**UNDP-Macao Initiative for Carbon Sequestration through Sustainable Forest Management**

（Project ID 00084586）

**Mid-Terminal Evaluation**

***Mission Member:***

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March 2015

Basic Report Information

Title of project: UNDP-Macao Initiative for Carbon Sequestration through Sustainable Forest Management

UNDP Award ID：00070741

UNDP Project ID：00084586

Mid-terminal Evaluation time frame: June 2013 – December 2014

Date of evaluation report: March 8, 2015

Region and Countries included in the project: China

Executing Entity: Beijing Forestry Carbon Administration (BFCA)

Implementing Agency: Beijing Municipal Bureau of Forestry and Parks (BMBFP)

Evaluation team members: Mr. WANG Guosheng, National Consultant

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trade in Beijing even in China.

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**Acronyms and Abbreviations**

|  |  |
| --- | --- |
| NDRC | National Development and Reform Commission |
| SFA | State Forestry Administration |
| Macao SAR | Macao Special Administration Region |
| CAF | Chinese Academy of Forestry |
| BMCDR | Beijing Municipal Commission of Development and Reform |
| BMBFP | Beijing Municipal Bureau of Forestry and Parks |
| BFCA | Beijing Forestry Carbon Administration |
| BFU | Beijing Forestry University |
| BFS | Beijing Forestry Society |
| CIGC | Chinese Institute of Green Carbon |
| CBFP | County Bureau of Forestry and Parks |

|  |  |
| --- | --- |
|  |  |

# Executive Summary

## 1.1Basic Project Information

Table 1 Key Project information

|  |  |
| --- | --- |
| Project Title: UNDP-Macao Initiative for Carbon Sequestration through Sustainable Forest Management | |
| UNDP Award ID | 00070741 |
| UNDP Project ID | 00084586 |
| Project Duration | 3 years ( 2013-2015) |
| Reporting Period | January 2013 –December2014 |
| Total Approved Project Budget | USD 1,000,000 |
| Participating UN agencies | N/A |
| Implementing Partners/  National collaborating agencies | Beijing Forestry Carbon Administration (BFCA) |
| International collaborating agencies | N/A |
| Cost-sharing third parties | Macao SAR Government |
| UNDP Contact officer | Zhang Weidong/Fan Shuhua |
| Project website | N/A |

## 1.2 Project Description

The important role of forestry carbon in combating climate change has been widely attended to and recognized by the international community and forestry carbon will be the most economic, pragmatic, and effective measure. The Chinese government attaches great importance to climate change, and has actively taken various kinds of efforts to reduce emissions and increase carbon sinks, including promoting the development of the nationwide voluntary carbon market. To facilitate the development of national voluntary carbon market in China to mitigate climate change through development of national methodologies for forestry carbon sequestration projects, establishment of demonstration area (pilot) of sustainable forest management (SFM) for carbon sequestration, and accounting and monitoring the carbon sequestration, along with publicity and education activities in Beijing, UNDP entered a strategic partnership with Macao Special Administrative Region (referring to as “Macao SAR” hereinafter) and the Beijing Forestry Carbon Administration (BFCA) for UNDP-Macao Initiative for *Carbon Sequestration through Sustainable Forest Management* through implementing a SFM-based carbon sequestration project for 3 years (Jan. 2013 – Dec. 2015) with a total budget of US$ 1 million from Macao.

The project was initiated with the objectives and strategy as following: 1) supply technical reserves for Beijing and even national voluntary carbon trading market through developing technical guidelines and management regulations for SFM-based carbon sequestration projects; 2) establishing a platform for demonstration and communication through the building of the pilot SFM-based carbon sequestration project and related carbon accounting and monitoring practices; 3) capacity building through managerial and technical personnel training and raising the awareness of general public and local community on the role of forestry in combating climate change; 4) bring multiple co-benefits, e.g. biodiversity conservation, soil and water conservation and livelihood improvement to demonstration area.

## 1.3 Project progress Summary

UNDP, Macao Government and BFCA reached an initial cooperation agreement at the beginning of 2013, signed the agreement in April, 2013. The project has been executed smoothly and successfully and accomplished all the planned activities since signature of official agreement in April 2013. The main results of project has achieved as follows:

* Output 1 and relative activities had been fully accomplished：(1)Set of technical guidelines of forest management developed with a focus on forest carbon sequestration, (2) Set of technical guidelines for carbon accounting and monitoring formulated for the SFM-based carbon sequestration project, and (3) set of management regulations for forestry carbon sequestration project and (4) Management Rules for Trading of Forestry Carbon Programs in Beijing
* Output 2 had been partly accomplished：(1)A demonstration area of no less than 160 ha established following the forest management guidelines for carbon sequestration, (2) Baseline survey for the demonstration area was conducted and the report was delivered, (3) Carbon accounting models for 3 tree species were developed and (4) carbon accounting and monitoring of the project was developed.
* Output 3 had been partly accomplished：(1) 10 key technical staffs get technical training on SFM-based carbon sequestration at domestic and overseas,（2）Pamphlets and brochures of the project for public awareness raising developed

（3）Over 14 large awareness promotion events and 13 international and domestic technical training and workshops were held, with an estimated audience over 5 million people，(4) Over 50 websites, newspapers and magazines and 4 TV programs have reported projects, reaching a much greater number of audience than expected 0.5 million and generating wide impact domestically and internationally.

* Output 4 had been implemented smoothly：(1) Work planning, progress and financial reporting and other required management tasks smoothly completed (2) Operation of Project Maintenance Office (PMO) were maintained. (3) 2 new UN volunteers were recruited and attended the project.

## 1.4 Mid- terminal evaluation Ratings and Achievement Summary

Table 2 Mid - terminal evaluation Ratings

|  |  |  |
| --- | --- | --- |
| **Measure** | **MTR Rating** | **Achievement Description** |
| **Project Strategy** | **N/A** |  |
| **Progress Towards Results** | Objective Achievement Rating:  **Highly Satisfactory** | The project accomplish all target objectives in 2013-2014 according to annul and two years plans without any delay and shortcoming. |
| Outcome 1 Achievement Rating:  **Highly Satisfactory** | Set of technical guidelines of forest management focus on forest carbon sequestration, Set of technical guidelines for carbon accounting and monitoring for the SFM-based carbon sequestration project and Set of management regulations for forestry carbon sequestration project had been finished. |
| Outcome 2 Achievement Rating:  **Highly Satisfactory** | Establish and maintain a high standard demonstration of 160 ha in Beijing, and develop carbon accounting models for 3 key tree species in Beijing. |
| Outcome 3 Achievement Rating:  **Highly Satisfactory** | All capacity building, communication and advocacy of project had been finished. |
| Outcome 4 Achievement Rating:  **Highly Satisfactory** | Project had been implemented smoothly. |
| **Project Implementation & Adaptive Management** | **Highly Satisfactory** | Project components including management arrangements, work planning, finance , project monitoring and evaluation, stakeholder engagement, and communications , had been implemented efficiently and effectively . |
| **Sustainability** | **Likely** | No risks to sustainability, all outcomes had been fully and partly achieved and expected to get full results by the end of theproject. |

## 1.5 Concise Summary of Conclusion

1.5.1 Project progress

Outputs and activities of the project had been completed according to project plans.

1. The project has finished all the guidelines, methodologies and rules of SFM based carbon sequestration.
2. The demonstration area for SMF based carbon sequestration was constructed and maintained, the report of carbon accounting and monitoring for the project was submitted, carbon accounting models for 3 key tree species in Beijing was developed.
3. Project communication and advocacy had been fully and overstepping accomplished: (1)14 large and medium awareness promotion events and 13 technical training and exchange workshops were held；（2）Over 50 websites, newspapers and magazines and 4 TV programs have reported in projects, (3) more than expected 0.5 million audience and generating wide impact domestically and internationally (5) UN senior officials have actively participated in the publicity activities.
4. Project implementation and management was smooth, including recruiting project coordinators, UN Volunteers from Macao, delivering work planning, reporting, auditing and various M&E reports.
5. Financial management was implemented smoothly. UNDP office was responsible for fund management and audit in accordance with the progress of the project schedule. Project submitted quarterly, annual financial report and audited report.

1.5.2 Significance of project results

1. In the context of China's forestry strategy changing from afforestation to forest management, it is advanced in China that the project put forward the ideas of SFM based carbon sequestration. It is the first time to establish a set of methodologies guidelines of SFM based carbon sequestration for forest project, which explored new forestry techniques and methods to address climate change. It is a new attempt, comparing to the previous Chinese forestry carbon sequestration projects mainly concentrating on the afforestation carbon sequestration.
2. The project has established SFM based carbon sequestration demonstration area, which applied and demonstrated the guidelines and rules deriving from the project. Forest carbon monitoring models of three tree species in Beijing had been established, by actual application of above guidelines in the demonstration area. It is beneficial for checking and upscaling the related guidelines and rules by combining with practices in the demonstration area.
3. **A** lot of work have been accomplished in communication and advocacy of the project for forestry to address climate change and SFM based carbon sequestration. The communication and advocacy strategy of project had following features:(1) The strategy has four levels: the international oriented , domestic oriented, forestry oriented, and community oriented; (2) Multiple types of communication: seminars and workshops, international conferences, publicity activities, exhibition, television and internet;(3) Multiple participants: UN officials, government officials, community people and forest technicians.
4. Communication and advocacy strategy of the project had produced significant effects: (1) It makes more people understand and recognize the role of forestry to address climate change; (2) It makes more people know the results of the project and SFM based carbon sequestration; 3) Based in Beijing, the capitalof China, the project got more opportunities to hold international conferences and workshops. We invited the United Nations Secretary General Ban Ki-moon to attend the conference related to forest carbon and also invited other senior UN officials to actively participate in the publicity activities, visit the demonstration site which improved the international influence of the project results.
5. It is greatly significant to put forward the carbon neutral concept and method of carbon footprint calculator in communication of the project, which contributes to the concretization and practicability of forestry carbon, makes the public know the concept of forestry carbon sequestration and makes forestry carbon sequestration more simple and feasible.

