CI-GEF Project Agency

GEF Project Document

Expanding the Coverage and Strengthening the Management of Wetland Protected Areas in Sichuan Province, China

China

April 16, 2019

PROJECT INFORMATION			
PROJECT TITLE:	Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China		
PROJECT OBJECTIVE:	To expand and strengthen wetland protected areas in Sichuan Province, China and mainstream biodiversity conservation and sustainable utilization of wetland resources		
PROJECT OUTCOMES:	1. Sichuan Province's institutional capacity on systematic planning and mainstreaming at the provincial level to conserve and sustainably use wetlands resources is strengthened 2. Site-level management is strengthened and standards for wetland park management raised		
COUNTRY(*IES*)**:**	China	**GEF ID:**	9462
GEF AGENCY(*IES*)**:**	Conservation International	**CI CONTRACT ID:**	
OTHER EXECUTING PARTNERS:	Sichuan Forestry and Grassland Bureau (SFGB) and Sichuan Department of Finance (SDF)	**DURATION IN MONTHS:**	60
GEF FOCAL AREA(*S*)**:**	Biodiversity	**START DATE** (*mm/yyyy*)**:**	05/2019
INTEGRATED APPROACH PILOT:		**END DATE** (*mm/yyyy*)**:**	05/2024
NAME OF PARENT PROGRAM:	China's Protected Area System Reform (C-PAR)	**PRODOC SUBMISSION DATE:**	04/2018 05/2019
RE-SUBMISSION DATE(*S*)**:**			

FUNDING SOURCE	AMOUNT (*USD*)
GEF PROJECT FUNDING:	2,652,294
PPG FUNDING:	100,000
TOTAL GEF GRANT:	**2,752,294**
CO-FINANCING 1: SFGB, SDF	17,950,000
CO-FINANCING 2: CI	59,342
TOTAL CO-FINANCING:	**18,009,342**
TOTAL PROJECT COST:	**20,761,636**

Table of Contents

TABLES

FIGURES:

ACRONYMS

ARR	Annual Review Report
AWP	Annual Work Plan
BD	Biodiversity
BSAP	Biodiversity Strategy and Action Plan
CA	Conservation Agreement
CAS	Chinese Academy of Sciences
CBD	Convention on Biological Diversity
CCA	Community Conserved Area
CCICED	China Council for International Cooperation on Environment and Development
CEPF	Critical Ecosystems Partnership Fund
CI-GEF	Conservation International-Global Environment Facility
CI-C	Conservation International - China
CITES	Convention on International Trade in Endangered Species
COP	Conference of the Parties
CPAP	Country Programme Action Plan
CR	Critically Endangered (IUCN red list category)
CSP	Conservation Stewardship Programme
CTA	Chief Technical Advisor
EA	Executing Agency
EBA	Endemic Bird Area
ECBP	EU-China Biodiversity Programme
EIA	Environmental Impact Assessment
EN	Endangered (IUCN red list category)
EPD	Environmental Protection Department
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FECO	Foreign Economic and Cooperation Office
GDP	Gross Domestic Product
GEF	Global Environment Facility
GIS	Geographical Information System
IA	Implementing Agency
IBA	Important Bird Area
IAS	Invasive Alien Species
IPM	Integrated Pest Management
IPCC	Intergovernmental Panel on Climate Change
IR	(Project) Inception Report

ISS	Implementation Support Services
IUCN	International Union for the Conservation of Nature
IW	(Project) Inception Workshop
KBA	Key Biodiversity Area
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
MEE	Ministry of Ecology and Environmental
METT	Management Effectiveness Tracking Tool
MoA	Ministry of Agriculture and Rural Affairs
MoF	Ministry of Finance
MoU	Memorandum of Understanding
NBSAP	National Biodiversity Strategy and Action Plan
NEX	National Execution
NFGA	National Forestry and Grassland Administration
NGO	Non-Governmental Organisation
NNR	National Nature Reserve
NR	Nature Reserve
NRDC	National Development and Reform Commission
NT	Near Threatened (IUCN red list category)
PA	Protected Area
PBB	Performance-Based Budgeting
PCU	Project Coordinating Unit
PCR	Project Completion Report
PD	Project Director
PIMS	Project Information Management System
PIR	Project Implementation Report
PIU	Project Implementation Unit
PM	Project Manager
PMT	Project Management Team
PNR	Provincial Nature Reserve
PPG	Project Preparation Grant (for GEF)
PPR	Project Progress Report
PRC	People's Republic of China
PSC	Project Steering Committee
PTR	Project Technical Report
SFA	State Forestry Administration
SDF	SichuanDepartment of Finance
SFGB	Sichuan Forestry and Grassland Bureau
SAPA	Social Assessment for Protected Areas
QPR	Quarterly Progress Report
RMB	Chinese Currency (Yuan)
NFGA	National Forestry and Grassland Administration

SAFS	Sichuan Academy of Forestry Sciences
SEA	Strategic Environmental Assessment
SLM	Sustainable Land Management
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
SO	Strategic Objective
SP	Strategic Programme
SRF	Strategic Results Framework
TBD	To Be Determined
TOR	Terms of Reference
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNFCC	United Nations Framework Convention on Climate Change
UNCBD	United Nations Convention on Biological Diversity
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Programme
VU	Vulnerable (IUCN red list category)
WWF	World Wide Fund for Nature

Section 1: Project Summary

1. Sichuan Province is located in the southwest of China, along the upper reaches of the Yangtze River, adjacent to Qinghai, Gansu, Shaanxi, Chongqing, Guizhou, Yunnan, and the Tibet Autonomous Region. It features five major landforms: the fertile Sichuan basin, the Qinghai-Tibet Plateau, the Hengduan Mountains, the Yunnan-Guizhou Plateau, and the Qinling-Bashan Mountains. The Yangtze River runs from north to south along the west boundary of Sichuan Province and then from west to east across the province. The Yellow River runs across its northwest corner.

2. Sichuan Province is rich in biodiversity and part of the "Mountains of Southwest China Biodiversity Hotspot" falls within its territory. Wetlands in Sichuan Province harbor more than 1,000 higher wetland plants, including five wild plants included on the list of national key protected plants and five endemic species to China; 495 vertebrates found in wetlands and nearby, and 102 wetland animals under key national and provincial protection.

3. This project selected Qionghai and Baihetan wetlands as demonstration sites for wetland park administration. Qionghai Wetland Park and Baihetan Wetland Park were identified as pilot national wetland parks on December 31st, 2013. The two parks cover 3,728.70 ha and 673.49 ha respectively. The areas of Qionghai watershed and Baihetan watershed, including the parks are 265,177 ha and 33,600 ha respectively. Therefore, the total area of the two watersheds is 298,777 ha (See Figures 5 and 7). Qionghai Wetland Park was gazetted as national wetland park on December 31st, 2014. However, Baihetan wetland park is still in pilot stage and is expected to be officially approved as national wetland park in late 2019.

4. Qionghai is one of the largest high plateau lakes, the second largest freshwater lake, and an important habitat for endangered species in Sichuan Province, including bird species listed on the International Union for the Conservation of Nature (IUCN) Red List. Qionghai Wetland is only 5km from Xichang City, the capital city of Liangshan Yi Minority Autonomic Prefecture. Qionghai is facing severe threats from unplanned infrastructure construction and inappropriate tourism development. The Xichang and Liangshan government has invested over USD500 million to improve the infrastructure around Qionghai wetland to restore the wetland, including an "ecological migration" project to recover inhabited wetlands. However, there is no overall plan in place for management.

5. Baihetan wetland is 30km from Chengdu City, the capital of Sichuan Province and the largest city in the South West of China, with a population over 14 million. Riverine ecosystems and biodiversity are being degraded and destroyed due to the increased pollution brought by rapid industrial development and population growth. The two wetlands selected are typical sites for demonstrating the importance of establishing effectively managed wetland parks for protecting biodiversity.

6. Due to rapid increases in the human population and social economic development in China, natural resources are being utilized in an unsustainable way. Construction of dams, roads and other development infrastructure are generally undertaken without adequate coordination and consultation with protected area authorities and sometimes without proper environmental impact assessments (EIA), including avoidance or mitigation measures to protect biodiversity and ecosystem services. The development of large-scale tourism without appropriate planning also puts huge pressure on fragile wetland ecosystems.

7. Given the importance of Sichuan for biodiversity conservation and the critical nature of water supply to the Yangtze River, the government invests over USD13 million annually for managing protected areas in Sichuan. The State and provincial governments together invest over USD6.7 million annually in wetland conservation. Some local governments also make large scale investments in the restoration of wetlands which involves multi-sector government agencies, including transportation and tourism sectors. However, currently, most of the resources are invested in infrastructure and engineering solutions without addressing biodiversity in a systematic way and are limited to only a few areas.

8. Without this project, threats from agriculture, aquaculture, tourism and other sectors will continue to increase with no mechanism for coordination among the different sectors. The respective sectors will promote development without enough regard to the impacts of their activities on the fragile wetland ecosystem.

9. The objective of the project is to expand and strengthen wetland protected areas in Sichuan Province, and mainstream biodiversity conservation and sustainable utilization of wetland resources. The project will address the above problems and threats through the implementation of key activities under two components.

Component 1 "Strengthening Sichuan Province's institutional capacity for systematic planning and mainstreaming to conserve and sustainably use wetlands resources".

10. The project will facilitate Sichuan in formulating standards for infrastructure construction and ecological restoration in wetland parks and management measures of wetland parks based on the two demonstration parks, by including biodiversity conservation and sustainable utilization of wetland resources into local policies and government development plans. The project will also implement provincial-wide environmental education programs to raise public awareness on issues related to wetland conservation and sustainable use in Sichuan.

11. This project also supports the formation of a cross-departmental coordination mechanism (involving the agriculture, land utilization and tourism sectors etc.) for coordinated development and conservation, to ensure wetland conservation and sustainable utilization of wetland resources. This project supports capacity building for continuous, significant improvement in the conservation and management capacity of wetland parks. The management effectiveness of two wetland parks will be

substantially improved. A monitoring and evaluation system will be established to assess management effectiveness and to ensure results are being used to improve provincial policies and plans.

Component 2 "Strengthening site level management including developing standards for wetland park operation",

12. The focus of this component is to strengthen management in the two wetland parks and their surrounding watersheds covering an area of 298,777 hectares (See Figures 5 and 7), manage 767,766 hectares of wetland protected area within a newly created Sichuan network of wetland protected areas, and design and implement community based livelihoods. Based on the development of the two demonstration wetland parks, the project will refine the master plans for medium and long-term development and formulate biodiversity conservation plans to improve protection and management. At the same time, through capacity building, a monitoring and evaluation system and better law enforcement, wetland conservation and management will be strengthened to better address threats and reduce damage to the wetland ecosystem and biodiversity.

13. The project will develop and improve the planning, supervision and law enforcement mechanisms for the management of wetland parks and tailor them to the construction, operation and management of different types of wetland parks. The project will develop a participatory management framework and sign conservation agreements with the local communities for Qionghai Wetland Park. The project will develop a sustainable wetland business, identify wetland products and encourage eco-friendly utilization of wetland resources.

14. By implementing the above-mentioned components, the project is expected to achieve great benefits for biodiversity and ecosystems with global significance. The project plans to reduce the pressure on biodiversity by improving the conservation and management of wetlands and the sustainability of nature reserves in Sichuan.

15. The implementation period for the project is five years. Sichuan Forestry and Grassland Bureau, as the provincial-level Executing Agency will have responsibility for the project, including daily management and allocation of project funds, and will coordinate with wetland nature reserves and wetland parks. A Project Steering Committee (PSC) will provide oversight to the project and comprise representatives of the Sichuan Department of Finance, CI-China, Sichuan Forestry and Grassland Bureau, other relevant provincial departments and wetland park management authorities. Sichuan Department of Finance, as a member unit of the PSC, will act as a coordinator responsible for coordinating inter-department working mechanism horizontally, and oversee project finances and expenditure. Additionally, the Sichuan Department of Finance will help convene meetings of the cross-departmental coordination mechanism and help mainstream the project across departments, including wetland resource protection and biodiversity conservation into the work of provincial-level government bodies. The CI-GEF Project Agency will provide project assurance.

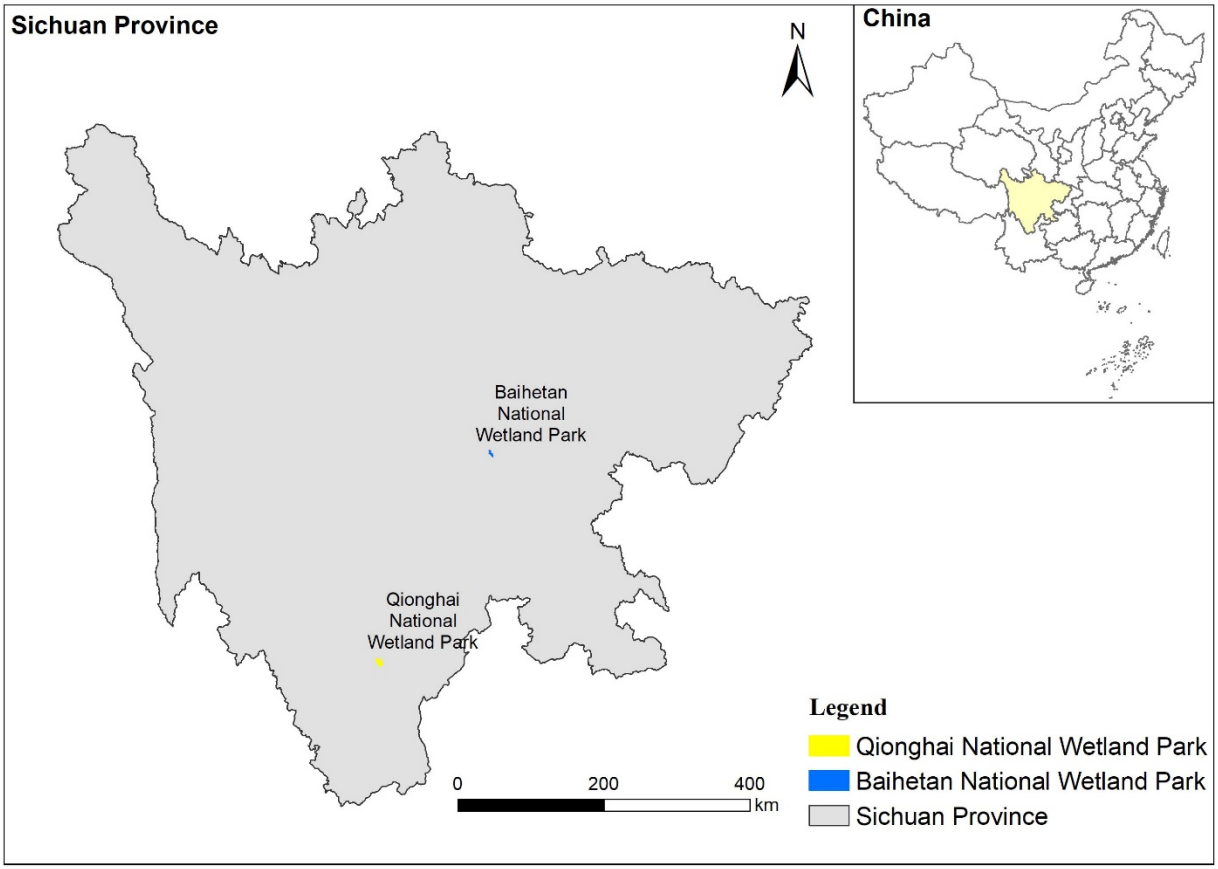
16. In keeping with the policy requirements of CI and GEF, environmental and social safeguard screening was conducted for the project. Based on the safeguard screening process, six safeguard policies were triggered and the respective safeguard plans (see Appendix VI) have been developed. These include Process Framework for Restriction of Access to and Use of Natural Resources, Indigenous People Plan, Pest Management Plan, Gender Mainstreaming Plan, Accountability and Grievance Mechanism, and Stakeholder Engagement Plan. The six safeguard plans will be implemented and monitored during project implementation.

Section 2: Project Context

2 A. Geographical Scope

17. Sichuan Province is located in the southwest of China, along the upper reaches of the Yangtze River, adjacent to Qinghai, Gansu, Shaanxi, Chongqing, Guizhou, Yunnan, and the Tibet Autonomous Region. It covers an area of about 486,052km^2, ranking fifth in the country after Xinjiang, Tibet, Inner Mongolia and Qinghai. It is located between 97°21'~108°31'E, and 26°03'~34°19'N. With the Qinghai-Tibet Plateau lying to the west, the Qinling Mountains and Daba Mountains to the north and the Yunnan-Guizhou Plateau to the south, Sichuan Province has an overall terrain of high elevation in the west and low elevation in the east and can be divided into the western plateau mountain area and the eastern basin area.

Figure 1: Location of Qionghai and Baihetan Wetland Parks in Sichuan Province



18. The project demonstration sites are at Baihetan National Wetland Park of Chengdu City and Qionghai National Wetland Park of Xichang City, Sichuan Province.

19. Sichuan's Qionghai National Wetland Park is located on the east margin of the Hengduan Mountains of the Qinghai-Tibet Plateau, southeast of Xichang City. Geographically, it is situated between 102°15'51.85"-102°21'21.14" east longitude, and 27°46'41.88"-27°52'2.66" north latitude (see Figure 1). The total area of Qionghai wetland park is 3,728.70 ha. Qionghai Lake belongs to the Yalong River system of the Yangtze River basin and is a high-plateau freshwater lake at the source of the Haihe River, which is a tributary of the Anning River. It is the second largest freshwater lake in Sichuan Province, with the water storage capacity reaching 289 million m^3, and it is known as the mother lake of Xichang City. Qionghai National Wetland Park is a well-preserved example of a plateau fault lake wetland in China. The surrounding area is known as a long-time habitat of the Yi people. The demonstration project area mainly includes Qionghai Lake and the in-flow of the Guanba, Ezhang and Xiaoqing Rivers.

20. Sichuan's Baihetan National Wetland Park is located between 103°49'51" - 103°51'9" east longitude and 30°22'27" - 30°26'9" north latitude, Xinjin County, Chengdu City of Sichuan Province (see Figure 1), mainly covering the area from the Dongheba Dam on the Minjiang River to the confluence of the Jinma and Xihe Rivers, as well as part of the Xihe River itself. The wetland park takes on the shape of a long and narrow corridor from south to north, with its southernmost part reaching Dongheba Dam on the main stream of Minjiang River; and along the main stream of Minjiang River and passing by Baihetan, the northernmost part of it stretches to Yipu Road Bridge on Jinma River and the West Extension Line Bridge of Xihe River, covering a total area of 673.49 hectares.

2 B. Environmental Context and Global Significance

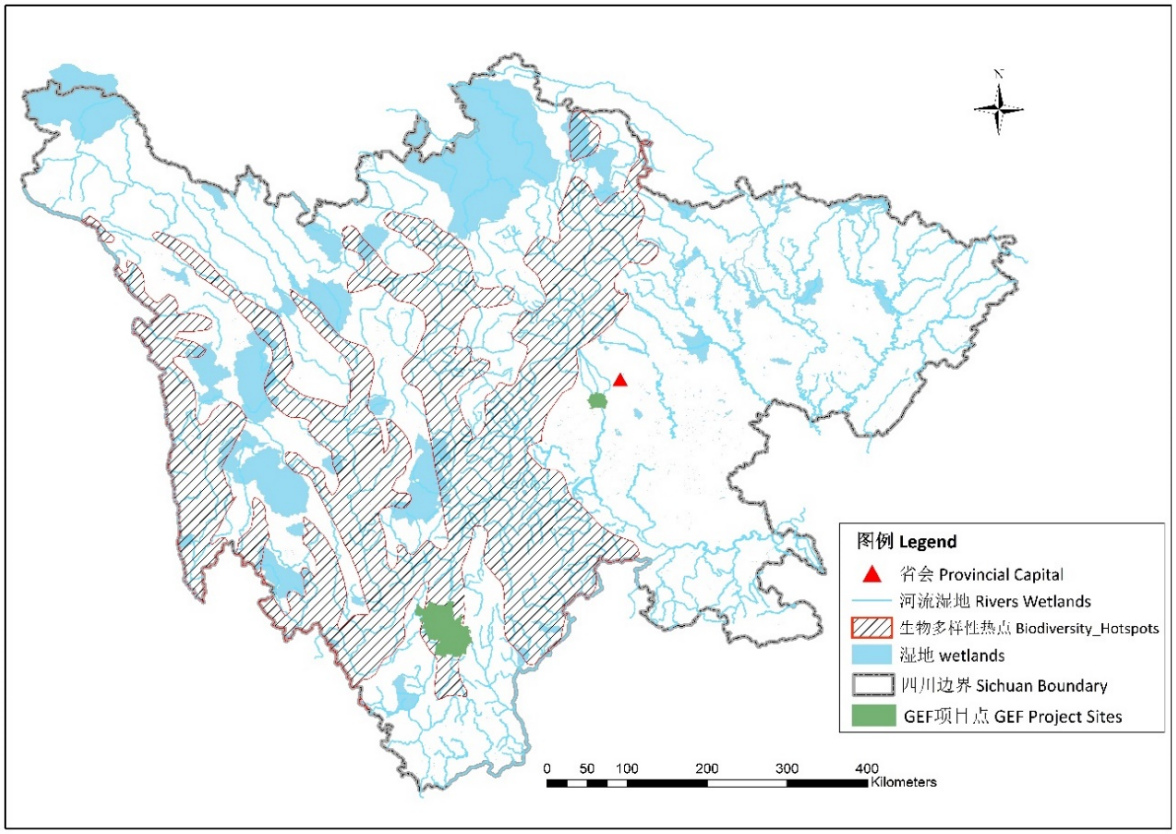
21. Sichuan Qionghai National Wetland Park is located in a low-latitude and high-elevation area, with the alternating effects of the southwest monsoon and the southeast inland arid monsoon, and it has the characteristics of a mid-subtropical plateau mountain climate. It is warm in winter and cool in summer; the spring and fall are long, while the winter and summer are short. Annual sunshine is 2,431.4 hours. The average annual temperature is 17.1°C, with an extreme maximum temperature of 39.7°C, an extreme minimum temperature of -5°C, and the average annual frost-free period is 280 days. The average temperature in January is 9.5°C, and that of July is 22.5°C. The annual temperature difference is small, only 13.1°C and the daily temperature difference is large, between 10~14°C, showing plateau climate characteristics. Annual rainfall is 1,004 mm, concentrated in the period May to October, accounting for 92.8% of the yearly precipitation, and the average annual evaporation is 1,945 mm, with the obvious characteristics of being dry in winter and rainy in summer and fall.

22. Baihetan National Wetland Park has a subtropical humid monsoon climate, which is warm and humid, with abundant rainfall and four distinct seasons. Due to its geographical location and the influence of atmospheric circulation, it has the following climate characteristics: no severe cold in winter, no intense heat in summer, warm and changeable in spring, and with continuous rain in fall. The average annual temperature is 16.4°C, and the average temperature of the hottest month (July) is 25.5°C; the average temperature of the coldest month, January, is 5.7°C. The extreme minimum temperature is

-4.7°C and the extreme maximum temperature is 36.6°C. The average annual frost-free period is 297 days, and the average annual days with the average daily temperature <5°C is 10.3 days. The average annual precipitation is 987 mm.

23. Sichuan Province is a core part of the "Himalaya - Hengduan Mountains" biodiversity hotspot, one of 34 global hotspots for biodiversity (See Figure 2). In addition, Qionghai Mountains and Jiajin Mountains in the western margin of Sichuan Province cover the giant panda habitats in the Chengdu Plain and Qinghai-Tibet Plateau, and are identified as one of the world's 200 ecological zones by the WWF, as well as a world heritage site. Sichuan Giant Panda Sanctuaries have abundant plant species, are the world's largest and most complete giant panda habitat, and also provide habitat for the red panda, snow leopard, clouded leopard and other endangered species.

Figure 2: Map of Hotspots and Wetlands in Sichuan Province



24. Sichuan is located in the southwest of China, and the significant horizontal and vertical differences have shaped Sichuan's unique topography, geomorphology, climate, hydrology and soil, thus supporting the rich ecosystem diversity. Different ecosystems and habitats have given rise to a large diversity of animal and plant species as well as genetic diversity. The province has a wide range of wild plant resources, with more than 10,000 species of higher plants, accounting for about 1/3 of the total number nationwide, ranking second only to Yunnan in the country. There are many natural

ecosystems in Sichuan such as forests, grasslands and wetlands in addition to the marine and desert ecosystems. As one of the world's biodiversity hotspots, it is an important species pool and gene pool in China, with abundant special and relict species.

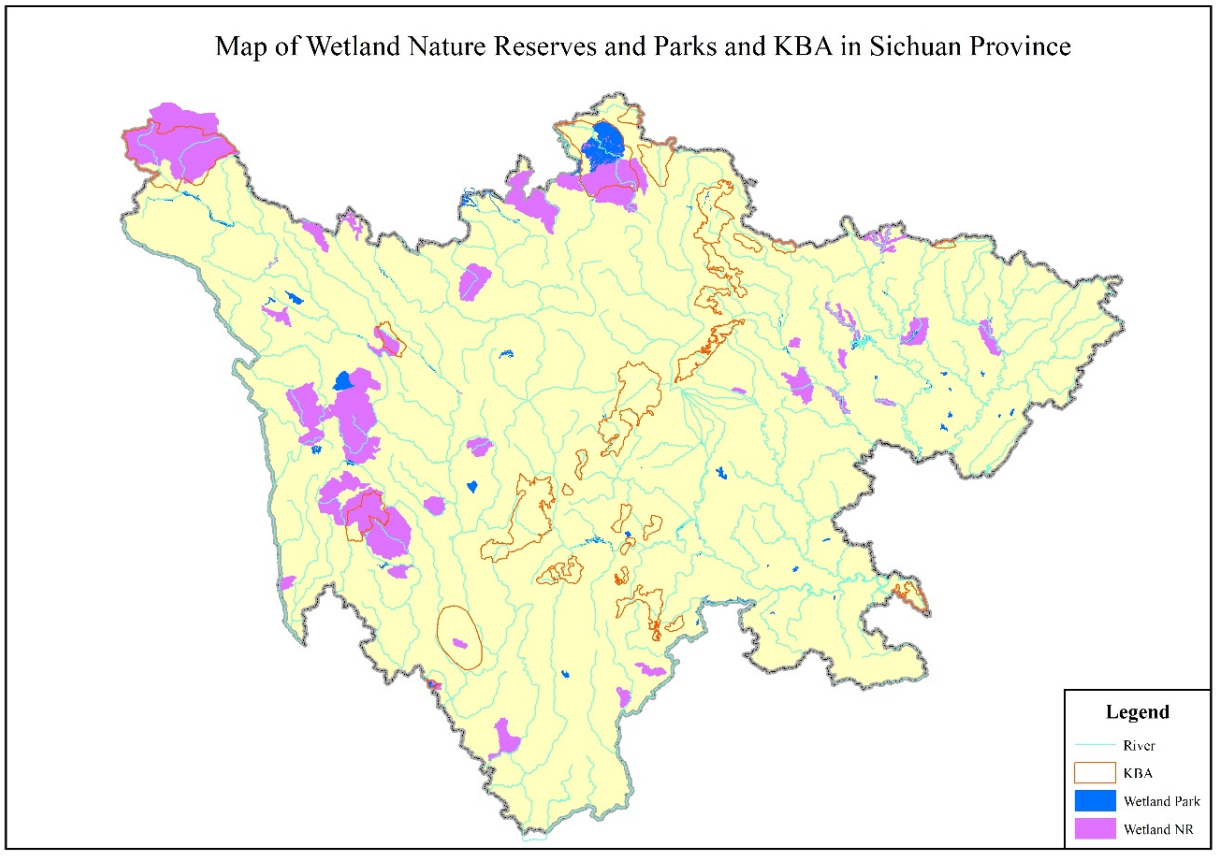
25. There are 8,553 species, 1,520 genera and 191 families of spermatophytes in Sichuan, of which, 18 species are Class-I national key protected wild plants and 55 species are Class-II national key protected wild plants. There are 1,323 species of vertebrate in Sichuan Province, accounting for more than 45% of the total number in China. Among them, there are 241 species and subspecies, 21 families and 9 orders of fish; 111 species (subspecies), 10 families and 2 orders of amphibians; 105 species and subspecies, 12 families and 2 orders of reptiles; 647 species, 78 families and 20 orders of birds; and 219 species of mammal. There are 142 species of Class-I and Class-II national key protected animals, accounting for 39.6% of the total number in the country, which ranks Sichuan first in China. In addition, there are abundant galliformes, with 20 Species of phasianidae birds, accounting for 40% of the total in the country, of which many are rare and endangered, such as the national class-I protected animals *Tetraophasis obscurus, Arborophila rufipectus, and Lophophorus lhuysii.*

26. Due to its special geographical location, Sichuan has fostered distinctive and diverse wetland resources. According to The Second Wetland Resources Investigation Report of Sichuan Province in 2014, the total wetland area in Sichuan Province is 1,747,800 hectares, accounting for 3.6% of the total area of the province. The natural wetland is 1,665,600 hectares, concentrated in the northwest and southwest of Sichuan Province, accounting for about 95.3% of the total wetland area in the province. There are 82,200 hectares of constructed wetland (excluding paddy wetland), accounting for 4.7% of the total wetland area in the province, mainly distributed in the Chengdu Plain and hilly and low mountain areas around the Sichuan Basin. The natural wetland includes 452,300 hectares of riverine wetland, accounting for 25.9% of the total wetland in the province, 37,300 hectares of lake wetland, accounting for 2.1% of the total wetland in the province, and 1,175,900 hectares of marsh wetland, accounting for 67.3% of the total wetland in the province. The wetland area in the nature reserves, wetland parks and other forms of protection areas is 965,600 hectares (767,766 ha of which is protected under forestry sector through wetland nature reserves and wetland parks), accounting for 55% of the total wetland area in the province. The number of wetland parks in Sichuan is 39, 2 of which are national wetland parks, 18 of which are pilot national wetland parks, and 19 are provincial-level wetland parks. There are 52 wetland nature reserves in the province, 40 of which are managed by the forestry department. Sixteen wetland nature reserves and parks are located in the scope of Key Biodiversity Areas (KBAs) (See Figure 3).

27. According to the data provided by Xichang University, there are a total of 291 species, 203 genera, 89 families of vascular plants in Sichuan Qionghai National Wetland Park. There are more than 40 species of fish, of which, 20 are indigenous (including subspecies), belonging to 20 genera, 8 families, 5 orders, and 20 are exotics, belonging to 19 genera, 14 families, 5 orders. There are 120 species of

wetland birds, belonging to 28 families, 7 orders, mainly laridae and umbrette waterfowl, followed by anseriformes and cranes. Among them, *Grus grus, Plegadis falcinellus, Aix galericula, Falco tinnunculus, Accipiter gentilis, Buteo buteo, Falco peregrinus* are Class-II national key protected birds. In 2013, the Chinese endemic species, Mergus squamatus, was found in Qionghai Lake for the first time and has been listed as a Class-I national protected bird (See Appendix VIII).

