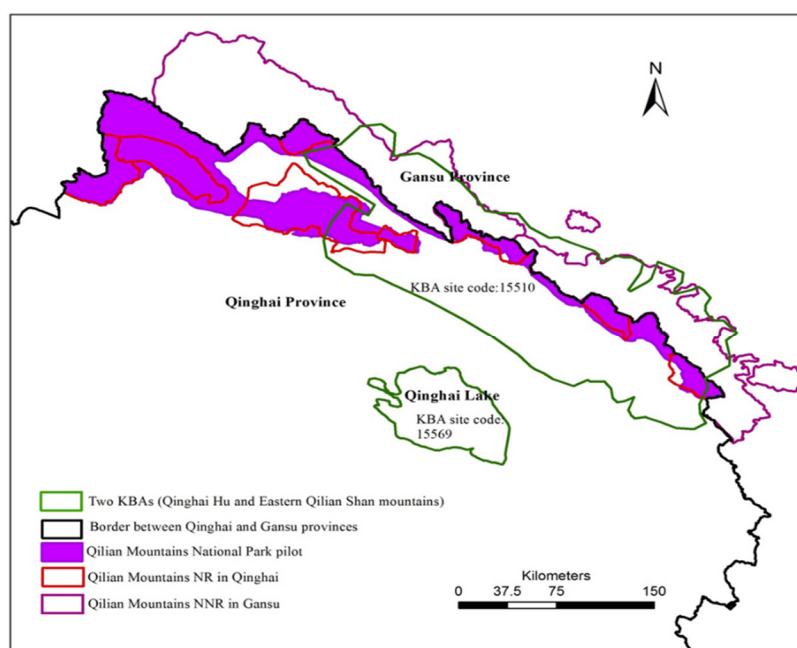
**Habitat Distribution Table**

Year	Grassland Area (km <sup>2</sup> )	Restoration Details
2020	500,000	<ul style="list-style-type: none"> <li>Restoration of 1300km<sup>2</sup> degraded grassland, building 7,500 meters fence and 1000 meters structure poles in Menyuan County</li> <li>Restoration of 1300km<sup>2</sup> degraded grassland, building 2,200 meters fence and 1000 meters structure poles in Genghe, Menyuan County</li> <li>Restoration of 1000km<sup>2</sup> degraded grassland, building 2,000 meters fence and 1000 meters structure poles in Menyuan County</li> </ul>
2021	100,000	<ul style="list-style-type: none"> <li>1800 meters fence, building 1000 meters structure poles in Menyuan County</li> <li>1800 meters fence, building 1000 meters structure poles in Menyuan County</li> </ul>
2022	100,000	<ul style="list-style-type: none"> <li>Restoration of 1300km<sup>2</sup> degraded grassland in Menyuan County</li> <li>Restoration of 1300km<sup>2</sup> degraded grassland in Menyuan County</li> </ul>
2023	100,000	<ul style="list-style-type: none"> <li>Restoration of 1300km<sup>2</sup> degraded grassland in Menyuan County</li> <li>Restoration of 1300km<sup>2</sup> degraded grassland in Menyuan County</li> </ul>

Significant areas of key snow leopard habitat in the project area within the northern parts of Qilian and Menyuan counties was not encompassed by the new boundaries of the QMNP, or if so, they remained as NP general control zone and not core or specific ECA-designated areas.

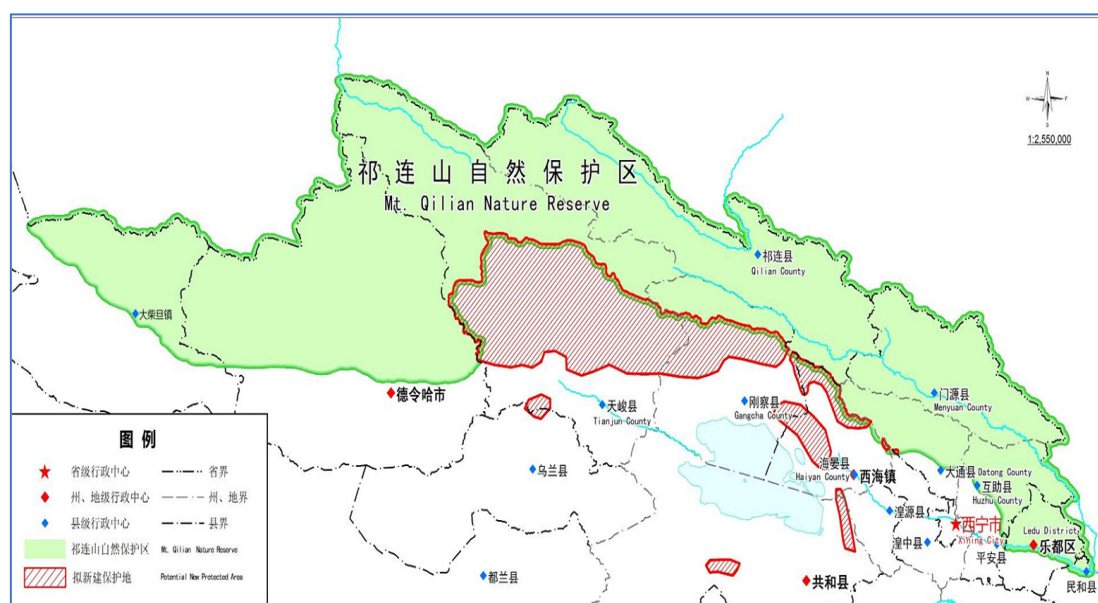
A significant area of the Eastern Qilian Mountains KBA (15510) was also excluded from the QMNP boundary, part of which encompasses the same snow leopard habitat as mentioned. (See also Output 2.1)

TF



Source – prodoc

### Qilian Mountains Nature Reserve



Source – PIF

The two red-shaded areas adjacent to the QMNR indicate potential PA expansion for snow leopard, and the other red-shaded areas indicate potential conservation areas for gazelle. The large potential snow leopard habitat to be protected according to the PIF, is the same inside of the horseshoe shape not included in the QMNP Pilot.

### **Output 1.2 – Policy / guideline for Eco-compensation funds, broader participation of the enterprise sector, and financing mechanisms at the community level, to strengthen the sustainability of PA financing**

#### *Result*

- Report on Sustainable Finance for PAs, with policy recommendations for effective ways of developing horizontal ecological compensation outside the QMQL PAs (indicator 6)
- Project report - Using the National Park System to solve the dilemma of Qinghai Lake Protection (2022) pp12, Chinese

#### *Analysis*

Eco-compensation funds were developed in terms of a HWC insurance claims system that was state-funded and arranged through one insurance company.



## **Output 1.3 - Institutional environment through introduction of PA competency-based professional development and joint capacity building for collaborative PA governance**

### *Result*

#### Main Outputs

- Capacity Building and Development Plan (2021) pp70, English
- Performance Evaluation System for Conservation Staff (2022) pp53, Chinese
- Performance Evaluation System for Conservation Staff Test Set (2022) pp301, Chinese
- Performance Evaluation System Conservation Staff Training Course (2022) pp200, Chinese
- Capacity Building Action Plan for Qilian National Park & Qinghai Lake NNR staff (approved 2021)

There were 16 training courses that focussed on professional PA management standards, with 1,001 staff attending.

### *Analysis*

The project developed and implemented a comprehensive PA competency-based professional development course for conservation practitioners, which also included a Training of Trainer system. This was a significant output of the project.

## **Effectiveness - Outcome 2 Indicators and Outputs**

### **Outcome 2 - Strengthened and more participatory management of the expanded PA sub-system in the Qilian Mountains-Qinghai Lake landscape (3 indicators)**

#### **Effectiveness - Outcome 2 Achievement - Moderately Satisfactory**

The overall grading is Moderately Satisfactory. There were three indicators attached to the Outcome 2 level which were rated as: satisfactory (2); and moderately unsatisfactory (1). Outcome 2 was expected to reduce threats to biodiversity, through: (a) 20,000 ha of degraded grasslands restored through participatory management; and (b) 60,000 ha of habitat under improved management. For the latter (b), the design was to: Create conservation set asides within pastures used by traditional herders - aimed at reducing snow leopard prey depletion (deer) due to high livestock numbers in their place (in the Qilian Mountains NR); and To reduce fencing density to reduce the fragmentation of gazelle habitat (in the Qinghai Lake NNR). These actions were under Indicator 8, which was rated as MU.

The main issue was that a reduction in livestock grazing density was not part of any clear agreement and was voluntary, so it could return to former levels after the project. Also, the figures for differentiating between total fence removal and topwire-only removal for gazelle areas indicated that of this treatment area of 38,846 ha, 20,162 ha (or 52%) were only for the removal of a topwire, so fragmentation and habitat restriction remained especially affecting breeding and juvenile gazelle.

#### **Protected area management effectiveness score (METT Scorecard) (Indicator 7)**

*(GEF Management Effectiveness Tracking Tool (METT) Baseline, Target & Result - see table for scores)*

#### *Result against Indicator*

#### *METT Scores for Management Effectiveness*

<b>Nature Reserve / %</b>	<b>Baseline - December 2017</b>	<b>Target - August 2023: 40% increase</b>	<b>Result (%)</b>
Qilian Mountains NR	31	50	75
Qinghai Lake NR	49	67	74

As the main stakeholders of the project, QLNR and QMNR not only attended PSC meetings but also attended workshops and trainings, and joint-exercises to improve the management effectiveness of their PAs.

### *Analysis*

The METT targets were achieved

#### **Reduced threats to significant biodiversity (Indicator 8)**

*(Baseline, Target and Result – see table)*

### Result against Indicator

The pasture restoration measure was mainly through the closure of pasture areas within a state farm, which was government co-financed. The improved habitat management was mainly the lowering of fences in the Qinghai Lake area to create more open habitat for gazelle.

Measure / Target	Treatment	Compensatory Activity	Result (ha)
a/ Degraded grasslands restored through participatory management (20,000 ha)	3 year grazing ban	Village-level (CNY360 / ha / year	321
	1 year grazing ban	State sheep farm	18,000
		<b>Total</b>	<b>18,321</b>
b/ Habitat under improved management (60,000 ha) (i) Qilian Mountains NR - Reduced livestock in herder's pasture <sup>19</sup> (ii) Qinghai Lake NNR - Fences removed for gazelle; and other measures	Voluntarily reduced sheep numbers by ~180 / sheep / household	Fences removed for CNY6 / ha	38,847
		Fodder threshing machine	13,000
		Winter fodder supplied	14,800
		Tibetan sheep shelters	3,547
		Water well for wildlife	2,333
		Fodder threshing machine	10,133
		<b>Total</b>	<b>82,660</b>

### Analysis

On average, level of sheep grazing reduction was 180 sheep / year / household, however this figure appeared anecdotal, and was based on household and not sheep / ha. Thus its validity was questionable<sup>20</sup>.

### Advances to collaborative PA governance (Indicator 9)

*(Baseline - The State plan for Establishing a National Park System (2017) envisioned a National Park Law and a National PA Management Agency; Target: Two workshops organised with Qinghai & Gansu PA stakeholders; Lessons learned through demonstrations of collaborative PA governance documented and delivered to provincial & national stakeholders)*

### Result against Indicator

One joint workshop concerning Human wildlife conflict (HWC) was undertaken jointly between Qinghai – Gansu CPAR projects. Various assessment reports were prepared, including a review of existing conservation legislation and plans.

### Analysis

Lessons learned concerning collaborative management (co-management) of PAs needed distilling, including the long-term conservation expectations in return for the compensatory animal husbandry interventions, and also the role and supervision of the PMPs, and their needed linkage to reduction in livestock grazing numbers.

Whilst some of the legislative recommendations were adopted, these were mostly on a higher more general level for the 14<sup>th</sup> FYP and two prefecture level policy regulations. However for all the more important master plans (QMNP Pilot, QL Master Plan), there were no changes, except proposals for the QMNP Management Regulations (which have yet to be prepared by government). Furthermore the recommended improvements in conservation legislation appeared detached from the project's QMQL landscape BCSAP, which didn't really encapsulate the assessment report on spatial gaps in snow leopard habitat and its prey needs.

### Output 2.1 - Operationalisation and expansion of the PA sub-system according to the consolidated landscape conservation strategy and action plan

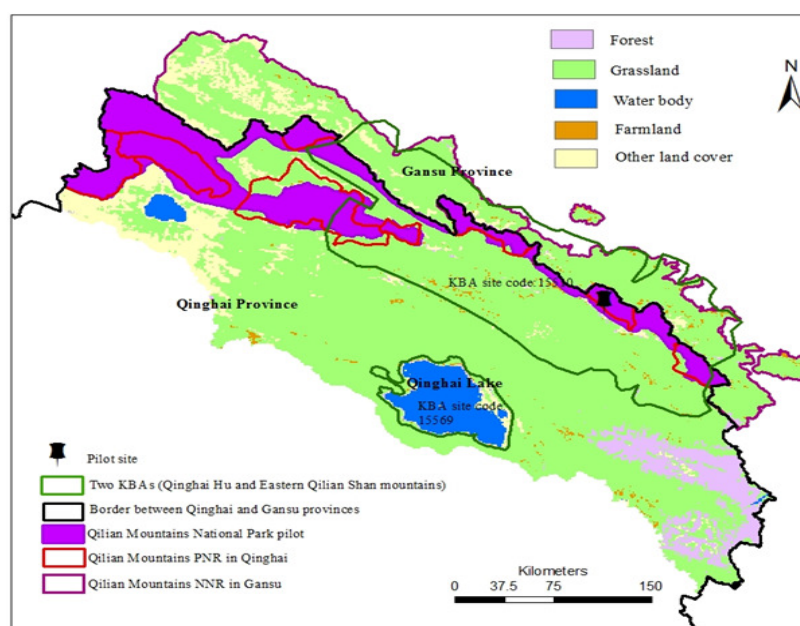
#### Output 2.1

According to the prodoc (p37), the proposed establishment of the QMNP Pilot will entail a major expansion of the area under protection by 804,600 ha from 775,400 ha to 1,580,000 ha on the Qinghai side for the NP. The proposed NP will provide increased ecological connectivity between the existing eight blocks of the Qilian Mountains NR in Qinghai and encompass the NR on the Gansu side; the proposed expansion on the Gansu side is 92,800 ha. The result will also partly include the Eastern Qilian Shan mountains KBA (# 15510)<sup>21</sup>.

<sup>19</sup> The original text included 'hunting pressure' which the TE believes would better be 'pressure of herder dogs'

<sup>20</sup> Source – Tibetan Sheep - Effectiveness Farming Technical Review and Evaluation Report

<sup>21</sup> Eastern Qilian Shan mountains KBA is ~70% grassland and was originally designated as an IBA due to presence of Chinese Grouse *Tetrastes sewerzowi* NT resident; Yellow-eyed Pigeon *Columba eversmanni* VU passage; Black-necked Crane *Grus nigricollis* NT breeding; Eastern Imperial Eagle *Aquila heliaca* VU winter; Pallas's Fish-eagle *Haliaeetus leucoryphus* EN breeding; Ala Shan Redstart *Phoenicurus alaschanicus* NT breeding



Source - prodoc

### Result

Master Plan of QMNP was developed (January 2019) and later launched (June, 2020), but remains in the process of full development and approval. It has expanded the PA estate by 804,600 ha, from 775,400 ha to 1,580,000 ha. The Qinghai Lake National Park Master Plan (2021) was prepared with the aim to expand the PA of Qinghai NNR (4,952 km<sup>2</sup>) to become NP (29,265 km<sup>2</sup>). The newly planned area is expected to cover much more of Przewalski's gazelle habitat, however gazelle population exist far from the lake area (see earlier project area map). This plan is under government development. The project supported the preparation of the Przewalski's Gazelle Conservation Plan (2020). This is also a government plan under development.

### Analysis

All these plans remain under development. In particular the QMNP Pilot was approved in terms of boundary just before the project started, and has not come into operation for the five years since. Thus project / PMO and the FGB have had few staff from the QMNP (under national implementation) to discuss the GEF project design with, and in particular the inclusion of added snow leopard area, ECAs and the Eastern Qilian Mountains KBA. This has meant that the technical landscape approach of the GEF project design was effectively stopped on day one for this key conservation mountain range containing snow leopard. Of concern, the QMNP Pilot mainly covers a strip of forest / mountain ridge land on the Qinghai side of the landscape, and doesn't very effectively cover northern parts of the KBA for Eastern Qilian Mountains. The QMNP Pilot mostly appears to cover forest areas (which would be covered under national welfare forest, but lost the opportunity to include significant areas of grassland, which is key for snow leopard and its 'deer' prey species.

In terms of covering the two ECAs identified within the Qilian Mountains Nature Reserve (QMNR) Master Plan (2017-26) [see earlier], the new QMNP has mainly included the two areas, but only partially as core area, with some remaining areas under much lesser conservation protection, as general control zone.

The PMO was unable to provide the snow leopard action plan (2019, draft) to the TE. It was reviewed by the project in 2020.

For the Qinghai Lake landscape, the project provided a technical review for the Przewalski's gazelle conservation plans, however it has yet to be updated. The KBA for Qinghai lake only covers a small margin around the lake and is mainly designated due to it being a waterbody for birds. The KBA was not designed to cover gazelle habitat.

### Output 2.2 - Strengthen capacity, coordination and partnership across the QMQL PA sub-system

The aim of this output was to establish village committees and herder groups, allowing the local communities to develop pasture management plans (PMPs). The bottom-up approach was to produce a local stewardship / 'ownership', that was lacking in the 'without project' baseline scenario. Conservation capacity of field staff and community rangers was to be strengthened. The main activities expected were:

- Two participatory village management committees – for Dayu and Gonggongma in Qinghai Lake NR area

- Two participatory herder groups grazing within Liuhuanggou and Laohugou Ranger Station patrol territories of Qilian Mountains NR.
- Five-year PMPs for two villages at Qinghai Lake NNR and two herder groups grazing within in the patrol areas of Liuhuanggou and Laohugou management stations<sup>22</sup>. (Qinghai Lake Hudong Breeding Sheep Research Farm, was expected to be engaged in the implementation of PMPs in the Qinghai Lake area.) *(Note, in order to avoid confusion in reporting, the PMP interventions are described here, and not under Output 2.3)*
- Enable biodiversity monitoring and PA enforcement systems, with field equipment such as infrared cameras, to understand snow leopard predator – prey habitat in particular in the QMQL landscape. To increase community patrols (proactively selecting women and ethnic minorities) for PA enforcement using new technologies (Smart patrol) and to monitor the PMPs in the area.

## Result

### Coordination and Committees

- Established village project management committee (VPMC) in seven villages. Activities were: wildlife monitoring & patrolling, grassland restoration, purchase of fodder threshers, boreholes, Income-generating activities (IGAs) – use of excavators, driving lessons
- Nine co-management agreements signed with pilot villages
- Five herdsman patrol groups created and provided with equipment (3 groups in Qinghai Lake, 2 in Qilian Mountains)
- PMO coordinated QLNR to monitor all gazelle populations, including Yuanzhe Village and Daotang River in Gonghe County, Eastern Qinghai Lake, and Qieji Township, Gonghe County, Southern Qinghai Lake. These areas were not monitored prior to the project (2019)
- Notice on Establishing Project Demonstration Site Management Office (2019) pp3, Chinese
- Over 50 coordination meetings were held concerning gazelle conservation and management

### PA patrol and enforcement systems

- Equipment for institutions (QMNP, QLNR and county natural resource management bureaus) and staff in the QMQL project area - equipment for patrolling / monitoring. E.g. motorbikes, infra-red camera traps, telescopes, SMART patrol app and terminals
- Equipment local community wildlife protection - 12 motorcycles and 40 patrolling packages (2022)

### Pasture Management Plans (PMPs)

- Four 5-year PMPs (2022) ~55pp each, Chinese – covering the four villages of Sujiwan, Dongtan (Huangcheng Township), Dayu and Tangqu – the plans were adjusted in 2020 and improved in 2023 with FGB support to continue after the project. The plans include livestock management, grassland rehabilitation, and monitoring (contractor - Chongqing Mingke Co.)

The villages of Dayu and Tangqu are located in the Qinghai Lake area. The villages of Sujiwan and Dongtan (in Huangcheng Township) are located in the Qilian Mountains (National Park) area and have pasture which is within the patrol boundaries of Laohugou and Liuhuanggou Protection Stations respectively.

Village	Village area (km <sup>2</sup> )	Total pasture area (ha)	Summer pasture (ha)	Winter pasture (ha)	Capacity for Summer pasture (sheep / ha)	Capacity for Winter pasture (sheep / ha)	Fodder production fields (ha)
Dayu village	247	21,333	8,000	13,333	1.16	0.59	87
Tangqu village	10	413	0	413	0.94	n/a	40
Sujiwan village	53	3,267	0	3,267	0.91	0.46	287
Huangcheng Township	742	42,400	27,533	13,667	0.91	0.46	470

Source – Project PMPs. Note - The PMP areas were the same as the villages' total pasture areas; the grassland type was alpine meadow, except for Tangqu village with 'Warm steppe'

### PMPs within the areas of the two State Forest Units

<sup>22</sup> Note on PMPs (Extract edited from prodoc) - Five-year PMPs will be prepared, with actions for two villages at Qinghai Lake NNR and the pastures utilised by the herders in the territory under the Liuhuanggou and Laohugou patrol stations. The PMPs will remove fences, new approaches to herders' pasture borders, livestock management, grassland restoration, conservation set-asides, HWC management, biodiversity monitoring and enforcement. The PMPs will be consistent with the NR regulations, proposed ECAs for gazelle, and QMNP. The PMPs will be updated annually, after review by village committees, herder groups, and the PMO.



The Liuhuanguogou and the Laohugou Protection Stations belong to Haomen State Forest Unit of Menyuan FGB, but they are also responsible for national park conservation actions. Dongtan Village (in the area of Liuhuanguogou Station) and the Sujiwan Village (in the area of Laohugou Station) developed PMPs, as they hold collective land tenure grazing rights. The project supported coordination between the village committees and the two stations. The protection stations are responsible for monitoring grassland health and enforcing any grazing control (pasture closure, entry / exit seasonal timing).

In particular, the summer alpine pastures of the two villages are located in the patrol areas of the two stations. (The patrol area for Laohugou station is 13,435 ha, and for Liuhuanguogou station is 15,283 ha)

Smart patrolling includes monitoring human / livestock activity in these areas, as well as standard wildlife monitoring under the new mobile app system

#### PMP grassland management method

- Disseminating grassland protection related laws and regulations
- Strengthening regular monitoring of grassland ecological environment, helping with general survey, and dynamic monitoring of grassland resources, and timely collect the changes in grassland ecological environment and vegetation
- Strengthening rational grazing, balance grassland management and sustainable utilization
- Rectifying destructive behaviour, effective management methods for illegal occupation of grasslands, illegal animal husbandry, and destruction of grassland environment, and increase strict punishment and management efforts

#### Analysis

##### PMPs

It was expected that the PMPs would be used as vehicles or approaches to work with the two villages and two herder groups to achieve the targets in the next output which were: 20,000 ha of degraded meadow pastures restored; and 60,000 ha of habitat under improved management.

The prodoc became slightly unclear / vague in design concerning the two PMPs covering 60,000 ha in the Qilian Mountains NP (QMNP) / Qilian Mountains landscape. Whilst the territory and herders were identified, the prodoc lost focus and emphasized again 'voluntary de-fencing, installation of wildlife gates into fence lines, applying alternative non-fence property delineation', and then only mentioned afterwards 'voluntary reduction of livestock numbers, enforcing ecological corridor rules / bylaws, conservation set-asides or other collaborative agreement with local herders'.

The issue with the PMPs (concerning grazing) is that they cover the whole of the villagers existing pastures with no change in pasture management concerning the stocking density, seasonal timing, or rotational measures. They follow existing practice. The carrying capacities also appear to be based on pasture area divided by numbers of sheep units, as opposed to a scientific method based on grassland health surveys. The grazing control areas within the patrol areas of the two protection stations and the classification under the new QMNP boundary was not clear. There were no maps with the PMPs.

#### Smart patrol systems

An improved patrolling regime was created, which was based on improved data collection with *pro-forma* templates, using mobile phones and an app. The Smart system<sup>23</sup> has enabled improved patrolling with routes, the logging of data, and the collection of camera trap data (from the data cards). If the cell tower network was sufficient, then the cameras could also be fitted with SIM cards for telemetric data transfer, which would provide real-time information, as opposed to standard data card collection while on patrol. However batteries, which can last 4-6 week would still have to be changed periodically.

What was not clear in the project's smart system, was the collection and storage system for the data, its analysis and who would undertake the management of this. For example the app had been designed with basic functions, but had yet to get to the level of being coded for analysis or compilation of analysed data. The subsequent use of this data was also unclear, and whose responsibility to make management decisions based on it were also very unclear. There was no protocol on data collation, storage, analysis and conservation decision-making reporting, between the QMNP (under SFGA management), and the Qinghai FGB (with provincial responsibility for biodiversity conservation, and existing management of the ranger protection stations within the new QMNP area)

<sup>23</sup> Spatial Monitoring & Reporting Tool was originally developed by the US NGO Wildlife Conservation Society (WCS) to generate GPS located wildlife in its habitat and wildlife crime data

### Output 2.3 - Participatory habitat restoration & management arrangement within the expanded PA sub-system

The focus of Output 2.3 was on demonstrating the restoration of degraded habitats and improved habitat management through community co-management<sup>24</sup>. The output also concerned improved management of the human wildlife conflict (HWC).

In brief, the main target activities expected were:

- (a) 20,000 ha of degraded meadow pastures restored
- (b) 60,000 ha of habitat under improved management
- (c) Human-wildlife conflict (HWC) management - workshops inviting herders, local units, NGOs and insurance companies, sharing details on attacks and damage and consider using technologies, such as mobile apps to collect data for expediting a compensation process

The output encompassed a major part of the project to restore and protect habitat in the QMQL landscape, and included a significant number of activities, including the production of PMPs which were presented in the preceding section.

