Terminal Evaluation Report

2014 June

Version: Final

Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin

GEF Project ID: 3465
UNDP PIMS ID: 3934

Country:	China
Focal Area:	Biodiversity
Funding Source:	GEF Trust Fund
Implementing Agency:	United Nations Development Programme
Lead Implementing Partner:	Xinyang Municipal Government
Other Responsible Parties:	Foreign Economic Cooperation Office of Ministry of Environmental Protection Henan Provincial Finance Bureau

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James Lenoci, International Consultant / Team Leader

Terminal Evaluation Opening Page:

Project Name:	Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin
GEF Project ID:	3465
UNDP PIMS ID:	3934
Country:	China
Region:	Asia and the Pacific
Funding Source:	GEF Trust Fund
Focal Area:	Biodiversity
PIF Approval:	05 October 2007
Approval Date:	16 November 2007
CEO Endorsement Date:	21 January 2009
Implementing Agency:	United Nations Development Programme (UNDP)
Management Arrangement:	National Implementation Modality (NIM)
Implementing Partner:	Xinyang Municipal Government
Other Responsible Parties:	Foreign Economic Cooperation Office of Ministry of Environmental Protection Henan Provincial Finance Bureau
Implementation Timeframe:	June 2009 – June 2014
Project Cost:	USD 13,082,200
GEF Grant:	USD 2,727,200
Co-Financing, Committed:	USD 10,355,000 Xinyang Government: USD 8,375,000 XMEEA: USD 1,480,000 Private Sector: USD 500,000
Terminal Evaluation Timeframe:	May-June 2014
Evaluation Team:	Prof. Li He, National Consultant James Lenoci, International Consultant / Team Leader
Language of Evaluation Report:	English

The terminal evaluation (TE) team would like acknowledge the information and feedback provided by interviewed project stakeholders, including representatives of the Xinyang Municipality, Luoshan County, Shangcheng County, Xinxian County, Guangshan County, Shihe Districts, and the townships, villages, cooperatives, private companies, and community members involved in the demonstration activities. Special thanks are also extended to the officials from the Foreign Economic Cooperation Office of Ministry of Environmental Protection, UNDP Country Office Staff, and the GEF Regional Technical Advisor. Finally, the TE team is grateful for the insight shared by the national technical advisor, the national project director, deputy national project director, the project manager, and the municipal and local PMO staff – and for their logistical support during the evaluation mission.

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Executive Summary

Exhibit 1: Project Summary Table				
Project Title:	Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin		**at endorsement (USD million)**	**at completion (USD million)**
GEF Project ID:	3465	**GEF financing:**	2.727	2.523
UNDP Project ID:	3934	**IA own:**	0.000	0.000
Country:	China	**Government:**	8.375	12.868
Region:	Asia and the Pacific	**Other:**	1.980	1.480
Focal Area:	Biodiversity	**Total co-financing:**	10.355	14.348
Operational Programme:	2	**Total Project Cost:**	13.082	16.871
Implementing Partner:	Xinyang Municipal Government	**Prodoc Signature (date project began):**		2-Jun-09
Other Partners Involved:	Foreign Economic Cooperation Office of Ministry of Environmental Protection Henan Provincial Finance Bureau	**(Operational) Closing Date:**	Proposed: June 2013	Actual: June 2014

Note: GEF financing amount at completion is total expenditures through 31 March 2014

Project Description

The project forms a key element of the China Biodiversity Partnership Framework (CBPF). It aims to ensure that global biodiversity conservation values are integrated into the management of Important Ecological Function Areas (IEFAs). The HHRB Project aims to mainstream biodiversity conservation into a key landscape management system at the national level, as well as in a critical watershed with global biodiversity significance as a demonstration.

The **Goal** of the project was that of the CBPF as a whole, i.e., to significantly reduce biodiversity loss in China as a contribution to sustainable development.

The **Objective** of the project was to demonstrate practical mechanisms to mainstream biodiversity in China's IEFAs.

The project was designed around four mutually supportive outcomes:

Outcome 1: Biodiversity and ecological function conservation mainstreamed into HHRB planning and monitoring.

Outcome 2: Biodiversity and ecological function conservation mainstreamed into key productive sectors.

Outcome 3: Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes.

Outcome 4: Lessons learned at HHRB inform and strengthen ongoing efforts to manage IEFAs throughout China.

Terminal Evaluation Purpose and Methodology

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

Conclusions and Evaluation Ratings

The project has benefited from **highly satisfactory** county ownership, both from central and local levels, and after a rather slow and misguided start, most of the intended outcomes have been reasonably achieved, under a restructured results framework and implementation modality, and largely due to the hard work and dedication by Xinyang Municipality officials, the national technical advisor, the project management teams, and UNDP CO staff.

The overall performance of the project is rated as **satisfactory**. There are a few concerns, e.g., whether there is sufficient local strategic capacity to guide the mainstreaming efforts moving forward, but due to the strong governmental commitment, the terminal evaluation (TE) team is confident that resources will allocated to continue to integrate biodiversity conservation into the productive sectors of upper reaches of the Huaihe River basin, with the aim of generating global environmental benefits both at local and national levels.

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

Exhibit 2: Evaluation Rating Table

Criteria	Rating	Comments
1. Monitoring and Evaluation (M&E)		
M&E Design at Entry	Satisfactory	The M&E plan was reasonably extensive, sufficient activities and funds were allocated. As Outcome 4, dissemination of lessons learned, was a critical component of the project, there should have been more planning with respect to how information from the M&E activities would feed into the process of consolidating lessons learned and formulating recommendations as guidance to other KEFZs in China.
M&E Plan Implementation	Satisfactory	The project is more or less split into two parts: before and after the mid-term review (MTR). Following restructuring after the MTR, performance was regularly reported in progress reports and self-evaluations were more or less consistent with independent evaluation findings. M&E activities during the first half of the project were not providing a representative characterization of project performance, and this impacted the overall efficiency and effectiveness of the project. Also, evidence of the incremental benefits gained from the GEF support was not clearly reflected in monitoring results, i.e., differentiating from ongoing State ecological conservation programmes.
Overall Quality of M&E	Satisfactory	
2. Implementing Agency (IA) and Lead Implementing Partner (Executing Agency - EA) Execution		
Quality of IA Execution (UNDP)	Satisfactory	The UNDP CO and GEF RTA were actively involved in the project, both in terms of supervision and also strategic guidance. Involvement significantly increased after the mid-term review, and both the CO and the RTA were proactively engaged in assisting the EA in restructuring the project. The IA could have provided more guidance to the EA on agreeing to the priority conservation zone, where mainstreaming will be implemented. At project closure, it is difficult to distinguish where mainstreaming is being carried out and where it is not. There could have also been more support on Outcome 4, as dissemination of lessons learned and recommendations fell a bit short of expectations.
Quality of EA Execution (Xinyang Municipality)	Satisfactory	The Xinyang Municipality maintained high-level involvement during the project implementation timeframe, and government ownership, including central and local levels, remained high throughout. Also, government co-financing exceeded planned contributions. Following the restructuring after the MTR, the municipal and local PMOs were highly motivated, under the direction of the national technical advisor and the leading groups. As time was constrained during the second half of the project, particularly since the no-cost time extension was effectively only 6 months,

Exhibit 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
		there was limited focus on strategic planning, with respect to moving forward with the mainstreaming process after project closure.
Overall IA-EA Execution	Satisfactory	There was a significant improvement in project performance after the mid-term review, and both the IA and EA should be commended for essentially recovering the project from the brink. There is strong anecdotal evidence that the Municipality is committed to supporting the mainstreaming framework that was developed, but this commitment is not yet structured into some type of sustainability plan.
3. Assessment of Outcomes		
Relevance	Relevant	The project remains highly relevant across a number of criteria. The project is closely aligned with the China National Biodiversity Strategy and Action Plan (2011-30), specifically Strategic Task No. 4: Promote mainstreaming of biodiversity conservation into related planning processes. Also, biodiversity mainstreaming is consistent with the national eco-civilization programme, the implementation of which was reinforced during the 18th Central Committee of the Communist Party of China (CPC), Third Plenary Session in November 2013. The Project remains relevant with the strategic objectives of the GEF-5 Biodiversity Strategy, particular with respect Objective 2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors. And, the Project is in line with to the objectives of the Country Programme Document between the United Nations and the Government of China, especially regarding Country Programme Outcome No. 4: The vulnerability of poor communities and ecosystems to climate change is reduced.
Effectiveness	Satisfactory	The Xinyang Municipal Land Use Plan 2010-2020 was amended to incorporate an approx. 135,000-ha eco-corridor, which forms priority conservation zone along the western and southern boundaries of the municipality and linking existing protected areas. The amendment was approved by the Municipality in May 2014 and is under review by the Provincial Government. A monitoring system has been developed for the eco-corridor, with simple single-level parameters, consistent with the recommendations made at the MTR. Baseline surveys were made, but the monitoring plans are not yet linked to strategic management objectives for the priority conservation zone, nor are socio-economic variables included. The project facilitated a comprehensive policy review, sorting out regulations dating more than 10 years back, and a set of new biodiversity-friendly guidelines and incentive schemes have been approved by local governments. The guidelines and incentive mechanisms, however, are not specific to the priority conservation zone, thus obscuring the borders of where mainstreaming will be implemented and where it is not. Guidelines have also been approved for assessing poverty alleviation activities, with the aim of minimizing harmful impacts on biodiversity and other ecosystem functions. But, there has not yet been enough time to evaluate the level to which these guidelines are influencing disbursement of funding for ecological immigration and other poverty alleviation programmes. As the management strategy for the KEFZ (priority conservation zone) has not yet been formulated, with specific management objectives, including conservation targets, the lessons learned and recommendations for other KEFZs in China, under Outcome 4, are consequently rather general and do not really provide a practical model for implementing biodiversity mainstreaming.
Efficiency	Moderately Satisfactory	The productivity of the project was low during the first half of the implementation phase, despite the fact that more than half of the budget was

Exhibit 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
		expended in that time period. Performance was markedly improved after the mid-term review, following the recommended comprehensive restructuring, but the granted no-cost time extension was effectively only 6 months, which was too short in the opinion of the TE team; a full year extension might have allowed more time for focusing on strategic planning and more thorough consolidation of lessons learned.
Overall Outcome Rating	Satisfactory	The project successfully recovered after a slow and misguided start, and ended up satisfactorily achieving most of the intended outcomes. There is strong governmental commitment to support the mainstreaming efforts moving forward, but there are some shortcomings with respect to strategic planning and unclear roles/responsibilities among relevant stakeholders.
4. Sustainability		
Financial Risks	Likely	Delineation of the upper reaches of the HHRB as an IEFA and the counties of Shangcheng and Xinxian as the Dabie Mountain KEFZ ensures continued central government funding. For example, the counties of Shangcheng and Xinxian received a combined sum of approx. USD 20 million (CNY 125 million) in 2013 from the central government, in the form of payment for ecosystem service, as land use is restricted within the KEFZ. Development and approval compensatory and incentive mechanisms to promote biodiversity conservation also enhance sustainability; however, although there is evidence that incentives have started to be allocated, these schemes have not yet been operationalized into local government budgets.
Socio-Economic Risks	Likely	As elsewhere in China, ecological resources remain under pressure of development, as the economy in the country continues to expand. The central and local governments have implemented a series of programmes in recent years to mitigate socio-economic risks.
Institutional Framework and Governance Risks	Likely	One of the main achievements of the project was supporting the development of an institutional framework to facilitate biodiversity mainstreaming in the Xinyang Municipality. This framework includes an amendment to the 2010-2020 Municipal Land Use Plan, with zoning adjustments for the approx. 135,000 ha eco-corridor. Also, a set of regulatory guidelines and incentive mechanisms have been approved by the local government, to promote biodiversity conservation among the productive economic sectors. There are a number of institutional stakeholders having mandates that overlap with the mainstreaming framework, and roles and responsibilities have not yet been clearly defined, to ensure effective governance moving forward.
Environmental Risks	Likely	Unsustainable land use practices are likely to continue to decline, as a result of heightened awareness, available incentive mechanisms to promote biodiversity conservation, and the high level of national interest, e.g., through delineation of the upper reaches of the HHRB as an IEFA.
Overall Likelihood of Sustainability	Likely	The close alignment of the intervention with national priorities ensures continued interest and support from central government stakeholders. Also, there is now a strong institutional framework to guide biodiversity mainstreaming moving forward. There are gaps remaining in terms of strategic planning, and the roles and responsibilities for supervising and management the KEFZ are not yet clearly defined. The lack of a sustainability strategy diminishes the likelihood that project benefits will be sustained after project closure.

Recommendations

Actions to Follow Up or Reinforce Initial Benefits from the Project

1. *Identify and support a mainstreaming "champion"*
2. *Support a national technical advisory role for minimum 5 years*
3. *Agree upon the priority conservation zone for monitoring and evaluating the biodiversity mainstreaming efforts*
4. *Prepare a KEFZ management strategy, incorporating the lessons learned on the Project*
5. *Adjust the monitoring system in response to the KEFZ management strategy*
6. *Incorporate a socio-economic assessment process into activities linking poverty alleviation and biodiversity conservation*
7. *Define roles and responsibilities for supervision and management of the KEFZ*
8. *Engage the agencies responsible for protected areas into the management of the KEFZ*
9. *Operationalize the compensatory and incentive mechanisms into the municipal and local government budgets*

Proposals for Future Directions Underlining Main Objectives

10. *Investigate opportunities for co-management of the KEFZ*
11. *Consider expanding the KEFZ to the adjoining Tongbai Mountain area*
12. *Use an environmental flows assessment within the upper HHRB to support the KEFZ management strategy*
13. *Explore the linkage/synergies with cross-cutting national programmes*

Operational Issues

14. *Risk management should be more inclusive among key stakeholders*
15. *Work programming should be more extensive and be linked to the logical results framework*

Abbreviations and Acronyms

CNY:USD Exchange Rate, 12 June 2014: 6.15

CBPF	China Biodiversity Partnership Framework
CNY	Chinese Yuan Renminbi
ECBP	European Union-China Biodiversity Programme
EPB	Environmental Protection Bureau
FECO	Foreign Economic Cooperation Office (Ministry of Environmental Protection)
GEF	Global Environment Facility
ha	Hectare
HCLG	HHRB National Ecological Function Conservation Area Construction Leading Group
HHRB	Headwaters of Huaihe River Basin
IEFA	Important Ecological Function Area
KEFZ	Key Ecological Function Zone
LPLG	Local Project Leading Group
LPMO	Local Project Management Office
M&E	Monitoring and Evaluation
MEP	Ministry of Environmental Protection
MTR	Mid-term Review
NGO	Non-governmental Organization
NPD	National Project Director
NTA	National Technical Advisor
PIR	Project Implementation Report
PLG	Project Leading Group
PMO	Project Management Office
PSC	Project Steering Committee
RTA	Regional Technical Advisor
TAG	Technical Advisory Group
TCM	Traditional Chinese Medicine
TE	Terminal Evaluation
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNDP-CO	UNDP-Country Office
USD	United States Dollar
XMEEA	Xinyang Municipal Eco-Environmental Association
XMG	Xinyang Municipal Government

1. INTRODUCTION

1.1. Purpose of Evaluation

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

1.2. Evaluation Scope and Methodology

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

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

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

- ✓ An evaluation mission was carried out from 4-13 June 2014; the itinerary is compiled in **Annex 1**;
- ✓ Municipal, local, community, and national level stakeholders were interviewed for their feedback on the project (interviewed persons are listed in **Annex 1);**
- ✓ On 13-15 May, field visits were made to the target counties and district; a summary of the field visits is presented in **Annex 2**;
- ✓ The evaluation team completed a desk review of relevant sources of information, such as the project document, project progress reports, financial reports, mid-term review, and key project deliverables. A complete list of information reviewed is compiled in **Annex 3**;
- ✓ At the end of the evaluation field mission on 12 June 2014, the evaluation presented the findings at a debriefing held at the Xinyang Municipal Government office, and a separate debriefing on 13 June 2104 at the UNDP Country Office in Beijing.

As a data collection and analysis tool, an evaluation matrix was adapted from the preliminary set of questions included in the TOR (see **Annex 4**). Evidence gathered during the fact-finding phase of the evaluation was cross-checked between as many sources as practicable, in order to validate the findings. The project logical results framework was also used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 5**).

1.3. Structure of the Evaluation Report

The evaluation report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following sections in the report:

- ✓ Project Formulation
- ✓ Project Implementation
- ✓ Project Results

[1] Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP.

The discussion under **project formulation** focuses on an evaluation of how clear and practicable were the project's objectives and components, and whether project outcomes were designed according to SMART criteria (see **Exhibit 3**).

Exhibit 3: SMART Criteria	
S	**Specific**: Outcomes must use change language, describing a specific future condition
M	**Measurable**: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
A	**Achievable**: Results must be within the capacity of the partners to achieve
R	**Relevant**: Results must make a contribution to selected priorities of the national development framework
T	**Time- bound**: Results are never open-ended. There should be an expected date of accomplishment
Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP	

Also, project formulation covers whether or not capacities of executing agencies were sufficiently considered when designing the project, and if partnership arrangements were identified and negotiated prior to project approval. An assessment of how assumptions and risks were taken into account in the development phase is also included.

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

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

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

In GEF terms, **project results** include direct project outputs, short- to medium-term outcomes, and longer term impact, including global environmental benefits, replication efforts, and local effects. The main focus is at the outcome level, as most UNDP supported GEF financed projects are expected to achieve anticipated outcomes by project closing, and recognizing that global environmental benefit impacts are difficult to discern and measuring outputs is insufficient to capture project effectiveness.

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

Relevance: The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. Also, relevance considers the extent to which the project is in line with GEF Operational Programs or the strategic priorities under which the project was funded.

Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved.

Efficiency: The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

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

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

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

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

1.4. Ethics

The evaluation was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluation team has signed the Evaluation Consultant Code of Conduct Agreement form (see **Annex 6**). In particular, the evaluation team ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results were presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.5. Response to Review Comments

The draft version of the report was reviewed by UNDP CO staff, the GEF RTA, and other key stakeholders. The review comments are compiled along with the evaluation team's responses in **Annex 7**. Relevant modifications to the report are incorporated into this final version.

1.6. Limitations

The evaluation was carried out over a period of 22 consultant days; including preparatory activities, field mission, desk review, and completion of the evaluation report, according to the guidelines outlined in the Terms of Reference (see **Annex 8**).

As time was limited, not all of the demonstration sites could be visited. But, most of them were visited: 9 of the 11 sites. The information obtained over the course of the evaluation is assumed to be representative of the performance of the project.

1.7. Evaluation Ratings

The findings of the evaluation are compared against the targets set forth in the logical results framework, and also analyzed in light of particular local circumstances. The effectiveness and

efficiency of project outcomes are rated according to the 6-point GEF scale, ranging from Highly Satisfactory (no shortcomings) to Highly Unsatisfactory (severe shortcomings). Monitoring & evaluation and execution of the implementing and executing agencies were also rated according to this scale. Relevance is evaluated to be either relevant or not relevant.

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

Exhibit 4: Rating Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	**Sustainability Ratings:**	**Relevance Ratings:**
6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency	**4: Likely (L)** Negligible risks to sustainability	**2. Relevant (R)**
5: Satisfactory (S): There were only minor shortcomings	**3. Moderately Likely (ML):** Moderate risks to sustainability	**1. Not relevant (NR)**
4. Moderately Satisfactory (MS): There were moderate shortcomings	**2. Moderately Unlikely (MU):** Significant risks to sustainability	**Impact Ratings:**
3. Moderately Unsatisfactory (MU): The project had significant shortcomings	**1. Unlikely (U):** Severe risks to sustainability	**3. Significant (S)**
2. Unsatisfactory (U): There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency		**2. Minimal (M)**
1. Highly Unsatisfactory (HU): The project had severe shortcomings		**1. Negligible (N)**
Additional ratings where relevant: **Not Applicable (N/A)** **Unable to Assess (U/A)**		

Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP

2. PROJECT DESCRIPTION

2.1. Project Start and Duration

Key project dates are listed below:

Pipeline Entry Date:	01 November 2007
PIF Approval:	05 October 2007
Approval Date:	16 November 2007
CEO Endorsement Date:	21 January 2009
GEF Agency Approval Date:	02 June 2009
First Disbursement:	14 December 2009
Inception:	6-7 January 2010
Mid-Term Review:	May 2012
Project completion (original)	30 June 2013
Project completion (actual)	30 June 2014
Terminal evaluation	June 2014

The Project was endorsed by the GEF CEO in January 2009, and the UNDP and Government of China approved the Project 6 months later, in June 2009. The first disbursement was made on 14 December 2009, and the inception workshop was held shortly afterwards, on 6-7 January 2010. Although the 4-year (48-month) project officially started in June 2009, the inception meeting did not occur until January 2010.

A critical junction of the Project was the mid-term review, carried out in May 2012. Severe shortcomings were reported in the mid-term review, and a decision was made to suspend the Project for 6-months, the second half of 2012, to allow an extensive restructuring, including changing the lead implementing partner from the XMEEA to the XMG. The mid-term review also recommended a one-year, no-cost extension, following the suspension period. Considering that the official start date of the Project was June 2009, the one-year extension would extend the completion date to December 2014, after a recommended 6-month extension. Actually, an end date of April 2015 was suggested by the GEF RTA at the time of the mid-term review, allowing an additional 3 months or so for the Project to remobilize after the suspension.

After the new project management team was assembled, the Project resumed activities in early 2013. The completion date of the project was extended, but only to 30 June 2014, which represents a net 6-month extension, as although the project was not officially suspended, there was a period of approximate 6 months at the second half of 2012 when the project was restructured. . The NPD and UNDP CO staff informed the TE team that the Project Steering Committee agreed that extension to 30 June 2014 would allow sufficient time to regroup and attain the intended outcomes.

2.2. Problems that the Project Sought to Address

As outlined in the Project Document, China's biodiversity is among the richest in the world, mainly because of the country's vast land area and diverse climatic conditions. A conservative estimate of the total value of China's ecological products and services is somewhere between US $ 257 billion

and US $421 billion per year. To conserve its biodiversity, China has designated over 2,000 nature reserves, representing about 15% of China's total land area. These nature reserves protect about 70% of the endangered species, thus playing a key role for *in-situ* conservation. Forest coverage has also increased significantly in recent years. Despite conservation efforts, the diversity of biological resources is being seriously threatened.

To reverse the trend of biodiversity loss, it is necessary to address the fundamental governance weakness in the current approach to biodiversity conservation. Biodiversity concerns need to be better integrated into overall planning and decision-making. At the local level, problems related to user rights and ownership of natural resources needs to be solved, and farmers' incentives to protect natural resources increased. Effective mechanisms to increase public environmental awareness are needed as well.

Under the *China Biodiversity Partnership Framework (the CBPF)*, GEF is supporting the government directly address the fundamental issues affecting biodiversity in China. The CBPF aims to become fully integrated into the national development process. The partnership members will jointly take responsibility for implementing the CBPF activities – leading directly to the conservation and sustainable use of much of China's biodiversity. The partnership approach will ensure that a holistic and integrated response can be given to the complex and diverse challenges facing biodiversity in China.

In the case of the Headwaters of the Huaihe River Basin (HHRB), which has been classified as a water source IEFA, suggested management measures in the National Ecological Function Zoning include protection of vegetation and control over economic activities and production practices that are not conducive to the maintenance of water source conservation, and restoration of degraded ecosystems. While 50 IEFAs have been identified in the Zoning scheme, the necessary policy and regulatory mechanisms for their management, and especially to consider global biodiversity conservation are yet to be fully developed.

In 2001, in recognition of its national importance as a water supply area and as an area of biodiversity importance, the Headwater of the Huaihe River Basin (HHRB) was designated by SEPA (MEP) as one of 50 IEFAs. The site, which encompasses the primary drainage area of the upper Huaihe River, covers a total of 21,109 km^2 and is distributed among administrative units as follows:

- Henan Province's Xinyang Municipality, with 18,915 km^2 or 90% of the total, which is further sub-divided administratively into eight counties and two districts;
- Henan Province's Nanyang Municipality, with 1,324 km^2, or 6% of the total area, within a single county (Tongbai);
- Hubei Province's Suizhou Municipality, with 870 km^2 or 4% of the total area.

HHRB has a total population of 8.2 million people, 7.9 million of whom live in Xinyang Municipality. Total GDP for 2006 was estimated at 61.98 billion RMB, giving the area a GDP per capita of approximately 7,500 RMB (US$1,068). Poverty levels are high within HHRB, with six 'National Poor Counties' and 855,000 people, or just over 10% of the total HHRB population, living in poverty.

Of Xinyang's 7.9 million inhabitants, some 2.12 million people migrate to cities within and outside Henan for better job opportunities, thereby generating a total income of CNY 123 million, which is equivalent to 60% of the total income of all farmers in Xinyang. As a result of the large numbers of migrant workers, most remaining farmers are old and/or women with low literacy. They tend to

lack the necessary technical capacity to use high-tech fertilizers, undertake soil analysis, grow vegetables in off-seasons, and cash trade on husbandry and cultivation of economic crops. The large aging and feminized populations in the project area creates important opportunities for the project to pilot interventions oriented towards these groups.

As highlighted by the IEFA process, maintaining ecological functions of natural ecosystems in headwaters of major Chinese river basins is of paramount importance to sustaining China's growing economy and livelihoods of people in the middle and lower streams. The Huaihe River has a length of 1,078 kilometers and a drainage area of 270,000 km^2, with a watershed population of approximately 170 million, according to 2005 statistics. Its source is located to the east of Tongbai Mountain in Tongbai County, Henan Province. The Huaihe used to flow to the sea through present-day northern Jiangsu province. However, beginning in 1194, the Yellow River to the north changed its course southwards to run into the Huaihe River. It changed back and forth several times over the next 700 years. The resulting siltation was so heavy that, since the Yellow River changed back to its northerly course for the last time in 1897, the Huaihe has no longer been able to continue along its old course. Instead, it pools up into Lake Hongze, and then runs southwards towards the Yangtze River. The unusual course of the river is an important factor in making it extremely prone to flooding, as it did to severe effect in 2007.

HHRB's global biodiversity significance is linked to its special position within China's complex eco-geography. The area is located in the southern part of Henan Province and the northern part of Hubei Province, in the transition zone between the warm-temperate and semitropical zones. It thus lies along the geographic and climatic boundary between northern and southern China. Biodiversity conservation in this transitional region makes it possible not only to conserve a great deal of north-south zone biodiversity in the same region, but also to avoid the extinction or loss of this characteristic, transitional region biodiversity. Furthermore, HHRB provides endemic, corridor and migratory habitat for many species of fauna, especially birds during winter-spring migrations.

HHRB is also well diversified in terms of ecosystems. The area supports four distinctly separate and significant ecosystem types—montane forest, river, wetland and agro-ecosystems. In a region of very high population density, HHRB represents one of few remaining areas where substantial forest and wetland ecosystems can still be found. About 33% of the area is categorized as 'woodland.' There are natural wetlands of 89,929 hectares and artificial wetlands of 169,712 hectares.

A preliminary investigation shows that the HHRB region supports about 5,660 species of vascular plants, 5,600 species of insects, and 396 species of birds, accounting for approximately 13%, 14% and 30% respectively of each group in the whole country.16 Altogether, more than 1,800 species of plants and animals found in the area are considered to have important scientific and/or economic value.

These include 35 endemic species such as Shangcheng Fat Salamander (*Pachyhynobius shangchengensis*), Chinese Carabid Beetle (*Carabus <Coptolabrus> lafossei*), Jigongshan Mock Orange (*Philadelphus incanus var. baileyi*), Jigongshan Pseudosasa (*Pseudosasa maculifera*) and Xinyang Maojian Tea. HHRB is particularly rich in medicinal plant resources, which are critical for Traditional Chinese Medicine (TCM), and as a result is regarded by the State Administration of TCM as one of the main production bases of TCMs. Hence, preservation, management and sustainable use of medicinal plants for TCM are considered as key needs.

2.3. Immediate and Development Objectives of the Project

The project goal was that of the CBPF as a whole, i.e., to significantly reduce biodiversity loss in China as a contribution to sustainable development. The project objective was to demonstrate practical mechanisms to mainstream biodiversity in China's IEFAs.