Figure 3: Map of Wetland Nature Reserve and Parks and KBA in Sichuan Province



28. There are a great variety of birds in Baihetan National Wetland Park of Sichuan Province. According to a survey, there are 38 species of resident birds, with a proportion of 43% of the total bird species in Xinjin County; 22 species of winter migrants, with a proportion of 25%; 15 species of summer migrants, with a proportion of 17%; 12 species of passing migrant birds, with a proportion of 14%. Some species have various residence types, e.g., there are both winter migratory birds and resident birds among Sturnus cineraceus. Breeding birds constitute the majority of birds in Baihetan wetland park, indicating that the rich habitat types are suitable breeding habitats for many birds. According to field surveys and related references, Baihetan Wetland Park has a total of 87 species, 38 families of birds, including 6 species of Class-II national key protected birds, i.e., *Milvus migrans, Accipiter nisus, Buteo buteo, Falco subbuteo, Spizaetus cirrhatus, Charadrius placidus*; 4 species of provincial

protected birds, i.e., G*allinula chloropus, Tachybaptus ruficollis, Ixobrychus cinnamomeus, Botaurus stellaris* (See Appendix IX).

2 C. Social, Economic and Cultural Context

29. Sichuan Province covers a total area of about 486,052 km^2, which accounts for 5.1% of the whole country, making it the 5th largest province. It includes 18 prefecture-level cities, such as Chengdu, Mianyang and Guangyuan, and 3 autonomous prefectures. The permanent resident population of Sichuan Province is about 82.04 million people, of which 39.12 million are urban and 42.92 million are rural. Sichuan is a multi-ethnic province with long-dwelling ethnic groups and has 56 ethnicities including 55 ethnic minorities, such as Yi, Zang, Qiang, Miao, Hui, Mongolia, Lisu, Man, Naxi, Tujia, Bai, Buyi, Dai and Zhuang. The overall population of ethnic minorities has reached 5.17 million, which accounts for 6.4% of the total population (Sichuan Yearbook, 2016).

30. The province has 5,988,300 ha of cultivated land, 716,700 ha of garden land, 19,123,300 ha of forest land, 15,215,900 ha of pasture land, 1,556,700 ha of construction land, and 597,300 ha of water area.

31. The basin of Sichuan Qionghai National Wetland Park covers 6 townships[1] of Xichang City, 2 townships[2] of Zhaojue County; part of Donghe Township of Xide County. In 2015, the total population of Qionghai watershed was 119,612, of which 72,296 people were rural, accounting for 60.4% of the total population. Among them, the total population of Xichang City was 93,558, accounting for 78.2% of the total population of the watershed. The demographic structure is dominated by the rural population. The area around Qionghai Lake is dominated by the agricultural economy, while industry is underdeveloped (See Table 1).

32. The area of Sichuan Qionghai Lake National Wetland Park is 3,728 ha, of which 3,560 ha is wetland (95%) and the surrounding watershed is 261,449 ha. Qionghai Lake wetland covers an area of 2,746 ha, accounting for 77% of the total wetland area. The area of river wetland is 42.2 ha, accounting for 1% of the wetland area. The area of marsh wetland is 117.3 ha, accounting for 3% of the wetland area. Constructed wetlands include pond wetland and paddy fields, with an area of 654.4 ha, accounting for 18% of the wetland area (See Figure 4).

[1] Six townships are respectively Xijiao, Daqing, Hainan, Daxing, Chuanxing and Gaojian.

[2] Two townships are respectively Pushi and Mazengyiwu.

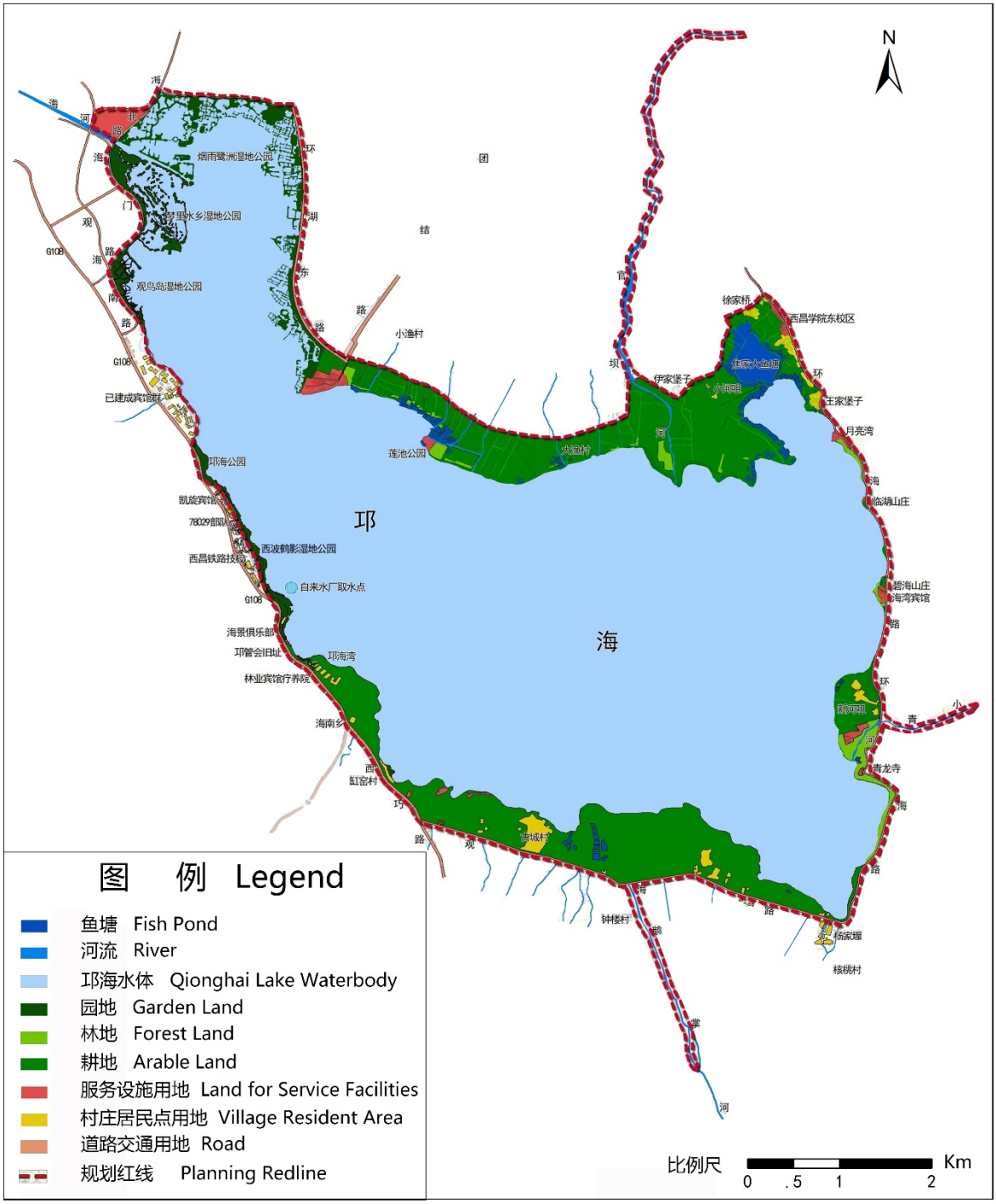
Table 1：Townships and population in Sichuan Qionghai Lake National Wetland Park watershed

Item	Xichang City						Zhaojue County		Xide County
	Xijiao Township	Gaojian Township	Chuanxing Town	Daxing Township	Hainan Township	Daqing Township	Pushi Township	Mazengyiwu Township	Donghe Township
Population	32720	16348	24450	6892	7023	6125	7473	7321	11260
Ethnicity	Han	Han	Han	Han	Han	Yi	Yi	Yi	Yi
Gross output value of agriculture, forestry, animal husbandry and fishery (RMB10,000**)**	6426	20814	25142	15190	11920	5499	3768	3692	5056
Per capita disposable income (RMB10,000**)**	1.91	1.83	1.57	1.18	1.21	0.90	0.67	0.67	0.63

Note：data source comes from Xichang Municipal Yearbook (2015) and Statistic Bureau of Liangshan Yi Ethnic Minority Autonomous Prefecture only provides data of Zhaojue, Xide County level in 2015.

Figure 4: Map of Qionghai National Wetland Land Use in 2016

33.



34. The administrative area of Sichuan Baihetan National Wetland Park involves Wujin Sub-district, Huaqiao Town, Dengshuang Town, Xingyi Town, and Jinhua Town of Wujin County. The total

population of Wujin Sub-district is 67,186, the total population of Huaqiao Town is 29,369, the total population of Dengshuang Town is 24,015, the total population of Xingyi Town is 34,814, and the total population of Jinhua Town is 20,719 (See Table 2).

Table 2: Population statistics of Sichuan Baihetan National Wetland Park watershed

Township	Total population (person)	Agricultural population (person)	Percentage of agricultural population	Cultivated land area (hectare)	Per capita disposable income of farmer (RMB)
Wujin Sub-district	67186	6920	10.3%	509	18954
Huaqiao Town	29369	21107	71.9%	1032	17003
Dengshuang Town	24015	19860	82.7%	355	17679
Xingyi Town	34814	28033	80.5%	2172	16193
Jinhua Town	20719	13457	65.0%	541	16679
In total	**176103**	**89377**	**50.8%**	4609	

Note: The data is from Xinjin Statistical Yearbook for 2016

35. The area of Baihetan National Wetland Park totals 673 ha, of which 96.11% of the total area is wetland and the surrounding watershed is 32,927 ha. Specifically, the river wetland is 626.23 ha, accounting for 96.74% of the total wetland area; the constructed wetland is 21.07 ha, accounting for 3.26% of the total wetland area (See Figure 6). The wetland park types and their area are detailed in Table 3.
36.

Table 3: Wetland Types of Baihetan Park

Code	Type	Code	Sub-type	Area (hectares)	% in total wetland area
2	**Riverine wetland**	201	Permanent river	343.41	53.05
		203	Flood plain wetland	282.82	43.69
		Subtotal		626.23	96.74
5	**Constructed wetland**	503	Aquafarm	1.93	0.30
		504	Paddy field / Winter paddy field	0	0
		501	Reservoir pond wetland	19.14	2.96
		Subtotal		21.07	3.26
In total				**647.30**	**100**

Figure 5: Map of Qionghai Wetland Park and Watershed

Figure 6: Map of Baihetan Wetland Park Land Use in Sichuan Province

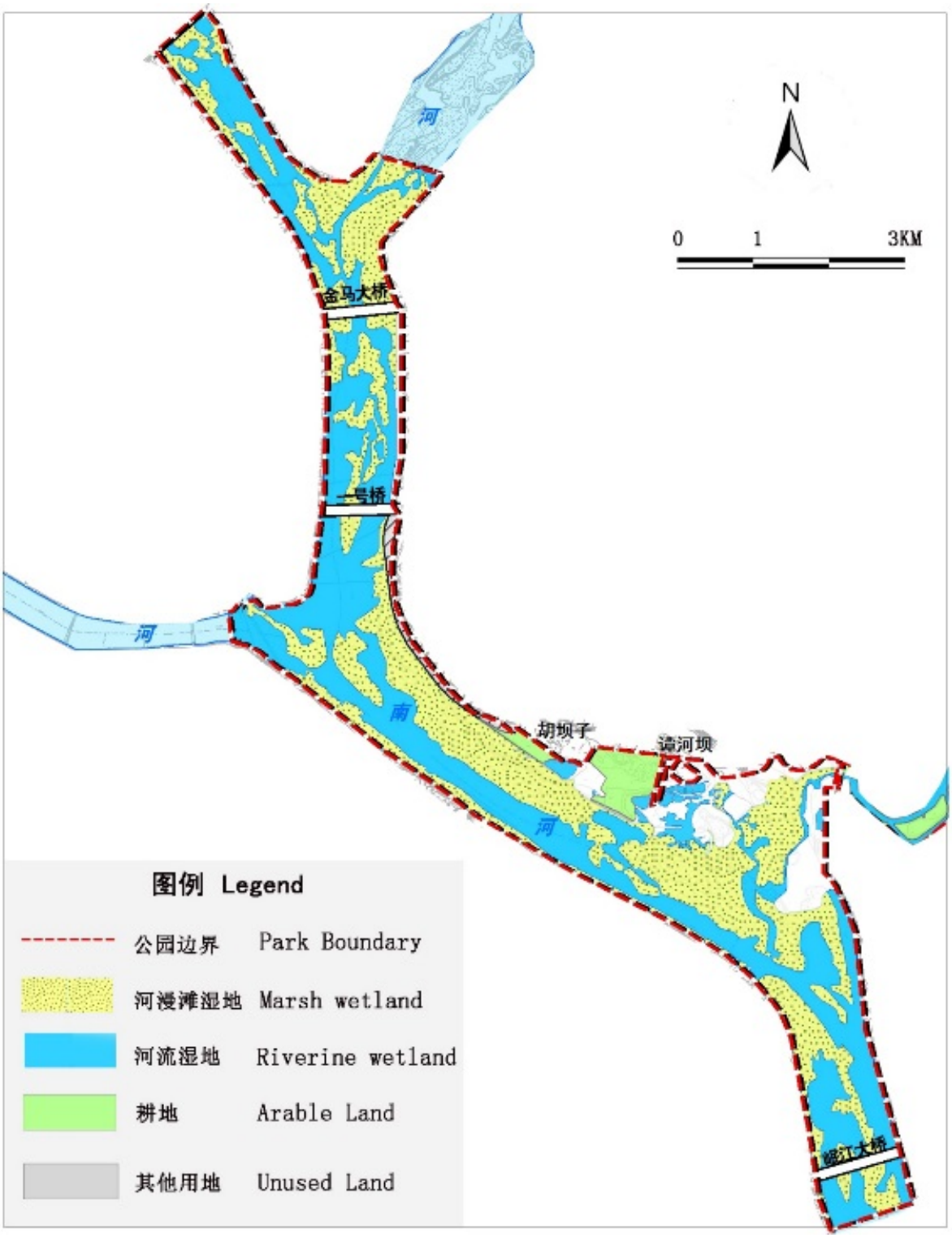
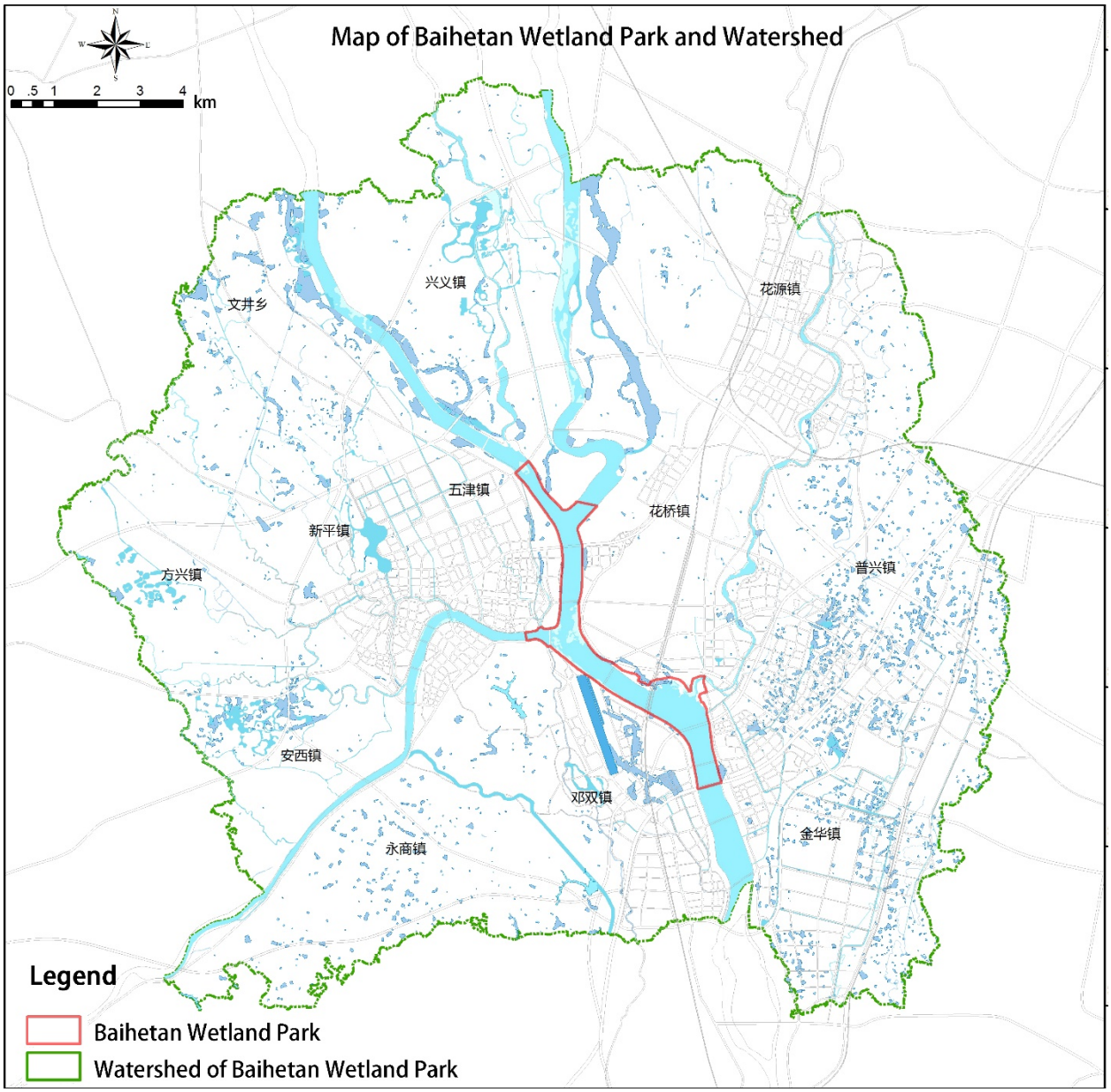


Figure 7: Map of Baihetan Wetland Park and Watershed



2 D. Global environmental problems and root causes

37. The globally important ecological system in Sichuan Province is extremely fragile, and its fauna and flora are facing increasing threats. With the rapid increase of population and the development of society and the economy, as well as the influence of global climate change, the sustainable utilization of natural resources is threatened. Industrial, agricultural and urban household sewage have resulted in environmental pollution; road construction, water utilization facilities and other infrastructure leads to the deterioration and loss of habitats; overgrazing results in the degradation of wetlands, and chaotic wetland tourism development has a tremendous negative impact on biodiversity. In

many cases, no effective measures are taken to avoid and mitigate the negative impact on biodiversity and ecosystems.

Sewage from industrial, urban and agriculture to rivers brought about great threats to biodiversity

38. There are many lakes and dense river networks in Sichuan Province. The rapid regional social and economic development and the discharge of industrial, agricultural and urban household sewage have resulted in severe wetland environmental pollution and water eutrophication. Some natural wetlands have become the main drainage area for industrial, agricultural and domestic wastewater. The pollution of wetland water causes the disappearance of some important naturally developed spawning grounds, fattening grounds or overwintering grounds for birds, commercial fish, shrimps, crabs, shellfish and algae. According to the Second Wetland Resources Survey, since 2000, the area of polluted wetlands among key wetlands in the province has reached 5,719 ha which accounts for 3.3% of the total wetlands in Sichuan.

Infrastructure construction results in Habitat change and loss, decrease of biodiversity

39. Biodiversity has not received sufficient attention during the construction of highways and railways, water conservation, hydropower, mining, tourism and other infrastructure construction. Major rivers in the province have suffered changing hydrological conditions, resulting in the loss, degradation and fragmentation of some wildlife habitats.

Excessive utilization of natural resources leads to the decline of wetland biodiversity

40. Wetland resources suffer from unsustainable fishing, poaching, logging and digging which are traditional and popular activities. Because of the focus on fishing, ignoring cultivation, the number of endemic and rare fish in many lakes has reduced. Due to the decrease in fish resources, an ever-greater density of fishing nets is used to maintain harvests. According to data from catches, the diversity of fish species has reduced, and the average age of the fish population has become younger and physically smaller.

The invasion of alien species poses great threats and destroys the original wetland ecosystem

41. In Sichuan's wetland ecosystems, harmful invasive plant species such as *Eichhornia crassipes* and *Alternanthera philoxeroides*, which cover a large area of shallow water, have resulted in river blockages, hindering river channel irrigation and drainage, and destroying the original wetland ecosystem. Wetland invasive animals include bullfrogs, and *Pomacea canaliculata*, which change the native aquatic community structure, affect the habitat and foraging environment of waterfowl and pose a severe threat to wetland biodiversity and stability.

Overgrazing leads to degradation of the wetland ecosystem

42. The wetland ecosystem in Sichuan, especially marsh wetland, is severely degraded. Many typical marshlands are being converted to swamp meadow and the water level of alpine lakes has decreased, shrinking their overall area. The alpine grassland in Sichuan Province has degraded severely, and the

gramineous forage grass, palatable to livestock, has decreased from 30% to 16%, with productivity reduced. In recent years, excessive development of livestock husbandry has resulted in overgrazing. Many wetland plants cannot complete their life cycle. Thus, the loss of wetland plant diversity affects the virtuous circle of the wetland ecosystem, resulting in the decline or loss of wetland ecological functions, degradation and even desertification of wetlands.

2 E. Barriers to addressing environmental problems and their root causes

43. Sichuan Province has already made efforts in response to the threats described above. However, there remain some obstacles to the establishment of a system for effective management and sustainable protection of wetland resources.

Barrier 1: Wetland resources planning and management is not well connected with provincial development planning processes.

44. An effective inter-departmental cooperation and coordination mechanism is absent. The coordination and cooperation between government departments is poor and no effective vertical or horizontal integrated coordination mechanisms have been established.

Barrier 2: The management system and institutional and staff capacities of wetland protected areas remain weak

45. **Insufficient funding for park management:** Although the overall investment in wetland parks and reserves by the state and the People's Government of Sichuan Province is substantial, most of it has been dedicated to construction projects (such as roads, buildings and other infrastructure), while little is spent on wetland conservation. Those limited resources dedicated to conservation are often spent without proper planning.

46. **Insufficiency of institutional capacity:** Among 52 (40 of which are managed by the forestry department) wetland nature reserves and 39 wetland parks in the province, 22 of them have no on-the-job personnel.

47. **Limited staff capacity:** There is insufficient wetland protection managerial personnel in Sichuan Forestry and Grassland Bureau. Below the provincial level, the field management of protected areas is mainly undertaken by local staff assigned by local governments (prefecture, city and county levels), and the staff do not receive any wetland conservation and management training. Moreover, their recruitment and appointment are not in accordance with any professional competence.

Barrier 3: Weak legal and policy frameworks for wetland protected areas

48. **Weak legal basis:** Although there are many laws and regulations on wildlife conservation, forest, grassland and other ecosystem management, there is no comprehensive legislation for wetland protected areas. There is neither national special regulation for wetland protection and management

in China, nor major policies and quotas to control the area of wetlands reduced and wetland function decline.

49. **Lack of relevant standards:** One of the reasons for the ineffective supervision of wetland parks, reserves and conservation zones in Sichuan is the lack of relevant standards. Local policy fails to keep up with national policies and guidelines and this has hindered wetland protection and the sustainable utilization of wetland resources.

50. **Lack of an effective monitoring mechanism:** There are 39 wetland parks and 52 wetland nature reserves in Sichuan Province (41 of which are managed by the forestry department). Some of them have recently received approval and construction has not yet started. There is no regular monitoring mechanism to supervise the effective management of wetlands and monitor changes in wetland size.

Barrier 4: Limited participation and capacity of local communities in the management of wetland parks and reserves

51. In China, many community co-management models have been piloted in different regions, including Sichuan Province. However, there are no community-based conservation management or co-management guidelines to clearly define the use rights and responsibilities of the communities.

52. In the meantime, the institutional and personnel capacity of the wetland park and reserve management departments fall short of the rapid expansion of this cooperative management model.

Barrier 5: Inadequate public awareness of wetland conservation and sustainable use of resources

53. Due to a lack of understanding the importance of wetlands, communication and education on wetland conservation is still at an early stage in Sichuan Province, and public awareness campaigns are insufficient and incomprehensive. As a result, the public have a relatively low awareness about wetland conservation.

2 F. Current baseline (Business-as-Usual Scenario)/Future Scenarios without the Project

54. According to the latest statistical data from the Sichuan Forestry and Grassland Bureau (2017), the existing wetland area of Sichuan Province is 1.747 million hectares. There are 39 wetland parks, including 6 approved national wetland parks and 33 provincial wetland parks.

55. In Sichuan, the concentrated urban population will certainly lead to further river pollution, affecting the two project demonstration sites. Qionghai Lake wetland is only 5km from Xichang City, the capital of Liangshan Yi Autonomous Prefecture, while Baihetan wetland is 30km from Chengdu City, the capital of Sichuan Province, with a total population of 14 million. With the rapid development of industrialization and the rapid growth of the urban population, the river ecosystem and biodiversity are severely threatened.

Wetland area and biodiversity conservation decreased

56. As an ecological shelter in the upper reaches of the Yangtze River, Sichuan Province plays an extremely important role in biodiversity conservation. The state and provincial governments invest more than USD6.7 million annually in wetland conservation, and some local governments have invested heavily in wetland restoration, working with the transportation and tourism sectors.

57. Currently, there are no policies and regulations for wetland protection at the provincial level. Sichuan Province has not yet formulated standards for practical wetland park management, which hinders the protection of wetlands and the sustainable use of wetland resources. The network for wetland protection remains weak, which makes it difficult to provide effective protection for wetlands of global and national importance and key biodiversity areas.

The ecological functions of wetland ecosystems are limited

58. Some natural wetlands have become the main drainage area for industrial, agricultural and domestic wastewater. The pollution of wetland water causes the disappearance of some important natural spawning grounds, fattening grounds for commercial fish, shrimps, crabs, and shellfish and overwintering grounds for birds. If pollution control is not strengthened, Sichuan will not serve as an important supply of clean freshwater but instead will become a major pollution source for the Yangtze River.

Wetland resources utilization and sustainable development constrained

59. Many wetland plants can provide people with industrial raw materials, food, ornamental flowers, medicinal materials etc., and are of high economic value. For example, reed is an important raw material for papermaking, while lotus, water chestnut and arrowhead are common aquatic vegetables. However, invasive species and damage to the wetland ecosystem in Sichuan Province are increasing. After some wetland parks have been demarcated, the traditional rights of adjacent fishermen or herdsmen in utilizing wetland resources are forbidden. Due to the lack of local residents' intervention, wetlands are rapidly occupied by invasive alien species.

2 G. Alternatives to the Business-as-Usual Scenario

60. (a) expand the wetland protected area in Sichuan Province, strengthen the management capacity in wetland protection, and promote biodiversity conservation in wetland protected areas. This approach has two components: (1) Improving the institutional management capability of Sichuan Province at the provincial level, especially in the system planning, and mainstreaming wetland biodiversity conservation and the sustainable use of wetland resources; and (2) improving the protection and management capacity and effectiveness of wetland parks, especially the staff.

61. (b) Turning wetland parks into nature reserves. Currently, wetlands in wetland parks in Sichuan Province take many forms, including marshes, rivers, and lakes. Pastures and water for aquaculture account for a large proportion of the wetland parks and are collectively owned. Turning wetland parks

into nature reserves will mean more stringent protection and more effective management. Herdsmen and fishermen may lose rights to use wetland resource and the conflict between protection and development will become stronger, which is incompatible with the concept of inclusive development, and less conducive to encouraging local people to participate in conservation. This alternative solution lacks operability and will not be approved by stakeholders.

62. (c) Turning wetland parks into tourist attractions. If wetland parks are turned into tourist attractions, it is expected to generate more revenue for wetland parks which may address the issue of insufficient funds for wetland conservation. However, due to lack of effective policies and guidelines, tourism in wetlands usually does not benefit the biodiversity of the wetland. In fact, some wetlands parks are experiencing inappropriate or excessive tourism development which has become a major cause of wetland degradation and pollution. Pursuing tourism development while ignoring the ecological functions of wetland parks will cause further degradation of wetland ecosystems, which is contrary to the purpose of wetland conservation.

63. (d) Systematic management of wetland parks and wetland nature reserves by forestry authorities. Although wetland parks in Sichuan Province are managed by the Wetland Center of Sichuan Forestry and Grassland Bureau (this was called Sichuan Forestry Department prior to Nov. 12, 2018), different types of wetlands are managed by different provincial departments. Due to the lack of coordination among different departments, there is a conflict between wetland protection and utilization policies. Assigning wetland management to one single department will help to solve the conflicts and fix the "too many cooks in the kitchen" problem. However, institutional change in the provincial government requires top-level design. It is not possible for the GEF Project to promote institutional change because to do so effectively will require more resources and time. Furthermore, other problems that plague the provincial wetland management system, including the ineffectiveness of wetlands management standards and management capacity issues, would not be solved by institutional change alone.

64. In comparing the above alternative scenarios, Option (a) seems to be the best way to solve existing obstacles in wetland protection in Sichuan Province.

Section 3: Project Strategy

3 A. Objective, components, expected outcomes, targets and outputs

Project objective

65. The objective of the project is to expand and strengthen wetland protected areas in Sichuan Province, China and mainstream biodiversity conservation and sustainable utilization of wetland resources. This is consistent with objective 1 of the GEF biodiversity focal area: improve sustainability of protected area systems. The project will continuously improve the spatial planning and management effectiveness of wetland protected areas and will encourage the consolidation of laws, plans as well as institutional frameworks through mainstreaming biodiversity conservation and sustainable utilization of wetlands into provincial departmental plans. It will also strengthen the wetland conservation capacity (strategies, means, mechanisms, knowledge, skills, resources, etc.), and provide support for management and supervision of the provincial wetland protection system network. Meanwhile, through the management demonstration of two typically representative national wetland parks, the project will explore the sustainable use of wetland resources and alleviate the contradictions between wetland conservation and the needs of local people. Thus, Sichuan Province can achieve effective wetland management through the elimination of barriers and protection of important biodiversity.

Project components

66. With the support of GEF, the intervention measures on the wetland protection system in Sichuan Province will be divided into the following two components:

Component 1: Strengthening Sichuan Province's institutional capacity on systematic planning and mainstreaming at the provincial level to conserve and sustainably use wetlands resources.

67. A cross-sectoral comprehensive coordination mechanism will be established to ensure that sustainable conservation and utilization of wetland resources can be incorporated into the provincial government policies, regulations and development plans. The public awareness of wetland conservation and sustainable use of resources in Sichuan Province will be enhanced through improving the capacity of the system, institutions and personnel, so as to improve the effectiveness of wetland park management and public communication.

Component 2: Strengthening site level management and raising the standards for wetland parks.

68. The project will improve the management of wetland protected areas through the establishment of Sichuan's network of wetland protected areas. The project will also develop standards related to monitoring, ecological restoration, and sustainable use of wetland resources, and regulate conservation, restoration, monitoringand the sustainable use of wetland resources. Demonstration of wetland conservation and sustainable use of resources will be conducted in two representative

wetland parks - involving local communities - to improve biodiversity conservation and the sustainable use of wetland resources and ecosystem services.

Expected Outcomes

69. The two components of the project are expected to achieve the following 5 outcomes at the end of the project:

Outcome 1.1: Provincial government policies, legislation and development plans successfully incorporate inter-sectoral measures to conserve and use wetland resources sustainably

70. This outcome focuses on solving barrier 1: wetland resources planning and management is not well connected with provincial development planning processes, and barrier 3: the laws and regulations on wetland parks and reserves are weak, and the implementation and supervision are ineffective. The establishment of a cross-sectoral coordination mechanism can incorporate the objectives and planning of wetland conservation into the development planning of government departments. It is also necessary to develop relevant policies and regulations at the provincial government level. These policies can ensure that all relevant departments develop and implement plans in a wetland-friendly way and ensure the sustainable utilization and conservation of wetland resources. The corresponding monitoring and evaluation system will be established and implemented to evaluate management effectiveness, and the results will be used to improve provincial-level policies and planning. Institutional capacity of provincial, prefecture (city) and county governments will be improved to promote effective management of wetland protected areas and to enhance the capabilities of monitoring, evaluation and law enforcement.