#### Result (a)

Measure / Location / Target	Area / Activity	Result (ha)
Degraded grasslands restored through participatory management (20,000 ha)	Qilian Mountains Area	150
	Qinghai Lake NNR	171
	Qilian Mountains area (state farm)	18,000
	<b>Total ha</b>	<b>18,321</b>

Grassland restoration was undertaken covering 18,321 ha, of which 18,000 ha was co-financed by the government Qilian Mountains Ecological Conservation & Integrated Management program (2014-20) in its last year, utilising the Hudong sheep breeding research farm, and 321 ha financed by the project (150 ha in QM, and 171 ha in QL), utilizing village pasture.

Part of the restoration treatments included re-seeding. The project restored the 117 ha degraded grassland for five households and Hudong Breeding Sheep Farm. Three species of perennial grass seeds were sown. The area was then fenced for 3 years<sup>25</sup>.

The pasture restoration measures (for 18,000 ha) under the government program within Hudong sheep breeding farm (total size of 39,600 ha) in the Qilian Mountains area were<sup>26</sup>:

- One year grazing ban
- Rotational grazing conducted between winter and summer grasslands
- Patrol for weeds, pests, rodents, fire, wildlife

Management measures for 321 ha by project for village areas:

- Grazing ban for three years
- Compensation<sup>1</sup> for the measures at CNY360 / ha / year including for the three-year grazing prohibition
- After three years, return to rotational grazing between seasonal winter and summer pastures
- Patrol for weeds, pests, rodents, fire, and wildlife

#### Result (b)

<sup>24</sup> Note on grassland restoration and habitat improvement management (prod doc edit) - **Restore degraded grasslands** - Fencing has been widely used, but the fenced areas create problems, for wildlife migration, reduce gene flow and increase wildlife mortality. The project will apply non-fencing approaches. The measures should include natural regeneration with participatory management by herders, planting native grassland species, rodent control, and supplementing fodders for gazelle / livestock in winter. For the Qinghai Lake area, restoration of grasslands is targeted in Gangcha County (Gonggongma village) and Haiyan County (Dayu village) where there are most of the gazelle. Restoration will also be considered in the Qilian Mountains NR, depending upon the PMPs; and

**Habitats under improved management** - the PMPs will identify actions in the landscape strategy and the NR management plans. They could include voluntary de-fencing, installation of wildlife gates into fences, non-fence areas, voluntary reduction of livestock numbers, enforcing ECA rules / bylaws, establishing spatial separation between wildlife and livestock, e.g., through conservation set-asides or other agreements with herders.

<sup>25</sup> Grassland Restoration Project (2020) pp 68, Chinese - Qinghai Xuri Forestry Survey & Planning Design Company

<sup>26</sup> The sheep breeding farm was also involved in the ECA establishment, and part of the project measure (136 ha out of the 171 ha) in the Qinghai Lake area

Measure / Location / Target	Area / Activity	Result (ha)
Habitat under improved management (60,000 ha)		
(i) Qilian Mountains NR: Conservation set asides within pasture managed by herding groups to reduce prey depletion due to excessive livestock (and herder dogs) <sup>27</sup>	Fodder threshing machines	13,000
(ii) Qinghai Lake NNR: Reduction in fencing density in fenced to reduce habitat fragmentation	Fence-removing & lowering	38,847
	Winter Fodder Supply	14,800
	Tibetan sheep shelter raising	3,547
	Water wells for wildlife	2,333
	Fodder threshing machines	10,133
<b>Total /Ha</b>	<b>Total ha</b>	<b>82,660</b>

Additionally, the project added a conservation treatment area of 11,000 ha in Huangcheng Township, which is outside the boundary of QMNP, by providing compensatory fodder threshing machines). Plus an added 67 ha degraded grassland were restored in Dongtan village in Huangcheng Township. The project considered this as 11,067 ha as added conservation area, outside the QMNP.

#### Interventions

- 67 ha degraded grassland restored by 5 herder households in Dongtan village in the Qilian Mountains area (Spring 2022)
- 111.6 km of fence was removed in five sub-villages in Qiaofudan village, Qieji Township, Gonghe County (2021) for ecological corridor construction. Thereafter, in 2021, over 200 Przewalski's gazelle was monitored in this area
- 330 ton fodder was purchased in 2021 and distributed to 222 herders in the habitat area of Przewalski's gazelle
- 172.8 km of fence was removed for ecological corridor in the collective area of Eastern (Hudong) Lake Breed Sheep Farm (2022) with support of 196 households. It covers the Przewalski's gazelle habitat of 8,780 ha.

Note that the PMPs covering >40,000 ha of four villages (Dongtan Village, Sujiwan Village, Dayu Village and Tangqu Village) is not included here; the fence lowering activity was considered as an ECA measure.

#### Equipment and materials

- Livestock / gazelle feeding in winter / spring - distribution of 260 tons of fodder grass to herdsman in Dayu, Hudong Sheep Farm, Southern Bank Protection Station.
- Fodder threshing machine (x347 in 9 villages)
- Water wells (x7) were drilled for communities and wildlife
- Nan'an Management & Protection Station Construction Project

On average, level of sheep grazing reduction was 180 sheep / year / household.

#### Result (c)

##### Training

- Conservation Volunteer Management Regulations with volunteer participation in biodiversity conservation
- HWC training, including bear defense – in Qilian, Menyuan, Tianjun Counties and Delingha City
- HWC brochure, with 15,000 copies distributed to communities
- Bear & wolf prevention handbook

The project developed an eco-compensation insurance scheme for the damage due to human-wildlife conflict. An insurance company was engaged by the project to pay out compensation on claims. This also fostered stronger herder support for the conservation of wildlife.

#### Analysis

What the project actually did was to fence small areas for fodder production (i.e. farming intensification); remove some fences or the topwire for gazelle in lowland areas, but failed to really work on the PMPs which were prodoc-targeted for the higher hills where the herders seasonally live with their livestock, without clear guidance or control of livestock numbers. However, the PMO indicated that the FGB and their subordinate offices, monitor pasture health three times a year (spring, early summer, and winter), to determine livestock carrying capacity. Under the FGB, the FGB's Academy of Grassland Science is also responsible for associated data and input. Despite this, the actual level of scientific input and the feedback system was difficult to determine.

<sup>27</sup> Changed by TE from excessive hunting to pressure of herder dogs

The prodoc conflated lowland pasture under fencing, with alpine open pasture, which was unfortunate. The issue of mis-understanding (in GEF project designs) between lowland (winter pasture), midland (spring pasture) and alpine (summer pasture) is common, and affected the design and implementation of this GEF project that needed to focus on such upland pasture (meadow ) protection for wildlife and ecosystem services. The project missed an opportunity to conduct a significant conservation intervention for the habitat of snow leopard, other wild herbivores, and Przewalski's gazelle.

#### **Output 2.4 - Interventions for sustainable livelihoods, enterprise sector involvement and conservation financing to improve community benefits and biodiversity threat reduction**

##### *Result*

The project signed co-management agreements concerning natural resource management with direct incentives and other actions including: patrolling employment, fodder threshing machines, *in-situ* provision of water and fodder for wildlife in the winter, set-aside areas, hunting control (dogs), IGAs (vocational training).

Item	No.	Unit
Herdsmen patrol groups	5	groups
Winter Fodder Supply	754	ton
Fodder shredders	178 + 168	set
Water well for wildlife	7	wells
Tibetan sheep shelter raising	7,600	sheep
Ecotourism support	17	households

##### Other development activities

- Tibetan Fragrant Pig Breeding pigsty construction
- Eco-tourism plan of Tangqu (2021) pp60, Chinese; Eco-tourism plan of Dayu (2021) pp58, Chinese; Eco-tourism plan of Dongtan (2021) pp58, Chinese; Eco-tourism plan of Sujiwan (2021) pp60, Chinese
- Eco-tourism guidebook of Sujiwan (2021) pp2, Chinese; Eco-tourism guidebook of Dongtan (2021) pp2, Chinese; Eco-tourism guidebook of Tangqu (2021) pp2, Chinese; Eco-tourism guidebook of Dayu (2021) pp2, Chinese
- Technical Report for Demonstration Village Eco-tourism Development Project (2023) pp45, Chinese
- Sujiwan Village Ecological Tourism Demonstration Households
- Tibetan homestay project with six families joint venture – with project logo brand
- Driving, women's leadership, excavator operation, embroidery, welding, electrician, E-commerce

##### *Analysis*

The project undertook a number of integrated conservation and development activities, mainly for seven villages, and grouped them together under the title of 'pasture management plans' (PMPs), however the changes in pasture management regimes were voluntary and based on reward of receiving project inputs as compensation or alternatives, such as new IGAs. The permanence of the 'project-indicated' voluntary reduction in livestock numbers, was difficult to determine.

#### **Effectiveness - Outcome 3 Indicators and Outputs**

##### **Outcome 3 - Sustainability enhanced through effective monitoring & evaluation, knowledge management, and social inclusion (2 indicators)**

The overall grading is **Satisfactory**. There were two indicators attached to the Outcome 3 level which were both rated as: satisfactory (see **Annex 1**)

The indicators concerned the transfer of project conservation knowledge and the measuring of this. As the training data indicates a significant amount of time was spent undertaking various training events. The reason for not rating Outcome 3 as highly satisfactory is that the project design was for Outcome 3 to feed into and allow the achievement of the Overall Objective, Outcome 1 and Outcome 2 in particular. In the case of Outcome 2 and key indicators 1 and 8, there were some short-comings. In other words, the training being undertaken was not necessarily sufficiently targeted at government decision-makers.

##### **Knowledge management (Indicator 10)**

*(Baseline – 0; Target – Five lessons learned completed and uploaded onto biodiversity knowledge platform; Two stakeholder workshops to disseminate results)*

### Result against Indicator

Six lessons learned were completed and will be published in the Journal of Qinghai Forestry Society:

- Ecotourism development in Dayu Village - Drawing 'Concentric Circles' to Promote Community Development – A project for Traditional Livelihoods
- Transformation from the Perspective of Attention Distribution by local government
- Promote traditional crafts, develop eco-tourism and explore diversified livelihoods
- Efficient Tibetan sheep breeding promotes plateau grassland resources
- Community co-management practice for conservation of Przewalski's gazelle in Qinghai Lake
- Gender mainstreaming case

There were 14 stakeholder workshops undertaken including:

- SESP Workshop; ESIA Workshop; Gender Mainstreaming Workshop
- Participating the Cop-15 Biodiversity Conference

### Analysis

The project's lessons learned are described in this report within the relevant Outputs<sup>28</sup>.

### Level of knowledge, attitudes and practices (KAP) of stakeholders, as measured by KAP surveys (Indicator 11)

(Baseline & Target – see tables)

### Result against Indicator

Baseline was conducted May 2021

Target Group (%)	Average	Knowledge	Attitude	Practices
PA staff	50	53	57	40
Community Members	42	42	59	25
Students	62	45	83	58

Final result of KAP (2023):

Target Group (%)	Average	Knowledge	Attitude	Practices
PA staff	55	58	59	48
Community Members	39	38	59	19
Students	66	50	85	64

### Analysis

The baseline was late due to the identification of a contractor, and due to covid.

### Output 3.1 - Project management supported by steering committee and inclusive monitoring & evaluation

#### Result & Analysis

The Output should be considered as an Input, and not part of the logframe. Project management is discussed in this report in the relevant section.

### Output 3.2 - Results shared through implementation of a Knowledge Management Action Plan

#### Result & Analysis

- Qilian Mountain Bear & Wolf Prevention Handbook (2021) pp9, Chinese
- Technical Report for HWC (2022) pp53, Chinese with English abstract
- Qinghai Lake textbook (2021) pp91, Chinese
- Qilian Mountain Textbook (Grades 1 to 3) (2021) pp80, Chinese / Textbook (for Grades 4 to 6) (2021) pp138, Chinese
- Przewalski's Gazelle in Haibei Prefecture and HWC discussion (2021) PPT, pp19, Chinese
- Case Study - Ecological Tourism Development in Dayu Village (2023) pp25, Chinese with English abstract
- Case Study - Transformation of Grassroots Government (2023) pp14, Chinese with English abstract

<sup>28</sup> TE lessons learned presented in Section 6.2 are different, and based on the implementation of the whole project against its design

- Case Study - Traditional craftware, ecotourism, & diverse livelihoods (2023) pp18, Chinese with English abstract
- Case Study - Efficient Tibetan Sheep Breeding (2023) pp14, Chinese with English abstract
- Case Study - Qinghai Lake Co-management of Przewalski's Gazelle conservation (2023) pp15, Chinese, English abstract
- Gender Mainstreaming Good Practice (2021) pp8, Chinese
- Volunteer management project (2022) pp70, Chinese / Volunteer measures - English (2022) pp28, Chinese
- Primary School Nature Education Knowledge Textbook (2022) pp27, Chinese with English abstract
- Events
- Tibetan sheep breeding promotes plateau grassland resources
- Community co-management practice for conservation of Przewalski's gazelle in Qinghai Lake

Various knowledge management products were produced.

### **Output 3.3 - Inclusive participation of local communities, including women and ethnic minorities facilitated through implementation of environmental and social management framework (ESMF)**

#### *Result*

- Indigenous Peoples Plan (IPP) (2022) pp48, English
- Gender Mainstreaming Action Plans (2020 to 2023) ~pp4, Chinese
- Environment Social Impact Assessment / Environment Social Management Plan ESIA / ESMP (2022) pp170, English
- SESP

#### *Analysis*

See relevant section for the review of these plans.

### **3.3.3 Training, Awareness & Knowledge Products**

Whilst many of the inputs in training, awareness and knowledge products have been put directly into the main logframe design, it is also useful for the TE to provide a standard presentation of this information.

#### Training and awareness figures

No. of Days	Participants	of which Women	% Women
684	2,561	778	30

The project invested a significant amount of time in training.

A full list of training events is presented in **Annex 5**.

#### Selected list of training events

- Training:
- Performance evaluation system for conservation staff
- Training of Trainers for Technical Staff in Landscape Protected Area
- Training Curriculum for Conservation Staff / Test question bank for Conservation Staff from Level 1 to 5 (a test exercise in the systematic management of conservation staff and their performance throughout all China national parks)
- FGB staff capacity building training (x4) on biological security and biodiversity conservation, monitoring and patrolling
- Integrated Management and Performance Evaluation System for staff of the QMNP
- QMNP Station to station trainings (x4) for conservation staff - patrolling, wildlife monitoring, and protection
- Professional Ability Training for Ecological Management and Protection Staff in Haixi prefecture
- Grassland Monitoring and Management
- PA Human-Wildlife Conflict Training
- Professional training for Ecological management in the Qilian Mountains Management & Protection Stations - Laohugou, Liuhuanggou, Qingyanggou and Daladong
- Ecological Management and Protection
- Natural Resource Patrol & Monitoring in Qinghai Lake
- Alternative livelihood trainings inc: Embroidery; E-commerce; Excavator use; welding; Electrician; Leadership for Women; Driving; Ecotourism Instructors; High Efficient Tibetan Sheep Breeding
- Village Ecological Lecturer training (x2) delivered by: Qinghai Lake Protection & Utilization Administration and Three-

River Source NP - Over 50 herdsman who are practicing eco-tourism activities participated  
- Qinghai and Gansu combined projects HWC workshop.

#### Knowledge Products, Awareness & Promotional Materials

- Display Board (2021) pp21, Chinese
- Portable Display/Exhibition Board (2021) pp6, Chinese
- Cultural and Creative Products (2021) pp8, Chinese
- Newsletter from Mar 2019 - 23 (x4)

#### Selected list of technical (consultant) materials

- Gap Analysis on the Protection Vacancy of QMQL (2020) pp52, Chinese with English Abstract
- Using the National Park System to Solve the Dilemma of Qinghai Lake Protection and Utilization (2022) pp12, Chinese
- Assessment Report on Legislation of GEF6 Project (2020) pp216, Chinese
- Assessment Report on Legislation of (2022) pp136, Chinese
- Assessment Report on Legislation of Qinghai Lake Protected Natural Area (2023) pp141, Chinese
- Performance Evaluation System for Ecological Conservator Staff (2022) pp53, Chinese; Test Set (2022) pp301, Chinese
- Mountains & Qinghai Lake (2023) pp51, Chinese with English abstract
- Capacity Building & Development Plan (2021) pp70, English

In terms of project involvement as a whole including all activities as well as training, the project reported 34,000 beneficiaries, or which there were >10,000 direct beneficiaries. Ethnic groups involved included Tibetan, Mongolian, Hui and others, with women's participation overall at ~40% (source PMO / CTA presentation 5<sup>th</sup> September 2023, Xining).

### **3.3.4 Efficiency, Relevance and Ownership**

#### Efficiency

Efficiency Rating – Moderately satisfactory

Whilst there was a reasonable budget which was utilised fairly effectively, there was a very high emphasis on training events. An issue with the design was that most of the project's key interventions were crammed into Outcome 2, and whilst there was a high level of input and activities within this outcome, the long-term tangible results were less definitive or demonstrated to be effective. The project seemed constrained in legal terms by the establishment of the QMNP Pilot which was approved but lacked an overall administrative body to talk to, but rather administrative jurisdiction for conservation was strengthened between a number of allied government offices.

#### Relevance

The measures were required under the UN Convention on Biological Diversity (CBD, 1992), of which China became a member in 1993. The project was designed to address Aichi Targets 5 and 11, concerning loss of habitat and PA expansion and connectivity. The expected outcomes / outputs were directly linked to GEF-6 Focal Area - Biodiversity - 1 – Improve sustainability of PA systems (BD-1.1 - Financial Sustainability & Effective Management of National Ecological Infra-structure; BD-1.2 - Expanding the Global PA Estate). The project also remained relevant to the Focal Areas. E.g. in supporting two threatened species action plans, that of snow leopard and Przewalski's gazelle.

The project was in-line with the NBSAP and UNDAF country programming (2016-20). The project design remained highly relevant. (See Section 2.1 Development Context)

#### Ownership

Whilst the ownership of the interventions with communities was very high. The ownership by government of the project's legal recommendations and update of legislation was variable. Government plans on a higher-level included biodiversity mainstreaming aspects, but too much emphasis was put on this, and not enough on the habitat management needs of key wildlife within the QMNP and adjacent key habitat areas. The project's main vehicle to approach this was the QMQL BCSAP, but it turned out to be a re-iteration of the Qinghai's biodiversity plan, without substance or following on from the project's spatial gap analysis for snow leopard in particular. As a result, the project worked much more with communities in the lower lands, in providing compensatory measures

for improved gazelle conservation<sup>29</sup>.

The collaborative link with QMNP administrators at the national level and FGB at the Qinghai Province level was not evident, with both appearing to be running on different tracks. This appeared to be an institutional issue. The fact that QMNP remained ‘on paper’ for the project’s five years made this seem all the more poignant. The lack of emphasis on the FGB’s snow leopard action plan added to this feeling.

However, as part of the implementing the QMNP pilot plan, Qinghai government determined a number of responsible bodies to work together: QMNP Management Bureau; Haixi Prefecture Work Coordination Office; Haibei Prefecture Work Coordination Office; four FGB county management bureaus; nine management centres; 40 protection stations; and the QMNP Service Guarantee Centre.

### Mainstreaming

Mainstreaming documents produced or supported by the project:

- Biodiversity Conservation Strategy & Action Plan of Landscape Areas of QMQL (2023) pp51, Chinese with English abstract
- Mainstreaming QMQL landscape BCSAP into Qinghai 14<sup>th</sup> FYP (2023) pp187, Chinese, English abstract
- Assessment of the Strategic Direction of Qinghai Ecological Conservation Programs in QMQL (2023) pp108, Chinese with English abstract

Biodiversity conservation was mainstreamed (emphasized) in the 14<sup>th</sup> FYP as well as the Tibet Autonomous Prefecture Regulations for both Haibei and Hainan constituencies, and QMNP Qinghai District Management Regulations.

### **3.3.5 GEF Additionality**

GEF ‘additionality’ considers the added value of the GEF funding, above what it would have been without the investment. The concept is one where GEF finances the increment or additional costs associated with transforming a project with national benefit into one with added global environmental benefit. Such ‘incremental cost funding’ is a fundamental operating principle of the GEF. This ‘additionally’ can be broken down into six categories, and whilst they are covered within the report, they are summarised here against the project’s ‘incremental design’.

<b>Additionality</b>	<b>Design Increment</b>	<b>Result</b>
<u>Environmental</u> (interventions / services to achieve the global environmental benefits (e.g. CO <sub>2</sub> reduction))	<ul style="list-style-type: none"> <li>- The project will promote grassland restoration through participatory arrangements. Pasture management plans (PMPs) will be created, with habitat restoration. Partnership with government programs will be imperative, with GEF resources providing incremental support for:</li> <li>- (i) implementing restoration with limited or no fencing; (ii) agreement among herder groups on reducing livestock numbers; and (iii) agreements on conservation set-asides (Output 2.3)</li> </ul>	<ul style="list-style-type: none"> <li>- The aim was mainly for alpine and sub-alpine pasture, however the project focused on voluntary reduction in livestock numbers in return for alternative and compensatory actions (winter fodder provision, fodder threshing machines, payment for fence removal, fodder field replanting), which were direct replacement actions to reduce grazing pressure. However, the focus of these actions were nearly all in the lower grassland fields.</li> <li>- The actual reduction in grazing pressure in the higher pastures was not monitored. Thus the benefits to ecosystem services or wildlife was not known.</li> </ul>
<u>Legal / Regulatory</u> (environmental improvement through legal change)	<ul style="list-style-type: none"> <li>- Legal framework to capture priorities and best practices; for example, including incorporating ECAs and recognising Key Biodiversity Areas (KBAs) into protection (Output 1.1)</li> <li>-</li> </ul>	<ul style="list-style-type: none"> <li>- The QMQL Landscape BCSAP was expected to be a key document, but it lacked substance and was not adopted as a legal document</li> <li>- ECAs / KBAs were not really included as part of the legal framework, except as general conservation ideas mentioned in higher-level</li> </ul>

<sup>29</sup> The PMO provided a justification for this (paraphrased) – ‘Projects were adaptive to embed local development strategies and leverage project advantage. After the establishment of QMNP, there were many projects, investments, and a stronger systematisation of habitat management. The Qinghai region has corresponding alpine grassland restoration and control projects and special funds (which were part of the project co-finance). For example, in 2022, QMNP conducted 4,000 ha of grassland restoration with US\$39,000. Thus, the project didn’t insist on conducting more grassland restoration activities in QMNP, but instead conducted more grassland restoration activities in the relatively weak Qinghai Lake area.’ From the TE viewpoint, a visit to these QMNP pasture restoration areas would have been useful.



		plans
<u>Institutional / Governance</u> (improvement via change in institutional behaviour or operational methods)	<ul style="list-style-type: none"> <li>- The PA system needs to be put into operation with management staff</li> <li>- Training of PA staff institutionalised</li> </ul>	<ul style="list-style-type: none"> <li>- The collaborative link with QMNP administrators at the national level and FGB at the Qinghai Province level was not clear. This appeared to be an institutional issue. The fact that QMNP remained 'on paper' for the project's five years made this seem all the more poignant. The lack of emphasis on the FGB's snow leopard action plan added to this feeling.</li> <li>- The project's PA staff competency training modules and testing was successful</li> </ul>
<u>Financial</u> (incremental cost which allows country benefits into global environmental benefits)	<ul style="list-style-type: none"> <li>- The legal framework will address conservation financing mechanisms, such as conservation easements, and community co-management (Output 1.1)</li> </ul>	<ul style="list-style-type: none"> <li>- The TE assumed that land conservation easements would include the ECAs and their financing, however this wasn't the case</li> <li>- The <i>modus operandi</i> of the project was to partly focus on community co-management where herders / villagers had land tenure or grazing rights, but then also focus on more classic integrated 'development' activities as alternatives</li> </ul>
<u>Socio-Economic</u> (livelihoods & societal benefits)	<ul style="list-style-type: none"> <li>- Participatory pasture management that addresses conservation and socio-economic objectives, and can be scaled-up (Output 3.3)</li> </ul>	<ul style="list-style-type: none"> <li>- The project provided the villagers with 'Livelihood Capital Assets'<sup>30</sup>. These included: <ul style="list-style-type: none"> <li>- <u>Natural</u> – development of four demonstration pasture management plans</li> <li>- <u>Human</u> – provided demonstrations in re-seeding degraded fodder fields</li> <li>- <u>Physical</u> – beneficiaries were provided equipment and tools to develop their farming, and alternative income generating activities</li> <li>- <u>Social</u> – seven project village development committees were formed</li> <li>- <u>Financial</u> – provided herders with winter fodder and equipment for threshing</li> </ul> </li> </ul>
<u>Innovation</u> (sustainable technologies, & overcoming bad practices)	<ul style="list-style-type: none"> <li>- SMART patrol system</li> <li>- The HWC insurance compensation scheme</li> </ul>	<ul style="list-style-type: none"> <li>- SMART patrol data collation and analysis needs further development if the information is going to be useful for conservation</li> <li>- HWC compensation scheme was successful</li> </ul>

## 4. SUSTAINABILITY

The overall rating is that sustainability is **Moderately Unlikely**<sup>31</sup>

### 4.1. Financial Risks to Sustainability

The rating is 'Financial Sustainability is Moderately Unlikely'

According to Qinghai DoF, central government funding for PAs for 2023 was \$31.2 m. This was in contrast to vastly different figures for 2021 (\$64.6 m) and 2016 (\$10.4 m). See METT table:

METT – Section III – Financial Analysis of the PA system for Qinghai

Qinghai Available Finance for PA system	Baseline (US\$) 2016	Year 2021 (US\$)	Year 2023 (US\$)	Source of data and state confidence in data (low, medium, high)
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues)	10,390,000	64,615,000	31,159,729	Qinghai Department of Finance – Fiscal Accounts (1\$≈7CNY)

<sup>30</sup> DfID – sustainable Livelihoods – 5 Capital Assets - [www.glopp.ch/B7/en/multimedia/B7\\_1\\_pdf2.pdf](http://www.glopp.ch/B7/en/multimedia/B7_1_pdf2.pdf)

<sup>31</sup> Sustainability is considered to be the likelihood of continued benefits post GEF funding. Under GEF criteria each sustainability dimension is critical, i.e. the overall ranking cannot be higher than the lowest one.

generated for the PA system)				2016:CNY68,574,000 2020:CNY420,000,000 2022:CNY 218,118,100
Of which - Operational budget (salaries, maintenance, fuel etc)	6,234,000	27,692,000	17,198,629	2016:CNY41,144,000 2020:CNY180,000,000 2022:CNY 120,390,400 (1\$≈7CNY)
Of which infrastructure investment budget (roads, visitor centres etc)	4,156,000	36,923,000	13,961,100	2016:CNY:27,429,600 2020:CNY240,000,000 2022:CNY 97,727,700 (1\$≈7CNY)
(2) Extra budget funding for PA management	<b>1,767,390</b>	<b>903,000</b>	<b>6,420,000</b>	
Of which Funds channelled through government	1,767,390	903,000	6,420,000	CNY5,870,000 was jointly supported by UNDP, GEF and Qinghai Government 2020 2022:CNY449,400,000 (1\$≈7CNY)

Source METT Financial Scorecard; US\$1 ~ 7CNY

The prodoc in one instance indicated that Qinghai DoF would provide a grant of \$15m and \$3m in-kind. However according to the co-financing figures provided by the project, at GEF CEO endorsement stage, \$16.6m and \$1.4m were confirmed as in-kind and cash respectively, which is opposite<sup>32</sup>. In addition, most of these funds appeared to be recurrent in-kind funds for on-going operating PA management costs. The project also reported a significant change in expected co-financing funds by project end at \$56.8m in-kind and only \$1.46m in cash (or \$45.8m to date). These government funds could not be verified. Moreover, it was difficult to reconcile these METT figures with the GEF co-financing table.