IEFA management was identified as an opportunity to mainstream biodiversity conservation into the management of significant numbers of important landscapes across China by building on the complementarity and synergies between ecosystem function conservation and biodiversity conservation. Such a solution would offer an essential complementary element to China's protected area strategy in three respects: (i) by providing important habitats in their own right, (ii) by helping to reduce pressures on PA's currently isolated within rapidly degrading landscapes, (iii) by enhancing connectedness among PA's. The project consisted of four mutually supportive outcomes:

Outcome 1 aimed at developing a framework for mainstreaming ecosystem and biodiversity concerns into governance at a priority conservation area. Through inter-sectoral management structures, municipal and county-level plans were planned, as well as setting broad ecosystem-function and biodiversity targets for the priority conservation area. This component also demonstrated inter-sectoral management structures to develop and implement IEFA plans at the county level.

Outcome 2 focused on key target sectors, assessing and quantifying negative impacts from these sectors, reviewing the effectiveness of existing laws, policies, incentives, etc., developing alternative policies and incentive-based programs and, finally, increases awareness and capacities to manage and respond to revised regulations and incentives. Implementation of such incentive programs were demonstrated within this outcome at selected, representative interventions within the priority conservation area.

Outcome 3 addressed the linkage of biodiversity and ecosystem conservation goals with poverty alleviation efforts, by drawing on lessons learned from Outcome 2.

Outcome 4 supported the establishment of lesson learning networks at local and national levels. The dissemination and replication of resulting lessons learned—related to planning, management and implementation of IEFAs—was reinforced through improved guidance in IEFA planning for replication at national and local levels.

2.4. Baseline Indicators Established

Baseline indicators established are listed below.

Land Use Planning

- Existing land use planning and management systems take no special account of HHRB's critical ecological functions or biodiversity values, leading to substantial loss of both.
- Land use planning, zoning and management systems are nearly identical to those employed in areas zoned for normal development.
- County land use plans within Xinyang Municipality do not address biodiversity or ecosystem function conservation.
- Current performance not adequate to safeguard ecological functions, including biodiversity maintenance.

Engagement of Economic Productive Sectors in Biodiversity Conservation

- Despite ecological significance of the site, few incentives exist to encourage biodiversity-friendly and ecosystem function conserving production methods.
- Regulatory agencies and private sector firms have limited awareness of how their policies and actions, respectively, impact on ecosystem functions and biodiversity.

- Existing schemes, e.g., those affecting mining and medicinal plants sectors, are having some environmental impact, but largely failing to focus on biodiversity conservation aspect.

Operational linkage of poverty alleviation and biodiversity conservation programmes

- There are no operational linkages.
- Biodiversity conservation is widely seen as imposing short-term costs on vulnerable segments of society.

Dissemination of Lessons Learned

- Lessons from previous attempts to encourage ecosystem function conservation have not been fully learned.

2.5. Main Stakeholders

The planned stakeholder groups for this project included the following:

- Municipal and county-level officials within the HHRB;
- Production sector agents in the agriculture, mining, tourism, and forestry sectors within the HHRB;
- National-level officials in relevant sectoral ministries and other Government departments, particularly those involved with issues such as ecologically sound land use management, ecological certification, and other incentive programs;
- Officials at other IEFA's throughout China;
- Municipal and county-level women's federations to represent the interests of the aging and women's populations; and
- The wider CBPF partnership.

In practical terms, the Xinyang municipal government and the four county and one district local governments within the southern reaches of the municipality (Luoshan County, Shangcheng County, Xinxian County, Guangshan County, and Shihe District) were the main stakeholders involved during Project implementation. Leading groups were established within the municipal and county-level local government structures which included officials from relevant sectors, such as land use planning, agriculture, forestry, poverty alleviation, tourism, finance, business development, etc. Representatives from women's federation were also included within these leading groups.

Production sector representatives within the Xinyang Municipality and these four counties and one district actively engaged throughout the implementation period, largely through participation in the demonstration activities. Local households benefiting from the strengthened capacity supported through the demonstrations were also direct beneficiaries, and the Project promoted several media campaigns to increase awareness among the wider public within the target areas.

From a national level, the Foreign Economic Cooperation Office (FECO) of the Ministry of Environmental Protection (MEP) was proactively involved, as the lead agency for the wider CBPF partnership. There was little direct involvement by other national-level stakeholders, and participation of officials at other IEFA's in China was limited to exchange of experiences during study tours sponsored by the Project.

2.6. Expected Results

The HHRB Project aims to mainstream biodiversity conservation into a key landscape management system at the national level, as well as in a critical watershed with global biodiversity significance as a demonstration. Biodiversity mainstreaming has increasingly been implemented,

as decision makers have come to realize that conservation efforts need to extend beyond nature reserves and protected areas, and into the more productive economic sectors of society. GEF has been a leading force in funding biodiversity mainstreaming over the past decade or so, and in a seminar held last year to evaluate the successes and lessons learned, the following definition was proposed by the participants:

Biodiversity mainstreaming is the process of embedding biodiversity considerations into policies, strategies and practices of key public and private actors that impact or rely on biodiversity, so that biodiversity is conserved, and sustainably used, both locally and globally[1].

The Project advocated a comprehensive mainstreaming approach to management of these lands, along the lines set forward by the Government of China for the establishment of key ecological function zones (KEFZ's).

The project was expected to generate global environmental benefits at both site and national levels. At site level, pressures facing a number of globally threatened plant and animal species within the upper reaches of the HHRB would be reduced through the project's mainstreaming efforts. Nationally, the project is expected to have a highly significant demonstration effect, with the potential to impact on policies and approaches for a large and important segment of China's territory. By demonstrating pragmatic, complementary approaches to conservation of ecosystem functions and biodiversity, the project aimed to ensure that these considerations are addressed in tandem throughout China's burgeoning KEFZ system.

2.7. Budget Breakdown

The project implementation budget was USD 2.727 million (GEF grant), as shown broken below in **Exhibit 5** among the four outcomes**.**

Exhibit 5: Project Budget Breakdown

Item	*Prodoc Budget (USD)* *% of Total*
Outcome 1 Biodiversity and ecosystem function conservation mainstreamed into HHRB planning and monitoring	**USD 711,600** 26%
Outcome 2 Biodiversity and ecological function conservation mainstreamed into key productive sectors	**USD 716,800** 26%
Outcome 3 Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes at HHRB	**USD 465,800** 17%
Outcome 4 Lessons learned at HHRB inform and strengthen ongoing efforts to manage IEFAs throughout China	**USD 560,400** 21%
Project Management	**USD 272,600** 10%
Total	**USD 2,727,200**

[1] Huntley, B.J. and Redford, K.H. (2014). 'Mainstreaming biodiversity in Practice: a STAP advisory document'. Global Environment Facility, Washington, DC.

3. FINDINGS

3.1. Project Design / Formulation

3.1.1. Analysis of Logical Results Framework

The project design was very sound and sensibly designed around a set of mutually supportive outcomes. Due to the low productivity over the first half of the project, the logical results framework was restructured, adjusting some of the indicator targets and activities, in order to make them more achievable within the limited remaining time after the mid-term review. The revised logical results framework is presented in **Annex 5**.

3.1.2. Assumptions and Risks

The assessment of assumptions and risks set out in the project document was fairly weak, with only some basic assumptions listed for some of the outcomes in the logical results framework. For example, one of the assumptions indicated for Outcome 1 was: "*land use plans are adhered to/enforced*". This assumption is focused on the circumstances following completion of the intended outcome, rather than addressing potential exogenous issues affecting the successful attainment of the outcome.

Risks were not separately evaluated, nor were risk mitigation measures and procedures. Risk management was briefly discussed quarterly and annual reports, but entries were mostly overly brief. For example, in the quarterly report for Q3 2013, "N/A (not applicable)" was indicated under the Risk Management section. Risks such as agreeing upon roles and responsibilities for managing the KEFZ and adequate consolidation of lessons learned were not addressed at all. There was no evidence of a systematic risk management process, in which risks were evaluated, responsibilities assigned, and mitigation measures implemented and reported.

3.1.3. Lessons from other Relevant Projects

As this project was one of the first interventions under the CBPF, it was designed to generate lessons learned that could be used by other KEFZs in China as a model for efficient planning and implementation of biodiversity mainstreaming.

3.1.4. Planned Stakeholder Participation

Stakeholder participation was mostly extended across the Xinyang Municipality and target counties and district. As administrator of the CBPF, FECO played an important national-level interface. But, there was less direct involvement with other officials within the MEP, and other relevant sectoral ministries and government departments.

3.1.5. Replication Approach

The project had a very strong replication objective, as this project was meant to develop lessons learned a set of practical recommendations that would be used as model for biodiversity mainstreaming within KEFZs in China. FECO was selected to facilitate dissemination, in order to maximize replication across their national-level spectrum.

3.1.6. UNDP Comparative Advantage

The UNDP comparative advantage in the design of the Project was based on their extensive experience working in China and their favorable standing and political neutrality among national stakeholders. Through supporting a large portfolio of biodiversity mainstreaming projects funded

by the GEF throughout the developing world, UNDP has built up a considerable body of work and knowledge on integrating biodiversity and ecosystem management into development planning and productive sector activities.

UNDP's global reach in advocacy for human development and poverty alleviation, and their experience working across sectors and with multiple stakeholders further contributes to their qualifications to supervise the Project. This particular comparative advantage could have been capitalized on, e.g., through knowledge exchange from the agency's interventions on linkages between poverty alleviation and the environment, including deploying livelihood assessments or other socio-economic survey support to the work under the demonstration activities.

3.1.7. Linkages between Project and other Interventions

The project was linked to other interventions under the CBPF portfolio, and FECO acted as the interface to promote cross-project sharing of knowledge and lessons learned.

3.1.8. Management Arrangements

The organization of the project is illustrated in the chart below in **Exhibit 6**.

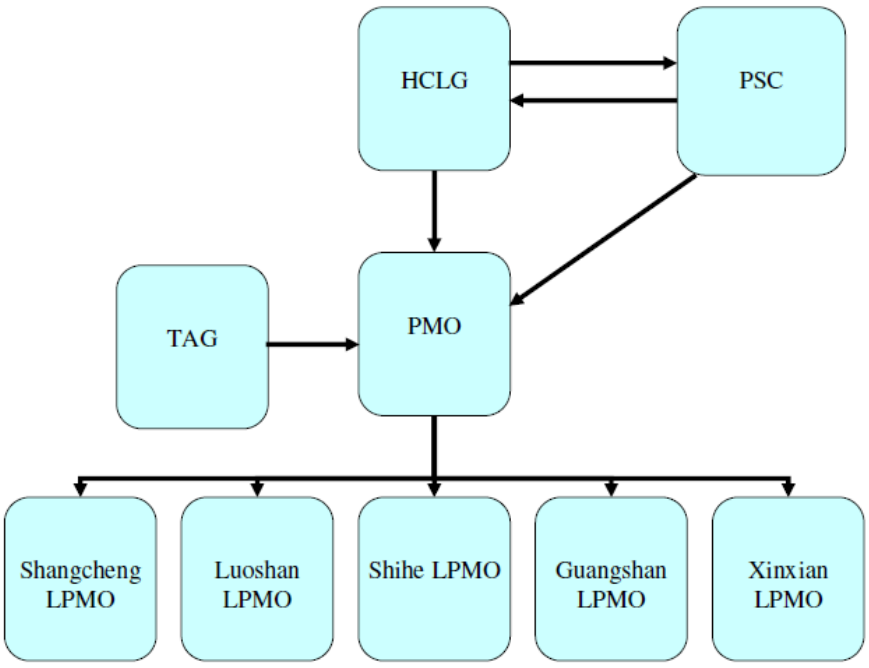


Exhibit 6: Project Organization Chart

The PMO was embedded within the Xinyang Municipality and the HCLG, together with the PSC provided strategic guidance and oversight. A technical advisory group (TAG) provided technical support throughout the implementation period. Local PMOs were set up in each of the 4 target counties and 1 district, to more easily facilitate activities there, and also to develop local capacity for subsequent implementation.

3.2. Project Implementation

3.2.1. Adaptive Management

Probably the most significant adaptive management measure was the comprehensive restructuring of the project following the mid-term review (MTR). As more than half of the

implementation budget was spent in the period before the MTR, with little to show for it, the project needed to be streamlined to meet the essential objective of the intervention, but over a shortened time frame and with less than 50% of the funds. This adaptive management action is considered to be largely effective, as the project reasonably achieved the intended outcomes.

After the restructuring was completed, the project team strictly followed the revised logical results framework, with very little deviation. There is one, notable example of good adaptive management, i.e., the decisions surrounding the selection of the demonstration activities. Under considerable time constraints, the project team astutely selected to work with existing demonstration activities, rather than start new ones from scratch. There were several advantages in this implementation approach, including the following:

1. The activities were rather large, with extensive outreach to involved households; more than 3,000 ha of land, with more than 2,100 households directly benefiting, and training was delivered to several hundred people, according to interview responses during the TE mission;
2. Many of the interventions were already under implementation, thus results would be available in the near-term; and
3. Associated financing was significant, both from government programmes and private sector contributions. The combined cost of the 11 demonstration activities was approx. USD 3.5 million (CNY 21.7 million), with only roughly USD 160,000 in grant support from the project. This level of associated financing and broad stakeholder involvement enhances the likelihood for sustainability.

3.2.2. Partnership Arrangements

The project was one of the interventions carried out under the China Biodiversity Partnership Forum (CBPF), and this framework provided a platform for ensuring the local interventions had national level support. Apart of this arrangement, there were contractual arrangements with FECO, which is also the administrator for the CBPF, for their service provided under Outcome 4, involving assisting the project in information dissemination. This contractual agreement might have been clearer in terms of expectations about consolidating lessons learned, as the delivered results under this outcome fell short of the indicator targets, in that only general lessons were documented, rather than a detailed model of planning and management of a KEFZ following a biodiversity mainstreaming approach.

The Project Document was the essential partnership agreement between the UNDP and the lead implementing partner, the Xinyang Municipality. This agreement seemed to reasonably define the roles and responsibilities of the implementing agency (UNDP) and the Municipality, but there was, for example, a lack of detail on tracking and reporting co-financing. The PMO was diligent in co-financing accounting, but allocating certain activities as co-financing or rather associated financing or leveraged resources was not clear to them.

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

Feedback from M&E activities was mostly followed up through quarterly and annual work plans, progress reports, also quarterly and yearly (PIRs/APRs), and Project Steering Committee meetings. The work plans provided a reasonable good overview of the planned activities for the subject time period, but there was no direct linkage to achieving the outcome indicator targets, e.g., through a critical path methodology, in which mutually supportive activities are plotted and highlights those tasks that are “critical” in terms of achieving the targets on time. Progress reports, particularly the annual ones, were comprehensive and input from key implementation stakeholders was included. The Project Steering Committee meetings were conducted under strict administrative

procedures, with good accountability and documentation of involvement and feedback by participants. Attendance seemed to be consistently good, both in terms of local and central level stakeholders, who needed to travel mostly from Beijing to Xinyang.

3.2.4. Project Finance

Co-Financing

Co-financing from the government was USD 12.868 million, exceeding the USD 8.375 million committed at project approval (see **Exhibit 7**).

Exhibit 7: Co-Financing Table

Co-Financing Source	Type	Government (USD million)		Other Sources (USD million)		Total Co-Financing (USD million)	
		Planned	Actual	Planned	Actual	Planned	Actual
Government:		**8.375**				8.375	12.868
Salaries for PMO staff	Cash		1.212				
PMO office and services	In-Kind		1.062				
TAG and PSC staff involvement	In-Kind		0.304				
Local government staff for policy review/drafting	In-Kind		0.350				
Monitoring and enforcement equipment	In-Kind		0.750				
Rural infrastructure (wastewater and waste management)	In-Kind		1.026				
Demolition of livestock farms	In-Kind		3.226				
Local government incentives for ecological conservation	In-Kind		3.532				
Publicity, informaiton dissemintation	In-Kind		0.703				
Skills training for displaced persons (eco-immigration)	In-Kind		0.656				
Fencing for Luoshan County urban egret reserve	In-Kind		0.047				0.047
EU-China Biodiversity Programme	In-Kind			1.480	1.480	1.480	1.480
Private Sector	In-Kind			0.500	0.000	0.500	0.000
Total Co-Financing for Project Implementation:		**8.375**	**12.868**	**1.980**	**1.480**	**10.355**	**14.348**

Source: PMO records, June 2014

There was limited evidence that the government co-financing was coordinated with the project, e.g., the USD 3.532 million of incentives distributed under the ecological conservation programmes of the local governments. But these activities generally fall under the GEF definition for government co-finance (counterpart commitments): "*for baseline or foundational activities upon which the project would build or without which the project could not be implemented*"[1].

In addition to government co-financing, the USD 1.48 million of in-kind contribution from the European Union-China Biodiversity Partnership was realized, as this programme was carried concurrently with the HHRB project, and the project did benefit, e.g., from capacity building efforts delivered to local government officials, adjusting the leading groups to fulfil more of a biodiversity conservation mandate, etc.

In addition to the co-financing sums outlined above, the project was successful leveraging resources, most notably, the real estate offset in Luoshan County, where the local government agreed to re-zone, high-value commercial real estate, valued at approx. USD 10 million (CNY 62 million) for the urban egret reserve established there.

It is important to note that the level of associated financing, through primarily government programmes is significant. Under GEF guidelines, "associated financing is defined as "*finance for other activities that are related to the project or to similar commitments but which is not essential*

[1] GEF/C.20/6/Rev. 1, 2003, Cofinancing.

for the project's successful implementation". For example, the government is providing compensation, basically in the form of payment for ecosystem services, to the counties of Shangcheng and Xinxian, as land use within the forested areas in these counties is restricted due to the fact that they are delineated as a KEFZ. In 2013, the central government disbursed a combined total of USD 20 million[1] (CNY 125 million) to these two counties under this programme.

Financial Expenditures and Control

Actual expenditures match fairly well with the budget breakdown outlined in the Project Document (see **Exhibit 8**).

Exhibit 8: Actual Expenditures

Item	*Prodoc Budget (USD)*	*Actual Expenditure* (USD)*
	% of Total	*% of Total*
Outcome 1 Biodiversity and ecosystem function conservation mainstreamed into HHRB planning and monitoring	**USD 711,600** 26%	**USD 696,756** 26%
Outcome 2 Biodiversity and ecological function conservation mainstreamed into key productive sectors	**USD 716,800** 26%	**USD 713,364** 26%
Outcome 3 Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes at HHRB	**USD 465,800** 17%	**USD 462,329** 17%
Outcome 4 Lessons learned at HHRB inform and strengthen ongoing efforts to manage IEFAs throughout China	**USD 560,400** 21%	**USD 432,849** 16%
Project Management	**USD 272,600** 10%	**USD 218,657** 8%
Total	**USD 2,727,200**	**USD 2,523,955**

*Actual expenditures through 31 March 2014. Informaiton obtained from final project report (PMO).

A bit less money was spent on Outcome 4 than planned: USD 432,849 actual vs. USD 560,400 planned, but there will likely be more charged under this component before final closure.

Project management costs were maintained at less than 10% of the total GEF grant amount.

Financial control and productivity were significantly improved during the second half of project implementation. With more than 50% of the funds spent before the mid-term review and negative effects due to CNY:USD exchange rates during the project lifespan, the team carefully managed the resources available during the last 1-1/2 to 2 years of implementation.

Financial expenditure records were found in order and well managed. The PMO has also maintained a detailed asset register for items procured as part of the Project, mostly IT equipment. In addition to the financial expenditure records shared by the PMO, the UNDP CO provided combined delivery reports (CDRs) for each year, from 2009 through 2013. These CDRs indicate expenditures broken down by Atlas code, the UN cost system; but, not broken down by outcome.

Independent financial audits were carried out each year, under procurement managed by the UNDP. The TE team reviewed the available financial audit reports and found that they were

[1] Information obtained from GEF Tracking Tool project report, 2014

reporting financial expenditures and systems were satisfactory in order, with no major non-compliance findings indicated.

3.2.5. Monitoring & Evaluation

Monitoring & Evaluation design at entry is rated as: Satisfactory

The M&E plan was reasonably extensive, sufficient activities and funds were allocated. The total indicative cost for Project M&E was 110,000 USD, which is approx. 4% of the USD 2.727 million GEF grant. This cost level is within the generally acceptable range, typically 3-5% of total cost

As Outcome 4, dissemination of lessons learned, was a critical component of the project, there should have been more planning with respect to how information from the M&E activities would feed into the process of consolidating lessons learned and formulating recommendations as guidance to other KEFZs in China.

Overall Monitoring & Evaluation is rated as: Satisfactory

The project is essentially split into two parts: before and after the mid-term review (MTR), as a comprehensive restructuring was undertaken in accordance with the MTR recommendations. Based upon the findings of the TE, a summary of how the project responded to these recommendations is presented below:

Mid-Term Review (MTR) Recommendation	Comments by TE Team on Management Response to MTR Recommendations
A simple monitoring system be designed to provide data intuitive to decision-makers	The monitoring system was simplified, but the context of the monitoring is a bit ill-defined, as the management objectives of the KEFZ have not been fully formulated.
Activity "4.2.2 Media publicity" be removed from the logframe or at least scaled back to a bare minimum	The Project scaled back but continued to actively sponsor media publicity during the last 2 years of implementation.
The Project is simplified to concentrate on the priority actions needed to achieve its core vision – that of getting biodiversity actively mainstreamed into the land-use planning process and into sectoral policy action on the ground – and restructures the logframe accordingly.	The logical results framework was streamlined, and the PMO strictly followed the revised design. One of the main stipulations outlined in the framework, specifically defining the priority conservation zone, as a proxy for the KEFZ, was not followed up on. At project closure, it is unclear where mainstreaming is being implemented and where it is not.
The currently agreed closure date for the Project be clarified and confirmed as being 31st December 2013.	The closure date for the Project, before restructuring was carried out, was not confirmed as 31 December 2013, but rather as the original date of 30 June 2013.
In order to provide sufficient time for the restructured Project to achieve its core aims, it be granted a one year extension (until 30 April 2015, allowing also time for the project to remobilize after 6-month suspension).	The approved no-cost extension pushed the closure date to 30 June 2014, which is one year later from the original closure date, but does not take into account the 6-month extension during the second half of 2012. Basically, the project was granted a net 6-month extension.
The Project be suspended for a period not exceeding six months in order to provide sufficient time for restructuring it, without taking up valuable funded time to achieve this	The project was not officially suspended, but there was a period of a few months after the MTR, when the PMO and implementation arrangements were restructured.
The PSC meets at least twice a year, and one	There was a PSC meeting on 14-15 December 2012..

Mid-Term Review (MTR) Recommendation	Comments by TE Team on Management Response to MTR Recommendations
such meeting should prioritise discussion of the strategic direction of the Project	There was discussion about the direction of the project over the remaining time period. The meeting was attended by members of the MOF, MEP, provincial departments of environmental protection, finance, DRC, and the vice mayor of the Municipality.
The Xinyang Municipal Government and the UNDP-CO undertake a radical re-structuring of the PMO and its staff	The Project was indeed radically restructured, following the essential recommendations set forth in the MTR.
The Project hires a National Technical Advisor as a full-time post based within the PMO to replace the positions of Deputy Director (Technical) and Biodiversity Specialist.	A National Technical Advisor (NTA) was hired, albeit not full-time. The NTA was the strategic core of the project over the second half of implementation, facilitating a greatly improved level of performance.
The Project replaces the Project Manager	The lead implementing agency was changed and a new Project Manager was appointed.
The TAG is reconstituted with a clear operational mandate.	The TAG was reconstituted, with some changes in members.
All computer back-up CDs and DVDs are stored within the office's fire-proof safe. Similarly, back-up lists of computer passwords should be stored securely.	The Project team made improvements to data security and back-up.
Reports are simplified and that progress reporting is made more accurate.	Following restructuring after the MTR, performance was regularly reported in progress reports and self-evaluations were more or less consistent with independent evaluation findings.

M&E activities during the first half of the project were not providing a representative characterization of project performance, and this impacted the overall efficiency and success of the project, by not allowing key stakeholders with sufficient information on the progress of work.

Understandably, the project deliverables, e.g., regulatory guidelines and incentive mechanisms were completed near the end of the implementation phase, and there was insufficient time to monitor the beginning phase of implementation of these newly introduced schemes. The data that was available, from the municipal and county records, made it difficult to distinguish the incremental benefits gained from the GEF support was compared to the ongoing State ecological conservation programmes.

3.2.6. UNDP and Implementing Partner Implementation / Execution

Overall IA-EA Execution: Satisfactory

There was a significant improvement in project performance after the mid-term review, and both the IA and EA should be commended for essentially recovering the project from the brink of a contemplated early closure.

Quality of UNDP Implementation is rated as: Satisfactory

The UNDP CO and GEF RTA were actively involved in the project, both in terms of supervision and also strategic guidance. Involvement significantly increased after the mid-term review, and both the CO and the RTA were proactively engaged in assisting the EA in restructuring the project.

Technical guidance was mostly provided to the EA by the NTA and MEP officials. But considering the difficulties during the first half of the project, the IA should be better supervised some of the key strategic decisions, for example, agreeing to the priority conservation zone, where mainstreaming will be implemented. At project closure, it is difficult to distinguish where mainstreaming is being carried out and where it is not. There could have also been more support on Outcome 4, as dissemination of lessons learned and recommendations fell short of expectations, in terms of the detail of the consolidated lessons learned.

Quality of Implementing Partner Execution is rated as: Satisfactorily

The Xinyang Municipality maintained high-level involvement during the project implementation timeframe, and government ownership, including central and local levels, remained high throughout. Also, government co-financing exceeded planned contributions, albeit the co-financing contributions were not closely integrated with the activities of the project.

Following the restructuring after the mid-term review, the municipal and local PMOs were highly motivated under the direction of the national technical advisor and the leading groups, and demonstrated a high level of dedication to achieve the intended outcomes. As time was constrained during the second half of the project, the main emphasis was ensuring the intended outcomes were achieved as much as practicable. This did not allow much time for strategic planning, with respect to moving forward with the mainstreaming process after project closure.

3.3. Project Results

3.3.1. Overall Results (Attainment of Objective)

Attainment of the Project Objective is rated as: Satisfactory

Project Objective:	**Attainment of Objective:**
To demonstrate practical mechanisms to mainstream biodiversity in China's IEFA	Satisfactory

The project successfully recovered after a slow and misguided start, and although there are a few shortcomings with respect to achievement of some of the outcome indicators, the TE team considers that attainment of the project objective was **satisfactory**. The essence of the objective was demonstration of the process of biodiversity mainstreaming, and this was accomplished in the Xinyang Municipality, which is now much more advanced in terms of KEFZ management systems and capacities than many other areas in China, thus providing an important national-scale learning platform.

The deficiencies include unclear delineation of where mainstreaming will be implemented and where it will not, and lack of a management strategy for the KEFZ with clear conservation targets and management objectives. There is, however, strong governmental commitment to support the mainstreaming efforts moving forward, and if sufficient strategic capacity is maintained, the likelihood that the process will be sustained is high.

Outcome 1:	**Achievement of Outcome 1:**
Biodiversity and ecosystem function conservation mainstreamed into HHRB planning	Satisfactory

Land Use Planning

Municipal Land Use Plan 2010-2020 was amended to incorporate special zoning and land use regulations for a priority conservation zone, or eco-corridor. The amendment is under review by the Provincial Government; approval expected by the end of the year. The Municipal Government approved implementation scheme on 8 May 2014. This is an impressive achievement, particularly considering how difficult it is to realize amendments to these 10-year land use frameworks.

The eco-corridor is an expansive area covering more than 135,000 ha along the western and southern reaches of the Municipality boundaries, and facilitates ecological connectivity between existing protected areas. The eco-corridor ha includes 21,879 ha arable land; 69,123 forest land; 13,034 water area (wetlands); and 29,697 ha others, which are mostly villages.

The aim of the project was to demonstrate how biodiversity mainstreaming can be implemented into a priority conservation zone, i.e., a KEFZ. The eco-corridor was meant to be a proxy for this KEFZ. Over the course of the TE mission, the TE team had a difficult time distinguishing where mainstreaming is being implemented and where it is not. The monitoring system was developed for the eco-corridor, but the new regulatory guidelines and incentive mechanisms cover the administrative borders of each of the target four counties and one district which cover more than 2 million ha, and also the Municipality as a whole, with a combined land area of about 4 million ha. Since the time of starting the project, two counties within the Municipality, i.e., Shangcheng and Xinxian have been delineated by the State as a KEFZ; these two counties occupy about 375,000 ha in land area, which does not match with the eco-corridor in terms of geographic or administrative coverage.