1.5.3 Recommendations

Forestry carbon sequestration trading is based on guidelines and methodologies of SMF based carbon sequestration. The project has submitted to Beijing Environment Exchange a trading application request of a forest carbon sequestration project in Shunyi District for the accounting period of 20 years. It is significant for the forest carbon market. One of the main goals of Macao project is to promote the forestry carbon sequestration trading in China. Following works will be conducted in 2015:

1. With the establishment of demonstration area and relevant research on guideline and rules in Miyun, further research and experiences on monitoring and accounting of SFM based carbon sequestration should be conducted, especially in monitoring models of main tree species in Beijing.
2. With the cooperation of NDRC and BMCDR, forestry carbon sink trade should be promoted combining with pilot of carbon emission trading in Beijing.
3. Considering the advantages of the capital as the political, scientific, technological and international center of the country, communication and advocacy work of the project results should be enhanced in particularly on the guideline and rules of SFM based carbon sequestration and forest carbon trade.
4. It is very important for international community to address climate change in 2015. The COP 21 of UNFCCC will be held in December in Paris, the leaders of the parties and UN organizations will attend this meeting to finish the long term negotiation of new agreement of climate change. It is suggested that PMO and UNDP China office apply for attending the conference to hold side events and/or workshops to communicate the project results, to advocate idea of SMF based carbon sequestration, and to exchange experiences of policies, techniques and methods of forest carbon with the international community, and to raise the visibility of the support of Macao SAR to Beijing.
5. International cooperation, especially deployment of United Nations Volunteers (UNV), is important to promote project implementation. Those should be enhanced based on existing cooperation with UNV.
6. The successful experience of the project is widely applicable in Beijing-Tianjin-Hebei Region. With the guidance of the national collaborative development policy and ecological forestry policy of Beijing-Tianjin-Hebei Region, low-carbon development should be explored in watershed forest reserves and sustainable forestry carbon sequestration management needs to be demonstrated and promoted in Beijing-Tianjin-Hebei Region based on the successful implementation of the project.

# Introduction

## 2.1 Purpose of the MTE and objectives

According to Terms of Reference for the Mid-Term Evaluation, the purpose of the MTE is to evaluate the project implementation and management performances. It will determine whether the projects are on track to achieve the objectives and they need to be sustained or revisions to keep them on track. The MTE will also determine and report on the experiences and lessons learned during the project implementation so as to provide guidance in determining the targets and strategies for the remaining period of the project.

## 2.2 Scope, methodology and approach of MTE

2.2.1 Scope of MTE

The Terms of Reference for the Mid-Term Evaluation provided a clear scope of the evaluation approach to be adopted:

The scope of the MTE covers the Macao project and its components. The MTE will assess the implementation of the Macao Projects including the status of the project activities, outputs and the resource disbursements made up to the end of 2014.

The MTE will assess 1) how and if this set-up work ensures the content/outputs of the project; 2) how things are going with all the contributing partners on several levels of the project, with Macao, BFCA in China and the different subcontractors when there are challenges that some parts of the work are dependent on the progress of other work being finalized first.

The MTE will involve analysis at two levels: output level and project level. On the output level, the following shall be assessed:

* Whether there is effective relationship and communication between/among outputs so that data, information, lessons learned, best practices and results are shared efficiently, including cross-cutting issues;
* Whether the communication between the PMO with Macao government?

The MTE will also include aspects such as appropriateness and relevance of work plan, compliance of the work，financial plan with budget allocation, timeliness of disbursements, procurement, coordination among project team members and committees, and UNDP country office support. Any issue or factor that has impeded or accelerated the implementation of the project or any of their components, including actions and resolutions should be highlighted.

At the project level, besides looking into the interlink of the two projects and all the different contributors on different levels, the MTE will assess the project performance in terms of: (a) Progress towards achievement of results, (b) Factors affecting successful implementation and achievement of results, (c) Project Management framework, and (d) Strategic partnerships.

1. Progress towards achievement of results (internal and within Projects’ control)

* Is the project making satisfactory progress in achieving project outputs vis-à-vis the targets and related delivery of inputs and activities?
* Given the level of achievement of outputs and related inputs and activities to date, is the project likely to achieve its purpose/objective and contribute to the realization of its goal?
* Are there critical issues relating to achievement of project results that have been pending and need immediate attention in the next period of implementation?

1. Factors affecting successful implementation and achievement of results (beyond the Projects’ immediate control or project-design factors that influence outcomes and results)

* Is the implementation of the project and achievement of results proceeding well according to its plan, or are there any outstanding issues, obstacles, bottlenecks, etc. with government (national and local), research institutes (sub-contractors) or private sectors as a whole that are affecting the successful implementation and achievement of project results?
* Through their interview to check out to what extent the broader environment of policy remains conducive to achieve expected project results, including existing and planned legislation, rules, regulations, policy guidelines and government priorities?
* Is the designing of the project still relevant in the light of the project experience to date?
* To what extent do critical assumptions/risks in project designing make true under present circumstances and which does the success of the project hold on? Has the project team validated these assumptions as presently viewed by the project management and determine whether there are new assumptions/risks that should be raised?
* Do the outcomes of the project remain valid and relevant, or are there items or components in the project designing that need to be reviewed and updated?
* Are the institutional and implementation arrangements of the project still relevant and helpful in the achievement of the projects’ objective and outcomes, or are there any institutional concerns that hinder the implementation and progress of the project?

1. Project management (adaptive management framework)

* Are the arrangements of project management adequate and appropriate?
* How effectively is the project managed at all levels? Is it results-based and innovative?
* Do the project management systems, including progress reporting, administrative and financial systems, monitoring and evaluation system, operate as effective management tools, aid in effective implementation and provide sufficient basis for performance evaluation and decision making?
* Is technical assistance and support from project partners and stakeholders appropriate, adequate and timely?
* Validate whether the risks originally identified in the project document and, currently in the Quarterly Operational Report (QOR)/Annual Project Report (APR) are the most critical and the assessments and risk ratings are reasonable.
* Describe additional risks identified during the evaluation, if any, and suggest risk ratings and possible risk management strategies to be adopted.
* Assess the use of work plans of the project as management tools and in keeping with the requirements of UNDP/Macao in planning and reporting.
* Assess the use of electronic information and communication technologies in the implementation and management of the project.
* On the financial management side, assess the effectiveness of the cost of interventions and keep track of any irregularities.
* How have the QOR/APR process helped monitoring and evaluating the implementation and achievement of results?

1. Strategic partnerships

* Are there further opportunities for stronger collaboration and substantive partnerships identified to enhance the achievement of results and outcomes of the project?
* Are the project information and progress of activities disseminated to project partners and stakeholders? Are there areas to improve in the collaboration and partnership mechanisms?

2.2.2 Specific tasks for the evaluation

Through the review of documents related to the projects such as project documents, quarterly and annual progress reports, other activity/component specific deliverable and evaluation, to conduct structured interview with parties (BFCA, the Project Management Office, Sub-Contracting Parties/Entities, UNDP Country Office Counterparts, etc.), and the evaluation mission will carry out the following tasks:

Review of the project designing and planning to find out whether: (a) the project approaches and strategy are sound, (b) the immediate objectives and outputs are properly stated and verifiable in the project logical framework, (c) the timeframe of the projects is feasible and practicable, and (d) others.

Review of project performance: timeliness and quality of inputs; timeliness and cost-effectiveness of activities undertaken; quality and quantity of outputs produced; achievement of outcomes; and a financial review against the project budget.

The projects are now more or less in the mid duration and as such, progress should be measured against outputs stated in the project document. The evaluation will focus on such aspects as appropriateness and relevance of work plan, compliance with the work plan along side with budget allocation; timeliness of disbursements; procurement, quantity and quality of outcomes; any reallocation of funding or re-adjustment of planned projects’ activities are needed; coordination among different project actors and UNDP country office support. Any issues that have impeded or advanced the implementation of the project or any of their components, including actions and resolutions should be highlighted.

Provide recommendations on the improvement or sustenance of the implementation of the remaining activities of the project; and look at whether these are still relevant in light of policy development and related activities being undertaken by the government.

2.2.3 Methodology and approach of MTE

* Review of project documentation and progress reports (such as the APR-PIRs), project technical reports such as guideline of forest management to increase carbon sequestration, guideline of carbon accounting and monitoring for forest management project and management regulation for forest carbon project in Beijing ;
* Meetings with stakeholders from Government entities (Beijing Forestry Carbon Administration) and key institutions (Beijing Forestry Society , Chinese Institute of Green Carbon).
* Responsible for the technical inputs into development and formulation guidelines and pilot regions including the Project Coordinator, technical advisers, and relevant UNDP staffs;
* Reviewing Project achievements against the intended specified objectives and outcomes and establishing the relevance, performance and success of the Project, including the sustainability of results;
* Preparation of the report that is a collation and analysis of specific lessons and best practices pertaining to the strategies employed, and implementation arrangements, which may be of relevance to other projects in the country.