71. The targets for this outcome are:
    - At least three 5-year provincial departmental plans incorporating wetland resources conservation.
    - One technical guideline on ecological impact assessments for infrastructure construction projects in wetlands.

This outcome consists of the following outputs.

Output 1.1.1: Gaps in provincial policy, legislation and regulations for wetland conservation are identified and policies, laws and regulations drafted and approved by relevant government agencies.

72. The focus of this output is to promote wetland protection at the provincial level. For instance, guidelines will be developed with clear wetland conservation planning content including scope, period of planning, local ecological, socio-economic analysis and assessment, etc. The content will be made available to the public in order to establish a public supervision mechanism. In 2010, Sichuan Province promulgated Sichuan Provincial Regulation of Wetland Protection, stipulating the scope of wetlands and wetland protection responsibilities and prohibitions, which were effective in enhancing

the protection of wetlands. However, this regulation is now eight years old, and needs to be revised and supplemented in order to meet the latest direction and requirements for wetland conservation and sustainable use of wetland resources. It is necessary for officials to further assess policies and regulations on wetland conservation and identify gaps and potential conflicts. The project will conduct assement on provincial policy, legislation and regulations in wetland conservation and their gaps will be identified. An assessment report on wetland conservation policy and regulation will provide a detailed and reliable basis for the formulation of future wetland conservation and management policies. Based on the assessment report, relevant policies and regulations will be drafted and approved by relevant government agencies.

Output 1.1.2: Provincial inter-sectoral coordination mechanisms established with wetland biodiversity and resource conservation mainstreamed into provincial development and land use policies and plans.

73. The purpose of this output is to mainstream biodiversity conservation and sustainable use of wetland resources at the provincial level.

74. A technical outline for wetland resources conservation and sustainable use will be developed for provincial and sectoral planning. To achieve this goal, a cross-sectoral coordination mechanism will be established at the provincial level (including forestry, agriculture, water conservancy, land use, environmental protection, finance and tourism). Then, workshops will be held about integrating wetland conservation into departmental planning and cross-sectoral coordination meetings will be held once or twice a year to review implementation of provincial and sectoral plans and to discuss issues and solutions.

75. Wetland resources and biodiversity conservation will be incorporated into environmental impact assessments, and technical guidelines will be developed for ecological impact assessments of wetland infrastructure construction projects. In addition, the participation of stakeholders, including men and women in the environmental impact assessments relating to wetlands, and the consent of key stakeholders (such as wetland administrations) will be taken as a necessary condition for the approval of the project.

Outcome 1.2: Wetland parks management effectiveness substantially improved

76. This outcome will address barrier 2: management system, institutional and staff capacities of wetland protected areas remain weak, and barrier 3: weak legal and policy frameworks for wetland protected areas.

77. The outcome will focus on the development of a manual on the formulation of management plans, supporting the formulation and implementation of management plans and yearly operation plans of Qionghai and Baihetan national wetland parks. This will include reasonable and effective allocation of resources, including human resources, financial, technical support and other resources.

Meanwhile, provincial-level wetland planning, monitoring and evaluation technical guidelines will be developed and implemented to assess the effectiveness of wetland conservation and management. Through such standards, the authorities at provincial, prefecture (city) and county levels can improve their planning, monitoring and assessment, and law enforcement capabilities, and strengthen the effectiveness of wetland conservation and management. An evaluation of the management effectiveness of wetland reserves and parks will be regularly conducted and the results will be shared with the authorities of wetland management and the public. The outcome will include different types of training for the authorities of provincial, prefecture (city) and county levels with a target to train at least 200 staff (70% men; 30% women).

78. The targets for this outcome are:
    - METT score of Qionghai National Park: 61 (baseline is 30).
    - METT score of Baihetan national Park: 55 (baseline is 23).

Output 1.2.1: Management plans and yearly operation plans with rational resource allocations - including human, financial, technical resources are completed and implemented for two wetland parks (Qionghai and Baihetan).

79. The purpose of this output is to optimize the capital input structure of wetland parks, overcome the constraints of wetland management and better cope with the threats faced by the two demonstration wetland parks in order to improve the overall effectiveness of their wetland conservation. The project will develop wetland park management plans, including methodology for the preparation of such plans, through training, guidance and to promote the preparation and implementation of wetland park management plans and annual work plans for the two demonstration wetland parks. The management plans will not only cover the wetland parks itself, but also include the surrounding watersheds of the parks. Through holistic watershed management of two wetland parks, the area of watershed management will reach 298,777 ha. As a result, it will not only improve the capability of the wetland park managerial staff but also optimize the use of the wetland park funds so that human resources, financial and technical inputs to the wetland parks will gradually shift from infrastructure construction to addressing the threats to wetlands and improving the management effectiveness of the wetland parks. As a result, the ecological functions of the wetlands will be gradually enhanced.

Output 1.2.2: Monitoring systems to evaluate the status of wetland ecosystem and biodiversity of the provincial-wide wetlands implemented systematically and results used to improve the provincial policies and plans.

80. The main purpose of this output is to establish a comprehensive wetland monitoring system, to apply the results of the monitoring to improve provincial-level policies and planning and to promote the regular dissemination of monitoring information. To achieve this goal, it is necessary to formulate monitoring and evaluation standards to reflect the ecological status and mangement of wetlands at the provincial level, including indicators that reflect the ecological functions, biodiversity status, and

threats to and management activities of wetlands. According to the monitoring and evaluation standards, wetland monitoring databases and information platforms using unified standards and a compatible format will be developed to ensure that each wetland protected area adopts comparable systems. At the same time, the project will establish a wetland park monitoring data reporting system; each wetland protected area will regularly report their monitoring results, and the data will be aggregated and analyzed at the provincial level. Dynamic changes to the main indicators will be tracked and released as an early warning.

Output 1.2.3: Institutional capacities of county, prefecture and provincial governments for effective planning, enforcement and monitoring of protected wetland areas built and strengthened.

81. The focus of this output is to strengthen capacity for effective planning, law enforcement and monitoring at the provincial, prefecture (city) and county levels. At the provincial level, the wetland protection and management center of Sichuan Forestry and Grassland Bureau shall be responsible for supervising, planning and managing all wetland parks and wetland nature reserves in the province. As the wetland protection and management staff in Sichuan Forestry and Grassland Bureau is insufficient, an advisory group will be established to provide technical support in monitoring and evaluation of provincial-wide wetland protected areas.

82. In view of the shortage of knowledge and skills of wetland management personnel, the project will deliver systematic training on wetland conservation, management, monitoring and communications. This will improve the knowledge structure and management skills and establish monitoring institutions and monitoring platforms at the provincial, prefecture (city) and county levels. This will include the establishment of monitoring stations and the provision of monitoring equipment to meet the needs of high-level wetland conservation and management.

Outcome 1.3: Strengthened public awareness of wetland protection and sustainable use in Sichuan Province.

83. This outcome addresses barrier 5: Inadequate public awareness of wetland conservation and sustainable use of resources. The project will support the development of a wetland science education programme and conduct wetland science education activities. This will be achieved through systematic, diverse and interactive wetland science communication and education activities in Qionghai National Wetland Park and Baihetan National Wetland Park. At the same time, the project will develop guidelines for public wetland science education programmes, train wetland science education staff (men and women), and promote a public wetland education through Sichuan's wetland protected areas network.

84. The target for this outcome is:

100 % of people participating in environmental education programs significantly increase their knowledge on wetland conservation and sustainable use

Output 1.3.1 Environment education programs, designed and implemented at the provincial level, using Qionghai and Baihetan wetland parks as demonstration platforms.

85. The purpose of the output is to establish a wetland environmental education programme at the education centers in Qionghai National Wetland Park and Baihetan National Wetland Park through developing indoor and outdoor integrated wetland science communications and education programmes for different public groups. Based on wetland resources and biodiversity of the two wetland parks, and following the principle of "wetland education-nature's simultaneous interpretation", environmental education books with local characteristics will be produced. Inspiring and interactive wetland science education activities will be designed and carried out. The provincial technical guidelines for wetland science communications and education of provincial wetland parks will be developed.

Outcome 2.1. Sichuan's network of wetland protected areas with globally important biodiversity created, covering 767,766 hectares.

86. This outcome adresses barrier 2: The management system and institutional and staff capacities of wetland protected areas remain weak. The outcome will establish a wetland management network (Sichuan's network of wetland protected areas). Since some wetland parks have not yet conducted any work to enhance the effective management of wetland reserves and parks, the project will establish a provincial-wide wetland protected areas network system based on the established 39 wetland parks and the 40 wetland nature reserves managed under forestry sector, 16 of which are located in KBAs. This will contribute to the protection of globally important biodiversity areas.

87. The targets for this outcome are:
    - A Sichuan's network of wetland protected areas is created
    - 39 wetland parks and the 40 wetland nature reserves managed under forestry sector are within the newly created Sichuan's network of wetland protected areas
    - 767,766 ha of wetland protected areas are included within the newly created Sichuan's network of wetland protected areas.

Output 2.1.1: Direct and indirect threats to wetland protected areas assessed and consolidation plan for wetland protected areas developed in Sichuan Province.

88. The project will assess the importance of wetlands, categorize wetlands, assess the threats and barriers and conduct gap analysis, covering 40 approved wetland nature reserves and 39 provincial-level and national-level wetland parks. Based on the assessment, a detailed wetland conservation plan will be developed for enhancement of the wetland protected area system. Through implementation of the provincial wetland conservation plan, the project will improve the ecological status of wetland nature reserves and wetland parks.

Output 2.1.2: Sichuan's Network for wetland protected areas established and supported by government to promote best practice.

89. The focus of the output is to establish a knowledge and information sharing platform based on the 39 wetland parks and 40 nature reserves of the province. The platform will allow the sharing of data from the provincial wetland monitoring and evaluation mechanism. Led by the Sichuan Forestry and Grassland Bureau and with the support of 39 wetland parks and 40 wetland nature reserves management authorities, the project will promote the establishment of a Sichuan wetland protected areas management network. Meanwhile, the project will also support Sichuan Forestry and Grassland Bureau to develop a working regulation for the wetland conservation and management network to ensure that the network remains functional. The network members will meet regularly to share knowledge and best practice and to receive relevant training. It is expected that 39 wetland parks and 40 wetland nature reserves, which is equivalent to 767,766 hectares, will be included in the network and have improved management.

Outcome 2.2: Wetland park biodiversity conservation and sustainable use of wetland goods and ecosystem services improved in Qionghai wetland park.

90. This outcome addresses barrier 4: Limited participation and capacity of local communities in the management of wetland parks and reserves and barrier 5: Inadequate public awareness of wetland conservation and sustainable use of resources. This outcome will identify stakeholders interested in sustainable utilization of wetland resources through participatory appraisal with local communities. Based on the rights and collective responsibilities of local communities in wetland protection and resource utilization, the project will select two villages through an open and transparent approach and build a new multi-participation mechanism for the protection and utilization of wetland resources in the form of conservation agreements between local communities and wetland park authorities.

91. Conservation agreements will support pilot villages in adopting wetland conservation actions such as producing “green” products utilizing the wetland resources and diversifiing aquatic crop planting patterns, so as to increase the income of local residents from wetlands.

92. The project will build a multi-party communication platform using software application to improve local communication between the wetland park administration and stakeholders, particularly rural communities.

93. The targets for this outcome are:

- The income from wetland sustainable livelihood development for pilot communities increases by 20% against the baseline
- Local residents’ awareness of the GEF project reaches 80% and positive feedback is over 75%.

Output 2.2.1: The pilot wetland park master plan and the wetland conservation and restoration plan are prepared and approved.

94. This output will support Baihetan National Wetland Park and Qionghai National Wetland Park to develop their master plans and wetland conservation and restoration plans. The project will also support the formulation of an eco-industrial development plan suitable for wetland parks.

Output 2.2.2: Pilot communities in Qionghai wetland park are identified and livelihood needs, resource use, environmental carrying capacity and potential for wetland sustainable products assessed.

95. The project will mobilize a multi-background social and economic survey team formed by stakeholders (see "Stakeholder Engagement Plan (SEP)") to conduct participatory socio-economic assessments on the two wetland parks. The investigation will collect the status of economic, political, cultural, social and ecological development in the surrounding communities, including the ownership of wetland resources. The investigation will analyze the opportunities for, and threats to, sustainable utilization of wetland resources and put forward strategies and priority actions for communities to participate in wetland conservation and sustainable utilization.

96. The participatory assessment method will enable stakeholders identified in the PPG phase to express their views, and to share local knowledge, attitude and practices of wetland resource use. In addition, attention will be given to vulnerable groups such as women.

Output 2.2.3: Sustainable wetland agriculture production/livelihood systems -pollution-free, green-labelling, organic products, etc. - successfully implemented via conservation agreements with local communities and relevant government agencies.

97. A Conservation Agreement offers direct incentives for conservation through a negotiated benefit package in return for conservation actions by communities. Thus, a conservation agreement links conservation financing to people who own and use natural resources. Benefits typically include investments in social services like health and education as well as investments in livelihoods. The size of these benefit packages depends on the cost of changes in resource use, as well as conservation performance. Rigorous monitoring verifies both conservation and socioeconomic results. Conservation International introduced the conservation-agreement pilot into China in 2006, which has been successfully implemented in 6 provinces, 5 different ecosystem types and over 20 project sites in the country. It has accumulated rich experience and gained recognition at the national and provincial levels. Many non-governmental organizations (NGOs) have also adopted the conservation-agreement model as the main project tool for sustainable management of natural resources.

98. The information of the conservation-agreements will be provided to all 10 administrative villages around Qionghai wetland park, so that villagers can fully understand the connotation of the protection agreement and the requirements. One-day training on conservation agreement for all community representatives will be undertaken. The project will encourage the 10 administrative villages to apply to implement the protection projects in accordance with the requirements of the Park Protection Center. In an open and transparent manner, the project will select two of the administrative villages as pilot villages to receive financial and technical support. Meanwhile, the pilot

communities will take wetland protection actions as their responisbilities via conservation agreements.

99. The objective of conservation agreement is to conserve biodiversity and wetland ecosystem through an incentive mechanism to local residents around the wetland parks. On the premise of conservation agreement, the wetland park administration will give certain authorization to pilot villages, allowing the villages to utilize natural resources in the wetland park to some extent, including economic utilization, carrying out cultural activities or improving living conditions. The GEF project will provide technical training for local residents on how to generate income utilizing the natural resources in a sustainable manner. Meanwhile, the protection responsibility and actions to be undertaken by the villages will be determined via consultations and community engagement. The Qionghai National Wetland Park Protection Center will be supported to formulate wetland resources protection actions to be carried out by farmers collectively and the benefits they will receive for implementing those actions. The conservation agreement will explore a 'win-win' model to mitigate conflict between conservation actions and indigenous people's livelihoods. It will contribute to outcome 2.2.: Wetland park biodiversity conservation and sustainable use of wetland goods and ecosystem services improved in Qionghai wetland park. Detailed actions will be identified during the field assessment.

100. The project will conduct a feasibility study of wetland products and develop business plans for sustainable wetland productive schemes. The Park Protection Center will provide support and assistance to the villages in the development of wetland ecological products and the establishment of wetland-based alternative livelihoods based on the needs of the community.

101. The project will help identify 2-3 wetland eco-products for development and support the development of business plans with a profit motive for the community. The project will provide technical support and training to the selected communities (Party B) through Qionghai wetland park administration (Party A) to develop and take the products to market. Due to the rigid fiscal management system of government, it is often difficult for government departments to provide communities with such financial and technical support.

Output 2.2.4: Community-based alternative livelihoods designed and implemented in a participatory manner in Qionghai Wetland

102. Due to the establishment of the two wetland parks, relocation with compensation and/or restrictions on local residents' traditional utilisation of wetland resources occurred prior this project. The project will design a plan to identify community-based alternative livelihoods. One of the alternative livelihoods that will be considered is tourism since the pleasant climate at Qionghai Lake has been attracting more tourists to the park. Moreover, the project will leverage government funds and technical support to promote alternative livelihoods. Knowledge and skills training will be carried out to enable the local residents to transform as soon as possible and to adapt to new market changes and needs. It is expected that local residents will increase their income through alternative livelihoods.

103. A routine training mechanism for local residents will be established jointly with local government agencies, to provide skills training to local residents related to alternative livelihoods.

Output 2.2.5: Two-way information exchange improved between the wetland park administration and the community including the establishment of a smooth accountability and grievance mechanism.

104. Information is the most important factor for community participation in the management of wetland protected areas, but it is also the foremost constraint. It is therefore important for the wetland park administration to establish a smooth two-way information exchange with local residents. Wetland park management authorities can hold regular meetings with local residents and appoint a contact person for the communities.

105. Mobile internet and smartphones are widely used. Most of local residents under 50 years old in the surrounding communities of the two wetland parks use smartphones. A wetland park management software application (APP) will be developed for local residents to enable them freely to express their opinions. Through this two-way communication platform, local residents will better understand wetland protection policies and management activities and can report problems in the wetland parks and identify possible solutions. This two-way communication will enable the management measures of wetland parks to be more targeted and effective.

106. The app would would support the grievance mechanism for the project. According to the requirements of environmental and social safeguard policies for the CI-GEF project, the project must ensure that any grievances and complaints from the stakeholders about the project can be reported, heard and handled appropriately.

3 B. Associated baseline projects

107. Sichuan is an important ecological shelter and an important water conservation area in the upper reaches of the Yangtze and Yellow Rivers. The protection and effective management of wetlands are of great importance to Sichuan Province. Apart the financial support of the GEF, Sichuan Province and the two demonstration sites of the project have their own plans for wetland conservation and management. According to the 13th Five-year Plan for Ecological Protection and Development in Sichuan Province, it is required that wetland, river and lake ecosystems are effectively protected and restored by 2020. Among the main indicators, the area of wetland protection and restoration is required to exceed 1,747,800 ha by 2020. A water resources protection system centered on the management of the water functional zone will be established and the environment quality of surface water will be significantly improved by 2020, with the quantity of excellent surface water quality in the province above 82%. According to the 13th Five-year Implementation Plan for Wetland Protection in Sichuan Province (2016-2020), a total of USD96 million is to be invested in wetland protection during the Plan period. Specifically, some of the investment covers wetland protection

and restoration and compensation for wetland ecological services. Some of the investment in capacity building includes wetland investigation and monitoring, education and publicity, and sci-tech support. Some of the investment in demonstration projects of sustainable utilization includes the development of a *Brasenia schreberi*[3] protected area. The planned investment will come from the forestry reform and development funds, central infrastructure investment, provincial investment, local investment, social capital and other sources.

Key project of wetland protection and restoration

108. During the 13th Five-Year Plan period, there will about USD98,718,750 budget for provincial wetland conservation and restoration. The programme includes national key projects, infrastructure construction, equipment purchases and maintenance for wetland protection, wetland ecological restoration, demonstration of sustainable utilization and capacity building. Please see Table 4 below.

National key project

109. During the 13th Five-Year Plan period, Sichuan Ruo'ergai wetland, a national-level nature reserve and internationally important wetland, Changsha Gongma National Nature Reserve, Haizishan National Nature Reserve, and Qionghai National Wetland Park will join the candidate list of national projects.

Construction projects

110. (1) Infrastructure construction, equipment purchases and maintenance for wetland protection

a) Protection management: maintenance of protection management facilities and equipment purchase, and development of a protection management bureau, patrol facilities and fire protection facilities. b) Science outreach and education including the construction of a science education hall (education center), field publicity station and visitor center and other infrastructure and supporting facilities, as well as the construction of specimen exhibition facilities, electrified education facilities, commentary equipment including a multimedia screen, bulletin column, billboard and preparation of promotional materials. c) Research monitoring: maintenance of monitoring facilities and equipment purchase, resource investigation equipment, research monitoring field sites, setting up of monitoring sample sites and monitoring facilities, simple laboratory and equipment, research archive management facilities and other facilities. d) Infrastructure: office space, equipment, and supporting facilities in wetland management institutions.

111. (2) Wetland ecological restoration

This includes restoration of degraded wetlands, wetland ecology and wildlife habitat. The restoration of degraded wetland includes withdrawing aquaculture from beaches, returning grazing land to grassland, restoration of peatland, restoration of degraded drainage wetland, control of alien invasive species, and hiring temporary management and protection personnel. Ecological restoration

[3] *Brasenia schreberi belongs to the Nymphaeaceae family, the leaves are a precious aquatic vegetable.*

includes water system connectivity, water level control, revetment rebuilding, ecological replenishment, water channel dredging, river regulation, water quality improvement and governance of water eutrophication. Wildlife habitat restoration includes vegetation restoration, habitat improvement, and the development of ecological corridors, habitat islands, concealed zones, etc.

Demonstration of sustainable utilization

112. Wetland resource sustainable utilization includes demonstration of sustainable utilization of wetland resources includes protection and inheritance of wetland cultural heritage and Mahu lake ecological protection zone for *Brasenia schreberi* and high-production comprehensive ecological agriculture in wetland demonstration area.

Capacity building

Wetland survey and monitoring system

- The third provincial wetland resources survey is carried out in accordance with the unified arrangement of the State Forestry Administration (it was named SFA prior to April 10, 2018. Afterwards, it was changed to National Forestry and Grassland Administration-NFGA), and the provincial wetland resources survey is incorporated into the normalized periodic investigation and monitoring system for wetland protection and management. Special surveys on peatland, plateau wetlands, migratory bird wetlands, etc. are carried out.

Publicity, education and training systems

- Wetland publicity, education and training: relying on universitiesand research institutes in and around the province, training is carried out on wetland protection, science popularization and other education. Especially for community-level on-the-job managerial staff engaged in wetland protection, a target of 20 people is to be trained each year on basic wetland knowledge, wetland protection and management, protection of wetland animals and plants, laws and regulations and information systems. At the same time, international exchanges and cooperation are strengthened.

Technology support

- Strengthen wetland research capacity at the provincial level: the project enhances capacity building of wetland research institutions. Planning for the construction of the Sichuan Research Center for Wetland Conservation and Restoration in Sichuan Academy of Forestry Sciences in order to improve the level of research, and carry out research on wetland protection and restoration technology, wetland degradation mechanisms, wetland ecological early-warning mechanisms, peat bog carbon pool and wetland ecosystem evaluation, etc. Relying on Sichuan Forestry Ecological Environment Monitoring Center and making full use of existing ecological monitoring sites and field bases, a unified wetland survey, monitoring, assessment and early warning platform is built.

Table 4: Sichuan Provincial 13th Five-Year (2016-2020) Wetland Conservation Plan

Name of Project	Locations	Purpose	Amount (USD)	Source	Link to GEF
National Key Project	Ruoergai Wetland NNR, Haizishan, Changshagongma NNR and Qionghai National Wetland Park	Wetland Conservation and Restoration	27,031,250	Central	a pilot site
Construction contents of key projects	International and national key wetland, National and provincial wetland NRs, national wetland parks	Wetland ecological restoration	32,812,500	Central	Within Provincial wetland protected areas network
Construction contents of key projects	Ruoergai NNR	National wetland ecological compensation pilot	19,531,250	Central	Within Provincial wetland protected areas network
Construction contents of key projects	Hongyuan, Litang, Daocheng and Songpan Counties	Provincial wetland ecological compensation pilot	15,625,000	Provincial	Within Provincial wetland protected areas network
Construction contents of key projects	Selected 15 provincial wetland parks	Provincial Wetland Park Infrastructure Construction	2,343,750	Provincial	Within Provincial wetland protected areas network
Capacity building	Provincial Forestry Ecological Monitoring Center	Provincial Wetland Monitoring Center Construction	593,750	Provincial	GEF's Provincial wetland protected areas monitoring mechanism
Mahu lake ecological protection zone for Brasenia schreberi	Leibo County	Demonstration of sustainable utilization	781,250	Provincial	None

113. In addition, according to the Master Plan for Baihetan Wetland Park (2014-2019), USD2.8 million will be invested for the period 2017-2019. The demonstration site at Baihetan National Wetland Park has relevant planning on wetland protection, wetland restoration, popular science education, research monitoring, rational utilization and community co-management. Through water purification, wetland habitat development, aquatic plant planting, multi-pond system and other projects, wetland animal and plant habitats are expanded and restored, and the structure and function of the wetland ecosystem is gradually improved, restoring the biological community, increasing species composition and biodiversity, and improving the productivity and self-sustainability of the ecosystem. In community co-management, residents of surrounding communities are encouraged to work in wetland parks through protection-based economic development projects and joint participatory protection community co-management projects. Thus, they can benefit from the development of wetland ecotourism, and then involve surrounding residents in wetland protection, so that the benefit of ecotourism in wetland parks can be maximized.

114. Since 2009, the Party Committees and governments of Liangshan Prefecture and Xichang City have attached great importance to the protection and restoration of Qionghai wetland and put forward a strategic vision to build Qionghai National Wetland Park. By the end of 2016, the People's Government of Xichang City had invested more than USD758 million in the Qionghai wetland protection and restoration project and implemented phases one to six of the wetland restoration project, with 1,333 hectares of wetlands restored. At present, the ecological environment of Qionghai wetland is greatly improved, with the water and wetland area growing from less than 27 km^2 to 34 km^2. According to the Regulation on Protection of Qionghai Lake in Liangshan Prefecture, it is planned to expand the protected area of Qionghai wetland to 307.7 km^2 in the catchment area of Qionghai Lake watershed, so as to recover the ecological environment of Qionghai Lake watershed as soon as possible. In addition, the People's Government of Xichang City has agreed to set up an Expert Advisory Board for Qionghai National Wetland Park, inviting seven experts from the national, provincial and local levels to conduct an annual investigation in Qionghai National Wetland Park, to develop an advisory report about Qionghai wetland protection, and to make scientific decisions on major issues in Qionghai wetland protection and reasonable utilization and the planning for major projects that threaten the ecological environment of Qionghai Lake. Through strengthening scientific cooperation with WWF, GEF, National Plateau Wetlands Research Center and Sichuan Bureau of Surveying, Mapping and Geo-information, research on wetland resources, dynamic monitoring and assessment of wetlands, etc. will be carried out to further enhance management capacity building after the construction of Qionghai wetland.

115. The baseline scenario of this project is analyzed under the "as usual" scenario in which the intervention plan for this project is not implemented within the next five years. Under the baseline conditions, a series of activities related to wetland conservation and management and expansion should be carried out to mitigate threats of climate change and social development to wetlands in the province, which will generate positive impacts on the local ecosystem and its flora and fauna.

However, this baseline scenario still focuses more on hardware construction, such as construction projects and infrastructure, and the already planned work will not significantly eliminate the main barriers identified in departmental planning and coordination, policy development, development of a supervising and law enforcement system, capacity building and local community participation.

3 C. Incremental cost reasoning

116. In November 2016, the General Office of the State Council released Notice on Issuance of Plans for Wetland Protection and Restoration, which requires a series of plans on wetland protection and restoration to be established and improved. Although China has injected significant investment and effort in wetland conservation and management without a baseline scenario of GEF investment, Sichuan Province lacks overall strategic planning and policies and regulations for the development and management of wetland parks. Wetland protection and financing remain at a basic level and have not received extensive support from multiple stakeholders, including government departments, local communities and the private sector.

117. Wetland reserves and wetland parks have insufficient resources for operation, staff and capacity, which will continue to hinder the process of strengthening wetland protection and management. Although it is recognized that it is necessary to strengthen financial and human resources for wetland protection and management, the People's Government of Sichuan Province has not yet planned any major institutional or policy reforms to strengthen conservation and management of wetlands. Without the technical support of the project, any follow-up measures will be limited, and the best and most useful knowledge and practice from China and around the world will not be known or used. Some issues related to sustainable financing may be resolved at some sites but, without the support of this project, necessary comprehensive and systematic financing is unlikely to emerge. In the mind of the vast majority of protected area planners and provincial decision-makers, the financing for infrastructure construction still occupies a main position. The capacity building of the staff in reserves will be insufficient and there will be no remarkable change in the overall capacity of nature reserve managerial staff. According to the baseline data, local people's participation in the management of protected areas and support for activities in protected areas remain low. Without the support of this project, it is impossible to establish any formal and sustainable co-management framework.

118. Based on existing conservation projects in the region, significant gains will be generated with the support of the GEF. GEF's investment will help Sichuan Province with policies, regulations and guidelines on wetland protection, management and utilization. GEF investment will also support the exploration and establishment of an effective and sustainable management model that combines sustainable utilization of wetland natural resources with effective protection, so as to minimize threats to the wetland ecosystem. In view of the current large deficiencies in financial support for wetland protection, especially the lack of financial support for monitoring, research, training and capacity-building of local protected area staff and law enforcement, etc., GEF's investment will help Sichuan Province to establish effective systematic institution and personnel capacity for wetland

protection, raise public awareness of wetland conservation, and explore models for local communities to actively participate in wetland management to improve its effectiveness. Through the project, the wetland protection and management system in Sichuan Province will be significantly strengthened and thus better able to achieve its protection goals. With GEF's investment, the effectiveness of wetland conservation and management will be greatly enhanced, the biodiversity of wetlands will be more effectively protected, and the ecological service functions will be fully acknowledged and respected.

3 D. Global environmental benefits

119. Qionghai is one of the largest high plateau lakes, the second largest freshwater lake, and an important habitat for endangered species in Sichuan Province, including bird species listed on the IUCN Red List. Sixteen wetland nature reserves and parks that will be included in the Sichuan's network of wetland protected areas fall within KBAs. The network will also enhance effective management of wetland nature reserves and wetland parks covering 767,766 hectares and province-wide wetland monitoring and evaluation system by reducing threats to, and pressure on, the biodiversity and ecosystems of important wetlands, thus benefiting biodiversity and ecosystems of global importance. Global environmental benefits include maintaining biodiversity, mitigating climate change, slowing and reversing land degradation and achieving sustainable wetland management.

Maintaining biodiversity

120. Sichuan Province is extremely rich in biodiversity and, as well as being a biodiversity hotspot in southwest China, is a core component of the "Himalaya - Hengduan Mountains", one of the 34 biodiversity hotspots in the world. The biodiversity of two demonstration wetland parks (Qionghai and Baihetan) in the project is very high and both have threatened species. The project will greatly benefit the protection of these threatened species.

Slowing climate change

121. Wetlands are an important carbon sink, playing a key role in the global carbon cycle. At the same time, wetland soil is often water-logged and the heat capacity is large, consuming a great amount of solar energy and making the ground surface temperature increase at a slower rate. Thus, the project will help to alleviate global climate change.

Curbing land degradation

122. There are abundant types of wetlands in Sichuan Province. However, in recent years, due to improperly planned development and utilization, many wetlands have been destroyed (e.g. from overgrazing, reclaiming land from lakes, artificial drainage), resulting in degradation of the wetland ecosystem, loss of ecological function, and even land deterioration and desertification. Under the project, measures such as returning farmland to wetland, returning grazing land to wetland, and strengthening effective management of wetlands will help to reduce land degradation.

Sustainable wetland management

123. By reducing wetland degradation, exploring wetland sustainable utilization, addressing the livelihoods of local residents, strengthening the effectiveness of protected area management, establishing standards for development and management, establishing a sustainable utilization model of wetland resources, and promoting the participation of local communities in the co-management of wetland protected areas, the project will improve sustainable management of wetland protected areas and the surrounding communities.