Monitoring System

Under Outcome 1, a monitoring system/plan was developed to support management of the priority conservation zone; it was specifically was designed for the approx. 135,000 ha eco-corridor. Following some of the recommendations of the mid-term review, there seems to have been more emphasis on using simple, single-level parameters for the monitoring system, and the baseline surveys completed in 2013 indeed were mostly based on such an approach. There were a few challenges with respect to collection of some critical indicators, e.g., forest cover, as the available satellite information was of poor quality, and the team used field surveys instead. But overall, the baseline surveys do contribute to a better understanding of biophysical conditions within the eco-corridor, but less so with respect to socio-economic conditions.

As mainstreaming is carried out within the productive economic sectors of society, outside from ecological protected areas, socio-economic information plays an equally important role with respect to KEFZ management. An example of this is illustrated by some of the information contained in the project GEF Biodiversity Tracking Tool, regarding changes in organic farming coverage in the target area from the beginning of the project, 2009-10 to the end, in 2014. An excerpt from this tracking tool is presented in the table below:

Item	At Project Start	At Project Mid-Term	At Project Closure
Organic Tea Production:	2,000,000 kg/year	2,000,000 kg/year	2,000,000 kg/year
Organic Camellia Oil:	30,000 kg/year	2,010,000 kg/year	5,080,569 kg/year
Freshwater Shrimp	420,000 kg/year	420,000 kg/year	1,430,000 kg/year

Source: HHRB Project GEF Tracking Tool, 2014; data are for the target area of the 4 counties and 1 district.

There data show a huge increase in organic camellia oil production, from 30,000 kg/year in 2010 or so, to more than 5 million kg/year in 2014. This upsurge was reportedly due an increased popularity of this oil and a resultant rise in the market price. Farmers responded to these market

signals very quickly, seemingly more rapidly than with respect to organic tea plantations, as the coverage of organic tea has remained unchanged over the project timeframe. This example highlights the importance of collecting socio-economic data, e.g., the market price for various agricultural products. And also, illustrates the important distinction between ecological service function and biodiversity conservation. Taking measures to protect an ecological service function does not necessarily mean that biodiversity conservation is enhanced, e.g., an increase in tea plantation coverage might result in improvements in the water retention ecological function within the HHRB, but such increases in agriculture activity might also disrupt or alter habitats of key species of flora or fauna.

The main concern regarding the monitoring system is with respect to relevance. Until a detailed KEFZ management strategy is prepared, it is difficult to formulate a monitoring plan, which should feed into a decision framework, so that KEFZ managers are sufficiently informed of key indicators so that they can implement appropriate management responses. A detailed KEFZ management strategy, including conservation targets, management objectives, etc., is not yet prepared, but rather some overall management goals are referenced in *Administrative Policies, Objectives and Biodiversity Index System for National Key Ecological Function Zones in the Headwater of the Huaihe River Basin* (Thematic Report 25), which make reference to general State KEFZ targets also refers to the State biodiversity index system, which comprise a wide range of primary and secondary indicators. The TE team raises a few questions regarding the monitoring system. Firstly, is the monitoring system robust enough to supply the required primary and secondary indicators? Are local capacities and funding levels sufficient to support such a monitoring framework? And most importantly, does the monitoring information provide KEFZ managers with sufficient guidance, to enable them to make informed and timely decisions, and communicate those decisions to the broad spectrum of stakeholders they are serving, including the general public?

Outcome 2:	**Achievement of Outcome 2:**
Biodiversity and ecological function conservation mainstreamed into key productive sectors	Satisfactory

Policy Review and Introduction of New Guidelines and Incentive Mechanisms

One of the most significant activities under this outcome was a comprehensive policy review, in order to sort out regulations, by-laws, announcements, etc. that discourage biodiversity conservation, and introduce new ones. The project commissioned technical institutions and research teams having expertise in the agriculture and forestry sectors to review 374 policies issued over the 10-year period of 2003-2013. This was the first time such a review was made in the Xinyang Municipality, and based upon reaction during exchange forums organized by FECO; it seems that there is little precedent of such an action in China.

The review included assessing the potential impacts of these policies on biodiversity and ratings were applied on a 4-point scale: (1) friendly, (2) partially friendly, (3) partially unfriendly, and (4) unfriendly. As a result of the review, amendment announcements were issued by the Xinyang Forestry Bureau (Xinlinwen 2014, No. 10) and Environmental Protection Committee (Xinhuanweiban 2013, No. 8) in order to update unfriendly policies at the municipal level. The Xinyang Forestry Development Plan for Prosperous Forestry and People (2011-205) was revoked. And amendments were made to agriculture and forestry policies that potentially were having negative environmental impact. For example, in the past, the Xinyang Municipal Government encouraged animal husbandry around Nanwan Reservoir and subsidized pig farming, which

severely threatened water quality of reservoir. Such policies were amended, and the Municipality has responded quickly, by spending approximately CNY 20 million (USD 3.25 million) on demolishing 756 husbandry farms in this area. The full results of the policy review are compiled below in **Exhibit 9**.

Exhibit 9: Results of Comprehensive Regulatory Review

	Description	Year first issued	Government division	Comments
Amendment Announcement:				
1	The announcement for abolishing or amendment of biodiversity unfriendly or partly unfriendly documents	8 Feb 2014	Forestry Bureau of Xinyang City	——
2	The announcement for agricultural policies amendment of Xinyang Municipality	25 Dec 2013	Environment protection committee of Xinyang Municipality	——
Revoked Policy:				
1	Xinyang Forestry Development Plan for Prosperous Forestry and People (2011-205)	6 Dec 2011	Xinyang Forestry Bureau	——
Amended Policies:				
1	Policy Opinions on Implementation of the Xuaying Agriculture Plan for Prosperity of People	17 Mar 2011	Xinyang Municipal Committee of the Communist Party of China and Municipal People's Government	Conditions and requirements for biodiversity conservation are attached to expansion of animal farming
2	The Implementation Opinions on Promoting Industrialized Agricultural Operation	18 Apr 2005	Xinyang Municipal People's Government	It is required that biodiversity conservation should be taken into account when carrying out industrialized agricultural operation in deserted mountains, hillsides, beaches and ponds in rural areas.
3	The Implementation Opinions on Industrialized Forestry Cluster Development	20 Aug 2012	Xinyang Forestry Bureau	The guiding principles are revised as *prioritizing ecological environment and conservation*.
4	The Opinions of on Accelerating Forest Eco-tourism	22 Aug 2006	Xinyang Forestry Bureau	The principles for tourism development are added which are *to uphold harmony between human beings and nature and appropriately address the balance between use and conservation of forest resources*. In addition, the guidelines of *conservation first, scientific planning and sustainable use* are implemented.

The policy review was followed up with development of a series of local government guidelines and incentive mechanisms to promote biodiversity conservation among the productive economic sectors in the priority conservation area. The project supported development of a total of 18 different guidelines and incentive mechanisms (see **Exhibit 10**) that were issued by provincial, municipal, and county level local government administrations. Although not drafted by the project team, the project did influence the provincial guideline: *The assessment method for*

ecological civilization construction demonstration, issued by the Forestry Department of Henan Province.

Exhibit 10: New Guidelines and Incentive Mechanisms			
Guidelines and Incentive Mechanisms		**Date issued**	**Government Division**
Province level (Henan)			
1	The assessment method for ecological civilization construction demonstration	31 Mar2014	Forestry Department of Henan Province
Municipality level (Xinyang)			
2	The announcement of the adjustment for assessment indicator for municipal level ecological village inspection	13 May 2013	EPB of Xinyang Municipality
County level			
Shangcheng County:			
3	The announcement of the reward method implementation for the organic rice cultivation	16 Apr 2013	Shangcheng County government
4	Assessment method for ecological construction	10 Apr 2013	Shangcheng County government
Xinxian County:			
5	Promotion of the development for the featured agriculture	26 Sep 2013	Xinxian County government
6	The incentive scheme for the forestry biodiversity conservation of Xin County	18 Jun 2013	Forestry Bureau of Xinxian County
7	The reward implementation method for oil tea and medicinal garden construction	18 Mar 2013	Xinxian County government
8	Incentive mechanism for conservation and sustainable use of biodiversity	14 Mar 2013	Xinxian County government
9	Promotion of the development for the vegetable cultivation and animal husbandry industry	10 Jun 2010	Xinxian County government
Guangshan County:			
10	The reward implementation method for ecological tea garden construction	6 Aug 2013	Guangshan County government
11	The incentive scheme of the promotion for biodiversity conservation	20 Apr 2013	Guangshan County government
Luoshan County:			
12	Assessment method for ecological construction	12 Mar 2013	Luoshan County government
13	The announcement for the tea industry development plan (2013-2020)	9 Jan 2013	Luoshan County government
14	The adjustment on the preferential policy for supporting tea industry development	6 Jan 2013	Luoshan County government
Shihe District:			
15	The reward implementation method for ecological tea garden construction	20 Mar 2014	Shihe District government
16	Assessment method for ecological construction	20 Mar 2014	Shihe District government
17	The reward implementation method for mixed forestry cultivation	20 Mar 2014	Shihe District government
18	The reward implementation method for integrated resources use for poultry and livestock farm husbandry	20 Mar 2014	Shihe District government

There is some evidence[1] that the incentive mechanisms listed above are starting to be allocated to local beneficiaries, including:

1. Shangcheng County, incentive for organic rice cultivation, 80 CNY/mu rewarded: in 2013, CNY 30,000 (USD 4,900) distributed; and in 2014, CNY 45,000 (USD 7,300) distributed;

[1] Information provided by local PMO offices, June 2014.

2. Xinxian County, compensation for processing fee for organic farming certification: in 2013, CNY 110,000 (USD 17,900 USD); and in 2014, CNY 110,000 (USD 17,900 USD) paid out;
3. Guangshan County, compensation for ecological tea cultivation, 200 CNY/mu rewarded: in 2013, CNY 20,000 (USD 3,250); and in 2014, CNY 20,000 (USD 3,250) distributed.

One concern regarding the new guidelines and incentive mechanisms is the question of defining where mainstreaming is being implemented and where it is not. In order to track the effectiveness of the mainstreaming efforts, it would be advisable to come up with a tracking procedure for differentiating the implementation of the guidelines and incentive mechanisms inside the priority conservation zone (KEFZ) as compared to outside of this area.

Demonstration Activities

Outcome 2 also included field demonstrations of implementation of some of the newly introduced guidelines and incentive mechanisms. Based upon field visits and interviews with key stakeholders, the TE team feels that the indicator target for the demonstration activities was satisfactorily achieved.

As time was constrained in the second half of the implementation period, the PMO searched for opportunities to add value to existing pilot interventions or to organizations that had built-in capacity to start up a demonstration in a short period of time. Another advantage to this approach, as compared to starting the demonstrations from ground zero, was that the scale of the outreach was fairly large. The 11 demonstrations were implemented on more than 3,000 ha (45,000 mu) of land and approx. 2,100 households directly benefited (see **Exhibit 11**).

Exhibit 11: Land Area and Households Influenced, Demonstration Activities

Demonstration Activity	Land Area Influenced		No. of Households benefiting
	mu	ha	
Organic Rice, Xiaozhai Village, Yangang Town, Shangcheng County	1,000	67	100
Mixed Forestry, Qingshuitang, Nanwan Forest Farm, Shihe District	0	0	N/A
Oil Tea, Maopu Divide, Zhouhe Town, Xinxian County	5,093	340	217
Tea Plantation, Longtan Village, Shilhegang Town, Shihe District	3,300	220	310
Tea Production/Cooperative Model, Lindingfeng Mo., Luoshan County	5,100	340	170
Trea-Tea Plantation, Dashan Village, Liangting Town, Guangshan County	30,000	2,000	870
Medicinal Herbs Inter-cropping, Chenwan Village, Shangcheng County	500	33	82
TCM Plantation, Huangtuling Village, Tianpu Town, Xinxian County	770	51	103
Community Eco-Tourism, Lingshan Mountain Park, Luoshan County	0	0	205
Conservation of Egret Habitats, New District, Luoashan County	0	0	N/A
Animal Husbandry, Pipa Village, Wuxing Office, Shihe District	0	0	46
Totals	**45,763**	**3,051**	**2,103**

Source of data: PMO records, June 2014 mu:ha = 0.067

Another positive aspect of the demonstration activities was the high level of co-funding, but both government sources and the private sector. The combined cost of the demonstration activities was approx. USD 3.5 million (CNY 21.7 million), with only USD 160,000 contributed by the HHRB project. The high level of private sector participation, nearly 70% (CNY 14.12 million) of the

financing (see **Exhibit 12**), is a notable achievement, enhancing the sustainability of the interventions and also the potential for replication and scale-up.

Exhibit 12: Financing Details, Demonstration Activities

Demonstration Activity	Total Cost		HHRB Grant Support		Co-Funding		
	CNY	USD	CNY	USD	Source	CNY	USD
Organic Rice, Xiaozhai Village, Yangang Town, Shangcheng County	CNY 3,089,900	USD 502,423	CNY 89,900	USD 14,618	Central Gov't	CNY 3,000,000	USD 487,805
Mixed Forestry, Qingshuitang, Nanwan Forest Farm, Shihe District	CNY 0	USD 0	CNY 111,600	USD 18,146	N/A	CNY 0	USD 0
Oil Tea, Maopu Divide, Zhouhe Town, Xin County	CNY 359,900	USD 58,520	CNY 89,900	USD 14,618	County government	CNY 270,000	USD 43,902
Tea Plantation, Longtan Village, Shilhegang Town, Shihe District	CNY 257,900	USD 41,935	CNY 89,900	USD 14,618	Private Sector	CNY 124,000	USD 20,163
					Other	CNY 44,000	USD 7,154
Tea Production/Professional Coop. Model, Lindingfeng Mo., Luoshan County	CNY 153,900	USD 25,024	CNY 89,900	USD 14,618	County government	CNY 64,000	USD 10,407
TreeTea Plantation, Dashan Village, Liangting Town, Guangshan County	CNY 605,400	USD 98,439	CNY 105,400	USD 17,138	County government	CNY 500,000	USD 81,301
Medicinal Herbs Inter-cropping, Chenwan Village, Changzhuyuan, Shang County	CNY 3,089,900	USD 502,423	CNY 89,900	USD 14,618	Central Gov't	CNY 3,000,000	USD 487,805
TCM Plantation, Huangtuling Village, Tianpu Town, Xin County	CNY 89,900	USD 14,618	CNY 89,900	USD 14,618	N/A	CNY 0	USD 0
Community Eco-Tourism, Lingshan Mountain Park, Luoshan County	CNY 589,900	USD 95,919	CNY 89,900	USD 14,618	Private Sector	CNY 500,000	USD 81,301
Conservation of Egret Habitats, New District, Luoashan County	CNY 376,800	USD 61,268	CNY 86,800	USD 14,114	County government	CNY 290,000	USD 47,154
Animal Husbandry, Pipa Village, Wuxing Office, Shihe District	CNY 13,080,000	USD 2,126,829	CNY 40,000	USD 6,504	Private Sector (Hemuyuan)	CNY 9,000,000	USD 1,463,415
					Central Gov't	CNY 4,000,000	USD 650,407
					District Gov't	CNY 40,000	USD 6,504
Totals	**CNY 21,693,500**	**USD 3,527,398**	**CNY 973,100**	**USD 158,228**		**CNY 20,832,000**	**USD 3,387,317**

Source of data: PMO, June 2014 Exchange Rate CNY:USD 6.15

Outcome 3:	**Achievement of Outcome 3:**
Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes at HHRB	Moderately Satisfactory

Two of the main deliverables under this outcome were the following guidance documents produced for the Xinyang Municipality, to assist the Poverty Alleviation Department better integrate biodiversity conservation into their activities:

1. Technical guidelines on assessment of financial inputs and implementation for biodiversity-friendly poverty alleviation, and
2. Manual for consultancy on poverty alleviation and biodiversity conservation of Xinyang.

Ecological Immigration has one of the important poverty alleviation policies in China, and since 2000, in conjunction with the "West Development Strategy", large-scale relocation of households in certain rural areas has been implemented. The approaches of realizing poverty eradication have been progressively adjusted over the years, and since the policy "Regulation on Grain" was implemented since 2003, most provinces have been executing immigration pilot programmes, with the dual objective of poverty alleviation and ecological conservation.

Under the 11th Five-Year Plan, poverty alleviation support to the Xinyang Municipality was ramped up, coincidentally in the same five target counties focused on by the project. One of the main components of the poverty alleviation work is under the State Ecological Immigration programme, which relocates rural households out of ecologically sensitive areas, and provides housing support for the families. The Poverty Alleviation Department is supervising infrastructure improvements in rural areas (e.g., road construction or small dams) and skills training, to help displaced persons find jobs. There was evidence indicated during TE interviews that these trainings cover an increasingly higher proportion of organic farming and other biodiversity-friendly occupations.

Since 2010, approx. 9.5 million (CNY 58.6 million) have been expended in relocating 23,055 households from these five counties, resulting a combined total of 386 ha of reclaimed land (see **Exhibit 13**).

Exhibit 13: Poverty Alleviation (Ecological Immigration Data)

Location	Year programme started	No. of HHs Relocated until end 2013	Land area reclaimed, ha	Funding for Ecological Immigration until end of 2013		Total Spent on Poverty Alleviation until end of 2013,	
				CNY	USD	CNY	USD
Luoshan County	2010	1,892	31	CNY 6,670,000	USD 1,084,553	CNY 10,000,000	USD 1,626,016
Shangcheng County	2010	7,137	119	CNY 18,000,000	USD 2,926,829	CNY 18,000,000	USD 2,926,829
Xinxian County	2010	5,568	95	CNY 13,800,000	USD 2,243,902	CNY 13,800,000	USD 2,243,902
Guangsham County	2010	5,441	91	CNY 14,300,000	USD 2,325,203	CNY 21,450,000	USD 3,487,805
Shihe District	2010	3,017	50	CNY 5,850,000	USD 951,220	CNY 11,700,000	USD 1,902,439
Sub-Total, Project Area		**23,055**	**386**	**CNY 58,620,000**	**USD 9,531,707**	**CNY 74,950,000**	**USD 12,186,992**
Xinyang Muncipality	**2010**	**23,055**	**386**	**CNY 58,620,000**	**USD 9,531,707**	**CNY 74,950,000**	**USD 12,186,992**

Exchange Rate(RNB:USD): 6.15 Source: Xinyang Municipality Poverty Alleviation Department, June 2014 (via the PMO)

Nearly 80% of the total funds spent on poverty alleviation are used for the ecological immigration efforts. Considering that the combined land area of the five target counties is approx. 374,000 ha, the reclaimed land from the realized ecological immigration accounts to about 0.1% of the total. These numbers show, consistent with the mandate of the department, that the Ecological Immigration programme has much more of a social objective than an ecological one. But, the guidelines developed represent added value to the existing assessment processes that the Poverty Alleviation Department to guide their activities, e.g., assisting the process of prioritizing the locations/households under the Ecological Immigration programme.

One of the assumptions of outcome indicator No. 15 (By end of Project, at least $2 million in new Government poverty alleviation investment on economic-related development is designed to have positive impacts on ecosystem functions and biodiversity and at least 80% of such investment by value is determined to have been successful in this respect – see **Annex 5**), was that there would be at least one full year after issuing the new guidelines. The analysis indicated in Thematic Report 20 (*Report on Verification and Assessment of the Use of Poverty Alleviation and Development Funds in Biodiversity Conservation Projects in 2012 Xinyang*) does not coincide

with the outcome indicator, because it is an analysis of activities completed in 2012 and 2013, while the guidelines were produced and approved in 2013.

The assessment results documented in Thematic Report 20 do demonstrate that the existing governmental poverty alleviation programmes indeed have positive ecological conservation benefits; but it does not address the added value of the GEF grant support. But, more time is required to verify how the guidelines influence decisions and appropriation of funds.

Outcome 4:	**Achievement of Outcome 4:**
Lessons learned at HHRB inform and strengthen ongoing efforts to manage KEFZs throughout China	Satisfactory

The PMO and contracted partner FECO were actively involved in dissemination of information about the project. Some examples include:

Exchange Forums/Tours

- 22-23 September 2013, exchange forum organized by FECO to discuss lessons learned on CBPF projects;
- 22 May 2014, exchange forum organized by FECO to discuss lessons learned on CBPF projects;
- Emergency Biodiversity Conservation Measures for the Recovery and Reconstruction of Wenchuan Earthquake Hit Regions in Sichuan Province;
- Annual farmer exchange tours for organic tea farmers and cooperatives within the HHRB region.

Media

- HHRB project publicity video, which was distributed to a number of stakeholders and also shown on a loop at the Lingshan Mountain Park, Eco-Tourism Centre;
- National television program (facilitated by FECO): "The project demonstrations drive the protection of HHRB", Chinese Environment News, 18 Sep 2013
- The website of HHRBP: http://www.hhrb.org.cn/
- FECO added a dedicated column on their website, to showcase the HHRB project;
- Newspaper Article: "Forum held for the demonstration sites construction of HHRB project", Xinyang Daily, 28 Feb 2013
- Newspaper article: "Enhance biodiversity conservation", Xinyang Daily, 29 July 2013
- Newspaper article: "Biodiversity conservation and the promotion of ecological civilization construction", Xinyang Daily, 22 May 2014
- Mobile telephone text message campaign;
- Several local and regional radio spots;
- NGO-produced video on the urban egret reserve in Luoshan County.

Brochures

- Biodiversity brochure (HHRB PMO of Shangcheng County)
- UNDP/GEF Conservation and Sustainable Use of Biodiversity in the HHRB (Xinyang HHRB PMO)
- Tea plantation of Longtan village in Shihe District
- Demo site construction of mixed forest in Qingshuitang forest spot in Shihe District
- Animal husbandry in Pipashan village of Wuxing regional office in Shihe District

- Forest-tea cultivation site in Dashan village of Liangting Township in Guangshan County
- The natural eco-tea garden on Lingding Peak in Luoshan County
- Eco-tourism in Lingshan community of Luoshan County
- Egret conserve area in New District of Luoshan County
- Organic rice cultivation in Xiaozhai village of Yangang Town in Shangcheng District
- Forestry of Chenwan village in Changzhuyuan Country of Shangcheng District
- Medicinal herbs plantation of Huangtuling village in Tianpu Township of Xinxian county
- Oil-tea camellia plantation on Maopu watershed in Zhouhe Country of Xin county

Training materials

- Training Material for Conservation in and Development of IEFAs in HHRB
- Xinyang Training Material on Poverty Alleviation, Development and HHRB Biodiversity (Specialized Training Material for the Poverty Alleviation Sector)
- Technical Guidelines on Assessment of Financial Inputs and Implementation for Biodiversity-Friendly Poverty Alleviation
- Manual for Consultancy on Poverty Alleviation and Biodiversity Conservation of Xinyang
- Xinyang Forestry Biodiversity-friendly Management - Private Sector Guidance
- Xinyang Agricultural Biodiversity-friendly Management - Private Sector Management
- Xinyang Agricultural Biodiversity-friendly Management - Governmental Staff Manual
- Biodiversity-friendly Poverty Alleviation Fund Input and Execution Technology Evaluation Guidance
- Biodiversity-friendly Poverty Alleviation Investment Consultancy Service Manual

Lessons learned reports

- HHRB Experience Summary Report of Ecological Function and Biodiversity 2002 - 2010
- Main Laws, Regulations, and Policy Assembly of National Important Ecological Function Area Management
- National Important Ecological Function Area Management Analysis

Largely due to the shortage of time, lessons learned that were disseminated by FECO to other KEFZs in China are rather general, and do not yet provide a practical model for implementing biodiversity mainstreaming.

3.3.2. Relevance

Relevance is rated as: Relevant

The project remains **highly relevant** across a number of criteria. The project is closely aligned with the China National Biodiversity Strategy and Action Plan (2011-30), specifically Strategic Task No. 4: *Promote mainstreaming of biodiversity conservation into related planning processes*. Also, biodiversity mainstreaming is consistent with the national eco-civilization programme, the implementation of which was reinforced during the 18th Central Committee of the Communist Party of China (CPC), Third Plenary Session in November 2013.

The Project remains relevant with the GEF strategic objectives, specifically Objective No. 2 of the GEF-5 Biodiversity Strategy: *Mainstream Biodiversity Conservation and Sustainable Use into*

Production Landscapes/Seascapes and Sectors. And, the Project is in line with to the objectives of the Country Programme Document between the United Nations and the Government of China, especially regarding Country Programme Outcome No. 4: *The vulnerability of poor communities and ecosystems to climate change is reduced*.

3.3.3. Efficiency

Efficiency is rated as: Moderately Satisfactory

Supporting Evidence:

+ Government co-financing exceeded the committed sums;
+ High associated funding from complementary State programmes enhance the sustainability of the results achieved by the project;
+ Considerable leveraged resources, e.g., the approx. USD 10 million land offset in Luoshan County, for setting up an urban egret reserve;
+ Strong financial control – in the second half of the project;
− Low productivity during the first 2 years;
− Time constraints during the second half of the project did not allow for sufficient time for strategic planning and consolidation of lessons learned;
− From an incremental cost criteria point of view, the awareness of the "additionality" of the GEF support was fairly low among local government officials;
− Co-financing from government programmes was not well integrated into the project.

Efficiency was greatly improved over the second half of the project, after the low productivity of the first 2 years. As more than half of the funding was expended in the first half, financial controls were strengthened to optimize spending of the remaining funds. The amount of government co-financing realized, exceeding the sums committed, also adds to the efficiency of the project, as well as the high levels of governmental associated funding on complementary programmes. This associated funding significantly enhances the sustainability of the results achieved, as there are opportunities to capitalize on synergies, by integrating biodiversity conservation into existing interventions. The approx. USD 10 million land offset in Luoshan County for establishment of an urban egret reserve, which was set up on land previously zoned as high-value commercial real estate, is a good example of local commitment to the underling project objectives.

Even with the improved efficiency in the second half of the project, the overall rating is rated as moderately satisfactory. As mainstreaming is a time-consuming endeavor, the loss of roughly 2 out of 4 years is significant. And, the agreed no-cost, time extension fell short of the recommended time period recommended in the mid-term review, as manifested by the following observations:

- Based on interviews with local government sectoral officials, awareness of the added-value of the GEF-financed project is relatively low, as there has been scarce time for them to distinguish the additionality of the project compared to the ongoing governmental environmental programmes;
- Limited attention was given to impact monitoring, or strategic planning beyond the achievement of the project outcomes, e.g., the management strategy for the KEFZ is not yet prepared;
- The baseline of the monitoring system is fairly weak, e.g., only a handful of surface water and groundwater samples were tested across the approx. 135,000 ha eco-corridor, and forest cover

estimates have been restricted to field surveys due to the poor quality of satellite data available during the implementation timeframe;

- There has been less than a year of interaction with most of the demonstration activities, thus, there has been limited time to reconstruct baselines and track results and potential catalytic effects;
- The shortened time extension did not allow sufficient time for consolidating lessons learned on the HHRB project into a management framework or strategy, thus limiting the effectiveness of disseminating information to other KEFZs in China

Finally, although governmental co-financing exceeded committed sums, this funding was not well integrated into the project. For example, roughly USD 3.5 million of the co-financing, approximately a third of the total, was for incentive mechanisms granted by local governments for ecological conservation oriented measures. While these payments are noteworthy in terms of ecosystem function protection, they do not necessarily ensure that biodiversity conservation is improved. A greater level of integration, at least on a monitoring level, might have improved the effect on project outcomes.

3.3.4. Country Ownership

The project has benefited from **highly satisfactory** country ownership, both from central and local stakeholders. Under the auspices of the CBPF, the project was developed in line with national biodiversity strategy and action plan, and Ministry of Environment officials have been proactively involved in project implementation, and have promoted dissemination of the results as a model of good practice for KEFZ management. These central governmental stakeholders were also involved in project planning, although there seems to have been less involvement by municipal and local officials, partly due to some shifts in higher level positions after elections. But, relevant local government stakeholders were keenly involved during the implementation phase, particularly after the mid-term review. In the first half of the project, a local NGO was responsible for project implementation, and there was an unsatisfactory level of participation by key local government stakeholders. As part of the restructuring of the project after the mid-term review, capacity building was emphasized particularly these public officials, and less so for the general public, simply because there was a shortage of both time and funds. The project did continue with extensive publicity campaigns, and NGOs and private sector stakeholders were involved in some of the demonstration activities; however, moving forward, more outreach will be required to the civil society as part of the efforts to effectively mainstream biodiversity into the productive sectors of the municipality and local communities.

The government has maintained financial commitment to the project, and the high levels of associated funding on complementary State programmes further enhances the likelihood that the achieved results will be sustained after GEF financing ceases. However, while there is strong anecdotal evidence that the municipality is committed to supporting the mainstreaming framework which was developed, this commitment is not yet structured into some type of sustainability plan or detailed KEFZ management strategy.