## 2.3 Structure of the MTE report

This evaluation report is presented as follows:

* An overview of project progress from the commencement of operation in June 2013;
* An assessment of project achievements based on project objectives and outcomes ;
* Assessment of monitoring and evaluation systems;
* Assessment of progress that affected Project outcomes and sustainability; and
* Conclusions and recommendations.

This evaluation report is designed to meet GEF’s “Guidance for conducting midterm reviews of UNDP-supported GEF –financed projects” (project level monitoring) 2014.

# Project Description and Background

## 3.1 Project development context

Climate change has become an important issue in the international political, economic and diplomatic area. China is a critical country to address climate change. Chinese government attaches great importance to climate change and has actively taken various kinds of efforts to reduce emissions and increase carbon sinks, including promoting the development of the nationwide voluntary carbon market. The Notice regarding the Pilot of Development of Carbon Emissions Trading by the National Development and Reform Commission announced that seven provinces and cities including Beijing would be the first batch of pilot provinces and cities in the development of carbon emissions trading, and they have been requested to officially launch their pilot of carbon trading in 2013.

Forestry carbon trading is an important part of the carbon emissions trading system, and forestry carbon has been developed since Chinese government awarded “a special position” to forestry in response to climate change with a series of principles and policies launched in China. Moreover, guidelines for afforestation, accounting and monitoring, verification for carbon afforestation projects have been gradually issued. Market-based institutions such as the China Green Carbon Fund and the China Forest Rights Exchange have been established. With Chinese forestry undergoing changes from afforestation to forest management, there is great potential for establishing carbon sequestration projects. Such a project would not only involve reforestation projects but also forest management projects, which capitalize on an increase in carbon storage through targeted management approaches such as sustainable management (SFM) and vegetation restoration projects. However, while there are more than 10 forestry-related methodologies for voluntary carbon sequestration projects available in other countries, such methodologies do not exist in China.

## 3.2 Problems that the project sought to address

The context above created a barrier to effectively link up the carbon market and local forest management as the carbon benefiting from new management practices cannot be verified and therefore become a product in the carbon trading market. The current project will address this specific barrier by developing and introducing appropriate methodologies/guidelines for forest management to promote the development of forestry practices and accounting based on best international practices. In support of this the project will also improve the capacities of local professional personnel enabling them to use and implement the developed methodologies and guidelines.

## 3.3 Project Description and Strategy

To address the current lack of methodologies and guidelines necessary for ensuring that appropriate accounting, report and verification of project can be provided for local carbon sequestration projects in the forestry sector, UNDP has entered into a strategic partnership with Macao Special Administrative Region for the implementation of a Sustainable Forest management based carbon sequestration initiative for 3 years (January 2013 – December 2015) with a total budget of US$ 1 million from Macao.

The initiative objective are the development of methodologies for forestry carbon sequestration projects, establishment of pilot demonstration area of forest management, accounting and monitoring the carbon sequestration of the project, along with publicity and education activities in Beijing.

The main objectives of the project are to

* Develop guidelines for SFM-based carbon sequestration project and management regulations for carbon sequestration project in Beijing.
* Demonstrate forest management practices in a suburban county of Beijing.
* Enhance the capacities of technical staffs of the project and forestry practitioners on SFM-based carbon sequestration
* Cross-cutting benefits, such as the improvement of biodiversity conservation in the demonstration area, promotion of livelihood for forestry community residents, and the sustainable development of local communities, etc.

The main outcomes of the project are as followed:

Oucome1: Guidelines for sustainable forest management targeted to increase carbon sequestration, guidelines of carbon accounting and monitoring for forest management project, and management regulations for forestry carbon projects.

Oucome2: Demonstration area of no less than 160 hectares (equal to 2400 mu) with typical forests in a suburban county of Beijing is selected and developed, following the guidelines developed above for forest management of carbon sequestration. The report on the carbon sequestration capacity for the project is submitted with the guidance of the carbon accounting and monitoring regulations.

Oucome3: The capacities of technical staffs of the project and forestry practitioners on SFM-based carbon sequestration are improved through technical training domestically and overseas, and the awareness of forestry carbon and voluntary carbon market of the local forestry communities and the general public of Beijing is enhanced through publicity activities.

Outcome4: Project implementation and management arrangements in place with recruited project coordinators, UN Volunteers from Macao fulfill the work planning, reporting, auditing and M&E.

## 3.4 Project implementation arrangements

The project is nationally executed in line with the Standard Basic Assistance Agreement between UNDP and the Government of China, and the country programme action plan and in this regard the Beijing Forestry Carbon Administration (BFCA) is to be the implementing partner.

Oversight of activities of the project will be the responsibility of the Project Steering Committee (PSC). Day-to-day operational oversight will be ensured by UNDP, while the UNDP Country Office in Beijing responsible for the project. This oversight will include ensuring that the project practices due diligence with regard to Environmental and Social Screening Procedure of UNDP.

The BFCA will take overall responsibility for the execution of the project , and the timely and verifiable attainment of project objectives and outcomes, but will report to PSC. BFCA will provide support, inputs, the implementation of all project activities, recruitment of project staffs and contracting of consultants and service providers with the advice and involvement of UNDP. International procurement will be mainly handled by UNDP upon request of BFCA. BFCA will set up Project Management Office (PMO), appoint a National Project Director and a National Project Manager (NPM) to be responsible for the overall management of the project and PMO.

UNDP Country Office will be responsible for: (i) providing financial and audit services to the project; (ii) overseeing financial expenditures against project budgets approved by PSC; (iii) appointment of independent financial auditors and evaluators; and (iv) ensuring that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures. A UNDP staff member will be assigned the responsibility for the day-to-day management and control of project finances.

3.5 Project timing and milestones

Table 3 Project process and milestones

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Outcome | Indicators | Timeframe and milestones | | | | | | | | | | | |
|  |  | 2013 | | | | 2014 | | | | 2015 | | | |
|  |  | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Outcome1  Guidelines for sustainable forest management developed and targeted to increase carbon sequestration, and for carbon accounting and monitoring of forest management project, and management regulations for forestry carbon projects are developed. This will provide reference for the similar regions, and effectively promote the development of Chinese voluntary carbon market. | 1.Develop a set of technical guidelines (trial version) to improv/update forest management practices, with a focus on increasing carbon sequestration. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. Establish a set of technical guidelines (trial version) for carbon accounting and monitoring for SFM-based carbon sequestration project. |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. Formulate a set of management regulations (trial version) for forestry carbon sequestration project. |  |  |  |  |  |  |  |  |  |  |  |  |
| Outcome 2  Demonstration area of no less than 160 hectares (equal to 2400 mu) with typical forests in a suburban county of Beijing is selected and developed, following the guidelines developed above for forest management of carbon sequestration. The report on the carbon sequestration capacity for the project is submitted with the guidance of the carbon accounting and monitoring regulations. | 1.Establish a high standard demonstration area no less than 160 ha (equal to 2400 mu) in Beijing. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. Submit the work program of carbon accounting and monitoring for the project (including carbon monitoring work plan). |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. Submit the report of carbon accounting for the project. |  |  |  |  |  |  |  |  |  |  |  |  |
| 4. Develop carbon accounting models for 2-4 key tree species available in Beijing |  |  |  |  |  |  |  |  |  |  |  |  |
| 5. Constructed demonstration area maintaining a high standard. |  |  |  |  |  |  |  |  |  |  |  |  |
| 6. Benefit to local communities through capacity building, awareness raising and livelihood improvement (labor service in demonstration pilot establishment). |  |  |  |  |  |  |  |  |  |  |  |  |
| Outcome 3  The capacities of project technical staff and forestry practitioners on SFM-based carbon sequestration improved through technical training domestically and overseas, and the awareness of forestry carbon and voluntary carbon market of the local forestry communities and the general public of Beijing is enhanced through publicity activities. | 1. 10 key technical staffs receive technical training on forestry carbon. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. 90 local technicians receive technical training on forestry carbon |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. At least 0.5 million of the forestry communities and the general public are reached through publicity activities on forestry carbon addressing climate change. |  |  |  |  |  |  |  |  |  |  |  |  |
| Outcome 4  Project implementation and management arrangements in place with recruited project coordinators, UN Volunteers from Macao to fulfill work planning, reporting, auditing and M&E. | 1. Recruit 1 professional staff member to be responsible for the project comprehensive management. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. Recruit 2 United Nations volunteers to participate in the management of the project |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. Submit work plans, financial reports and quarterly progress reports, and Project Final Report. |  |  |  |  |  |  |  |  |  |  |  |  |
| 4. Organize institutions and experts to conduct the required work, project audit and M&E, and submit all reports. |  |  |  |  |  |  |  |  |  |  |  |  |
| 5. Ensure the smooth operation and sustainability of the project. |  |  |  |  |  |  |  |  |  |  |  |  |

In progress In improvement progress Accomplishment

## 3.6 Main stakeholders

The main stakeholders involved in the Project are listed in Table 4.

|  |  |
| --- | --- |
| Organization | Role in the Project |
| Macro SPA | Donor of Project |
| UNDP Country Office in Beijing | Day-to-day operational oversight of project |
| Beijing Forestry Carbon Administration | Take overall responsibility for the execution of the project |
| National Development and Reform Commission (NDRC) | PSC member |
| State Forestry Administration | PSC member |
| Beijing Municipal Commission for Development and Reform (BMCDR) | PSC member |
| Beijing Municipal Bureau of Forestry and Parks (BMBFP) | Organizing Agency and PSC member |

Table 4 The main stakeholders of project

# Findings

## 4.1 Project Strategy

4.1.1 Project Design

Up to now, there have not been specific and feasible methodologies/guidelines of sustainable forest management targeted to carbon sequestration to address climate change in China. The lack of appropriate methodologies/guidelines for forest management for forest carbon sequestration had hindered the development of forest carbon trading market, which is critical to forest to address climate change. The current project will address this specific barrier by developing and applying set of appropriate methodologies/guidelines of forest management for carbon sequestration to promote the development of forestry practices and accounting based on international best practices, establishment of pilot demonstration area of forest management, for accounting and monitoring the carbon sequestration of the project, along with publicity and education activities in Beijing.