124. In addition to global environmental benefits, the project will bring considerable national and local environmental benefits, such as water conservation, water purification, improved air quality and provision of wildlife habitats. Although the project has only two demonstration sites, it will carry out a great deal of work at the provincial level, so the environmental benefits can be replicated in other areas.

3 E. Social and economic benefits

125. The project will achieve a series of social and economic benefits, including regulating the local climate, ensuring water and food safety, water storage and flood control, realizing sustainable livelihoods of local residents, wetland eco-industries (sustainable tourism, agriculture, etc.), supporting a positive image of the Chinese government in fulfilling commitments under relevant international environmental conventions, promoting the upgrading and dissemination of wetland culture, and achieving research, popular science education and regional economic restructuring.

Water storage and flood control to alleviate downstream flood risks

126. Wetlands play an important role in managing water resources, including regulating river runoff, supplying groundwater and maintaining a regional water balance. Wetlands are natural "sponges" for flood control allowing uneven precipitation to be redistributed, and through the wetland's regulation, the risks of floods and droughts can be reduced, easing the flood control pressure downstream.

Develop wetland eco-industry to sustain the livelihood of community residents

127. The project will establish sustainable utilization of wetland resources, develop wetland products, industries and markets, and promote wildlife conservation. Under the guiding principle of protecting wetland resources in Sichuan Province, the project will explore the rational use model of wetland resources through science-based eco-tourism, eco-agriculture and eco-cultural industries. With the increasingly far-reaching impacts of wetland park culture, wetland development will usher in more opportunities for promotion and public visits. Direct tourism income will bring some economic benefits; at the same time, the development of wetland parks provides employment opportunities for local people, increases the income of local residents, and improves their living standards.

Sustainable ecotourism is a wealth-enriching industry that stimulates people flow and logistics, promotes consumption and invigorates the economy, and is also a people-oriented industry.

Establish a good image of China in fulfilling relevant international conventions

128. China has successively acceded to international conventions such as the Convention on Wetlands, the Convention on Biological Diversity, and the United Nations Convention to Combat Desertification (UNCCD). By providing a good platform for related research, the project will support the Chinese government in implementing the Convention on Wetlands, thus helping establish a positive image of China in fulfilling relevant international conventions.

Enhance public awareness of wetland conservation and sustainable use of resources

129. The new wetland conserved area is used as a platform for environmental education and projects to engage the public will be designed and implemented. Through the conservation agreements, local communities are actively involved in the protection and management of wetland ecosystems. The project will greatly enhance the public awareness of wetland conservation and sustainable utilization of resources in Sichuan, a key part of the successful implementation of the project and subsequent sustainable management.

3 F. Risk assessment and mitigation measures

130. There are risks in the planning and implementation of this project, which may hinder the realization of the project objectives. In order to manage these risks, an assessment of the main risks, their potential impact and how they can be mitigated is below:

Table 5: Risk assessment and mitigation planning

Project Outcome	Risks	Rating (Low, Modest, Substantial, High)	Risk Mitigation Measures
Policies, regulations and development plans at the provincial level include cross-sectoral coordination mechanisms to ensure sustainable conservation and utilization of wetland resources.	Unsatisfactory coordination among government agencies at different levels and sectors	Modest	The project led by Sichuan Department of Financeand Sichuan Forestry and Grassland Bureau, will establish a cross-sectoral coordination mechanism among different departments and provide technical support such as regular meetings, technical outline of wetland conservation and sustainable utilization. As Sichuan's ecological development is a priority for the state

			and provincial, and recent strengthened environmental supervision and accountability will draw the attention of the government and the public to wetland conservation. These efforts will help reduce the risks of unsatisfactory coordination.
Project management	Co-financing funds are not in place	Low	Sichuan Forestry and Grassland Bureau and PMO will promote local partners to fullfil their commitment on co-financing funds for the project.
The effectiveness of wetland park management is significantly improved	Wetland park staff, technology and other supporting elements are not in place	Low to modest	The project strictly implements policies and plans, conducts regular training and assessment of relevant leaders and management personnel, and ensures that they have scientifically-based ideas for wetland protection and management and are competent to fulfil the jobs' requirements. The project introduces research and technical personnel related to protection and management of wetlands for timely filling the personnel. In addition, the monitoring and assessment system will be strictly implemented and the effectiveness of wetland management will be assessed scientifically, systematically and regularly. As a result, this will urgent local government to fill the gap of staffing.
The biodiversity conservation of wetland parks and the sustainable use of wetland products and ecosystem services are improved.	Conflict between protection measures and livelihood development of local residents	Low to modest	The project will actively explore and promote the development of sustainable alternative livelihoods for local residents, including the development of wetland products, industries and ecotourism, thus raising the income of local community residents in line with the principle of full coordination and co-existence of

			protection and development. With the common goal of ensuring local ecological environment quality, community development and the living standards of residents, local communities are actively involved in wetland protection and management. The project will also develop several social safeguard plans including a Process Framework for Restriction of Access to Natural Resources, an indigenous people plan, a pest management plan, a gender mainstreaming plan, an accountability and grievance mechanism and a stakeholder engagement plan. This project will provide good experience to other wetland parks.
The biodiversity conservation of wetland parks and the sustainable use of wetland products and ecosystem services are improved.	Local residents play no active role in the implementation of the project	Low to modest	One of the project priorities is to encourage local communities to adopt more sustainable and eco-friendly livelihood models. Through participatory approach, the project will increase in benefits and income to stimulate more local residents to participate in the project. The increase of income encourages local residents to voluntarily publicize the well-rewarded livelihood model in this project, so as to reach wider audiences and achieve more effective popular science education.
Development of project demonstration sites	The severity of the impacts of climate change will destroy the protection efforts of the project through changes in	Low	The project will support to develop masterplans and management plans of the two wetland parks which will also take impacts of climate change and mitigants into account. Through scientific, predictive planning, adaptive management strategies, and systematic post-management and assessment, the

	biodiversity distribution and the intensity of community resources utilization.		impact of climate change will be mitigated as far as possible. Meanwhile, the parks will conduct regular monitoring flora and faura of wetlands and the data will be used for wetland management
Climate change	The severity of the impacts of climate change will affect the patterns of wetlands through changes in biodiversity distribution of wetlands.	Low	As the impacts of climate change may be aggravated over a long period of time, the project will conduct assessment on direct and indirect threats to wetland protected areas and develop a consolidation plan for wetland protected areas in Sichuan, which includes the likely impacts and proposes countermeasures to enhance the resilience of ecosystems.
Resettlement	Government-led resettlement occurs in the project areas which create conflict with the project's targeted stakehodlers.	Low	The government forbids involuntary resettlement. The government led Voluntary Resettlement prior to the start of the GEF project. Residents received compensation from the government and the park boundary was adjusted to accommodate the 4 remaning households. There are no plans by the government to conduct further resettlement. Further, CI does not support involuntary resettlement in keeping with its safeguard policies.

Note: a. High Risk (H): There is a probability of greater than 75% that assumptions may fail to hold or materialize, and/or the project may face high risks; b. Substantial Risk (S): There is a probability of between 51% and 75% that assumptions may fail to hold and/or the project may face substantial risks; c. Modest Risk (M): There is a prubstaintialobability of between 26% and 50% that assumptions may fail to hold or materialize, and/ or the project may face only modest risks; d. Low Risk (L): There is a probability of up to 25% that assumptions may fail to hold or materialize, and/ or the project may face only modest risks.

3 G. Sustainability

131. The project will be devoted to integrating the protection of wetlands into governmental and departmental plans, formulating relevant policies and regulations, improving the capacity of wetland park staff and local government, establishing monitoring and assessment mechanisms, improving public education of wetland protection, implementing a sustainable wetland eco-agriculture plan, optimizing local wetland industry institutions, and protecting wetland resources to ensure the benefits are sustained beyond the life of the project.

Financial Sustainability

132. The total investment in wetland protection during the 13th Five-Year Plan period will reach USD95.5 million, including investment in comprehensive protection and restoration of wetlands, capacity building and demonstration projects of sustainable utilization. Baihetan Wetland Park will invest USD2.82 million for 2017-2019. As the state and provincial governments have prioritized ecological development in Sichuan, the monitoring and management of wetland parks will continue to be enhanced at the national and provincial levels. Sustainable financial support for wetland conservation will be provided by the government in the future.

Institutional sustainability

133. Through the project, Sichuan Province is urged to formulate and complete wetland park development standards and management measures and integrate the conservation and sustainable use of biodiversity into the policies and development plans of local government departments. At the same time, the project will support the establishment and improvement of a coordinating mechanism between different departments at the provincial level to ensure the conservation of wetlands and sustainable use of resources is taken into account. In the meantime, a monitoring and assessment system will be established and implemented to rate the effectiveness of management.

Social and economic sustainability

134. The project will establish and improve the coordination mechanism between departments at the provincial level (forestry, agriculture, water affairs, land, environmental protection, tourism and other sectors) to coordinate wetland protection and development.

135. The project will provide an effective demonstration for wetland parks and wetland nature reserves in the province through systematic, diverse and interactive wetland science education activities in Qionghai National Wetland Park and Baihetan National Wetland Park. The project will develop provincial guidelines for wetland science education on sustainable utilization of wetland resources, train personnel for wetland science education, and instruct wetland reserves and parks to develop science outreach and education plans so as to raise the public awareness of wetland conservation and sustainable utilization of resources in Sichuan Province.

Environmental sustainability

136. In accordance with the 13th Five-year Implementation Plan for Wetland Protection in Sichuan Province, the ecological red line for wetlands is delineated and strictly observed. Management of wetlands is carried out to control the total area of wetlands, with more than 1,747,800 hectares of wetlands in the province under control. National-level wetland nature reserves, wetland parks and other important wetlands are subject to strict protection. Wetlands in the source and upper reaches of the rivers of western Sichuan Plateau will be protected, with priority given to the protection of water resources and wild fauna and flora.

137. Wetland ecological compensation is carried out, and the long-term mechanism for wetland protection is established to balance the utilization relationship between wetland protection and wetland use.

138. Through the project, we will lay the foundation for the sustainability of wetland conservation and, based on 39 wetland parks and 52 wetland nature reserves, establish the province's wetland protection network system, so as to increase the province's wetland protected area and effectively protect globally important biodiversity areas.

3 H. Innovation

Innovation of provincial inter-sectoral cooperation mechanism:

139. The establishment of a cross-sectoral coordination mechanism will incorporate the objectives and planning of wetland conservation into the development plan of relevant government departments and ensure that all relevant departments incorporate the protection of wetland resources and biodiversity in planning and implementation. This can be established through regular (once or twice a year) coordination meetings to review the progress in implementing departmental plans, to address issues encountered and provide solutions.

Management mechanism innovation:

140. Through the project, the guidelines for monitoring and assessing the effectiveness of wetland management are formulated for wetland parks to assess wetland biodiversity and ecosystem services, as well as the management effectiveness at the provincial level. These monitoring and assessment results will be regularly fed back to the decision-making of governments at all levels. In accordance with the technical guidelines, a unified wetland monitoring database and information publishing platform will be developed, and a provincial wetland monitoring system and network will be established so that the monitoring results on wetland resources and biodiversity can best serve the management.

Innovation in community participation and communication mechanisms:

141. Through the conservation agreements, the project will introduce pollution-free, green and organic wetland agricultural production and diversified aquatic crop planting models to achieve ecologically friendly utilization and conservation of wetland resources.

142. To implement the safeguard plans, the project will develop a software application (APP) to allow key stakeholders, particularly local residents, to understand the policies and express their opinions to wetland park administration.

3 I. Replicability and potential for scaling up

143. At the provincial level, a unified monitoring and assessment standard will be established. A unified wetland monitoring database and information publishing platforms will be developed and implemented. The provincial wetland monitoring system and network will be in place. These practices will not only strengthen the effective management of wetland parks, but also can serve as a model for other provinces. The work done to explore the interdepartmental coordination working mechanisms of provincial governments can also serve as a reference for other provinces and cities. At the same time, the capacity building and improvement of government departments from provincial, prefecture (city) to county levels, and the establishment and improvement of effective wetland park management mechanism such as planning, supervision and law enforcement, will improve the capacity of wetland parks in coping with risks and threats. A summary of successful models of wetland park management and the establishment of relevant standards can provide a model for the management of wetland parks in other areas. The success of the project demonstration sites can influence existing management, operation and development modes and shift the focus of restoration from infrastructure construction to ecosystem and biodiversity conservation, so that the funds can be effectively utilized.

144. At present, wetland protection and restoration receive much attention from the leadership of China. And with regard to wetland management, protection and restoration, Chinese provinces and cities are actively exploring ways to improve wetland management. The results of the project demonstration sites will consequentially draw the attention of, and be promoted by, other provinces and cities and even the state. Additionally, because of the involvement of international organizations, the success of the project can be effectively promoted overseas.

3 J. Consistency with national priorities, plans, policies and legal frameworks

Table 6: National priority and project consistency mapping

National Priority	Project Consistency

China National Biodiversity Conservation Strategy and Action Plan (2011-2030)	1. Improve policies, laws and regulations related to biodiversity protection. 2. Promote the integration of biodiversity conservation into relevant plans for sustainable utilization. 3. Strengthen in-situ conservation of biodiversity and rationally carry out ex-situ conservation. 4. Improve public participation, awareness and strengthen international cooperation and exchange. 5. Carry out demonstration of protection, restoration and sustainable use of different types of wetlands in some important areas, and explore modes of wetland conservation, restoration and sustainability. 6. The government, enterprises and related stakeholders are encouraged to participate in implementation of the plan, and to mitigate threats faced by China's biodiversity and ecosystem by strengthening sustainable systematic financing for and efficient management of protected areas.
China's National Climate Change Programme	1. It is proposed to strengthen unified management of water resources, and take active measures to restore and protect rivers with serious ecological deterioration and manage rivers based on watershed. This is highly consistent with this project, both starting from a systemic perspective to conduct integrated management rather than separate micro-region management. 2. Play the role of government in promotion, strengthen outreach to the public, encourage public participation and adopt incentive mechanisms. 3. Strengthen international cooperation and exchange.
China National Wetland Conservation Action Plan	1. The plan puts biodiversity conservation in an important position and sets up protected area or breeding centers for endangered wild animals, which is consistent with the concept of this project. 2. It actively carries out wetland ecological governance through banning the felling of natural forests, closing hillsides to facilitate afforestation, returning farmland to forest and intensifying comprehensive landscape management, etc. Meanwhile, it strictly controls emissions of the three wastes (waste gas, waste water and industrial residue) by industrial enterprises. This is consistent with the expected comprehensive governance of the project, rather than vigorous infrastructure and engineering projects. 3. It considers to actively integrate wetland protection into policies and the legal system and to assess existing wetland conditions, which is in line with legislative protection through the establishment of a wetland monitoring system proposed by the project. 4. It proposes and encourages local legislative bodies to establish and

	improve local laws and regulations in accordance with laws and regulations designated by the state. It also requires comprehensive use of traditional conservation customs, local rules and the agreement of all sectors of society and the local communities. This is consistent with the project plan to involve local communities in wetland conservation. 5. The plan proposes that some representative wetlands in different regions should be selected to carry out the development of demonstration areas for the restoration and reconstruction of degraded wetlands, which is consistent with this project.
The 13th Five-Year Plan Outline for Ecological Protection in China	1. It proposes to further improve the decision-making and promotion mechanism for biodiversity conservation, which is consistent with the core concept of this project. 2. It points out that, at present, China has not established a unified monitoring network for the ecological status of important ecological regions, and the basic supervision and management capacity is weak. The participation of international NGOs has been included in the project, which provides new ideas for supervision and management. 3. The overall conservation of the ecosystem is a central idea in the planning outline, and it is required to take the protection of biodiversity as the main priority, which coincides with the starting point of the project.
China Biodiversity Partnership Framework (CBPF)	1. CBPF is about how to effectively invest and manage to reduce biodiversity loss in protected areas. The experience gained in the project can provide effective guidance and demonstration to tackle this issue. 2. CBPF proposes to increase funding for biodiversity conservation against the existing baseline, which is consistent with this project. 3. The trial implementation of the financing mechanism of this project can provide a reference for CBPF, with a view to maintaining stable funding budgets for national and provincial nature reserves. 4. The two projects share the same expectations in terms of improving effective laws, regulations and policies for relevant systems.

3 K. Consistency with GEF focal areas and fund strategies

145. The goal of the biodiversity strategy in the focal area of the sixth cycle of GEF is to maintain global biodiversity, ecosystem services and products for society. Four strategies around the goal are: 1) improving the sustainability of protected area systems; 2) reducing threats to biodiversity; 3) making sustainable use of biodiversity; and 4) applying conservation and sustainable utilization of biodiversity in productive landscape and industry. Expected outcomes include increasing income for the protected area systems and globally important protected areas; improving the effectiveness of protected area management; increasing the overall area of protected areas and preventing and

managing alien invasive species; and improving the effectiveness of management of new protected areas.

146. The objectives of this project are to expand the wetland protected area in Sichuan Province, strengthen the management capacity in wetland protection, and promote mainstreaming of biodiversity conservation and sustainable utilization of wetland resources. These objectives are consistent with the main goals and strategies of GEF in the field of biodiversity. In helping to mitigate and adapt to climate change, this project aims to restore wetland ecosystems through optimizing the management model, formulating relevant laws and regulations, changing the mode of production and operation of demonstration zones, and achieving energy savings and emission reductions by vigorously promoting green and ecological industries. This is consistent with the plan of GEF to promote the protection and enhancement of land carbon sequestration, support climate-intelligent agriculture and accelerate the adoption of innovative technology and management practices.

3 L. Linkages with other GEF project and relevant initiatives

147. The GEF has been supporting several projects related to biodiversity conservation and adaptation to climate change in China, such as the "sustainable land management adapted to climate change in western China", which includes Sichuan Province. The "GEF Chishui River basin ecological compensation and globally important biodiversity conservation demonstration project" which is shared Chishui River Basin with Sichuan Preovince and their lessons-learned will benefit to this GEF project. In response to challenges brought by biodiversity loss, the Ministry of Environmental Protection and the Ministry of Finance cooperated with Conservation International (CI) in 2007 to put forward the "China Biodiversity Partnership Framework" (CBPF). The Ministry of Finance, Ministry of Environmental Protection and CI jointly developed the "GEF China Biodiversity Partnership and Action Framework - Institutional Strengthening and Capacity Building Priority Project" in May 2010, with the aim of strengthening China's biodiversity protection mechanisms and improving the institutional capacity of biodiversity management. On October 25, 2016, China's protected area reform planning project under GEF 6 with "national park institution and mechanism innovation" as the core was approved by the 51st GEF Council Meeting. The GEF project in Sichuan Province, as child project 5 under the CPAR programme, will coordinate and share knowledge with several other child projects to maximize synergy.

Table 7: Connection and coordination with other GEF projects

GEF Project/ Other Projects / Initiatives	Linkage and Coordination
Sustainable land management adapted to climate change in western China	The objectives of the projects are the same, aiming to further improve the livelihoods of poor households in the project area using policies, regulations, technologies, mechanisms and management, etc., and support farmers' life improvement and

	green development. The experience gained in this project can guide the project of "sustainable land management adapted to climate change in western China". In addition, the project contributes to energy conservation, emissions reduction and the enhancement of soil as a carbon sink.
China's protected area reform programme	The main project has a total of six child projects. Qinghai, Gansu and Sichuan each have a project, and another child project is the national park reform project. The demonstration sites include Qinghai Sanjiangyuan National Park and the Giant Panda National Park (most of which is in Sichuan Province), for which this project can provide a model in the aspects of institution, policy, regulation, mechanism, management, the enhancement of public awareness of environmental protection and community participation.
UNDP-GEF's payment for ecological services in Chishui River basin - biodiversity conservation project of global significance	The experience of the Chishui River project in sustainable utilization of, and financing for, natural resources can provide relevant experience.

3 M. Consistency and alignment with CI institutional priorities

148. Established in 1987, Conservation International (CI) is an international non-profit environmental organization headquartered in Washington, D.C., USA. The tenet is to protect natural heritage and global biodiversity on the Earth and prove that human society and nature can live in harmony. CI protects biodiversity through various methods including science and technology, the economy, policy impacts and community participation. CI's priority areas for biodiversity conservation include biodiversity hotspots, key marine ecosystem areas, and wilderness areas rich in biodiversity.

149. Sichuan Province is identified as an important part of "Himalaya - Hengduan Mountains", one of the 34 global hotspots by CI. Of the project demonstration areas, Qionghai wetland is one of the largest plateau lakes, the second largest freshwater lake, and an important habitat for endangered species in Sichuan Province, including many birds on the IUCN Red List of Threatened Species. Threats to Qionghai wetland include infrastructure construction and tourism development. Baihetan wetland is only 30 km from Chengdu City, the capital city of Sichuan Province and the largest city in Southwest China, with a total population of 14million. With the rapid development of industrialization and the rapid growth of the population, the river ecosystem and biodiversity are severely damaged. Through ecological restoration of demonstration areas and sustainable utilization of wetland resources, the project explores new financing models and ecosystem management methods, thus improving the ecological environment of the demonstration area and making it an example of green development. The demonstration sites seek harmony between man and nature coinciding with the philosophy of CI, and provide an experimental site for CI to explore better management models.

3 N. Communications and Knowledge Management

150. At the project level, communication will flow from the Project Management Office to co-executing partners, Project Steering Committee, Lead Agency, Implementing Agency and key stakeholders through organized meetings, reports and cross visits among the C-PAR projects.

151. At the public level, the project will develop a communications strategy and action plan, including designing communications and education activities, conducting relevant communications activities for different stakeholders, and publicizing the achievements of the CI-GEF project. Communication and education activities will be conducted on important days such as World Environment Day and World Water Day. Regularly updated communication and educational interpretation boards will be set up in local communities and lectures held to influence the daily behaviour of local residents. The communication and education activities will give a full consideration to children and teenagers to help foster a respectful view about nature and values at an early age, and to influence their parents, including involving them in communication and educational activities.

152. The biodiversity knowledge platform developed under C-PAR1 will be a mechanism for disseminating knowledge. Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and platform. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyze and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally. In addition, the project will develop a Knowledge Management Plan (KMP) during implementation of the project in tandem with the other C-PAR projects to ensure synergies across all the C-PAR projects. KM products including but not limited to training modules, printed information material, video case studies, awareness campaign materials, radio communication spots, etc are expected to be developed by the project.

3 O. Lessons learned during PPG phase and from other relevant GEF projects

Through the study of other GEF project cases, and based on issues encountered in the PPG phase, the following experiences are summarized:

153. Taking full account of community residents in the project area

Local communities living in buffer zones of globally important biological diversity areas should be offered experimental projects to promote alternative livelihoods, rather than a simple and one-time relocation without any remedial measures. Plans should be tailored to local customs and in full consultation with local communities. Local communities should be made aware of the importance of conservation and should benefit from the plans so as to address natural and human-related issues simultaneously. In addition, it should be ensured that local communities are involved in the

management of natural resources from the beginning. Otherwise, lack of community buy-in is not conducive to the communications and sustainable development of the project.

154. The working mechanism of Project Steering Committee

The Project Steering Committee is set up as the highest coordination mechanism and decision-making body under the multi-cooperation method. And the national project director is designated as the convener of the Project Steering Committee to guide the project management team. Under this system, the project manager takes a full responsibility under the Project Steering Committee's leadership. Under the coordination of the national project director, the Project Steering Committee shall convene periodically to approve the annual work plan, review the annual report and evaluate the project on a regular basis, so as to timely modify the strategy, adjust the work plan, and solve issues encountered in the project promotion and implementation.

155. Replicability

The potential to replicate and scale up successful outcomes is a key target for the PPG phase. During the implementation of the project, successful and replicable models should be summarized for application in other areas. Taking the conservation of mountainous ecosystems and biodiversity as an example, although some factors that lead to the loss of species, ecosystems and genetic diversity vary from place to place, many measures to mitigate threats can be applied in other areas, especially good watershed management models, in coordination with human needs and biodiversity conservation. The replicability of expected achievements should be fully considered.

Section 4: Compliance with CI-GEF Project Agency's Environmental and Social Management Framework (ESMF)

4 A. Safeguards Screening Results and Project Categorization

Screening of safeguard measures

156. The screening of safeguard measures is mandatory for all proposed projects so as to determine whether they comply with the CI-GEF's Environmental and Social Management Framework (ESMF) and the safeguard measures involved. To this end, CI China assembled an assessment taskforce which held a meeting with Sichuan Forestry and Grassland Bureau to inquire about details of project sites. Second, the taskforce researched data about Qionghai Wetland Park and Baihetan Wetland Park and visited the two parks in 2015. At the meeting with administrative officials of the two parks, they reviewed the nine compliance questions under the CI-GEF ESMF and completed the screening form. The screening form was submitted to the CI-GEF Project Agency for review. The screening form was then revised and refined based on the feedback of the CI-GEF Project Agency and then resubmitted to the for approval. The screening results during the preparation for the project concept note are listed as below.

Project categorization

157. According to the screening results, a project falls into Category C if it is likely to have minimal or no adverse environmental and social impacts. For Category C projects, no environmental or social impact assessment is needed however project-specific safeguard plan must be formulated to ensure the compliance with the ESMF. See the following table for details.

Table 8：Project Categorization

PROJECT CATEGORY	Category A	Category B	Category C
			X
Justification: The proposed project activities are likely to have minimal or no adverse environmental and social impacts.			

158. The following checklist for the application of safeguard measures was used when asking respondents about policies concerning Environmental and Social Impact Assessment (ESIA), Natural Habitats, Involuntary Settlement, Indigenous People, Pest Management, Physical and Cultural Resources, Accountability and Grievance Mechanisms, Gender Mainstreaming and Stakeholder Engagement. The result showed that six policies out of the above nine areas were triggered, so safeguard measures in the corresponding six areas needed to be developed.

Table 9：Results of the Project Safeguard Screening Analysis

Safeguard Triggered	Yes	No	TBD	Date Completed
1. Environmental & Social Impact Assessment (ESIA)		**X**		
Justification: No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented is anticipated				
2. Natural Habitats		**X**		
Justification: The project is not proposing to alter natural habitats				
3a. Involuntary Resettlement		**X**		
Justification: The project does not propose any involuntary resettlement.				
3b. Restriction of Access to and Use of Natural Resources	**X**			
Justification: The project may involve proposing restriction of access to/use of natural resources.				
4. Indigenous Peoples	**X**			
Justification: The project does plan to work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples.				
5. Pest Management	**X**			
Justification: There are proposed activities related to pest management				
6. Physical & Cultural Resources		**X**		
Justification: There are no proposed activities related to physical and cultural resources				
7. Stakeholder Engagement	**X**			
Justification: The project is required to engage stakeholders				
8. Gender mainstreaming	**X**			
Justification: The project is required to mainstream gender at all levels				
9. Accountability and Grievance Mechanisms	**X**			
Justification: As a publicly funded GEF project, a Grievance Mechanism is required.				

4 B. Compliance with Safeguard Recommendations

159. As shown in the screening analysis, the project triggered six safeguard policies, namely, Involuntary Settlement (restriction of access to/use of natural resources), Indigenous People, Pest Management,

Gender Mainstreaming, Accountability and Grievance Mechanism, and Stakeholder Engagement. To meet the project requirements, CI-China hired experts in safeguard measures and community livelihood to develop the relevant safeguard plans.

160. In collaboration with the Sichuan Forestry and Grassland Bureau, safeguard experts visited Qionghai Wetland Park and Baihetan Wetland Park and their respective river basins. They held talks with the park administration, village cadres and representative villagers from nearby communities to collect information, with the support of experts in systematic planning for nature conservations. Based on the information gathered, the six safeguard plans were formulated and revised and subsequently revised based on feedback from the CI-GEF Project Agency. The final version was submitted and approved by the CI-GEF project agency in July 2017. See Appendix VI for the six safeguard plans.

Section 5: The Implementation and Execution Arrangements for Project Management

5 A. Execution Arrangements and Partners

161. The Ministry of Finance (MOF) is the operational focal point of GEF on behalf of Chinese government and is responsible for GEF funding coming to China. The Ministry has identified the Sichuan Department of Finance (SDF) and the Sichuan Forestry and Grassland Bureau (SFGB) as the recipient of the project funds and executing agencies for the project, respectively. (CI, the SDF and the SFGB will sign a separate Execution Grant Agreement for the execution of the Project.) The SFGB, as the provincial-level executing agency, will be responsible for the execution and day to day management of the project including realizing project targets, delivering outcomes in a timely and steady manner, and accounting for project funds. They will report directly to the Project Steering Committee. SFGB will appoint a senior official as the national project director and appoint one project director from the executing agency to coordinate project implementation. The national project director will chair the Project Steering Committee to provide government supervision and guidance for project implementation. The expenses of the national project director and the project director are not covered by the project budget but can be included in government co-financing as in-kind. Meanwhile, SDF, as a critical member unit of the Project Steering Committee, will have a supervisory role in the implementation of the project. SDF is also responsible to coordinate with MOF, and oversee project finances and expenditure.

162. The Project Steering Committee comprises representatives of the Sichuan Department of Finance, CI China (on behalf of CI-GEF and with no voting rights), Sichuan Forestry and Grassland Bureau, other relevant provincial departments and wetland park management authorities. The Project Steering Committee will be chaired by the national project director (SFGB). The Project Steering Committee will admit new members as necessary, and invite advisors and experts to its meetings as observers and to make intellectual contributions. The Project Steering Committee will act as the main coordinator and decision maker for the project. It shall meet whenever necessary and not less than once per year. The Project Steering Committee will review project work plans and budget, project progress reports, and the project outcomes. The Project Steering Committee will make sure that the project delivers high quality outputs and within the stipulated time to meet the outcomes set out in the project documents. The Project Steering Committee's responsibilities include: (1) monitoring project implementation; (2) approving the annual work plan and budget to be submitted to CI-GEF ; (3) reviewing and approving major changes to the project plan and implementation; (4) making technical input and suggestions; (5) approving major deliverable outcomes; (6) ensuring that the funds are in place to support project implementation; and (7) ruling on all the conflicts within the project and/or consulting with parties involved inside and outside the project for solutions; (8) address project issues as raised by the project manager; (9) provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks; (10)

provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and (11) assess and decide to proceed on project changes through appropriate revisions .

163. The Project Management Office (PMO) will be located in Chengdu and will be staffed as follows:

- Project Manager
- Project Finance Officer
- Project Coordinator
- M&E/Safeguards Specialist
- Project Assistant

The PMO will be responsible for the daily management of project activities, and will submit relevant reports as scheduled, including the annual work plans and budgets, quarterly financial and technical progress reports (QPR) and yearly Project Implementation Report (PIR). The recruitment of the contractual services of experts and service providers shall follow the procedures of the CI-GEF Project Agency. Full-time workforce shall be recruited according to the recruitment procedures of the CI-GEF Project Agency and Sichuan Forestry and Grassland Bureau.

164. Project Manager: The Project Manager has the authority to run the project on a day-to-day basis as directed by the PSC. The Project Manager's primary responsibility is to ensure that the project delivers the results specified in the Project Document to the required standard of quality and within the specified constraints of time and cost. Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the PSC to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilise personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by CI-GEF, through advance of funds, direct payments or reimbursement using the format provided by CI-GEF;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to CI-GEF on a quarterly basis;

- Manage and monitor the project risks initially identified and submit new risks to the PSC for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year;
- Prepare the GEF PIR and submit the final report to the PSC;
- Based on the GEF PIR and the PSC review, prepare the AWP for the following year.
- Ensure the mid-term review process is undertaken as per the CI-GEF guidance, and submit the final MTR report to the PSC.
- Identify follow-on actions and submit them for consideration to the PSC;
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the PSC.