QMQL landscape BCSAP was expected to be supported by a sustainable financing plan, however under the latter, the timing and source of funds for QMNP was not clear<sup>33</sup>. With the development of QMNP, part of the operational financial responsibility for this PA is to be taken up nationally, but as yet, has not been fully undertaken.

The project included a specific indicator to reduce the PA financing gap by 30% to a short-fall of US\$3.6 m / year. The MTR reported that the financing gap had had been filled.

In terms of the package for PA strengthening (for monitoring, patrolling, equipment, office equipment), ~US\$356,164 (CNY2.6m) was spent (Source PMO).

## 4.2 Socio-economic Risks to Sustainability

The rating is 'Socio-economic Sustainability is Moderately Unlikely'

The project invested in equipment for livestock keepers in the form of fodder threshing machines, and water wells.

The community ranger system in the QMQL landscape is expected to continue to provide financial benefit to communities and to conservation. The provision of winter fodder after the project was undetermined.

In terms of HWC, livestock loss from wildlife predation by bear, wolf and snow leopard was addressed through an innovative eco-compensation insurance scheme funded by government.

The fodder field intensification intervention appeared quite successful and was being expanded which would support 'better' livelihoods (less livestock in degraded open pastures, and less labour needed to manage them).

The Tibetan sheep breeding activity was also successful in significantly reducing time to fatten the lambs, thus reducing production costs. This included training for >400 herder families.

## 4.3 Institutional & Governance Risks to Sustainability

<sup>32</sup> The RTA also provided email evidence that the co-financing (cash) grant was expected to be \$15m and the in-kind amount \$3m

<sup>33</sup> Financing of QMNP within the plan: Increase central government investment for QMNP esp. on infrastructure, ecological corridor, scientific research & monitoring, and conservation compensation; Extend the scope of the ecological conservation compensation on forest, grassland, wetland; Conduct franchise in the QMNP and the income to be used to maintain the NP and community livelihoods; Establish a multi-source investment mechanism and green finance working with financial agencies, and the private sector.

The rating is 'Institutional & Governance Sustainability is Moderately Unlikely'

The project allocated substantial resources for capacity development, with a target to train 750 PA personnel. Moreover, the design was specific in two aspects, firstly to create a professional competency-based training system for PA staff, and secondly to add to this by leading a 'training of trainers' course module. Both of these interventions provided support towards institutional and governance sustainability.

In part of the Qinghai Lake landscape, there are a large number of wind turbine farms within the gazelle pasture areas. At present, the governance decisions made by the authorities don't include easement funds for conservation, only a one-off payment to herder families of ~\$1,600 for each turbine on their land. Clearly this is a conservation governance and legal omission in not requiring these (~10) power-generating companies to establish or pay into a conservation trust fund. Value-based eco-compensation mechanisms were part of the project design, but engaging private large infrastructure companies generating significant profits were missed from the design, and an opportunity lost.

### 4.3. Environmental Risks to Sustainability

The rating is 'Environmental Sustainability is Moderately Unlikely'

One of the assumptions in the Theory of Change was that the sustainability of effective PA management was intrinsically connected to the participation of herders and that the achievement of conservation objectives required their support, in addition to existing community ranger programs.

The SMART patrol system significantly added to conservation efforts, initially in terms of added impetus for PA rangers in terms of providing better tools to undertake their wildlife protection work.

## 5. IMPACT & CATALYTIC EFFECT

### 5.1. Impact

The impact of the project was difficult to determine, but not considered significant at this stage.

#### Reduction in stress on ecological systems

Many of the inputs were training events and a number of the activities to reduce grazing pressure were based on temporary compensation (e.g. provision of winter fodder, payment for fence removal) with voluntary reduction in livestock grazing on high altitude pastures. Furthermore, the project 'estimated' and not counted the reduction in grazing pressure and there was no mention of reduced grazing numbers in the PMPs. Of the 60,000 ha planned for habitat improvement only ~13,000 ha was in the Qilian mountain pastures.

The awareness by the FGB to monitor pasture health and livestock quota numbers seemed low, and was without a responsible division or clear mandate with budget to do so.

#### Policy and regulatory change at national / local level

The development of QMNP and QL National Park master plan were to two major changes. There were also two species specific action plans, namely for snow leopard and Przewalski's gazelle.

### 5.2. Catalytic Effect

Under this section, the following aspects of the project are presented: Theory of change; Scaling up & Replication; Demonstration; New Technologies / Approaches. The TE has constructed a new simplified Theory of Change logic model to add to the prodoc model<sup>34</sup>.

To note, the prodoc included a problem-tree analysis for logframe design:

Some of the direct threats listed were:

- Overgrazing causing habitat degradation
- Excessive livestock causing wildlife prey depletion (e.g. deer, blue sheep for snow leopard)
- Livestock death by wildlife

<sup>34</sup> UNDP GEF Guidelines for Terminal Evaluations require the TE to prepare a Theory of Change model if there wasn't one in the prodoc to comment on or update

- Habitat fragmentation due to fences (Qinghai Lake gazelle areas)

The three results aimed for were:

- Threatened species protected
- Threatened ecosystems / KBAs protected
- PA system to be benefit-sharing with resilient communities

## Theory of Change

Parameter	Pathway - PAs & Biodiversity Conservation	Pathway – Pasture Management	Pathway – Income-generating Activities (IGAs)
Concept	Landscape approach to PA management in the QMQL area	Participatory / shared management and use of pastures for benefit of both wildlife and livestock, with compensatory incentives and other IGAs to reduce pressure on the pastures	Integrated conservation & development project, with conservation-friendly development interventions (mainly as alternatives to reduce livestock pressure on pastures at all levels from high to mid to lower altitude)
Root causes & threats	Lack of PA coverage with key habitats missing for key wildlife	QM landscape - Overgrazing in alpine pastures causing pressure on snow leopard & its prey habitats, as well as on its ecosystem health and services provision QL landscape – Fencing in mid and lower altitude pastures causing pressure on gazelle habitat and breeding populations	Livestock herding is the main livelihood activity, but it is not effectively monitored, and is still managed by county government in general, and not FGB Alternative-income generation activities are not apparent
Solution (Input to Output)	Professional competency standards and training for PA personnel	Demonstration PMPs with pasture / habitat improvement QL – fence removal	Examples: Tibetan sheep breeding; Winter fodder provision
Outcome required	QMQL Landscape BCSAP to include KBAs / key habitats for wildlife	Reduced livestock numbers in alpine and sub-alpine meadow lands	Sustainable IGAs reduce number of herding families
Result	Greater emphasis for conservation in Qinghai 14 <sup>th</sup> FYP SMART patrol system introduced	PMPs developed but without clearly agreed reduction in livestock pressure on key habitats	Intensification of fodder fields through re-seeding, allowing for more lowland field feeding regimes to be instigated
Impact	QMNP yet to be put into operation; QMNP does not cover part of snow leopard habitat; Greater area of gazelle habitat now monitored, with some areas partially restored with fence removal	QM – Reduction in livestock numbers voluntary with quotas not yet reduced QL - Connectivity of gazelle habitat improved	Income and socio-economic livelihoods of communities improved during the project

## Scaling-up and Replication

The prodoc presented a vision of the project's expected replication:

- Demonstration of ECAs contiguous with the Qinghai NR for gazelle habitat
- Conservation financing mechanisms for communities / herders which can be scaled up
- Eco-compensation mechanism for livestock farmers in the Qinghai Lake area
- Strengthened collaborative partnerships, between institutions and civil society
- Distilling lessons learned with easily understood knowledge products to support replication.
- Scaling-up via a user-friendly biodiversity knowledge platform developed under the CPAR1 (national) project, where PA management practitioners can share best practices, and where the public can participate through citizen science

There were a few examples of scaling-up and replication:

- Tibetan sheep breeding project was scaled up from 5 households to 22 houses covering 4-5 villages
- Ecotourism demonstration was expanded from 5 to 17 households
- Lowland grassland improvement through grass seeding was scaled up from 20 ha to 320 ha

### Demonstration

- PMPs

### New technologies / approaches

- SMART patrol system with mobile app
- HWC Insurance payment mechanism
- Compensatory payment for fence removal for gazelle
- Tibetan sheep breeding to reduce lamb fattening period

## 6. CONCLUSIONS AND RECOMMENDATIONS

### 6.1 Analysis & Conclusions

#### Project design

According to the prodoc, the specialised (or niche) aspects of the project included: collaborative PA governance, establishment of ECAs, participatory PMPs, value-based eco-compensation, volunteer management and tourism partnerships. These activities were expected to become models that could be scaled up across the landscape and Qinghai province. The project was expected to engage in best practice on social inclusion, strengthen community engagement, with broader participation of women and ethnic minorities. It was also expected to increase awareness on the value of the NP system and explain how management of the NP system would impact communities.

#### Policy

China's government has a history of major environmental / ecological decisions, such as the prohibition of logging in both state and collective forest, which continues and has been added to in terms of public welfare forest.

Concerning high altitude meadows and pastures, the policy direction has been less forceful. The change of SFA to SFGA is a positive change in the right direction. However, despite *de jure* policy and regulation indicating PAs are 'protected', *de facto* livestock grazing continues. To make community agreements to allow limited grazing with continued 'user rights' would go against this *de jure* situation. The alpine pastures need livestock reduction, bearing mind the high importance of the area to ecosystem services (Three rivers source for example).

Such environmental measures have been enacted in China in the past, especially the Natural Forest Protection Program (NFPP) in forest closure, as mentioned, but the present grassland / water resources management (for climate mitigation – carbon sink and provision of ecosystem services – water supply) still lacks behind in these terms. The project was an opportunity to present this change. Compensation for the government's 'Grain to Green' program has also been successful, but there was no evidence of alpine meadow land being taken out of production or any similar scheme proposed for such a key ecological – environmentally sensitive area in China.

Moreover, it is commonly the case that herders who graze livestock in upland / alpine pastures, lack sufficient lowland grazing land. Thus the project activity to support lowland pasture intensification was good, but the alpine herders can become further marginalised.

### Implementing Partner - Qinghai FGB / PMO

The FGB did not really utilise their new status or power, but rather relied on awareness to direct change. The PMO appeared to shy away from clear ECA direction or BCSAP development, and only produced a short directional strategy document, not a major action plan endorsed by government (i.e. stamped to become policy). This should have been one of the major outputs of the project.

The FGB leadership in conservation and climate change mitigation should have been stronger. E.g. guaranteed reduction in livestock numbers, altered pasture opening / closing dates, with scientific surveys on pasture health. Saving a few gazelle in lowland areas of Qinghai Lake landscape was not sufficient for the project.

### QMNP Pilot

The government has been somewhat passive. It designed the QMNP as a pilot, but didn't change meadowland use for the greater benefit of wildlife or people (climate change). The provincial organs remained mainly as administrators following a top-down approach, and lacked clear initiation of these needed changes. E.g. QMNP Pilot was approved at the same time as the project started, despite the relevant decision-makers being part of the prodod design process for 2-3 years beforehand, the QMNP plan followed existing government policy and lacked ECAs or strong inclusion of a key KBA. Thus the project appeared somewhat excluded from the QMNP development.

The QMNP needed to be put into operation with linking-up of its new horseshoe shape, and the inclusion of a greater proportion of the Eastern Qilian Mountains KBA northern parts, where the sub-alpine meadows lie. The basics of wildlife conservation demonstrate that the greater the ratio of conserved area to length of boundary, the greater the survival of wildlife. Thus the QMNP with its long thin strip and an added horseshoe shape was not the best for conservation, and appeared to be based on settlements and grazing rights, and only thereafter considering conservation needs. The Eastern Qilian Mountains KBA's northern part was an obvious choice for the project to work on grazing control, with PMP production, and to identify a long-term conservation incentive or subsidy.

The MNR / SFGA decision one week before project start to designate the Qilian Mountains NP Pilot without including sufficient new key snow leopard habitat and extensive sub-alpine grassland areas, as core or ECA was difficult to understand and appeared political. Furthermore, it undermined the ability of the project to propose effective new conservation areas for snow leopard and its prey, which was one of the key tenets of the project design. The understanding of snow leopard populations and prey dynamics remained poorly understood. The project also had to grapple with the QMNP Pilot launch just before project inception, but with the QMNP not having a functioning over-arching operating unit or management authority (as it was in development phase). This was a major constraint and the advantage to all (including wildlife, ecosystems, and people) has yet to be seen.

The PSC asked the PMO asked to align with 'Building a new highland for Qinghai-Tibet Plateau ecological civilization', 'Qinghai's ecological protection strategy', and the goal on creating a 'National Park Demonstration Province'. However, it was not clear that the PSC really understand that the project was stifled from doing so in not being able to work with or in the QMNP.

### ECAs

FGB / PMO didn't appear to work together on the higher provincial government levels to clearly present the conservation needs / changes needed according to the prodod. E.g. The ECAs just got lost in the definition of QMNP, and with its horseshoe-shape just not joined up, to make a continuous corridor for wildlife. Seeing the status of the ECAs within or adjacent to QMNP would have been instructive. ECAs were mapped within QMNR Master Plan, however, they were only partially absorbed into core areas under the QMNP Pilot's new internal boundaries. These gaps should have been proposed as ECA, with recommended conservation actions, at least as a demonstration in practice (*de facto*), even if legally (*de jure*) not possible.

### PMPs

The PMPs didn't address grazing pressure directly. The PSC direction was for the PMPs to follow existing planning, thus with existing grazing rates, and pasture closure times remained unchanged. The PMPs lack any discussion on the substitution / incentive / compensatory mechanisms being undertaken. E.g. providing threshers for fodder production in return for reduced livestock numbers grazing. In fact, there is no mention of reducing livestock. The prodod design gave too many lesser alternatives to try, which the project then followed.

In the Qilian mountains, the decision to base the two herder PMPs on two villages and not incorporate the two ranger protection stations of Laohugou and Liuhuanggou was a lost opportunity. This was not least because their grazing areas (partly) lie within the new QMNP boundary. The project should have developed a different demonstration here with stronger livestock control, bearing in mind the positive effect of employing herders to

be rangers for alternative income sources. Ecosystem health and conservation value (with predator – prey relationships and habitat in these locations - with snow leopard – blue sheep / deer for example) should have been at the forefront of these two PMPs.

Despite the massive effort of the project to engage in voluntary change (which has no future guarantee), a major GEF / government opportunity was largely missed for a key ecological / environmental area to move towards sustainable management.

#### Habitat enhancement

In the Qinghai Lake landscape, topwire fence removal as habitat improvement for gazelle was a limited action in conservation benefit terms. The Qilian Mountains landscape, only accounted for 13,000 ha of this planned 60,000 ha for habitat enhancement, in terms of reduced grazing in return for fodder threshing machines, and winter supply of fodder. The project appeared to focus more heavily on gazelle in the Qinghai Lake area, and less so on snow leopard in the Qilian Mountains, especially in terms of measurable tangible benefits for their conservation.

#### Training / Awareness

There was a significant effort and focus on training and awareness with voluntary agreements (which was successful). However this was at the expense of guaranteed long-term change. E.g. grazing reduction was in part based on compensation, such as the project providing free fodder. Thus post-project, grazing numbers could return to the previous levels.

GEF incremental change for the provision of significant cash funds was for significant long-term (permanent) biodiversity conservation improvement. The project hasn't guaranteed this, but tried to provide alternatives / compensation, some of which may be sustainable due to changes in farming practices and livelihoods. However here, the project lacked guarantees against future human greed or welfare needs which would reverse the good work.

#### SMART patrol

The SMART patrol system was successfully introduced with a mobile app for patrol survey reporting, and with added wildlife cameras and other equipment. However, the system was not sufficiently developed. There was a vacuum on data collation, analysis and decision-making feedback.

#### Rodents

The issue of rodent (pika, marmot) damage to the pastures was highlighted. However the basic reason is a high-density of livestock causing a lack of a wildlife predators for the pika and marmot. In turn, this is causing an increase in unpalatable plant species in the pasture. This situation has to be reversed. The only sensible solution is to reduce livestock pressure (number and seasonal timing – especially making the pasture spring opening times later in the season to allow predators to feed and breed themselves), allowing natural wildlife predators to return.

## **6.2 Lessons Learned**

The QMNP development was called a 'pilot' or 'demonstration', but it was confusing in that a boundary was delineated, but for five years, there wasn't a single consolidated operating unit put in place to actually demonstrate what it was trying to achieve. However, the GEF project was supposed to be such a demonstration in wildlife, habitat and ecosystem protection terms in the same area. However, due to the QMNP boundary delineation, it was rather precluded from using any of their major conservation design tools, such as ECAs or including KBAs in their plans. This would have been particularly useful in areas where proposed core areas of the QMNP still didn't link up, in being zoned for general conservation status within the boundary. Thus it appeared that the project was directed towards being a conservation training and awareness project, but excluded from key conservation actions within the new QMNP area. Therefore, the project worked as a fairly standard integrated conservation and development project with a high emphasis on training and awareness inputs, but then lacked the follow through into tangible conservation benefits in terms of its outputs and expected outcomes. This meant that the impact of the project for the GEF conservation habitat co-management incremental returns was difficult to measure.

Moreover, the lessons learned concerning co-management of PAs now need distilling, including the long-term conservation expectations in return for the compensatory animal husbandry interventions. This was particularly the case for the role and supervision of the PMPs, and their needed linkage to reduction in livestock grazing numbers. To date the PMPs lack a guaranteed reduction in livestock numbers in the alpine and sub-alpine pastures. The PMPs were also agreed too late in the project term to effectively monitor any changes, or put in place a more specific surveying approach to pasture vitality set against temporary closure from and /or rotation of livestock.



The lessons concerning the removal of gazelle habitat fence or topwire, and its benefits also need distilling. There was a clear difference between the approach trialed for the Hudong state sheep farm with one-year closure and fence topwire-only removal, against the villagers' three-year closure and complete fence removal.

## 6.3 Recommendations

The recommendations are listed [with the responsible party identified in brackets].

1. There is a need for a protocol on SMART patrol data collation, storage, analysis and reporting of the analysis, including for data collected from the wildlife cameras. The protocol is needed between the Qinghai FGB (with its key ranger protection stations) and QMNP (under SFGA management). The protocol should outline a staffing mandate within the FGB Wildlife Division and key information needs for wildlife conservation and upland pasture ecosystem health monitoring. (FGB / PMO)
2. The functions of the mobile phone SMART patrol application (app) need a technical assessment to see if its app functions accommodate priority conservation needs, especially for key threatened species such as snow leopard. Thereafter the software company involved, will need a short contract addendum to finalise any software coding needed to achieve this end. [FGB / PMO]
3. There is a need for a Qinghai PMO / FGB workshop with MNR / SFGA on project findings with respect to QMNP and QLNP development. (This should not be a presentation of project inputs (training / awareness), but discussion themes centered around wildlife habitat needs, legal gaps, co-management with county government, and pasture livestock number control in key alpine pasture locations, such as snow leopard habitat). The output of the workshop should be a Minutes of Meeting list of key wildlife conservation actions to be taken with a timeframe, including (i) list of key recommendations for QMNP; and (ii) list of key recommendations for QLNP [Qinghai FGB]
4. All latest provincial and project snow leopard data in the QMQL landscape to be collated and re-assessed, including report of protection gaps by China Academy of Sciences, with data and recommendations reported. Then Snow leopard action plan to be updated and presented to SFGA (FGB)
5. Government on-going study of gazelle to report before end of project and present to workshop. The study should include the impact (if any) of fence topwire removal in Hudong State Farm, compared with complete fence removal in village areas [FGB]
6. Handover of supervision of PMPs to county government, with an annual reporting requirement [responsible county governments and FGB]

## 6. ANNEXES

### Annex 1: Delivery of Project Objective and Outcomes against Performance Indicators

**Assessment Key:**

**Green:** Completed / Achieved

**Yellow:** On target to be completed / achieved

**Red:** Not on target to be completed / achieved

Extracted from Prodoc SRF			IP to fill out this column with detail text on achievement	TE team	TE team fills out
Indicator	Baseline	End of Project target	2023 End term Level & Assessment	Achievement Rating	Justification for Rating
<b>Objective: To strengthen the effectiveness of the PA system in the Qilian Mountains-Qinghai Lake landscape to conserve globally significant biodiversity, including snow leopard and Przewalski's gazelle</b>					
<p>Indicator 1: Number of direct project beneficiaries, measured based on:</p> <p>a. Cumulative total of the following:</p> <p>b. Number of people obtaining PA competency qualification and staff directly involved in the project</p> <p>c. Number of people living in the communities where project interventions are carried out.</p> <p>(Mandatory UNDP indicator) (GEF-7 core indicator 11)</p>	<p>Estimates of direct beneficiaries based on a capacity building needs assessment and stakeholder consultations during the PPG phase. These estimates will be verified at project inception through development of the capacity development plan the C-PAR3 project and confirmation consultations with villages where project interventions are planned.</p>	<p>a. Cumulative total: 4,025 (50% women)</p> <p>b. Number of people obtaining PA competency qualification: 750 (50% women)</p> <p>c. Number of local beneficiaries: 3,275 (50% women)</p>	<p>a. The cumulative number of direct project beneficiaries: 5769(2412 females,42%), including b. and c. below:</p> <p>b. 1,001 beneficiaries (249 females,25%) obtained PA competency certifications after the training.Until 2023 TE period,in total 16 trainings were hold And those training as follow:</p> <p>1)Ability Improving Training of Natural Resource Patrol and Monitoring in Qinghai Lake</p> <p>2)Professional Ability Training for Ecological Management and Protection Staffs in Haixi prefecture</p> <p>3) Ecological Management and Protection Training</p> <p>4)Grassland Monitoring and Management Training</p> <p>5)Forestry Field Capability Competition</p> <p>6)Bio-safety Training</p> <p>7)Professional Ability Training for ecological management and protection staff in the Qilian Mountain area for four management and protection station (Laohugou,Liuhuanggou,Qingyanggou and Daladong )</p> <p>8)National Park Pilot Sit and Environment Education Training</p> <p>9)Protected Area Human-Wildlife Conflict Training</p> <p>10)Training of Trainers for Professional Technical Staff in Landscape Protected Area</p>	<b>MS</b>	<p>The target for PA competency training was exceeded, but the percentage of women fell short of this and overall.</p>