The Project designed the feasible route towards to the results: the first step is to establish a set of guideline and methodologies of SFM-based carbon sequestration ; the second step is to establish demonstration area for applying SFM- based carbon sequestration practices and conduct baseline of forest carbon sequestration project by guidelines for accounting and monitoring of carbon sequestration for forest management project in Beijing; Meantime, conduct research on accounting models of 4 trees for carbon sequestration through sustainable forest management in Beijing; the third step is to enhance the capacities of project technical staff and project communication and advocacy

The objectives and outcomes of project are to solve the problems that forestry addresses climate change in China. Methodologies of sustainable forest management based carbon sequestration will become more important in China forest development strategy changing from large scale afforestation to forest management; Secondly, the project conducted management rules for trading of forestry carbon programs in Beijing. This was first successful forest carbon trade in China. China will establish national scale carbon emission trade market, where forestry carbon trade will be important sector. The rules of forestry carbon trade had been formulated by the project, which is significant for forestry to address climate change in China

The project communication and advocacy strategy on forest addressing climate change is unique. The project put forward the concept of carbon neutral of conference, and carbon foot calculator, diversified communication and advocacy approaches, including the Chinese government, international organizations, Non-Government Organizations, social group and etc., which provided the reference to communication, education and capacity building in forestry addressing climate change.

Capacity building and training in international and domestic levels are also the urgent areas to be promoted in forestry carbon sequestration, especially for technician training in the local level and community, to improve the science and technology capacity of forest staffs of local level.

Another communication strategy is to invite two UN volunteers to participate in the project. The UN volunteers had provided overseas experiences for the project management, also improved the international participation level of the project. The project put forward methodologies and guidelines of SFM-target to carbon sequestration，but those rules were based on tree types in Beijing. Whether the methodologies and guidelines will be implemented as the national methodologies, it needs more time on researches. Secondly, it needs more research on sustainable forest management targeted to increase carbon sequestration proposed by the project. Thirdly, guidelines for sustainable forest management targeted to increase carbon sequestration, carbon accounting and monitoring for forest management project, and management regulations for forestry carbon projects need to be improved in context with guidance of IPCC .

4.1.2 Results Framework/Logframe

The Logical Framework for the Project was discussed by UNDP, Project Appraisal Committee (PAC) with the full collaboration and support form Macao Government and other project stakeholders during the designing of the Project. The project’s objectives and outcomes were clear and practical within its 3 years execution (2013-2015). The project indicators met SMART criteria (Specific, Measurable, Attainable, Relevant, Time-bound). According to the project progress achieved of two years (June,2013-December, 2014), SFM will catalyze beneficial effects in the improvement of biodiversity conservation in the demonstration area, promotion of livelihood for local residents, and sustainable development of local communities, etc, in addition to development of technical methodologies/guidelines for SFM-based carbon sequestration project.

## 4.2 Progress Towards Results

4.2.1 Progress Towards Outcomes Analysis

According to the annual plans in 2013 and 2014, the project had completed all the relevant activities. Guidelines, methodologies and rules of the output 1 had been completed; the construction of the demonstration area in Miyun county had been completed and maintained , and formulation of forest carbon sequestration models of Platycladus, Chinese pine and Oak had been accomplished, baseline report of the project had been delivered to PMO; Communication and advocacy of output 3 has been implemented overstepping the project plans, the project improved international influence by inviting the United Nations Secretary-General Ban Ki-moon and other senior officials to participate in the project publicity activities. The project had been implemented smoothly in management, oversight, financial management, audit , monitoring and evaluation, human management and risk management.

Table 5 Progress Towards Outcomes

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator** | **Baseline Level** | **Level in 1st PIR (self- reported)(First Quarterly progress report** | **Midterm Target** | **End-of-project Target** | **Midterm Level & Assessment** | **Achievement Rating** | **Justification for Rating** |
| **Outcome 1:**  Guidelines for sustainable forest management developed and targeted to increase carbon sequestration, and of carbon accounting and monitoring for forest management project, and management regulations for forestry carbon projects are developed. This will provide reference to the similar regions, and effectively promote the development of Chinese voluntary carbon market. | Indicator 1:Develop a set of technical guidelines (trial version) to improv/update forest management practices, with a focus on increasing carbon sequestration. | there are no technical guidelines | In progress | Set of technical guidelines (trial version) and applied in the demonstration area | Technical guidelines Issued |  | HS | Accomplishment of the end target |
| Indicator 2: Establish a set of technical guidelines (trial version) for carbon accounting and monitoring for SFM-based carbon sequestration project. | there are no technical guidelines | In progress | Set of technical guidelines (trial version) and applied in the demonstration area | Technical guidelines Issued |  | HS | Accomplishment of the end target |
| Indicator 3: Formulate a set of management regulations (trial version) for forestry carbon sequestration project. | There are no management regulations. | In progress | Regulations for forestry carbon project management in Beijing issued. | Technical guidelines submitted to BMCDR, SFA and NDRC for review. |  | HS | Accomplishment of the end target |
| **Output 2:** Demonstration area of no less than 160 hectares (equal to 2400 mu) with typical forests in a suburban county of Beijing selected and developed, following the guidelines developed above for forest management of carbon sequestration. The report on the carbon sequestration capacity for the project is submitted with the guidance of the carbon accounting and monitoring regulations. | Indicator 1: Establish a high standard demonstration area no less than 160 ha (equal to 2400 mu) in Beijing. | There is currently no demonstration area | In progress | A demonstration area of no less than 160 ha established | The demonstration area establishment and maintained. |  | HS | Accomplishment of the end target |
| Indicator 2: Submit the work program of carbon accounting and monitoring for the project (including carbon monitoring work plan). | There is no work program | In progress | Modification suggestions summarized to update the above guidelines. | The work program for carbon accounting and monitoring of the project is finished. |  | HS | Accomplishment of the end target |
| Indicator 3: Submit the report of carbon accounting for the project. | There is no report for carbon accounting report | Implemented in 2014 | Report on carbon accounting for the carbon sink capacity of the project was developed. | Report on carbon accounting for the carbon sink capacity of the project was assessed and issued. |  | S | Accomplishment of the end target , need to be improved |
| Indicator 4: Develop carbon accounting models for 2-4 key tree species available in Beijing. | There are no carbon accounting models | Implemented in 2014 | Carbon accounting models for 2-4 key tree were developed | Carbon accounting models was finished |  | HS | Accomplishment of the end target |
| Indicator 5: Constructed demonstration area maintained to a high standard. | There is currently no demonstration area | Implemented in 2014 | demonstration area is improved | demonstration area is maintained. |  | S | Accomplishment of the end target, need be improved to high standard |
| Indicator 6: Benefit to local communities through capacity building, awareness raising and livelihood improvement (labor service in demonstration pilot establishment). | There are no Benefit to local people from project. | Implemented in later 2013 and 2014 | Local communities get benefits from projects | Local communities get benefits from projects |  | S | Accomplishment of the end target, need to enhance the benefits of local people. |
| Output 3: The capacities of project technical staff and forestry practitioners on SFM-based carbon sequestration improved through technical training domestically and overseas, and the awareness of forestry carbon and voluntary carbon market of the local forestry communities and the general public of Beijing is enhanced through publicity activities. | Indicator 1:10 key technical staffs receive technical training on forestry carbon. | Local technical staff are lacking in knowledge and methodologies of SFM-based carbon sequestration. | Implemented in later 2013 and 2014 | At least 7 key technical staff get technical training | 10 key technical staffs receive technical training on forestry carbon. |  | S | Achieve most of its end–of project targets. |
| Indicator 2:90 local technicians receive technical training on forestry carbon. | local technicians are lacking in technical training on forestry carbon. | Implemented in later 2013 and 2014 | 90 local technicians get technical training on forestry carbon | 90 local technicians get technical training on forestry carbon |  | HS | Accomplishment of the end target |
| Indicator 3: At least 0.5 million of the forestry communities and the general public are reached through publicity activities on forestry carbon addressing climate change. | Awareness among local forestry communities and the general public of Beijing of addressing climate change through SFM and voluntary carbon market is very weak. | Implemented in later 2013 and 2014 | 0.3 million of the general public reached through publicity activities. | 0.5 million of the general public reached through publicity activities. |  | S | Achieve most of its end–of project targets. |
| **Output 4:** Project implementation and management arrangements in place with recruited project coordinators, UN Volunteers from Macao to fulfil work planning, reporting, auditing and M&E. | Indicator 1: Recruit 1 professional staff member to be responsible for the project comprehensive management. | There are not professional staff member. | In progress | Recruit 1 professional staff member to be responsible for the project comprehensive management. | 1 professional staff member was recruited and Operation of Project Maintenance Office (PMO) maintained. |  | HS | Accomplishment of the end target |
| Indicator 2: Recruit 2 United Nations volunteers to participate in the management of the project. | There are not United Nations volunteers | In progress | Recruit 2 United Nations volunteers to participate in the management of the project. | 2 United Nations volunteers were recruited and operation of Project Maintenance Office (PMO) maintained. |  | HS | Accomplishment of the end target |
| Indicator 3: Submit work plans, financial reports and quarterly progress reports, and Project Final Report. | There are not related report | Implemented in later 2013 and 2014 | Work planning, progress and financial reporting and other required management tasks smoothly completed. | All reports are finished and delivered. |  | HS | Accomplishment of the end target |
| Indicator 4: Organize institutions and experts to conduct the required work, project audit and M&E, and submit all reports. | There are not M&E, and related reports. | Implemented in later 2013 and 2014 | The project audit and M&E conducted. | Project M&E conducted and reports are developed. |  | HS | Accomplishment of the end target |
| Indicator 5: Ensure the smooth operation and sustainability of the project. | Lack of sustainability assessment and security | In progress | Sustainability of the project was secured. | Sustainability of the project was secured. |  | HS | Accomplishment of the end target |

The Midterm Targets are referred to targets and progress by the end of 2014.