165. Brief explanations of roles and responsibilities of the other members of the PMO are provided below.

- Project Finance Officer provides administrative support for the Project Management Office (PMO) and responsible for financial accounting and reporting, and procurement of goods and services for the implementation of the C-PAR5 project. The Project Finance Officer is budgeted as full-time position, fully charged against the GEF grant for the project through a long-term contractual arrangement with the EA.
- The Project Coordinator is responsible for Component 2 (two pilot wetland parks), facilitating SFGB staff and two wetland national parks under the guidance of the project manager.
- Monitoring & Evaluation/Safeguards Specialist is responsible for facilitating project M&E activities and for overseeing implementation of six safeguard plans for the project which were developed in PPG. The M&E/Safeguards Specialist will also act as environment and social management focal point for the project. The M&E/Safeguards Specialist is budgeted as a full-time position, fully charged against the GEF grant through a long-term contractual arrangement with the EA.
- The project assistant provides support for component 1 and 2 for the project manager and coordinator as well as administrative support for the Project Management Office, and coordinates communication and knowledge management activities with the CPAR programme level Communications/KM Officer under the supervision of the project manager.
- The wetland park focal points, based in the offices of the Qionghai Lake wetland park and Baihetan wetland park, will be the heads of the two pilot national wetland parks, seconded part-time under government co-financing contributions, providing coordination among local stakeholders for project at the site level.
- Site Coordinators (2), will be based in the offices of the Qionghai Lake wetland park and Baihetan wetland park, will provide local coordination of activities implemented and and conduct safeguard plans under Component 2. The site coordinators are budgeted as full-time positions under government co-financing contributions.

The position of Project Manager will be jointly recruited by SFGB and CI-China nationally, and the desired candidate would be someone with relevant experience. The Project Manager should be delegated with sufficient decision-making authority to allow effective project management. The other positions of the PMO (GEF funded) will also be recruited by SFGB and CI-China nationally.

166. Short-term support will be procured as needed among qualified national and local consultants, institutes, and civil society organizations through competitive bidding processes. The types of expertise envisaged on short-term assignments is summarized below:
    - National mainstreaming specialist;
    - Biodiversity conservation and management planning specialist;
    - Wetland conservation and management planning specialist;
    - Community alternative development specialist;
    - Wetland resource sustainable utilization specialist;
    - Application software development specialist;
    - National and local safeguard plan specialists;
    - Public awareness and education (Service provider);
    - Wetland biodiversity planning (Service provider)
    - PA Management plan (Service provider)
    - Wetland Monitoring and evaluation (Service provider).
    - Safeguard plan compliance

167. **Project Advisory:** The Advisory Group will be established to provide technical and strategic guidance to the PMO and to the PSC through regular thematic meetings during implementation and on an as-needed basis, e.g., reviewing specific deliverables, terms of reference, etc. The Project Advisory Group will be chaired by the Project Manager, and have with representation by provincial departments, PA management administrations, and academic/research institutions.

168. **Project Assurance:** CI-GEF Agency provides supervision, oversight and quality assurance role – funded by the GEF agency fee – involving CI-GEF staff. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the PSC and Project Management Office by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The PSC cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the CI-GEF Agency.

169. C-PAR Program will establish a program level steering committee which consists of MOF, UNDP, CI, FECO, NPDs of child projects and among others. The program will hold annual C-PAR programme steering committee meetings to coordinate work plans and build synergizes among the child projects. The CI-GEF project will also host one of the C-PAR program steering committee meeting. The C-PAR Program Alignment Officer (hired by UNDP and Foreign Economic and Cooperation Office, FECO) will

support coordination to the project on safeguards, knowledge management, communications, and monitoring and reporting.

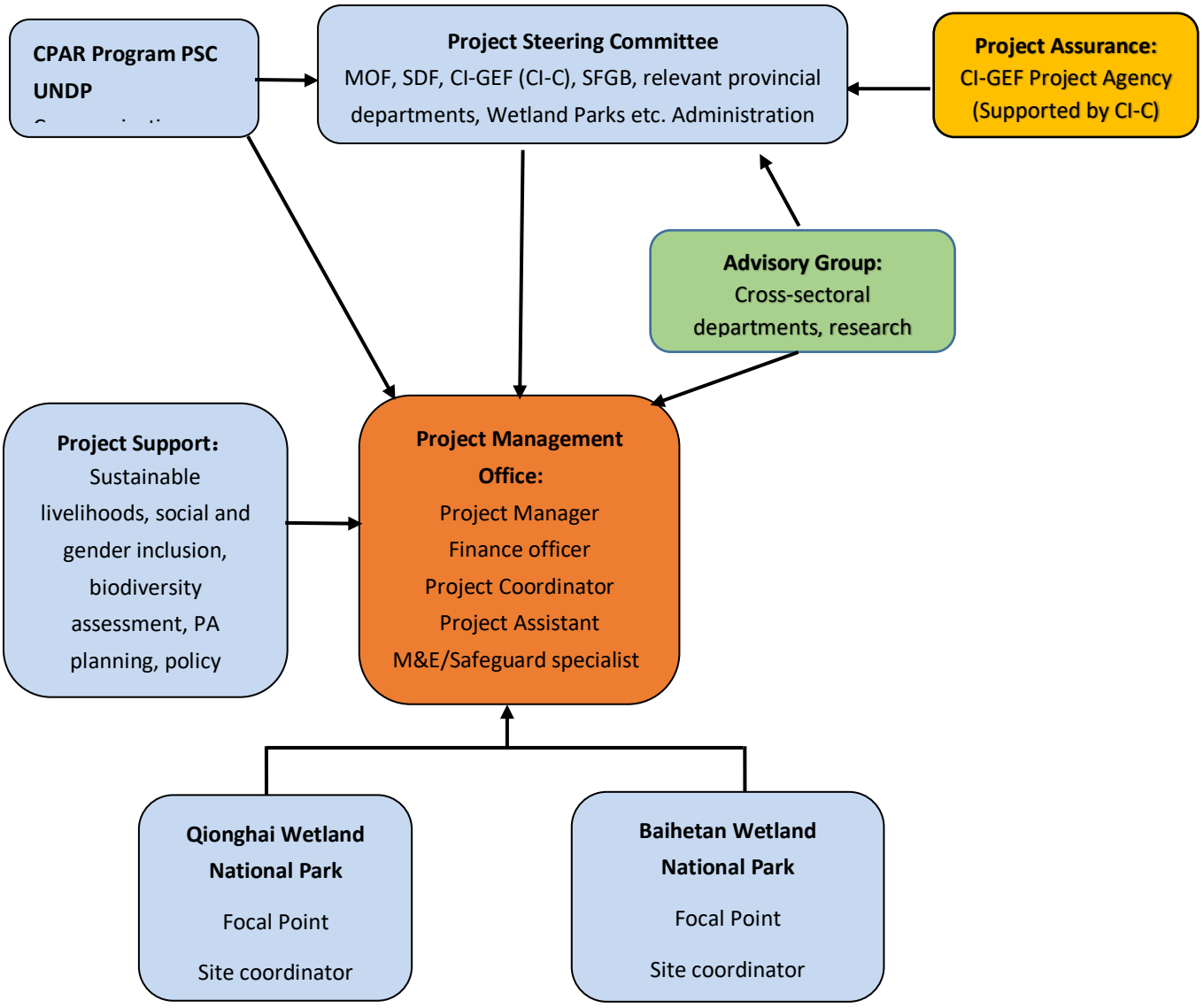
170. The project will collabrate closely government investment in conservation to synergize the improvement of wetland protected areas for instance, the GEF project will develop provincial wetland protected areas conservation plan, management plans. These plans will guide the governmental investments in more effective way.

171. CI-GEF will be the Implementation Agency (IA) for the project and receive funds from the GEF Trustee on behalf of the project. MOF is the operational focal point of GEF on behalf of Chinese government and will sign a Memorandum of Understanding (MOU) with CI-GEF. A execution grant agreement will be signed among SDF, SFGB and CI-GEF. After the executive grant agreement is signed, the project funds will be transferred from CI-GEF to SDF and then from SDF to SFGB. All the technical and financial reports will be prepared by the PMO (SFGB) and submitted to CI-GEF by SDF. CI-GEF will be responsible for (1) providing supervison of the project; (2) supervising the financial expenditure covered by the project budget approved by the Project Steering Committee; (3) appointing independent financial auditors and evaluators; and (4) making sure that all activities, including purchase and financial expenditures, are in strict compliance of established CI-GEF procedures. CI-GEF wil be supported by CI-China in providing in-country oversight and coordination, and will act on behalf of CI-GEF in carrying out monitoring of project activities.

172. For transparency and clarity and to meet the requirements of CI-GEF Project Agency, the project will open a separare bank account and use a project-specific donor code in the financial system to track all cash receipts and expenditures. The project manager shall report to Sichuan Forestry and Grassland Bureau, CI-GEF (via CI-China) and the Project Steering Committee on the quality, deadlines and effects of the project as well as use of funds. The project manager shall also draft annual work plans and budgets at the beginning of each year, which will be submitted to the Project Steering Committee for review and approval. These plans should provide reference for financial allocation of planned activities. The project manager shall also submit quarterly progress reports and annual progress reports to the Project Steering Committee. These reports should summarize the project progress compared with expected outcomes, explain all major changes and necessary adjustments in detail, and serve as the main reporting mechanism for monitoring project activities. The project manager will receive technical support from agencies providing contractual services. Project experts shall be recruited by the project manager according to the required procedure through consultation with CI and the Sichuan Forestry and Grassland Bureau. The chart below shows the working relationship between all the major executing agencies and parties.

5 B. Project Execution Organizational Chart

Figure 8: Project Execution Organizational Chart



Section 6: Monitoring and Evaluating Plan

6 A. Monitoring and Evaluating Roles and Responsibilities

173. Project Monitoring and Evaluation (M&E) shall be conducted in line with the established procedures of CI-GEF and key M&E tasks shall be launched and organized by the project management team and CI with the support of CI China. The M&E plan includes the inception workshop and report, quarterly progress report, annual project implementation report, lessons learned, knowledge generation and independent external reviews. The following outlines key components of the M&E plan and the estimated budget for M&E activities.

174. The executing agency is responsible for ensuring the execution of M&E activities on a regular basis and in an integrated way and for launching key M&E activities such as independent reviews. Key implementation partners are responsible for providing all the required information and data for regular, comprehensive report, including necessary and appropriate results and financial data.

175. The Project Steering Committee plays a key role in project supervision. It meets regularly to inquire about the latest project progress and approve the annual plan. It also provides continuous point-to-point supervision and feedback for project activities and responds to the inquiries or approval requests of the project management unit or executing agency.

176. The CI-GEF project agency provides comprehensive guarantee and backup and oversees M&E activities. At the mid-term and upon the completion of the project, the CI Internal Audit will be responsible for signing and supervising the performance of contracts on planned independent external reviews.

Inception Workshop

177. The project inception workshop will be held with project stakeholders within three months after the project is launched. Its primary goal is to help the project team understand and own the project's objectives and outcomes. It will also specify the role, supporting services and responsibilities of the CI-GEF project agency and executing agency.

178. Meanwhile the inception workshop shall draft the first annual work plan based on the results framework, including reviewing the indicators, verification methods and assumptions, adding supplementary contents when necessary, and based on that, developing precise, quantifiable performance indicators and the annual work plan consistent with expected project outcomes. Furthermore, the inception workshop is aimed to (1) introduce the supporting workforce of the CI-GEF project agency to the project team; (2) specify the role, supporting services and complementary responsibilities of the CI-GEF project agency workforce and the CI China team; (3) provide detailed

contents required by CI-GEF reporting, M&E, including contents emphasized in the PIRs, relevant documents, annual review reports, and mid-term and terminal evaluation reports.

179. The inception workshop should inform the project team of the CI's budget plan and fund review for the project. It should also allow stakeholders to be clear about their respective roles, functions and responsibilities in the decision-making structure, including their reporting and communication path as well as the conflict-solving mechanism. To specify the responsibilities of all individuals and stakeholders during the project period, discussion shall be held over the job responsibilities of project staff and decision makers.

Project Results Monitoring Plan (Objective, Outcomes and Outputs)

180. The project results monitoring plan will be formulated by the executing agency, including indicators for the objective, outcomes and outputs, the matrix for each indicator, data collection and analysis methods, baseline information, the location, frequency of and parties responsible for data collection, and resources needed for implementation. The Project Outcome Monitoring Plan (Appendix III) will help with the M&E.

181. In addition to indicators for the objective, outcomes and outputs, the project results monitoring form should include all the indicators identified for the safeguard plans developed in the project preparation stage and will monitor these indicators on a regular basis. The M&E activities and daily monitoring of project progress shall be performed by the project manager according to the annual work plan and related indicators. The measurement of some indicators will be subcontracted to relevant agencies. The project milestone monitoring will be conducted by CI via the quarterly progress reports and meetings with other stakeholders to address identified issues and ensure the smooth implementation of project activities.

182. Annual monitoring will take place via meetings of the Project Steering Committee. Such meetings are the highest-level meeting for all parties directly engaged in project implementation. The Project Steering Committee shall meet at least once a year.

183. Monitoring indicators that run through the whole project cycle is necessary for evaluating whether the project has achieved the expected results.

184. Baseline formation: at the project preparatory stage when all the necessary baseline data is to be collected, relevant project partners will collect and record baseline data within one year after the implementation of the project.

185. CI and the CI-GEF Project Agency will organize visits to each project site every year based on the timeline set in the project inception report and the annual work plan to obtain first-hand experience and materials about project progress. Other members of the Project Steering Committee can also join these visits. CI and the CI-GEF Project Agency should draft the field investigation report and distribute it to the project team within one month after the investigation, as well as to all members of the Project Steering Committee, CI and the GEF.

186. The PMO will implement and regularly monitor the safeguard plans. In Year 4, social benefits/impacts associated with the conservation advances made within the landscape will be evaluated through a participatory assessment using the International Institute for Environment and Development (IIED) Social Assessment for Protected Areas (SAPA)[4] methodology, or similar approach. This assessment will be combined with other child projects under CPAR programme.

GEF Focal Area Tracking Tools

187. Relevant GEF focal area tracking tools will be developed i) before the project begins; ii) before the mid-term review; and 3) at the time of terminal evaluation. The project expert team applied the management effect tracking tools (METT) for the two pilot wetland parks in September 2017 and the evaluation results will be used as the baseline data before project implementation. The same METT will be applied again to evaluate the pilot wetland parks two months before the mid-term evaluation, terminal evaluation and the evaluation results will be submitted to mid-term evaluation experts, terminal evaluation experts for review.

Project Steering Committee

188. The Project Steering Committee will meet on a need basis but at least once every year. The meeting will review and approve the annual budget and work plan, discuss issues with project implementation, identify solutions, and strengthen the coordination and communication between key project partners.

189. After consultation with CI and the CI-GEF Project Agency, the project manager will draft the annual progress report and submit it to the Project Steering Committee for review and feedback at least one week prior to the committee meeting. The annual progress report will be discussed at the committee meeting as a fundamental document. The project manager will submit the annual progress report to the Project Steering Committee, raise issues encountered in project implementation and make suggestions for the decision-making of the committee.

[4] SAPA is a relatively simple low-cost methodology for assessing the positive and negative social impacts of a PA and the well-being of communities living within and around it. SAPA is designed to help PA managers and other key stakeholder groups to increase and more equitably share positive impacts (benefits) and reduce the negative impacts (costs). More information at: https://www.iied.org/assessing-social-impacts-protected-areas

190. The terminal evaluation meeting should be convened in the three months before project completion. The project manager shall draft the terminal self-evaluation report and submit it to CI and the CI-GEF Project Agency. The terminal self-evaluation report draft should be submitted one month prior to the terminal evaluation meeting for review and will be used as the basis for meeting discussions. The terminal evaluation meeting should consider project implementation as a whole, and pay special attention to whether the project has achieved the established goals and is conducive to the realization of broader environmental goals.

CI-GEF Project Agency Field Supervision Missions

191. The CI-GEF Project Agency will make an annual visit to the host country and might visit the project sites according to the schedule reached based on the project inception report/annual plan to evaluate the first-hand information about project progress. Ideally these visits coincide with meetings of the Project Steering Committee so that other committee members can join the field investigation. The field investigation report will be prepared by the CI-GEF Project Agency members engaged in the supervision missions and distributed to the project team and the steering committee within one month after the investigation.

Project Reports

192. The project manager will work with the project team in drafting and submitting the reports listed below which are seen as part of the whole monitoring process. The first six reports are mandatory and strictly related to monitoring contents, and the last two reports are for broader purposes and run through the whole implementation process. The frequency and nature of reporting is decided by the project.

193. **Inception Report：** The executing agency should compile the inception report and record all the changes and decisions regarding planned project activities, budget and result framework and other key components of the project. The inception report should be produced within one month of the inception workshop and will be used as a key input for the launch of the project and the planning and implementation of activities. It should include detailed annual and quarterly workplans, specifying the contents of activities to be held in Year 1, progress indicators, the job description for advisors and/or subcontracted services, and the timeline of meetings of decision makers. The report should also include the detailed budget for activities in the annual work plan. It should provide a detailed description of the role, responsibilities, coordination measures and feedback mechanism of project partners. It should also provide the progress made so far in project establishment and inception and updates of any external changes that might affect project implementation. The final report should be distributed to all stakeholders who will have one month to raise questions or comment on the contents. The report shall be reviewed by CI and the CI-GEF Project Agency before distribution.

194. **Quarterly Progress Reporting (QPR)：** The executing agency shall submit the QPRs to the CI-GEF Project Agency, including the last-stage budget and quarterly expenditures of items for reimbursement. The QPRs are brief reports about key updates on project progress and submitted by the project team each quarter to the CI and the CI-GEF Project Agency. The comprehensive financial report including all the expenditure by item shall be submitted each quarter. The project manager shall submit it to the project director and the national project director for review and the executing agency must verify its content. For the completion of the report, (i) the project manager shall track and record all the progress and issues encountered in project implementation so as to track, capture and categorize existing issues and make sure they are properly addressed; (ii) the project manager shall keep a risk log that predicts potential project risks and identifies countermeasures; and update the risk log through collaboration and consultation with CI; and (iii) the project manager shall keep and update the lessons & experience log that records all the good and bad experience and behaviours throughout the whole project process.

195. **Annual Project Implementation Report (PIR)：** The executing agency will prepare the PIR to monitor the progress made since project started, in particular during the report period (from July 1 to June 30). The PIR will summarize the project outcomes and progress of the year and its summary will be submitted to the Project Steering Committee. The PIR is the annual monitoring procedure stipulated by the GEF. It has become a tool for basic management and monitoring by the project manager and a vehicle for absorbing experience and lessons from on-going projects. CI and the project management team must complete the PIR one year after the project is launched. The PIR must be drafted in July, submitted to CI and the CI-GEF Project Agency for discussion in August and to the CI-GEF head office in the first week of September.

196. **Project Completion Report：** The executing agency will draft the final project report upon project completion. The project team shall draft the project completion report in the last three months of project implementation. This comprehensive report will include all project activities, project outcomes and outputs, experience and lessons, objectives met or unmet, execution structure and system, etc., and provide the final explanation of all project activities in the project cycle. It will list recommendations to sustain and repeat project activities.

197. **Independent External Mid-term Review：** The mid-term review will be conducted within 30 days of the mid-point of the grant period by independent review experts. It will determine the progress made against expected outcomes and, when necessary, identify any correction processes. It will mark issues that demand decisions and actions and summarize experience and lessons learned regarding project design, execution and management. The findings and suggestions of the mid-term review will

be incorporated into the project to maximize project outcomes and ensure project sustainability in the second half of the project cycle. The terms of reference for the independent mid-term and terminal reviews will be drafted by the CI-GEF Project Agency in line with GEF requirements. The purchase of independent review services and contract signing will be handled by the CI-GEF Project Agency. The evaluation shall be covered by the project budget and marked at the time of project approval.

198. **Independent Terminal Evaluation：** Independent terminal evaluation will be conducted within six months before project completion by independent review experts under the guidance of the CI and the GEF. It will focus on project outcomes set in the original plan (including outcomes included in adjustments, if any, made after mid-term review). The executing agency and the Project Steering Committee will give official replies to the findings and suggestions of the terminal evaluation report.

Lessons Learned and Knowledge Generation

199. Project outcomes will be communicated inside and outside the project area via existing information sharing networks and forums. The project will identify and engage in relevant, appropriate, scientific and policy-based networks and benefit from experience sharing. Project identification, analysis and experience sharing might be conducive to the design and implementation of similar projects in the future, realizing two-way information sharing between this project and other projects of similar focal areas.

200. Project publications will serve as the main means of summarizing and communicating project results and achievements. They might be in the form of press or multimedia journals and become the scientific, IT-based literature recording project activities and their achievements. The project team shall draft and summarize technological achievements, including the substantial contribution and experience of this project in specific areas, to communicate relevant information and best practices at the local, national and international levels.

201. These publications can generate contents based on the relevance and scientific value of technical reports or summarize the contents of technical reports and other research findings. They can take the forms of documentaries, webpages and other digital forms. The project team will decide which technical reports are to be published, publish them in the agreed format after consultation with CI, the government and other interest groups, and allocate the funds via the project budget.

Financial Statements Audit

202. The annual financial report submitted by Sichuan Forestry and Grassland Bureau will be audited by the external audit company designated by the CI-GEF Project Agency. The audit will be performed by

auditors certified by the Chinese government or commercial auditors authorized by the government in line with CI financial procedures, rules and auditing policy. Sichuan Forestry and Grassland Bureau shall provide regular financial statements and the annual audit report on financial statements to CI (including the GEF) according to the established project procedures and the finance manual.

Communication and Visibility Requirements

203. Full compliance with the CI brand guidelines is required. The CI guidelines for logo usage may be referred to when using the CI logo. The guidelines stipulate when and how to use the CI logo when necessary, in addition to other contents. To avoid any questions, the CI logo should appear alongside the GEF logo. The GEF logo can be downloaded from http://www.thegef.org/gef/GEF_logo, and the CI logo can be obtained from CI China.

204. Full compliance with the GEF communication and popularity guidelines (hereinafter referred to as the GEF guidelines) is also required. Go to http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf for the GEF guidelines. The guidelines describe when and how to use the GEF logo in project publications, vehicles, materials and equipment and raise communication requirements for GEF-related press release, press conferences, media interviews, official interviews, marketing goods and other communication products.

205. When other institutions and project partners have co-financed the project, their brand policy and requirements should also be observed.

6 B. Monitoring and Evaluation Components and Activities

Table 10: Monitoring & Evaluation Plan Summary

Type of M&E	Reporting Frequency	Responsible Parties	Indicative Budget from GEF (USD)
a. Inception workshop and Report	Within three months of signing of CI Grant Agreement for GEF Projects	• Project Team • Executing Agency • CI-GEF PA	2,000
b. Inception workshop Report	Within one month of inception workshop	• Project Team • CI-GEF PA	1,400

c. Project Results Monitoring Plan (Objective, Outcomes and Outputs)	Annually (data on indicators will be gathered according to monitoring plan schedule shown on Appendix IV)	• Project Team • CI-GEF PA	3,000
d. GEF Core Indicators	i) Project development phase; ii) prior to project mid-term evaluation; and iii) project completion	• Project Team • CI-GEF PA • Sichuan Forestry and Grassland Bureau	8,000
e. Project Steering Committee Meetings	Annually	• Project Team • Executing Agency • CI-GEF PA • Other stakeholders	3,600
f. Host Programme Steering Committee Meetings	5th year	• Project Team • Child project Executing Agencies • CI-GEF PA • Other stakeholders	14,000
g. CI-GEF Project Agency Field Supervision Missions	Approximately annual visits	• CI-GEF PA • Project Team	3,000
h. Quarterly Progress Reporting	Quarterly	• Project Team • Executing Agency	16,000
i. Annual Project Implementation Report (PIR)	Annually for year ending June 30	• Project Team • Executing Agency • CI-GEF PA	7,000
j. Project Completion Report	Upon project operational closure	• Project Team • Executing Agency	1,400

k. Independent External Mid-term Review	Approximate mid-point of project implementation period	• CI Evaluation Office • Project Team • CI-GEF PA	20,000
l. Independent Terminal Evaluation	Evaluation field mission within six months prior to project completion.	• • CI Evaluation Office • Project Team • CI-GEF PA	20,000
m. Lessons Learned and Knowledge Generation	Year 4 and 5	• Project Team • Executing Agency • CI-GEF PA	28,000
n. Financial Statements Audit	Annually	• Executing Agency • CI-GEF PA	40,000
o. Social Impact Assessment	Year 4	• Consultant	7,000

Section 7: Project Budget and Financing

7 A. Overall Project Budget

206. The project will be fully funded by the GEF with USD 2,652,294 and co-financed by CI and the provincial government and local governments of the two pilot national wetland parks. See the following two tables for the cost summary and co-financing amount of each project. The project budget is subject to adjustments in the implementation phase. See Appendix VII for the detailed project budget.

Table 11: Project Budget by Component

	Project budget by Component (in USD)			
	Component 1	Component 2	PMC	Total budget
Salaries and Benefits	400,751	367,516	70,400	838,667
Professional services	310,000	273,400	44,500	627,900
Travels and accommodations	77,335	89,997	0	167,332
Meetings and workshops	212,800	261,900	0	474,700

Grants & Agreements	40,000	260,000	0	300,000
Equipment	0	42,000	10,000	52,000
Other Direct Costs	52,821	138,874	0	191,695
TOTAL GEF FUNDED PROJECT	**1,093,707**	**1,433,687**	**124,900**	**2,652,294**

Table 12: Planned Project Budget by Year

	Project budget by Year (in USD)					
	Year 1	Year 2	Year 3	Year 4	Year 5	Total budget
Salaries and Benefits	141,689	153,817	166,825	180,757	195,579	838,667
Professional services	135,900	223,700	113,500	87,900	66,900	627,900
Travels and accommodations	25,950	38,635	28,610	42,595	31,542	167,332
Meetings and workshops	82,295	172,845	145,245	38,895	35,420	474,700
Grants & Agreements	10,000	60,000	90,000	90,000	50,000	300,000
Equipment	29,000	11,000	4,000	4,000	4,000	52,000
Other Direct Costs	35,700	39,064	39,800	37,000	40,131	191,695
TOTAL GEF FUNDED PROJECT	**460,534**	**699,061**	**587,980**	**481,147**	**423,572**	**2,652,294**

The project budget is based on the assumption that Sichuan Forestry and Grassland Bureau is fully executing the project with sub-grants to the Qionghai Wetland Conservation Center and Baihetan Wetland Conservation Center. If the executing arrangement changes based on requirements from the Ministry of Finance, the budget shall be updated to reflect such changes in executing arrangements.

7 B. Co-financing Budget

207. The project will be financed by a full size GEF grant of USD 2,652,294 with co-financing of USD 17,950,000 from Sichuan Department of Finance, Sichuan Forestry and Grassland Bureau. CI will also co-finance with USD 59,342 to the project. A summary of the project costs and the co-financing contributions is given in the two tables below. The project budget may be subject to revision during implementation. See Appendix VIII for the Letters of Commitment for Co-financing.