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			<p>11) Special Topic Training for Gansu and Qinghai Provinces</p> <p>12) Sichuan Giant Panda National Park Management Training</p> <p>for Low female rate because of the small number of women PA staff at most protection stations in Pas.</p> <p>c.4768 (17 are the newly added ecotourism demonstration households ) beneficiaries (2155 females, 45%) directly benefited from 10 alternative livelihood activities/trainings, and Participatory management activities in protected areas.</p> <p>10 alternative livelihood activities/trainings including:</p> <ol style="list-style-type: none"> <li>1) Embroidery Learning</li> <li>2) E-commerce training</li> <li>3) Excavator Training</li> <li>4) Welding Training</li> <li>5) Electrician Training</li> <li>6) Leadership Training for Women</li> <li>7) Driver Training</li> <li>8) Ecotourism Instructors Training</li> <li>9) High Efficient Tibetan Sheep Breeding Training</li> <li>10) Visiting and Inspecting of Embroidery Learning for Alternative Livelihood Development of Women in Demonstration Sites</li> </ol> <p>Participatory management activities in protected areas including:</p> <ol style="list-style-type: none"> <li>1) Project Forage Grinder</li> <li>2) Sinking wells project</li> <li>3) High Efficient Tibetan Sheep Breeding Project</li> <li>4) Distributing of ecotourism facilities</li> <li>5) Participatory Grassland Restoration project</li> <li>6) Establishing herdsman patrol group</li> <li>7) Supplementary Feeding Project</li> </ol>		
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			The cumulative number of direct project beneficiaries 11,018 (5,339 females,48%) in PIR2023 also including some project manage trainings,workshops and activities of NGOs, local communities and schools sponsored by the project.		
<p>Indicator 2:</p> <p>Extent of PA sub-system expansion (including ecological corridors), with focus on increasing coverage of KBAs and improving habitat connectivity</p> <p>(UNDP IRRF indicator: 1.4.1 Natural resources that are managed under a sustainable use, conservation, access and benefit-sharing regime: a) Area of land and marine habitat under protection (hectares)) (GEF-7 core indicator 1.1)</p>	<p>Baseline area 2017:</p> <p>PA sub-system: 1,270,600 ha</p> <p>Ecological corridors: none</p> <p>Source: Annexes L and M</p>	<p>833,950 ha expansion of PA sub-system comprising:</p> <p>a. Qilian Mountains NP on Qinghai side expanded by 804,600 ha</p> <p>b. Qinghai Lake 29,350 ha of ecological corridors established</p>	<p>Achieved and surpassed.</p> <p>Achieved 8584127 ha expansion of PA sub-system comprising:</p> <p>a. A total of 819,566.7 ha PA expansion in Qilian Mountains NP, of which Qilian Mountains NP (Qinghai part) was expanded by 808,500 ha from 775,400 ha of Qilian Mountains PNR to 1,583,900 ha of Qilian Mountains NP (Qinghai part) since Qilian Mountains NP Masterplan (trial) was officially approved by NFGA. An accumulative 11,066.7ha expansion intervened by the GEF project outside Qilian Mountains NP.</p> <p>b. Achieved and exceeded.</p> <p>A total area of 38,846 ha ecological corridors was directly established by GEF project and detail information as follow:</p> <p>1)2019 established 13,333 ha in Hudong Sheep Breeding Farm</p> <p>2)2020established 8,733 ha</p> <p>3)2021established 8000 ha</p> <p>4)2022established 8780 ha Hudong Sheep Breeding Farm</p> <p>The indicator 2b was revised in logframe</p>	MS	<p>Qilian Mountains NR with 775,400 ha was expanded to become QMNP with 1,583,900 ha [an expansion of 808,500 ha]. This was approved by State Forest &amp; Grassland Administration under the QMNP Masterplan (Trial).</p> <p>Qinghai Lake ECAs were established covering 38,846 ha, in the form of 526.5 km of topwire or fence removal to allow better movement of gazelle.</p>
<p>Indicator 3:</p> <p>Estimated populations of threatened species, as indicated by biodiversity assessments, for</p> <p>a. Snow leopard (Panthera uncia); IUCN Red List: VU; and</p> <p>b. Przewalski's gazelle (Procapra przewalskii); IUCN Red List: EN</p>	<p>a. Snow leopard camera-based detection rate 0.082 individuals/camera/month (2017 survey)</p> <p>b. Przewalski's gazelle 1,468 (2016 baseline)</p> <p>Source: Annexes L and M</p>	<p>Stable or improved status of targeted threatened species.</p>	<p>Achieved and surpassed.</p> <p>a. Snow Leopard: camera-based detection rate: 0.101 (the average value of project areas) and 0.2 (centralized distribution area data) individuals/camera/month (2020 survey),</p> <p>b. Current number of Przewalski's gazelle: more than 3000 (Confirmed with Qinghai Lake Nature Reserve Administration in Aug 2023).</p> <p>In addition to the increased number of wildlife like Snow Leopard and the Przewalski's gazelle, Qinghai Lake's water area also increasing yearly.</p> <p>In order to conserve Przewalski's gazelle in 2022 the Qinghai Lake Nature Reserve Administration set up the special</p>	MS	<p>In the project area the snow leopard detection remained about the same from 2017-20 at ~0.1 leopards / camera / month, however it was double this at 0.2 in its centralised distribution area. For the snow leopard, it was positive that the species was being recorded, but</p>

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	Note: Baselines to be verified/updated at project inception.		investigation project and invested 1.2 million RMB to conduct Przewalski's gazelle investigation. In QLMNP the professional team was invited to conduct monitoring of Przewalski's gazelle.		the detection rate was one individual every 10 months per camera in the project area, from which it is difficult to estimate a population level.
<b>Outcome 1: Consolidated PA sub-system recognizing connectivity and KBAs and mainstreamed into provincial planning</b>					
Indicator 4: Extent to which legal, policy and institutional frameworks reflect current national policy for biodiversity conservation	There are gaps in current legal, policy and institutional frameworks, in terms of insufficient cross-sector collaboration, under-represented habitats within the PA system, fragmentation of the PA system, and key biodiversity areas (KBAs) not recognised in PA planning and management	Legal, policy and institutional frameworks associated with the management of the Qilian Mountains-Qinghai Lake landscape are strengthened through: a. Consolidated Qilian Mountains-Qinghai Lake landscape conservation strategy and action plan adopted and mainstreamed into 14th FYP. b. Adoption of strengthened and/or new policies and regulations for wildlife conservation and PA management recognizing KBAs	In progress a. Achieved. The mainstreaming consultant completed three reports as follow: 1. Biodiversity Conservation Strategy and Action Plan of Landscape Areas of Qilian Mountains and Qinghai Lake 2. Assessment of the Strategic Direction of Provincial Ecological Conservation Programmes (including landscape conservation and Key Species conservation) in Qinghai Lake and Qilian Mountains . 3. Mainstreaming of Qinghai Lake and Qilian Mountains Landscape Biodiversity Strategy and Action Plan into Six Provincial b. In progress. 1) The legal and regulatory consultant completed two report : The first one is Assessment Report on Legislation of GEF6 Project, and the second is Legislative Research Report for Qilian Mountains National Park Management Regulations " (Qinghai part) and the recommendations have been adopted into planning and policy making, as well as improved coordination mechanisms for policies and regulations. The Legislative Research Reports of Qinghai Lake National Park is in progressing. 2) GaP analysis consultant completed GaP Analysis Report on the Protection Vacancy of Qinghai Lake- Qilian Mountain	MU	There isn't an actual QMQL BCSAP only a report about some key features that should be in one Indicator for was rated as MU, because the strategic plan was not comprehensive, and ECAs / KBA were not effectively adopted as part of the legal framework, for example included in the QMNP plan

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<p>Indicator 5:</p> <p>Institutional capacities for protected area management, as indicated in scores of the UNDP Capacity Development Scorecard for the following areas:</p> <p>Area 1: Capacity to conceptualize and formulate policies, legislations, strategies and programs</p> <p>Area 2: Capacity to implement policies, legislation, strategies and programs</p> <p>Area 3: Capacity to engage and build consensus among all stakeholders</p> <p>Area 4: Capacity to mobilize information and knowledge</p> <p>Area 5: Capacity to monitor, evaluate, report and learn</p>	<p>Qinghai Forestry Dept. Wildlife Bureau:</p> <p>Area 1: 56%</p> <p>Area 2: 42%</p> <p>Area 3: 40%</p> <p>Area 4: 44%</p> <p>Area 5: 47%</p> <p>Total Score: 44%</p>	<p>Qinghai Forestry Dept. Wildlife Bureau:</p> <p>Area 1: 89%</p> <p>Area 2: 79%</p> <p>Area 3: 67%</p> <p>Area 4: 89%</p> <p>Area 5: 80%</p> <p>Total Score: 79%</p>	<p>Achieved and surpassed.</p> <p>The institutional capacities have improved for protected area management, with the scorecard updated in Aug 2023:</p> <p>Qinghai Forestry and Grassland Bureau, Wildlife Conservation Division:</p> <p>Area 1: 89%</p> <p>Area 2: 79%</p> <p>Area 3: 93%</p> <p>Area 4: 78%</p> <p>Area 5: 80%</p> <p>Total Score: 82%</p> <p>Since the inception of the project, through various capacity building trainings and workshops, it has improved many staff's capacity in PA, at the same time the Institutional capacities for protected area management also improved.</p>	S	<p>The training developed and delivered by the project was very good</p>
<p>Indicator 6:</p> <p>PA system financing gap</p>	<p>Annual PA financing gap (basic management needs):</p> <p>USD 5.195 million</p> <p>Total annual PA finances available: USD 10.39 million</p>	<p>Annual PA financing gap (basic management needs) reduced to:</p> <p>USD 3.6365 million (30% reduction)</p>	<p>Achieved.</p> <p>NO GAP: the MTR panel has pointed out that the project financing gap has been filled up by the time of MTR.</p>	MU	<p>The QMNP was not put into operation for 5 years during the project. i.e. it was not financed</p>

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	(based on 2016 CNY figures converted to USD) Est. annual PA financing needs, basic: USD 15.585 million (based on 2016 CNY figures converted to USD)				
<b>Outcome 2:</b> Strengthened and more participatory management of the expanded PA sub-system in the Qilian Mountains-Qinghai Lake landscape					
Indicator 7: Protected area management effectiveness score, as indicated by METT scores, for a. Qilian Mountains NR b. Qinghai Lake NNR  (GEF-7 core indicator 1.2)	a. Qilian Mountains NR: 31% (Dec 2017)  b. Qinghai Lake NNR: 49% (Dec 2017)	Minimum 40% increase from baseline:  a. Qilian Mountains NR: 50% Achievement of sound management with score >67%:  b. Qinghai Lake NNR: 67%	Achieved and surpassed. In Aug 2023, the METT scores are as follow: a. Qilian Mountains NR:75% b. Qinghai Lake NNR:74%  As the main stakeholder of the project, every year Qinghai Lake Nature Reserve Administration and QLMNP not only attended PSC meeting but also attended workshops and trainings, and sometimes the project also jointly organized some activities with them to improve the management effectiveness of PA.	S	Achieved
Indicator 8: Threats to globally significant biodiversity at project demonstration sites reduced, through: a. Degraded grasslands restored through participatory management; b. Habitat under improved management, including: (i) Qilian Mountains NR: Conservation set asides (or similar) within	Intervention areas will be defined in the pasture management plans developed for the target areas.	a. 20,000 ha degraded grasslands restored through participatory arrangements b. 60,000 ha under improved management; threat reduction targets TBD at project inception	a. Total 73,202.7 ha degraded grasslands restored through participatory arrangements, of which 321 ha grasslands was restored by GEF project.  b. 82,660ha Habitat under improved management through participatory management activities in PAs. The area more than 40,000ha of four villages (Dongtan Village, Sujiwan Village, Dayu Village and Tangqu Village) where pasture management plans are carried out is not included.	MU	For (b) The main issue was that a reduction in livestock grazing density was not part of any clear agreement and was voluntary, so it could return to former levels after the project. Also, the figures for fence removal indicated that for 52% of the areas, this was topwire only removal, so fragmentation and habitat restriction

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pasturelands managed by traditional herder groups aimed at reducing the threat of prey depletion due to competition with livestock and poaching; (ii) Qinghai Lake NNR: Reduction in fencing density in densely fenced areas in target villages, aimed at reducing fragmentation of habitats through fencing.					remained especially affecting breeding and juvenile gazelle.
Indicator 9: Advances to collaborative PA governance, as indicated through a. Demonstrations of collaborative governance arrangements.  b. Recommendations on collaborative PA governance documented and shared with provincial and national stakeholders	The Integrated Plan for Establishing a National Park System in China, issued by the Office of the State Council on 26 September 2017 provides a vision for a National Park System, including a National Park Law and a unified National PA Management Agency	a. At least two joint capacity development workshops organised with Qinghai and Gansu PA governance stakeholders.  b. Lessons learned through demonstrations of collaborative PA governance documented in an advisory report delivered to a joint meeting with provincial and national stakeholders.	a. One HWC workshop was organised with Qinghai and Gansu GEF project.  b. The assessment report completed by Mainstreaming consultant, using the relevant Action plans, which provided by provincial and national stakeholders. The legal and regulatory consultant completed the Legislative Research Report for Qilian Mountains National Park Management Regulations " (Qinghai part) and the recommendations have been adopted into planning and policy making, as well as improved coordination mechanisms for policies and regulations.	<b>S</b>	The project needs to present its finding at a high level workshop – see recommendations
<b>Outcome 3: Sustainability enhanced through effective monitoring &amp; evaluation, knowledge management, and social inclusion</b>					
Indicator 10:	Resources have been allocated for assessing project results and	a. 5 lessons learned completed and	Achieved and surpassed.	<b>S</b>	A number of lessons learned have been



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<p>Extent of knowledge management, as indicated through</p> <p>a. Lessons learned distilled and disseminated</p> <p>b. Knowledge exchange through workshops, seminars, conferences</p>	<p>preparing case studies, documenting lessons learned, and for participation in workshops, seminars and conferences.</p>	<p>uploaded onto biodiversity knowledge platform, and usage statistics indicate increasing reach of C-PAR program lessons learned across the PA system (# visits / downloads).</p> <p>b. At least two stakeholder workshops convened to disseminate project results.</p>	<p>a. Achieved. 6 lessons learned have been completed and will be published in the Journal of Qinghai Provincial Forestry Society those Case as follow:</p> <ol style="list-style-type: none"> <li>1. Respectively ecotourism development in Dayu Village - Drawing "Concentric Circles" to Promote Community Development – A Capacity Building Project for Traditional Livelihood;</li> <li>2. Transformation from the Perspective of Attention Distribution by Grassroots Governments</li> <li>3. Promote traditional crafts, develop eco-tourism and explore diversified livelihoods;</li> <li>4. Efficient Tibetan sheep breeding promotes plateau grassland resources</li> <li>5. Sustainable use and conservation and community co-management practice for conservation of Przewalski's gazelle in Qinghai Lake.</li> <li>6. Gender mainstreaming case</li> </ol> <p>b. Achieved.</p> <p>more than 14 stakeholder workshops have been convened and participated as follows:</p> <ol style="list-style-type: none"> <li>1) Convening International Project Management Workshop</li> <li>2) The project manager was invited by C-PAR2 Gansu Project to participate and deliver a speech in the Gender Mainstreaming Workshop in Lanzhou</li> <li>3) Convening four times PSC Meetings 2019-2022</li> <li>4) Participating the Project Inception Meeting and the first PSC Meeting of the "UNDP NIO Clean Parks Ecological Co construction Plan"</li> <li>5) Participating the 1st and PSC Meeting of C-PAR Child Project</li> <li>19) Participating the Cop-15 Biodiversity Conference</li> <li>6) Bon Cafe Gender Mainstreaming Workshop</li> <li>7) C-PAR 1-4 and Bipin Pokharel (UNDP) Workshop</li> <li>8) ESIA Workshop</li> <li>9) SESP Updating workshop</li> </ol>		<p>drafted, but they focus on the compensatory livelihood activities, and not the wildlife survival issues</p>
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Indicator 11: Level of knowledge, attitudes and practices (KAP) of target stakeholders, as measured by KAP surveys	KAP framework outlined in Annex Q to the project document and includes target stakeholder groups and objectives of survey(s). The baseline KAP survey will be made during project inception phase	Improvement in knowledge, practices and attitudes (target to be set after baseline KAP survey at project inception).	Since the inception of the project, every project activity has been promoting knowledge about protected areas. And the project also aimed at different groups, planned and carried out different activities related to their work and background to improve KAP. 1)Local PA staff(KAP:54.88%): Knowledge: 58.31% ;Attitude: 58.84%; Practices: 47.48% 2)Local community members(KAP: 39.07%): Knowledge: 38.42%;Attitude: 59.48%; Practices: 19.31% 3)Local students(KAP: 66.48%): Knowledge: 49.82%; Attitude: 85.24%; Practices: 64.39%	S	Undertaken
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## Annex 2: Delivery of Outputs

Outputs	Achievements Reported by IP	TE Comment
<b>Project Objective:</b>		
<b>Component 1: Consolidated PA sub-system recognizing connectivity and KBAs and mainstreamed into provincial planning</b>		
Output 1.1: Consolidated landscape conservation strategy and action plan, threatened species plans and PA sub-system regulations for the Qilian Mountains-Qinghai Lake landscape adopted and mainstreamed into the provincial 14th five-year plan (FYP)	1)Assessment Report on Legislation of GEF6 Project 2)Assessment Report on Legislation of 3)Biodiversity Conservation Strategy and Action Plan of Landscape Areas of Qilian Mountains and Qinghai Lake 4)Mainstreaming of Qinghai Lake and Qilian Mountains Landscape Biodiversity Strategy and Action Plan into Six Provincial Sectoral 14th FYPs” 5)Assessment of the Strategic Direction of Provincial Ecological Conservation Programmes (including landscape conservation and Key Species conservation) in Qinghai Lake and Qilian Mountains	The project prepared a number of consultant assessment reports and plans as guidance for government. The finding and results were mainly captured in six reports which were reviewed
Output 1.2: Policies and guidelines developed for value-based allocations of eco-compensation funds, broader participation of the enterprise sector, and innovative financing mechanisms at the community level, strengthening the sustainability of PA financing	1)Using the National Park System to Solve the Dilemma of Qinghai Lake Protection and Utilization	Eco-compensation funds were developed in terms of a HWC insurance claims system that was state-funded and arranged through one insurance company.
Output 1.3: Institutional enabling environment strengthened through introduction of PA competency-based professional development and joint capacity building for collaborative PA governance	1) Capacity Building and Development Plan 2) Training of Trainers for Professional Technical Staff in Landscape Protected Area 3) Training on Best Practice Cases of International Protected Area Management 4) Ecological corridor construction 5) Przewalski's Gazelle Monitoring 6) Professional Ability Training for Ecological Management and Protection Staffs in Haixi prefecture 7) Ecological Management and Protection Training 8) Grassland Monitoring and Management Training 9) Forestry Field Capability Competition 10) Bio-safety Training 11) Ability Improving Training of Natural Resource Patrol and Monitoring in Qinghai Lake	The project developed and implemented a comprehensive PA competency-based professional development course for conservation practitioners, which also included a Training of Trainer system. This was a significant output of the project.

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Outputs	Achievements Reported by IP	TE Comment
	12) Professional Ability Training for ecological management and protection staff in the Qilian Mountain area for four management and protection station (Laohugou,Liuhuanggou,Qingyanggou and Daladong ) 13)Developing comprehensive performance evaluation system for ecological conservator staffs 8)Developing comprehensive performance evaluation system for ecological conservator staffs -test set 14) comprehensive performance evaluation system for ecological conservator staffs-training courses 15) International Protected Area Management Best Practice Cases Workshop 16) Special Topic Training for Gansu and Qinghai Provinces 17) Sichuan Giant Panda National Park Management Training	
<b>Component 2: Strengthened and more participatory management of expanded PA sub-system in the Qilian Mountains-Qinghai Lake landscape</b>		
Output 2.1: Operationalisation and expansion of the PA sub-system according to the consolidated landscape conservation strategy and action plan	1) Gap Analysis Report on the Protection Vacancy of Qinghai Lake- Qilian Mountain 2) Master Plan (Trial edition) 3) Qinghai Lake National Park Master Plan 4) Przewalski's Gazelle Conservation Plan 5) Snow Leopard Conservation Plan 6) Project Matchmaking Meeting with Qinghai Lake Nature Reserve and Qinghai Management Bureau	All these plans remain under development. In particular the QMNP Pilot was approved in terms of boundary just before the project started, and has not come into operation for the five years since. Thus project / PMO and the FGB have had no staff from the QMNP (under national implementation) to discuss the GEF project design with, and in particular the inclusion of added snow leopard area, ECAs and the Eastern Qilian Mountains KBA.
Output 2.2: Strengthened implementation capacities, coordination and partnerships across the Qilian Mountains-Qilian Lake PA sub-system	1) Establishment of village level project management committee 2) Establishing 5 herdsman patrol groups and distributing patrol equipment 3) Gender Mainstreaming Training for Protected Area Staff 4) Patrol equipment for ecological management staff in the Qinghai Lake-Qilian Mountain Project area 5) E-commerce Online training 6) Embroidery Online Learning(2 times) 7) Participatory Annual Planning Training	The issue with the PMPs (concerning grazing) is that they cover the whole of the villagers existing pastures with no change in pasture management concerning the stocking density, seasonal timing, or rotational measures. They

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Outputs	Achievements Reported by IP	TE Comment
	8) Project Summary Meeting for the First Half of 2020 and Project Monitoring & Management Training	follow existing practice. The carrying capacities also appear to be based on pasture area divided by numbers of sheep units, as opposed to a scientific method based on grassland health surveys.  The grazing control areas within the patrol areas of the two protection stations and the classification under the new QMNP boundary was not clear. There were no maps with the PMPs.
Output 2.3: Demonstrations of participatory habitat restoration and management arrangements within the expanded PA sub-system	<ol style="list-style-type: none"> <li>1) Pasture Management Plan of Tangqu</li> <li>2) Pasture Management Plan of Dayu</li> <li>3) Pasture Management Plan of Huangcheng Township</li> <li>4) Pasture Management Plan of Sujiwan</li> <li>5) Participatory Grassland Restoration Project</li> <li>6) Forage Grinder Project</li> <li>7) Solar Photovoltaic Panels Project</li> <li>8) Solar Photovoltaic Panels Project</li> <li>9) Supplementary Feeding Project</li> <li>10) Sinking wells Project</li> <li>11) Nan'an Management and Protection Station Construction Project</li> <li>12) High Efficient Tibetan Sheep Breeding Project</li> <li>13) Distributing of Ecotourism facilities for Ecotourism demonstration households</li> </ol>	What the project actually did was to fence small areas for fodder production (i.e. farming intensification); remove some fences or the topwire for gazelle in lowland areas, but failed to really work on the PMPs which were produced targeted for the higher hills where the herders seasonally live with their livestock, without clear guidance or control of livestock numbers.
Output 2.4: Pilot interventions for sustainable livelihoods, enterprise sector involvement and conservation financing, improving community benefits and biodiversity threat reduction	<ol style="list-style-type: none"> <li>1) Small Grants for Woman-Construction Project of Tibetan Fragrant Pig Breeding Pigsty</li> <li>2) Visitors Visited Sujiwan Village Ecological Tourism Demonstration Households</li> <li>3) Developing Eco-tourism implement plan of Tangqu</li> <li>4) Developing Eco-tourism implement plan of Dayu</li> <li>5) Developing Eco-tourism implement plan of Dongtan</li> <li>6) Developing Eco-tourism implement plan of Sujiwan</li> <li>7) Developing Eco-tourism guidebook of Sujiwan</li> </ol>	The project undertook a number of integrated conservation and development activities, mainly for seven villages, and grouped them together under the title of 'pasture management plans' (PMPs), however the changes in

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Outputs	Achievements Reported by IP	TE Comment
	8) Developing Eco-tourism guidebook of Dongtan 9) Developing Eco-tourism guidebook of Dayu 10) Developing Eco-tourism guidebook of Tangqu 11) Driver Training 12) Leadership Training for Women 13) Excavator Training 14) Embroidery Learning 15) Welding Training 16) Electrician Training 17) E-commerce training 18) Training for Ecotourism Instructors	pasture management regimes were voluntary and based on reward of receiving project inputs as compensation or alternatives, such as new IGAs. The permanence of the 'project-indicated' voluntary reduction in livestock numbers, was difficult to determine.
<b>Component 3: Sustainability enhanced through effective monitoring &amp; evaluation, knowledge management, and social inclusion</b>		
Output 3.1: Effective project management supported by proactive steering committee functions and inclusive monitoring & evaluation	1) Holding Project Inception 2) GEF Project Staff Participated Project Management Training in UNDP Beijing Office 3) GEF4 Experience Exchange and Sharing Meeting 4) GEF Project Management Training 5) Project TE and Asset Management Training 6) Inception Meeting for Writing Nature Education Textbooks 7) International Project Management Workshop 8) Director By QFGB Convened Project Management Meeting 9) Preparatory Meetings for the mid-term evaluation of the Qilian Mountain Project Area 10) Training on the development of TYWP and project management methods at all levels in counties and villages 11) The project manager was invited by C-PAR2 Gansu Project to participate and deliver a speech in the Gender Mainstreaming Workshop in Lanzhou 12) Holding 1 <sup>st</sup> PSC Meeting 13) Holding 2 <sup>nd</sup> PSC Meeting 14) Holding 3 <sup>rd</sup> PSC Meeting 15) Holding 4 <sup>th</sup> PSC Meeting	These are inputs, not outputs

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Outputs	Achievements Reported by IP	TE Comment
	16) Participating the Project Inception Meeting and the first PSC Meeting of the "UNDP NIO Clean Parks Ecological Co construction Plan" 17) Participating the 1 <sup>st</sup> PSC Meeting of C-PAR Child Project 18) Participating the 2 <sup>nd</sup> PSC Meeting of C-PAR Child Project 19) Participating the Cop-15 Biodiversity Conference 20) Completing the Mid-term Evaluation Tracking Tool METT 21) Conducting Mid-term Evaluation in the Project Area 22) Mid-term Evaluation Report 23) Mid-term evaluation management response 24) PIR from 2020-2023 25) PPR from 2019-2022	
Output 3.2: Project results effectively shared through implementation of a targeted knowledge management action plan	1) KAP Baseline Survey Report 2) KAP Final Target Score Determination Table 3) KAP Project Final Report 4) Bon Cafe Gender Mainstreaming Workshop 5) Participating the C-PAR1 promotional activity of the Ministry of Ecology and Environment 6) Participating the C-PAR4 promotional activity of the Wetland Department of the National Forestry and Grass Administration 7) C-PAR 1-4 and Bipin Pokharel (UNDP) Workshop 8) ESIA Workshop 9) SESP Updating workshop 10) Dr Ma Assistant of UNDP Representative in China Visited Qinghai Project and Meeting with PMO 11) UNDP Representative Ms.Beate Trankmann Visited Qinghai Project and Meeting with PMO in Xining 12) UNDP Deputy Representative Mr.James George in China Meeting with PMO in Xining 13) GEF-BOFIN Group Visited Project Sites 14) C-PAR4 Visited Project Sites 15) ecotourism development in Dayu Village - Drawing "Concentric Circles" to Promote Community 16) Promote traditional crafts, develop eco-tourism and explore diversified livelihoods 17) Efficient Tibetan sheep breeding promotes plateau grassland resources	Various knowledge management products were produced

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Outputs	Achievements Reported by IP	TE Comment
	18) Sustainable use and conservation and community co-management practice for conservation of Przewalski's gazelle in Qinghai Lake 19) Transformation from the Perspective of Attention Distribution by Grassroots Governments 20) Gender Mainstreaming Case 21) Project Promotion Video 22) Protected Area Human-Wildlife Conflict Training 23) Visiting and Inspecting of Embroidery Learning for Alternative Livelihood Development of Women in Demonstration Sites 24) Volunteer Management Training 25) Developing volunteer management measures/guidelines 26) Holding the Nanmenxia Volunteer Launch Ceremony 27) Training of Qinghai Lake Ecological Protection Environmental Education , including Youth Volunteer Services 28) Participating in the Qinghai Provincial National Park Volunteer Service Experience Exchange Workshop 29) Gender Mainstreaming Training for Subcontractors/Stakeholders/Project Staffs KAP survey report 30) HWC Workshop 31) HWC Training in Project Sites 32) Developing Bear and Wolf Prevention Handbook 33) National Park Pilot Site and Environment Education Training 34) Primary school Students from Gangcha Visited the Forestry and Grass Bureau-Environment Education Activity 35) Developing 3 Nature Education Textbooks 36) Holding Educational Textbook Promotion Activities 37) Project Newsletter from Mar 2019- Mar2023	
Output3.3: Inclusive participation of local communities, including women and ethnic minorities facilitated through effective implementation of environmental and social management framework	1) IPPs 2) Gender Action Plan 3) ESIA/ESMP 4) Updated SESP	