**Indicator Assessment Key**

**Green= Achieved Yellow= On target to be achieved**

4.2.2 Remaining barriers to achieveg the objective of the project

There are no barriers to achieve the objective of the project .

## 4.3 Project Implementation and Adaptive Management

4.3.1 Management Arrangements

The Project has been well managed by the executing agency- PMO through their Project Coordinators under the direction of the BFCA. Indications of a well-managed project include the quality of the outputs, the timeliness of their delivery and budgets expended as planned.

The project has established a strong executive team: project steering committee, implementing agency- BFCA that which is responsible for implementation of the project, the executing agency- project management office (PMO), and appointed nations project director and project manager who are fully responsible for project management. UNDP country office will be responsible for project finance management, audit, oversight, etc.

Project management had been effective, such as establishment of management office, development of the project management rules, formulation of the annual plans, two years plans. When evaluated, the project has provided 7 project quarterly progress reports(Q2, Q3,Q4 in 2013, Q1,Q2,Q3,Q4 in 2014) and 2 annual reports ( 2013-2014). BFCA and PMO managed the activities according to the project work plans.

The project had been executed efficiently: activities of the output 1 had been completed, and those were the guidelines for sustainable forest management targeted to carbon sequestration, carbon accounting and monitoring guidelines for forest management project, and management regulations for forestry carbon projects. Most of the activities in the output 2 had been completed: the demonstration area of carbon sequestration based on forest management and monitoring and accounting models of 3 tree species have been established. Activities of the output 3 were more prominent: capacity building and training on the core project technicians and the local technicians, communication and advocacy of forestry carbon sequestration (seminars, UN officers, conference on carbon neutral and carbon foot calculator ,etc.).

By the end of 2104, all activities in the output 1 had been fully completed, most the activities in output 2 had been completed, and most the activities in the output 3 has completed

UNDP office contacted closely with project management office in the project management. UNDP national office was fully responsible for finance management, audit, oversight etc., the project finance management reports were put forward in a quarterly and annual project progress reports. For the international communication and advocacy, the UNDP office coordinated the activities and recruited international volunteers to participate in the project.

4.3.2 Work Planning

There are not any delays since the project started and during its implementation. All project activities had been accomplished according to work plans of Project designing document. During two years implementation of 2013-2014, the progress against the annual plans qualify of implementation arrangement was satisfactory.

4.3.3 Finance and co-finance

The Macao SAR donated $1 million to the project. By December 31, 2014, total expenditure was $805,602.09, accounting for 80.56% of the project budget, in accordance with the project's annual activities.

UNDP Beijing office is responsible for project finance management, auditing and oversight. When making the annual plan, the PMO revised the activities of the project and finance according to the progress of the project, and reported to the project steering committee. After getting the approval, project would be revised. The use of project finance was carried out completely according to the finance management rules of UNDP system. Project finance management was one of the main contents of the project quarterly report and annual report. Project finance was reported and audited timely and transparently.

4.3.4 Monitoring and Evaluation of the Project

Project carried out monitoring and evaluation on activities progress and finance management according to the UNDP monitoring tools and procedures, in accordance with the project work plans.

Monitoring and evaluation of project had been conducted:

* Baseline Survey Report of project (June 25, 2013）.
* Quarterly project progress reports ( Q2, Q3 and Q4 of 2013, Q1,Q2, Q3 and Q4 of 2014)
* Annual project reports (2013and 2014)
* Two-year work plans (2013-2014, 2014-2015)
* Quarterly Financial management reports and Quarterly work plan and budget
* Report of Funding Authorization and certificate of Expenditure for Macao Grant (FACE)

Project reports had been delivered:

* 《Forest management guidelines for carbon sequestration (trial version)》
* 《Technical Guidelines for Accounting and Monitoring of Carbon Sequestration for Forest Management Project in Beijing》
* 《Research on Accounting Models for Carbon Sequestration through Sustainable Forest Management》
* 《Management Rules for Trading of Forestry Carbon Programs in Beijing (Provisional)》

Table 6 Summary of Project Budget (in USD as of December 31, 2014)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Output | Source of funding | 2013 | | 2014 | | Total Expenditure | Planned in Pro document | % of project Budget |
| Annual Budget | Annual Expenditure | Annual Budget | Annual Expenditure |  |  |  |
| Output 1: Guidelines for sustainable forest management developed and targeted to increase carbon sequestration, and of carbon accounting and monitoring for forest management project, and management regulations for forestry carbon projects are developed. This will provide reference for the similar regions, and effectively promote the development of Chinese voluntary carbon market. | Macao SAR | 93,000 | 90,885 | 8,600 | 1,568 | 92,453 | *101,600* | 91 |
| Output 2: Demonstration area of no less than 160 hectares (equal to 2400 mu) with typical forests in a suburban county of Beijing selected and developed, following the guidelines developed above for forest management of carbon sequestration. The report on the carbon sequestration capacity for the project is submitted with the guidance of the carbon accounting and monitoring regulations. | Macao SAR | 35,000 | 35,364 | 440,800 | 438,354 | 473,718 | *513,800* | 92 |
| Output 3: The capacities of project technical staff and forestry practitioners on SFM-based carbon sequestration improved through technical training domestically and overseas, and the awareness of forestry carbon and voluntary carbon market of the local forestry communities and the general public of Beijing is enhanced through publicity activities | Macao SAR | 53,600 | 39,426 | 63,400 | 53,963 | 93,389 | *117,000* | 80 |
| Output 4: Project implementation and management arrangements in place with recruited project coordinators, UN Volunteers from Macao to fulfill work planning, reporting, auditing and M&E. | Macao SAR | 55,400 | 39,255 | 49,354 | 48,461 | 87,716 | *104,754* | 84 |
| **Total direct** |  | 237,000 | 204,930 | 562,154 | 542,346 | 747,276 | ***837,154*** | 89.26 |
| **UNDP General Management Support** |  |  | 81,280.63 |  | 20,822.89 | 102,103.52 |  |  |
| **Total** |  |  |  |  |  |  | ***1,000,000*** |  |

4.3.5 Stakeholder Engagement

The project built partnerships with different sectors at different levels. The project was nationally executed, in line with the Standard Basic Assistance Agreement between UNDP and the Government of China and the Beijing Forestry Carbon Administration is to be the Implementing partner. At international and national level, there are several partners: The BFCA will take overall responsibility for the project execution, and the timely and verifiable attainment of project objectives and outcomes, UNDP Country Office (UNDP-CO) will be responsible for all project finance issues and other partners including the Beijing Forestry Society, Chinese Institute of Green Carbon, County Bureau of Forestry and Parks, National Development and Reform Commission, State Forestry Administration, Beijing Municipal Commission of Development and Reform and Beijing Municipal Bureau of Forestry and Parks, the will involve in the project as a PSC member or as the executing agencies to be responsible for project activities.

Partnership with forestry bureaus in each counties of Beijing for conducting field work and acquiring essential information, with universities and research institutions for essential data and scientific work, with national and international experts or groups for their insights and experience, with enterprises for building carbon market, with mainstream media for publicity and so on. So far, the partnership is effective to bring about all the project progress.

4.3.6 Communications and advocacy

Communication and advocacy are main outputs of project and are crucial to effective implementation of the project. When the project started，the draft version of project’s communication strategy was developed and would be used to guide project publicity and public awareness promotion activities, including three sections-forest communities, general public and international communities oriented.

With the progress of the project, such activities will be conducted in depth and fully in strict accordance with the communication strategy.

Communication should be carried out on a regular basis so as to promote active exchange of ideas among all partners especially the PSC members. During 2013-2014, there have been several kinds of communication and advocacy activities:

* Seminars and workshops for methodologies and guidelines for SFM based forest carbon.
* General public activities in city parks and forest community and information materials including project overview brochure, booklet, exhibition board.
* International trip ,training and study in Australia and New Zealand
* 2 UN volunteers have been recruited and took part in the entire project management respectively.

The project has reached the following communication purposes:

The ideas of the project: The role of forestry to address climate change, the development of green, low-carbon development modality , concept of carbon neutral and carbon footprint.