Table 13: Committed co-finance in cash and in kind（USD）

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount
Recipient government	Sichuan Department of Finance, Sichuan Forestry and Grassland Bureau	Cash	12,565,000
Recipient government	Sichuan Department of Finance, Sichuan Forestry and Grassland Bureau	In-kind	5,385,000
GEF Agency	CI	Cash	59,342
TOTAL CO-FINANCING			**18,009,342**

APPENDIX I : Project Results Framework

Objective:	To expand and strengthen wetland protected areas in Sichuan Province China and mainstreaming biodiversity conservation and sustainable utilization of wetland resources	*Baseline*	*Target*
Indicator(s):	a. Number of hectares of watershed management of Qionghai and Baihetan wetland parks with improved management	4402.19	298,777 ha
	b. Change in score of Management Effectiveness (METT) of Qionghai and Baihetan wetland parks	Qionghai: 30 Baihetan: 23	Qionghai: 61 Baihetan: 55
	c. Number of provincial development strategy and plans as well as related developmental plans incorporating wetland ecosystem and biodiversity conservation. (Baseline: 0 Target: 3)	0	3

Expected Outcomes and Indicators	Project Baseline	End of Project Target	Expected Outputs and Indicators
Component 1: Strengthening Sichuan Province's institutional capacity on systematic planning and mainstreaming at the provincial level to conserve and sustainably use wetlands resources			
Outcome 1.1.: Provincial government policies, legislations and development plans successfully incorporate inter-sectoral measures to conserve and use wetland resource sustainably *Indicator 1.1.1: Number of provincial development strategy and plans as well as related*	1.1.1 There are no provincial departmental plans incorporating wetland resources conservation in Sichuan.	1.1.1 At least three 5-year provincial departmental plans incorporating wetland resources conservation.	Output 1.1.1: Gaps in provincial policy, legislation and regulations for wetland conservation are identified and policies, laws and regulations drafted and approved by relevant government agencies. *Indicator 1.1.1.1: Number of assessment report on gaps in policies and regulations in wetland conservation.* *Baseline: 0* *Target: 1*

developmental plans incorporating wetland ecosystem and biodiversity conservation			*Indicator 1.1.1.2: Number of policies and regulations for Wetland Conservation that are drafted and approved by relevant government agencies.* *Baseline: 0* *Target: 1*
Indicator 1.1.2: Number of technical guidelines on ecological impact assessments for infrastructure construction projects in wetlands	1.1.2 No technical guideline of ecological impact assessment on infrastructure construction project in wetlands exists	1.1.2 One technical guideline on ecological impact assessments for infrastructure construction projects in wetlands	Output 1.1.2.: Provincial inter-sectoral coordination mechanisms established with wetland biodiversity and resource conservation mainstreamed into provincial development and land use policies and plans. *Indicator 1.1.2.1: Number of technical outlines of wetland resources conservation and sustainable usage developed for provincial departmental plans.* *Baseline: 0* *Target: 1* *Indicator 1.1.2.2: Number of provincial inter-sectoral coordination mechanism established and functional.* *Baseline: 0* *Target: 1*

Outcome 1.2: Wetland parks management effectiveness substantially improved *Indicator 1.2.1: Change in score of Management Effectiveness (METT) of the selected wetland Parks.*	1.2.1 METT scores: Qionghai National Park: 30 Baihetan national Park: 23	1.2.1 METT scores: Qionghai National Park: 61 Baihetan national Park: 55	Output 1.2.1: Management plans and yearly operation plans with rational resource allocations -including human, financial, technical resources are completed and implemented for two wetland parks (Qionghai and Baihetan). *Indicator 1.2.1.1 Number of management plans and yearly operation plans with committed/approved resources for new and existing wetland parks.* *Baseline: 0* *Target: 2* Output 1.2.2.: Monitoring systems to evaluate the status of wetland ecosystem and biodiversity of the provincial-wide wetlands implemented systematically and results used to improve provincial policies and plans. *Indicator 1.2.2.1 Number of technical guideline to monitor and evaluate wetland ecosystem and biodiversity.* *Baseline: 0* *Target: 1* *Indicator 1.2.2.2. Number of monitoring and evaluation reports on the status of wetland*

			ecosystem and biodiversity of provincial-wide wetlands. *Baseline: 0* *Target: 2 (1 report every two-year)* Output 1.2.3.: Institutional capacities of county, prefecture and provincial governments for effective planning, enforcement and monitoring of protected wetland areas built and strengthened. *Indicator 1.2.3.1: Number of persons trained on wetland park planning, law enforcement and monitoring.* *Baseline: 0* *Target: 200 (70% men, 30% women)*
Outcome 1.3: Public awareness on issues related to wetland conservation and sustainable use in Sichuan strengthened *Indicator 1.3.1. Percentage of people participating in environmental education programs that increase their knowledge on wetland conservation and sustainable use*	1.3.1 Knowledge level before participation in environmental education programs (to be determined at the beginning of project implementation)	1.3.1 0 % of people participating in environmental education programs significantly increase their knowledge on wetland conservation and sustainable use	Output 1.3.1: Environment education programs, designed and implemented at the provincial level, using Qionghai and Baihetan wetland parks as demonstration platforms. *Indicator 1.3.1.1 Number of environment education programs on wetland science with local characteristics in Qionghai and Baihetan wetland parks.* *Baseline: 0* *Target: 2 (1 for each park)*

			Indicator 1.3.1.2 Number of people participate in Qionghai and Baihetan wetland parks on wetland environment education. *Baseline: 0* *Target: 2000 (50% men, 50% women)* *Indicator 1.3.1.3 Number of guidelines for wetland science education for wetland parks in Sichuan.* *Baseline: 0* *Target: 1* *Indicator 1.3.1.4 Number of wetland park staff trained in design and implementation of wetland science education programs.* *Baseline: 0* *Target: 100 (70% men, 30% women)*
Component 2: Strengthening site level management and raising standards for wetland parks			
Outcome 2.1.: Sichuan's network of wetland protected areas with globally important biodiversity created, covering 767,766 hectares *Indicator 2.1.1 Number of wetland protected areas network in Sichuan*	2.1.1 There is no wetland protected areas network in Sichuan	2.1.1 A Sichuan's network of wetland protected areas has been created	Output 2.1.1.: Direct and indirect threats to wetland protected areas assessed and expansion and consolidation plan for wetland protected areas developed in Sichuan Province. *Indicator 2.1.1.1: Number of approved Sichuan Wetland Conservation Plan including threat assessment on Sichuan Wetlands.* *Baseline: 0* *Target: 1*

Indicator 2.1.2 Number of wetland protected area and their watersheds managed within a newly created Sichuan's network of wetland protected areas. *Indicator 2.1.3. Number of ha of wetland protected areas is managed within a newly created Sichuan's network of wetland protected areas.*	2.1.2 None of Individual wetland protected areas are managed within a wetland protected areas network 2.1.3 0 ha of wetland protected areas is managed within a network of wetland protected areas.	2.1.2 39 wetland parks and 40 wetland nature reserves are managed under forestry sector within the newly created Sichuan's network of wetland protected areas 2.1.3 767,766 hectares of wetland protected area is managed within a newly created Sichuan's network of wetland protected areas.	Output 2.1.2.: Sichuan's Network for wetland protected areas established and supported by government to promote best practice. *Indicator 2.1.2.1: Number of Sichuan provincial working regulation for wetland conservation and management network.* *Baseline: 0* *Target: 1* *Indicator 2.1.2.2: Number of Sichuan provincial workshops for wetland conservation and management networks held.* *Baseline: 0* *Target: 5 (One per year)*
Outcome 2.2.: Wetland park biodiversity conservation and sustainable use of wetland goods and ecosystem services improved in Qionghai wetland park. *Indicator 2.2.1.: Perentage increase in income from wetland sustainable livelihood*	2.2 The income from wetland sustainability livelihood activities in pilot communities is TBD (baseline data will be collected at the beginning of project implementation) 2.2 Extent of local resident's awareness of the GEF project and positive feedback (baseline data will	2.2 The income from wetland sustainable livelihood development for pilot communities increases by 20% against the baseline 2.2 Local residents' awareness of the GEF project reaches 80%	Output 2.2.1: The pilot wetland park master plan and the wetland conservation and restoration plan are prepared and approved. *Indicator 2.2.1.1: Number of plans of the two pilot wetland parks approved.* *Baseline: 0* *Target: 2* Output 2.2.2: Pilot communities in Qionghai wetland park are identified and livelihood needs, resource use, environmental carrying capacity

development and alternative livelihood for pilot communities *Indicator 2.2.2 Percentage of local residents with awareness of the GEF project*	be collected at the beginning of project implementation)		and potential for wetland sustainable products assessed. *Indicator 2.2.2.1：Number of pilot community assessment reports.* *Baseline: 0* *Target: 2* Output 2.2.3：Sustainable wetland agriculture production/livelihood systems -pollution-free, green-labelling, organic products, etc. - successfully implemented via conservation agreements with local communities and relevant government agencies. *Indicator 2.2.3.1: Number of signed conservation agreements with local communities* *Baseline: 0* *Target: 2 (in Qionghai Wetland park)* *Indicator 2.2.3.2: Number of Business plans for the development of sustainable wetland productive schemes.* *Baseline: 0* *Target: 1 (in Qionghai Wetland park)*

			Indicator 2.2.3.3: Number of Local residents that have received training on wetland sustainable production. *Baseline: 0* *Target: 200 (70% men, 30% women)* Output 2.2.4: Community-based alternative livelihoods designed and implemented in a participatory manner in Qionghai Wetland *Indicator 2.2.4.1: Number of community-based alternative livelihoods designed and implemented* *Baseline: 0* *Target: 1 (in Qionghai Wetland park)* *Indicator 2.2.4.2: Number of Local residents that have received training on alternative livelihood skills.* *Baseline: 0* *Target: 300 (30% men, 70% women)* Output 2.2.5：Two-way information exchange improved between the wetland park administration and the community including the establishment of a smooth accountability and grievance mechanism.

			Indicator 2.2.5.1: Number of two-way communication platform are developed and applied. *Baseline: 0* *Target:1 (in Qionghai Wetland park)* *Indicator 2.2.5.2: Number of local residents using the communication platform.* *Baseline: 0* *Target: 300 (50% men, 50% women)*

APPENDIX II：**Project Timeline**

	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Outcome 1.1.:	Provincial government policies, legislations and development plans successfully incorporate inter-sectoral measures to conserve and use wetland resource sustainably																			
Output 1.1.1.:					✓	✓	✓	✓												
Output 1.1.2.:							✓	✓	✓	✓	✓	✓			✓				✓	
Outcome 1.2.:	Wetland parks management effectiveness substantially improved																			
Output 1.2.1.:			✓	✓	✓	✓	✓	✓	✓	✓										
Output 1.2.2.:					✓	✓	✓	✓	✓	✓	✓	✓				✓				✓
Output 1.2.3.:					✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Outcome 1.3.:	Public awareness on issues related to wetland conservation and sustainable use in Sichuan strengthened																			
Output 1.3.1.:			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Outcome 2.1.:	Sichuan's network of wetland protected areas with globally important biodiversity created, covering 767,766 hectares																			
Output 2.1.1.:			✓	✓	✓	✓	✓	✓												
Output 2.1.2.:					✓	✓	✓	✓	✓	✓	✓	✓			✓				✓	
Outcome 2.2.:	Wetland park biodiversity conservation and sustainable use of wetland goods and ecosystem services improved in Qionghai wetland park.																			
Output 2.2.1.:			✓	✓	✓	✓	✓	✓	✓	✓										
Output 2.2.2.:			✓	✓																
Output 2.2.3.:					✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Output 2.2.4.:					✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				
Output 2.2.5.:					✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

APPENDIX III : Project Outcome Monitoring Plan

Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties	Indicative Resources
Objective: To expand and strengthen wetland protected areas in Sichuan Province China and mainstreaming biodiversity conservation and sustainable utilization of wetland resources							
Indicator a:	Number of hectares of wetland protected areas and their watersheds	Statistic form	39800ha	Chengdu	Midd-term/ Terminal	SFGB/PMT	Park maps
Indicator b:	METT scores	Workshops	33/25	Two wetland parks	Twice	Consultant/ park staff	METT record
Indicator c:	Number of provincial development strategy and plans	Collection documents	0	Chengdu	Twice	SFGB/PMT	Survey Report
Component 1: Strengthening Sichuan Province's institutional capacity on systematic planning and mainstreaming at the provincial level to conserve and sustainably use wetlands resources							
Indicator 1.1.1.1:	Number of assessment report	Documentation	0	Chengdu	Annual	SFGB/PMT	
Indicator 1.1.1.2:	Number of policies and regulations	Documentation	0	Chengdu	Annual	SFGB/PMT	Official documents

Indicator 1.1.2.1:	Number of technical outlines	Documentation	0	Chengdu	Annual	SFGB/PMT	
Indicator 1.1.2.2:	Number of provincial inter-sectoral coordination mechanism	Documentation	0	Chengdu	Annual	SFGB/PMT	Official documents
Indicator 1.2.1.1:	Number of management plans	Documentation	0	Sites	Annual	Park staff/PMT	
Indicator 1.2.2.1:	Number of technical guideline	Documentation	0	Chengdu	Annual	SFGB/PMT	
Indicator 1.2.2.2:	Number of monitoring and evaluation reports	Documentation	0	Chengdu	Annual	SFGB/PMT	
Indicator 1.2.3.1:	Number of persons trained	Statistic forms of workshops	0	Chengdu	Annual	SFGB/PMT	
Indicator 1.3.1.1:	Number of environment education programs	Documentation	0	Sites	Annual	Park staff/PMT	
Indicator 1.3.1.2:	Number of participants	Statistic forms of workshops	0	Sites	Annual	Park staff/PMT	

Indicator 1.3.1.3:	Number of guidelines	Documentation	0	Sites	Annual	Park staff/PMT	
Indicator 1.3.1.4:	Number of wetland park staff trained	Statistic forms of workshops	0	Sites	Annual	Park staff/PMT	
Component 2: Strengthening site level management and standard raised for wetland parks							
Indicator 2.1.1.1:	Number of approved Sichuan Wetland Conservation Plan	Documentation	0	Chengdu	Annual	SFGB/PMT	
Indicator 2.1.2.1:	Number of Sichuan provincial working regulation	Documentation	0	Chengdu	Annual	SFGB/PMT	
Indicator 2.1.2.2:	Number of Sichuan provincial workshops	Statistic forms of workshops	0	Chengdu	Annual	SFGB/PMT	
Indicator 2.2.1.1:	Number of plans	Documentation	0	Sites	Annual	Park staff/PMT	

Indicator 2.2.2.1:	Number of pilot community assessment reports.	Documentation	0	Sites	Once	Park staff/PMT	
Indicator 2.2.3.1:	Number of signed conservation agreements	Documentation	0	Sites	Annual	Park staff/PMT	Official document
Indicator 2.2.3.2:	Number of Business plans	Documentation	0	Sites	Once	Park staff/PMT	
Indicator 2.2.3.3:	Number of Local residents that have received training on wetland sustainable production.	Statistic forms of workshops	0	Sites	Annual	Park staff/PMT	
Indicator 2.2.4.1:	Number of community-based alternative livelihoods	Documentation	0	Sites	Annual	Park staff/PMT	

Indicator 2.2.4.2:	Number of Local residents that have received training on alternative livelihood skills.	Statistic forms of workshops	0	Sites	Annual	Park staff/PMT	
Indicator 2.2.5.1:	Number of two-way communication platform	Documentation	0	Sites	Annual	Park staff/PMT	APP. software
Indicator 2.2.5.2:	Number of local residents using the communication platform	Statistic user registration	0	Sites	Annual	Park staff/PMT	APP. software
Indigenous peoplePlan:							
Indicator x.x.:	Percentage of indigenous/local communities where FPIC have been followed and documented	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

Indicator x.x.:	Percentage of communities/ people/households where project benefit sharing has been agreed upon	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
Gender Mainstreaming Plan:							
Indicator x.x.:	The ratio of men and women participated in an activity/training	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
Indicator x.x.:	Number of men and women that received benefits from the project	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

	Number of strategies, plans (e.g. management plans) derived from the project that include gender considerations.	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
Accountability and Grievance Mechanism:							
Indicator x.x.:	Number conflict and complaint cases related to CI-GEF project reported to the project's Accountability and Grievance Mechanism	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

Indicator x.x.:	Number of conflict and complaint cases reported to the projects Accountability and Grievance Mechanism that have been resolved	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

Pest Mangement Plan:							
Indicator x.x.:	Number of ha where pest management will be applied	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
Indicator x.x.:	Percentage of pest management area where Integrated Vector Management is applied	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
Stakeholder Engagement Plan:							
Indicator x.x.:	Number of stakeholder groups that involve in the project implementation on an annual basis	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

Indicator x.x.:	Number persons (sex disaggregated) that have been involved in project implementation	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
	Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
	Percentage of stakeholders who rate as satisfactory the level at which their views and concerns are taken into account by the project	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

Process Framework for Restriction of Access to Natural Resources:							
	Number of persons whose access to and use of natural resources have been voluntary restricted	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
	Number of persons whose access to and use of natural resources have been involuntary restricted	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
	Percentage of persons who gave their consent for voluntary restrictions	Safeguard plan monitoring report	TBD	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

	Percentage of persons who have received compensation for voluntary restrictions; target	Safeguard plan monitoring report	NA	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report
	Percentage of persons who have received compensation for involuntary restrictions	Safeguard plan monitoring report	NA	Sites	Annual	Consultant/Project team	Safeguard plan monitoring report

APPENDIX IV : GEF Core Indicators

The GEF Core Indicators including basic information is annexed as an excel file.

APPENDIX V： Safeguard Screening Analysis

CI-GEF PROJECT AGENCY

SCREENING RESULTS AND SAFEGUARD ANALYSIS

(To be completed by CI-GEF Coordination Team)

I. BASIC INFORMATION

A. Basic Project Data

Country: China	**GEFProjectID**:9403
Project Title: Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China	
Executing Entity: Sichuan Department of Finance , Sichuan Forestry and Grassland Bureau,	
GEFFocalArea: Biodiversity	
GEF Project Amount: USD3,000,000	
Reviewer(s): Ian Kissoon	
Date of Review: December 13, 2016	
Comments: Analysis completed and approved	

B. Project Objective:

To expand and strengthen wetland protected areas in Sichuan Province, China, and mainstream biodiversity conservation and sustainable utilization of wetland resources.

C. Project Description:

Sichuan Province started establishing wetland protected areas in the 1970s. There are about 52 wetland nature reserves in Sichuan and about 20 national wetland parks (in pilot phase), 19 provincial wetland parks, 1 internationally important wetland and 3 nationally important wetlands. The Sichuan Wetland Protection Regulation was formally issued on October 1, 2010. The 12th 5-year plan for Sichuan wetland conservation has identified wetland park establishment and management improvement as priorities for wetland conservation.

The project will be implemented under the following components:

Component 1: Strengthening Sichuan Province's institutional capacity on systematic planning and mainstreaming at the provincial level to conserve and sustainably use wetlands resources.

The focus of this component will be on strengthening Sichuan Province's institutional capacity on systematic planning and mainstreaming at the provincial level to conserve the wetland ecosystem and sustainable use of wetlands resources and including biodiversity conservation in provincial development policies and plans. The project will establish and support a mechanism to conduct scientific research and analysis on wetland parks (species, habitat, value, etc.) in a systematic manner. The data collected and results achieved will be used as the basis for provincial policies and plans. Through demonstration of development and construction of the two wetland parks, the project will support the inclusion of wetland resources and biodiversity conservation in the government's development and land use policies and planning. In the meantime, the project will support the establishment of a provincial inter-sectoral coordination mechanism for coordinating development and construction activities within and adjacent to wetland parks (agriculture, land use, tourism, etc.).

The project will support activities to improve the management effectiveness of wetland parks in Sichuan. The project will support the Sichuan government to establish operational plans for new and existing wetland parks to ensure effective resource allocation, including human, financial and technical resources. Monitoring systems will also be established to assess management effectiveness and to ensure the results are being used to improve provincial policies and plans. The project will also support capacity building activities at the county, prefecture and provincial levels of governments for effective planning, enforcement and monitoring of protected wetland areas.

For the 39 existing and more newly established, as well as future, wetland parks, this project will provide demonstration and standards for Sichuan Province. The project will help Sichuan Province to formulate an overall plan for establishment and management of wetland parks.

Component 2: Strengthening site level management and raising standards for wetland parks.

This component will focus on strengthening site level management and raising standards for wetland park management. The project will enhance the management effectiveness of protected areas through establishing Sichuan's network of wetland protected areas and conducting a unified assessment, management and monitoring system for wetland protected areas in the province. The project will assist 2 wetland parks to develop and implement their management plans, including a masterplan and a wetland protection and restoration plan, to ensure effective resource deployment, including human resources, financial resources, technical resources, etc. The two wetland parks will be demonstration sites for wetland park creation and management in Sichuan Province.

The integrated design for the creation, operation and management of different types of wetland park will also contribute to the development of wetland park planning and policies/regulations at the provincial and national levels. In the meantime, through the improvement of institutional capacities of the county, prefecture and provincial government management agencies for effective planning, monitoring and enforcement of wetland parks management, the project will help to avoid, mitigate or offset threats to the wetland parks and their adjacent areas.

This component will also focus on mainstreaming biodiversity conservation and the sustainable utilization of wetland resources. The project will support planning and development of sustainable wetland ecological industries by identifying products, production methods and markets. The project will support the identification of market needs for wetland ecological products by conducting consumer surveys and feasibility studies. The environmental capacities of the two wetlands will be estimated and used as the basis for wetland ecological industries plans. Wetland-based livelihoods will be introduced to local communities by providing trainings on skills, techniques, management, etc. The rights of the local community to use wetland resources will be clarified, roles and responsibilities will be defined and conservation agreements will be signed between local communities and relevant government agencies. The project will also introduce pollution-free/green/organic wetland agricultural products and their plant/growing patterns, and construct a production base of pollution-free/green/organic wetland products. It will develop a plan for improving the industrialization of wetland products to ensure sustainable management of the wetlands while increasing local households' income. At the same time, the project will help to design and operate appropriate eco-tourism businesses on the two wetlands based on each wetland's characteristics to increase local households' income.

The project will support the establishment of participatory management frameworks and guidelines for the two new wetland parks. Community conservation agreements will be signed and communities will be supported to provide management oversight through training of local communities on participatory management and encourage their participation in PA management.

The project will also support the establishment of a network including 39 wetland parks and 40 wetland nature reserves to promote best management practices and standards in Sichuan Province. 16 of the wetland protected areas under the network are located in the scope of Key Biodiversity Areas.

By implementing the above-mentioned components, the project is expected to achieve great benefits for biodiversity within this globally significant ecosystem. These will be achieved through the reduction of pressure on biodiversity and the ecosystem and improvement of effective management of the wetland PA and its adjacent areas. The project will increase the total area of wetland under protection and, through enhancing the management effectiveness, establishing construction and management standards and building up a sustainable development model for wetland resources and local communities' co-management of wetland PA, the project will identify long-term financing mechanisms for wetland conservation.

D. Project location and biophysical characteristics relevant to the safeguard analysis:

The project is located in Sichuan Province, Southwest China, which borders Qinghai to the northwest, Gansu to the north, Shaanxi to the northeast, Chongqing to the east, Guizhou to the southeast, Yunnan to the south, and the Tibet Autonomous Region to the west. Sichuan consists of two very geographically distinct parts. The eastern part of the province is mostly within the fertile Sichuan basin. Western Sichuan consists of the numerous mountain ranges forming the easternmost part of the Qinghai-Tibet Plateau, which are known generically as the Hengduan Mountains. Lesser mountain ranges surround the

Sichuan Basin from the north, east, and south. The Yangtze River and its numerous tributaries flow through the mountains of western Sichuan and the Sichuan Basin.

In Sichuan, there are four major types of wetland: lake, marsh land, riverine, pond and cultivated wetland. Of the 39 wetland parks established in Sichuan, lake and riverine wetland (50% of the wetland parks are riverine wetland) are the major types. The project has selected XichangQionghai Wetland and Xinjin White Crane Beach Wetland as demonstration sites for wetland park management. The two projects sites are all within the priority areas identified in the National Biodiversity Conservation Strategy and Action Plan. Qionghai Wetland is within Southern Hengduan Mountain Priority Area. Baihetan Wetland falls within Minshan Mountain and Northern Hengduan Moutain Priority Area. Qionghai is one of largest high plateau lakes in Sichuan and the second largest freshwater lake, and is one the most important habitats for many endangered species, including bird species listed in the IUCN Red List.

Qionghai Wetland is only 5 km from Xichang City, the capital city of Liangshan Yi Minority Autonomous Prefecture. Qionghai is facing severe threats from unplanned infrastructure construction and inappropriate tourism development. The Xichang municipal and Liangshan Yi Minority Autonomic Prefecture government has invested over USD500 million to improve the infrastructure around Qionghai wetland to restore the wetland, including an “ecological migration” project to move out the inhabitants in the wetland. However, there is no management plan in place. Xinjin riverine wetland is only 30 km from Chengdu Municipal City, the capital city of Sichuan Province and the largest city in Southwest China, with a population of over 14 million. Riverine ecosystems and biodiversity are being destroyed due to the increased pollution brought by rapid industrial development and population growth. The two selected wetlands are typical sites for demonstrating the importance of establishing effectively managed wetland parks to protect biodiversity. The Sichuan government is taking steps to increase wetland protected areas, including holistic watershed management surrounding the wetland. This approach will significantly increase the wetland protection area. Under this scenario, the total area of watershed management will increase to at least 298,777 hectares.

The project will help local communities to develop eco-friendly agricultural practices, including a natural food chain to control pests. Physical methods to control pests, such as light trapping of insects, indigenous vegetal pesticides and other potential eco-friendly management methods will be used.

E. Executing Entity’s Institutional Capacity for Safeguard Policies:

While the EAs have experience in biodiversity monitoring and delivering training, the EAs did not specify any experience with implementing safeguards.

II. SAFEGUARD AND POLICIES

Environmental and Social Safeguards:

Safeguard Triggered	Yes	No	TBD	Date Completed
1. Environmental & Social Impact Assessment (ESIA)		**X**		
Justification: No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented are anticipated				
2. Natural Habitats		**X**		
Justification: The project is not proposing to alter natural habitats				
3a. Involuntary Resettlement		**X**		
Justification: The project does not propose any involuntary resettlement.				
3b. Restriction of Access to and Use of Natural Resources	**X**			
Justification: The project may involve proposing restrictions of access to/use of natural resources.				
4. Indigenous Peoples	**X**			
Justification: The project plans to work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples.				
5. Pest Management	**X**			
Justification: There are proposed activities related to pest management				
6. Physical & Cultural Resources		**X**		
Justification: There are no proposed activities related to physical and cultural resources				
7. Stakeholder Engagement	**X**			
Justification: The project will engage stakeholders				
8. Gender mainstreaming	**X**			
Justification: The project will mainstream gender at all levels				
9. Accountability and Grievance Mechanisms	**X**			
Justification: As a publicly funded GEF project, a Grievance Mechanism is required.				

III. KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

From information provided in the Safeguard Screening Form, this project has triggered six safeguard policies. These are:

I. *Involuntary Resettlement (Restriction of Access to and Use of Natural Resources)*
II. *Indigenous Peoples,*
III. *Pest Management,*
IV. *Stakeholder Engagement,*
V. *Gender Mainstreaming, and*
VI. *Grievance Mechanism.*

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:
No indirect and/or long term impacts due to anticipated future activities are foreseen at this time.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts:
The proposed approach of the project is expected to avoid or minimize adverse impacts. As such, no better alternative can be conceived at this time.

4. Describe measures to be taken by the Executing Entity to address safeguard policy issues.

I. *<u>Restriction of Access to and Use of Natural Resources</u>*
*For the potential restriction of access to, and use of natural resources as a result of creating new protected areas and implementing management plans/conservation agreements, and to ensure that the project meets CI-GEF Project Agency's "Involuntary Resettlement Policy #3" the Executing Agency **is required** to develop during the PPG phase, a Process Framework document (refer to Appendix IV of the ESMF Policy for guidance). The CI-GEF Project Agency will oversee the implementation of this plan throughout the duration of the project*

II. *<u>Indigenous Peoples</u>*
To ensure that the project meets CI-GEF Project Agency's "Indigenous Peoples Policy #4", the Executing Agency is required to develop, during the PPG phase, an Indigenous Peoples Plan. The CI-GEF Project Agency will oversee the implementation of this plan throughout the duration of the project.

III. *<u>Pest Management</u>*
To ensure that the project meets CI-GEF Project Agency's "Pest Management Policy #5", the Executing Agency is required to develop, during the PPG phase, a Pest Management

Plan. The CI-GEF Project Agency will oversee the implementation of this plan throughout the duration of the project.

IV. *Stakeholder Engagement*

To ensure that the project meets CI-GEF Project Agency's "Stakeholders' Engagement Best Practice", the Executing Agency is required to develop, during the PPG phase, a Stakeholder Engagement Plan. The CI-GEF Project Agency will oversee the implementation of this plan throughout the duration of the project.

V. *Gender Mainstreaming*

To ensure that the project meets CI-GEF Project Agency's "Gender Mainstreaming Policy #8", the Executing Agency is required to develop, during the PPG phase, a "Gender Mainstreaming Plan" that will ensure the mainstreaming of gender issues throughout the project. The CI-GEF Project Agency will provide gender mainstreaming guidelines, and will approve and oversee the implementation of the Gender Mainstreaming Plan throughout the duration of the project.

VI. *Grievance Mechanism*

An Accountability and Grievance Mechanism is required to ensure people affected by the project are able to bring their grievances to the Executing Entity for consideration and potential redress. The mechanism must be in place before the start of project activities, and also disclosed to all stakeholders in a language, manner and means that best suits the local context.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people:

The key stakeholders are the national and local government, civil society organizations, local and indigenous communities, and other donors working in the area.

The mechanisms for consultation and disclosure should be culturally appropriate, gender sensitive, effective, and consistent with local customs. Engagement can take the form of village meetings, group meetings, workshops, interviews/surveys, etc. and implemented using local languages and methods. The Executing Entity should take these contexts into consideration when designing engagement activities.

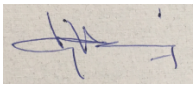
IV. PROJECT CATEGORIZATION

PROJECT CATEGORY	**Category A**	**Category B**	**Category C**
			X
Justification: The proposed project activities are likely to have minimal or no adverse environmental and social impacts.			

V. EXPECTED DISCLOSURE DATES

Safeguard Plan	CI Disclosure Date	In-Country Disclosure Date
Environmental & Social Impact Assessment (ESIA)	*NA*	*NA*
Environmental Management Plan (EMP)	*NA*	*NA*
Voluntary Resettlement Action Plan (V- RAP)	*NA*	*NA*
Process Framework for Restriction of Access to Natural Resources	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Indigenous Peoples Plan (IPP)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Pest Management Plan (PMP)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Stakeholder Engagement Plan (SEP)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Gender Mainstreaming Plan (GMP)	*Within 15 days of CI-GEF approval*	*Within 30 days of CI-GEF approval*
Accountability and Grievance Mechanism	*Within 15 days of CI-GEF approval*	*No later than inception workshop/kick-off meeting*

VI. APPROVALS

Signed and submitted by:		
Senior Director: 	**Name:** **Free de Koning**	**Date:** **12/20/2016**
Approved by:		
Safeguard Manager: 	**Name:** **Ian Kissoon**	**Date:** **2016-12-13**
Project Manager: 	**Name:** **Ian Kissoon**	**Date:** **2016-12-13**

APPENDIX VI: Safeguard Compliance Plans

A. Process Framework for Restriction of Access to Natural Resources

(Approved by CI-GEF Project Agency 2017-10-27; Updated 2018-03-12)

1. Project Background

1.1 The main purpose of developing Process Framework

CI has adopted a policy on involuntary resettlement and restrictions of access to natural resources to ensure that involuntary resettlement is avoided and to avoid or minimize impacts from restrictions of access to natural resources. GEF funding cannot be used to finance the cost of the physical relocation or displacement of people. Affected persons should be assisted in their efforts to improve or at least restore their livelihoods and living standards in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher (Minimum Standard 3: Involuntary Resettlement).

CI has regulated that for projects in which the best alternative to the business-as-usual scenario involves involuntary restrictions of access to and use of natural resources -for example as a result of the creation of new protected areas, enactment of a new zoning scheme, development and implementation of a management plan that requires restrictions, etc.- Executing Entities will be required to prepare a Process Framework for Restriction of Access to Natural Resources that describes the nature of the restrictions, the participatory process by which project components will be prepared, criteria by which displaced persons are eligible, measures to restore livelihoods and the means by which any conflicts would be resolved.

1.2 Brief Introduction of the Project

Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (hereafter shorten as “The project”) aims to expand and strengthen wetland protected areas in Sichuan Province and also to mainstream biodiversity conservation and sustainable utilization of wetland resources. The project has two main components which focuses on strengthening site level management and raising standards for two wetland parks: Qionghai Wetland Park, and Baihetan Wetland Park.

Both wetland parks have been established by the relevant local municipality between three and five years ago and recently approved as national level wetland parks by the State Forestry Department. During the wetland park establishment processes, indigenous people’s land utilization rights, which were conferred by the government in the early 1980s, have been re-purchased by the government.

It is important to understand that the involuntary restrictions of access to natural resources are not caused by the local government mandated wetland park construction. Instead, the project aims to ensure that the new restrictions are developed in consultation with the local people, which will alleviate some negative impacts caused by the previous wetland park construction.

1.3 Profile of Affected Persons

Farmers living around Qionghai Wetland

- Qionghai Wetland is located in a plain which is suitable for farming. Han-Chinese people have lived there and conducted farming for more than 1600 years. By conducting a Rural Rapid Appraisal, it is estimated that the majority of the 98,000 farmers who live around the wetland are Han-Chinese and that they are indigenous people of the lakefront areas adjacent to the Qionghai Wetland. Due to the ideal agricultural conditions and good access to the markets in Xichang City, these farmers traditionally planted profitable cash crops and are generally considered much richer compared with those living in the uplands. Off-farm employment is also common among households.
- To reduce pollution in the lake, a total of 18,463 local people of 5,356 households have been resettled between 2007 and 2015 as part of the Qionghai lake environment management project and the expansion of the wetland park. Although the construction of Qionghai Wetland Park has reduced the negative impacts caused by natural disasters on Indigenous Peoples, some farmers found their access and links to the wetland seriously deprived or weakened due to land-lost and loss of formal and informal utilization of wetland resources.

Farmers living in the upper watershed of Qionghai Wetland

- There are about 30,000 – 40,000 Yi People living in the four mountainous townships around Qionghai Wetland. According to official statistics, Yi people's annual income from 2013 – 2016 was only 50% - 60% of the average of those in Xichang City and only 35% - 40% of those farmers living in around the wetland.
- Many local officers, scientists, citizens and farmers blame landslide and erosion on the Yi people's extensive cultivation and animal husbandry. The Yi People have suffered more from natural disasters, not only in terms of the loss of animals, properties, houses and human life but also from land collapses. A logging ban started in 1998 and national ecological construction programs like the *Natural Forest Protection Program* and the *Grain for Green Program* have greatly improved the vegetation of the upper watershed of Qionghai Wetland. As a result, landslides and erosion have been effectively controlled or reduced. In the recent three to five years, the Central Government has invested huge funds and mobilized massive human resource to tackle poverty reduction. Therefore, the living conditions of the Yi people have been enhanced.