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**Annex 3: Co-financing Table**

Sources of Cofinancing <sup>1</sup>	Name of Cofinancer	Description of Cofinancing	Type of Cofinancing <sup>2</sup>	Confirmed at CEO Endorsement (US\$)2019-2023	Amount Contributed at Stage of MTR (USD) 2019-21	Expected Amount by Project Closure USD2022-23	New Investment or Recurrent Expenditure	Actual % of Expected Amount USD
UNDP & Partner	UNDP		Grant	\$45,000	\$45,000	\$45,000	new	100
UNDP & Partner Sub-Total				\$45,000	\$45,000	\$45,000		100
Government	Provincial Co-financing	Provincial financial	Cash	\$1,360,000	\$1,025,614	\$1,462,757	recurrent	108
			In-kind	\$16,640,000	\$38,049,800	\$55,263,586	recurrent / new	332
Government / Other Sub-Total				\$18,000,000	\$39,075,414	\$56,726,343		315
Total				\$18,045,000	\$39,120,414	\$56,771,343	n/a	315

1. Sources of Co-financing may include: Bilateral Aid Agencies, Foundation, GEF Partner Agency, Local/ National Government, Civil Society Organization, Multi-lateral agencies, Private Sector, Other
2. Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other
3. Government funding was not audited by the project
4. Excludes PPG

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#### Annex 4: Planned Budget and Expenditures at End-term

Outcome	2019 USD	2020 USD	2021 USD	2022 USD	2023 USD	2024 USD	Total USD
<b>Indicative Breakdown of Project Budget in Project Document:</b>							
<b>Outcome 1</b>	\$62,305.00	\$122,424.00	\$118,325.00	\$74,242.00	\$37,704.00	\$0.00	<b>\$415,000.00</b>
<b>Outcome 2</b>	\$159,751.00	\$385,166.00	\$466,176.00	\$409,329.00	\$316,578.00	\$0.00	<b>\$1,737,000.00</b>
<b>Outcome 3</b>	\$83,508.00	\$55,291.00	\$90,201.00	\$52,762.00	\$94,238.00	\$0.00	<b>\$376,000.00</b>
<b>Outcome 4</b>							<b>\$0.00</b>
<b>Project Management</b>	\$25,517.00	\$23,257.00	\$24,184.00	\$25,157.00	\$26,178.58	\$0.00	<b>\$124,293.58</b>
<b>Total</b>	<b>\$331,081.00</b>	<b>\$586,138.00</b>	<b>\$698,886.00</b>	<b>\$561,490.00</b>	<b>\$474,698.58</b>	<b>\$0.00</b>	<b>\$2,652,293.58</b>
<b>Outcome</b>							<b>Cumulative Totals at Endterm date - June 2023</b>
<b>Annual Work Plan Budgets and Actual Expenditures Incurred through Endterm:</b>							
<b>Outcome 1:</b>							
Annual Work Plan	\$38,991.00	\$66,677.00	\$123,651.85	\$217,425.00	\$232,893.55	\$3,250.00	<b>\$682,888.40</b>
Disbursed	\$5,447.42	\$41,864.78	\$100,016.95	\$72,615.04	\$70,623.25	\$0.00	<b>\$290,567.44</b>
Balance (AWP-Disbursed)	\$33,543.58	\$24,812.22	\$23,634.90	\$144,809.96	\$162,270.30	\$3,250.00	<b>\$392,320.96</b>
<b>Outcome 2:</b>							
Annual Work Plan	\$120,050.50	\$332,923.00	\$614,128.39	\$523,459.04	\$209,741.61	\$3,250.00	<b>\$1,803,552.54</b>
Disbursed	\$22,657.23	\$522,408.50	\$589,986.12	\$395,035.81	\$24,196.17	\$0.00	<b>\$1,554,283.83</b>
Balance (AWP-Disbursed)	\$97,393.27	-\$189,485.50	\$24,142.27	\$128,423.23	\$185,545.44	\$3,250.00	<b>\$249,268.71</b>
<b>Outcome 3:</b>							
Annual Work Plan	\$78,829.00	\$88,889.00	\$196,528.64	\$128,406.85	\$156,597.12	\$22,250.00	<b>\$671,500.61</b>
Disbursed	\$8,046.18	\$37,018.83	\$46,745.37	\$41,564.20	\$33,876.89	\$0.00	<b>\$167,251.47</b>
Balance (AWP-Disbursed)	\$70,782.82	\$51,870.17	\$149,783.27	\$86,842.65	\$122,720.23	\$22,250.00	<b>\$504,249.14</b>
<b>Project Management</b>							
Annual Work Plan	\$14,243.00	\$12,487.00	\$16,799.00	\$20,493.00	\$3,404.98	\$3,404.98	<b>\$70,831.96</b>
Disbursed	\$37,703.47	\$10,336.61	\$30,162.49	\$55,892.35	-\$25,234.60	\$0.00	<b>\$108,860.32</b>
Balance (AWP-Disbursed)	-\$23,460.47	\$2,150.39	-\$13,363.49	-\$35,399.35	\$28,639.58	\$3,404.98	<b>-\$38,028.36</b>
<b>Grand Totals:</b>							
Annual Work Plan	\$252,113.50	\$500,976.00	\$951,107.88	\$889,783.89	\$602,637.26	\$32,154.98	\$3,228,773.51
<b>Total Disbursed</b>	<b>\$50,393.83</b>	<b>\$613,779.11</b>	<b>\$753,547.44</b>	<b>\$529,708.05</b>	<b>\$132,101.29</b>	<b>\$3,404.98</b>	<b>\$2,082,934.70</b>
<b>Balance (AWP-Disbursed)</b>	<b>\$201,719.67</b>	<b>-\$112,803.11</b>	<b>\$197,560.44</b>	<b>\$360,075.84</b>	<b>\$470,535.97</b>	<b>\$28,750.00</b>	<b>\$1,196,232.64</b>

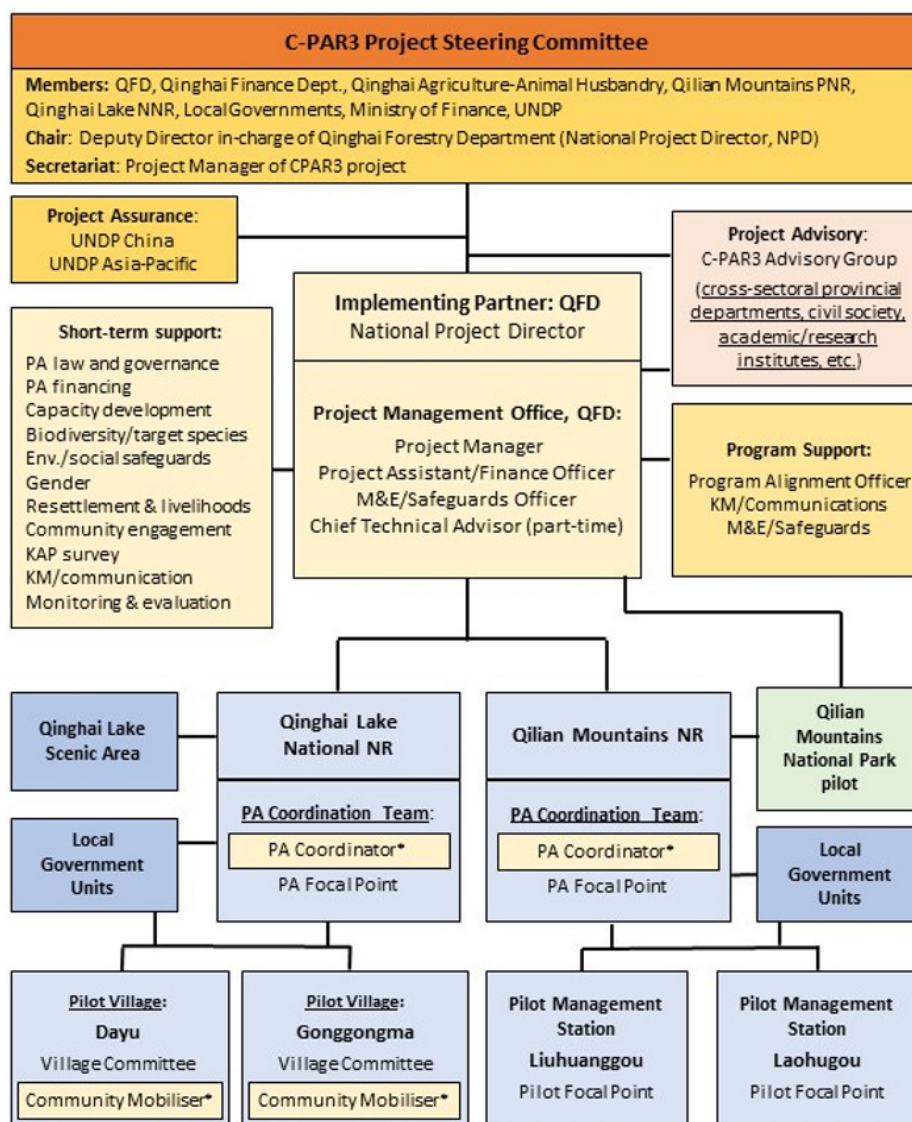
## Annex 5: Brief review of Plans, Technical reports, Training materials, Misc.

### Contents

Project Organisational Structure  
List of Contracts for services, works and equipment  
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National Park Regulations  
Case study of co-management of Przewalski's gazelle in Qinghai Lake area  
Integrated Ecotourism Development Demonstration Model Village  
PMPs – Summary  
Livestock – on-farm intensification of Tibetan sheep breeding and production  
Ecological Corridor data  
Training data

### Project Organisational Structure

The project organisational structure was presented in the prodoc:



### List of Contracts for services, works and equipment

	Contract	Output Name
1	2019-Cooperation Agreement of Przewalski's Gazelle Monitoring	Przewalski's Gazelle Monitoring (2019) pp80, Chinese Version
2	2019-Purchase Solar Photovoltaic Panel	
3	2019-Purchase of Promotional Materials	
4	2019-Purchase Contract of Two-wheeled Motorcycle	
5	2019-Purchase Contract of Monitoring and Patrolling Equipment	
6	2019-Purchase Contract of Canvas Bag	
7	2019-Purchase of Supplementary Feed	The Plan of Winter Supplementary Feed (2019) pp 4, Chinese
8	2019-Contract of Gap Analysis	Gap Analysis Report on the Protection Vacancy of Qinghai Lake- Qilian Mountain (2020) pp52, Chinese Version with English Abstract
9	2019-Purchase Contract of Electric Monitoring and Patrolling Vehicle	
10	2020-Purchase of Supplementary Monitoring and Patrolling Equipment	
11	2020-Contract of Grassland Restoration Project	Grassland Restoration Project Job Design (2020) pp 68, Chinese
12	2020-Service Agreement of Technical Consultation for grassland restoration project grassland restoration project	Grassland restoration project Assessment Report (2020) pp20, Chinese
13	2020-Contract of Promotional Materials Production for Gongghe County	
14	2020-Purchase Contract of Two-wheeled Motorcycle	
15	2020-Contract of Nan'an Management and Protection Station Environmental Improvement Project	Nan'an Management and Protection Station Environmental Improvement Project Implementation Plan (2020) pp 28, Chinese Version
16	2020-Purchase of Supplementary Feed	The Plan of Winter Supplementary Feed (2020) pp 6, Chinese Version
17	2020-Supplementary Agreement of Excavator Training	
18	2020-Contract of Fence Move Project	Fence Move Project Implementation Plan (2020) pp28, Chinese Version
19	2020-Contract of Excavator Training	
21	2020-Purchase of Patrol clothing	
22	2020-Contract of KAP Survey	KAP Project Baseline Report (2021) pp 38, Chinese Version with English Abstract
		KAP Final Target Setting Score Table (2022) pp1, Chinese Version
		KAP Project Final Report (2023) pp 66, Chinese Version with English Abstract
	2020-Purchase of Forage Grinder	
24	2020-Contract of Ecotourism	Eco-tourism implement plan of Tangqu (2021) pp 60, Chinese Version
		Eco-tourism implement plan of Dayu (2021) pp 58, Chinese
		Eco-tourism implement plan of Dongtan (2021) pp 58, Chinese
		Eco-tourism implement plan of Sujiwan (2021) pp 60, Chinese
		Eco-tourism guidebook of Sujiwan (2021) pp 2, Chinese
		Eco-tourism guidebook of Dongtan (2021) pp 2, Chinese
		Eco-tourism guidebook of Tangqu (2021) pp 2, Chinese
		Eco-tourism guidebook of Dayu (2021) pp 2, Chinese
		Case Study of Ecological Tourism Development in Dayu Village (2023) pp 25, Chinese Version with English Abstract
25	2020-Contract of Management fees for Grassland Restoration Project	
26	2021-Contract of Social and Economic Survey for Demonstration Village	
27	2021-Contract of Grassland Restoration Project	Grassland Restoration Project Job Design in Gonghe Area (2021) pp 40,

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	in Gonghe Area	Chinese Version
28	2021-Contract of Grassland Restoration Project in Haiyan Area	Grassland Restoration Project Job Design in Haiyan Area (2021) pp 35, Chinese Version
29	2021-Contract of Comprehensive Performance Evaluation System for Ecological Conservator Staffs	Comprehensive Performance Evaluation System for Ecological Conservator Staffs (2022) pp 53, Chinese Version
		Comprehensive Performance Evaluation System for Ecological Conservator Staffs-Test Set (2022) pp 301, Chinese Version
		Comprehensive Performance Evaluation System for Ecological Conservator Staffs-Training Courses (2022) pp 200, Chinese Version
30	2021-Tripartite Cooperation Agreement of Ecological Corridor Construction Project	Ecological Corridor Construction Project Implementation Plan (2021) pp 30, Chinese Version
31	2021-Contract of Signboard production for Demonstration Village	
32	2021-Contract of Cartographic Services	Project Cartographic Job Design (2021) pp 10, Chinese Version
33	2020-Contract of Pasture Management Plan	Pasture Management Plan of Tangqu (2020) pp 56, Chinese Version
		Pasture Management Plan of Dayu (2020) pp 57, Chinese Version
		Pasture Management Plan of Huangcheng Township (2020) pp 54, Chinese Version
		Pasture Management Plan of Sujiwan (2020) pp 56, Chinese Version
34	2021-Contract of High Effective Tibetan Sheep Breeding	High Effective Tibetan Sheep Breeding Self -Assessment Report (2022) pp 20, Chinese Version
35	2021-Contract of Driver Training for Dayu Village	
36	2021-Purchase Contract of Motorcycle	
37	2021-Contract of Capacity Building	Capacity Building Implementation Plan (2021) pp 30, Chinese Version
38	2021-Contract of Population Monitoring for Przewalski's Gazelle	Monitoring for Przewalski's Gazelle Report (2021) pp 35, Chinese Version
39	2021-Contract of Consultation Services for Human-Wildlife Conflict Prevention and Management	Qilian Mountain Bear and Wolf Prevention Handbook (2021) pp 9, Chinese Version
		Technical Report for HWC (2022) pp 53, Chinese with English Abstract
40	2021-Contract of Skill Training for Community	Skill Training Implementation Plan for Community (2021) pp 20, Chinese
41	2021-Purchase of Supplementary Feed	The Plan of Winter Supplementary Feed (2021) pp 10, Chinese Version
42	2021-Contract of Driver Training for Tangqu Village	
43	2021-Contract of Consultation Services for Volunteer Management	Volunteer Management Project Technical Report (2022) pp 70, Chinese Version
		Volunteer Management Measures (2022) pp 28, Chinese Version with English Abstract
44	2021-Contract of Writing Service for Nature Education Textbook	Qilian Mountain Textbook (for Grades 1 to 3) (2021) pp 80, Chinese
		Textbook for Grades 4 to 6) (2021) pp138, Chinese
		Qinghai Lake Textbook (2021) pp 91, Chinese Version
		Technical Report for the Writing Project of Primary School Nature Education Knowledge Textbook(2022) pp 27,Chinese Version with English Abstract
45	2021-Tripartite Agreement of Pig House Construction Project for Tibetan Fragrant	Implementation Plan of Pig House Construction Project for Tibetan Fragrant (2021) pp 10, Chinese
46	2021-Agreement of Small Grants Project in Menyuan County	
47	2022-Contract of Ecological Corridor Construction Project	Ecological Corridor Construction Project Implementation Plan (2021) pp 35, Chinese Version
48	2022-Contract of Grassland Restoration Project	Grassland Restoration Project Job Design (2021) pp 30, Chinese Version
49	2021-Contract of Promotional Materials	
50	2022-Contract of Project Knowledge Achievement Publication	Project Knowledge Achievement Publication (2023) pp 60, Chinese Version
51	2022-Agreement of TOT	TOT Plan (2023) pp 10, Chinese Version
52	2020-Contract of Capacity building training	Capacity building Training Plan (2020) pp 30, Chinese Version
53	2021-Contract of Promotional Videos	
54	2022-Contract of TV Portrait Production	

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55	2022-Contract of Promotional Materials	
56	Contract of Laws and Regulations Consultant	Assessment Report on Legislation of GEF6 Project (2020) pp 216, Chinese
		Assessment Report on Legislation of (2022) pp 136, Chinese
		Assessment Report on Legislation of Qinghai Lake Protected Natural Area (2023) pp 141, Chinese V
57	Contract of Capacity Building and Mainstreaming Consultant	Assessment of the Strategic Direction of Provincial Ecological Conservation Programmes (including landscape conservation and Key Species) in Qinghai Lake and Qilian Mountains (2023) pp 108, Chinese Version with English Abstract
		Mainstreaming of Qinghai Lake and Qilian Mountains Landscape Biodiversity Strategy and Action Plan into Six Provincial Sectoral 14th FYPs" (2023) pp 187, Chinese with English Abstract
		Biodiversity Conservation Strategy and Action Plan of Landscape Areas of Qilian Mountains and Qinghai Lake (2023) pp 51, Chinese with English Abstract
		Capacity Building and Development Plan (2021) pp 70, English Version
58	Contract of Gender Mainstreaming Consultant	Two Year Progress Report on the Implementation of the Gender Mainstreaming Action Plan for the C-PAR3 (2021) pp 18, Chinese Version with English summary
		2023 Gender Mainstreaming Action Plan (2023) pp 2, Chinese Version
		2022 Gender Mainstreaming Action Plan (2022) pp 8, Chinese Version
		2021 Gender Mainstreaming Action Plan (2021) pp 2, Chinese Version
		2020 Gender Mainstreaming Action Plan (2020) pp 4, Chinese Version
59	Contract of Social Integration Security and Resettlement Consultant (national)	Good Case of Gender Ms.Fengkun Yuan (2021) pp 8, Chinese Version
		ESIA/ ESMP Draft (2022) pp 170, Chinese Version
60	Project promotion and knowledge management	Gap Analysis Report on the Protection Vacancy of Qinghai Lake- Qilian Mountain (2020) pp 52, Chinese Version with English Abstract
61	Contract of ESIA/ESMP International Consultant	Environment Social Impact Assessment /Environment Social Management Plan (ESIA/ESMP) (2022) pp 170, English Version
62	Contract International PA Management Best practice Case Training Consultant	
63	Contract Indigenous Peoples Plan Consultant	Indigenous Peoples Plan (IPPs) (2022) pp 48, English Version

## Gender Plan

### Gender Mainstreaming Plan and Results

Action	Indicator	Target	Achievement by Aug 2023
<b>Outcome 1</b>			
• Ensure equal participation of women in the project-level training programme	# and % of female trainee	50% of female trainee	In total 531F (27%) trainees of project-level bio protection related professional trainings.
• Ensure equal participation of women in the international training	# and % of female trainee	50% of female trainee	20F, 51%; one international training delivered on international PA best practice, 39trainees total, 20 women;
<b>Outcome 2</b>			
• Equal women representation on village committees and herder groups	# and % of women representatives on committees /groups	50%	29F, 50%
• Equally engage female villagers in the ecotourism pilot initiative	# and % of female villagers engaged in the initiative	50% of female villagers in the relevant villages	18F, 50%
• Equally engage female staff in developing and implementing the human-wildlife conflict management plan	# and % of female staff engaged in developing the plan	% of female staff engaged no less the percentage of female staff in the agencies	50F, 40%
• Ensure women's equal	# and % of women	50% of women	1952F, 50%

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participation in the community collaborative management	participants	participant	
• Equal participation of women in designing and implementing the grassland restoration	# and % of women participants	50% of women in the relevant communities	48F, 50%
• Equal participation of women in sustainable livelihood alternatives and equal attainment of micro-financing grants	# and % of women participants, # and % of micro-grants	50% of women in the relevant communities	203F, 50%
• Organize and train women groups to brand and market their products on the internet and/or on Wechat	# of women groups	At least one group in Dayu Village in Qinghai Lake NNR	42F, 82%. Two trainings were delivered, one for Business, Market and Women's Leadership, one for Electronic Business Operation, total trainees 49, and 42 females.
Outcome 3			
• Ensure women's equal participation in the project inception workshop, and annual project stakeholder workshops	# and % of women participants	50% of female participant no less than the percentage of women in the workforce	22F, 48% higher than women percentages in the relevant agencies
• Equal consideration of women in the KAP survey	# and % of women respondent	50% of women respondent	4681F, 43%
• Ensure women's equal participation in the landscape level and program level knowledge management initiatives	# and % of women participant	50% of female participant no less than the percentage of women in the agencies	15F, 79% one knowledge management specialist, two case study specialists engaged in the KM, three KM product reviewing meetings organized, total participants is 19, women 15.
All component			
• Recruit a gender specialist	# of gender specialist	1 gender specialist	1
• Designate one gender focal point by each PMO/PA	# of gender focal point	1 in PMO, 1 in Qinghai Lake NNR, 1 in Qilian Mountains PNR/NP	6 in total, 1 in PMO, 1 in Qinghai Lake NNR, 1 in Qilian Mountains PNR/NP, and the other three in Menyuan County, Haiyan County and in Gangcha County
• Develop TORs for the gender focal points	# of TOR	1 for each of the gender focal point	6 in total
• Develop protocol (questions, information gathering system, etc.) for the gender focal points to collect and report detailed gender information including the project affected people, project beneficiaries, participants of each project activity, and so on	# of the protocol	1 for each of the gender focal point	1 for each
• Provide training to the management staff and the gender focal points on gender equality	# of training # of participant	Once a year All people in the PMO, all managers of the 2 PAs	6 trainings in total to all people in the PMO, all managers of the 2 PAs
• provide technical support to the management staff to integrate gender into the project two-year work plans	Times of support provided	Once a year	Once a year

• provide technical advice on gender whenever needed	Times of support provided	Once a month	Over 50
• Record all data disaggregated by gender	Sex-disaggregated data	At least, sex-disaggregated project direct beneficiaries, sex-disaggregated data on the project-related trainings, workshops, community activities, KAP surveys	Yes, sex-disaggregated project direct beneficiaries, sex-disaggregated data on the project-related trainings, workshops, community activities, KAP surveys were collected
• Monitor and evaluate implementation of the GMAP	Included in the APRs, MTE, TE	Included in the APRs, MTE, TER	Yes, included
• Include gender sensitive indicators in the Project Strategic Results Framework	# and % of the project direct women beneficiaries	50% of women beneficiaries	50%

### National Park Regulations

Core zone management rules: Human activities are prohibited in principle, except in relation to activities that meet the special strategic needs of the state. The following activities are permitted: 211. Management activities such as management, protection, patrol, protection and law enforcement, approved scientific research, resource investigation, and necessary scientific research, monitoring, protection, disaster reduction and relief, emergency rescue and rescue, etc. . 2. In principle, except for the necessary habitat management, no artificial afforestation and other restoration measures are taken to maintain the natural state of the ecosystem in the region, and to maintain the authenticity, connectivity and integrity of the ecosystem. Upon approval, due to special circumstances such as diseases and pests, invasion of alien species, geological disasters, and the need to maintain the living environment of the main protected objects, we can carry out important ecological restoration projects, species re-introduction, proliferation and release, disease animals and plants clean-up and other artificial intervention measures. 3. Implementation of ecological migration, prohibit the formation of existing village increase. A transition period may be set up for the original inhabitants who can not be relocated temporarily. During the transition period, without expanding the existing construction land and the scale of cultivated land, it is allowed to repair production and living facilities and to keep a small amount of grazing and farming necessary for daily life, but the use of harmful pesticides is prohibited. It is prohibited to carry out other activities, such as tourism development, which are not in conformity with the objectives of protection. Four. In areas where wildlife migrates and migrates, the core areas are strictly controlled during the wildlife habitat season, and limited human activities that do not affect ecological functions can be carried out in other seasons as appropriate. To set up warning signs for free migration and migration routes of wild animals. 5. The operation and maintenance of legitimate linear infrastructure and livelihood-related infrastructure such as water supply, as well as approved linear infrastructure that is traversed or crossed by means such as tunnels or bridges (no construction on the ground or on the water) , necessary River regime control, river regulation and other activities, in the key areas to hinder the migration of wildlife to add animal passages.

General control zone measures. Except for activities related to meeting the special strategic needs of the state, developmental and productive construction activities are prohibited in principle. Allow only the following limited man-made activities that do not cause damage to ecological functions: 1. Activities permitted in core protected areas. 2. Without expanding the existing construction land and the scale of cultivated land, sporadic indigenous residents are allowed to renovate production and living facilities, and to retain activities such as cultivation, grazing, fishing and breeding that are essential to their daily lives, however, it shall not engage in large-scale and facility-based breeding and processing. 3. Natural Resources, ecological Environmental monitoring and law enforcement, including hydrology and Water Resources Monitoring and investigation of water-related violations, disaster risk monitoring and disaster prevention activities. 4. Non-destructive scientific research observation and specimen collection approved by law. 5. Archaeological investigation and excavation and cultural relics protection activities approved by law. 6. Do not destroy the ecosystem function of the appropriate visit to tourism and related necessary public facilities. 7. The construction and maintenance of linear infrastructure, flood control and water supply facilities, and the operation and maintenance of existing legal water conservancy and transportation facilities must and can not be avoided.