Communication of project results: SFM based carbon sequestration, forest carbon accounting and monitoring, demonstration area for SFM based carbon sequestration , and cross-cutting benefit beyond of forest carbon including livelihood development and biodiversity.

## 4.4 Sustainability

Firstly, the risks of project had been predicted and assessed when the project was designed, and had made response measures. the project risk had been assessed and reported in annual progress reports, quarterly progress reports, the factors and the damage to the project were reduced and eliminated to improve the sustainability of the project.

The project has long term sustainability due to its matching and integration to Chinese governmental programs and policies. The project progress is on the right track to meet the stated goals, with all planed activities accomplished on schedule. No constraints are found in meeting the project long term sustainability and the management is adequate.

Financial risks to sustainability

According to the annual progress reports and finance management reports in 2013 and 2014, the project has been completed all the activities of output 1 and most of the activities of output 2, project finance can be used to complete the activities in 2015 without risk.

Socio-economic risks to sustainability

In terms of national strategies and policies to address climate change, forest carbon trading is one of the most important aspects of the carbon trading market to reduce carbon emissions, reduce the intensity of carbon emission per unit of GDP, and occupies an important position in the forestry to address climate change. There are large potentialities for development in the future, so socio-economic sustainability of the project is huge from the aspect of China's climate change policies and strategies.

Chinese forestry will shift from afforestation to forest management and protection, forest growth potential will be located in forest management and tending, SFM based carbon sequestration is the important aspect of the future forestry carbon sequestration increases. The social demand based on carbon sequestration of forest management technology is a huge driver to support the project.

Institutional Framework and Governance risks to sustainability

The project has established the project management office, project steering committee, project team, domestic and international volunteer since start two years ago. Project management agencies and personnel are sustainable to implementation.

Environmental risks to sustainability

Sustainable forest management is a means to protect the environment. The goal of the project is the regional ecological sustainable protection. After the project implementation, the forest quality will be improved in project area, the volume, the carbon sequestration capacity, and biodiversity also the income of local residents will increase, which has multiple benefits, without any environmental risk.

# Conclusions & Recommendations

## 5.1Conclusions

5.1.1 Project progress

Outputs and activities of the project had been completed according to project plans.

1. The project has finished all the guidelines, methodologies and rules of SFM based carbon sequestration.
2. The demonstration area for SMF based carbon sequestration was constructed and maintained, the report of carbon accounting and monitoring for the project was submitted, carbon accounting models for 3 key tree species in Beijing was developed.
3. Project communication and advocacy had been fully and overstepping accomplished: (1)14 large and medium awareness promotion events and 13 technical training and exchange workshops were held；（2）Over 50 websites, newspapers and magazines and 4 TV programs have reported the projects, (3) more than expected 0.5 million audiences and generating wide impact domestically and internationally (5) UN senior officials have actively participated in the publicity activities.
4. Project implementation and management was smooth, including recruiting project coordinators, UN Volunteers from Macao, delivered work planning, reporting, auditing and various M&E reports.
5. Finance management was implemented smoothly. UNDP office was responsible for fund management and audit in accordance with the project schedule progress. Project submitted quarterly, annual financial report and the audited report.

5.1.2 Significance of project results

1. In the context of China's forestry strategy changing from afforestation to forest management, the project put forward the ideas of SFM based carbon sequestration is advanced in China. It is the first time to establish a set of methodologies guidelines of SFM based carbon sequestration for forest project, which explored new forestry techniques and methods to address climate change. It is a new attempt, comparing to the previous Chinese forestry carbon sequestration projects that mainly concentrated on the afforestation carbon sequestration.
2. Project had established SFM based carbon sequestration demonstration area, which applied and demonstrated the guidelines and rules derived of the project. Forest carbon monitoring models of three tree species in Beijing had been established, by actual application of above guidelines in demonstration area. It is beneficial to check and upscale the related guidelines and rules by combining with practices in demonstration area.
3. **A** lot of work had been accomplished in communication and advocacy of project for forestry to address climate change and SFM based carbon sequestration. The communication and advocacy strategy of project had follow features:(1) The strategy has four levels: the international oriented , domestic oriented, forestry oriented, and community oriented; (2) Multiple types of communication: seminars and workshops, international conference, publicity activities, exhibition, television and the Internet;( 3) Multiple participants: UN officials, government officials, community people and forest technicians.
4. Communication and advocacy strategy of the project had produced a significant effects: (1) It lets more people understand and recognize the role of forestry to address climate change; (2) It lets more people know the results of the project and SFM based carbon sequestration; 3) based in Beijing, the capital, the project got more opportunities to hold international conference and workshops, and invited the United Nations Secretary General Ban Ki-moon to attend conference related to forest carbon, also invited other senior UN official to actively participate in the publicity activities and visit the demonstration site which improved the international influence of the project results.
5. It is significant to put forward the carbon neutral concept and the method of carbon footprint calculator in communication of project, which concretized the forestry carbon and brought practicability, made people know the concept of forestry carbon sequestration, and made forestry carbon sequestration more simple, feasible.

## 5.2 Recommendations

Forestry carbon sequestration trading is based on guidelines and methodologies of SMF based carbon sequestration. The project had submitted trade report of forest carbon sequestration project in Shunyi region for accounting period 20 years to Beijing Carbon Emission Exchange institute. It was very significant for forest carbon market. One of the main goals of the project is to promote the forestry carbon sequestration trading in China. Following work will be conducted in 2015:

1. With the establishment of demonstration area and relevant research on guideline and rules in Miyun, further researches and experiences on monitoring and accounting of SFM based carbon sequestration should be conducted, especially in monitoring models of main tree species in Beijing.
2. With the cooperation of NDRC and BMCDR, combining with pilot of carbon emission trading in Beijing, forestry carbon sink trade should be promoted.
3. With the advantage of the captital as political, scientific and technology and international center, communication and advocacy of project results should be enhanced in particularly on guideline and rules of SFM based carbon sequestration and forest carbon trade.
4. It is a very important for international community to address climate change in 2015. The COP 21 of UNFCCC will be held in December in Paris, the leaders of parties and UN organizations will attend this meeting to finish the long term negotiation of new agreements of climate change. It is suggested that PMO and UNDP Beijing office apply for attending the conference, taking side events and workshops to communication the project results, to advocate idea of SMF based carbon sequestration, and to exchange experiences of policies, techniques and methods of forest carbon with international community.
5. International cooperation and international volunteers are important drivers to promote project implementation. Those should be enhanced based on existing cooperation.
6. The successful experience of the project is widely applicable in Beijing-Tianjin-Hebei Region. With the guidance of the national collaborative development policy and ecological forestry policy of Beijing-Tianjin-Hebei Region, low-carbon development should be explored in watershed forest reserves and sustainable forestry carbon sequestration management needs to be demonstrated and promoted in Beijing-Tianjin-Hebei Region based on the successful implementation of the project.

# Annexes

## Appendix A- Terms of Reference for the Mid-Term Evaluation

On one UNDP Project

UNDP- Macao Initiative for Carbon Sequestration through Sustainable Forest Management

(a. k. a. “The Macao Project”)

1. **Introduction:**

The role of forestry in combating climate change has been widely recognized and increasingly accentuated nowadays by the international community. Besides being listed in a series of international conventions, protocols, acts and decisions such as the United Nations Framework Convention on Climate Change and the Kyoto Protocol, the Intergovernmental Panel on Climate Change (IPCC) predicts forestry carbon sequestration will be the most economic, pragmatic, and effective measure to address climate change in the next 30-50 years. Also, the transactions of forest carbon credits in the global voluntary emission trading market have surmounted 40% of total transactions.

As the largest greenhouse gas emitter, China is sparing no effort to combat climate change. The 12th Five Year Plan (2011-2015) for the first time set an explicit target to reduce 17 % carbon intensity and pledges efforts to reduce emission and increase carbon sinks, including developing nationwide voluntary carbon market. The Work Program of Controlling Greenhouse Gas Emissions in the 12th Five-Year Plan Period issued in November 2011 by the State Council explicitly also proposed to explore and establish a carbon emissions trading market. The Notice regarding the Pilot of Development of Carbon Emissions Trading published in the same year by the National Development and Reform Commission (NDRC) announced that seven provinces and cities including Beijing would be the first batch of pilot provinces and cities for carbon emissions trading with the requirement of formal launching in 2013.

Forestry carbon trading is an important part of the carbon emissions trading system. State leaders have awarded a special position to forestry in addressing climate change, pledged to increase forest coverage and stock volume and issued related policies, e.g. the Action plan on Forestry Combating Climate Change and the Key Points of Actions for Forestry Combating Climate Change in the 12th Five-year Plan Period (2011-15). Market-based institutions such as the China Green Carbon Foundation and the China Forestry Exchange have been established. Afforestation based Carbon sequestration projects were carried out in more than ten provinces and cities covering more than 80,000 ha. Statistics showed that between 1980 and 2005 China has achieved almost 5.11 billion tons of carbon emissions reductions.

With Chinese forestry undergoing transition from afforestation to forest management there is great potential for forest management based carbon sequestration projects, which capitalize on an increase in carbon storage through targeted management approaches such as sustainable management (SFM). SFM-based carbon sequestration projects not only provide chances for regions lacking forestation potential, but bring co-benefits such as biodiversity conservation and livelihood improvement.