3.3.5. Mainstreaming

Through the process of mainstreaming biodiversity conservation among the production sectors of the target area, local communities are expected to benefit in positive terms, with respect to opportunities for alternative livelihoods, e.g., sustainable agriculture, eco-tourism, etc., and consequential increased household incomes.

Local communities should also benefit from improved land use planning. As the key ecological function within the upper reaches of the HHRB is water retention, the increased level of planning on preserving this function will likely lead to an enhanced level of preparedness to cope with natural disasters, e.g., measures will be put in place to reduce the rate of erosion of valuable soil resources.

The Project objective is also closely aligned with Outcome 5 of the UNDP Country Programme Document2011-2015: "*The vulnerability of poor communities and ecosystems to climate change is reduced*"; with outputs 5.1 "*A strengthened policy, legal, institutional framework for the sustainable use of land, water, the conservation of biodiversity, and other natural resources in fragile ecosystems is enforced*; and 5.2 "*The integration of gender, vulnerability assessments, risk reduction and adaptation to climate change into local development planning and service delivery in support of poor communities is promoted*".

There were no specific Project targets focused on women or vulnerable groups, but women and elderly did indeed benefit from some of the demonstration activities and enhanced opportunities have been provided through some of the incentive schemes geared toward sustainable agriculture practices. Migration of young men out of Henan Province to other areas of China for factory jobs is a widespread issue; some estimates[1] indicate that more than 25% of the population of the province have moved out, leaving behind an abnormally high proportion of women and elderly to tend to subsistence farming and also agricultural sector jobs for private farms and cooperatives. The "agricultural feminization" trend was apparent among the target communities, e.g., the TE team was informed that women complete 80% of the tea cultivation in the village of Dashan in Liangting Township.

Women were fairly well represented among the Project team, including the Deputy Project Director and the Translator/Interpreter, and also among some of the local PMOs. There were a few women within the municipal and county level leading groups, for example, representing the Women's Federation, but the members of these groups were predominantly male.

3.3.6. Sustainability

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

Overall, sustainability of the project is rated as: Likely

Supporting Evidence:

- \+ Highly relevant intervention, closely aligned with national priorities;
- \+ Delineation of the upper reaches of the HHRB as an IEFA and the counties of Shangcheng and Xinxian as the Dabie Mountain KEFZ ensures continued central government funding;
- \+ 2010-2020 Xinyang Municipal Land Use Master Plan amended with zoning adjustments and special land use guidelines for the approx. 135,000 ha eco-corridor;
- \+ Development and approval of regulatory guidelines and incentive mechanisms to promote biodiversity conservation among productive economic sectors in the Municipality;
- \+ Governance is fairly strong among relevant institutions, including those tasked with management of protected areas located within the Municipality;

[1] Project Document, November 2008.

- \+ Verbal commitment by the vice mayor of the municipality to keep the PMO in place, fully funded by the municipality;
- \+ Extensive development of institutional and individual capacity with respect to biodiversity mainstreaming;
- − Strategic capacity of Municipality officials to lead biodiversity mainstreaming process going forward remain relatively low;
- − Lack of a sustainability strategy;
- − Compensatory and incentive mechanisms not operationalized into local government budgets;
- − Roles and responsibilities for supervision and management of KEFZ not defined.

The close alignment of the intervention with national priorities ensures continued interest and support from central government stakeholders. Also, there is now a strong institutional framework to guide biodiversity mainstreaming moving forward. There are gaps remaining in terms of strategic planning, and the roles and responsibilities for supervising and management the KEFZ are not yet clearly defined. Also, the lack of a sustainability strategy diminishes the likelihood that project benefits will be sustained after project closure.

Financial Risks

The Financial Risks dimension of sustainability is rated as: Likely

There are a number of complementary government funded programmes, including the Soil and Water Retention programme managed by the Forestry Department, incentives administered by the Department of Agriculture for organic farming, and a large proportion of the money spent on poverty alleviation in the municipality is expended on the Ecological Immigration programme. Also, delineation of the counties of Shangcheng and Xinxian as the Dabie Mountain KEFZ ensures continued central government funding. For example, the counties of Shangcheng and Xinxian received a combined sum of approx. USD 20 million[1] (CNY 125 million) in 2013 from the central government, in the form of payment for ecosystem service, as land use is restricted within the KEFZ. These programmes demonstrate a high level of governmental commitment for ecological conservation, and biodiversity mainstreaming should be able to be harmonized with these interventions. This process will be facilitated by the specific regulatory guidelines and incentive mechanisms developed with project support, and there is some evidence that some of these are being implemented. These compensatory and incentive schemes, however, have not yet been operationalized into local government budgets. The money spent so far has been fairly low, and financing has been managed by local governments without reallocating operational budgets; but, the value of the incentives will likely increase over time, and it will be more important to approve specific amounts of funding in the respective budgetary cycles.

Socio-Economic Risks

The Socio-Economic Risks dimension of sustainability is rated as: Likely

As elsewhere in China, ecological resources remain under pressure of development, as the economy in the country continues to expand. The central and local governments have implemented a series of programmes in recent years to mitigate socio-economic risks, including promotion of eco-tourism, granting incentives for implementing organic farming, etc.

[1] Information obtained from GEF Tracking Tool project report, 2014

Outreach to the civil society and private sector was fairly good, but mostly through publicity campaigns and involvement of some groups and companies in the demonstration activities. As mainstreaming is implemented in the years to come, it will be important to further reach out to NGOs, private enterprises, and the general public, to ensure that conservation objectives are consistent with socio-economic development needs.

Institutional Framework and Governance Risks

Institutional Framework / Governance dimension of sustainability is rated as: Likely

One of the main achievements of the project was supporting the development of an institutional framework to facilitate biodiversity mainstreaming in the Xinyang Municipality, specifically the amendment to the 2010-2020 Municipal Land Use Plan, with zoning adjustments and land use rules for the approx. 135,000 ha eco-corridor. Also, a set of regulatory guidelines and incentive mechanisms have been approved by the local government, to promote biodiversity conservation among the productive economic sectors, which further contribute to the likelihood that the achieved results will be sustained.

There are a number of institutional stakeholders having mandates that overlap with the mainstreaming framework, and roles and responsibilities have not yet been clearly defined, including agencies responsible for managing the existing provincial and national protected areas. It is important to realize that mainstreaming does not only refer to activities on land outside from protected areas, as these nature reserves will continue to play a critical role in ensuring overall biodiversity conservation in the broader KEFZ. Stakeholder roles and responsibilities should be sorted out over the near term, in order to ensure effective governance moving forward.

Environmental Risks

The Environmental Risks dimension of sustainability is rated as: Likely

Unsustainable land use practices are likely to continue to decline, as a result of heightened awareness, available incentive mechanisms to promote biodiversity conservation, and the high level of national interest, e.g., through delineation of the upper reaches of the HHRB as an IEFA, and the counties of Shangcheng and Xinxian as a KEFZ.

3.3.7. Catalytic Role

The project has supported the Xinyang Municipality in advancing biodiversity mainstreaming further than most other KEFZs in the country. Under Outcome 4, lessons learned were envisioned to be compiled into a set of recommendations that could form a model for planning and management of KEFZs in China. Although the extent of the dissemination outreach has not been fully realized as planned, the project has had national-level influence, largely realized through two exchange forums coordinated by FECO: one in September 2013 and the other in May 2014. For instance, the comprehensive regulatory review carried out by the Municipality to identify and revoke by-laws and decisions that are counter-productive toward biodiversity conservation has sparked a great deal of interest, as a good practice, among other regions in the country. Also, based on anecdotal evidence[1], national poverty alleviation government stakeholders are interested in the approach taken by the HHRB project in amending assessment guidelines for the Ecological Immigration programme in Xinyang Municipality.

[1] Personal communication with the national technical advisor during the TE mission.

In terms of recommendations for planning and management of KEFZs, using a biodiversity mainstreaming approach, the team and FECO have not consolidated detailed lessons learned, partly because the management strategy for the HHRB KEFZ is not fully developed yet. Also, it seems as though the expectations for consolidating the lessons learned were not effectively communicated to or coordinated with FECO, based upon TE interviews and review of the M&E plan and other project documents.

There was a high replication potential built up through the capacity strengthening activities delivered by the project. For example, the active involvement of FECO officials in the project has contributed to their professional development, giving them an opportunity to participate in the processes of a mainstreaming project and applying the knowledge gained on broader policy and programme development. Also, the capacity of the individuals and institutions within the Xinyang Municipality, the target counties/districts, the sub-contractors involved, cooperatives and private companies, and community members at large, representing a considerable knowledge base that contributes to the overall KEFZ management effectiveness in the country.

3.3.8. Impact

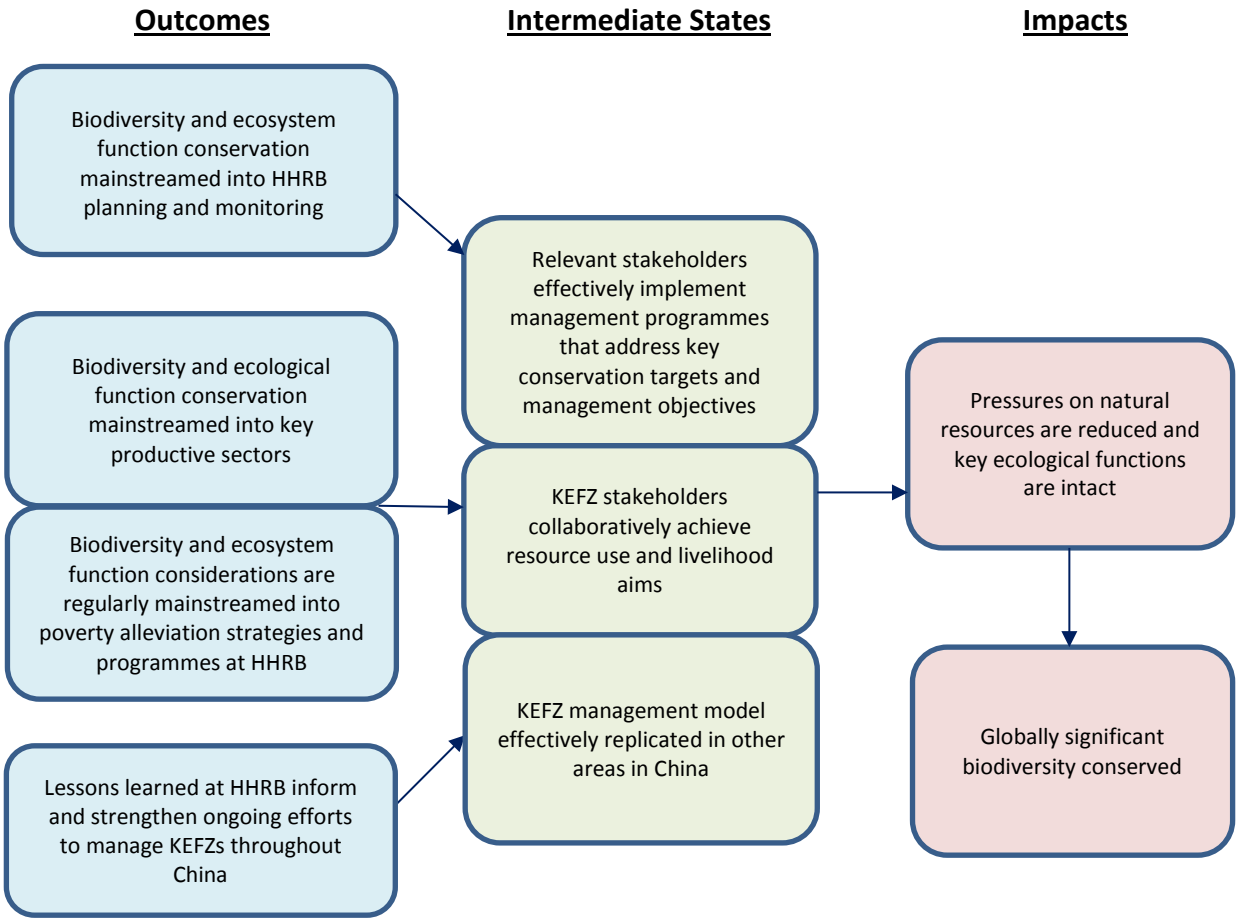
Assessing impact of a 4-year long mainstreaming project, which had the main aim of strengthening the enabling environment of the relevant institutional stakeholders, is not particularly feasible, simply because there has been insufficient time to facilitate progress toward the intended impacts. A rough evaluation of impact indicators listed in the TE terms of reference is outlined below.

Impact Indicator	Evaluation Comments	Impact Rating
Verifiable improvements in ecological status	After restructuring the project following the mid-term review, there were 12-18 months spent on effective implementation, including drafting and approval of the 2010-2020 Municipal land use plan, with inclusion of an approx. 135,000 ha eco-corridor. Also, a series of regulatory guidelines and incentive mechanisms were put in place to promote biodiversity conservation in the priority conservation zone. There has not been sufficient time to assess verifiable improvements in ecological status. Furthermore, available baseline information, in terms of biodiversity inventories, ecological status, and socio-economic variables, is fairly weak, and does not lend itself to a robust evaluation of potential impacts.	**Unable to Assess**
Verifiable reductions in stress on ecological systems	The amended land use plans and approved regulatory guidelines and incentive mechanisms contribute an enabling environment that could potentially lead to reductions on stress on ecological systems. The issue is one of implementation and concerted commitment, specifically in the face of continued developmental pressures.	**Minimal**

As it is generally too early to evaluate actual impacts, the likelihood of achieving the intended impacts was estimated using the general guidelines of the *Review of Outcomes to Impacts* (ROtI[1]) method, which applies a Theory of Change approach to assess the overall performance of environmental projects. The first step was to reconstruct an outcome to impact pathway (see below in **Exhibit 14**), based upon the essence of the project design.

[1] The ROtI Handbook, Towards Enhancing the Impact of Environmental Projects, Aug 2009, Global Environmental Facility.

Exhibit 14: Outcome to Impacts Pathway



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

Exhibit 15: Review of Outcome to Impacts

Outcome	Outcome Rating (A-D)	Intermediate State (IS)	IS Rating (A-D)	Impact	Impact Rating (+)	Overall
1. Biodiversity and ecological function conservation mainstreamed into key productive sectors	B	KEFZ stakeholders effectively implement mainstreaming interventions that address key conservation targets and management objectives	B	Pressures on natural resources are reduced and key ecological functions are intact		BB
2. Biodiversity and ecological function conservation mainstreamed into key productive sectors						
3. Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes at HHRB		KEFZ stakeholders collaboratively achieve resource use and livelihood aims		Globally significant biodiversity conserved		
4. Lessons learned at HHRB inform and strengthen ongoing efforts to manage KEFZs throughout China		KEFZ management model effectively replicated in other areas in China				

Outcome Rating Justification: The project was fairly successful in achieving the outcome level results, particularly with respect to amending the Municipal land use plans, establishing facilitating regulatory guidelines and incentive mechanisms, demonstration of engaging communities and the private sector into biodiversity mainstreaming, and individual and institutional capacity building. As the management strategy for the KEFZ (priority conservation zone) has not yet been completed, with specific management objectives, including conservation targets, the lessons learned and recommendations for other KEFZs in China are consequently rather general and do not really provide a practical model for implementing biodiversity mainstreaming.

Intermediate States Rating Justification: Biodiversity mainstreaming requires considerable amounts of time. Although the project outcomes have contributed to an overall strengthening of the enabling environment required to effectively guide the mainstreaming interventions moving forward, more effort is needed to finalize KEFZ management plans and the requisite strategic capacity is limited among the local institutional stakeholders. Also, with the high ownership among central and local level officials, the TE team considers it likely that resources will be allocated to ensure these shortcomings are overcome.

Definitions (extracted from the ROtI Handbook, Aug 2009, GEF):

Outcome Rating	Intermediate States Rating	Impact Rating
D: The project's intended outcomes were not delivered.	D: The conditions necessary to achieve intermediate states are unlikely to be met.	Rating "+": Measurable impacts or threat reduction achieved and documented within the project life-span.
C: The outcomes delivered were not designed to feed into a continuing process after funding.	C: The conditions necessary to achieve intermediate states are in place, but are unlikely to lead to impact.	
B: The outcomes delivered were designed to feed into a continuing process but with no prior allocation of responsibilities after funding.	B: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with moderate likelihood that they will progress toward the intended impacts.	
A: The outcomes delivered were designed to feed into a continuing process with specific allocation of responsibilities after funding.	A: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with high likelihood that they will progress toward the intended impacts.	

Overall Likelihood of Impact Achievement:

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA BA AB CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

As outlined above, the impact assessment results indicate that the likelihood of impact achievement is **likely**. This result is contingent upon ensuring that sufficient resources are allocated, including appointment of a technical advisor for continued strategic guidance.

4. CONCLUSIONS, RECOMMENDATIONS, LESSONS, GOOD PRACTICES

4.1. Conclusions

MAJOR ACHIEVEMENTS/STRENGTHS

Highly relevant intervention with a high level of country ownership

During the 18th Central Committee of the Communist Party of China (CPC), Third Plenary Session in November 2013, the government formalized their commitment to implement their "eco-civilization" concept, as a cross-cutting element in all areas of economic and social reform. There has been mounting evidence that the decline of ecosystem service functions in key ecological function areas have resulted largely due to discontinuity between economic activities and ecological protection. The eco-civilization programme is directly aligned with biodiversity mainstreaming, where ecological protection is integrated into economic productive sectors of society, and the project has received keen interest among national-level stakeholders, including FECO, the Foreign Economic Cooperation Office of the Ministry of Environmental Protection.

Within the Xinyang Municipality, the project has maintained high-level and broad stakeholder involvement, including an active role by the vice mayor of the Municipality as chairperson of the Municipal Leading Group, and also by vice governors of the 4 target counties and 1 target districts. Furthermore, government co-financing has exceeded the planned contribution, and the amount of associated financing by local and national government on ecological conservation within the Municipality far exceeds the GEF grant for the project.

Important institutional land use framework has been formalized

The Project supported development of an amendment to the Xinyang Municipality 2010-2020 Land Use Master Plan, with the inclusion of zoning adjustments and land use restrictions for an eco-corridor, extending across approximately 135,000 ha along the western and southern edges of the Municipality.[1] This is an impressive achievement, firstly considering how difficult it is to amend these 10-year land use plans, and also because the amendment formalizes biodiversity conservation into the key spatial planning framework for the Municipality.

Sustainability is considered "likely"

The process of mainstreaming inherently enhances sustainably, and indeed the success the project has had in amending the 2010-2020 Municipal land use master plan, passing of several guidelines and incentive mechanisms that promote biodiversity conservation interventions, increases the likelihood that the benefits of the project will be sustained after GEF funding is finished. Furthermore, there is strong government support, both at the State level and locally, to continue with the mainstreaming efforts.

The high amount of leveraged resources, e.g., the land offset, with an estimated value of approx. USD 10 million in Luoshan County where an urban egret reserve has been established, also demonstrates local commitment to follow up with the mainstreaming efforts.

[1] The land use master plan amendment is pending approval from the Provincial government.

The mainstreaming process implemented on the HHRB project has influenced national policy and programme development

The project has supported the Xinyang Municipality in advancing biodiversity mainstreaming further than most other KEFZs in the country. Under the auspices of the China Biodiversity Partnership Framework (CBPF), represented by FECO, Outcome 4 of the project was designed to disseminate lessons learned and compile a set of recommendations that could form a model for management of KEFZs in China. Although the expected catalytic effect has not been fully realized as envisioned, partly because a consolidated management strategy for the KEFZ has not yet been formulated, the project has had national-level influence. For instance, the comprehensive regulatory review carried out by the Municipality to identify and revoke by-laws and decisions that are counter-productive toward biodiversity conservation has sparked a great deal of interest, as a good practice, among other regions in the country. Furthermore, the active involvement of FECO officials in the project has contributed to their professional development, giving them an opportunity to participate in the processes of a mainstreaming project and applying the knowledge gained on broader policy and programme development.

Demonstration of biodiversity-friendly interventions and showcasing how local government, communities, and the private sector are engaged and committed

The astute selection of demonstration activities has effectively showcased over a reasonably large scale how local government, communities, and the private sector can be engaged and benefit from integrating biodiversity conservation into productive sectors of their societies. The combined cost of the 11 demonstration activities was approx. USD 3.4 million (CNY 20.8 million), with only approx. USD 150,000 in grant support from the project, and demonstrations were carried out in each of the target 4 counties and 1 district, implemented on more than 3,000 ha of land, with more than 2,100 households directly benefiting.

Introducing a biodiversity conservation dimension to existing programmes on poverty alleviation and the environment

The Xinyang Municipality has implemented the government-sponsored Ecological Immigration programme since 2010, coincidently in the same 4 counties and 1 district targeted by the HHRB project. This programme relocates households out from conservation areas and into more urban settings, providing skills training to help the displaced people find work, and also the local government provides grant funding toward their new housing arrangements. The project was successful in introducing a guideline, applicable to poverty alleviation departments throughout the Municipality, which outlines how biodiversity conservation criteria should be considered as part of the ecological immigration programme. Through this increased knowledge and guidance, local government officials are now more informed to consider biodiversity conservation when prioritizing the ecological immigration activities.

Strengthened institutional and individual capacity and awareness

The number of people participating in the project was quite large, including approximately 15 PMO staff, more than 100 officials among the municipal and local government leading groups, 10-15 sub-contractors, and many more as part of the demonstration activities. Through direct involvement and sponsored trainings, outreach of the capacity building efforts was commendable. Mainstreaming efforts require time, and although local capacities have been strengthened, there remain gaps, e.g., with respect to strategic planning for biodiversity mainstreaming, a role that was filled by the national technical advisor during project implementation.

KEY SHORTCOMINGS

The "priority conservation zone" has not been clearly defined

The aim of the project was to implement biodiversity mainstreaming within a defined, priority conservation zone, and subsequent operationalization of a monitoring system would provide information on the impacts of the efforts compared to areas where mainstreaming is not being carried out. But, this priority conservation zone remains unclear. The eco-corridor, an expansive area covering more than 135,000 ha along the western and southern reaches of the Municipality boundaries and facilitating ecological connectivity between existing protected areas, was meant to be the priority conservation zone, as a proxy for the KEFZ. The monitoring system developed with support of the project is indeed for the eco-corridor; however, the new regulatory guidelines and incentive mechanisms cover the administrative borders of each of the target four counties and one district which cover more than 2 million ha, and also the Municipality as a whole, with a combined land area of about 4 million ha. Apart from that, according to national delineation, the counties of Shangcheng and Xinxian, occupying about 375,000 ha, are classified as a KEFZ, which does not match with the eco-corridor in terms of geographic or administrative coverage. Adding to this ambiguity, the 11 demonstration activities were not carried out within the eco-corridor. Under these circumstances, it is difficult to distinguish where mainstreaming is being implemented from where it is not.

The overall strategy for managing the KEFZ is unclear

The project was fairly successful in achieving the intended outcomes, but among the updated land use plans, new and revoked regulatory guidelines, and compensatory and incentive mechanisms that were developed, the overall management strategy for the KEFZ is lacking. For example, the management objectives, including site level conservation and ecological function targets, have not been defined. The expected catalytic influence was one of the main goals of the project, but successful replication and scale-up of the process of biodiversity mainstreaming within a KEFZ depends upon consolidating the activities and objectives into a coherent strategy.

The monitoring system is lacking direction, without clear management objectives defined

While the monitoring system for the eco-corridor was streamlined, according to recommendations made as part of the mid-term review, with simple single-level parameters. But the *Administrative Policies, Objectives, and Biodiversity Index System for National Key Ecological Function Zones in the Headwater of the Huaihe River Basin* make reference to a series of State indices that require a variety primary and secondary indicators, which are not represented in the monitoring system. It is also unclear what type of monitoring will be undertaken in areas outside the eco-corridor, where mainstreaming is also being implemented. In order to evaluate the effectiveness of mainstreaming, it is important to monitor various socio-economic and other exogenous factors, such as market prices of agriculture products, shifts in development activity due to economic circumstances, etc., that are relevant for areas both inside and outside a particular priority conservation zone.

Unclear how compensatory and incentive mechanisms will be operationalized into local government budgets

The target counties and municipality have approved a few compensatory and incentive mechanisms that specifically promote biodiversity conservation friendly interventions, and there is some evidence that these incentives have started to be issued. However, there is no evidence that the mechanisms have been operationalized into local government budgets. The current value

of these incentives is relatively low and municipal and county budgets have been able to absorb these without requiring major re-allocations. But, as time goes on, the monetary value of the incentives will likely increase, requiring more formalized commitment in annual budget planning. By operationalizing these into local government budgets, it will also be easier to differentiate between those incentives that were specifically issued as a result of the biodiversity mainstreaming activities, as compared to the existing compensatory schemes for ecological construction, organic farming, etc.

Roles and responsibilities of supervision of KEFZ have not been defined

The roles and responsibilities for supervision and management of the KEFZ are not clearly defined, among the various departments and agencies, including the Environmental Pollution Board, the Department of Forestry, the Department of Agriculture, the Department of Land Use Planning, the Department of Poverty Alleviation, the agencies responsible for management of the provincial and national protected areas, etc.

Overall project efficiency and effectiveness were diminished by the low productivity during the first half of implementation

The project went through a comprehensive restructuring after the mid-term review; including a complete change in the project management team, significant adjustments to the technical advisory board, replacement of the biodiversity expert with a national technical advisor, and a reformulation of the logical results framework. More than half of the implementation budget was spent in the first half of the project, while very little was produced toward attainment of the intended outcomes during this period. The project team had roughly 18 months to complete activities designed for 48 months and with less than 50% of the planned budget.

Although the project managed to reasonably achieve the intended incomes, the low efficiency in the first half of the implementation phase diminished the overall effectiveness, for example, as outlined below.

- Based on interviews with local government sectoral officials, awareness of the added-value of the GEF-financed project is relatively low, as there has been scarce time for them to distinguish the additionality of the project compared to the ongoing governmental environmental programmes;
- Very little attention was given to impact monitoring, or strategic planning beyond the achievement of the project outcomes, e.g., the management strategy for the KEFZ is not yet prepared;
- The baseline of the monitoring system is fairly weak, e.g., only a handful of surface water and groundwater samples were tested across the approx. 135,000 ha eco-corridor, and forest cover estimates have been restricted to field surveys due to the poor quality of satellite data available during the implementation timeframe;
- There has been less than a year of interaction with most of the demonstration activities, thus, there has been limited time to reconstruct baselines and track results and potential catalytic effects;
- There was limited time for consolidating lessons learned on the HHRB project into a management framework or strategy, thus limiting the effectiveness of disseminating information to other KEFZs in China.

4.2. Recommendations

ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT

1. Identify and support a mainstreaming "champion"

Based upon lessons learned on other GEF projects and within the broader international development community, mainstreaming requires time, possibly even decades before biodiversity conservation is truly integrated into economic productive sectors and verifiable impacts are achieved. This project was successful in laying a foundational framework for biodiversity mainstreaming in the upper HHRB, but concerted and cooperative efforts will be required to ensure that the process continues toward attainment of the intended results. The TE team recommends that a mainstreaming "champion" be identified and tasked with facilitating the process moving forward; such a champion could be an agency, but in that case, individual roles should be clearly mandated. As part of the next 5-year plan, the Municipality should indicate such a champion as part of a sustainability strategy for continuing with the biodiversity mainstreaming efforts.

2. Support a national technical advisory role for minimum 5 years

The national technical advisor was the strategic core of the project during the critical second half of the implementation phase. Although capacities of the municipal and local government team members have been considerably strengthened over the course of the project, their ability to strategically direct the biodiversity mainstreaming process after closure of the GEF funding is limited, and local biodiversity experts do not have the connections with national stakeholders that the NTA has, which is highly advantageous in terms of sharing and disseminating knowledge throughout other KEFZs in China. The TE team recommends that the Xinyang Municipality supports a part-time national technical advisory role for a minimum 5 years, to guide the local mainstreaming efforts and to keep an active interface with MEP officials and other national level stakeholders.

3. Agree upon the priority conservation zone for monitoring and evaluating the biodiversity mainstreaming efforts

The priority conservation zone where mainstreaming is being implemented should be clearly defined. One option is to define the eco-corridor as the priority conservation zone, as a proxy for a KEFZ, as envisioned in the restructured project following the mid-term review. Or, consistent with the national delineation of KEFZs, which currently include Shangcheng and Xinxian Counties, these two counties would be considered the priority conservation zone, and this KEFZ would be incrementally expanded if other counties are integrated into the KEFZ at a later stage.