### Case study of Community co-management practice for conservation of Przewalski's gazelle in Qinghai Lake area



- The gazelle population is gradually recovering, but by October 2022, the official statistics show that only 2,969 gazelle remain, mainly in the grazing areas around Qinghai Lake. As the local population increases, the area of pasture available per capita is decreasing, overgrazing and pasture degradation are occurring, therefore fencing has become an important means of dividing property rights and restoring pasture productivity. The situation of gazelle's access to water and quality forage is not optimistic, and the intensification of human-animal conflict and consequent habitat fragmentation are the biggest threats to gazelle at present.
- The project has designed a systematic strategy to address the habitat fragmentation of the gazelle around Qinghai Lake. Firstly, considering the direct threat to the gazelle posed by fencing, the project has promoted community co-management measures to remove pasture fencing and reduce the height of pasture fencing, which has effectively mitigated the threat to the migration of the gazelle. Secondly, in response to the problem of gazelle competing with livestock for pasture, the project alleviates the pressure on pasture by supplemental feeding of gazelle and livestock for herdsman.
- Finally, by combining the characteristics of the structure of local animal husbandry, the project promotes the technology of high-efficiency Tibetan sheep breeding, reduces the livestock's pressure on the pasture, develops vocational skills training for herders, develops ecological tourism, broadens the employment channels of herders, and strengthens the monitoring and patrolling capacity of herders' patrol teams and publicizes the economic and ecological benefits brought by the comprehensive conservation strategy of gazelle, further consolidating the foundation of community participation in the conservation of gazelle habitat. Since the implementation of the project, by the end of December 2022, a total of 4,815 mu of pasture has been restored, 566,513 meters of net fencing has been removed and lowered, 7 wells have been drilled to facilitate gazelle drinking water, and 754 tons of winter supplement feeding has been provided 2019 to 2021. The project has helped 28 families of herders to realize income increase while alleviating the situation of gazelle competing with herders' livestock for pasture. The project covers the counties of Gonghe, Tianjun, Gangcha and Haiyan, realizing a special protection area of 7,600 square kilometers for gazelle and directly benefiting more than 600 households.

Source – Lesson Learned in Project Self-assessment Report (2023)

### Integrated Ecotourism Development Demonstration Model Village

- Dayu Village lies on the north bank of Qinghai Lake, with Przewalski's gazelle and black-necked crane present.
- However, their herders' grassland was severely degraded and negatively impacts on gazelle habitat. The project supported income generating activities (IGAs) such as community-based ecotourism to offset grazing pressure.
- Dayu Village has tourist resources (Lan Flower Lake, Shager God Mountain, and Sacred Spring of the West Sea), but currently lacks eco-experience activities and reception services to attract visitors. The project supported development of a village leading group, with the preparation of an community ecotourism plan (engaging with ecotourism operators, government, public welfare entities and households)
- In the process of developing the ecological tourism route in Dayu Village, the team also encountered the dilemma of insufficient. However, with the team's promotion,
- The village committee created community participation, coordinated the division of labour and solved herders' grievances. Local Tibetan-Mongolian cultural identity was re-enhanced and added to with new weaving technical skills, and local ecotourism interpreter training. As the interaction between demonstration households and herders was established, the village created its own profit-sharing mechanism.
- The project supported a community eco tourism guidebook and interpretation scripts to cultivate leadership skills for demonstration households and reception services for herding demonstration families.

### Pasture Management Plans – for 4 Villages

- Dayu Village
- The pasture management activities carried out includes: grassland restoration, purchase of forage mill for herders, promotion of efficient Tibetan sheep breeding technology, human-animal conflict management and winter replenishing fodder forage of gazelle, construction of gazelle drinking water Wells, formation of herdsman volunteer patrol and daily wildlife protection patrol and environmental protection, ecotourism, technical training and capacity building.
- Tanggu Village

- The pasture management work carried out includes: purchase of forage mill for herders, winter replenishing of Przewalski's gazelle, nature education for gazelle, ecotourism development, training of excavator technology, driving skills training and other capacity building.
- Sujiwan Village
- The range management work carried out includes: purchasing forage mill for herders, income generation training for women, e-commerce training, embroidery training for women, ecotourism development, and various capacity building activities and study tours.
- Huangcheng Township (Dongtan, Xitan, Beishan, and Maying four villages integrated together)
- The pasture management work carried out includes: grassland restoration, purchase of forage mill for herdsmen, promotion of solar photovoltaic panels, women's income generating training, e-commerce training, women's embroidery training, ecotourism development, training of excavator technology, formation of herdsmen volunteer patrol team and wildlife protection daily patrol and environmental protection, and capacity building.

### Livestock – on-farm intensification of Tibetan sheep breeding and production

- On-farm production of fodder and outside purchase of fodder in order to reduce sheep grazing in natural pasture. Livestock numbers in these herder's pastures was reduced by 52%<sup>1</sup>. The model thus allowed for improved habitat for gazelle. The sheep model allowed for early fattening and a six month production cycle for lambs, increasing income by CNY300 / lamb (for 7,600 sheep)
- Moreover, this type of animal husbandry was supported by local government in Huangcheng Township in Menyuan County. The natural pastures are been overgrazed for many years, with an increasing cover of unpalatable plant species, as well as over-exploitation of the parasitic fungus '*Cordyceps*', as well as increasing numbers of tourists, however with local government support of more efficient animal husbandry practices, the scale of impact of the demonstration was far greater

Source – Lesson Learned in Project Self-assessment Report (2023)

### Ecological Corridor data

廊道建设项目信息表 Ecological Corridor Data							
组分2 Component2	数据类型 EC Data Type	2019	2020	2021	2022	2023	TOTAL
廊道建设项目 Ecological Corridor	廊道长度 (米) EC length/meter	100000	142145	111568	172800	0	526513
	覆盖面积 (亩) Size covered/mu	200000	131000	120000	131700	0	582700
	覆盖面积 (公顷) Size covered/ha	13333	8733	8000	8780	0	38847
	受益户数 Beneficiaries/households	38	430	44	65	0	577
	受益人数 Beneficiaries/person	152	1290	132	195	0	1769
	女性 Female	76	645	66	97	0	884
Remark		Topwire-only removal in Hudong Sheep Breeding Farm.	Fence completely removed in Qiaofudan village, Qieji Township, Gonghe County	Fence completely removed in Qiaofudan village, Qieji Township, Gonghe County	134,400meters of topwire-only removal and 38400meters for fence completely removal in Hudong Sheep Breeding Farm		All in Qinghai Lake Area

<sup>1</sup> Cited in project report - Grassland protection demonstration implementation plan for efficient production model of Tibetan sheep

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### Training Data

Subject Title	Content focus	Men	Women	Total	No. of Days	Location
<b>National Level</b>						
<b>Workshop</b>						
Participating the C-PAR1 promotional activity of the Ministry of Ecology and Environment	In order to strengthen communication with various sub projects of C-PAR and showcase the positive results achieved through collaboration among all parties in the construction process of Qinghai National Park Demonstration Province, C-PAR project promotion activities are carried out.	12	10	22		Beijing
C-PAR4 activity of the Wetland Department of the National Forestry and Grass Administration		8	7	15		Beijing
Bon Cafe Gender Mainstreaming Workshop	To deepen project personnel's understanding of the deep connection between environmental and gender issues, and ensure that different genders benefit from it.	8	20	28		Beijing
<b>sub-total</b>		<b>28</b>	<b>37</b>	<b>65</b>		
<b>Regional level</b>						
<b>Training events</b>						
Ability Improving Training of Natural Resource Patrol and Monitoring in Qinghai Lake	Training on skills in using patrol equipment and knowledge related to wildlife monitoring	25	3	28	3	Xining
Gender Mainstreaming Training for Protected Area Staff	Explore the roles, impacts, and differences of different genders in the field of biodiversity conservation in the project demonstration area.	25	25	50		Xining
Professional Ability Training for Ecological Management and Protection Staffs in Haixi prefecture	Conducting training on monitoring technology, drone operation technology, practical operation of protected area business technology, basic ecological knowledge, laws and regulations of natural reserves	55	13	68	2	Delingha
Ecological Management and Protection Training	Learning about improving patrol capabilities, grassland fire prevention, wildlife identification, and other related knowledge	65	10	75	5	Menyuan/Qilian
Grassland Monitoring and Management Training	Trained in artificial grass planting and management of degraded grassland, pest prevention and control, post-production care, benefit monitoring and other related techniques, so as to improve the capacity of technical personnel and ensure that the implementation of the near-natural grassland restoration project will achieve results.	70	15	85	120	Menyuan/Gonghe/Ganzihe
Forestry Field Capability Competition	Written tests and practical investigations of 22 forest factors such as vegetation types, we aim to promote learning through competitions and research through joint efforts to support the cultivation of professional talents in various departments and units FGB	53	16	69	3	Huzhu
Bio-safety Training	Learning about the current situation of biosecurity in China, the impact of alien invasion on ecological security, animal and plant protection and biodiversity, and the construction of protected areas with national parks as the main body	100	41	141	4	Xining
Professional Ability Training for staff in Qilian Mountain for 4 management stations (Laohugou, Liuhuanggou, Qingyanggou and Daladong )	Improving the patrol ability, ecological protection monitoring ability, public environmental literacy and effective participation ability, duty performance ability, and management level of ecological management personnel	163	33	196	5	Qilian

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National Park Pilot Sit and Environment Education Training	Nature education, activity design, community co management of NRs, national park pilot projects, community-based ecological experience and sustainable development, national parks and environmental education. Case sharing, and theory, with Q&A to improve the knowledge level of management personnel	24	23	47	4	Huzhu
Protected Area Human-Wildlife Conflict Training	Learning and case sharing on measures to prevent bears and wolves in protected areas	93	32	125	1	Xining
Training of Trainers for Professional Technical Staff in Landscape PA	Holding TOT for key technicians and managers of project demonstration sites	36	14	50	4	Qilian
Special Topic Training for Gansu and Qinghai Provinces	Learning about the preparation of national park plans, and knowledge related to the construction of national parks	19	11	30	5	Gansu
Sichuan Giant Panda National Park Management Training	Visiting the Sichuan Giant Panda Base and the Humidland Pilot to learn about the way nature education is carried out in the Sichuan Protected Area Pilot	24	13	37	7	Sichuan
Participatory Annual Planning Training	Implementation of the annual plan, discussing the difficulties and solutions in management of specific project activities. Management requirements, responsible persons, fund use management, material procurement plan, and other aspects in the training.	30	9	39	2	Xining
Project Summary Meeting for the First Half of 2020 and Project Monitoring & Management Training	Reviewing the progress of work in the first half of 2020 and provide training for project demonstration site personnel on project management and how execute projects	18	11	29	1	Xining
Training on the development of two year work plan and project management methods at all levels in counties / villages	Introduction of project design, preparation methods and annual plans, community co management, and using participatory methods - project concepts and content among project units and personnel, especially grassroots cadres and personnel, and to grasp the key of project management	15	10	25	1	Xining
Foreign Investment Project Management Training	Budgeting and financial requirements and procurement regulations in detail	12	8	20	0.5	Xining
Project TE and asset management	How to Prepare for Final Assessment and Related Report Preparation	12	11	23	0.5	Xining
Inspecting of Embroidery Learning for Alternative Livelihood Development of Women	(Huangzhong and Huzhu ) women's adaptation to local conditions, develop embroidery handicrafts, gradually form an industry, and actively explore channels for entrepreneurship and income growth	0	20	20	3	Huzhu/Huangzhong County
Embroidery Training	Embroidery skill Learning	0	50	50	15	Huangcheng Township
E-commerce Training	E-commerce skill Learning	17	2	19	5	On Line Traing
Excavator Training	Excavator skill Learning	93	4	97	45	Huangcheng Township
Welding Training	Welding skill Learning	25	0	25	30	Huangcheng Township
Electrician Training	Electrician skill Learning	25	0	25	30	Huangcheng Township
Leadership Training for Women	Small and Micro Enterprise Entrepreneurship Training	0	30	30	7	Huangcheng Township
Driver Training	Driver skill Learning	57	34	91	90	Menyuan/Haiyan/Gangcha
Ecotourism Instructors Training	Studying on biodiversity in protected areas and training on precautions for ecotourism	27	23	50	3	Ganzihe
High Efficient Tibetan Sheep Breeding Training	Technical training for efficient production mode of Tibetan sheep	380	40	420	270	Haiyan/Gangcha/Gonghe
<b>Workshop</b>						
UNDP Visited Qinghai Project	1)Dr Ma Assistant of UNDP Representative in China Visited Qinghai Project and Meeting with PMO 2)Representative Ms.Beate Trankmann	20	23	43	3	Xinig

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	Visited Qinghai Project 3)UNDP Deputy Representative Mr.James George in China Meeting with PMO in Xining					
Director By QFGB Convened Project Management Meeting	Director of the FGB of Qinghai Province- speech on project management and improvement of the capabilities of GEF project staff	8	18	26	0.5	Xinig
Int'l Project Management Workshop	Learning about managing project execution processes	7	16	23	0.5	On Line Traing
2023 Project Promotion Activities	Project Promotion Activities for GEF	5	18	23	0.5	Xinig
Start Meeting for Writing Nature Education Textbooks	Start Meeting for Writing Nature Education Textbooks	13	8	21		Xinig
Community Household Survey	On-site research on the protection of gazelle, the impact on the social environment, and the capacity of protection institutions. Research on the households, management stations, and departments of the county, township, and village governments to collect basic data for future work such as for capacity building of ecological management personnel, innovating the financing of PAs, and formulating E&S management plans	38	8	46		
C-PAR 1-4 and Bipin Pokharel (UNDP) Meeting	Report project progress and execution status to RTA	3	8	11	0.5	On Line Traing
Preparatory meetings for the MTR of the Qilian Mountain project area	Reviewing and summarize the implementation status and related outputs of the project in the Qilian Mountain area	7	8	15		
Human-Wildlife Conflict Workshop	The progress of the pilot project on human animal conflict management under the implementation of the C-PAR project in Gansu and Qinghai provinces was discussed and exchanged based on their respective experiences in the field of human animal conflict.	15	9	24		Xinig
C-PAR PSC Meeting	Every year, the project manager reports on the phased achievements since the project start, the challenges during the implementation, and the next work plan, discusses and improves the biannual plan of the project, and reviews relevant issues.	125	38	163	1	Xinig
C-PAR PSC Meeting	Accelerating project execution progress, enhance communication, knowledge management, and result sharing among domestic sub projects, and increase publicity efforts.	15	18	33	1	Xiamen
<b>sub-total</b>		<b>1719</b>	<b>673</b>	<b>2392</b>	<b>673</b>	
<b>Exchange visits/Study tours</b>						
C-PAR4 Visited Project Sites	Visiting theProject sites and have a workshop with local stakeholders	22	15	37	5	Xining/Haiyan/Gangcha/Menyuan
GEF-BOFIN Group Visited Project Sites	Visiting theProject sites and have a workshop with local stakeholders	0	26	26	5	Xining/Haiyan/Gangcha/Menyuan
<b>sub-total</b>		<b>22</b>	<b>41</b>	<b>63</b>	<b>10</b>	
<b>International level</b>						
<b>Workshop</b>						
ESIA on line meeting	Progress of ESIA/ESMP	9	9	18	0.5	On Line Traing
SESP& ESIA Update workshop	Update status of SESP	5	18	23	0.5	On Line Traing
<b>sub-total</b>		<b>14</b>	<b>27</b>	<b>41</b>	<b>1</b>	
<b>TOTAL</b>		<b>1,783</b>	<b>778</b>	<b>2,561</b>	<b>684</b>	

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**Annex 5a: Location Data & Geo-coordinates**

Item	Region	District	Sub-district	Village/ township	Item Name	Date	Responsible Office
Outcome1: Consolidated PA sub-system recognizing connectivity and KBAs and mainstreamed into provincial planning							
Output 1.1: Consolidated landscape conservation strategy and action plan, threatened species plans and PA sub-system regulations for the Qilian Mountains-Qinghai Lake landscape adopted and mainstreamed into the provincial 14th five-year plan (FYP)	Qinghai	Xining	Chengbei		Assessment Report on Legislation of GEF6 Project	2021	PMO
					Assessment Report on Legislation of	2022	PMO
	Hebei		Chaoyang		Biodiversity Conservation Strategy and Action Plan of Landscape Areas of Qilian Mountains and Qinghai Lake	2022	PMO
					Assessment of the Strategic Direction of Provincial Ecological Conservation Programmes (including landscape conservation and Key Species conservation) in Qinghai Lake and Qilian Mountains	2022	PMO
					Mainstreaming of Qinghai Lake and Qilian Mountains Landscape Biodiversity Strategy and Action Plan into Six Provincial Sectoral 14th FYPs”	2022	PMO
Output 1.2:Policies and guidelines developed for value-based allocations of eco-compensation funds, broader participation of the enterprise sector, and innovative financing mechanisms at the community level, strengthening the sustainability of PA financing	Hebei		Chaoyang		Analysis Report on the Protection Vacancy of Qinghai Lake- Qilian Mountain	2020	PMO
	Qinghai	Xining	Chengzhong		Using the National Park System to Solve the Dilemma of Qinghai Lake Protection and Utilization	2021	PMO
Output 1.3:Institutional enabling environment strengthened through introduction of PA competency-based professional development and joint capacity building for collaborative PA governance	Hebei	Beijing	Chaoyang		Capacity Building and Development Plan	2020	PMO
	Qinghai	Haibei	Qilian		TOT Training of Trainers for Professional Technical Staff in Landscape Protected Area	2023	PMO
		Xining	Chengxi		Training on Best Practice Cases of International Protected Area Management	2023	PMO
		Haixi	Delingha		Professional Ability Training for Ecological Management and Protection Staffs in Haixi prefecture	2020	PMO
		Haibei	Menyuan/Qilian		Ecological Management and Protection Training	2020	PMO
			Menyuan/Gonghe		Grassland Monitoring and Management Training		PMO
		Haidong	Huzhu		Forestry Field Capability Competition	2020	PMO
		Xining	Chengdong		Bio-safety Training	2020	PMO
		Haibei	Gongcha		Ability Improving Training of Natural Resource Patrol and Monitoring in Qinghai Lake	2020	PMO
			Menyuan/Qilian		Professional Ability Training for ecological management and protection staff in the Qilian Mountain area for four management and protection station (Laohugou,Liuhuanggou,Qingyanggou and Daladong )	2021	PMO

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		Xining	Chengbei		Comprehensive performance evaluation system for ecological conservator staffs	2021	PMO
					Comprehensive performance evaluation system for ecological conservator staffs -test set.	2021	PMO
					Comprehensive performance evaluation system for ecological conservator staffs-training courses	2021	PMO
			Chengxi		International Protected Area Management Best Practice Cases Workshop	2023	PMO
	Gansu	Gansu	Zhnagye		Special Topic Training for Gansu and Qinghai Provinces	2023	PMO
	Sichuan	Sichuan	Sichuan		Sichuan Giant Panda National Park Management Training	2023	PMO
Outcome2:Strengthened and more participatory management of expanded PA sub-system in the Qilian Mountains-Qinghai Lake landscape							
Output 2.1:Operationalisation and expansion of the PA sub-system according to the consolidated landscape conservation strategy and action plan	Qinghai	Hainan	Gonghe	Qieji	Ecological corridor construction	2019-2022	PMO
				Qiaofudan	Przewalski's Gazelle Monitoring	2019	PMO
		Xining	Chengxi		Project Matchmaking Meeting with Qinghai Lake Nature Reserve and Qinghai Management Bureau	2019	PMO /QMNP/QLNR
Output 2.2:Strengthened implementation capacities, coordination and partnerships across the Qilian Mountains-Qilian Lake PA sub-system	Qinghai	Haibei	Menyuan/Haiyan	Project Village	Establishment of village level project management committee		PMO
				Gangzihe/Huangcheng	Establishing 5 herdsman patrol group and distributing patrol equipment	2020	PMO
		Haibei	Haiyan/Menyuan		Providing patrol equipment for ecological management staff in the Qinghai Lake-Qilian Mountain Project area	2019	PMO /QMNP/QLNR
		Haibei	Mengyuan	Huangcheng	E-commerce Online training	2023	PMO
					Embroidery Online Learning(2 times)	2020	PMO
		Xining	Chengxi/Chengbe i		Participatory Annual Planning Training		PMO
					Project Summary Meeting for the First Half of 2020 and Project Monitoring &Management Training	2020	PMO
		Xining/Haidong	Huangzhong/huz hu		Visiting and Inspecting of Embroidery Learning for Alternative Livelihood Development of Women in Demonstration Sites	2019	PMO
Output 2.3: Demonstrations of participatory habitat restoration and management arrangements within the expanded PA sub-system	Qinghai	Haibei	Gangcha	Tangqu	Pasture Management Plan of Tangqu	2021	PMO
				Haiyan	Pasture Management Plan of Dayu	2021	PMO
				Menyuan	Pasture Management Plan of Sujiwan	2021	PMO
				Mengyuan	Pasture Management Plan of Huangcheng Township	2021	PMO
				Mengyuan/Gong he	Participatory Grassland Restoration project	2020-2022	PMO
				Mengyuan	Project Forage Grinder	2021	PMO
			Haiyan/Gonghe	Ganzihe	Solar Photovoltaic Panels Project	2019	PMO
					Supplementary Feeding Project	2019-2022	PMO
					Sinking wells project	2020	PMO
					Nan'an Management and Protection Station Construction Project	2021	PMO / Qinghai Lake Protection and Utilisation Administration

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			Haiyan/Gangcha/Gonghe	Dayu	High Efficient Tibetan Sheep Breeding Project	2020	PMO
		Xining	Chengxi/Chengbei	Tangqu/Sujiwan	Distributing of ecotourism facilities	2022	PMO
Output2.4: Pilot interventions for sustainable livelihoods, enterprise sector involvement and conservation financing, improving community benefits and biodiversity threat reduction	Qinghai	Haibei	Mengyuan	Sujiwan	Small Grants for woman-Construction project of Tibetan fragrant pig breeding pigsty	2022	PMO
					Visitors Visited Sujiwan Village Ecological Tourism Demonstration Household	2021	PMO
			Gangcha	Tangqu	Eco-tourism implement plan of Tangqu	2020	PMO
			Haiyan	Dayu	Eco-tourism implement plan of Dayu	2020	PMO
			Mengyuan	Dongtan	Eco-tourism implement plan of Dongtan	2020	PMO
				Sujiwan	Eco-tourism implement plan of Sujiwan	2020	PMO
					Eco-tourism guidebook of Sujiwan	2020	PMO
			Dongtan	Eco-tourism guidebook of Dongtan	2020	PMO	
			Haiyan	Dayu	Eco-tourism guidebook of Dayu	2020	PMO
			Gangcha	Tangqu	Eco-tourism guidebook of Tangqu	2020	PMO
			Mengyuan/Haiyan/Gangcha	Gangzihe/Huangcheng	Driver Training	2020	PMO
			Mengyuan	Huangcheng	Training for ecotourism instructors	2023	PMO
					Leadership Training for Women	2022	PMO
					Excavator Training	2022	PMO
					Embroidery Learning	2022	PMO
					Welding Training	2022	PMO
Electrician Training	2022	PMO					
		E-commerce training	2023	PMO			
Outcome3: Sustainability enhanced through effective monitoring & evaluation, knowledge management, and social inclusion							
Output3.1:Effective project management supported by proactive steering committee functions and inclusive monitoring & evaluation	Qingh	Xinig	Chengxi		Holding Project Inception	2019	PMO
	Hebei	Beijing	Chengdong		GEF project staff participated project management training in UNDP Beijing office	2021	PMO /UNDP
	Qinghai	Xining	Chengxi /Chengbei		GEF4 Project Manager Experience Exchange and Sharing Meeting	2019	PMO
					GEF Project Management Training	2019	PMO
					Project TE and Asset Management Training	2023	PMO
					Inception Meeting for Writing Nature Education Textbooks	2020	PMO
					International Project Management Workshop	2022	PMO
					Director By QFGB Convened Project Management Meeting	2022	PMO
					Preparatory Meetings for the mid-term evaluation of the Qilian Mountain Project Area	2021	PMO
					Training on the development of TYWP and project management methods at all levels in counties and villages	2019	PMO
					Holding on 1st PSC Meeting	2019	PMO
					Holding on 2nd PSC Meeting	2020	PMO
					Holding on 3rd PSC Meeting	2022	PMO
					Holding on 4rd PSC Meeting	2023	PMO



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					PSC Participating the Project Inception Meeting and the first PSC Meeting of the "UNDP NIO Clean Parks Ecological Co construction Plan"	2023	UNDP
					Participating the 1st PSC Meeting of C-PAR Child Project	2020	UNDP
	Fujian	Xiamen			Participating the 2nd PSC Meeting of C-PAR Child Project	2023	UNDP
	Yunnan	Kunming			Participating the Cop-15 Biodiversity Conference	2020	UNDP
	Qinghai	Xining	Chengxi		Completing the Mid-term Evaluation Tracking Tool METT	2021	PMO
					Conducting Mid-term Evaluation in the Project Area	2021	PMO
					Mid-term Evaluation Report	2021	PMO
					Mid-term evaluation management response	2021	PMO
					Completing theTE Tracking Tool METT	2023	PMO
				PIR Completing PIR from 2020-2023	20-23	PMO	
				PPR Completing PPR from 2019-2022	19-22	PMO	
Output3.2:Project results effectively shared through implementation of a targeted knowledge management action plan	Qinghai	Xining	Chengxi		KAP Baseline Survey Report	2021	PMO
					KAP Final Target Score Determination Report	2022	PMO
					KAP Project Final Report	2023	PMO
	Heibei	Beijing	Chengdong		Bon Cafe Gender Mainstreaming Workshop	2021	PMO
					Participating the C-PAR1 promotional activity of the Ministry of Ecology and Environment	2021	C-PAR1 PMO
					C-PAR4 promotional activity of the Wetland Department of the National Forestry and Grass Administration	2021	C-PAR4 PMO
	Qinghai	Xining	Chengxi		C-PAR 1-4 and Bipin Pokharel (UNDP)Workshop	2021	UNDP/PMO
					ESIA Workshop	2021	UNDP/ PMO
					SESP Updating workshop	2022	UNDP/ PMO
		Haibei	Gonghe		Dr Ma Assistant of UNDP Representative in China Visited Qinghai Project and Meeting with PMO	2020	UNDP/PMO
		Xining			Representative Ms.Beate Trankmann Visited Qinghai	2022-2023	UNDP/PMO
		Xining			UNDP Deputy Representative Mr.James George in China Meeting with PMO in Xining	2023	UNDP/ PMO
		Haibei	Mengyuan/Haiyan/Gangcha		GEF-BOFIN Group Visited Project Sites	2023	BOFIN PMO/C-PAR3 PMO
					C-PAR4 Visited Project Sites	2023	C-PAR4&C-PAR3PMO
			Haiyan	Dayu	Ecotourism development in Dayu Village - Drawing "Concentric Circles" to Promote Community	2022	PMO
			Mengyuan	Huangcheng	Promote traditional crafts, develop eco-tourism and explore diversified livelihoods	2022	PMO
			Haiyan	Dayu	Efficient Tibetan sheep breeding promotes plateau grassland resources	2022	PMO
			Gonghe		Sustainable use and conservation and community co-management practice for conservation of Przewalski's gazelle in Qinghai Lake	2022	PMO
			Mengyuan	Huangcheng	Transformation from the Perspective of Attention Distribution by Grassroots Governments	2022	PMO
			Haiyan		Gender Mainstreaming	2021	PMO