Despite of potential benefits, there are several barriers to successfully carrying out SFM-based carbon sequestration projects in Beijing and China. Firstly, there is lack of standardized methodologies on how to increase carbon sequestration through sustainable forest management, how to conduct carbon accounting and monitoring so as to verify the carbon sequestered and how to manage such projects. Secondly, there is no pilot project with forest management area as a platform for demonstration and exchanging information/experience. Thirdly, there is lack of awareness on developing SFM-based carbon sequestration projects among the forestry practitioners and the role of forestry in combating climate change among the general public.

To tackle these, this UNDP-Macao project was initiated with the objectives and strategy as following: 1) supply technical reserves for Beijing and even national voluntary carbon trading market through developing technical guidelines and management regulations for SFM-based carbon sequestration projects; 2) establishing a platform for demonstration and communication through the building of the pilot SFM-based carbon sequestration project and related carbon accounting and monitoring practices; 3) capacity building through managerial and technical personnel training and raising the awareness of general public and local community on the role of forestry in combating climate change; 4) bring multiple co-benefits, *e.g.* biodiversity conservation, soil and water conservation and livelihood improvement to demonstration area.

Oversight of project activities is the responsibility of the Project Steering Committee (PSC). Day-to-day operational oversight is ensured by UNDP, through the UNDP Country Office in Beijing responsible for the project. This oversight will include ensuring that the project practices due diligence with regard to UNDP’s Environmental and Social Screening Procedure.

The BFCA takes overall responsibility for the project execution, and the timely and verifiable attainment of project objectives and outcomes, but reports to the PSC. BFCA will provide support to, and inputs for, the implementation of all project activities, and recruitment of project staff and contracting of consultants and service providers with the advice from and involvement of UNDP. International procurement are mainly handled by UNDP upon request of the BFCA. BFCA has set up Project Management Office (PMO), appointed a National Project Director (NPD) and a National Project Manager (NPM) to be responsible for the overall management of the project and PMO.

**2. Description of the Assignment**

As part of their project management activities, the Macao Project is up for Mid-Term Evaluation (MTE). The purpose of the MTE is to evaluate the project implementation and management performances. It will determine whether the projects are on track to achieve the project objective and therefore just needed to be sustained; or needs revisions to keep it on track. The MTE will also determine and report the experiences and lessons during the project implementation so as to provide guidance in determining the targets and strategies for the remaining time of the project.

**3. Scope of the Evaluation**

The scope of the MTE covers the Macao project and its components.

The MTE will assess the implementation of the Macao Projects taking into account the status of the project activities and outputs and the resource disbursements made up to 30 November 2014.

The MTE will assess 1) how this interdependent set-up work and if it secures the content/outputs of the two projects; 2) how things are going with all the contributing partners on several levels in the project, with Macao, BFCA in China and the different subcontractors when there are challenges that some parts of the work are dependent on the progress of other work being finalized first.

The MTE will involve analysis at two levels: output level and project level. On the output level, the following shall be assessed:

* Whether there is effective relationship and communication between/among outputs so that data, information, lessons learned, best practices and results are shared efficiently, including cross-cutting issues;
* Whether the use of technical experts has been successful in achieving component outputs.
* What about the communication between the PMO with Macao government?

The MTE will also include such aspects as appropriateness and relevance of work plan, compliance of the work and financial plan with budget allocation, timeliness of disbursements, procurement, coordination among project team members and committees, and the UNDP country office support. Any issue or factor that has impeded or accelerated the implementation of the project or any of their components, including actions taken and resolutions made should be highlighted.

At the project level, besides looking into the interlink of the two projects and all the different contributors on different levels, the MTE will assess the project performance in terms of: (a.) Progress towards achievement of results, (b.) Factors affecting successful implementation and achievement of results, (c.) Project Management framework, and (d.) Strategic partnerships.

1. Progress towards achievement of results (internal and within Projects’ control)

* Is the Project making satisfactory progress in achieving project outputs vis-à-vis the targets and related delivery of inputs and activities?
* Are the direct technical partners and project experts (both domestic and international) able to provide necessary inputs or achieve results?
* Given the level of achievement of outputs and related inputs and activities to date, is the Project likely to achieve their purpose/objective and contribute to the realization of their goal?
* Are there critical issues relating to achievement of project results that have been pending and need immediate attention in the next period of implementation?

1. Factors affecting successful implementation and achievement of results (beyond the Projects’ immediate control or project-design factors that influence outcomes and results)

* Is the project implementation and achievement of results proceeding well and according to plan, or are there any outstanding issues, obstacles, bottlenecks, etc. on the government (national and local), research institutes (sub-contractors) or private sector as a whole that are affecting successful implementation and achievement of project results?
* Through their interview to check out to what extent does the broader policy environment remain conducive to achieving expected project results, including existing and planned legislation, rules, regulations, policy guidelines and government priorities?
* Is the project designing still relevant in the light of the project experience to date?
* To what extent do critical assumptions/risks in project design make true under present circumstances and on which the project success still hold? Has the project team validated these assumptions as presently viewed by the project management and determine whether there are new assumptions/risks that should be raised?
* Do the Projects’ outcomes remain valid and relevant, or are there items or components in the project design that need to be reviewed and updated?
* Are the Projects’ institutional and implementation arrangements still relevant and helpful in the achievement of the Projects’ objective and outcomes, or are there any institutional concerns that hinder the Projects’ implementation and progress.

1. Project management (adaptive management framework)

* Are the project management arrangements adequate and appropriate?
* How effectively is the project managed at all levels? Is it results-based and innovative?
* Do the project management systems, including progress reporting, administrative and financial systems and monitoring and evaluation system, operate as effective management tools, aid in effective implementation and provide sufficient basis for evaluating performance and decision making?
* Is technical assistance and support from project partners and stakeholders appropriate, adequate and timely?
* Validate whether the risks originally identified in the project document and, currently in the Quarterly Operational Report (QOR)/Annual Project Report (APR), are the most critical and the assessments and risk ratings placed are reasonable.
* Describe additional risks identified during the evaluation, if any, and suggest risk ratings and possible risk management strategies to be adopted.
* Assess the use of the project work plans as management tools and in meeting with UNDP/Macao requirements in planning and reporting.
* Assess the use of electronic information and communication technologies in the implementation and management of the project.
* On the financial management side, assess the effectiveness of the cost of the interventions and note any irregularities.
* How have the QOR/APR process helped in monitoring and evaluating the project implementation and achievement of results?

1. Strategic partnerships (project positioning and leveraging)

* Are there further opportunities for stronger collaboration and substantive partnerships identified to enhance the Projects’ achievement of results and outcomes?
* Are the project information and progress of activities disseminated to project partners and stakeholders? Are there areas to improve in the collaboration and partnership mechanisms?

**4. Specific Tasks for the Evaluation**

Through the review of pertinent documents related to the projects such as project documents, quarterly and annual progress reports, other activity/component specific deliverables and evaluation, if there are any, etc; conduct of structured interview with knowledgeable parties (e.g., BFCA, the Project Management Office (set up in BFCA), Sub-Contracting Parties/Entities, UNDP Country Office Counterparts, etc.); and the evaluation mission will carry out the following tasks:

* 1. Review of the project designing and planning to find out whether: (a) the project approaches and strategy are sound; (b) the immediate objectives and outputs are properly stated and verifiable in the project logical framework; (c) the timeframe of the projects are feasible and practicable; and, (d) Others.

* 1. Review of project performance: timeliness and quality of inputs; timeliness and cost-effectiveness of activities undertaken; quality and quantity of outputs produced; achievement of outcomes; and a financial review against the project budget.

The projects are now more or less in the mid duration and as such progress should be measured against outputs stated in the project document. The evaluation will focus on such aspects as appropriateness and relevance of work plan, compliance with the work plan along side with budget allocation; timeliness of disbursements; procurement, quantity and quality of goods and services created; any reallocation of funding or re-adjustment of planned projects’ activities are needed; coordination among different project actors and UNDP country office support. Any issues that have impeded or advanced the implementation of the project or any of their components, including actions taken and resolutions made should be highlighted.

UNDP will prepare a table for the consultants, who will use it as a checklist when they conduct their work under the review. The table includes the following content: planned activities against actual activities, planned budget against actual expenditures, etc.

* 1. Review the project impact: determine the extent to which the project objectives are expected to be achieved and what is the short-term and long-term impact of the project, including efficiency of the project, cost-effectiveness of the project;
  2. Provide recommendations on the improvement or sustenance of the implementation of the remaining activities of the project; and look at whether these are still relevant in light of policy development and related activities being undertaken by the government.

**5. Qualifications and requirements**

The MTE assignment requires a national evaluation expert, which should have basic knowledge of globally and practical experience in forest management and carbon sequestration issues.

The experts should hold an advanced degree in studies related to the subject, and have at least 10 years of working experience in the area of climate change and forestry. Both Candidates could come either from the UNDP consultant roster or from the recommendation from the PMO.

The final version of the joint MTE report should be finalized by the MTE team, reflecting the comments from PMO and UNDP.

It is also desired that the national consultant have as many as possible the following qualifications:

1) Project development, implementation and evaluation experience;

2) Professional experience with designing, reviewing, developing, or operating forestry and carbon sequestration projects;

3) Knowledgeable about the relevant policies of UNDP, China and Beijing

4) Good communications and writing skills in English;

5) Knowledge of UNDP projects and project requirements;

6) Good experiences of workin China and with Chinese counterparts.