Farmers living in Baihetan Wetland Park

- The figure for resettlement in XB is 147 people which comprises 69 households. The remaining number of persons to be resettled is 12 persons comprising 4 households. However, the park boundary is being adjusted to exclude these households from the park so number of persons to be resettled will be 0. The adjusted boundary has been submitted to SFGA for approval.
- Baihetan Wetland is adjacent to the government planned New Xinjin City and those resettled households have been given the same compensation conditions due to those resettled due to urbanization. For background, farmers usually receive more favorable compensation conditions if

their resettlement caused by urbanization, compared with other reasons, such as infrastructure construction, nature reserve establishment, etc. Therefore, these people were voluntarily relocated with agreed compensation and did not depend on wetland resources for their living.
- These Han-Chinese households have a long history of utilizing the wetland for multiple uses, though the harvest from marginal land is not stable.

1.4 Relevance to safeguard policies

According to the Environmental and Social Management Framework (ESMF) developed by CI, the experts engaged by the project during the PPG phase made a rapid appraisal and found the following data:

- Among the 98,000 farmers living around the Qionghai wetland, some have lost either the whole or part of their contracted land due to the Qionghai lake environment management project and the wetland park construction. 18,463 local people of 5,356 households have been resettled. Farmers' access to wetland resources has been restricted and all have been compensated through a uniform and transparent compensation policy developed by the government of Xichang City.
- For those Yi People living upstream of Qionghai Wetland, the wetland park construction has had no obvious impact.
- For the Baihetan Wetland Park, 147 people which comprises 69 households have been resettled. The remaining number of persons to be resettled is 12 persons comprising 4 households. However, the park boundary is being adjusted to exclude these households from the park.
- The project will not support involuntary resettlement and would engage the government on a regular basis to be aware of the status of the resettlement process. The project will inform the CI-GEF Project Agency on the outcome of the resettlement negotiations.

The signed *CI-GEF Project Agency Screening Results and Safeguard Analysis Report* requests that the project Executing Agencies prepare a Process Framework to minimize the adverse socio-economic and cultural impacts of restrictions of access to natural resources due to the strengthening of site level management of the parks.

2. Preparation and Content of the Process Framework

Based on the screening for possible community issues that may affect project implementation, particularly the circumstances of Indigenous Peoples and local communities, the project plans to take the following process to mitigate negative impacts caused by the strengthening of site level management, which will then be described in the Plan of Action.

2.1 Information to be collected

Participatory social, biological, and ecological assessments will be conducted at the very beginning of project implementation. Decisions concerning restrictions of resources should be based on well-founded understandings of the biological and socio-economic contexts. A Participatory Rural Assessment (PRA) will be conducted at the very beginning to collect the following information:

- The cultural, social, economic, and geographic setting of the communities in the project areas;
- The types and extent of community use (and use by men and women) of natural resources, and the existing rules and institutions for the use and management of natural resources;
- Identification of village territories and customary use rights;
- Local and indigenous knowledge of biodiversity and natural resource use;
- The threats to and impacts on the biodiversity from various activities in the area of both Indigenous Peoples and local communities and other stakeholders (e.g. External poachers and traders, development activities);
- The potential livelihood impacts on men and women of new or more strictly enforced restrictions on use of resources in the area;
- Communities' suggestions and/or views on possible mitigation measures to such impacts;
- Potential conflicts over the use of natural resources, and methods for solving such conflicts;
- Strategies for community participation and consultation (and ensuring that marginalized/vulnerable groups such as women are participating) during project implementation, including implementation of a plan of action and monitoring and evaluation; and
- Land tenure issues, including traditional land rights and obligations and use of natural resources by different Indigenous Peoples and local communities and differences among men and women.

2.2 Assessment Approach

The PRA was introduced to China in the late 1980s and has proven to be effective for outsiders to understand community information rapidly and objectively.

The community expert engaged by the project Executing Agency will train project staff and formulate a survey team with diversified academic backgrounds to collect information together with community people.

3. Implementation

3.1 Measures to assist the affected persons

- Identify vulnerable groups

There are two vulnerable groups identified by the project. First, those who have lost access to wetland resources because of the wetland park construction. There are about 2,800 households around the Qionghai Wetland who have difficulties to transform from traditional farming and fishing to new livelihoods.

The second vulnerable group is the eight households still living in the planned Baihetan Wetland who are negotiating with local government on potential relocation.

- Take special procedures and measures

The project plans to select one or two villages around Qionghai to demonstrate organic farming and sustainable utilization of wetland resources. The project Executing Agency will work together with the Administration of Qionghai Wetland National Park and the Center for Qionghai Wetland Conservation to

grant certain utilization rights of wetland resource to the villages by applying *Conservation Agreements* (See the Stakeholder Engagement Plan). Those households having difficulties to transform their household economy from traditional wetland resource utilization to new livelihoods should be a prioritized group under the project.

For the eight households living in Baihetan Wetland, the project plans to enhance farmers' understanding of national resettlement policies and help to improve communication effectiveness between the administration of Baihetan Wetland Park and the households. Furthermore, training will also be provided to key staff of the local government and the Administration of Baihetan Wetland National Park.

- Involve groups or communities in determining measures

First, targeted communication approaches will be employed to provide adequate information to the groups identified. Focused group meetings will be held in communities with low literacy rates to help the communities understand the project, polices and to hear the farmers' views. The project will disseminate updates and project information in a timely manner consistent with the identified groups' information-receiving preference.

Second, technical assistance on land and natural resource utilization, and marketing of sustainable products and commodities will be provided to communities. The project plans to work with one or two villages to restore wetland resource utilization rights and provide technical assistance to upgrade traditional faming with technology and promote organic farming.

Third, all the project activities conducted in communities would be decided through a process of collective discussion and decision-making. All the project procurement procedures, in particularly purchasing communities' services and providing non-reimbursable assistance, from design, publicity, decision-making, to implementation and effectiveness assessment, would involve representatives of the identified groups. Transparency will be the highest priority during project implementation.

3.2 Conflict resolution and complaint mechanism

To avoid conflicts during implementation, the project will train staff of the Administration of Baihetan Wetland National Park on conflict management. Furthermore, an Accountability and Grievance mechanism will be in place, including appointment of key contact people at various levels who will inform project-affected parties about the mechanism and how to use it.

Comparatively, fewer conflicts are expected in Qionghai wetland and these will most likely be entail conflicts between farmers' competing for project resources. To avoid these conflicts, the project will involve all stakeholders and promote participatory and transparency decision-making processes.

4. Monitoring, Evaluation and Reporting

Participatory Monitoring & Evaluation methodology will be employed and progress towards all the indicators listed below would be reported annually:

- Number of persons whose access to and use of natural resources has been voluntary restricted; target is 300
- Number of persons whose access to and use of natural resources has been involuntary restricted; target is 0
- Percentage of persons who gave their consent for voluntary restrictions; target is 80%
- Percentage of persons who have received compensation for voluntary restrictions; target is 90%
- Percentage of persons who have received compensation for involuntary restrictions; target is 0

B. Indigenous Peoples Plan

(Approved by CI-GEF Project Agency 2017-11-17; Updated on 2018-03-12)

1. The Main Purpose of Developing an Indigenous People Plan

The CI-GEF ESMF policies concerning Indigenous Peoples recognize the distinct circumstances that expose Indigenous Peoples to different types of risks and impacts from development projects. As social groups with identities that are often distinct from dominant groups in their national societies, Indigenous Peoples are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limits their capacity to defend their rights to lands, territories, and other productive resources, and restricts their ability to participate in and benefit from development. At the same time, CI recognizes that Indigenous Peoples play a vital role in sustainable development and emphasize that conservation should benefit Indigenous Peoples, thereby ensuring long-term sustainable management of critical ecosystems and protected areas.

The purpose of developing this Indigenous People Plan is to avoid adverse impacts on Indigenous Peoples and to provide them with culturally appropriate social and economic benefits. In particularly,

- To respect Indigenous Peoples' rights, including their rights to Free, Prior, and Informed Consent (FPIC);
- To involve Indigenous Peoples in the design of the project, receive culturally appropriate benefits that are negotiated and agreed upon with the affected persons and/or communities;
- To avoid or adequately address potential adverse impacts through a participatory and consultative approach; and
- To monitor the implementation of the project, any required Indigenous Peoples plan or framework, and project benefits are monitored by qualified professionals.

2. Profile of the Indigenous People Relevant to the Project

2.1 Brief Introduction of the Project

Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (hereafter shorten as "The project") aims to expand and strengthen wetland protected areas in Sichuan Province China and also to mainstream biodiversity conservation and sustainable utilization of wetland resources. The project has two main components of which one focuses on strengthening site level management and raising standards for two wetland parks, namely:1）Qionghai Wetland Park, and 2) Baihetan Wetland Park.

Qionghai Provincial Wetland Park was established in 2011 and was promoted to National Wetland Park status in 2014. Baihetan Wetland Park was directly recognized as a national level Wetland Park at its establishment. However, the main parts of construction such as management buildings, artificial landscapes, tourism facilities, roads etc. have almost been accomplished, bringing about assignable influence on local indigenous people.

2.2 Profile of the Indigenous Peoples

The main Indigenous Peoples in the project area are the Han-Chinese and Yi People.

	Xichang City						Zhaojue County		Xide County
	Xijiao Township	**Gaojian Township**	**Chuanxing Town**	**Daxing Township**	**Hainan Township**	**Daqing Township**	**Pushi Township**	**Mazengyiwu Township**	**Donghe Township**
Population	32720	16348	24450	6892	7023	6125	7473	7321	11260
Ethnicity	Han	Han	Han	Han	Han	Yi	Yi	Yi	Yi
Per capita disposable income (RMB10,000**)**	1.91	1.83	1.57	1.18	1.21	0.90	0.67	0.67	0.63

Farmers living around Qionghai Wetland

Qionghai Wetland is located in a basin which is suitable for farming. Han-Chinese people have lived there and conducted farming for more than 1,600 years. By conducting a Rural Rapid Appraisal, estimated that the majority of the 98,000 farmers living in the 10 administrative villages around the wetland are Han-Chinese and that they are indigenous people of the lakefront areas adjacent to Xichang-Qinghai Wetland. Due to the ideal agricultural conditions and good access to the markets in Xichang City, these farmers traditionally planted profitable cash crops, mainly fruits and vegetables, and are generally considered to be richer than those living in the uplands. Off-farm employment is also common among households.

These farmers have been exposed to natural disasters such as landslides, erosion and floods since their ancestors migrated to the Qionghai Wetland. For example, one village has a community memory about how ancestors ran away from a landslide in the darkness of a summer evening. To warn children of the danger, ancestors changed the village name to Hei Tao (*Hei* means evening in Chinese, *Tao* means running away).

The construction of Qionghai Wetland Park has caused negative impacts on Indigenous Peoples as farmers found their access and links to the wetland seriously deprived or weakened due to loss of land and loss of formal and informal utilization of wetland resources.

Map 1 Villages around Qionghai

Farmers living in the upper watershed of Qionghai Wetland

The Yi People have accumulated abundant knowledge and experience on maintaining subsistence livelihoods upstream of the three rivers supplying Qionghai Wetland, namely, 1) Guanba River, 2) Ezhang River and 3) Xiaoqing River. These are mainly mountainous areas with a harsh environment and poor natural conditions. Among the watershed of the three rivers, the Guanba River Watershed has the highest population (about 15,000) and Ezhang River Watershed has the lowest population (about 6,000)

From local chronicles, the Yi People have lived in the uplands around Qionghai Wetland for at least as long as the Han-Chinese began to live in the plain. The Yi Peoples' livelihood traditionally depends on a mixture of animal husbandry and extensive cultivation. Due to the formidable natural conditions, the Yi People successfully defended the boundary between Yi and their Han-Chinese neighbors.

There are about 30,000 – 40,000 Yi People living in the four mountainous townships around Qionghai Wetland. According to official statistics, the Yi people's annual income from 2013 – 2016 was only 50% - 60% of the average in Xichang City and only 35% - 40% of those farmers living in and around the wetland.

Many local officers, scientists, citizens and farmers blame landslides and erosion on the Yi people's extensive cultivation and animal husbandry. However, the Yi People have suffered more from natural disasters, not only in terms of animals, properties, houses and human life but also from land collapses.

A logging ban started in 1998 and national ecological construction programs like the *Natural Forest Protection Program* and the *Grain for Green Program* have greatly improved the vegetation of the upper watershed of Qionghai Wetland. Landslides and erosion have been effectively controlled or reduced. In the recent three to five years, the Central Government has invested huge funds and mobilized massive human resources to address poverty reduction. The living conditions of the Yi people have therefore been significantly enhanced.

Outward migration is also a critical factor in the future of Yi communities. As more and more young people find off-farm jobs in the cities such as Chengdu and Xian, both the population and pressures on natural resources have been reduced.

Farmers living in Baihetan Wetland Park

127 people of 65 households have been resettled due to the establishment of Baihetan Wetland Park. Baihetan Wetland is adjacent to government-planned New Xinjin City. Those resettled households have been given the same compensation conditions as those relocated due to urbanization. For background, farmers usually receive more favorable compensation conditions if resettlement is due to urbanization, compared with other reasons such as infrastructure construction, nature reserve establishment, etc.

The figure for resettlement in XB is 147 people which comprises 69 households. The remaining number of persons to be resettled is 12 persons comprising 4 households. However, the park boundary is being adjusted to exclude these households from the park so number of persons to be resettled will be 0. The adjusted boundary has been submitted to SFGA for approval. These Han-Chinese households have a long history of utilizing the wetland for multiple uses, although the harvest from this marginal land is not stable. The municipal government of Xinjin City has started negotiations with these households.

3. The Legal and Institutional Framework Applicable to Indigenous Peoples

There is no special legal and institutional framework applicable to Indigenous Peoples in China. However, for some regions were 1 – 2 ethnic groups make up the majority of the local majority population, such as the case of the Yi People, there are some local regulations to protect native ethnic groups' rights and interests.

Xichang City belongs to Liangshan Yi Nationality Autonomous Prefecture which has the right to develop its own laws. The Self-Governing Regulation of Liangshan Yi Nationality Autonomous Prefecture, published in 2007, emphasizes freedom of choosing individual beliefs, a minimum ratio of Yi Nationality officers in government and compensation for carrying out the national conservation strategy, etc.

For Han-Chinese Indigenous, it's very hard to find any supporting legal regulation. However, recent policies issued by the Center Committee of Communist Party of China place high emphasis on building a harmonious society, including calling to protect the interests of the disadvantaged groups. Both the national and provincial governments forbid any involuntary resettlement. In Baihetan Wetland Park, the eight households still living in the park are l in the process of negotiating with local government on a compensation package.

4. Participation and Consultation Process during Implementation

During the future implementation stage of the project, the Project Executing Entities will take the following participation and consultation process to protect the above indigenous groups' rights and interests:

- Apply Free, Prior and Informed Consent (FPIC) process when working with Indigenous Peoples. The project will not be involved in resettlement of any kind.
- Develop the *Management Regulations on Safeguarding Indigenous People's Rights and Interests* as one of the project management documents at the very beginning of implementation. The regulation should be printed and hung on the wall of project management offices, especially those at the site level.
- Train all staff and experts engaged by the project on CI-GEF Indigenous People policy during project implementation.
- Hire a community expert to ensure Indigenous Peoples' participation and consultation.
- Appoint project staff to be responsible for liaison with communities and for promoting community participation and consultation. In the case of Qionghai, these staff ideally should be Yi People or at least understand Yi Language.
- Organize a special team (as a project activity) to document the traditional knowledge and culture of the Indigenous People. A feasibility study on utilizing traditional knowledge and culture in wetland management and income-generating will also be conducted.
- Select two communities in Qionghai to demonstrate community participatory wetland resource management and rehabilitation of wetland culture. The community-selection standard will be developed with the participation and consultation of Indigenous People representatives. Only Indigenous People communities will be qualified to apply and evaluated by the standard. A

transparent selection process will involve publicity and community representatives participating in the judging panel.

- Desisgn a special APP (software for smartphones) to publish project information, in particular compensation and procurement of services from the community, as well as other information of the project to communities around Qionghai Wetland and its upper watershed. As per the previous rapid interview, around 70% of villagers are using smart mobile phones and are potential users of the APP. Using modern communication tools is one focus of the project in terms of demonstration. Based on a previous survey, most indigenous people, both Han nationality and Yi people, can read Chinese fluently, so the language of the APP will be Chinese and, if necessary, as per project monitoring data, the local partner will produce a version of the APP in Yi language.
- Communicate, at least on a monthly basis with the households in the project area.

5. Expected Results of the Participatory Consultation and FPIC to the Project

5.1 Results of the Participatory Consultation

By going through the above process, the project anticipates the following results:

- Indigenous People will feel considered by the project. Most of the Indigenous People listed above will at least know about the project, be able to recall some activities held by the project and, most importantly, will think the project has paid enough attention to their traditions and respects them and their families.
- Traditional Knowledge has been documented and used for the innovation of the wetland management model. The project will gather Indigenous Peoples' traditional knowledge, find its relevance to modern wetland science, and then integrate the traditional knowledge into wetland management and income-generating activities, which will make Indigenous People feel their wisdom and experience about wetlands have been given respect and thus promote their self-confidence.
- Culture rehabilitation and value-added of agricultural produces and ecotourism products. Indigenous People will not only feel proud of their traditional culture but will also benefited economically.

  Free, Prior and Informed Consent
- Free: at least 70% of households in Qionghai and 100% in Baihetan believe they have free access to project information and have full freedom to make their own decisions related to their rights and interests during the project's critical implementation milestones. The figure of Qionghai (70%) is lower than that of Baihetan because that the former has almost 50 times the population of the latter.
- Prior: The project documents have been provided to every village at the beginning of implementation. Critical project information has been provided to Indigenous People via at least two different means of communication.
- Informed Consent: all project activities conducted in communities would be decided through a process of collective discussion and decision-making.

6. A Framework for Ensuring FPIC

The project will employ the following framework to systematically ensure FPIC:

- Project Design: concept and principles of FPIC have been incorporated into the project design.
- Staff Awareness & capacity: the concept and principles of FPIC have been communicated to project staff to enhance their awareness and capacity through training.
- Tools: Traditional communication tools like posters, paper documents together with mobile phone software will be developed to promote communication between the the project and Indigenous Peoples.
- Monitoring & evaluation: The implementation of FPIC will be a focus of the project's Monitoring and Evaluation. Participatory M & E methodology will be employed and progress towards all the indicators should be reported annually.

7. Mechanisms and Benchmarks for project monitoring, evaluation, and reporting

The project will set up a participatory Monitoring & Evaluation mechanism. The following minimum indicators must be achieved by the project.

- Percentage of indigenous/local communities where FPIC has been followed and documented; Target is 100%.
- Percentage of community people/households where the project's benefit sharing has been agreed through the appropriate community governance mechanisms and documented; Target is 75%

C. Pest Management Plan

(Approved by CI-GEF Project Agency 2017-11-17; Updated on 2018-03-12)

1. The Main Purpose of Developing a Pest Management Plan

As a result of considerable work on the removal of alien and invasive species (AIS), CI has developed guidelines for the use of chemical products and a Pest Management Plan (PMP). The PMP is prepared by the Executing Entity when required by the CI-GEF Project Agency to ensure the use of best practice in the control and removal of alien and invasive plants, insects, and animals comply with GEF Environmental and Social Safeguards.

2. Brief Introduction of the Project

Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (hereafter shorten as "The project") aims to expand and strengthen wetland protected areas in Sichuan Province China and also to mainstream biodiversity conservation and sustainable utilization of wetland resources. The project has two main components of which one focuses on strengthening site level management and raising standards for two wetland parks, namely:1）Qionghai Wetland Park, and 2) Baihetan Wetland Park.

The project does not plan to use chemical pesticides. In the two wetland parks, farmers' land rights have been requisitioned by local governments and agriculture has stopped. Around the two wetland parks, especially Qionghai, farmers still plant cash crops with heavy use of peptides. The project aims to demonstrate organic farming and the reduction of chemical fertilizers and pesticides.

As listed in its objective statement, the project aims to remove invasive species and help the Indigenous Peoples to develop eco-friendly agricultural practices by applying the Conservation Agreement model.

3. Invasive Species

3.1 Invasive species in the water body of Qionghai Wetland

Due to the ideal agricultural conditions and good access to the markets in Xichang City, farmers around Qionghai Wetland have traditionally planted profitable cash crops and applied substantial local-made fertilizer and pesticides. As a result, the levels of Nitrogen, Phosphorus etc. within the water-body of Qionghai was abnormally high. The wetland suffered symptoms of eutrophication. In the 1960s, some farmers introduced water hyacinth from Yunnan province for pig feed and this became a serious ecological disaster. To develop tourism and construct the wetland park, the government of Xichang City spent huge funds to remove water hyacinth, sea lettuce and other invasive species floating on the water. This initiative mostly succeeded but failed in one area called *Xiaohai*.

In the 1960s – 1970s, the central government of China filled-in and abate area of lakes all over the country to provide more cultivated land. Qionghai Wetland was divided into two parts, the main part and a smaller part. The latter is also known as Xiaohai（*Xiao* in Chinese means Little or Small and *Hai* means Lake). Although the water hyacinth in the main part of the lake has been removed, all the surface of Xiaohai is still covered by water hyacinth and some other hydrophyte invasive species.

3.2 Invasive species in the mountains around Qionghai Wetland

The mountains around Qionghai Wetland has also suffered from invasive species, in particularly *Corydalis Adenophorum*, which rapidly occupied the lower part of the artificial and monoculture *eucalyptus and pine* forests. In the last 40 years, the local forestry department has tried various ways and conducted programs to remove it. While some mixed forests show the *Corydalis Adenophorum* has decreased, most areas are still occupied by *Corydalis Adenophorum*.

3.3 Demonstration of Non-Invasive Species in Baihetan Wetland Park Construction

Unlike Qionghai Wetland which is a typical lake wetland, the Baihetan Wetland is a tidal area and its area is also comparatively small. Taking the lesson from Qionghai and other wetlands about introducing invasive species to build an artificial landscape, the administration of Baihetan Wetland Park engaged a famous wetland expert from Chongqing University to design and supervise the park construction process in order to ensure no invasive species were planted during the park construction. Potentially, the landscape construction case of Baihetan Wetland Park could be a good demonstration of wetland construction in China.

However, due to the proximity of the Min River and exposure to invasive species floating on the river such as *Ampullaria gigas spix* and *sea lettuce*, reduction of invasive species remains a critical issue for the wetland management.

4. Pest Management Strategy and Actions

4.1 Pest Management Strategy

Given pesticide utilization and the status of invasive species in and around the two wetland parks, and taking into account the available project resources, the project will adopt the following Pest Management Strategy:

- Demonstrate community participatory removal of floating invasive species in Xiaohai

The administration of Qionghai Wetland Park recognizes the failure to control water hyacinth and other invasive species in Xiaohai and welcomes the project to develop an innovative approach. The project will facilitate a *conservation agreement* between the wetland park administration and the local village to manually remove invasive species in Xiaohai and plant native species according to an organic design and strict oversight.

Conservation International initiated the first conservation agreement in China in 2006. The organization's experience of implementing conservation agreements will help to facilitate the wetland park administration and the community to achieve a common understanding of the threats faced by the wetland and the way to reduce them, and then help both sides to negotiate a fair conservation agreement.

The conservation agreement could include the following issues, namely: 1) a baseline of invasive species in Xiaohai; 2) Community responsibilities, in particular removal of invasive species and promotion of organic farming; 3) a community ecotourism concession given from the wetland park administration; 4) other terms such as monitoring and a penalty structure for under-performance.

- Demonstrate the establishment of an intensive and sophisticated wetland vegetation interpretation system for environment education

For the site of Baihetan Wetland Park, the negative impacts from pest and invasive species have already been reduced to a low level. The wetland landscape can be used to educate visitors and residents on the biodiversity of wetlands, and to monitor the intrusion of invasive species in a participatory system. As conservation awareness increases, the project will assist the wetland park administration to design and implement volunteering programs to reduce invasive species.

4.2 Actions

Qionghai Wetland

- Conduct a biodiversity baseline survey in Xiaohai, Qionghai Wetland. The survey will be carried out

by professional experts from scientific organizations and also NGOs and volunteers;

- Engage scientists from various disciplines to analyze the baseline data and discuss the methodology of removing invasive species. This assessment will be made at baseline and evaluation surveys;
- Develop a community selection standard and diffuse project information to villages around Qionghai Wetland;
- Transparently select an administrative village with whom to negotiate a conservation agreement;
- Implement the conservation agreement and demonstrate community participatory management of invasive species, for example organising local farmers to remove the water hyacinth manually. Training referring to all aspects of farm management and marketing will be organized based on the plan;
- Develop an education program to demonstrate the richness of wetland biodiversity and introduce the methodology of wetland restoration. The relationship and interaction between native species and invasive species should be a key focus.

Baihetan Wetland

- Engage experts to investigate a baseline of invasive species,
- Design and implement volunteering programs to ensure dynamic monitoring and reduction of invasive species.

4.3 Monitoring and Evaluation

By the end of the project implementation, the following progress should be achieved.

- Number of ha where pest management is applied; Target is 250 ha (200 ha wetland of Qionghai and 50 ha wetland of Baihetan).
- Percentage of pest management area where Integrated Vector Management is applied; Target is 60%.

D. Gender Mainstreaming Plan

(Approved by CI-GEF Project Agency 2017-12-19; Updated on 2018-03-12)

1. The Rationale of the GMP

Gender is a critical component in GEF-funded projects as it underlies many inequalities of power over, access to and decision-making around natural resources. Understanding who uses which resources, and how his/her life and livelihood may be impacted (positively or negatively) is critical to ensuring project activities do not cause undue harm to anyone, and at the same time, guides the development of socially beneficial and sustainable conservation initiatives.

To ensure that the project meets CI-GEF Project Agency's Gender Mainstreaming Policy, a Gender Mainstreaming Plan (GMP) is developed during the Project Preparation (PPG) phase of the project. The aim of the GMP is to identify needs and opportunities to mitigate potentially adverse effects of the project, in particular cultural compatible and economic benefits, on men and women, as well as promote gender equity throughout the project. The GMP will identify the main gender-related issues that impact (or are impacted by) the project, develop culturally-appropriate solutions to address those issues, and explain how those actions will be monitored.

2. Project Introduction

Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (hereafter shorten as "The project") aims to expand and strengthen wetland protected areas in Sichuan Province China and also to mainstream biodiversity conservation and sustainable utilization of wetland resources. The project will be implemented under the following components:

- Component 1: Strengthening Sichuan Province's institutional capacity on systematic planning and mainstreaming at provincial level to conserve and sustainably use wetlands resources. The focus of this component will be on strengthening Sichuan Province's institutional capacity to mainstream the conservation of wetland ecosystems and sustainable use of wetlands resources, and including biodiversity conservation into provincial development policies and plans.

- Component 2: Strengthening site level management and standards for wetland parks. This component will focus on strengthening site level management and improving standards for wetland park management at two wetland parks, namely:1) Qionghai Wetland Park, and 2) Baihetan Wetland Park. It will focus on mainstreaming biodiversity conservation and the sustainable utilization of wetland resources. The project will support planning and development of sustainable

wetland ecological industries by identifying products, production methods and markets. Wetland based livelihoods will be introduced to local communities by providing training, for example on skills, techniques and management. The rights of local communities to use wetland resources will be clarified, roles and responsibilities will be defined and conservation agreements will be signed between local communities and relevant government agencies over the rights of conservation and utilization of wetland resources. The project will also support the establishment of participatory management frameworks and guidelines for the two new wetland parks. Community conservation agreements will be signed and communities will be supported to provide management oversight through trainings to local communities on participatory management and encouragement to participate in protected area management.

As per the signed Safeguard Screening Results and Analysis, there is no risk that the project may infringe on men's or women's human rights, nor will it create, aggravate or perpetuate inequalities/conflicts between men and women within households and communities.
However, the project will impact men and women in different ways and there are plans to demonstrate gender mainstreaming through wetland conservation of both components.

- Component 1: Ensure that both men and women benefit from environmental education programs and ensure that public awareness campaigns on wetland conservation and sustainable use target both men and women.
- Component 2: Active participation of men and women will be encouraged both in the PPG phase and implementation phase, stakeholder consultations, the development of the conservation agreements and any discussions on resource use and access rights.

3. The General State of Gender

The general state of gender equality in the project areas is rather high compared to other areas, especially comparing to other parts of Sichuan. Both Chengdu and Xichang have been awarded by the central government for outstanding work in promoting equity between women and men as per comprehensive standards including education and employment. In 2016 in Xichang City, 1,600 women have been trained by the local Women's Federation on national, provincial policies and legislation relevant to gender equity. Women from across the city, including the government staff, farmers, businessmen, teachers, etc. participated. The city government has established a *Women's Home* in every administrative village, which could be used as an information or management platform to communicate and mobilize farmers during the project implementation, especially women in the villages.

The Women's Federation is the governmental organization in charge of ensuring women's equal positions and welfare for men and women. The Women's Federations in both Xichang and Xinjin have conducted some projects to support women's income-generating activities, for example providing micro-credit to women in rural areas. The Women's Federations in both Xichang and Xijing would be important partners for project implementation.

4. Project-Specific Gender Considerations

4.1 Evolving traditional industries after wetland park construction

Traditionally farmers have had multiple uses of wetland resources, such as fishing in the wetland, aquaculture, cultivation and animal husbandry. Men and women, either in Xichang and Xinjin, shared this work equally, with the exception of fishing. Fishing is usually undertaken by men, with some women helping their husbands on fishing boats or for seasonal employment. In general, women have the same economic position and decision-making power as men.

Due to the wetland park construction, farmers received compensation including houses and cash, according to household population and cultivated land area, and there was no difference in compensation between men and women.

Along with losing their access to wetland resources, the household economy has been transformed to tourism (home-stay) or non-farming employment (sanitation workers in the parks). The two non-traditional economic activities provide higher cash income than traditional fishing or farming. However, the changes of household economy have, in general, resulted in women having more advantages than men. For example, women usually take on responsibilities such as marketing, room preparation and front desk management, which are important in the tourism business and increase women's position in the family and society.

Correspondently, there are men, particularly those in the age range 45 – 55 and still strong enough to undertake income-generating work, that have difficulty in finding jobs in tourism, park management and other off-farm employment. Some have started to play cards or partake in other kinds of gambling to pass their time. Their esteem and social status has decreased since the park's construction. These 45 – 55 aged men would like to obtain certain rights to utilize wetland resources and rehabilitate traditional farming.

As well as being more successful with finding jobs in tourism and park management, most women still feel that working in these areas is not as hard as traditional fishing and farming.

4.2 Baseline data of gender

As per the requirement of CI-GEF Environment and Social Management Framework (ESMF), the project developed the following data as baseline for monitoring and evaluating the progress made by the project regarding gender equity.

- Information and communication
  35% of village heads of the administrative villages around the two wetland parks are aware of the GEF project. In the two areas, 8 – 10% village heads are women.
  Because the project is not formally launched and most farmers don't know about it, it is difficult to estimate the ratio of men and women who know the project well. However, at the very beginning of

the project implementation, once the demonstration villages have been selected, the project will start to establish sex-disaggregated data on villagers' awareness of the project.