4. Prepare a KEFZ management strategy, incorporating the lessons learned on the Project

A detailed management strategy for the KEFZ is lacking and should be developed in the near-term, so that mainstreaming efforts can be more tactfully implemented. The management objectives of the KEFZ should be formulated, conservation and ecological function targets outlined, roles and responsibilities defined, including for monitoring and evaluation. The management strategy should be prepared consistently with the land use plans, e.g., for the eco-corridor and/or for the two KEFZ counties, Shangcheng and Xinxian.

5. Adjust the monitoring system in response to the KEFZ management strategy

The monitoring system for the KEFZ should be adjusted based upon the framework set out in the management strategy. The monitoring system should include management response and

corrective/preventative action planning, and also tracking of the implementation results of the biodiversity conservation guidelines and incentive mechanisms that were developed during the project and any others formulated afterwards. The monitoring system should also be extended to include relevant socio-economic variables. Tracking should also extend to the demonstration activities, including replication and scaling up of relevant biodiversity conservation friendly interventions.

6. Incorporate a socio-economic assessment process into activities linking poverty alleviation and biodiversity conservation

Poverty alleviation is a very complex topic, and extends far beyond providing alternative livelihood opportunities, e.g., through sustainable use of natural resources. Evaluating the impacts to human well-being as a result of biodiversity conservation programmes is difficult to assess, largely because monitoring systems are typically weak and not coordinated among relevant sectors. The TE team recommends incorporating a socio-economic assessment process into the poverty alleviation and biodiversity conservation linkages promoted through the guidelines developed during the project. For example, baseline conditions might be reconstructed when interviewing communities as part of the ecological immigration programme, and livelihood assessments made before and after implementation of such activities.

7. Define roles and responsibilities for supervision and management of the KEFZ

One of the main, inherent features of biodiversity mainstreaming is broad stakeholder participation, and this often requires clear definitions of roles and responsibilities, e.g., for supervision and management of the KEFZ. The TE team recommends that supervision and management responsibilities of the KEFZ be defined, and the mainstreaming "champion" tasked with facilitating inter-sectoral collaboration and reporting.

8. Engage the agencies responsible for protected areas into the management of the KEFZ

It is important to realize that the intended positive impacts of biodiversity mainstreaming will not only be in those areas outside of existing protected areas. The ecological functions and ecosystem services within the protected areas will play an integral part of the mainstreaming efforts, and it is important to sufficiently engage the agencies responsible for management of the protected areas into the process. One possible strategy would be to mandate the agencies responsible for protected areas to supervise and manage the eco-corridor. These agencies have the knowledge and skills to carry out such management, albeit, their resources might need to be increased to effectively cover the expansive corridor.

9. Operationalize the compensatory and incentive mechanisms into the municipal and local government budgets

The TE team recommends that the compensatory and incentive mechanisms developed during the project be operationalized into the municipal and local government budgets. This way, the biodiversity conservation focused programmes could more easily be differentiated from the other, existing compensation and incentive schemes.

PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES

10. Investigate opportunities for co-management of the KEFZ

Communities within buffer areas around provincial and national nature reserves in the Xinyang Municipality are actively participating in the management of the protected areas, through various benefit sharing schemes, enforcement support services, etc. Similarly, communities and the

private sector might possibly provide complementary support to the supervision and management of the KEFZ, which might turn out to be more cost efficient and also a way to maintain a high level of awareness among some of the key beneficiaries.

11. Consider expanding the KEFZ to the adjoining Tongbai Mountain area

The Tongbai Mountain KEFZ is located close to Dabie Mountain KEFZ (Xinxian and Shangcheng Counties), and it seems reasonable to consider jointly managing these two areas, not only for improved efficiency reasons, but also to facilitate cross-municipality collaboration, focusing more on landscape scales rather than administrative boundaries.

12. Use an environmental flows assessment within the upper HHRB to support the KEFZ management strategy

Considering that water retention is the key ecological function within the upper HHRB KEFZ, it might be advisable to use an environmental flows assessment to support the KEFZ management strategy. Environmental flows assessments take into account flow regimes, water quality, energy cycles, biotic interactions, and ecological habitats in estimating conditions that are both conducive to biological and social systems.

13. Explore the linkage/synergies with cross-cutting national programmes

Based upon interviews with municipality and local government sectoral officials, the national Soil and Water Retention programme run by the Department of Forestry seems to have direct synergies with the mainstreaming efforts sponsored by the project, as the key ecological function in the upper HHRB is water retention. These synergies should be further explored, and viable linkages be capitalized on. Similarly, there could be complementary synergies with the disaster risk reduction programmes running in the country.

OPERATIONAL ISSUES

14. Risk management should be more inclusive among key stakeholders

Responsibility for management of project risks should be spread among key stakeholders, with agreed upon mitigation and reporting procedures. The steering committee should take a more active role in risk management, and mechanisms put in place that ensure follow up on decisions made during committee meetings.

15. Work programming should be more extensive and be linked to the logical results framework

Projects should be programmed across the entire implementation timeframe, not only year-to-year, and preferably using the critical path methodology. In this way, progress and delays can be clearly communicated to implementing agency and implementing partner managers and to the project steering committee members. This is particularly useful for projects having mutually supportive outcomes or outputs. And, adjustments to work activities can be more easily implemented, to ensure that sufficient progress is made toward performance targets, including deadlines. Under a critical path modality, it would also be easier to introduce payment based upon achievement of milestones, rather than on an advanced payment approach.

Work programming should also be linked to the targets in the logical results framework; clearly indicating when such targets are expected to be realized and providing a decision-support tool for adjusting project resources accordingly.

4.3. Good Practices and Lessons Learned

GOOD PRACTICES

Some of the activities and approaches deployed by the project are noteworthy as good practices, including those presented below.

Utilizing existing inter-sectoral collaborative structures

The municipal and county level leading groups were existing inter-sectoral collaborative structures, and the project utilized these groups to support the progress of work. Having these structures in place also enhances the likelihood that the project benefits will be sustained after GEF funding finishes.

Appointment of the national technical advisor

The role of the national technical advisor cannot be overstated, as he was able to effectively guide the project management team, share biodiversity conservation knowledge and practical experience, and act as an important interface with national level stakeholders.

The process of carrying out the comprehensive regulatory review was effective and a highly informative demonstration for municipal and county government officials

For the first time in the Xinyang Municipality, a comprehensive regulatory review, supported by the project, sorted out regulations and by-laws that were counter-productive to biodiversity conservation, and this led to revoking some unfavorable regulations and issuing new, more progressive ones. Following two exchange forums sponsored by FECO, other municipalities have stressed keen interest in carrying out similar regulatory reviews in their jurisdictions.

Adding a biodiversity conservation dimension to existing demonstration projects

As time was limited following the restructuring of the project, the team insightfully selected to add value to existing demonstration projects, rather than initiate ones from ground zero. There were several advantages to this approach; (1) the activities were rather large, with extensive outreach to involved households; (2) many of the interventions were already under implementation, thus results would be available in the near-term; (3) associated financing was significant, both from government programmes and private sector contributions, thus increasing the sustainability likelihood.

Inclusive participation within each level of local government administration

Active participation on the project was quite inclusive among local government administrations, ranging from the Municipality and extending to County, Township, and even Village level.

Good use of media for publicizing the project

The project used a wide range of media for publicity, including a program about the project broadcast on national television as part of the 7th edition of China Environment News, in September 2013. The project was also promoted on local television networks, local and regional radio, text message announcements on mobile telephone networks, and newspapers. The project maintained a website during implementation, and FECO has set up a permanent place on their Internet site specifically for information on the HHRB project. And, brochures were produced and extensively distributed during several community events.

LESSONS LEARNED

Stakeholder involvement needs to match project objectives with required skills

Mainstreaming biodiversity conservation into local government planning and regulatory frameworks is typically best championed by local government officials, consistent with the change to the implementation arrangement made following the mid-term review. This does not mean that NGOs, the private sector, and local communities are not equally important stakeholders. But, in order to establish a proactive enabling environment for biodiversity mainstreaming, institutional and regulatory systems need to be reviewed and adjusted accordingly. And these processes are best managed by the people who are responsible for the relevant institutions and programmes.

Convincing the private sector of the business case for biodiversity conservation, on the other hand, requires skills that are not always available among institutional mainstreaming implementers. It is important to constructively involve the private sector, e.g., with business marketing. And, NGOs and community groups can play important roles in interfacing between desired conservation outcomes and social ones.

Mainstreaming requires time and does not stop with strengthening the enabling environment

Mainstreaming requires considerable time, some think decades, before biodiversity conservation is effectively integrated into productive sectors of the society and impacts can be observed. The outcomes of this project contributed toward strengthening the enabling environment to facilitate mainstreaming in the Xinyang Municipality, but the process does not stop there. A coherent and representative management strategy for the KEFZ needs to be developed; resources committed and deployed for management, monitoring, and enforcement; and appropriate management responses and adaptive measures implemented based upon the progress made.

Monitoring systems should be developed complementary to the management strategy

It is important to develop a monitoring system complementary to the management strategy. Investment in robust baseline analyses, using relevant biophysical and socio-economic data, is a critical component of successful mainstreaming interventions. And, in order to develop an evidence base to support evaluation of the effectiveness of mainstreaming efforts, it is imperative that monitoring system design is sufficiently representative and robust, including collection and analysis of information on comparative reference areas, where mainstreaming is not being implemented.

Socio-economic information should be jointly tracked along with biophysical aspects

Socio-economic assessment is an important component of a management strategy and monitoring system. Discounting exogenous factors requires information on socio-economic conditions, such as economic performance of the communities, decrease/increase in public spending, industrial development changes, agricultural market prices, including migration of workers, etc. An example is apparent in the changes in agricultural production of organic camellia oil in the Xinyang Municipality, from 2009 when 30,000 kg/year were produced to 5 years later, in 2014 when more than 5 million kilograms were produced[1]. The >100-fold upsurge was reportedly due to the increase in popularity and resultant increase in the market price for this oil. The response to market conditions demonstrates how quickly farmers respond to price signals, probably a much stronger motivating force than incentives offered for implementing

[1] Organic Camellia oil data obtained from Project Tracking Tool, 2014

conservation-conducive agricultural production. And, this example reveals how measures aimed at protecting an ecological service function, in this case organic tea production has lower impact on watershed resources, does not mean that biodiversity conservation is enhanced. For instance, the huge increase in tea production requires more plantation coverage, which possibly could alter habitats or ecological functions of critical species.

Consolidation of lessons learned requires a common understanding of what is expected and also should be integrated with the project monitoring & evaluation activities

This project design had a strong emphasis on dissemination of lessons learned, with the intention of influencing KEFZ management across China. But at the end, lessons learned have only generally been presented by the project team and their partner for Outcome 4, FECO. It seems that one reason why there has been no detailed distillation of lessons learned is because expectations were not clearly communicated. For example, the type and frequency of data required to be collected to support consolidation of lessons learned does not seem to have been defined, either in the M&E plan or elsewhere.

5. ANNEXES

Annex 1: Evaluation Mission Itinerary (4-13 June 2014) and List of Persons Interviewed

1. Opening Meeting: Briefing for Terminal Evaluation of UNDP-GEF Conservation and Sustainable Use of Biodiversity in Headwaters of Huaihe River Basin (HHRB) Project
Venue: Meeting room of Xinyang Municipal Government
Time: 3:00 p.m., June 4, 2014

No.	Name	Organization	Title
1	Yang Hua	Xinyang Municipal Bureau of Science and Technology	Vice Director
2	Chen Yi	Xin County Bureau of Environmental Protection	Vice Director
3	Yang Hai	Liankang Shan Nature Reserve Administration Bureau	Vice Director
4	Kang Shiyu	Luoshan County Bureau of Environmental Protection	Director
5	Huang Guangling	Luoshan County Bureau of Environmental Protection	Vice Director
6	Geng Jijia	Guangshan County Bureau of Environmental Protection	Director
7	Chen Cirong	Guangshan County Bureau of Environmental Protection	Vice Director
8	Yu Hongyong	Shihe Environmental Protection Sub-Bureau	Vice Director
9	Zhang Kaichuang	Xinyang Municipal Bureau of Commerce	Staff
10	Yu Meihai	Xinyang Municipal Poverty Alleviation Office	Consultant-Director
11	Peng Yijiu	Xinyang Municipal Poverty Alleviation Office	Senior Agronomist
12	Zhou Shoujing	Xinyang Municipal Bureau of Water Resources	Consultant-Director
13	He Yuanqian	Xinyang Municipal Bureau of Education	Vice Director
14	He Zhong	Xinyang Municipal Commission of Development and Reform	Staff
15	Yao Zhijian	Xinyang Municipal Bureau of Land Resources	Vice Director
16	Zhu Jiagui	Dongzhai Nature Reserve Administration Bureau	Vice Director
17	Ha Denglong	Xinyang Municipal Bureau of Forestry	Vice-senior
18	Zhou Lin	Xinyang Municipal Bureau of Finance	Vice Section Chief
19	Jin Shanglin	Xinyang Municipal Bureau of Tourism	Vice Director
20	Lu Chunlin	Shangcheng County Bureau of Environmental Protection	Director
21	Liu Wei	Shangcheng County Bureau of Environmental Protection	Vice Director
22	Zhou Jianhuai	Xinyang Municipal Bureau of Radio and TV Broadcasting	Vice Director
23	Xue Dayuan	Minzu University of China	Professor
24	Zeng Bing	Xinyang Municipal Governmental Office	Vice Secretary General
25	Zhou Hui	Xinyang Municipal PMO	Translator
26	James Lenoci	UNDP	Evaluator
27	Li He	China Agricultural University	Associate Professor
28	Huang Chunya	Xinyang Municipal Women Federation	Vice Section Chief
29	Wei Haijun	Xinyang Daily	Staff
30	Yang Hongxian	Xinyang Municipal Bureau of Agriculture	Vice Section Chief
31	Chang Jin	Xinyang TV station	Staff
32	Peng Bo	Xinyang Municipal PMO	Manager
33	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
34	Liang Jihai	Environmental Protection Bureau of Xinyang Municipality	Director

2. Conference/Meeting title: Meeting with vice mayor Mr. Zhang Mingchun
Venue: Meeting room of Xinyang Municipality
Time: 5:30 p.m., June 4, 2014

No.	Name	Organization	Title

1	Zhang Mingchun	Xinyang Municipal Governmental Office	Vice Mayor
2	Xue Dayuan	Minzu University of China	Professor
3	James Lenoci	UNDP	Evaluator
4	Li He	China Agricultural University	Associate Professor
5	Zhou Hui	Xinyang Municipal PMO	Translator

3. **Conference/Meeting title: Meeting with Government Officers of Xinyang Municipality**
Venue: Meeting room in Xinyang Municipal Environmental Protection Bureau
Time: 8:30 a.m., June 5, 2014

No.	Name	Organization	Title
1	Xiong Linchun	Xinyang Municipal Forestry Bureau	Section Chief
2	Chen Dawei	Xinyang Municipal Bureau of Land Resources	Section Chief
3	Zhan Yinong	Xinyang Municipal Bureau of Finance	Section Chief
4	Yu Meihai	Xinyang Municipal Poverty Alleviation Office	Vice Director
5	Yang Hongxian	Xinyang Municipal Bureau of Agriculture	Vice Chief of Energy Station
6	James Lenoci	UNDP	Evaluator
7	Zhou Hui	Xinyang Municipal PMO	Translator
8	Xue Dayuan	Minzu University of China	Professor

4. Conference/Meeting title: Meeting with cooperate partners and subcontractors
Venue: Meeting room of Xinyang Municipal Bureau of Environmental Protection
Time: 3:00 p.m., June 5, 2014

No.	Name	Organization	Title
1	Xu Hai	Xinyang Wildlife Conservation Association	Vice Section Chief
2	Peng Yijiu	Poverty alleviation association of Xinyang	Vice Secretary General
3	Zhang Kai	Rural energy and environmental protection station of Xinyang	Senior agronomist
4	Zhang Xueming	Forestry Science Research Institute of Xinyang	Senior-Engineer
5	Jiang Jiabing	Xinyang Jincheng Technology Co., Ltd.	Project Manager
6	Liu Guofa	Forestry Science Research Institute of Xinyang	Engineer
7	Duan Chuanhong	Forestry Science Research Institute of Xinyang	Senior-Engineer
8	Li Heng	Environment Science Research Institute of Xinyang	Senior-Engineer
9	Han Guoxin	Environmental Monitoring Station of Xinyang	Senior-Engineer
10	Zhou Jiliang	Environmental Monitoring Station of Xinyang	Senior-Engineer
11	Xi Bo	Dongzhai Nature Reserve Administration Bureau	Director of the Research Institute
12	Xue Dayuan	Minzu University of China	Professor
13	James Lenoci	UNDP	Evaluator
14	Li He	China Agricultural University	Associate Professor
15	Zhou Hui	Xinyang Municipal PMO	Translator

5. **Meeting with the responsible persons and villagers of ecological tea garden of Lingdingfeng pilot site**
Venue: Ecological tea garden of Lingdingfeng pilot site
Time: 9:30 a.m., June 6, 2014

No.	Name	Organization	Title
1	Zheng Yun	Lingshan Township Government	Committee Member in Charge of Organizational Work
2	Lu Mingshui	Dongqiao village	Secretary of Village Party Branch
3	Shi Jiaoqin		Villager
4	Huang Guangling	Luoshan County Environmental Protection Bureau	Vice Director

5	Yue Li	Luoshan County Environmental Protection Bureau	Section Chief
6	Li Mingshui	Lingdingfeng Ecological Tea cooperative	Chairman of the board of directors
7	Kang Shiyu	Luoshan County Environmental Protection Bureau	Director
8	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
9	Xue Dayuan	Minzu University of China	Professor
10	Peng Bo	PMO	Manager
11	James Lenoci	UNDP	Evaluator
12	Li He	China Agricultural University	Associate Professor
13	Zhou Hui	Xinyang Municipal PMO	Translator

6. Conference/Meeting title: Meeting at Ecotourism Pilot of Linshang Community
Venue: Village Office
Time: 11:30 a.m., June 6, 2014

No.	Name	Organization	Title
1	Pan Zailei	Luoshan County Tourism Bureau	Vice Director
2	Dong Xu	Lingshan Scenic Spot	Narrator
3	Hu Zhenghui	Luoshan County Tourism Bureau	Section Chief of Market Development
4	Hu Kaixuan	Lingshan Community	Party Secretary of the Community Branch
5	Hu Jiacai	Lingshan Community	Director
6	Peng Xiaolin	Lingshan Community	Villager
7	Peng Tao	Luoshan County Tourism Bureau	Section Chief of Landscape Planning
8	Qi Huaijun	Lingshan village	Villager
9	Xiong Fayuan	Lingshan village	Villager
10	Yue Li	Luoshan County Environmental Protection Bureau	Section Chief
11	Kang Shiyu	Luoshan County Environmental Protection Bureau	Director
12	Huang Guangling	Luoshan County Environmental Protection Bureau	Vice Director
13	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
14	Xue Dayuan	Minzu University of China	Professor
15	Peng Bo	PMO	Manager
16	James Lenoci	UNDP	Evaluator
17	Li He	China Agricultural University	Associate Professor
18	Zhou Hui	Xinyang Municipal PMO	Translator

7. **Conference/Meeting title: Meeting with Luoshan County PMO**
Venue: Meeting Room of Xindu Hotel, Luoshan County
Time: 15:00 p.m., June 6, 2014

No.	Name	Organization	Title
1	Ding Chengjie	Agriculture Comprehensive Development Leading Group Office of Luoshan County	Vice Director
2	Song Kaichun	Luoshan County Bureau of Water Resources	Engineer
3	Li Shusheng	Agriculture Bureau of Luoshan County	Chief Agronomist
4	Liu Xinmin	Luoshan County Bureau of Finance	Vice Director
5	Wang Yuankun	Forestry Bureau of Luoshan County	Chief Engineer
6	Huang Yuanrong	Luoshan County Commission of Development and Reform	——
7	Chen Hui	Luoshan County Bureau of Land Resources	Vice Director
8	Yue Li	Luoshan County Environmental Protection Bureau	Section Chief
9	Kang Shiyu	Luoshan County Environmental Protection Bureau	Director

10	Huang Guangling	Luoshan County Environmental Protection Bureau	Vice Director
11	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
12	Xue Dayuan	Minzu University of China	Professor
13	James Lenoci	UNDP	Evaluator
14	Li He	China Agricultural University	Associate Professor
15	Peng Bo	Xinyang Municipal PMO	Manager
16	Zhou Hui	Xinyang Municipal PMO	Translator

8. Conference/Meeting title: Meeting with Social Workers Association of Luoshan County
Venue: Meeting Room of Xindu Hotel
Time: 17:00 p.m., June 6, 2014

No.	Name	Organization	Title
1	Li Yong	Social Workers Association	Member of the Association
2	Cao Lina	Social Workers Association	Member of the Association
3	Lu Yuanrong	Social Workers Association	Member of the Association
4	Li Wei	Social Workers Association	Member of the Association
5	Cai Yuehua	Social Workers Association	Member of the Association
6	Gu Yufei	Social Workers Association	Member of the Association
7	Ma Fuhua	Social Workers Association	Member of the Association
8	Huang Qinghuan	Social Workers Association	Member of the Association
9	Yue Li	Luoshan County Environmental Protection Bureau	Section Chief
10	Kang Shiyu	Luoshan County Environmental Protection Bureau	Director
11	Huang Guangling	Luoshan County Environmental Protection Bureau	Vice Director
12	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
13	Xue Dayuan	Minzu University of China	Professor
14	James Lenoci	UNDP	Evaluator
15	Li He	China Agricultural University	Associate Professor
16	Peng Bo	Xinyang Municipal PMO	Manager
17	Zhou Hui	Xinyang Municipal PMO	Translator

9. Conference/Meeting title: Meeting at pilot site in Xiaozhai village ,Shangcheng County
Venue: Xiaozhai Village, Shangcheng County
Time: 10:30 a.m., June 7, 2014

No.	Name	Organization	Title
1	Yang Shiyi	Minfeng Cooperative	Vice Proprieter
2	Xiao Shilin	Minfeng Cooperative	Member of the Council
3	Xiao Shiguo	Xiaozhai Village Committee	Party Secretary of Xiaozhai Village Branch
4	Qiu Changyin	Yangang Township Government	Vice Chief of Township Government
5	Li Jian	Xiaozhai Village Committee	Director
6	Cai Ruimin	Xiaozhai Village Committee	Member of Family Planning Management Office
7	Ao Mingli	Shangcheng County Bureau of Environmental Protection	Chairman of Labor Union
8	Hu Chunhua	Shangcheng County Bureau of Environmental Protection	Staff
9	Liu Xuebin	Shangcheng County PMO	Staff
10	Peng Bo	Xinyang Municipal PMO	Manager
11	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director

12	Xue Dayuan	Minzu University of China	Professor
13	James Lenoci	UNDP	Evaluator
14	Li He	China Agricultural University	Associate Professor
15	Zhou Hui	Xinyang Municipal PMO	Translator
16	Lu Chunlin	Shangcheng County Bureau of Environmental Protection	Director

10. Conference/ Meeting title: Meeting with Shangcheng County PMO
Venue: Shangcheng County Environmental Protection Bureau
Time: 15.00, June 7, 2014

No.	Name	Organization	Title
1	Liu Yang	Shangcheng County Centre of Radio and TV Broadcasting	Journalist
2	Li Changfeng	Shangcheng County Bureau of Land Resources	Vice Director
3	Xu Yasheng	Huangbaishan Forestry Station	Head of Forestry Station
4	Hu Chunhua	Shangcheng County Bureau of Environmental Protection	Staff
5	Zhang Shiqin	Shangcheng County Agriculture Bureau	Director of Work Committee for offices
6	Zhu Bangyou	Shangcheng County Agriculture Bureau	Chief of Energy Station
7	Ao Mingli	Shangcheng County Bureau of Environmental Protection	Chairman of Labor Union
8	Gong Siren	Shangcheng County Forestry Bureau	Vice Director
9	Pan Jun	Shangcheng County Commission of Development and Reform	Vice Director
10	Xiao Wei	Shangcheng County Bureau of Land Resources	Vice Director
11	Cheng Jinsheng	Shangcheng County Poverty Alleviation Office	Group Leader of Discipline Inspection
12	Liu Xuebin	Shangcheng County PMO	Staff
13	Xue Dayuan	Minzu University of China	Professor
14	James Lenoci	UNDP	Evaluator
15	Li He	China Agricultural University	Associate Professor
16	Peng Bo	Xinyang Municipal PMO	Manager
17	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
18	Zhou Hui	Xinyang Municipal PMO	Translator
19	Lu Chunlin	Shangcheng County Bureau of Environmental Protection	Director

11. Conference/Meeting title: Meeting with TCM pilot site of Huangtuling village
Venue: Tianpu Township Government
Time: 10:30 a.m., June 8, 2014

No.	Name	Organization	Title
1	He Zaisheng	Gonglou Group,Huangtuling Village	Villager
2	Jiang Yueming	Gonglou Group,Huangtuling Village	Villager
3	Zhu Guanghan	Gonglou Group,Huangtuling Village	Villager
4	Wu Fuyou	Gonglou Group,Huangtuling Village	Villager
5	Han Wenqing	Tianpu Community Residents' Committee	Villager
6	Jiang Yanhong	Tianpu Community Residents' Committee	Party Secretary of Tianpu Community Branch
7	Han Guangfeng	Tianpu Community Residents' Committee	Villager
8	Chen Xiaoze	Tianpu Township Government	Township Chief
9	Hu Liansheng	Tianpu Township Government	Deputy Township Chief
10	Xiong Baoquan	Xin County Bureau of Environmental Protection	Director
11	Peng Bo	Xinyang Municipal PMO	Manager

12	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
13	Xu Zaizhi	Tianpu Township Government	Director
14	Wang Enqing	Xin County Government	Deputy County Governor
15	Yin Renwang	Tianpu Township Government Office	Secretary
16	Chen Yi	Xin County Bureau of Environmental Protection	Engineer
17	Chen Jianzhong	TV station of Xin County	Journalist
18	James Lenoci	UNDP	Evaluator
19	Li He	China Agricultural University	Associate Professor
20	Zhou Hui	Xinyang Municipal PMO	Translator

12. Conference/ Meeting title: Meeting with Xin County PMO
Venue: Xin County EPB
Time: 16:00 p.m., June 8, 2014

No.	Name	Organization	Title
1	Wang Guangjin	Science and Technology Bureau of Xin County	Staff
2	Zhang Xiangwei	Women's Federation of Xin County	Vice-chairman
3	Wang Jun	Xin County Bureau of Commerce	Deputy Party Secretary
4	Wang Huaihe	Land and Resources Bureau of Xin County	Deputy Director
5	Huang Chenggao	Land and Resources Bureau of Xin County	Staff of the Office
6	Huang Gang	Agricultural Bureau of Xin County	Vice Director
7	Li Gang	Education and Sports Bureau of Xin County	Deputy Party Secretary
8	Li Hongbao	Forestry Bureau of Xin County	Deputy Party Secretary
9	Yu Qing	Food and Drug Administration of Xin County	Deputy Director
10	Long Dougui	Finance Bureau of Xin County	Deputy Director
11	Zheng Lequan	Agriculture Comprehensive Development Leading Group Office/Poverty Alleviation Office of Xin County	Vice Director
12	Wang Junchang	Water Resources Bureau of Xin County	Section chief
13	Huang Dingzong	Development and Reform Commission of Xin County	Vice Director
14	Song Ziguang	Industry and Information Technology Bureau of Xin County	Deputy Director
15	Zhang Zhongpeng	Tourism Bureau of Xin County	Group Leader of Discipline Inspection
16	Peng Bo	Xinyang Municipal PMO	Manager
17	Li Hui	Zhouhe Township Government	Deputy Township Chief
18	Hu Liansheng	Tianpu Township Government	Deputy Township Chief
19	Wang Enqing	Xin County Government	Deputy County Governor
20	Xiong Baoquan	Xin County Environmental Protection Bureau	Director
21	Chen Yi	Xin County Environmental Protection Bureau	Engineer
22	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
23	Li He	China Agricultural University	Associate Professor
24	James Lenoci	UNDP	Evaluator
25	Chen Jianzhong	TV station of Xin County	Journalist
26	Zhou Hui	Xinyang Municipal PMO	Translator

13. Conference/Meeting title: Meeting with tea garden pilot site responsible persons and villagers.
Venue: Dashan Village Office of Liangting Township
Time: 10:00 a.m., June 9, 2014