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Output3.3:Inclusive participation of local communities, women and ethnic minorities		Xining	Chengbei		HWC workshop in Xining	2021	PMO
			Mengyuan/Haiyan/Gangcha		HWC training in project sites	2021	PMO
			Mengyuan/Haiyan/Gangcha		Bear and Wolf Prevention Handbook	2020	PMO
	Haidong	Huzhu		National Park Pilot Sit & Environment Ed. Training	2021	PMO	
	Qinghai	Xining	Chengxi/Chengbei	Volunteer management training	2020	PMO	
				Developing volunteer management measures/guidelines	2021	PMO	
		Haidong	Huzhu	Holding the Nanmenxia Volunteer Launch Ceremony	2020	PMO	
		Xining	Chengxi/Chengbei	Training of Qinghai Lake Ecological Protection Environmental Education , including Youth Volunteer Services	2019	PMO	
				Participating in the Qinghai Provincial National Park Volunteer Service Experience Exchange Workshop	2022	PMO	
				Gender Mainstreaming Training for Subcontractors/Stakeholders/Project Staffs	2020	PMO	
	Xining	Chengxi		Primary school students from Gangcha visited the Forestry and Grass Bureau	2020	PMO	
				Gender Mainstreaming Training for PA Staff	2020	PMO	
				Developing 3 Nature Education Textbooks	2020	PMO	
				Project Newsletter from 2019/3-2023/3	2019-2023	PMO	
				Holding Educational Textbook Promotion Activities	2020	PMO	
				IPPs Completing IPPs	2022	PMO	
				Gender Action Plan	2020-2023	PMO	
				Updated SESP	2023	PMO	

## Annex 6: List of Persons Interviewed

Name	Position / Organization	Location
<b>4<sup>th</sup> Sep., 2023</b>		
Mr. Ma Liangyi	Director/Qinghai Forestry and Grassland Project Service Center (QFGPSC)	Xining, wildlife Rescue and Breeding Center
Mr. Li Wenyan	Office director/ Qinghai Forestry and Grassland Project Service Center (QFGPSC)	Xining, wildlife Rescue and Breeding Center
Dr. Fan Longqing	CTA of GEF Qinghai Project	Xining PMO Office
Ms. Li Qian	Project Manager/ Qinghai GEF Project	Xining PMO Office
Mr. Zhao Jinyuan	PA Coordinator/ Qinghai GEF Project Qinghai Lake Landscape	Xining PMO Office
Mr. Wu Peng	PA Coordinator/ Qinghai GEF Project Qilian Mountains Landscape	Xining PMO Office
Ms. Zhang Mengyuan	M&E officer/ Qinghai GEF Project	Xining PMO Office
Ms. Niu Gengyun	Accountant/ Qinghai GEF Project	Xining PMO Office
Mr. Qi Xinzhang	Director/ Qinghai Wildlife Rescue and Breeding Center	Xining, wildlife Rescue and Breeding Center
<b>5<sup>th</sup> Sep., 2023</b>		
Mr. Zhao Haiping	Deputy Director/Qinghai Forestry and Grassland Bureau	Xining Golog Hotel
Mr. Li Wenyan	Office director/ Qinghai Forestry and Grassland Project Service Center (QFGPSC)	Xining Golog Hotel
Dr. Fan Longqing	CTA of GEF Qinghai Project	Xining Golog Hotel
Ms. Li Qian	Project Manager/ Qinghai GEF Project	Xining Golog Hotel
Mr. Zhao Jinyuan	PA Coordinator/ Qinghai GEF Project Qinghai Lake Landscape	Xining Golog Hotel
Mr. Wu Peng	PA Coordinator/ Qinghai GEF Project Qilian Mountains Landscape	Xining Golog Hotel
Ms. Zhang Mengyuan	M&E officer/ Qinghai GEF Project	Xining Golog Hotel
Ms. Niu Gengyun	Accountant/ Qinghai GEF Project	Xining Golog Hotel
Mr. Wang Enguang	First Class Inspector/Qinghai Forestry and Grassland Bureau	Xining Golog Hotel
Mr. Ma Liangyi	Director/Qinghai Forestry and Grassland Project Service Center (QFGPSC)	Xining Golog Hotel
Mr. Tang Wenjia	Senior Engineer/Qinghai Provincial Eco-Environmental Monitoring Center	Xining Golog Hotel
Mr. Fan Xinshan	Deputy Director/Social Technology Development Office of Qinghai Provincial Department of Science & Technology	Xining Golog Hotel
Mr. Han Mingcheng	Director/Haixi Prefecture Forestry and Grassland Bureau	Xining Golog Hotel
Mr. Wany Zhiyou	Professor/Qinghai University	Xining Golog Hotel
Ms. Zhang Jing	Staff Member/Qinghai Provincial Department of Justice	Xining Golog Hotel
Mr. Yin Guangjing	Director/Qinghai Provincial Forestry Association	Xining Golog Hotel
Mr. Zhao Hongjing	General Manager/Qinghai Provincial Forestry and Grassland Training Center	Xining Golog Hotel
Ms. Nima Yangzong	Administrative Member/Qinghai Xuejing Environmental Education Research Institute	Xining Golog Hotel
Mr. Lan Zhoujia	Staff/Beijing Fuqun Social Service Center	Xining Golog Hotel
Mr. Chen Kexin	Deputy Director/National Park Administration Bureau of Qinghai Forestry and Grassland Bureau	Xining Golog Hotel
Mr. Li Lun	Intermediate Engineer/Qilian Mountains National Park Qinghai Management Bureau	Xining Golog Hotel
Mr. Fu Yang	Director/Emergency and Disaster Mitigation Office of Qinghai Meteorological Bureau	Xining Golog Hotel
Mr. Yao Long	Staff/Qinghai Xinghuan Information Technology Co., Ltd./Photographer	Xining Golog Hotel
Ms. Zhao Xinsu	Director/Qinghai Provincial Department of Water Resources	Xining Golog Hotel
Mr. Ma Ping	Deputy Director/Qinghai Lake National Nature Reserve Management Bureau	Xining Golog Hotel
Mr. Cheng Wei	Engineer/Hainan Prefecture Forestry and Grassland Bureau	Xining Golog Hotel
Ms. You Luqing	President/Qinghai Environmental Education Association	Xining Golog Hotel
Ms. Zhao Hairong	Deputy Director/ Qinghai Provincial Department of Culture and Tourism	Xining Golog Hotel
Mr. Jin Sangui	Deputy Director/Forestry and Grassland Bureau of Haibei Prefecture	Xining Golog Hotel
Dr. Fan Longqing	CTA of GEF Qinghai Project	Xining Golog Hotel
Ms. Li Qian	Project Manager/ Qinghai GEF Project	Xining Golog Hotel

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Mr. Zhao Jinyuan	PA Coordinator/ Qinghai GEF Project Qinghai Lake Landscape	Xining Golog Hotel
Mr. Wu Peng	PA Coordinator/ Qinghai GEF Project Qilian Mountains Landscape	Xining Golog Hotel
Ms. Zhang Mengyuan	M&E officer/ Qinghai GEF Project	Xining Golog Hotel
Ms. Niu Gengyun	Accountant/ Qinghai GEF Project	Xining Golog Hotel
Ms. Zhang Xuemei	Professor/China Agricultural University	Online meeting
Mr. Qu Bo	Professor/Qinghai University	Xining Golog Hotel
Mr. Song Zengming		Online meeting
<b>6<sup>th</sup> Sep., 2023</b>		
Mr. Ma Zhanyun	Deputy Director/Huangcheng Township, Menyuan County	Dongtan Village
Mr. Zhang Weiwei	Director/Dongtan Village	Dongtan Village
Mr. Ma Xiaolong	Villager/Dongtan Village	Dongtan Village
Ms. Hemei Duoma	Villager/Sujiwan Village	Sujiwan Village
Mr. Shi Shengcang	Villager/Sujiwan Village	Sujiwan Village
Mr. Shang Yushou	Director/Sujiwan Village	Sujiwan Village
Ms. Ma Qingcuo	Villager/Sujiwan Village	Sujiwan Village
Ms. Tang Caiji	Villager/Sujiwan Village	Sujiwan Village
Mr. He Chengwu	Monitor/Laohugou Management and Protection Station	Laohugou Management and Protection Station
Mr. He Zhanwu	Patroller/Laohugou Management and Protection Station	Laohugou Wildlife Management and Protection Station
<b>7<sup>th</sup> Sep., 2023</b>		
Mr. Shang Yushou	Director/Sujitan Village	Menyuan Forestry and Grassland Bureau
Mr. Ma Zhanyun	Deputy Director/Huangcheng Township, Menyuan County	Menyuan Forestry and Grassland Bureau
Mr. Yang Yansheng	Villager/ Dongtan Village, Huangcheng Township	Menyuan Forestry and Grassland Bureau
Mr. Duojie Caidan	Intermediate engineer/ Menyuan Forestry and Grassland Bureau	Menyuan Forestry and Grassland Bureau
Mr.Chen Jigui	Deputy Director/Menyuan Grassland Station	Menyuan Forestry and Grassland Bureau
Ms. Ma Xiaoping	Intermediate engineer/ Menyuan Grassland Station	Menyuan Forestry and Grassland Bureau
Mr. Wei Jinsheng	Villager/Maying Village, Huangcheng Township	Maying Village
Mr. Zhang Haicai	Project director/ Menyuan Forestry and Grassland Bureau	Menyuan Forestry and Grassland Bureau
Ms. Li Qian	Project Manager/ Qinghai GEF Project	Menyuan Hotel
Ms. Zhang Mengyuan	M&E officer/ Qinghai GEF Project	Menyuan Hotel
<b>8<sup>th</sup> Sep., 2023</b>		
Mr. Li Jicai	Intermediate engineer/Gonghe Forestry and Grassland Bureau	Qiaofudan Village meeting room
Mr. Jiumai Danzeng	Villager/Qiaofudan Village	Qiaofudan Village conference room
Mr.Pengcuo Eri	Director/Qiaofudan Village	Qiaofudan Village conference room
Mr. Duojie Dongzhou	Deputy Director/Qiaofudan Village	Qiaofudan Village conference room
Mr. Pu Wajia	Director of Supervisory commission/Qiaofudan Village	Qiaofudan Village conference room
Mr. Ren Qingjia	Staff/Qieji Township	Qiaofudan Village conference room
Mr Zhala Cairang	Villager/Qiaofudan Village	Qiaofudan Village conference room
Mr. Dou Geben	Villager/Qiaofudan Village	Qiaofudan Village conference room
Mr. Gong Baojia	Villager/Qiaofudan Village	Qiaofudan Village conference room
Mr.Hai Bo	Villager/Qiaofudan Village	Qiaofudan Village conference room

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Mr. Renqing Chaojia	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Wama Xiangxiu	Muri Team leader/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Danzheng JIancuo	Accountant/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Jiaoba Cairang	Qiadang Team leader/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Duojie Dongzhu	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Yang Benjia	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr. La Huaxiu	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Cai Langxiu	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Nan Layou	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr Dan Zheng	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Mr. Yang Xiujia	Villager/Qiaofudan Village	Qiaofudan conference room	Village
Ms Kong Yuxia	Staff/Gonghe Forestry and Grassland Bureau	Qiaofudan conference room	Village
9 <sup>th</sup> Sep., 2023			
Mr A Deren	Deputy Director/South Shore Protection and Rescue Center of Qinghai Lake	South Shore Protection and Rescue Center of Qinghai Lake	

## **Annex 7: List of Documents Reviewed**

1. Project Identification Form (PIF) and GEF FA strategic program objectives
2. UNDP Initiation Plan and Implementing/Executing partner arrangements / contract
3. UNDP Project Document and Logframe revisions
4. CEO Endorsement Request
5. UNDP Environmental and Social Screening results
6. Project Inception Report
7. Project Implementation Reports (PIRs)
8. Annual Project Reports
9. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
10. Atlas Risk Register
11. Quarterly progress reports and work plans of the various implementation task teams
12. Annual Work Plans
13. Mid Term Review (MTR) Report
14. MTR Management Response
15. M&E Data management system
16. Audit reports
17. Tracking Tools
18. Oversight mission reports by the project manager, RTA, and others
19. Monitoring reports prepared by the project
20. Financial and Administration guidelines used by Project Team
21. Co-financing realized, itemized according to template provided by TE team
22. Financial expenditures, itemized according to template provided by TE team
23. Project operational guidelines, manuals and systems
24. UNDP Development Assistance Framework (UNDAF/ICF) and Evaluation
25. UNDP Country Programme Document (CPD) and Country Programme Action Plan (CPAP)
26. Project site location maps
27. Project activity maps with management actions and intervention
28. Technical consultancy reports
29. Training materials (PPTs etc.)
30. News and Awareness materials / Photo library / Video films about the projects
31. Project Summary PowerPoint files for the TE

## Annex 8: Stakeholder List

Stakeholder	TE Interest
<b>National level</b>	
Ministry of Finance (MoF)	MoF is the GEF Operational Focal point of China responsible for coordinating the programming of GEF resources and overseeing the China GEF portfolio with the GEF Agencies. MoF is the recipient of GEF grant on behalf of the Chinese Government.
Ministry of Ecology and Environment (MEE; formerly Ministry of Environmental Protection, MEP)	This ministry was created at the end of the PPG phase. Key partner of the overall C-PAR Program, of which this project will demonstrate many of the ongoing and planned national reforms.
Ministry of Natural Resources (MNR)	The Ministry of Natural Resources (MNR) was created on 17 March 2018, replacing the Ministry of Land & Resources, State Oceanic Administration (SOA), the National Surveying and Mapping Bureau and many functions of several other ministries and agencies, and is responsible for overseeing the development and protection of China's natural resources, setting up a spatial planning system and establishing a system for payment of ecosystem services. This ministry is mandated with responsibility over the national PA system, through the subordinate State Forest and Grassland Administration / State National Park Authority. This ministry was created at the end of the PPG phase and is a key stakeholder during implementation of all outputs.
State Forestry and Grassland Administration (SFGA)	SFGA was a key stakeholder in the project at the national level, overseeing the provincial forestry system, as well as the Gansu Endangered Animals Protection Center. Until 17 March 2018, the State Forestry Administration (SFA) was the competent authority for forestry under the State Council, responsible for supervising the establishment and management of nature reserves of forests, terrestrial wild animals, and wetlands. Following the national institutional reform, the State Forestry and Grassland Administration was established on April 10, 2018. The new Administration is mainly responsible for the monitoring and management of forest, grassland, wetland and desert; the development, utilization and protection of wildlife; ecological protection, restoration, reforestation, as well as National Park management. It is under the management of the Ministry of Natural Resources.
United Nations Development Programme (UNDP) – China Country Office	UNDP is GEF Agency for the project and is therefore responsible for oversight and monitoring project implementation and ensuring adherence to UNDP and GEF policies and procedures. The UNDP CO Communications Division will support the development of communications strategy and plans across the C-PAR Program.
<b>Qinghai</b>	
Qinghai Forestry Department	The Qinghai Forestry Department (QFD) is mandated to implement State principles, policies, laws and rules concerning the improvement of forest resources of Qinghai Province. The QFD also drafts forestry regulations and is responsible for enforcement. The QFD is responsible for establishing and managing nature reserves, forest parks and wetland parks for protection of forest and wetland ecosystems. The QFD is the implementing partner for the project, will designate a National Project Director, who will chair the project steering committee. QFD will also set up a Project Management Office (PMO) and recruit PMO staff. Involved on all outputs.
Qinghai Provincial Development and Reform Commission	Responsible for coordination and implementation of Qinghai's Development Plan and matters related to domestic engineering A key project stakeholder; will be invited to be a member of the C-PAR3 advisory group. Outputs 1.1, 3.1.
Qinghai Provincial Finance Department	The Qinghai Provincial Department of Finance is responsible for allocation and control of provincial finances for Qinghai Province. The Qinghai Provincial Department of Finance is the main cofinancing partner on the project and will provide an oversight function for financial management and control of GEF funds dispersed. Outputs 1.2, 2.43, 3.1.

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Qinghai Agriculture and Animal and Husbandry Department	Responsible for pasture use, aquatic products, livestock health and management, grasslands pest control, aquatic management (including fisheries), etc. The Agriculture and Animal Husbandry Department will play a key role in the project's work with local communities and herders relevant to livestock and grassland management and restoration. A senior official from the Department will be a member of the project steering committee, and professional staff members will be invited to be members of the C-PAR3 advisory group. All outputs.
Qinghai Lake NNR Management Bureau	Responsible for protection and management of the Qinghai Lake NNR. The Qinghai Lake NNR will be a key partner on the project, hosting a PA Coordination Team, assigning a PA focal point, and designating a senior official on the project steering committee. All outputs.
Qilian Mountain NR Management Bureau	Responsible for protection and management of the Qilian Mountains NR. The Qilian Mountains NR will be a key partner on the project, hosting a PA Coordination Team, assigning a PA focal point, and designating a senior official on the project steering committee. All outputs.
Qinghai Lake Scenic Area Administration	The Qinghai Lake NNR reports to the Qinghai Lake Scenic Area Administration. The Qinghai Lake Scenic Area Administration will be an important stakeholder on the project, particularly with respect to activities aimed at improving collaborative governance and enhancing the sustainability of PA financing. Management and professional staff will be invited to be members of the C-PAR3 advisory group. All outputs under Components 1 and 2, and Outputs 3.1 and 3.2.
Qinghai Environmental Protection Bureau	Coordination of environmental issues, participation in environmental assessment and implementation of the Convention on Biological Diversity. They are a key partner for the project, particularly in coordination and outreach activities, and professional staff will be invited to be members of the C-PAR3 advisory group. Outputs 1.3, 3.1, 3.2.
Qinghai Department of Land and Resources	Responsible for supervision and management of land development and utilization of resources in the project area, implementation of wildlife habitat protection laws and regulations and conservation planning. They are a key partner for the project, and professional staff will be invited to be members of the C-PAR3 advisory group. Outputs 1.1, 1.3, 3.1, 3.2.
Nature Reserve Management Stations within the Qilian Mountains-Qinghai Lake landscape	They are key partners and beneficiaries of the project. Representatives of the NR management stations will receive training, participate in activities and provide support for project implementation. All outputs.
Three-River Source National Park Management Agency	The Three-River Source National Park (TRS NP) Management Agency has been established under the Qinghai Provincial Government as the agency responsible for management of the Three-River Source NP. The TRS NP Management Agency will be responsible for implementation of project activities on the C-PAR1 (national) project at the TRS NP, which will include establishing a training centre within the agency. The TRS NP Management Agency will be an important partner on the C-PAR3 project, invited to be a member of the advisory group. Outputs 1.1, 1.2, 2.2, 3.1, 3.2, 3.3.
Qinghai Lake Farm, and Qinghai Lake Hudong Breeding Sheep Farm	Research farms supporting the conservation and livestock management activities in the Qinghai Lake region. These stakeholders will be engaged in the development of the landscape conservation strategy and will be involved in development and implementation of pasture management plans. Outputs 1.1, 1.3, 2.3
Local governments and forestry administrations where proposed project interventions are located including the Haiyan Forestry Bureau, Gangcha Forestry and Forestry Police Bureau, and the Haibei Autonomous Prefecture Forestry Bureau	A thorough socioeconomic study was made of the Qilian Mountains-Qinghai Lake landscape. The subnational government agencies in these jurisdictions will be responsible to administer the expansion of the protected areas, including drafting and managing possible resettlement and dislocation plans. Provincial, county, township and village government units will be key partners during project implementation. Representative subnational officials are proposed to be members of the project steering committee. Project activities will be closely coordinated with local government units, starting with the preparation of the environmental and social impact assessment and the associated consultations. All outputs under Component 2, and Outputs 3.2 and 3.3.



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Gansu Forestry Department	<p>The Gansu Forestry Department is mandated to implement State principles, policies, laws and rules concerning the improvement of forest resources of Gansu Province. The Qilian Mountains National Park, which is currently under pilot implementation, is partly situated in Gansu Province.</p> <p>The project will promote improved inter-provincial collaborative governance of the Qilian Mountains NP. Gansu Forestry Department management and staff officials will also be invited to participate in joint training and field interventions.</p> <p>Outputs 1.1, 1.3, 2.2.</p>
<b>Districts / Counties / Local Level</b>	
Local communities	<p>Local communities where project interventions are planned are among the key beneficiaries of the project. Target villages/communities were selected based upon stakeholder consultations and a common set of criteria.</p> <p>Local communities will participate in collaborative PA management arrangements, receive specific training, be involved in sustainable alternative livelihoods demonstrations, etc.</p> <p>All outputs under Component 2, and Outputs 3.2 and 3.3.</p>
Co-management Committee Leaders	

## Annex 9: Rating Scales

The following UNDP-GEF grading scales were applied in the evaluation

### Evaluation Criteria

Criteria	Definition
<b>Effectiveness - Objective</b>	- The extent to which an objective has been achieved or how likely it is to be achieved.
<b>Effectiveness - Outcomes</b>	- Results include direct project outputs, short to medium-term outcomes
<b>Relevance</b>	<ul style="list-style-type: none"> <li>- The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.</li> <li>- The extent to which the project is in line with the GEF Operational Programs or the strategic priorities under which the project was funded.</li> </ul> <p>(Retrospectively, relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.)</p>
<b>Efficiency</b>	- The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>- The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion</li> <li>- Projects need to be environmentally, as well as financially and socially sustainable</li> </ul>
<b>Impact</b>	<ul style="list-style-type: none"> <li>- The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention.</li> <li>- Longer term impact including global environmental benefits, replication effects and other local effects.</li> </ul>

### Rating Scale for Outcomes (Overall, Effectiveness & Efficiency)

<b>Highly Satisfactory (HS)</b>	<p>The project had no shortcomings in the achievement of its objectives in terms of effectiveness (outcomes), or efficiency.</p> <p>The project is expected or has achieved its global environmental objectives.</p> <p>The project can be presented as 'good practice'.</p>
<b>Satisfactory (S)</b>	<p>There were only minor shortcomings</p> <p>The project is expected or has achieved most of its global environmental objectives.</p>
<b>Moderately Satisfactory (MS)</b>	<p>There were moderate shortcomings</p> <p>The project is expected or has achieved most of its relevant objectives but with moderate / significant shortcomings or modest overall relevance.</p> <p>The project isn't going to achieve some of its key global environmental objectives</p>
<b>Moderately Unsatisfactory (MU)</b>	<p>The project had significant shortcomings</p> <p>The project is expected to achieve its global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.</p>
<b>Unsatisfactory (U)</b>	<p>There were major shortcomings in the achievement of project objectives in terms of effectiveness, or efficiency</p> <p>The project is not expected to achieve most of its global environment objectives</p>
<b>Highly Unsatisfactory (HU)</b>	<p>The project had severe shortcomings</p> <p>The project has failed to achieve any of its major environment objectives</p>

Or Not Applicable (N/A); Unable to Assess (U/A)

### Note

**Overall Outcome:** Achievement of the project objective will be rated HS to U.

**Effectiveness:** Each of the project's three outcomes will be rated HS to U. The colour coding of the individual indicator targets in **Annex 1** will partially help determine the grade. Each of the outcome indicators will also each be given a grade (in the justification column), however the final rating for each of the three outcomes will be due to appropriate weighting in terms of attaining project objectives. This means that professional judgement of the TE team will also be a key consideration.

**Efficiency:** An overall rating for cost-effectiveness will be provided

**Rating Scale for Outcome (Relevance)**

Relevant (R)	Not relevant (NR)
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**Rating Scale for Implementing Agency (IA) and Executing Agency (EA) Execution**

<b>Highly Satisfactory (HS)</b>	The agency had no shortcomings in the achievement of their objectives in terms of quality of implementation or execution. Implementation of all five given management categories – IA or EA coordination & operational matters, partnership arrangements & stakeholder engagement, finance & co-finance, M&E systems, and adaptive management (work planning, reporting & communications, including update to project design) – has led to an efficient and effective project implementation. The agency can be presented as providing ‘good practice’
<b>Satisfactory (S)</b>	The agency had only minor shortcomings in terms of the quality of implementation or execution. Implementation of most of the five management categories has led to an efficient and effective project implementation
<b>Moderately Satisfactory (MS)</b>	The agency had moderate shortcomings Implementation of some of the five management categories has led to a moderately efficient and effective project implementation
<b>Moderately Unsatisfactory (MU)</b>	The agency had significant shortcomings Implementation of some of the five management categories has not led to efficient and effective project implementation
<b>Unsatisfactory (U)</b>	There agency had major shortcomings in the quality of implementation or execution Implementation of most of the five management categories had not led to efficient and effective project implementation
<b>Highly Unsatisfactory (HU)</b>	The agency had severe shortcomings with poor management leading to inefficient and ineffective project implementation

**Rating Scale for Monitoring & Evaluation**

<b>Highly Satisfactory (HS)</b>	The M&E system – its design and implementation had no shortcomings in the support of achieving project objectives. The M&E system was highly effective and efficient and supported the achievement of major global environmental benefits. The M&E system and its implementation can be presented as ‘good practice’.
<b>Satisfactory (S)</b>	The M&E system – its design and implementation had minor shortcomings in the support of achieving project objectives. The M&E system was effective and efficient and supported the achievement of most of the major global environmental benefits, with only minor shortcomings
<b>Moderately Satisfactory (MS)</b>	The M&E system – its design and implementation had moderate shortcomings in the support of achieving project objectives. The M&E system supported the achievement of most of the major relevant objectives, but had significant shortcomings or modest overall relevance
<b>Moderately Unsatisfactory (MU)</b>	The M&E system – its design and implementation had major shortcomings in the support of achieving project objectives. The M&E system supported the achievement of most of the major environmental objectives, but with modest relevance
<b>Unsatisfactory (U)</b>	The M&E system – its design and implementation had major shortcomings and did not support the achievement of most project objectives. The M&E system was not effective or efficient
<b>Highly Unsatisfactory (HU)</b>	The M&E system failed in its design and implementation in terms of being effective, efficient or supporting project environmental objectives or benefits.