##### **6. Roles and Responsibilities**

UNDP will assist the MTE team in preparing for the MTE of the project. The MTE Team reports to UNDP in China. The Projects’ executing agency (BFCA) shall coordinate all relevant national agencies and institutes and provide in advance copies of the necessary documents needed by the evaluation expert/s. Likewise, PMO shall arrange and finalize the itinerary/schedule for the MTE in consultation with all parties concerned. The Projects’ Coordinators (PC) and Assistants to PC will provide administrative support to the MTE team. PMO and UNDP will coordinate the logistical arrangements for the evaluation.

**7. Support to the Evaluation Team**

UNDP will provide policy guidance to the MTE Team, and the PMO will arrange necessary briefings, background materials, meetings and other logistical support.

The following documents and reports shall be provided to the MTE Team to assist them in the conduct of the MTE:

1. Project Documents
2. Quarterly Operational Reports (QOR)
3. Annual Project Report (APR)
4. Comprehensive reports including subcontracts, executive reports, study tour reports, newsletters, etc
5. Other related documents

**8. MTE Schedule and Budget**

The MTE is scheduled to be conducted starting from mid-November 2013, for a period of 30 working days. A preliminary schedule for the MTE assignment in China is proposed as follows and shall be finalized by the PMO in consultation with respective agencies. The terms of payment for the services rendered by the consultants (evaluators) are based conformity on the UNDP standards.

**Schedule**

**Day 1-8,** Home-based review of the background materials

**Day 9-18**, Meeting with BFCA and with the sub-contractor institutions in Beijing, with travels to project demonstration area to learn about the progress and qualilty

Drafting of the key findings and recommendations for debriefing presentation at UNDP

Day 19, Briefing at UNDP with participation of the representatives of the Project Management Office

Day 20 – 25, Drafting the MTE report

Day 25-27, Review by PMO and UNDP and feedback to the MTE Team

Day 28-30, Finalizing the final version of the MTE report

**9. Outputs**

The MTE Team is expected to deliver the following outputs:

1. Inception report within one week after signing the contract: evaluator provides a very short report on clarifications on timing and method, showing how to meet TOR expectations.
2. Debriefing at UNDP: Presentation of initial findings to Project Team and Country Office prior to departure to home station.
3. Draft final report for comment: within 25 days of the mission period, a draft Final Report based on UNDP template should be provided to UNDP.
4. Final Report: within 30 days of the mission period,the Final Evaluation Report presenting the final -term evaluation results of the project, recommendations for the implementation of the remaining activities until end-of-project, and suggestions for implementation of the two projects in the remaining time frame. The documents should be submitted in electronic format.

Revisions made onto the final report should use the Track Changes Format so that the details are reflected about how all received comments have or have not been addressed in the final report.

The findings of the evaluation will be used by BFCA as the implementing partner and UNDP to better adjust project strategy and approaches to guide the project implementation in the remaining time frame of the project.

**10. Payment Schedule**

Upon signing of the Individual Contract, travel related costs, including estimated DSA and terminals for the entire mission will be paid to the contracted consultants while travel tickets (national and international) will be booked and paid by UNDP.

30% of the consultant fees will be paid to the consultant upon receipt of an inception report while the remaining 70% is payable upon acceptance by UNDP of the evaluation report in the final form.

## Appendix B – List of People Interviewed

This is the list of people contacted in Beijing during the Mid-Term Evaluation Period

|  |  |  |  |
| --- | --- | --- | --- |
| 1) | Mr. Zhang weidong | Project Manager | UNDP China |
| 2) | Ms. Zhou Caixian | Director of Department | Beijing Forestry Carbon Administration |
| 3) | Mr. Chen Junqi | Deputy Director of Department | Beijing Forestry Carbon Administration |
| 4) | Mr. Zhang Feng | Project Officer | Beijing Forestry Carbon Administration |
| 5) | Mr. Wang Yongchao | Research Staff | Beijing Forestry Society |
| 6) | Mr. Guo Shuhua | Farmer | Miyun County, Beijing |

## Appendix C – List of Documents Reviewed

1. UNDP Project Document for “the Macao Project” Project
2. Annual Project Progress Reports (2013 to 2014)
3. Quarterly Project Progress Reports(2013-2014)
4. Two-Year Work Plans (2013-2014)
5. Annual Work Plans (2014 to 2015)
6. Management Rules for Trading of Forestry Carbon Programs in Beijing (Provisional)
7. Research on Accounting Models for Carbon Sequestration through Sustainable Forest Management
8. Technical Guidelines for Accounting and Monitoring of Carbon Sequestration for Forest Management Project in Beijing
9. Baseline Survey Report of UNDP-Macao Initiative for Carbon Sequestration through Sustainable Forest Management

## Appendix D - Midterm Review Evaluative Matrix Template

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Evaluative Questions** | | **Indicators** | **Sources** | **Methodology** |
| **Project Strategy:**  To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results? | What are the problems are addressed by the project? | The problems that forestry addresses climate change in China. | * UNDP project document * National Strategy of China to address climate change * National policy of China forestry development | * Document analysis * Interview with project manager * Interview with project stakeholder |
| How the project addresses country priorities? Was the project concept in line with the national sector development priorities and plans of the country? | Methodologies of sustainable forest management based carbon sequestration in China | * UNDP project document * Forest carbon monitoring and accounting methodologies report | * Document analysis * Interview with project manager * Interview with project stakeholder |
| **Progress Towards Results:**  To what extent have the expected outcomes and objectives of the project been achieved thus far? | Have guidelines for sustainable forest management developed and targeted to increase carbon sequestration been developed? | Develop a set of technical guidelines (trial version) for improving/updating forest management practices, with a focus on increasing carbon sequestration. | * UNDP project document * Project research report * National report on forest carbon sequestration * National report on forest carbon monitoring and evaluation * Websites, science bulletin | * Document analysis * Interview with project manager * Interview with project technician |
| Establish a set of technical guidelines (trial version) for carbon accounting and monitoring for SFM-based carbon sequestration project | * UNDP project document * Project research report * Websites, science bulletin | * Document analysis * Interview with project manager * Interview with local project staff |
|  | Formulate a set of management regulations (trial version) for forestry carbon sequestration project. | * UNDP project document * Project research report * Websites, science bulletin * Project progress reports | * Document analysis * Interview with project manager * Interview with local project staff |
| Do demonstration area of no less than 160 hectares (equal to 2400 mu) with typical forests in a suburban county of Beijing selected and developed and maintained? | Establish a high standard demonstration area no less than 160 ha (equal to 2400 mu) in Beijing. | * UNDP project document * Project planning * Project progress reports | * Local pilot site visit and checking * Interview with project manager * Interview with local project staff |
| Submit the work program of carbon accounting and monitoring for the project | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Submit the report of carbon accounting for the project. | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
|  |  | Develop carbon accounting models for 2-4 key tree species available in Beijing. | * UNDP project document * Project annual and two years planning * Research report on Accounting Models for Carbon Sequestration through Sustainable Forest Management * Project progress reports | * Document analysis * Interview with project manager |
| Constructed demonstration area maintained to a high standard. | * UNDP project document * Project annual and two years planning * Project progress reports | * Local pilot site visit and checking * Interview with project manager * Interview with local project staff |
| Benefit to local communities through capacity building, awareness raising and livelihood improvement (labor service in demonstration pilot establishment). | * UNDP project document * Project annual and two years planning * Project progress reports | * Local pilot site visit and checking * Interview with project manager * Interview with local farmer |
|  | Have the capacities building and the awareness of project been enhanced through publicity activities? | 10 key technical staff received technical n d forestry carbon. | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager |
| 90 local technicians receive technical training on forestry carbon. | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager |
| At least 0.5 million of the forestry communities and the general public are reached through publicity activities on forestry carbon addressing climate change. | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager |
| Do Project implementation arrangements smoothly? | Recruit 1 professional staff member to be responsible for the project comprehensive management | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager |
| Recruit 2 United Nations volunteers to participate in the management of the project | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Submit work plans, financial reports and quarterly progress reports, and Project Final Report. | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager |
| Organize institutions and experts to conduct the required work, project audit and M&E, and submit all reports. | * UNDP project document * Project annual and two years planning * Project progress reports | * Document analysis * Interview with project manager |
| **Project Implementation and Adaptive Management:**  Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? | Are project management effective and efficient? | Project management design and plans | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager |
| Are project any delays since start-up of project? | Project planning | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager |
| Is finance of project enough to support project implementation? | Project finance management | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Have monitoring and evaluation of the project been implemented smoothly? | Monitoring and Evaluation of the project | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Has the project developed the necessary and appropriate partnerships with direct and tangential stakeholders? | Project partnership strategy | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| What are Communications and advocacy strategy of project ? | Project Communications and advocacy strategy | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| **Sustainability:**  To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results? | What is the likelihood of financial and economic resources to support project? | Financial risks to sustainability: | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Are there any social or political risks that may jeopardize sustainability of project outcomes? | Socio-economic risks to sustainability: | * UNDP project document   Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Do the legal frameworks, policies, governance structures and processes pose risks? | Institutional Framework and Governance risks to sustainability: | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |
| Are there any environmental risks that may jeopardize sustenance of project outcomes? | Environmental risks to sustainability: | * UNDP project document * Project progress reports | * Document analysis * Interview with project manager * Interview with UNDP officer |

## Annex E- UNEG Code of Conduct for Evaluators/Midterm Review Consultants

**Evaluators/Consultants:**

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

**MTR Consultant Agreement Form**

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

Name of Consultant: WANG guosheng

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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_