No.	Name	Organization	Title
1	Yang Guangping	Guangshan County Government	Vice County Governor
2	Wang Fengpu	Liangting Township Party Committee	Party Secretary
3	Ge Jijia	Guangshan County Environmental Protection Bureau	Director
4	Chen Xin	Liangting Township Government	Township Chief
5	Hu Daoxin	Dashan Village	Villager
6	Li Baocai	Dashan Village	Villager
7	Jiang Guangyong	Dongfang Shengshi Tea Co., Ltd.	Manager
8	Chen Yongxiang	Dashan Village	Party Secretary of Village Branch
9	Chen Yongliang	Dashan Village	Villager
10	Zhou Chusheng	Dashan Village	Villager
11	Chen Cirong	Guangshan County Environmental Protection Bureau	Deputy Director
12	Wang Chao	Guangshan County Environmental Protection Bureau	Vice Section Chief
13	Li Bangxue	Man Xianghong Cooperative	Proprieter
14	Peng Bo	Xinyang Municipal PMO	Manager
15	Shao Bing	Environmental Protection Bureau of Xinyang	Vice Director

		Municipality	
16	James Lenoci	UNDP	Evaluator
17	Li He	China Agricultural University	Associate Professor
18	Zhou Hui	Xinyang Municipal PMO	Translator

14. Conference/Meeting title: Meeting with Guangshan County PMO
Venue: Dikun Hotel, Guangshan County
Time: 11:00a.m., June 9, 2014

No.	Name	Organization	Title
1	Yang Guangping	Guangshan County Government	Vice County Governor
2	Li Jianhua	Guanshan County Office of Legislative Affairs	Director
3	Yu Chengwei	Guangshan County Bureau of Agriculture	Section Chief
4	Wen Zhenhua	Guangshan County Bureau of Land Resources	Deputy Director
5	Li Guangming	Guangshan County Bureau of Water Resources	Engineer
6	Hu Taiyou	Guangshan County Bureau of Heritage and Tourism	Deputy Director
7	Yu Hongyong	Guangshan County Bureau of Commerce	Deputy Director
8	Zhao Dongsheng	Guangshan County Commission of Development and Reform	Office Director
9	Yang Xianren	Poverty Alleviation Office of Guangshan County	Vice Director
10	Chen Cirong	Guangshan County Bureau of Environmental Protection	Deputy Director
11	Geng Jijia	Guangshan County Bureau of Environmental Protection	Director
12	Deng Congyi	Guangshan County Bureau of Finance	Assistant Manager
13	Zheng Banghai	Guangshan County Bureau of Science and Technology	Deputy Director
14	Tan Jing	Guangshan County Women's Federation	Vice-chairman
15	Liu Xuefu	Guangshan County Bureau of Forestry	Director of Business Office
16	Ma Qinwen	Education and Sports Bureau of Guangshan County	Deputy Director
17	Peng Bo	Xinyang Municipal PMO	Manager
18	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
19	James Lenoci	UNDP	Evaluator
20	Li He	China Agricultural University	Associate Professor
21	Zhou Hui	Xinyang Municipal PMO	Translator

15. Conference/Meeting title: Meeting with responsible persons of Qingshuitang forest farm
Venue: Qingshuitang forest farm, Dongjiahe
Time: 15:30 p.m., June 9th, 2014

No.	Name	Organization	Title
1	Shi Qilun	Shihe District Government	District-level Cadre
2	Lu Bin	Shihe Environmental Protection Sub-Bureau	Director
3	Yu Hongyong	Shihe Environmental Protection Sub-Bureau	Vice Director
4	Zhang Jie	Dongjiahe Forest Zone	Director
5	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
6	Kong Liping	Shihe Environmental Protection Sub-Bureau	Engineer
7	Zhang Shiyi	Nanwan Forest Farm	Director
8	Peng Bo	Xinyang Municipal PMO	Manager
9	James Lenoci	UNDP	Evaluator
10	Li He	China Agricultural University	Associate Professor
11	Zhou Hui	Xinyang Municipal PMO	Translator

16. Conference/Meeting title: Meeting with persons in charge of Wenxin tea garden
Venue: Wenxin ecological tea garden pilot site in Longtan Village
Time: 17:30 p.m., June 9, 2014

No.	Name	Organization	Title
1	Huang Yuanwu	Wenxin Tea Company	Deputy General Manager
2	Yong Houyang	Wenxin Tea Company	Manager
3	Zhang Jin	Wenxin Tea Company	Staff
4	Li Qiang	Wenxin Tea Company	Staff
5	Shi Qilun	Shihe District Government	District-level Cadre
6	Lu Bin	Shihe Environmental Protection Sub-Bureau	Director
7	Peng Bo	Xinyang Municipal PMO	Manager
8	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
9	Yu Hongyong	Shihe Environmental Protection Sub-Bureau	Deputy Director
10	James Lenoci	UNDP	Evaluator
11	Li He	China Agricultural University	Associate Professor
12	Zhou Hui	Xinyang Municipal PMO	Translator

17. Conference/Meeting title: Meeting with responsible persons of animal husbandry pilot site
Venue: Hemuyuan Animal Husbandry Farm
Time: 9:30a.m., June 10, 2014

No.	Name	Organization	Title
1	Shi Qilun	Shihe District Government	District-level Cadre

2	Guan Hongqin	Pipashan Science and Technology Association	Chairman
3	Xiong Guangping	Hemuyuan Company	Manager
4	Lu Bin	Environmental Protection Branch Bureau of Shihe District	Director
5	Yu Hongyong	Shihe Environmental Protection Sub-Bureau	Deputy Director
6	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
7	Peng Bo	Xinyang Municipal PMO	Manager
8	Kong Liping	Environmental Protection Branch Bureau of Shihe District	Engineer
9	James Lenoci	UNDP	Evaluator
10	Li He	China Agricultural University	Associate Professor
11	Zhou Hui	Xinyang Municipal PMO	Translator

18. Conference/Meeting title: Meeting with Shihe District PMO
Venue: Shihe District Government
Time: 15:00 p.m., June 10, 2014

No.	Name	Organization	Title
1	Shen Xin	Forestry Bureau of Shihe District	Vice Section Chief
2	Chen Lei	Finance Bureau of Shihe District	Chief Accountant
3	Gao Kaichang	Land Resources Bureau of Shihe District	Section member
4	Ma Weidong	Agriculture Comprehensive Development Leading Group Office	Vice Director
5	Si Wei	Agriculture Bureau of Shihe District	Deputy Director
6	Li Quanming	Animal Husbandry Bureau of Shihe District	Deputy Director
7	Lu Bin	Shihe Environmental Protection Sub-Bureau	Director
8	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
9	Peng Bo	Xinyang Municipal PMO	Manager
10	Kong Liping	Shihe Environmental Protection Sub-Bureau	Engineer
11	Shi Qilun	Shihe District Government	District-level Cadre
12	Yu Hongyong	Shihe Environmental Protection Sub-Bureau	Deputy Director
13	James Lenoci	UNDP	Evaluator
14	Li He	China Agricultural University	Associate Professor
15	Zhou Hui	Xinyang Municipal PMO	Translator

19. **Conference/Meeting title: Debriefing in Xinyang**
Venue: Meeting room of municipal government
Time: 15:30 p.m., June 12, 2014

No.	Name	Organization	Title
1	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
2	Zheng Tao	Development and Reform Commission of Xinyang Municipality	Staff
3	Yang Hongxian	Xinyang Municipal Bureau of Agriculture	Staff
4	Zeng Bing	Xinyang Municipal Government	Deputy Secretary General
5	Zhang Mingchun	Xinyang Municipal Government	Vice-mayor
6	Liang Ji Hai	Environmental Protection Bureau of Xinyang Municipality	Director
7	Zhan Yinong	Xinyang Municipal Bureau of Finance	Section Chief
8	Zhai Fang	Land Resources Bureau of Xinyang Municipality	Planning Section Staff
9	Xu Hai	Forestry Bureau of Xinyang Municipality	Section member
10	Peng Yijiu	Xinyang Municipal Poverty Alleviation Office	Senior Agronomist
11	He Yuanqian	Xinyang Municipal Education Bureau	Deputy Director
12	Huang Chunya	Xinyang Municipal Women's Federation	Vice Section Chief
13	James Lenoci	UNDP	Evaluator
14	Li He	China Agricultural University	Associate Professor
15	Zhou Hui	Xinyang Municipal PMO	Translator
16	Ha Denglong	Jigongshan Nature Reserve	Vice senior
17	Yang Hai	Liankangshan Administration Bureau	Deputy Director
18	Xiong Baoquan	Xin County Bureau of Environmental Protection	Director
19	Chen Yi	Xin County Bureau of Environmental Protection	Vice Director
20	Lu Bin	Shihe Environmental Protection Sub-Bureau	Director
21	Yu Hongyong	Shihe Environmental Protection Sub-Bureau	Vice Director
22	Huang Guangling	Luoshan County Bureau of Environmental Protection	Vice Director
23	Geng Jijia	Guangshan County Bureau of Environmental Protection	Director
24	Chen Cirong	Guangshan County Bureau of Environmental Protection	Vice Director
25	Lu Chunlin	Shangcheng County Bureau of Environmental Protection	Director
26	Ao Mingli	Shangcheng County Bureau of Environmental Protection	Chairman of Labor Union
27	Zhu Jiagui	Dongzhai Nature Reserve Administration Bureau	Vice Director
28	Chang Jin	Xinyang TV Station	Staff
29	Shi Qingping	Xinyang TV Station	Journalist
30	Han Lei	Xinyang Evening Newspaper	Journalist
31	Sun Xiaoran	Xinyang Daily	Journalist
32	Yang Hua	Xinyang Municipal Bureau of Science and Technology	Deputy Director

33	Zhang Kaichuang	Xinyang Municipal Bureau of Commerce	Staff
34	Liang Guangxue	Xinyang Municipal Bureau of Water Resources	Staff
35	Li Weisheng	Xinyang Municipal Bureau of Radio and TV Broadcasting	Staff
36	Peng Bo	Xinyang Municipal PMO	Manager
37	Yang Kai	Xinyang Municipal PMO	Information Officer
38	James Lenoci	UNDP	Evaluator
39	Li He	China Agricultural University	Associate Professor
40	Zhou Hui	Xinyang Municipal PMO	Translator

20. **Conference/Meeting title: Meeting with FECO**
Venue: Meeting room of FECO, Beijing
Time: 14:00 p.m., June 13, 2014

No.	Name	Organization	Title
1	Li Shiye	FECO	Project Officer
2	Sun Changmu	FECO	Project Manager
3	Liu Haiou	FECO	Project Officer
4	Liang Jihai	Environmental Protection Bureau of Xinyang Municipality	Director
5	Shao Bing	Environmental Protection Bureau of Xinyang Municipality	Vice Director
6	Xue Dayuan	Minzu University of China	Professor
7	James Lenoci	UNDP	Evaluator
8	Li He	China Agricultural University	Associate Professor
9	Peng Bo	Xinyang Municipal PMO	Manager
10	Zhou Hui	Xinyang Municipal PMO	Translator

21. **Conference/Meeting title: Debriefing in UNDP**
Venue: Meeting room of UNDP, Beijing
Time: 16:30 p.m., June 13, 2014

No.	Name	Organization	Title
1	Carsten Germer	UNDP	Assistant County Director
2	Ma Chaode	UNDP	Project Manager
3	James Lenoci	UNDP	Evaluator
4	Li He	China Agricultural University	Associate Professor

Annex 2: Summary of Field Visits

6 June 2014: Visit to the ecological tea garden of Lingdingfeng pilot site.

The tea plantation/company has 20 management staff and 200 laborers, picking tea and running the small tea production factory.

The tea plantation covers 200 ha, and the project helped support a demonstration on 15 ha. The demonstration includes deploying a number of solar pest control units, thus reducing agro-chemical usage.

The company has a provisional organic tea certificate from the Ministry of Agriculture. The wholesale price for organic tea is 30% more than conventional tea.

The company is very satisfied with the solar pest control units, particularly since the supplier provided very good warranties.

6 June 2014: Visit to eco-tourism Pilot of Linshang Community

The ecotourism center is located on the premises of a large temple, so many of the visitors are coming for cultural reasons. According to the director, visitor numbers are increasing by 10% year-on-year, mainly because household incomes are steadily increasing. The center receives about 400,000 visitors per year, and up to 50% reportedly are eco-tourists. The main draw is bird watching for them. The entrance fee is CNY 65, and on top of ticket revenue, the center receives CNY 300,000 in support from the County.

The informative video on the HHRB is being shown on a continuous loop on a television monitor in the lobby of the center.

In the village, a total of 526 households signed co-management agreements. According to the village manager, residents are realizing the benefits of the agreement, as service industry, e.g., hotels and restaurants, are growing as visitor numbers increase.

7 June 2014: Visit to pilot site in Xiaozhai village, Shangcheng County

This is a large pilot site for organic rice and green manure crop production. In total there are 35 ha of organic rice under cultivation. The pilot was set up in 2010 at the County level, and the HHRB has added value since 2012. The County has implemented an incentive mechanism, offering CNY 80/mu of organic rice production. The Township is also providing separate incentives. Also, solar pest control units and sticky board pest control units are also applied here.

The County Agriculture Department, through their extension service provides free seeds for green manure crop production.

The HHRB project has supported with various trainings, including on alternatives to chemical fertilizers.

There are 300 households somehow connected with the operations here, representing about 1000 people. Approximately 70% of the farmers have participated in the trainings, and some also were involved in farmer-exchange visits to other townships.

Regarding agriculture tax, such taxes were abolished in 2006.

The wholesale price for organic rice is 20% more than conventional rice, and according to the cooperative director, this has resulted in about a 90% increase in household income.

8 June 2014: Visit to TCM pilot site of Huangtuling village

In 2010, the operation here formed a professional cooperative, for production of traditional Chinese medicine (TCM) herbs. The HHRB project provided some financing to support procurement of some simple machinery, to allow the farm to start back up, after several years of being idle, due to low demand.

Although the demand dropped off in recent years, the potential is there. TCM herbs can yield about CNY 6,000 to 10,000/mu, compared to approx. CNY 500/mu for rice.

There are about 20 people working at the farm. The project also provided trainings; a total of 900 people have attended workshops. Capacity building outreach extended to 7 villages.

Compensation from the local government for operation of a non-profit forest is CNY 15/mu annually. As a County delineated as a KEFZ, the Chinese central government provides approx. CNY 70 million per year in the form of payment for ecosystem services.

The project also promoted inter-cropping of medicinal herbs.

9 June 2014: Visit to tea plantation in Longtan Village

This demonstration site started operation in May 2013.

The following 8 topics were discussed:

1. Publicity

The project supported workshops and seminars, and distributed learning materials and brochures.

2. Construction jobs

The demonstration was made on a 100 mu plot, and consisted of agro-forestry inter-cropping.

3. Promotion for organic tea

They are promoting their own brand of organic tea.

4. Support system

CNY 550,000 of co-financing from local government. Also, there was investment in solar pest control units and a 5 km long system of high-efficiency irrigation.

5. Micro-financing

The CNY 550,000 of financing was delivered through a micro-financing mechanism.

6. Incentive systems

The local government organized a competition among local farmers, to incentivize them to pursue sustainable agricultural practices.

7. Economic value

The estimated economic added-value for the village is estimated to be CNY 7 million, with about CNY 2000/year in extra income per household, in the approximate 3000 household village.

8. Social and ecological benefits

Biodiversity conservation awareness has increased, as well as knowledge and skills among local farmers. Local tea and other crop varieties are being protected.

9 June 2014: Visit to Wenxin tea garden

The private company Wenxin Ltd. has co-financed and implemented a demonstration pilot, including solar pest control units and high-efficiency irrigation. The HHRB project provided USD 29,000 the money was mostly used for trainings and workshops. The company provided CNY 120,000 and other funders contributed CNY 44,000.

The pilot covers an area of 200 mu. The demonstration started near the end of 2013. The company had green certification beforehand, and plans to apply for the higher certification category, "organic".

The company purchases tea from several individual farmers and three different cooperatives, which support approx. 300 households. Overall, approximately 20% is under organic production.

The owner of the company also is running some eco-tourism activities, including a bus tour of the organic tea plantations. There is also a tea house on the ground floor of the recently constructed administration building.

9 June 2014: Meeting Hemuyuan Animal Husbandry Farm

The pig farm was established in 2006 as an eco-farm, e.g., using traditional Chinese medicine on the animals instead of pharmaceuticals. Feed is also sourced from local suppliers, and does not contain any additives.

For conventional pigs, the wholesale price is approx. CNY 7 per kg, while the company can sell organically raised pigs for approx. CNY 8.5 per kg.

The company handles approx. 15,000 pigs per year; a rather large operation.

Animal waste collected at the site is treated using anaerobic digestion, and the methane gas produced is partly used at the site and also distributed to local farmers for cooking gas.

The company decided to construct an organic fertilizer plant, so that the solids residue from the anaerobic digestion could be economically utilized.

The fertilizer plant was completed this year, in 2014, with a total investment of CNY 13 million. Financing is broken down as follows:

Company (private sector): CNY 9 million

Central Government: CNY 4 million

The HHRB project provided a CNY 40,000 grant, which was used for trainings and capacity building.

The company is selling 100% of the fertilizer produced; even it is difficult to keep up with demand. The company manager estimates that payback on the investment will be realized in 2 years.

They sell the dried fertilizer for CNY 300 for 5-6 tons in bulk, and for CNY 150/ton packaged.

The company owner has also constructed an eco-tourism center adjacent to the site and consists of a 500-mu lotus eco-garden, restaurant (under construction), and a hotel (also, under construction). The owner informed the TE team that he has taken a bank loan for CNY 20 million to construct the eco-tourism center, and he is sure he will be able to recover his investment in a short period of time.

Annex 3: List of Information Reviewed

- ✓ GEF Project Information Form (PIF)
- ✓ Project Document
- ✓ Revised Log Frame Analysis (LFA)
- ✓ Project Implementation Plan
- ✓ List and contact details for project staff, key project stakeholders, including Project Boards, and other partners to be consulted
- ✓ Mid-term review (MTR) and other relevant evaluations and assessments
- ✓ Annual Project Implementation Reports (PIR), APR, QPR
- ✓ Project budget, broken out by outcomes and outputs
- ✓ Project GEF Tracking Tools, 2012 and 2014
- ✓ Financial Data, including combined delivery reports for each year of implementation
- ✓ Financial audit reports
- ✓ Co-Financing summaries, prepared by PMO
- ✓ Summary of Demonstration Activities
- ✓ Meeting minutes of Project Steering Committee Meetings
- ✓ Guidelines for Revision of Biodiversity-Friendly Land Use Master Plan
- ✓ Xinyang Municipality Biodiversity-Friendly Land Use Master Plan (2010-2020), and Associated Implementation Plan
- ✓ Shangcheng County Biodiversity-Friendly Land Use Master Plan (2010-2020),
- ✓ Xin County Biodiversity-Friendly Land Use Master Plan (2010-2020), and Associated Implementation Plan
- ✓ Technical Standards for Biodiversity and Ecological Functions Monitoring in the IEFAs of HHRB
- ✓ Report of Baseline Monitoring of Biodiversity and Ecological Functions in the IEFAs of HHRB
- ✓ Report on the Study and Assessment of the Impact of Agriculture Laws, Regulations, Policies, and Incentive Mechanisms on Ecological Functions and Biodiversity
- ✓ Report on the Study and Assessment of the Impact of Forestry Laws, Regulations, Policies and Incentive Mechanisms on Ecological Functions and Biodiversity
- ✓ Agriculture Biodiversity Friendly Administration Guideline of Xinyang City: Handbook for Government Officers

- ✓ Forestry Biodiversity Friendly Administration Guideline of Xinyang City: Handbook for Government Officers
- ✓ Agriculture Biodiversity Friendly Production of Xinyang City: Handbook for Personnel in Private Sectors
- ✓ Forestry Biodiversity Friendly Production of Xinyang City: Handbook for Personnel in Private Sectors
- ✓ Report on the Baseline Study of Poverty Alleviation, Development and HHRB Biodiversity of Xinyang
- ✓ Technical Guidelines on Assessment of Financial Inputs and Implementation for Biodiversity-Friendly Poverty Alleviation
- ✓ Manual for Consultancy on Poverty Alleviation and Biodiversity Conservation of Xinyang
- ✓ Training Material of Poverty Alleviation Development & Conservation of Biodiversity in HHRB Area
- ✓ Report on Verification and Assessment of the Use of Poverty Alleviation and Development Funds in Biodiversity Conservation Projects in 2012 of Xinyang
- ✓ Collation of the Key Laws, Regulations, and Policies of IEFAs Management
- ✓ Analysis Report on the Administration of National Key Ecological Function Zones
- ✓ Training Material for Conservation in and Development of IEFAs in HHRB
- ✓ Summary Report on the Experience in Conservation of Ecological Functions and Biodiversity in HHRB from 2002-2010
- ✓ Administrative Policies, Objectives and Biodiversity Index System for National Key Ecological Function Zones in the Headwater of the Huaihe River Basin
- ✓ Summary Report on the Landmark Outcomes of UNDP/GEF Conservation and Sustainable Use of Biodiversity in HHRB
- ✓ Project knowledge management products, including documentary video, brochures, media reports, training materials, etc.

Annex 4: Evaluation Matrix

Evaluation Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the Project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
Is the project relevant to UNCBD and other international convention objectives?			
• How does the project support the objectives of the UNCBD? • Does the project support other international conventions or programmes, such as UNDAF?	• UNCBD priorities and areas of work incorporated in project design • The contribution of the project to UNCBD • Priorities and areas of work of UNDAF incorporated in project design • Extent to which the project is actually implemented in line with incremental cost argument	• Project documents • National policies and strategies to implement the UNCBD, other international conventions, or related to environment or development more generally • UNCBD and other international convention web sites	• Documents analyses • Interviews with project team, UNDP and other partners
Is the project relevant to the GEF biodiversity focal area?			
• How does the project support the GEF bio-diversity focal area and strategic priorities	• Existence of a clear relationship between the project objectives and GEF biodiversity focal area	• Project documents • GEF focal areas strategies and documents	• Documents analyses • GEF website • Interviews with UNDP and project team
Is the project relevant to China's environment and sustainable development objectives?			
• How does the project support the environment and sustainable development objectives of China? • Is the project country-driven? • What was the level of stakeholder participation in project design? • What was the level of stakeholder ownership in implementation? • Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	• How does the project support the environment and sustainable development objectives of China? • Is the project country-driven? • What was the level of stakeholder participation in project design? • What was the level of stakeholder ownership in implementation? • Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	• How does the project support the environment and sustainable development objectives of China? • Is the project country-driven? • What was the level of stakeholder participation in project design? • What was the level of stakeholder ownership in implementation? • Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	• How does the project support the environment and sustainable development objectives of China? • Is the project country-driven? • What was the level of stakeholder participation in project design? • What was the level of stakeholder ownership in implementation? • Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?
Is the project internally coherent in its design			
• Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources, etc.)? • Is the length of the project sufficient to achieve project outcomes?	• Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources, etc.)? • Is the length of the project sufficient to achieve project outcomes?	• Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources, etc.)? • Is the length of the project sufficient to achieve project outcomes?	• Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources, etc.)? • Is the length of the project sufficient to achieve project outcomes?
How is the project relevant with respect to other donor-supported activities?			
• Documents analyses • Interviews with project partners and relevant stakeholders	• Documents analyses • Interviews with project partners and relevant stakeholders	• Documents analyses • Interviews with project partners and relevant stakeholders	• Documents analyses • Interviews with project partners and relevant stakeholders

Evaluation Criteria Questions	Indicators	Sources	Methodology
Does the project provide relevant lessons and experiences for other similar projects in the future?			
• The main experiences and lessons of the project • Experiences and lessons provided to similar projects	• The main experiences and lessons of the project • Experiences and lessons provided to similar projects	• The main experiences and lessons of the project • Experiences and lessons provided to similar projects	• The main experiences and lessons of the project • Experiences and lessons provided to similar projects
Effectiveness: To what extent have the expected outcomes and objectives of the Project been achieved?			
Has the project been effective in achieving the expected outcomes and outputs?			
• What are the outcomes of the project? • Has the project been effective in achieving its expected outcomes? • What are the outputs of each outcome? • Has the project been effective in achieving the expected outputs?	• What are the outcomes of the project? • Has the project been effective in achieving its expected outcomes? • What are the outputs of each outcome? • Has the project been effective in achieving the expected outputs?	• What are the outcomes of the project? • Has the project been effective in achieving its expected outcomes? • What are the outputs of each outcome? • Has the project been effective in achieving the expected outputs?	• What are the outcomes of the project? • Has the project been effective in achieving its expected outcomes? • What are the outputs of each outcome? • Has the project been effective in achieving the expected outputs?
How is risk and risk mitigation being managed?			
• How well are risks, assumptions and impact drivers being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient? • Are there clear strategies for risk mitigation related with long-term sustainability of the project?	• How well are risks, assumptions and impact drivers being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient? • Are there clear strategies for risk mitigation related with long-term sustainability of the project?	• How well are risks, assumptions and impact drivers being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient? • Are there clear strategies for risk mitigation related with long-term sustainability of the project?	• How well are risks, assumptions and impact drivers being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient? • Are there clear strategies for risk mitigation related with long-term sustainability of the project?
Efficiency: Was the Project implemented efficiently, in-line with international and national norms and standards?			
Was project support provided in an efficient way?			
• Was adaptive management used or needed to ensure efficient resource use? • Did the project logical framework and work plans and any changes made to them use as management tools during implementation? • Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? • Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? • Was project implementation as cost effective as originally proposed (planned vs. actual) • Did the leveraging of funds (co-financing) happen as planned? • Were financial resources utilized efficiently? Could financial resources have been used more efficiently? • Was procurement carried out in a manner making efficient use of project resources? • How was results-based management used during project implementation?	• Was adaptive management used or needed to ensure efficient resource use? • Did the project logical framework and work plans and any changes made to them use as management tools during implementation? • Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? • Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? • Was project implementation as cost effective as originally proposed (planned vs. actual) • Did the leveraging of funds (co-financing) happen as planned? • Were financial resources utilized efficiently? Could financial resources have been used more efficiently? • Was procurement carried out in a manner making efficient use of project resources? • How was results-based management used during project	• Was adaptive management used or needed to ensure efficient resource use? • Did the project logical framework and work plans and any changes made to them use as management tools during implementation? • Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? • Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? • Was project implementation as cost effective as originally proposed (planned vs. actual) • Did the leveraging of	• Was adaptive management used or needed to ensure efficient resource use? • Did the project logical framework and work plans and any changes made to them use as management tools during implementation? • Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? • Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? • Was project implementation as cost effective as originally proposed (planned vs. actual) • Did the leveraging of

Evaluation Criteria Questions	Indicators	Sources	Methodology
	implementation?	funds (co-financing) happen as planned? • Were financial resources utilized efficiently? Could financial resources have been used more efficiently? • Was procurement carried out in a manner making efficient use of project resources? • How was results-based management used during project implementation?	funds (co-financing) happen as planned? • Were financial resources utilized efficiently? Could financial resources have been used more efficiently? • Was procurement carried out in a manner making efficient use of project resources? • How was results-based management used during project implementation?
How efficient are partnership arrangement for the project?			
• To what extent partnerships/linkages between institutions/organizations were encouraged and supported? • Which partnerships/linkages were facilitated? Which ones can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements?	• To what extent partnerships/linkages between institutions/organizations were encouraged and supported? • Which partnerships/linkages were facilitated? Which ones can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements?	• To what extent partnerships/linkages between institutions/organizations were encouraged and supported? • Which partnerships/linkages were facilitated? Which ones can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements?	• To what extent partnerships/linkages between institutions/organizations were encouraged and supported? • Which partnerships/linkages were facilitated? Which ones can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements?
Did the project efficiently utilize local capacity in implementation?			
• Was an appropriate balance struck between utilization of international expertise as well as local capacity? • Did the project take into account local capacity in design and implementation of the project? • Was there an effective collaboration between institutions responsible for implementing the project?	• Proportion of expertise utilized from international experts compared to national experts • Number/quality of analyses done to assess local capacity potential capacity	• Project documents and evaluations • UNDP Beneficiaries	• Document analysis • Interviews
What lessons can be drawn regarding efficiency for other similar projects in the future?			
• What lessons can be learnt from the project regarding efficiency? • How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc…)? • What changes could have been made (if any) to the project in order to improve its efficiency?		• Data collected throughout evaluation	• .Data analysis
Country Ownership:			
Are project outcomes contributing to national and local development plans and priorities?	Plans and policies incorporating initiatives	Government approved plans and policies	Desk review, interviews
Were the relevant country representatives from government and civil society involved in the Project?	Effective stakeholder involvement	Meeting minutes, reports	Desk review, interviews, field visits