**Rating Scale for Sustainability**

<b>Likely (L)</b>	Negligible risks to sustainability with key Outcomes achieved by the project closure and expected to continue into the foreseeable future
<b>Moderately Likely (ML)</b>	Moderate risks, but expectations that at least some Outcomes will be sustained
<b>Moderately Unlikely (MU)</b>	Significant risk that key Outcomes will not carry on after project closure, although some outputs should carry on
<b>Unlikely (U)</b>	Severe risks that project Outcomes as well as key outputs will not be sustained

According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability are critical: i.e., the overall rating for sustainability is not higher than the lowest-rated dimension.

Ratings should take into account both the probability of a risk materializing and the anticipated magnitude of its effect on the continuance of project benefits.

Risk definitions:

- a) Whether financial resources will be available to continue activities resulting in continued benefits
- b) Whether sufficient stakeholder awareness and support is present for the continuation of activities providing benefit
- c) Whether required systems for accountability / transparency & technical know-how are in place
- d) Whether environmental risks are present that can undermine the future flow of the project benefits.

**Rating Scale for Impact<sup>1</sup>**

<b>Significant (S)</b>	<b>Minimal (M)</b>	<b>Negligible (N)</b>
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Project Impact is rated as Significant; Minimal or Negligible, but also the positive or negative aspect of the impact will be stated.

Concerning impact, the TE will consider the extent of

- a) Verifiable improvement in ecological status; and/or
- b) Verifiable reductions in stress on ecological systems
- c) Regulatory and policy changes at regional, national and/or local levels

Process indicators will be specified to demonstrate achievement of stress reduction and/or ecological improvement.

Part of the impact assessment, will concern catalytic effect. The TE will consider if the project exhibited

- a) Scaling up (to regional and national levels)
- b) Replication (outside of the project),
- c) Demonstration, and/or
- d) Production of a public good, such as new technologies /approaches)

<sup>1</sup> The rating scale for Impact has been discontinued under the 2020 guideline

## Annex 10: Mission Itinerary

Includes full mission timetable

Date	Time	Activities	Location	Participants
Sept 3 (Sun)		International IC Arrival in Beijing		
Sept 4 (Monday)	Morning 10:00-11:00	Pick-up from Landmark Hotel 8:30 AM Briefing with UNDP CO (8:40 - 9:40AM) Depart for airport Time 9:45AM	Beijing	
	Afternoon	Flight to Qinghai - Xining CA1203 - 11:50: 14:30	Xining	16:00-17:00 Check in 17:00-19:00 Dinner
Sept 5 (Tuesday)	Morning	QINGHAI - PMO presentation of project to TE; documentation	Xining	TE consultants, relevant leaders of GFGB, PMO, CTA
	Afternoon	14:00-15:30 PPT Briefing by PM 15:30-17:00 TE interview with Provincial Stakeholders /Project Consultant/Subcontractors	Xining / Menyuan County 17:00-18:30 From Xining to Menyuan County by car and accommodation in Menyuan.	TE consultants, PMO, CTA, Provincial stakeholders
Sept 6 (Wednesday)	Morning	8:30-10:30 go to the Gangshika Snow Peak with Dongtan herder patrolling groups. 11:00-12:00 Inspecting grassland restoration and forage grinder project in Dongtan village	Menyuan county /Dongtan village	TE consultants, PMO ,CTA, Local stakeholders
	Afternoon	12:00-15:00 - Ecological tourism demonstration household, Embroidery project for women 15:00-17:00 Tibetan fragrant pig breeding project of women and Laohugou management & protection station	Menyuan county / Sujiwan village	TE consultants, PMO ,CTA, Local stakeholders
Sept 7 (Thursday)	Morning	8:30-12:00 - TE interview with the representatives from County, township, and village three level	Menyuan county	TE consultants, PMO ,CTA, Local stakeholders
	Afternoon	14:00-16:00 From Menyuan to Gonghe county	Traveling by car for 4 hours Accommodation in Gonghe county	TE consultants, PMO ,CTA, Local stakeholders
Sept 8 (Friday)	Morning	7 AM Depart. 7:00-12:00 - Demonstration sites in Qieji township for fence move and ecological corridor	7 a.m - 5 hours by car Qieji Township / Stay Gonghe County	TE consultants, PMO ,CTA, Representatives of herder patrolling groups Local stakeholders
	Afternoon	13:00-15:30 Human wildlife conflict sit 15:30-18:00. Representatives from County, township, and village three level	Qieji County	TE consultants, PMO ,CTA, Local stakeholders
Sept 9 (Sat)	Morning	Depart 7 AM 8:30-10:30 Inspecting Nan'an management and protection station 10:30-12:30 From Gonghe County to Xining City	Gonghe county	TE consultants, PMO ,CTA, Local stakeholders
	Afternoon	13:30-15:30 Indicative Questions with PMO Manager 17:50-18:59 From Xining city to Lanzhou city	Xining City /Lanzhou city	TE consultants, relevant leaders of GFGB, PMO, CTA

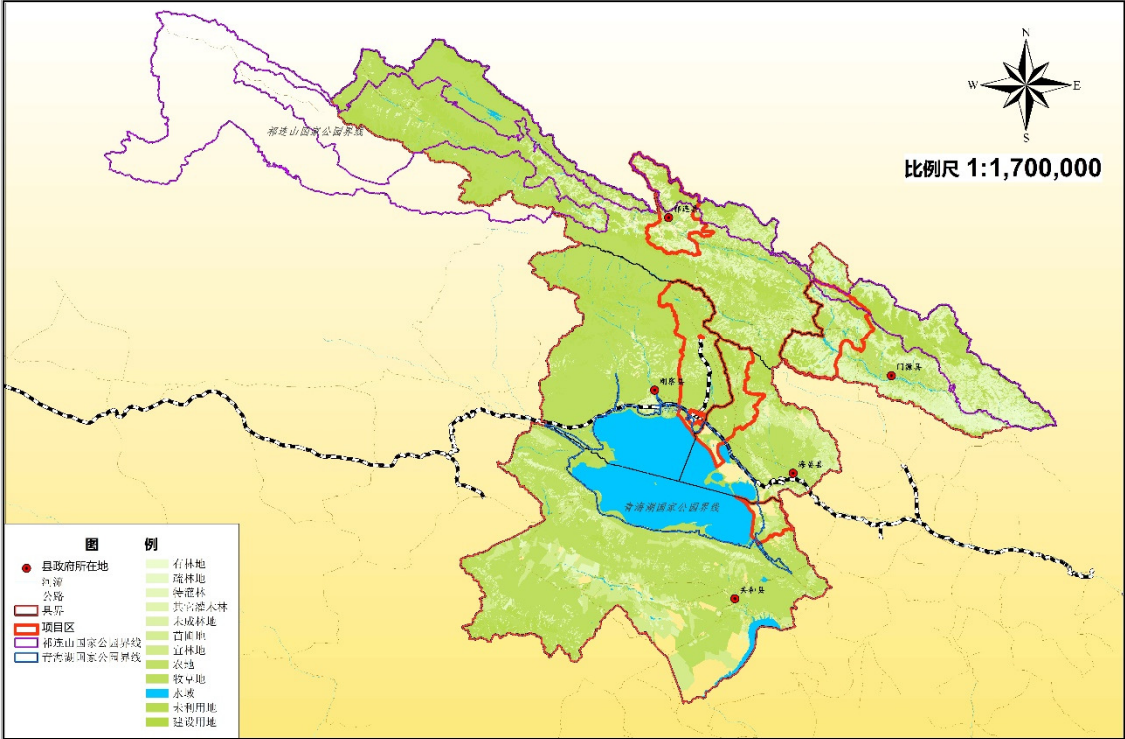
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Sept 10 (Sunday)	Morning	GANSU Convene TE meeting - Presentation by PMO; Documentation discussion		TE consultants, relevant leaders of GFGB, Provincial Project Office, project experts, representatives of subcontractors, etc.
	Afternoon	Head for Yuhe Zhaoqianba community	Travel by car, about 7.5 hours drive, accommodation in Yuhe Town	TE consultants, provincial project office
Sept 11 (Monday)	Morning	Zhaoqianba community - Yuhe Town PA Friendly Tea Demonstration and Promotion and E-commerce. Tea production & plantation, bee-keepingProgram"	Yuhe Town Zhaoqianba Community (- is most south area in the visit, then other areas are closer to to Lanzhou)	TE consultants, Provincial Project Office, representatives of Yuhe Town
	Afternoon	1. Leave for Axia Nature Reserve Management and Protection Center 2. Convene TE symposia	Zhouqu county Travel time: 3.5 hours	TE consultants, Provincial Project Office, Axia Management and Protection Center
Sept 12 (Tuesday)	Morning	Axia cuoxi Village - project of the Axia Conservation Bureau and the Cuoxi village - demonstration of production and marketing of cherries".	Travel time: 1.4 hours; accommodation in Zhouqu County	
	Afternoon	Convene TE symposia	-	TE consultants, Provincial Project Office, Yuhe Branch Office, Chagangliang Management & Protection Center, Duoer Management and Protection Center
Sept 13 (Wed)	Morning	Leave for Hezheng Department of Natural Resources	AM travel from Zhouqu to Hezheng	
	Afternoon	Inspect the ecological corridors in Hezheng County	Hezheng Department of Natural Resources; Travel time 1.5 hours Accommodation: Hezheng County	TE consultants, representatives of Provincial Project Office and of Hezheng County Natural Resources Bureau
Sept 14 (Thursday)	Morning	Return to Lanzhou	Travel time: 1.5 hours	
			Provincial Department of Finance	TE consultants, Provincial Project Office, representatives Provincial Department of Finance
	Afternoon	Visit to stakeholders	Provincial Department of Ecology	TE consultants, Provincial Project Office, representatives of Provincial Department of Ecology
		Feedback session Lanzhou	Indicative questions with PMO Manager; Accommodation in Lanzhou	TE consultants, leaders of GFGB, Project Office, project experts, representatives of subcontractors
Sept 15 (Friday)	Morning	Arrival in Beijing Flight time?		
	2:00-3:00	TE-De-briefing with UNDP CO		
Sept 16 (Saturday)		International IC depart Beijing	Depart for airport	

Annex 11: Map

Project location map

项目示范区在祁连山国家公园、青海湖国家公园的布局图



## Annex 12: Indicative TE Evaluation Matrix

This questionnaire was used as a general aid during the field visit with the results described in section 3. (Note there is no further information to be presented in the blank boxes.)

Evaluation Question	Response / Finding	Conclusion/ Recommend
<b>Relevance:</b> How does the project relate to the main objectives of the GEF FA, and to the environment and development priorities at the local, regional and national levels?		
<b>Effectiveness:</b> To what extent have the expected outcomes and objectives of the project been achieved?		
<b>Efficiency:</b> Was the project implemented efficiently, in-line with international and national norms and standards?		
<b>Sustainability:</b> To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?		
<b>Impact:</b> Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and / or improved ecological status		
<b>Findings discussion – 3 areas - Project formulation, project implementation, and project results.</b>		
<b>Project Strategy</b>		
<b>Project Design:</b>		
To what extent is the project in line with national and local priorities?		
To what extent is the Project aligned to the main objectives of the GEF focal area?		
Have synergies with other projects and initiatives been incorporated in the design?		
Were lessons from other relevant projects properly incorporated into the project design?		
Decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?		
Have issues materialized due to incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document?		
<b>Results Framework:</b>		
Are the project objective / outcomes clear, practicable, & feasible within its time frame?		
Were the project's logframe indicators and targets appropriate?		
How "SMART" were the midterm and end-of-project targets (Specific, Measurable, Attainable, Relevant, Time-bound)? Any amendments?		
<b>Progress towards Results</b>		
<b>Progress towards Outcomes Analysis:</b>		
Review the logframe indicators against delivery at end-of-project targets using the Results Matrix (see Annex).		
Compare and analyse the GEF Tracking Tool at the Baseline, MTR and End.		
Which barriers hindered achievement of the project objective		
<b>PROJECT FORMULATION</b>		
Were the project's objectives and components clear, practicable and feasible within its time frame?		
Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed?		
Were lessons from other relevant projects properly incorporated in the project design?		
Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?		
Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?		
Were the project assumptions and risks articulated in the PIF and project document?		
Whether the planned outcomes were SMART		
<b>ASSUMPTIONS AND RISKS</b>		
As per logframe - Logical and robust, and have helped to determine activities and planned outputs.		
Externalities (i.e. effects of climate change, global economic crisis, etc.) which are relevant to the findings.		
<b>Project Implementation &amp; Adaptive Management</b>		
<b>GEF Partner Agency / Implementing Entity – UNDP</b>		
Has there been an appropriate focus on results?		
Has the UNDP support to the Executing Agency/Implementing Partner and Project Team been adequate?		
Has the quality and timeliness of technical support to the Executing Agency/ Implementing Partner and Project Team been adequate?		
How has the responsiveness of the managing parties to significant implementation problems (if any) been?		
Has overall risk management been proactive, participatory, and effective?		
Are there salient issues regarding project duration, for instance to note project delays? And, how have they affected project outcomes and sustainability?		
Candor and realism in annual reporting		
<b>Executing Agency/ Implementing Partner Execution</b>		
Were the capacities of the executing institution(s) and its counterparts properly considered when the Project was designed?		
Were partnership arrangements properly identified and roles and responsibilities negotiated prior to Project approval?		
Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry?		
Have management inputs and processes, including budgeting and procurement been adequate?		



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Has there been adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure?		
Whether there was an appropriate focus on results and timeliness?		
Quality of risk management?		
Candor and realism in reporting?		
Government ownership (when NEX) or level of support if 'in cooperation with' the IP.		
<b>Work Planning / PROJECT IMPLEMENTATION</b>		
Effective partnerships arrangements established for implementation of the project with relevant stakeholders involved in the country/region, including the formation of a Project Board.		
Lessons from other relevant projects incorporated into project implementation.		
Feedback from M&E activities used for adaptive management.		
Has the project experienced delays in start-up and/or implementation? What were the causes of the delays? And, have the issues been resolved?		
Were work-planning processes results-based?		
Did the project team use the results framework/ logframe as an M&E and a management tool?		
Were there any changes to the logframe since project start, and have these changes been documented and approved by the project board?		
<b>FINANCE &amp; CO-FINANCE</b>		
<u>Prodoc</u> Did the prodoc identify potential sources of co-financing as well as leveraged and associated financing? Prodoc include strong financial controls that allowed the project management to make informed decisions regarding the budget, allow for the timely flow of funds and for the payment of project deliverables Did the prodoc demonstrate due diligence in the management of funds, including periodic audits.		
Sufficient clarity in the reported co-financing to substantiate in-kind and cash co-financing from all listed sources. The reasons for differences in the level of expected and actual co-financing. The extent to which project components supported by external funders were integrated into the overall project. Effect on project outcomes and/or sustainability from the extent of materialization of co-financing. Evidence of additional, leveraged resources that have been committed as a result of the project. (Leveraged resources can be financial or in-kind and may be from other donors, NGOs, foundations, governments, communities or the private sector)		
<u>Cost-effective factors</u> Compliance with the incremental cost criteria and securing co-funding and associated funding. Project completed the planned activities and met or exceeded the expected outcomes in terms of achievement of Global Environmental and Development Objectives according to schedule, and as cost-effective as initially planned. The project used either a benchmark approach or a comparison approach (did not exceed the costs levels of similar projects in similar contexts)?		
<u>Standard Finance questions</u> (see MTR) Have strong financial controls been established allow the project management to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and the payment of satisfactory project deliverables?		
Are there variances between planned and actual expenditures? If yes, what are the reasons behind these variances?		
Has the project demonstrated due diligence in the management of funds, including annual audits?		
Have there been any changes made to the fund allocations as a result of budget revisions? Assess the appropriateness and relevance of such revisions.		
Has pledged cofinancing materialized? If not, what are the reasons behind the cofinancing not materializing or falling short of targets?		
<b>Project-level Monitoring and Evaluation Systems</b>		
The quality of the Monitoring and Evaluation (M&E) plan's design and implementation: An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, MTR, TE, and adequate funding for M&E activities.		
M&E plan at project start up, considering whether baseline conditions, methodology and roles and responsibilities are well articulated. Is the M&E plan appreciated? Is it articulated sufficiently to monitor results and track progress toward achieving objectives?		
Were sufficient resources allocated effectively to M&E?		
Were there changes to project implementation / M&E as a result of the MTR recommendations?		
Are the M&E systems appropriate to the project's specific context? - effectiveness of monitoring indicators from the project document for measuring progress and performance		
Do the monitoring tools provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective?		
To what extent has the Project Team been using inclusive, innovative, and participatory monitoring systems?		
To what extent have follow-up actions, and/or adaptive management measures, been taken in response to the PIRs? Check to see whether APR/PIR self-evaluation ratings were consistent with the MTR and TE findings. If not, were these discrepancies identified by the project steering committee and addressed?		
Compliance with the progress and financial reporting requirements/ schedule, including quality and timeliness of reports		
The value and effectiveness of the monitoring reports and evidence that these were discussed with stakeholders and project staff		
The extent to which development objectives are built into monitoring systems: How are perspectives of women and men involved and affected by the project monitored and assessed?		

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How are relevant groups' (including women, indigenous peoples, children, elderly, disabled, and poor) involvement with the project and the impact on them monitored?		
Has there been adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure?		
<b>STAKEHOLDER ENGAGEMENT</b>		
Are the interactions as per the prodoc? Stakeholder interactions include information dissemination, consultation, and active participation in the project.		
Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?		
Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?		
Participation and public awareness: How has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?		
Are there any limitations to stakeholder awareness of project outcomes or to stakeholder participation in project activities? Is there invested interest of stakeholders in the project's long-term success and sustainability?		
<b>Reporting:</b>		
How have adaptive management changes been reported by the Project Team and shared with the Project Board?		
How well have the Project Team and partners undertaken and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs?), and suggest trainings etc. if needed?		
How have PIRs been shared with the Project Board and other key stakeholders?		
How have lessons derived from the adaptive management process been documented, shared with key partners and internalized by partners, and incorporated into project implementation?		
<b>Communication:</b>		
Internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and long-term investment in the sustainability of project results?		
External project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)		
Are there possibilities for expansion of educational or awareness aspects of the project to solidify a communications program, with mention of proper funding for education and awareness activities? What aspects of the project might yield excellent communications material, if applicable?		
<b>ADAPTIVE MANAGEMENT</b>		
Changes in the environmental and development objectives of the project during implementation, why these changes were made and what was the approval process. Causes for adaptive management: a) original objectives were not sufficiently articulated; b) exogenous conditions changed, due to which a change in objectives was needed; c) project was restructured because original objectives were overambitious; d) project was restructured because of a lack of progress;		
How these changes were instigated and how these changes affected project results: - Did the project undergo significant changes as a result of recommendations from the MTR? Or as a result of other review procedures? Explain the process and implications. - If the changes were extensive, did they materially change the expected project outcomes? - Were the project changes articulated in writing and then considered and approved by the project steering committee?		
<b>PROJECT RESULTS</b>		
A 'result' is defined as a describable or measurable development change resulting from a cause-and-effect relationship. In GEF terms, results include direct project outputs, short- to medium-term outcomes, and longer-term impact including global environmental benefits, replication effects, and other local effects. Assess the results based management (RBM) chain, from inputs to activities, to outputs, outcomes and impacts.		
Assess the project results using indicators and relevant tracking tools		
<b>BROADER ASPECTS OF PROJECT OUTCOMES</b>		
<b>Country Ownership</b>		
Project concept had its origin within the national sectoral and development plans?		
Have Outcomes (or potential outcomes) from the project have been incorporated into the national sectoral and development plans? Has the government enacted legislation and/or developed policies and regulations in line with the project's objectives?		
Relevant country representatives (e.g., governmental official, civil society, etc.) were actively involved in project identification, planning and/or implementation, part of steering committee?		
Was an intergovernmental committee given responsibility to liaise with the project team, recognizing that more than one ministry should be involved?		
The recipient government has maintained financial commitment to the project?		
<b>Mainstreaming (Broader Development and Gender)</b>		
Whether broader development and gender issues had been taken into account in project design and implementation?		
In what way has the project contributed to greater consideration of gender aspects, (i.e. project team composition, gender-related aspects of environmental impacts, stakeholder outreach to women's groups, etc). If so, indicate how.		
Did the MTR recommend improvements to the logframe with SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits? - Were these taken up?		
1. Whether it is possible to identify and define positive or negative effects of the project on local populations (e.g. income generation/ job creation, improved natural resource management arrangements with local groups, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources for long term sustainability).		

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2. If the project objectives conform to agreed priorities in the UNDP country programme document (CPD) and country programme action plan (CPAP).		
3. Whether there is evidence that the project outcomes have contributed to better preparations to cope with natural disasters.		
The mainstreaming assessment should take note of the points of convergence between UNDP environment-related and other development programming.		
<b>Sustainability</b>		
<b>Risk Management</b>		
Are the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module the most important? And, are the risk ratings applied appropriate and up to date? If not, explain why.		
<b>Financial Risks to Sustainability (of the project outcomes)</b>		
What is the likelihood of financial and economic resources not being available once the GEF assistance ends? (This might include funding through government - in the form of direct subsidies, or tax incentives, it may involve support from other donors, and also the private sector. The analysis could also point to macroeconomic factors.)		
What opportunities for financial sustainability exist?		
What additional factors are needed to create an enabling environment for continued financing?		
Has there been the establishment of financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (i.e. from the public and private sectors, income generating activities, and market transformations to promote the project's objectives)?		
<b>Socio-Economic Risks to Sustainability:</b>		
Are there social or political risks that may threaten the sustainability of project outcomes?		
What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?		
Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?		
Is there sufficient public/ stakeholder awareness in support of the project's long-term objectives?		
Have lessons learned been documented by the Project Team on a continual basis?		
Are the project's successful aspects being transferred to appropriate parties, potential future beneficiaries, and others who could learn from the project and potentially replicate and/or scale it in the future?		
<b>Institutional Framework and Governance Risks to Sustainability:</b>		
Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize project benefits?		
Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project's closure?		
How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?		
How has the project identified and involved champions (i.e. individuals in government and civil society) who can promote sustainability of project outcomes?		
Has the project achieved stakeholders' (including government stakeholders') consensus regarding courses of action on project activities after the project's closure date?		
Does the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership)? Can the project strategies effectively be incorporated/mainstreamed into future planning?		
<b>Environmental Risks to Sustainability:</b>		
Are there environmental factors that could undermine and reverse the project's outcomes and results, including factors that have been identified by project stakeholders? E.g. climate change risk to biodiversity		
<b>Impact - Progress towards the achievement of impacts</b>		
Verifiable improvements in ecological status (or via process indicators to show it is likely in the future)?		
Verifiable reductions in stress on ecological systems (via process indicators)?		
E.g. as a result of the project, there have been regulatory and policy changes at regional, national and/or local levels? (Use tracking tools and indications from baseline to target)		
Identify the mechanisms at work (i.e. the causal links to project outputs and outcomes);		
Assess the extent to which changes are taking place at scales commensurate to natural system boundaries; and		
Assess the likely permanence (long lasting nature) of the impacts.		
On the basis of the outcome and sustainability analyses, identify key missing elements as that are likely to obstruct further progress.		
<b>Theory of Change – Identify project intended impacts – verify logic – analyse project outcome to impact pathway</b>		
Based on the theory of change (building blocks, catalysts etc), has the progress towards impact has been significant, minimal or negligible.		
<b>Catalytic role</b>		
Scaling up - Approaches developed through the project are taken up on a regional / national scale, becoming widely accepted, and perhaps legally required		
Replication - Activities, demonstrations, and/or techniques are repeated within or outside the project, nationally or internationally		
Demonstration - Steps have been taken to catalyze the public good, for instance through the development of demonstration sites, successful information dissemination and training		
Producing a public good –		
(a) The lowest level of catalytic result, including for instance development of new technologies and approaches.		
(b) No significant actions were taken to build on this achievement, so the catalytic effect is left to 'market forces'		

### Annex 13: Signed UNEG Code of Conduct Agreement Form

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

#### 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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

#### Evaluation Consultant Agreement Form

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

Name of Evaluator: Mr R T Sobey

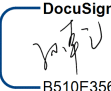

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed in UK on 1<sup>st</sup> August 2023

Signature: \_\_\_\_\_



Annex 14: Signed TE Final Report Clearance Form

Terminal Evaluation Report Reviewed and Cleared By:	
Evaluation Manager	
Name: Qian Sun	
Signature: <div><div>DocuSigned by:</div><div>B510E356B66F44F...</div></div>	Date: 19-Dec-2023
UNDP-GEF Regional Technical Advisor	
Name: Bipin Pokharel	
Signature: <div><div>DocuSigned by:</div><div>96CB6E05AF0B449...</div></div>	Date: 19-Dec-2023

**Annex 15: Terms of Reference**

As per presented on the UNDP ERC webpage