Evaluation Criteria Questions	Indicators	Sources	Methodology
Did the recipient government maintain its financial commitment to the Project?	Committed co-financing realized	Audit reports, project accounting records, PIRs	Desk review, interviews
Has the governments approved policies or regulatory frameworks in line with the Project objective?	Plans and policies incorporating initiatives	Government approved plans and policies	Desk review, interviews
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
• Did the project make strategies for sustainability during its design and implementation? • What strategies were developed to ensure the sustainability? • Are the strategies for sustainability related with long-term conservation of wild relatives?	• Reduction level of threats and root causes to the conservation of wild relatives. • Financial arrangements to ensure the sustainability • Institutional arrangements to ensure the sustainability • Level of awareness improvement for conservation of wild relatives of local communities and farmers • Capacity of local communities and farmers for conserving wild relatives	• Data collected throughout evaluation • Interviews with local communities and farmers	Data Analysis
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
• What were the environmental stresses at the beginning of the project? • Have the environmental stresses been mitigated? At what level? • Have the ecological status of the habitats and resources of targeted species been improved? At what level?	• Threats to targeted WRCs at project beginning • Changes of the habitats of wild relatives at the project sites • Changes of around ecosystems at the project sites • Changes of the resources of target species	• Data collected throughout evaluation • Interviews with local communities and farmers	Data Analysis
Stakeholder Involvement:			
Did the Project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities, local governments, and academic institutions?	Active stakeholder involvement	Project document, Meeting minutes, reports, interview records	Desk review, interviews, field visits
Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved?	Active stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits
Did the Project seek participation from stakeholders in (1) project design, (2) implementation, and (3) monitoring & evaluation?	Record of comments and response	Plans, reports	Desk review, interviews, field visits
Catalytic Role:			
Has the Project had a catalytic or replication effect in the country and/or region?	Reference by other projects, programs	Interview records, project fact sheets	Desk review, interviews
Synergy with Other Projects/Programs			
Were synergies with other incorporated in the design and/or implementation of the project?	Reference to other projects/programs	Project document, annual work plans, meeting minutes	Desk review, interviews
Preparation and Readiness			
Was the Project objective and components clear, practicable, and feasible within its time frame?	Project efficiency, stakeholder involvement	Logical results framework, project document	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
Were the capacities of the executing institution(s) and its counterparts properly considered when the Project was designed?	Project efficiency and effectiveness	Progress reports, audit results	Desk review, interviews
Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to Project approval?	Project effectiveness	Memorandums of understanding, agreements	Desk review, interviews
Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry?	Project efficiency and effectiveness	Interview records, progress reports	Desk review, interviews, field visits
Financial Planning			
Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?	Project efficiency	Audit reports, project accounting records, level of attainment of project outcomes	Desk review, interviews
Was there due diligence in the management of funds and financial audits?	Project efficiency	Audit reports, project accounting records	Desk review, interviews, field visits
Did promised co-financing materialize?	Project efficiency	Audit reports, project accounting records, confirmation from funders	Desk review, interviews
Supervision and Backstopping			
Did GEF Agency staff identify problems in a timely fashion and accurately estimate their seriousness?	Project effectiveness and efficiency	Progress reports, MTR report	Desk review, interviews
Did GEF Agency staff provide quality support and advice to the project, approve modifications in time, and restructure the Project when needed?	Project effectiveness and efficiency	Progress reports, MTR report	Desk review, interviews
Did the GEF Agency provide the right staffing levels, continuity, skill mix, and frequency of field visits for the Project?	Project effectiveness	Progress reports, MTR report, , back-to-office reports, internal appraisals	Desk review, interviews, field visits
Delays and Project Outcomes and Sustainability			
If there were delays in project implementation and completion, what were the reasons?	Sustainability of Project outcomes	Progress reports, MTR report	Desk review, interviews
Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?	Sustainability of Project outcomes	Progress reports, level of attainment of project outcomes	Desk review, interviews
Monitoring & Evaluation			
Was there sufficient focus on results-based management?	Project effectiveness	PIRs, MTR report	Desk review, interviews
Did management adequately respond to mid-term review recommendations?	Project effectiveness	Management response, PIRs,	Desk review, interviews

Annex 5: Matrix for Rating Achievement of Project Objective and Outcomes

The level of achievement of the project objective and outcomes was evaluated by assessing the progress made toward achieving the targets on the indicators set out in the logical results framework. The color coding indicated under the rating of achievement is explained below:

HS	**Highly Satisfactorily achieved**
S	**Satisfactorily achieved**
MS	**Moderately Satisfactorily achieved**
MU	**Moderately Unsatisfactorily achieved**
U	**Unsatisfactorily achieved**
HU	**Highly Unsatisfactorily achieved**
U/A	**Unable to Assess**
N/A	**Not Applicable**

No.	Performance Indicator	Baseline	End of Project Target	Sources of verification	TE Comments	Rating
Objective: To demonstrate practical mechanisms to mainstream biodiversity in China's IEFA						
1	CBPF Result 21: Land use planning and management systems contribute effectively to conserving biodiversity	Existing land use planning and management systems take no special account of HHRB's critical ecological functions or biodiversity values, leading to substantial loss of both	Reversing trends in habitat loss associated with land use changes. Changes in land-use on the following scale are expected within priority conservation zones: at least 32,000 ha forest cover planted and/or managed according to biodiversity-friendly guidelines and/or incentive schemes; at least 32,000 ha of agricultural land managed according to biodiversity-friendly guidelines and/or incentive schemes	Five-year Land-use Plan; Project monitoring scheme; Random visits to priority conservation zone	Eco-corridor includes a total of 135,373 ha, with 21,879 ha arable land; 69,123 forest land; 13,034 water area (wetlands); and 29,697 ha others, which are mostly villages. Municipal Land Use Plan 2010-2020 was amended to incorporate the eco-corridor. The amendment is under review by the Provincial Government; approval expected by the end of the year. The Municipal Government approved implementation scheme on 8 May 2014. Guidelines and incentive mechanisms are not focused on eco-corridor, however.	**Satisfactory**
2			Biodiversity-friendly matrix of land uses arising from Municipal and County-level 5-year land use plans provide enhanced connectivity covering at least 80,000 ha between 10 existing protected areas and five forest parks		A matrix of land use guidelines is included in the eco-corridor land use plan. The timeframe is 10-year, 2010-2020, not 5 years.	**Satisfactory**

No.	Performance Indicator	Baseline	End of Project Target	Sources of verification	TE Comments	Rating
3	CBPF Result 13: An incentive framework for the natural resource based business sector to conserve or sustainably use biodiversity is established	Despite ecological significance of the site, few incentives exist to encourage biodiversity-friendly and ecosystem function conserving production methods	By end of Project, an integrated, multi-sectoral incentive structure designed to meet the needs of a biodiversity-rich KEFZ in place, including county-, municipal- and province-level components	Documents relating to incentive schemes Government and project financial records Field visits	The KEFZ is defined as the area covering the Xin and Shangcheng Counties, consistent with national delineation and based upon soil and water retention priorities. There is some confusion on this. Xinyang Municipal level incentive mechanism has been prepared, and for the 4 target counties and 1 target district. Provincial level assessment guidelines approved in March 2014 (influenced by Project, but not written by them).	**Moderately Satisfactory**
4	CBPF Result 14: Biodiversity conservation and poverty alleviation in China are mutually supportive	Biodiversity conservation is widely seen as imposing short-term costs on vulnerable segments of society	By end of Project, at least 25% of poverty alleviation investment on economic-related development in HHRB is being disbursed each year in accordance with guidelines designed to avoid harmful impacts on biodiversity and other ecosystem functions	Financial records and poverty alleviation project records from Poverty Alleviation Office	Two guidelines have been produced in 2013 by project: (1) technical guidelines on assessment of financial inputs and implementation for biodiversity-friendly poverty alleviation, and (2) manual for consultancy on poverty alleviation and biodiversity conservation of Xinyang. These guidelines were designed to support the ongoing State Ecological Immigration Programme. The guidelines developed represent added value to the existing assessment process that the Poverty Alleviation Department is using to determine which houses to prioritize in the Ecological Immigration programme. There are no records available, or kept, for that matter, which distinguish poverty alleviation investment in accordance with the new guidelines. Also related to the ecological immigration, the Poverty Alleviation Department is funding skills training, to help displaced persons find jobs. There was evidence indicated during TE interviews that these trainings cover an increasingly high proportion of organic farming and other biodiversity-friendly occupations.	**Moderately Satisfactory**
Outcome 1: Biodiversity and ecosystem function conservation mainstreamed into HHRB planning						

No.	Performance Indicator	Baseline	End of Project Target	Sources of verification	TE Comments	Rating
5	Specialized land use planning, zoning and management systems for areas having important ecological functions and/or biodiversity	Land use planning, zoning and management systems are nearly identical to those employed in areas zoned for normal development	By end of project, land use plans and decisions at HHRB, incorporating agreed quantitative targets on conservation of biodiversity, details of how these targets will be achieved, and priority zones for conservation initiatives and their relevant policies, approved by Municipal Government.	Municipality Five-year Land-use Plan	Municipal Land Use Plan 2010-2020 was amended to incorporate the eco-corridor. The amendment is under review by the Provincial Government; approval expected by the end of the year. The Municipal Government approved implementation scheme on 8 May 2014. The management strategy, however, is lacking, i.e., specific conservation targets and details of how these will be achieved.	**Moderately Satisfactory**
6	County land-use plans prepared following biodiversity guidelines	County land use plans within Xinyang Municipality do not address biodiversity or ecosystem function conservation	By project completion new land use plans have been prepared for two HHRB counties in line with biodiversity and ecosystem-function conserving guidelines and submitted to relevant governments for approval.	County Land-use Plans	Xinxian and Shangcheng Counties developed implementation plans with support from the project.	**Satisfactory**
7	Public sector capacities to undertake and/or oversee biodiversity-friendly actions and investments in response to a corresponding regulatory and incentive framework	Regulatory agencies have limited awareness of how their policies and actions, ,impact on ecosystem functions and biodiversity	At least 25% increase in local government capacities to mainstream conservation of biodiversity and other ecosystem functions into local governance, as measured by UNDP's capacity scorecard	UNDP capacity scorecard	Scorecard assessments were made for municipal staff (5 years) and for 2 years at the county level. Assessment results and TE findings do indicate an increase in capacities.	**Satisfactory**
8	System for monitoring ecological performance	No monitoring system in place	System in place to monitor changes in priority conservation zones compared to other zones. (Simple single-level parameters to be determined but to include as minimum – area of forest; water quality of key rivers; pesticide use; abundance and diversity of birds)	Monitoring protocols Baseline data set	Baseline data collected in 2013. Monitoring plan has been prepared, approved by Leading Group. Forest cover area estimated by field survey, due to limited remote sensing data. The monitoring system is generally lacking direction, as it is not yet linked to a KEFZ management strategy. Also, the monitoring system was designed for the eco-corridor, although mainstreaming also being implemented outside this area. Furthermore, socio-economic factors are under-represented in the monitoring plan.	**Moderately Satisfactory**

No.	Performance Indicator	Baseline	End of Project Target	Sources of verification	TE Comments	Rating
Outcome 2: Biodiversity and ecological function conservation mainstreamed into key productive sectors						
9	Existence of regulatory framework interpreting planning policy and promoting biodiversity conservation within productive sectors	Existing regulatory framework at best ambivalent to biodiversity considerations	By end of Project, regulatory framework ("Announcements") fully supportive of biodiversity conservation within agriculture and forestry sectors.	Government "Announcements"	Made a comprehensive review of regulations, prepared recommendations, and many were implemented. PMO has copies of regulations that have been revoked, and others revised accordingly.	**Satisfactory**
10	Existence and effectiveness of financial subsidy / penalty schemes associated with biodiversity conservation / damages by natural-resource based businesses	Existing schemes, e.g., those affecting mining and medicinal plants sectors, are having some environmental impact, but largely failing to focus on biodiversity conservation aspect	By end of project, increased ecosystem resilience associated with a 20%+ reduction in policies and/or fiscal incentives (subsidies) to agriculture and forestry sectors having negative impacts on biodiversity and/or ecological functions within priority conservation zones in Municipality	Technical review and recommendations Appropriate government legal documents	One of the most significant activities under this outcome was a comprehensive policy review, in order to sort out regulations, by-laws, announcements, etc. that discourage biodiversity conservation, and introduce new ones	**Satisfactory**
11			By end of Project, two new positive incentive schemes in place for local communities and the private sector within agriculture and forestry sectors in HHRB for biodiversity friendly practices	Incentive scheme documentation and financial records	The policy review was followed up with development of a series of local government guidelines and incentive mechanisms to promote biodiversity conservation among the productive economic sectors in the priority conservation area. The guidelines and incentives, however, were not specifically focused on the priority conservation zone.	**Satisfactory**
12	Existence of demonstration sites	No sites available demonstrating biodiversity-friendly sectoral practices	By end of Project, two sites demonstrating biodiversity-friendly practice for two different crops each in each of two counties (four crops in all – e.g. rice, tea, medicinal herbs, and animal husbandry)	Incentive scheme documentation and financial records Field visits	The demonstration activities satisfactorily added value to existing pilot interventions or to organizations, by showcasing integration of biodiversity conservation. Another positive aspect of the demonstration activities was the high level of co-funding, but both government sources and the private sector	**Satisfactory**

No.	Performance Indicator	Baseline	End of Project Target	Sources of verification	TE Comments	Rating
13			By end of Project, one site demonstrating biodiversity-friendly forestry practice in each of three counties	Incentive scheme documentation and financial records Filed visits	Demonstrations of biodiversity-friendly forestry practice were satisfactorily carried out.	**Satisfactory**
14	Technical guidelines interpreting planning policy	No technical guidelines available for government staff or private sector	By end of Project, sectoral-based technical ("how to") advisory guidelines available for government staff and private sector in agriculture and forestry (four guidelines)	Guidelines	The project was successful in supporting the development and facilitating approval of sectoral-based advisory guidelines.	**Satisfactory**
Outcome 3: Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes at HHRB						
15	Extent of operational linkages between poverty alleviation and biodiversity	No operational linkages	By end of Project, at least $2 million in new Government poverty alleviation investment on economic-related development is designed to have positive impacts on ecosystem functions and biodiversity and at least 80% of such investment by value is determined	Poverty Alleviation Office records	As the guidelines were approved in 2013, there has been insufficient time verify this target. Local governments are expending significant funds on poverty alleviation, and there does not seem to be a system in place to effectively distinguish between "business as usual" and the influence of the biodiversity-friendly guidelines introduced.	**Moderately Satisfactory**
16	Technical guidelines linking poverty alleviation and biodiversity conservation	No technical guidelines available for government staff	By end of Project, technical assessment guidelines and ("how to") advisory guidelines available for government staff engaged on poverty alleviation work	Guidelines	The project was successful in supporting the development and facilitating approval of guidelines that add value to the process of prioritizing poverty alleviation target areas, adding the dimension of biodiversity conservation.	**Satisfactory**

No.	Performance Indicator	Baseline	End of Project Target	Sources of verification	TE Comments	Rating
Outcome 4: Lessons learned at HHRB inform and strengthen ongoing efforts to manage KEFZs throughout China						
17	Management framework for conserving biodiversity and ecological functions at ten target IEFAs across China	No differentiation within policy framework of critical areas from generic landscape areas	Recommendations for KEFZ planning and management incorporating lessons and experiences of HHRB and other KEFZs	Recommendations for KEFZ planning and management incorporating lessons and experiences of HHRB and other KEFZs	Using the CBPF as a platform, FECO has supported the project in consolidating and disseminating lessons learned to other interventions in the country.	**Satisfactory**
18			Recommendations for policy measures, and biodiversity indicators and targets for KEFZs with water retention and biodiversity values	Recommendations for policy measures, and biodiversity indicators and targets for KEFZs with water retention and biodiversity values	Largely due to the shortage of time, lessons learned that were disseminated by FECO to other KEFZs in China are rather general, and do not yet provide a practical model for implementing biodiversity mainstreaming for other KEFZs with water retention and biodiversity values.	**Moderately Satisfactory**
19	Recommendations for policy measures, and biodiversity indicators and targets for KEFZs with water retention and biodiversity values	Lessons from previous attempts to encourage ecosystem function conservation have not been fully learned	10 key lessons from review of 2002-2007 period learned and disseminated within HHRB	Project learning report	FECO supported the project by completing a comprehensive review of key lessons learned.	**Satisfactory**
20		Project: NA	Key project lessons are gathered through project monitoring and expanded upon / analyzed during final evaluations	Project learning reports	Lessons learned have not been distilled in detail.	**Moderately Satisfactory**
21			Project lessons are periodically and extensively disseminated to relevant stakeholders from all KEFZ sites, as well as to national-level stakeholders within CBPF		Dissemination of information was satisfactorily carried out, through various means, including exchange forums, media coverage, training materials, etc.	**Satisfactory**

Annex 6: Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

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

Evaluation Consultant Agreement Form

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

Name of Consultants: Professor Li He, James Lenoci

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

Signed in Xinyang on 2014 June 4

Signatures:

Prof. Li He
National Consultant

James Lenoci
International Consultant/Team Leader

Annex 7: Responses by Evaluation Team to Comments of Draft Report

Comment	Response by Evaluation Team
C1. Executive Summary, IA Execution Co-financing was done by municipal government facilitated by PMO, UNDP provide standard for what kinds of co-financing could be account, what could be not.	This statement has been deleted.
C2. Executive Summary, Overall IA-EA Execution This should be indicated into the next five-year-plan, the PRC Government just start the drafting process from this yea	This was added to Recommendation No. 1.
C3. Executive Summary Should be deleted?	A condensed list of recommendations has been added at the end of the executive summary.
C4. Section 2.1: Project Start and Duration According to our understanding the starting date is the day of the last signature in the ProDoc, therefore, it should be "2nd June 2009"	The point was clarified, indicating the official start date as June 2009, but also highlighting that the inception was not held until January 2010.
C5. Section 2.1: Project Start and Duration The project was not officially suspended. An extension was granted to allow a 6-month period for restructuring of PMO etc.	OK, noted. Reference to an official suspension has been removed. But there was a 6-month period of restructuring, so the extension was still essentially only 6 months.
C6. Section 2.1: Project Start and Duration Since the start date of the project is 2nd June 2009, as a four year project, it should be accomplished by 1st June 2013, then extension to June 30, 2014 should be 13 months extension.	OK, noted.
C7. Section 3.2.1: Adaptive Management Totally agree, no words could express the pressure to UNDP during that period. According to MOF, this is rare situation that IA could take, which is the only choice!	OK, noted.
C8. Section 3.2.2: Partnership Arrangements Co-financing was done by municipal government facilitated by PMO, UNDP provide standard for what kinds of co-financing could be account, what could be not.	OK. The subject statement has been deleted.
C9. Section 3.2.4: Project Finance We do have two versions of CDR for each project, including one with only budget coding associated expenditures and the other with outcome-based expenditures. Both two versions of CDR have been shared with PMO for each year. Usually the former one will be signed as it can be compacted into one-page CDR, and the latter is used to check if the expenditures under each outcome match with FACE and to revise the budget as reference. I guess the reason could be that request of TE team was not fully understood by the PMO.	OK. The subject statement has been deleted.

Comment	Response by Evaluation Team
C10. Section 3.2.5: Monitoring & Evaluation (Management Response to MTR) After Aug. 2012 the revision of logframe was completed. Meanwhile the implementation of the project was started formally. It was inaccurate to say that second half of 2012 was also suspended. At least. it was started in Sept, 2012	OK, noted.
C11. Section 3.2.5: Monitoring & Evaluation (Management Response to MTR) Actually , the implementation was started before the PSC meeting in Dec.2012,and the personnel adjustment stated below was completed in Aug.2012.	OK, noted.
C12. Section 3.2.5: Monitoring & Evaluation (Management Response to MTR) The HCLG was strategic discussion，it participate with members of MOF, MEP, provincial department of environmental protection, finance, DRC, and the vice mayor, their discussion was strategic level discussion.	OK, this has been noted.
C13. Section 3.2.5: Monitoring & Evaluation The adjustments after MTR was complete in 17th Aug, 2012. Since that the project team started the implementation work. Meanwhile the revision of the logframe was also completed. The overall work was carried in Sept, 2012 formally. While the PSC meeting in Dec.2012 was convened to confirm those adjustments and make a clear arrangements for the coming year. This was not to say that the implementation was started after PSC meeting.	OK, noted. But, the subject text remains unchanged, as the point we were making is that the incentive mechanisms were approved late in the project, and there was insufficient time to monitor how these were implemented by the Municipality.
C14. Section 3.2.6: UNDP Implementation For guidance to the EA on agreeing to the priority conservation zone, UNDP rely on MEP officials and CTA for the technical clearance rather than UNDP as an international organization to engage in the geographic issue with political willingness as well. For outcome 4, UNDP had various discussions with FECO/MEP to promote the dissemination, and trained PMO on how to promote the public awareness, as well as promote the agenda at national level to buy in the good practices and lessons learnt. For co-financing, I repeated twice before.	This has been noted in the text. The revised logical results framework includes a note highlighting the importance of agreeing upon priority conservation zone, with guidance by the UNDP. The note about co-financing tracking has been deleted.
C15. Section 3.2.6: Implementing Partner Execution Since the start date of the project is 2nd June 2009, as a four year project, it should be accomplished by 1st June 2013, then extension to June 30, 2014 should be 13 months extension.	The reference to the 6-month period has been deleted. But the main point of the subject text was the fact that little attention was placed on strategic planning.
C16. Section 3.3.1: Overall Results, Outcome 1 We high suggest that this should be satisfactory, because	The TE team agrees that this outcome be rated as Satisfactory. The “moderately”

Comment	Response by Evaluation Team
revision of land use planning was of a great significance in terms of governmental mainstreaming behavior. Due to the involvement and the effects ,it need a major decision to make it happen.	term was inadvertently included.
C17. Section 3.3.1: Overall Results, Outcome 3 Here should be satisfactory. Because the pilot was of a great significance. Though there were tens of billions allocated for poverty alleviation programs every year from the central government. However, HHRB project firstly combine biodiversity conservation with poverty alleviation programme It has promote mainstreaming of biodiversity into poverty alleviation projects, It is also possible to promote it to other poverty alleviation projects combine dule objectives of biodiversity conservation and poverty alleviation over China.	The TE team maintains a moderately satisfactory rating for this outcome. Outcome 3 contains two indicators. Indicator 16, on new guidelines, has been achieved. But, there is no evidence of USD 2 million in new Government poverty alleviation investment, as the guidelines were only approved in 2013. The analysis presented in Thematic Report No. 20 uses Government expenditures from 2012, which the TE team thinks are not relevant.
C18. Section 3.3.3: Efficiency Since the start date of the project is 2nd June 2009, as a four year project, it should be accomplished by 1st June 2013, then extension to June 30, 2014 should be 13 months extension.	OK, noted. The essence of the subject text remains unchanged, i.e., there was limited time during the second phase to focus on strategic planning.
C19. Section 4.1: Conclusions - Shortcomings Project team has made a map to show priority conservation zone. According to that map, the total land in Xinyang municipality was divided into three types , first type incorporating existing NRs and Forest parks, Second part indicate the important biodiversity zone which need to strengthen its management, including eco-corridor. while the third type shows the arable land and urban area. All maps have been provided to James.	The TE team confirms that we were provided with the indicated maps. However, the maps do not answer the question as to what area is the focus of the biodiversity mainstreaming efforts. For example, the incentive mechanisms are available across entire counties, not only land within the eco-corridor. Although the monitoring system is designed for the eco-corridor.
C20. Section 4.1: Conclusions - Shortcomings The overall strategy for KEFZ at the national level was set up in the same time when Huaihe river basin ecological function area was identified. Through the protection of ecological system in this area to provide a better eco-service to maintain water and soil preservation leading the reduction of pollution and high quality water supply to lower reaches.	The TE team is aware of the information indicated. What is lacking is a specific strategy for the HHRB KEFZ, with site level targets, not national ones. What are the management objectives? For example, should be biodiversity assets and ecological function services be maintained at current levels, or should the rate of loss be reduced? The management strategy should also be closely linked to the monitoring system, and available baseline conditions should be clearly indicated, as well as protocols for measuring changes in status.
C21. Section 4.1: Conclusions - Shortcomings As mentioned before, the extension is around 13 months according to UNDP Project implementation definition.	Reference to the time extension has been deleted.

Comment	Response by Evaluation Team
C22. Section 4.1: Conclusions - Shortcomings Since the start date of the project is 2nd June 2009, as a four year project, it should be accomplished by 1st June 2013, then extension to June 30, 2014 should be 13 months extension.	References to the suspension and time extension were deleted. The main point is that overall project effectiveness was diminished due to the low efficiency in the first half of the implementation phase.
C23. Section 4.1: Conclusions - Shortcomings Since the start date of the project is 2nd June 2009, as a four year project, it should be accomplished by 1st June 2013, then extension to June 30, 2014 should be 13 months extension.	Reference to the time extension has been deleted.
C24. Section 4.2: Recommendations UNDP paid much attention to programme management training after the MTR, I use various opportunities to train the staff by presentations, daily call and emails, even help them to revise reports and provide good and bad examples for the team. We also introduced the team to the CBPF-IS Project by using the platform to train the staff and share lessons learnt from each other, even provide field visit opportunities to PMO and stakeholders to other projects. I personally contribute a lot of my timing 3 times more than other projects, for capacity building of the staff and stakeholders, I spent one day about 7 hours to train the PMO and all the stakeholders in Xinyang on 7th Sep, 2012. I got a sick for one week after 7 hours standing and presentation, as well as Q & As.	OK, noted. This recommendation has been deleted.
C25. Section 4.2: Recommendations We do have two versions of CDR for each project, including one with only budget coding associated expenditures and the other with outcome-based expenditures. Both two versions of CDR have been shared with PMO for each year. Usually the former one will be signed as it can be compacted into one-page CDR, and the latter is used to check if the expenditures under each outcome match with FACE and to revise the budget as reference. I guess the reason could be that request of TE team was not fully understood by the PMO.	OK, noted. This statement has been deleted.
C26. Section 4.2: Recommendations Totally agree, he need to be highly recognized!	Noted.

Annex 8: Terms of Reference

TERMINAL EVALUATION TERMS OF REFERENCE

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the UNDP-GEF Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin Project (PIMS 3934.)

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

<table>
<tr><td>Project Title:</td><td colspan="5">the UNDP-GEF Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin Project</td></tr>
<tr><td>GEF Project ID:</td><td>59594</td><td></td><td>at endorsement (Million US$)</td><td colspan="2">at completion (Million US$)</td></tr>
<tr><td>UNDP Project ID:</td><td>3934</td><td>GEF financing:</td><td>2.7272</td><td colspan="2"></td></tr>
<tr><td>Country:</td><td>China</td><td>IA/EA own:</td><td></td><td colspan="2"></td></tr>
<tr><td>Region:</td><td>Henan Province</td><td>Government</td><td>8.375</td><td colspan="2"></td></tr>
<tr><td>Focal Area:</td><td>Biodiversity</td><td>Other(Local government):</td><td>1.98</td><td colspan="2"></td></tr>
<tr><td>FA Objectives, (OP/SP):</td><td>More efficient management of natural resources and development of environmentally friendly behavior in order to ensure environmental sustainability</td><td>Total co-financing:</td><td>10.355</td><td colspan="2"></td></tr>
<tr><td>Executing Agency:</td><td>Xinyang Municipal Government of Henan Province</td><td>Total Project Cost:</td><td>13.0822</td><td colspan="2"></td></tr>
<tr><td rowspan="2">Other Partners involved:</td><td rowspan="2">Foreign Economic Cooperation Office (FECO) of Ministry of Environmental Protection (MEP)</td><td colspan="2">ProDoc Signature (date project began):</td><td colspan="2">2 June 2009</td></tr>
<tr><td>(Operational) Closing Date:</td><td>Proposed:
30 June 2014</td><td colspan="2">Actual:</td></tr>
</table>

OBJECTIVE AND SCOPE

The project forms a key element of the China Biodiversity Partnership Framework (CBPF). It aims to ensure that global biodiversity conservation values are integrated into the management of Important Ecological Function Areas (IEFAs). The HHRB Project aims to mainstream biodiversity conservation into a key landscape management system at the national level, as well as in a critical watershed with global biodiversity significance as a demonstration.

The **Goal** of the project is that of the CBPF as a whole, i.e., to significantly reduce biodiversity loss in China as a contribution to sustainable development.

The **Objective** of the project is to demonstrate practical mechanisms to mainstream biodiversity in China's IEFAs.

In order to achieve the project Objective, the project consists of **four outcomes** which is mutually supportive from each other.
Outcome 1: Biodiversity and ecological function conservation mainstreamed into HHRB planning and monitoring.
Outcome 2: Biodiversity and ecological function conservation mainstreamed into key productive sectors.
Outcome 3: Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes.
Outcome 4: Lessons learned at HHRB inform and strengthen ongoing efforts to manage IEFAs throughout China.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

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

EVALUATION APPROACH AND METHOD

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

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to *Shihe District, Xinxian, Shangcheng, Luoshan, Guangshan counties of Xinyang Municipality of Henan Province.* Interviews will be held with the following organizations and individuals at a minimum: (*see Annex H*).

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

EVALUATION CRITERIA & RATINGS

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

[1] For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163

Evaluation Ratings:			
1. Monitoring and Evaluation	***rating***	**2. IA& EA Execution**	***rating***
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	**rating**	**4. Sustainability**	**rating**
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

PROJECT FINANCE / COFINANCE

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

Co-financing (type/source)	UNDP own financing (mill. US$)		Government (mill. US$)		Partner Agency (mill. US$)		Total (mill. US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

MAINSTREAMING

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

IMPACT

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

CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

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

IMPLEMENTATION ARRANGEMENTS

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

EVALUATION TIMEFRAME

The total duration of the evaluation will be 22 days according to the following plan:

Activity	Timing	Completion Date
Preparation	*3 days*	*4 May 2014*
Evaluation Mission	*12 days*	*16 May 2014*
Draft Evaluation Report	*5 days*	*5 June 2014*
Final Report	*2 days*	*20 June 2014*

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

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

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

TEAM COMPOSITION

The evaluation team will be composed of *1 international and 1 national evaluator*. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The *international evaluator will be designated as the team leader and will be responsible for finalizing the report.* The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications:

- Minimum *10* years of relevant professional experience including Project development, implementation and evaluation

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

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations'

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	At contract signing with initiation plan submitted
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

APPLICATION PROCESS

Applicants are requested to apply online (http://jobs.undp.org) by 15 April 2014. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, DSA and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

PART I: INCREMENTAL COST MATRIX

Benefits	**Baseline (B)**	**Alternative (A)**	**Increment (I = A-B)**
Domestic Benefits	Important ecological function areas (IEFAs) across China continue to deliver valuable ecological services, but these are declining in the face of rapid growth, population pressures and inadequate environmental controls. At HHRB and other Headwaters regions, water retention, flood control and soil stabilization functions are threatened by existing land use and business practices. Biodiversity within IEFAs across China continues to provide multiple domestic use and non-use benefits, but in steadily declining amounts as processes of degradation spread and deepen.	Land uses and other anthropogenic activities at LDAs and other IEFAs increasingly reflect the need to conserve ecological functions at these areas. At HHRB, ecological functions are being better conserved through targeted planning, active policy measures and increased capacities. Other Headwaters regions are benefiting from a demonstration effect. Synergies are demonstrated between ecological function and biodiversity conservation, allowing IEFA managers to target both simultaneously.	Long-term higher and more sustainable levels of ecosystem functions and associated services emanating from IEFAs. Higher sustainable levels of use and non-use values from biodiversity coming from both protected and landscape areas of IEFAs.
Global Benefits	Opportunities to conserve globally significant biodiversity are missed at 38 IEFAs, covering over 1.5 million km^2, as land use and resource management focuses (at best) on ecological functions, without identifying or taking advantage of potential synergies with biodiversity conservation.	HHRB pilot work and associated replication provide tools and lessons to enable policy makers and land users to incorporate conservation into policies and practices.	Globally significant biodiversity at the HHRB pilot site, including rare and threatened species of medicinal plants and animals, and other species of global significance (see paras. 20-22 above) face enhanced prospects for survival. Protected areas (PAs) within the site area are increasingly sustainable thanks to the landscape's enhanced ability to act as an effective buffer for, and corridor between PAs. Globally significant biodiversity at IEFAs across China faces reduced long-term extinction risk.
Outcomes	**Baseline (US$ over 4-year period)**	**Alternative**	**Increment**

Outcome 1: Biodiversity and ecological function conservation mainstreamed into HHRB planning and monitoring	Xinyang Municipal Government Total:	1,200,000 1,200,000	Xinyang Municipal Government GEF XMEEA Total:	2,662,500 711,600 737,500 4,111,600	Xinyang Municipal Government GEF XMEEA Total:	1,462,500 711,600 737,500 2,911,600
Outcome 2: Biodiversity and ecological function conservation mainstreamed into key productive sectors	Xinyang Municipal Government Total:	400,000 400,000	Xinyang Municipal Government GEF XMEEA Private Sector Total:	1,737,500 716,800 362,500 500,000 3,316,800	Xinyang Municipal Government GEF XMEEA Private Sector Total:	1,337,500 716,800 362,500 500,000 2,916,800
Outcome 3: Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes	Xinyang Municipal Government Total:	700,000 700,000	Xinyang Municipal Government GEF XMEEA Total:	1,655,000 465,800 150,000 2,270,800	Xinyang Municipal Government GEF XMEEA Total:	955,000 465,800 150,000 1,570,800
Outcome 4: Lessons learned at HHRB inform and strengthen ongoing efforts to manage IEFAs throughout China	Total:	0	Xinyang Municipal Government GEF XMEEA Total:	1,320,000 560,400 230,000 2,110,400	Xinyang Municipal Government GEF XMEEA Total:	1,320,000 560,400 230,000 2,110,400
PROJECT TOTALS:	Xinyang Municipal Government Total:	2,300,000 2,300,000	Xinyang Municipal Government GEF XMEEA Private sector Total:	7,375,000 2,454,600 1,480,000 500,000 11,809,600	Xinyang Municipal Government GEF Total:	5,075,000 2,454,600 1,480,000 500,000 9,509,600

Note: Project management cost is not a part of above captioned incremental cost analysis. Project management total cost is US$ 1,272,600 of which US$272,600 is GEF financing, and US$ 1,000,000 is co-financing.

PART II: LOGICAL FRAMEWORK MATRIX

Project Strategy	**Objectively verifiable indicators**				
Project Goal:	***To significantly reduce biodiversity loss in China as a contribution to sustainable development***				
	CBPF / Project indicator	**HHRB baseline**	***HHRB Target***	**Sources of verification**	**Risks and assumptions**
Objective of the project: To demonstrate practical mechanisms to mainstream biodiversity in China's IEFA	**CPBF Result 21:** Land use planning and management systems contribute effectively to conserving biodiversity	Existing land use planning and management systems take no special account of HHRB's critical ecological functions or biodiversity values, leading to substantial loss of both	Reversing trends in habitat loss associated with land use changes. Changes in land-use on the following scale are expected: increased forest cover by at least 15000 ha), reduced mining surface (1,000-1,500 ha) and increased wetland area (5,000 ha). Biodiversity-friendly matrix of land uses arising from Municipal and county-level 5-year land use plans provide enhanced connectivity amongst 22 existing and four planned protected areas (totalling 235,000 ha.)	Project evaluations; municipal and county plans	Targets are set high enough so that meeting them has the intended effect of 'significantly' reducing biodiversity loss
	CBPF Result 13: An incentive framework for the natural resource based business sector to conserve or sustainably use biodiversity is established	Despite ecological significance of the site, few incentives exist to encourage biodiversity-friendly and ecosystem function conserving production methods	By end of year 4, an integrated, multi-sectoral incentive structure designed to meet the needs of a biodiversity-rich IEFA in place, including county-, municipal- and province-level components	Project evaluations; IEFA Committee reports	Non-incentive-sensitive portions of the local economy, i.e., public sector, does not overwhelm private sector in terms of impacts
	CBPF Result 14: Biodiversity conservation and poverty alleviation in China are mutually supportive	Biodiversity conservation is widely seen as imposing short-term costs on vulnerable segments of society	By project completion, biodiversity and ecosystem function conservation widely recognized within HHRB as being fully compatible with, and in many cases complementary to, poverty alleviation objectives	Project evaluations; IEFA Committee reports	Perceptions are a good indicator of reality in this case

Outcome 1: Biodiversity and ecosystem function conservation mainstreamed into HHRB planning and monitoring	Specialized land use planning, zoning and management systems for areas having important ecological functions and/or biodiversity	Land use planning, zoning and management systems are nearly identical to those employed in areas zoned for normal development	By end of project, land use plans and decisions at HHRB incorporate agreed quantitative targets on conservation of biodiversity	Provincial-level gazette	Adequate funding to institutionalize IEFIEFA management
			By end of Year 3, municipal level specialized land use planning mechanism in place.	Project annual report	Land use plan is adhered to / enforced
	County land-use plans prepared following biodiversity guidelines	County land use plans within Xinyang Municipality do not address biodiversity or ecosystem function conservation	By end of Year 4, new land use plans have been prepared for two HHRB counties in line with biodiversity and ecosystem-function conserving guidelines (latter being prepared under IS project)	Published plans	Land use plans are adhered to / enforced
	Performance on ecological and biodiversity indicators	Current performance not adequate to safeguard ecological functions, including biodiversity maintenance	Improved performance on various ecological and biodiversity monitoring standards (Parameters to be determined in Inception Phase)	Government monitoring data and reports	

Output 1.1: Institutional arrangements and capacities for mainstreaming

1.1.1 Strengthen Municipal-level (Xinyang) and County-level 'Leading Groups' (LGs), i.e., inter-sectoral coordinating and decision-making bodies
1.1.2 Establish and operate Municipal-level Technical Advisory Group (TAG)
1.1.3 Biodiversity conservation capability and situation survey
1.1.4 Raise awareness and build capacities of LG and TAG members regarding environmental economic values and complementarity of ecosystem functions and biodiversity
1.1.5 Mechanisms and support for civil society contribution and participation in LG/TAG/IEFA decision-making processes, including biodiversity network, biodiversity research society

Output 1.2: Biodiversity-friendly land use planning mechanisms (Municipal and County levels) and associated plans

1.2.1 Land use plans for Xinyang Municipality, including biodiversity and ecological functions overlays
1.2.2 Land use plans for two demonstration counties, including biodiversity and ecological functions overlays
1.2.3 IEFIEFA establishment plan

Output 1.3: Revised standards and monitoring system for biodiversity and other ecological functions

1.3.1 Biodiversity and ecological function monitoring standards developed by TAG and approved by Municipal LG
1.3.2 Biodiversity and ecological functions monitoring

Outcome 2: Biodiversity and ecological function conservation mainstreamed into key productive sectors	Existence and effectiveness of financial subsidy / penalty schemes associated with biodiversity conservation / damages by natural-resource based businesses	Existing schemes, e.g., those affecting mining and medicinal plants sectors, are having some environmental impact, but largely failing to focus on biodiversity conservation aspect	By end of Year 4, at least two new positive incentive schemes in place for local communities and the private sector within key sectors in HHRB for biodiversity friendly practices	Baseline and follow up surveys	Target sectors are well selected and pilot schemes are expanded
			By end of project, increased ecosystem resilience associated with a 20%+ reduction in fiscal incentives (subsidies) having negative environmental impacts	Baseline and follow up surveys	
	Private and public sector capacities to undertake and/or oversee biodiversity-friendly actions and investments in response to a corresponding regulatory and incentive framework	Regulatory agencies and private sector firms have limited awareness of how their policies and actions, respectively, impact on ecosystem functions and biodiversity	At least 30% increase in local government capacities to mainstream conservation of biodiversity and other ecosystem functions into local governance, as measured by UNDP's capacity scorecard	Baseline and follow up capacity assessments	
	Biodiversity losses and other ecological damages arising from natural-resource based businesses	Tens of thousands of live trees, including old and rare specimens, being removed from Luoshan and other counties annually	60% reduction in baseline levels of live tree trade—amounting to at least 10,000 trees annually, including numerous very old specimens and threatened species—in Luoshan County, with remaining trade subject to careful regulation re. species and methods; efforts are made to ensure that trade is not simply 'shifted' to other counties / locations	Baseline and follow up surveys	Success in preventing 'leakage' of trade to neighbouring counties
		Annual pollution emission and tailings from mining reach 5 million tons and ore residues reach approximately 200 million tons.	50% reduction in index of mining impacts on biodiversity in Guangshan County (index and baseline measurements to be developed during inception phase), including at least 100 ha of mining land restored in biodiversity-rich areas	Baseline and follow up surveys	

		Widespread use of unsustainable techniques and practices associated with medicinal plant and animal collection	At least 70% of medicinal plants collected in at least one (demonstration) county are being harvested according to sustainable practices, resulting in enhanced viability of 15 threatened plant species.	Baseline and follow up surveys	
		Approximately 180 ha. of certified organic crop plantings in Xinyang Municipality	At least 100,000 ha of agricultural lands close to high biodiversity and other ecologically important areas under eco-friendly management	Baseline and follow up surveys	
		50,000 out of 259,000 ha of wetlands reclaimed for agriculture and other purposes	At least 5,000 ha reclaimed wetlands restored by project end;, providing important habitat gains for threatened species of birds and amphibians such as Oriental White Stork (*Ciconia Ciconia*), Great Bustard (*Otis tarda*), Whooper Swan (*Cygnus cygnus*), White Spoonbill (*Platalea leucorodia*) and Mandarin Duck (*Aix galericulata*	Baseline and follow up surveys	

Output 2.1: Enhanced knowledge, understanding and quantification of impacts of HHRB productive sectors on biodiversity and target ecological functions

2.1.1 Detailed assessment of impacts, by sector, on ecological functions and biodiversity
2.1.2 Environmental economic studies
2.1.3 Trigger price analysis of cost effectiveness of mainstreaming

Output 2.2: Sectoral policies, regulations, incentives, enforcement methods and standards are assessed and IEFA-specific alternatives are adopted

2.2.1 Regulatory impact assessments for key sectors
2.2.2 Development of IEFA-specific policies, regulations, standards and enforcement strategies
2.2.3 Pilot incentive programmes

Output 2.3: Increased awareness and capacities among public and private sector stakeholders to respond to revised regulations and incentives

2.3.1 Awareness raising on new regulatory environment and associated incentives
2.3.2 Capacity building for ecosystem function and biodiversity-friendly production methods

Outcome 3: Biodiversity and ecosystem function considerations are regularly mainstreamed into poverty alleviation strategies and programmes at HHRB	Extent of operational linkages between poverty alleviation and biodiversity conservation programmes	No operational linkages	At least $5 million in poverty alleviation spending in HHRB is disbursed in accordance with guidelines designed to avoid harmful impacts on biodiversity and other ecosystem functions	Minutes of inter-agency consultation process; project evaluations	Conclusions of inter-agency processes are followed up at field level Incentive economic policies in Outcome 2 create an enabling environment for piloting in Outcome 4
			At least $1 million in new Government loans to poor and vulnerable populations are designed to have positive impacts on ecosystem functions and biodiversity and at least 80% of loans by value are determined to have been successful in this respect		
			Above funds contribute to biodiversity benefits in relation to live tree trade and herb collection defined under Outcome 2, i.e., they contribute to reduced impacts from target sectors.		
		614.76 kg (net weight of nitrogen, phosphorus and potassium) of fertilizers and 14.6 kg (dosage) of pesticides are applied per ha; content of COD in water is 15.8 mg per litre; water quality belongs to Category III of GB3838-2002.	Annual reduction in application of agricultural fertilizers and pesticides per unit area by 8% from the baseline level and increase in applications of organic agricultural fertilizers and pesticides by 30% by end of project	Baseline and follow up surveys and evaluations	
		Market supply of commonly threatened herbs are met by wild collected plants	80% of the market supply of 3 to 5 threatened herbs from HHRB are from certified sustainable sources (Final species selection to be made during inception phase but likely to include Platycodon Root (*Radix platycodi*), Tall Gastrodia Tuber (*Gastrodia elata*), Buttercup (*Uncaria tomentosa*) and Tuckahoe (*Poria cocos*).	Baseline survey and follow up surveys and reports	
		180 ha of agriculture land is certified as organic	30,000 of hectares of organic teas and other agricultural practices certified;	Baseline surveys and monitoring reports	
Output 3.1: A strategy to capture potential synergies between poverty alleviation lending, ecosystem function conservation and biodiversity conservation 3.1.1 Baseline poverty lending survey and assessment 3.1.2 Guidelines for poverty lending 3.1.3 Preparation of sectoral feasibility assessments, including lending and monitoring criteria Output 3.2: Lending for dual objectives of poverty alleviation & conservation 3.2.1 Technical co-operation for loan identification, monitoring and lending 3.2.2 Biodiversity and ecosystem function friendly lending					

Outcome 4: Lessons learned at HHRB inform and strengthen ongoing efforts to manage IEFAs throughout China	Management framework for conserving biodiversity and ecological functions at ten target IEFAs across China	No differentiation within policy framework of critical areas from generic landscape areas	Revised Guidelines for IEFA Planning incorporating lessons and experiences of HHRB and other IEFAs Guidelines for Policy Measures, and Biodiversity Indicators and Targets for IEFAs with Water Retention and Biodiversity Values:	Semi-annual project replication reports (beginning year 2)	
	Levels of identification, dissemination and uptake of pre-project and project lessons	Pre-project: Lessons from previous attempts to encourage ecosystem function conservation have not been fully learned	10 key lessons from review of 2002-2007 period learned and disseminated within HHRB	Project learning report	Older lessons can be effectively gathered
		Project: NA	Key project lessons are continuously gathered through project monitoring and expanded upon / analysed during mid-term and final evaluations	Project learning reports	
			Project lessons are periodically and extensively disseminated to relevant stakeholders from all IEFA sites, as well as to national-level stakeholders within CBPF	Project learning reports	Local barriers do not prevent application of lessons learned. Lessons learned are applicable in varied institutional & ecological contexts

Output 4.1: National and local level learning networks generate and gather lessons learned

4.1.1 Activities of HHRB lesson learning network

4.1.2 Learning from experience of other IEFAs

4.1.3 Study tours (China)

Output 4.2: Communication, dissemination and exchange of lessons learned among HHRB stakeholders, IEFA managers and, through CBPF network, relevant sectoral agencies (mining, forestry, land use management, etc.)

4.2.1 Workshops and training programmes

Output 4.3 Revision of Guidelines for IEFA Planning and development of IEFA policy measures, biodiversity indicators and targets with water retention and biodiversity values

4.3.1 Development and production of learning materials

4.3.2 Revision of the Guidelines for IEFA Planning;

4.3.3 policy and institutional analysis and support to preparation of guidelines of policy measures and biodiversity indicators and targets

4.3.4 Workshops and seminars and study tours

Annex B: List of Documents to be reviewed by the evaluators

A list of suggested key documents to include is as follows:

1. **Project documents**
   1) GEF Project Information Form (PIF), Project Document and Log Frame Analysis (LFA)
   2) Project Implementation Plan
   3) Implementing/executing partner arrangements
   4) List and contact details for project staff, key project stakeholders, including Project Boards, and other partners to be consulted
   5) Project sites, highlighting suggested visits
   6) Midterm evaluation (MTE) and other relevant evaluations and assessments
   7) Annual Project Implementation Reports (PIR), APR, QPR
   8) Project budget, broken out by outcomes and outputs
   9) Project Tracking Tool
   10) Financial Data
   11) Sample of project communications materials, i.e. press releases, brochures, documentaries, etc.
   12) Comprehensive report of subcontracts (even in Chinese for national evaluator's reference).

2. **UNDP documents**
   1) Development Assistance Framework (UNDAF)
   2) Country Programme Document (CPD)
   3) Country Programme Action Plan (CPAP)

3. **GEF documents**
   1) GEF focal area strategic Programme Objectives

ANNEX C: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
Is the project relevant to UNCBD and other international convention objectives?			
• How does the project support the objectives of the UNCBD? • Does the project support other international conventions or programmes, such as UNDAF?	• UNCBD priorities and areas of work incorporated in project design • The contribution of the project to UNCBD • Priorities and areas of work of UNDAF incorporated in project design • Extent to which the project is actually implemented in line with incremental cost argument	• Project documents • National policies and strategies to implement the UNCBD, other international conventions, or related to environment or development more generally • UNCBD and other international convention web sites	• Documents analyses • Interviews with project team, UNDP and other partners
Is the project relevant to the GEF biodiversity focal area?			
• How does the project support the GEF bio-diversity focal area and strategic priorities	• Existence of a clear relationship between the project objectives and GEF biodiversity focal area	• Project documents • GEF focal areas strategies and documents	• Documents analyses • GEF website • Interviews with UNDP and project team
Is the project relevant to China's environment and sustainable development objectives?			
• How does the project support the environment and sustainable development objectives of China? • Is the project country-driven? • What was the level of stakeholder participation in project design? • What was the level of stakeholder ownership in implementation? • Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?	• Degree to which the project supports national environmental objectives • Degree of coherence between the project and nationals priorities, policies and strategies • Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities • Level of involvement of government officials and other partners in the project design process	• Project documents • National policies and strategies • Key project partners	• Documents analyses • Interviews with UNDP and project partners

	• Coherence between needs expressed by national stakeholders and UNDP-GEF criteria		
Is the project internally coherent in its design			
• Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources, etc.)? • Is the length of the project sufficient to achieve project outcomes?	• Level of coherence between project expected results and project design internal logic • Level of coherence between project design and project implementation approach	• Program and project documents • Key project stakeholders	• Document analysis • Key interviews
How is the project relevant with respect to other donor-supported activities?			
• Does the GEF funding support activities and objectives not addressed by other donors? • How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors? • Is there coordination and complementarity between donors?	• Degree to which program was coherent and complementary to other donor programming nationally and regionally	• Documents from other donor supported activities • Other donor representatives • Project documents	• Documents analyses • Interviews with project partners and relevant stakeholders
Does the project provide relevant lessons and experiences for other similar projects in the future?			
• Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	• The main experiences and lessons of the project • Experiences and lessons provided to similar projects	• Data collected throughout evaluation	• Data analysis
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Has the project been effective in achieving the expected outcomes and outputs?			
• What are the outcomes of the project? • Has the project been effective in achieving its expected outcomes? • What are the outputs of each outcome? • Has the project been effective in achieving the expected outputs?	• See indicators in project document results framework and logframe	• Project documents • Project team and relevant stakeholders • Data reported in project annual and quarterly reports	• Documents analysis • Interviews with project team • Interviews with relevant stakeholders
How is risk and risk mitigation being managed?			
• How well are risks, assumptions and impact drivers being managed? • What was the quality of risk mitigation strategies developed? Were these sufficient?	• Completeness of risk identification and assumptions during project planning and design • Quality of risk mitigations strategies developed	• Project documents • UNDP, project team, and relevant stakeholders	• Document analysis • Interviews

• Are there clear strategies for risk mitigation related with long-term sustainability of the project?	and followed		
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
Was project support provided in an efficient way?			
• Was adaptive management used or needed to ensure efficient resource use? • Did the project logical framework and work plans and any changes made to them use as management tools during implementation? • Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? • Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? • Was project implementation as cost effective as originally proposed (planned vs. actual) • Did the leveraging of funds (co-financing) happen as planned? • Were financial resources utilized efficiently? Could financial resources have been used more efficiently? • Was procurement carried out in a manner making efficient use of project resources? • How was results-based management used during project implementation?	• Availability and quality of financial and progress reports • Timeliness and adequacy of reporting provided • Level of discrepancy between planned and utilized financial expenditures • Planned vs. actual funds leveraged • Cost in view of results achieved compared to costs of similar projects from other organizations • Adequacy of project choices in view of existing context, infrastructure and cost • Quality of results-based management reporting (progress reporting, monitoring and evaluation) • Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency • Cost associated with delivery mechanism and management structure compare to alternatives	• Project documents and evaluations • UNDP • Project team	• Document analysis • Key interviews
How efficient are partnership arrangement for the project?			
• To what extent partnerships/linkages between institutions/organizations were encouraged and supported? • Which partnerships/linkages were facilitated? Which ones can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements?	• Specific activities conducted to support the development of cooperative arrangements between partners, • Examples of supported partnerships • Evidence that particular partnerships/linkages will be sustained • Types/quality of partnership cooperation methods utilized	• Project documents and evaluations • Project partners and relevant stakeholders	• Document analysis • Interviews
Did the project efficiently utilize local capacity in implementation?			
• Was an appropriate balance struck between utilization of international expertise as well as local capacity? • Did the project take into account local capacity in design and implementation of the project? • Was there an effective collaboration between institutions responsible for	• Proportion of expertise utilized from international experts compared to national experts • Number/quality of analyses done to assess local capacity potential capacity	• Project documents and evaluations • UNDP Beneficiaries	• Document analysis • Interviews

implementing the project?			
What lessons can be drawn regarding efficiency for other similar projects in the future?			
• What lessons can be learnt from the project regarding efficiency? • How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc…)? • What changes could have been made (if any) to the project in order to improve its efficiency?		• Data collected throughout evaluation	• .Data analysis
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
• Did the project make strategies for sustainability during its design and implementation? • What strategies were developed to ensure the sustainability? • Are the strategies for sustainability related with long-term conservation of wild relatives?	• Reduction level of threats and root causes to the conservation of wild relatives. • Financial arrangements to ensure the sustainability • Institutional arrangements to ensure the sustainability • Level of awareness improvement for conservation of wild relatives of local communities and farmers • Capacity of local communities and farmers for conserving wild relatives	• Data collected throughout evaluation • Interviews with local communities and farmers	• Data analysis
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
• What were the environmental stresses at the beginning of the project? • Have the environmental stresses been mitigated? At what level? • Have the ecological status of the habitats and resources of targeted species been improved? At what level?	• Threats to targeted WRCs at project beginning • Changes of the habitats of wild relatives at the project sites • Changes of around ecosystems at the project sites • Changes of the resources of target species	• Data collected throughout evaluation • Interviews with local communities and farmers	• Data analysis

ANNEX D: RATING SCALES

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	***Sustainability ratings:***	***Relevance ratings***
6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML):moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1.. Not relevant (NR) ***Impact Ratings:*** 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

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.

Evaluation Consultant Agreement Form[3]

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant)**:** _____

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

Signed at *place* on *date*

Signature: _____

[3] www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE[4]

i. Opening page:

- Title of UNDP supported GEF financed project
- UNDP and GEF project ID#s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program/Strategic Program
- Implementing Partner and other project partners
- Evaluation team members
- Acknowledgements

ii. Executive Summary

- Project Summary Table
- Project Description (brief)
- Evaluation Rating Table
- Summary of conclusions, recommendations and lessons

iii. Acronyms and Abbreviations

(See: UNDP Editorial Manual[5])

1. Introduction

- Purpose of the evaluation
- Scope & Methodology
- Structure of the evaluation report

2. Project description and development context

- Project start and duration
- Problems that the project sought to address
- Immediate and development objectives of the project
- Baseline Indicators established
- Main stakeholders
- Expected Results

3. Findings

(In addition to a descriptive assessment, all criteria marked with (*) must be rated[6])

3.1 Project Design / Formulation

- Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and

[4]The Report length should not exceed *40* pages in total (not including annexes).

[5] UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

[6] Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

operational issues

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____

ANNEX H List of Key Stakeholders

No.	Name	Gender	Work Unit	Position	Telephone	E-mail
Project Implementation Agency						
1	Zhang Mingchun	Male	Xinyang Municipal Government	Deputy Mayor		
2	Liang Jihai	Male	Environmental Protection Bureau of Xinyang Municipal Government	Director		
3	Shao Bing	Female	Environmental Protection Bureau of Xinyang Municipal Government	Deputy Director		
4	Peng Bo	Male	PMO	PM		
International implementation Agency						
5	Ma Chaode	Male	UNDP	Project Manager	13910752296	
6	Zhao Xinhua	Female	UNDP	Project Associate	13520326580	
Members of National Policies Steering Committee						
7	Li Rui	Male	International Department , Ministry of Finance	Deputy Division Chief		
8	Fang Zhi	Male	Department of Nature and Ecology Conservation, Ministry of Environmental Protection	Division Chief		
9	Wang Aihua	Female	FECO, Ministry of Science and Technology	PM		
Experts						
10	Xue Dayuan	Male	China Minzu University	CTA/Prof.		
11	Chen Ming	Male	FECO, Ministry of Science and Technology	Division Chief		
Local Stakeholders (TBC)						
12						
13						