- Number of men and women that participated in PPG phase activities of the GEF project

During the PPG phase, the project Executing Agency has conducted at least 9 meeting at the village level, namely:

1) Township and village heads of the ten administrative villages around Qionghai Wetland, August 28th, 2016, Xichang;
2) Township and village heads of the administrative village around Baihetan Wetland, September 5th, 2016, Xinjin;
3) Focus Groups of women from three 3 selected villages around Qionghai Wetland, Xichang, Feb. 15th, 2017, Xichang;
4) Focus Groups of two selected villages around Qionghai Wetland, Feb. 16th, 2017, Xichang;
5) Focus Groups of the villages around Baihetan Wetland, Feb. 18th, 2017, Xinjin;
6) Focus Groups of the villagers around Qionghai Wetland, April 23rd, 2017, Xichang;
7) Focus Groups of two selected villages around Qionghai Wetland, April 24th, 2017;
8) Focus Groups of the administrative village around Baihetan Wetland, April 25th, 2017, Xinjin;
9) Migrants for Baihetan Wetland Park construction, April 26th, 2017, Xinjin.

Altogether >310 participants attended these meetings, of which around 43% were women.

5. Strategies to Avoid Gender Inequality within Project

5.1 Objective Statement

The GEF project will provide equal access, opportunity, participation and benefit of sustainable wetland managemen for men and women.

In particular the GEF project has three specific objectives, namely:

- To establish a comprehensive information system regarding wetland resource management which includes information-sharing, opinion-collection, discussion and gender considerations.
- To assist both men and women to adapt and benefit from wetland park construction and management.
- To document project experience and lessons and conduct policy advocacy for gender inclusion in wetland management regulations.

To achieve the above objectives, gender will be incorporated in into the project documents including Project Context, Project Justification, Monitoring and Evaluation Plan, Project Budget and Financing.

5.2 Activities

- Formally launch of the project with the communities

The project management team and its local partners will visit all the relevant villages in the Qionghai and Xinjing-Baihetan Wetlands to launch the project. The launch could be conducted alongside village

cultural activities or regular village meetings. The GEF project information will be introduced to participants and their feedback will be collected. The opportunity to participate will be equal for both women and men.

- Train project staff and management teams of the two wetland parks

It is important for all the project staff and management teams of the two wetland parks to fully understand and appreciate the importance of gender issues to sustainable wetland management. The project will provide trainings to the groups mentioned above at the beginning of the implementation phase and it will be mandatory for all project staff and management teams. Experts will be hired to provide the training, which has been budgeted for in the first-year. Not only the CI-GEF policy but also positive and negative gender cases will be discussed among training participants.

- Ensure different interests of both men and women are incorporated into the negotiation of conservation agreements

The project aims to conduct 2-3 conservation agreements in Qionghai Wetland Park to promote community-based conservation and sustainable wetland resources utilization. Information will be provided to both men and women to ensure equal weight of opinions and access to decision-making. The conservation agreements will pay equal importance to gender advantages when designing conservation and livelihood activities.

- Design and set up a dynamic information system

The project will give high priority to providing equal project information to both men and women and ensuring both have equal opportunities to express their concerns. Effective discussion and communication will help the project to achieve better results.

A dynamic information system like a smartphone APP will be developed and promoted with all stakeholders of the two wetlands. In general, around 50% of mobile phone subscribers use smart-mobile. However, in Xichang the percentage is higher than the average of all China. The demands and habits of both men and women of different ages and educational backgrounds will be surveyed and addressed. Apart from project information being available via the APP, relevant government policies, plans and projects will also be available and the APP will encourage both men and women to put forward and discuss their opinions and comments.

- Develop special arrangements for gender issues

Special arrangements for gender issues will be developed. For example, organic farming and fishing will be piloted to address the concerns of the 45 – 55 age group of men who want to obtain certain rights to utilize wetland resources and rehabilitate traditional farming. Women will be provided with training on home-stays which will not only focus on increasing income but also on how to efficiently spend time in the tourism business.

- Document and advocate gender policy

For demonstration purposes, the project will allocate resources for experiences-learning and policy advocacy. Case studies, workshops, and publications will be used to document the project results and enhance the project's impacts on other wetlands.

6. Monitoring & Evaluation of Gender

6.1 Monitoring & Evaluation Methodology

The project will employ the Participatory Monitoring & Evaluation approach. A Monitoring & Evaluation team composed of representatives of the key stakeholders will be established. The ratio between men and women will be roughly 1:1. The team will be responsible for monitoring and evaluating the impact of the project on gender. Knowledge about gender will also be delivered to the team at the beginning of the implementation phase.

6.2 Monitoring & Evaluation Indicators

The following indicators have been developed to assess the impact of the project on gender:

- Number of men and women that participated in project activities including meetings, workshops and consultations (ratio of men and women participating in an activity conducted by the project); target is 55:45.
- Number of men and women that received benefits (including employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment and/or leadership roles from the project); target is Men: 1,710 and Women: 1,390
- Number of strategies and plans (e.g. management plans) derived from the project that include gender considerations. Target is 3.

E. Accountability and Grievance Mechanism

(Approved by CI-GEF Project Agency 2017-11-17; Updated 2018-03-12)

1. The Main Purpose of the Accountability and Grievance Mechanism

Based on the accreditation requirements as a Project Agency of the GEF, CI-GEF projects must have a system to ensure enforcement of its environmental and social safeguard policies and to provide for the receipt of, and timely response to, resolution of complaints from parties affected by the project.

Sichuan Finance Bureau, Sichuan Forestry and Grassland Bureau, and CI-China, the Executing Agencies for the CI-GEF project "Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province" have devised an Accountability and Grievance Mechanism so that local communities and other stakeholders may raise a grievance at any time to the Executing Agencies, CI or the CI-GEF Project Agency about issues related to the execution of the project and the environmental and social safeguard plans. Affected communities will be informed about the mechanism and given contact information of the relevant people in the respective organizations.

The Accountability and Grievance Mechanism is not intended to replace project and country level dispute resolution and redress mechanisms. The mechanism is designed to: a) Provide an accessible, independent, transparent and effective way for affected people to address potential breaches of CI-GEF's policies and procedures; b) Keep complainants informed of progress with cases brought forward; and c) Maintain records about all issues brought forward for review. The grievance mechanism is in place for project-affected communities to raise any grievances and for implementation partners to respond accordingly.

2. Brief Introduction of the Project

Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (hereafter shorten as "The project") aims to expand and strengthen wetland protected areas in Sichuan Province China and also to mainstream biodiversity conservation and sustainable utilization of wetland resources. The project has two main components and focuses on strengthening site level management and standard raised for two wetland parks, namely:1） Qionghai Wetland Park, and 2) Baihetan Wetland Park. Qionghai Provincial Wetland Park was established in 2011 and promoted to a National Wetland Park in 2014. Baihetan Wetland Park was recognized as a National Wetland Park at its establishment.

3. Possible Grievances Generated from the Project Implementation

- Asymmetry of Project Information

The project plans to provide relevant documents to as many communities and households as possible. However, providing adequate information to farmers is not straightforward and it is likely that some communities and households will not receive enough information and have grievances.

- Lack of transparency in decision-making, especially regarding community and household selection

Due to limited resources, the project can select only one village for the demonstration projects. Those communities nearby and not selected might have grievances.

Even within the communities selected, not all the households will be able to participate or receive the benefits associated with the project due to limited resources, which might cause some discontent. There will be consultations with the villages and, together, decisions will be made on the criteria for selection of households to participate in the project. If the selection process is open, transparent and involves the local community, the risk will be minimised of households feeling uncomfortable or that the process is unfair.

- Accidental losses, for example natural disasters

Wetlands are easily affected by natural disasters such as flooding, drought and landslides, which can lead to unexpected losses and potential grievances.

3. Accountability and Grievance Mechanism

The project will implement the following Accountability and Grievance Mechanism:

- Appoint the key contact people at each level

  The following will be the key contact persons for potential grievances during implementation of the project.
  - Miss. Li Huan, staff, Center for Qionghai Wetland Conservation, 0834-6102077 (Office);
  - Miss. Hu Xiaoyan, Vice Director, Baihetan Wetland Management Bureau, 028-82513245(Office);
  - Mr. Chen Jianyun, staff, Xichang Forestry Bureau, 0834-2162632 (Office);
  - Ms. Zhang Xiaorong, staff, Liangshan Prefecture Forestry Bureau, 0834-2166273 (Office);
  - Mr. Tang Ronghua, staff, Sichuan Forestry and Grassland Bureau, 028-83364052 (Office);
  - Ms. Zhang Yu, Conservation International China Office, 010-85236500 (Office);
  - Director of Compliance, Conservation International (USA), https://secure.ethicspoint.com (Website)

- Inform project-affected parties about the Accountability and Grievance Mechanism

  The contact information will be available in the office of the village where the project implemented. Furthermore, the contact information will be repeatedly provided to community and farmers during every activity conducted in community.

An APP (software applied on a mobile phone) will be developed to improve the communication between the Wetland Administration/Conservation departments and communities.

- Inform stakeholders of the Free and Prior Informed Consent (FPIC) policy.
  FPIC will be a focus when passing project information to communities.

- Document and analyze complaints

Grievance often reflects a communication gap between the project and stakeholders. Although it is unlikely to be able to satisfy all stakeholders, the project would document every grievance and carefully and comprehensively analyze the context and reasons during the annual monitoring and final evaluation processes. The project grievances and their responses would be an important output of the project. The following elements should be part of the documentation process: 1) a grievance log book or complaint form would be used to record grievances in every administrative village; 2) The project manager will be responsible for the grievance mechanism. If it is a relatively minor matter, the project manager may delegate to field staff. And if it is an important matter with wide implications, the issue should be reported to the Project Steering Committee for resolution; and 3) the complainant should receive feedback or resolution within 10 working days of receipt of the complaint. If the complainant is not satisfied with the resolution, he/she may contact:

- Ms. Zhang Yu, Conservation International China Office, 010-85236500 (Office);
- Director of Compliance, Conservation International (USA), https://secure.ethicspoint.com (Website)

4. Monitoring

The following CI-GEF Indictors will be reported on annually:

- The number of conflict and complaint cases related to CI-GEF project reported to the project's Accountability and Grievance Mechanism; Target is <5
- The number of conflict and complaint cases reported to the projects Accountability and Grievance Mechanism that have been resolved to the satisfaction of the complainant; Target is 100%.

F. Stakeholder Engagement Plan

(Approved by CI-GEF Project Agency 2017-10-27; Updated 2018-03-12)

1. Introduction

1.1 The Stakeholder Engagement Plan

The *Stakeholder Engagement Plan* (SEP) includes differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable. It should: 1) Describe CI-GEF requirements for consultation and disclosure; 2) Identify and prioritize key stakeholder groups; 3) Provide a strategy and timetable for sharing information and consulting with each of these groups; 4) Describe resources and responsibilities for implementing stakeholder engagement activities; 5) Describe how stakeholder engagement activities will be incorporated into a management system; and 6) The scope and level of detail of the plan should be scaled to fit the needs of the project.

1.2 Brief Introduction of the Project

Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (hereafter shorten as “The project”) aims to expand and strengthen wetland protected areas in Sichuan Province China and also to mainstream biodiversity conservation and sustainable utilization of wetland resources. The project has two main components and focuses on strengthening site level management and raising standards for two wetland parks: Qionghai Wetland Park, and Baihetan Wetland Park. The project will also support the establishment of participatory management frameworks and guidelines for the two new wetland parks. Community conservation agreements will be signed, and communities will be empowered to manage wetland resource for sustainable utilization.

1.3 A Category C Project

According to the CI-GEF Project Agency Safeguard Screening and Analysis, the project is classified as Category C, which means it is likely to have minimal or no adverse environmental and social impacts. Beyond safeguard screening, no further ESIA action is required for Category C projects.

1.4 Map of the Project Site and Surrounding Area

2. Policies and Requirements

The requirements developed by CI-GEF pertaining to stakeholder engagement applicable to the project are summarized below.

- To seek and incorporate the knowledge and contributions of partners and stakeholders to ensure that CI's work and projects result in lasting and fundamental improvements for nature and human well-being.
- To identify the range of stakeholders that may be interested in their actions and to involve key stakeholders in project design and preparation processes;
- To ensure that stakeholders are informed and provided with information regarding project activities, and that stakeholders' views and concerns are taken into account by the project and are known by key decision makers.
- To continue consultations throughout project implementation, monitoring and evaluation, as necessary, to ensure project adaptive management and proper implementation of environmental and social safeguard plans.
- To involve public consultation and disclosure requirements related to the social and environmental assessment process.
- To include the minimum indicators at both PPG and Implementation Phases.

3. Summary of Previous Stakeholder Engagement Activities

The project's GEF Agency, Conservation International, and its Executing Agencies/Partners, Sichuan Department of Finance and Sichuan Forestry Department(Sichuan Forestry and Grassland Bureau)and

Conservation International China, have conducted a series of stakeholder engagement activities since 2014, which are summarized below.

- Jointly develop project concept note (Project Identification Form)

- Type and forms of information disclosed, and how it was disseminated

In general, the project Executing Agencies have placed high importance on providing adequate project information to their partners at the local level in both Xichang City and Xinjin City, particularly the Center for Qionghai Wetland Conservation and the Administration of Baihetan Wetland National Park. The relevant government departments such as the forest departments at both city/prefecture level and county levels as well as the Administration of Qionghai Wetland National Park have been provided with project information and some local NGOs and schools also received relevant project information.

Given that the documents generated during the PPG phase, for example the logical framework, are not appropriate for reading by local stakeholders, the Executing Agencies disclosed most project information orally. The project Executing Agencies held several meetings with the heads and representatives of the focus groups from most villages around the two wetlands.

The project information was not uniformly shared among the stakeholders; in general, village heads know more than the normal villagers.

- There were at least 17 formal meetings between stakeholders and the project Executing Agencies, namely:
    1) Forestry Bureau of Liangshan Yi nationality Autonomous Prefecture, March. 20th, 2015, Xichang;
    2) Administration of Xichang City, Forestry Department of Xichang, Administration of Qionghai Wetland Park, March 21st, 2015, Xichang;
    3) Administration of Xinjin County, March 25th, 2015, Xinjin;
    4) Forestry Department of Chengdu City, March 27th, 2015, Chengdu City;
    5) Administration of Xichang City, Forestry Bureau of Xichang, Administration of Qionghai Wetland Park, August 28th. 2016, Xichang;
    6) Forestry Bureau of Xinjin County, September 3rd, 2016, Xinjin;
    7) Administration of Xichang City, Administration of Qionghai Wetland Park, November 10th, 2016, Xichang;
    8) Administration of Xichang City, Forestry Bureau of Xichang, Tourism Bureau of Xichang City, Administration of Qionghai Wetland Park, Feb. 15th, 2017, Xichang;
    9) Focus Groups of 3 selected villages around Qionghai Wetland, Xichang, Feb. 15th, 2017, Xichang;
    10) Focus Groups of 2 selected villages around Qionghai Wetland, Feb. 16th, 2017, Xichang;
    11) Focus Groups of the villages around Baihetan Wetland, Feb. 18th, 2017, Xinjin;
    12) Focus Groups of the villagers around Qionghai Wetland, April 23rd, 2017, Xichang;
    13) Focus Groups of 2 selected villages around Qionghai Wetland, April 24th, 2017;
    14) Focus Groups of the administrative village around Baihetan Wetland, April 25th, 2017, Xinjin;
    15) Migrants for Baihetan Wetland Park construction, April 26th, 2017, Xinjin.

Furthermore, there were informal meetings among the governmental organizations in the last 2 years.

- The project consulted the following individuals, groups and organizations.
  1) Representatives of 11 villages around Qionghai Wetland, representatives of one village around Baihetan Wetland, representatives of migrants for Baihetan Wetland Park construction, altogether about 170 people visited.
  2) Local NGOs like the Birders' Association of Chengdu, the Amateur Photographers' Association of Xichang, altogether about five local NGOs consulted.
  3) Two primary schools in Xichang and Xinjin.
  4) Governmental organizations at the city and county levels, both in Xichang and Xinjin, such as the Women's Federation, Forestry Association, Wildlife Conservation, etc.
  5) Scientific and academic organizations in both Chengdu and Chongqing such as Sichuan University, Chongqing University, Sichuan Academy of Forestry, Sichuan Academy of Social Science, etc.

- Key issues discussed and critical concerns raised;

The following issues and key concerns were raised from stakeholder consultations.

1. How to seek and incorporate the knowledge and contributions of partners and stakeholders
   First, partners and stakeholders should have a full understanding of the project ideas, concepts, and be encouraged to promote their own traditional knowledge and native technologies, especially farmers who have long history of utilizing wetland resources.
   Second, equal information should be available to farmers, technicians of local partners and scientists engaged by the projects.
   Third, timing; the project should allocate enough time for partners and stakeholders to discuss and go through procedures.

2. How to ensure that stakeholders are informed about project activities, and that stakeholders' views and concerns are taken into account by the project and are known by key decision makers.
   First, the project documents generated during PPG Phase are too complicated for local partners to understand, in particular the two administrations of the wetlands.
   Second, farmers' views or responses relevant to wetland conservation might not directly address the projects' requirements because the basic knowledge of both sides might be different.

3. How the Executing Entity responds to issues raised, including commitments and follow-up actions.

The Executing Entity recognizes that the issues and concerns of stakeholders are highly relevant to the project preparation and implementation and a higher priority should be given to addressing them. Promoting staff capacity to understand those issues and concerns and then to take initiatives for reformation is critical for the project implementation.

4. Project Stakeholders

The important stakeholders of the project include the wetland park management team, local communities, research institutions, local forestry bureau, local environment protection bureau, the tourism bureau and other local government agencies.

4.1 Wetland Park Management Team

- Center for Qionghai Wetland Conservation
  The center is the most important partner of the project. Center for Qionghai Wetland Conservation has a strong interest in learning from external experience and to take initiatives to improve the quality of the wetland ecosystem as well as the aim to be the best demonstration of wetland management among China's national wetland parks. The center has no land tenure in and around the wetland. Comparing the center director's ambitious vision, the level of staffing is not adequate, and the budget is limited.
- Administration of Qionghai and Lushan Mountain Park
  This organization has the authority to make decisions about management affairs within the wetland park on behalf of the Xichang City Government. It promotes tourism at both Qionghai and Lushan Mountain, which have both common interests and conflicts with wetland conservation.
- Xichang State-Owned Assert Management Limited
  The company was established by the Government of Xichang City and owns all of the land of Qionghai National Wetland Park, most of which was purchased from the farmers. The company is responsible for the day to day operation of tourism in the wetland.
- Park Administration of Baihetan Wetland
  The park administration is the corresponding organization of Center for Qionghai Wetland Conservation in Xinjin. However, the administration in Xinjin has the right of law-enforcement and therefore has a bigger influence than the center in Xichang.

4.2 Local Communities

- <u>Farmers living around Qionghai Wetland</u>

  Qionghai Wetland is located in a basin which is suitable for farming. The Han-Chinese people have lived there and conducted farming for > 1600 years. After conducting a Rural Rapid Appraisal, we make a judgment that the majority of the 98,000 farmers who live around the wetland are Han-Chinese and they are indigenous people of the lakefront areas adjacent to Xichang-Qinghai Wetland. Due to the ideal agricultural conditions and good access to the markets in Xichang City, these farmers traditionally planted profitable cash crops and are generally thought to be richer than those farmers living in the uplands. Off-farm employment is also common among these households.

  Although the construction of the Qionghai Wetland Park has reduced the negative impacts of natural disasters on the Indigenous People, farmers have found their access and links to the

wetland seriously deprived or weakened due to loss of land and loss of formal and informal utilization of wetland resources.

- Farmers living in the upper watershed of Qionghai Wetland

  These are Yi People who have accumulated abundant knowledge and experience about maintaining subsistence livelihoods upstream of the three rivers feeding the Qionghai Wetland. This are is mountainous with a harsh environment and poor natural condition.

  From local chronicles, we found that the Yi People have lived in the upland around Qionghai Wetland for at least as long as the Han-Chinese appeared on the plain. Traditionally, the Yi Peoples' livelihood depends on a mixture of animal husbandry and extensive cultivation. Due to the harsh natural conditions, the Yi People have successfully maintained the boundary between the Yi and their Han-Chinese neighbors.

  There are about 30,000 – 40,000 Yi People living in the four mountainous townships around Qionghai Wetland. According to official statistics, the Yi people's annual income from 2013 – 2016 was only 50% - 60% of the average in Xichang City and only 35% - 40% of those farmers living in or around the wetland.

  Many local officers, scientists, citizens and farmers blame landslides and erosion on the Yi people's extensive cultivation and animal husbandry, despite the fact that the Yi People suffered more from natural disasters, not only in term of animals, properties, houses and human life but also from land collapses.

  A logging ban began in 1998 and, together with national ecological construction programs like the *Natural Forest Protection Program*, the *Grain for Green Program*, this has greatly improved the vegetation of the upper watershed of Qionghai Wetland. Landslides and erosion have been reduced or controlled. In the recent 3 – 5 years, the Central Government has invested huge funds and mobilized massive human resource to tackle poverty-reduction. The living conditions of the Yi people have improved significantly.

- Farmers living in Baihetan Wetland Park

  127 people of 65 households have been resettled due to the establishment of the Baihetan Wetland Park. Baihetan Wetland is adjacent to the government-planned New Xinjin City. Those resettled households have been given the same compensation conditions as those resettled due to urbanization. For background, farmers usually receive more favorable compensation conditions if their resettlement is caused by urbanization, compared with other reasons, such as infrastructure construction, nature reserve establishment, etc.

  However, there are still 32 people of 8 households remaining within the planned boundary of the wetland park. These Han-Chinese households have a long history of utilizing the wetland for

multiple uses, though the harvest from marginal land is unstable. The municipal government of Xinjin City has begun negotiations with these households but compensation agreements have not yet been reached.

4.3 Research Institutions

- Sichuan Institute of Forestry Investigation and Planning
  Key partner in project implementation and management of the project, drafting the project framework, coordination with local government agencies, monitoring and evaluation of the project and project promotion at the provincial level
- Universities and Research institutions
  Partners in providing technical assistance, including carrying out baseline surveys, conservation action plans, and research on species. Currently the universities and research institutions showing interest in participating in the project implementation are listed below, namely: 1) Xichang College; 2) Sichuan Agricultural University; 3) Sichuan Academy of Natural Resources; 4) the Hydro-biological Institute of Wuhan, Chinese Academy of Science; 5) Institute of Mountain Hazards and Environment, CAS; 6) the National Center for Highland Wetland Research; 7) Mianyang Normal School, and 8) Beijing Normal University.

4.4 Forestry and Grassland Bureau

- Sichuan Forestry and Grassland Bureau
  Responsible for planning and managing the provincial Protected Area system, and conservation of fauna and flora in the province. Also responsible for wetland management. The Provincial Forestry Department will be the main executing agency of the project and will play the lead role in project implementation, management and coordination.
- Sichuan Center for Wetland Conservation
  Key partner in project implementation, drafting the project framework, project promotion and public communication and awareness raising.
- Forestry Bureau of Xichang City
  Key partner in project design, formulation and implementation. Also for planning and site management, outreach and work with local communities.
- Xinjin County Forestry Bureau
  Key partner in project design, formulation and implementation. Also for planning and site management, outreach and work with local communities.

4.5 Local Environment Protection Bureau

- Xichang and Xinjin Environment Protection Bureau
  The two XEPB are responsible for the environment quality of the two wetlands in Xichang and Xinjin, including quality of air, water, earth and sewage and garbage treatment and is the project's critical partner to address threats to the wetland.

4.6 NGOs

- The Birders Association
  There are more and more birders in Chengdu City and Xichang City. The Birders Association has been established in the two cities for more than 10 years. The birders have an interest and opportunities to monitor the status of birds as well as the overall quality of the two wetlands. They are also potential volunteers for project implementation.
- Local schools
  There are 3 – 4 primary schools and 2 middle schools located close to Qionghai Wetland, and 1 primary school close to Baihetan Wetland. According to the curriculum issued by the government at various levels, these schools place an increasing importance on environment education and help their students to understand and appreciate local ecosystems.
- World Wide Fund For Nature (WWF) China Programme
  WWF is one of the world's largest and most respected independent organizations dedicated to the conservation of nature. WWF has been active in China since 1980, when it was invited by the Chinese government as the first international NGO to work on nature conservation. The Beijing office opened in 1996, and there are now 8 additional field program offices spread across China. WWF China Programs has shown a strong interest in conducting environment education in Qionghai Wetland.

4.7 Other Local Government Agencies

Besides the forestry bureaus and wetland administrations, there are also some local government agencies which have a stake in project implementation, namely, 1) The local Water Affairs Management Bureau, which is responsible for water control and regulation; 2) The local Land and Resource Bureau, which is in charge of planning and zoning; 3) Township Governments, responsible for the overall development of communities; 4) The local Meteorological Bureau, which can provide weather data and information; 5) The local Tourism Bureaus, which are the authorities for tourism planning and management in the wetland parks; 6) The local Agricultural Bureaus, which are in charge of planting and animal husbandry in and around the wetlands.

5. Stakeholder Engagement Plan

5.1 Stakeholder meetings and Consultants' visit conducted during PPG Phase

In the PPG phase, the project Executing Agencies have held at least 17 stakeholder meetings in the two wetland parks, Xichang and Xinjin respectively. The two main local partners, namely the Center for Qionghai Wetland Conservation and the Administration of Baihetan National Wetland Park, also introduced the project to the heads of the villages, schools, NGOs and local government departments.

5.2 Differentiate stakeholders into groups and take different but relevant approaches

With the identification of stakeholders and follow-up communication during the PPG phase, the project Executing Agencies have classified stakeholders into seven categories, namely: 1) The Wetland Park

Management Team; 2) Local communities; 3) Research Institutions; 4) Forestry Departments; 5) Local Environment Protection Bureaus; 6) NGOs; 7) Other Local Government Agencies.

Each group of stakeholders have their own interests and unique views. Ideally project activities during the implementation phase should involve representatives of the seven groups so as to enhance the effectiveness and sustainability of the project. According to our previous surveys, stakeholders like to work together with other stakeholders in different groups. Therefore, the project shall promote cooperation among stakeholders, in particular among those in the different groups listed above.

The education background and experience of the stakeholders vary greatly, so tailored communication approaches should be employed. Comparatively, communities have a lower literacy and therefore a greater difficulty in understanding formal documents. Focus group meetings should work hard to meet farmers' preferences. While for those with a higher literacy or a greater scientific background, the inclusion of different subjects and views are important.

Stakeholders within one specific group may compete for project resources. They may also have pre-existing conflicts. Due to the limited project resources, the project can only address those areas which may cause new conflicts or sharpen historic conflicts. A transparent information disclosure system and participatory decision-making mechanism shall be established by the project at beginning of implementation.

5.3 Establish a participatory decision-making mechanism

The project Executing Agencies strongly believe that the best way to ensure contributions from, and benefits for, stakeholders is to establish a participatory decision-making mechanism.

All the project procurement procedures, in particularly purchasing communities' services and non-reimbursable assistance, from designing, publicity, decision-making, to implementation, until the final effectiveness assessment, should involve representatives of stakeholders. Transparency will be the most critical principle during the project implementation.

The above participatory mechanism shall be developed in the project management system and then used with the demonstration villages selected by the project.

5.4 Build the Executing Agencies staffs' awareness and capacities

The success of stakeholder engagement will depend on the attitude and capacity of the staff implementing the Stakeholder Engagement Plan. The project gives high importance to enhancing staffs' understanding and appreciation of stakeholder participation and capacity to communicate with the stakeholders. During the implementation phase, timely training and reviews will be conducted to build awareness and capacity of the executing agencies' staff.

5.5 Prioritise gender mainstreaming and disadvantaged groups

It is clear that inequity exists among stakeholders of the project. As per the analysis of the Gender Mainstreaming Plan, women living in or around the two wetlands, in general, have equal rights to men in terms of utilizing wetland natural resources. Because tourism is rapidly developing, women's strengths in cooking, sanitation, cultural performance etc. are increasing their importance and relative positions in the household economy.

There are some households, whose income depends on wetland resource utilization. However, as land around the wetland has been transferred from farmers to the wetland parks, these households have not only lost their traditional livelihoods but also have difficulties transforming to new ways of making a living. The project prioritises those households having difficulty transforming their livelihoods after losing their land. In the implementation stage, the project will focus on supporting these kinds of disadvantaged stakeholders to rehabilitate farming.

6. Methods used to consult with the stakeholder groups

6.1 Combination of Semi-Structured Interviews and Questionnaire Survey

To collect more information and objectively understand stakeholders' views, the project plans to employ both semi-structured interviews and questionnaire surveys at the beginning of project implementation. Experts will design and train the staff of local project partners, in particular the Center for Qionghai Wetland Conservation and the Administration of Xinjin-Haihetan National Wetland Park, to conduct the semi-structured interviews and questionnaire surveys. Furthermore, training on Participatory Rural Appraisal will be introduced.

6.2 Focus Group Discussions

Focus Group Discussion will be applied to collect information from target stakeholders. During the implementation phase, the project will also use Focus Group Discussions to support detailed project design and evaluation. Both the farmers who use the wetland resources and the stakeholders who have potential for cooperation will be invited to discuss specific issues identified.

6.3 Conservation Agreements

The concept of Conservation Agreements is an approach to engage communities to conduct conservation actions together with outsides partners. Conservation International introduced Conservation Agreements into China 11 years ago and has accumulated vast experiences on applying this approach. Conservation Agreements might be signed between the two main local project partners, namely the Center for Qionghai Wetland Conservation and the Administration of Baihetan National Wetland Park and communities. A transparent procedure, to select communities and conduct negotiations between project partners and communities, is critical when employing Conservation Agreements.

7. Description of any other engagement activities that will be undertaken

How to organize farmers and to promote their collective actions for sustainably utilizing natural resource is always an issue for projects such as *Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China.*

As per the experience of Conservation International, the project plans to empower the village leaders to encourage villagers to participate in the project's implementation.

In order to engage community leaders to participate actively, the project plans to provide Participatory Rural Surveys in the selected villages around the wetland and to identify community leaders who have an interest and the capacity to lead villagers to utilize wetland resources in sustainable patterns. A study tour will be arranged to build trust and a common understanding between the project's Executing Agencies, their local partners and those community leaders.

8. Timetable, Resources and Responsibilities

8.1 Develop Project Communication Strategy

- Dates: the 2nd month of implementation
- Location: Chengdu
- Responsible Staff: communication officer of the Executing Agencies
- Resources required: RMB 5,000

8.2 Build project staff's awareness and capacities

- Dates: the 2nd- 3rd month of implementation
- Location:Chengdu, Xichang, Xinjin
- Responsible Staff: Community-Based Conservation & Development Expert
- Resources required: RMB 15,000

8.3 Develop and distribute project publicity materials

- Dates: the 3rd- 5th month of implementation
- Location:Chengdu, Xichang, Xinjin
- Responsible Staff: communication officer of the Executing Agencies
- Resources required: RMB 50,000

8.4 Develop wetland resource utilization APP

- Dates: the 3rd- 5th month of implementation
- Location:Chengdu
- Responsible Staff:communication officer of the Executing Agencies
- Resources required: RMB 80,000

8.5 Establish participatory decision-making mechanism

- Dates: the 4th month of implementation
- Location:Xichang, Xinjin
- Responsible Staff:Community-BasedConservation& Development Expert

- Resources required: RMB 20,000

8.6 Conduct PRA training in selected villages including Semi-Structured Interview, questionnaire survey, focused group discussion

- Dates: the 4th- 5th month of implementation
- Location:Xichang, Xinjin
- Responsible Staff:Community-Based Conservation & Development Expert
- Resources required: RMB 50,000

8.7 Conduct Annual Stakeholder Meetings

- Dates: every November of implementation
- Location:Xichang, Xinjin
- Responsible Staff:Community-Based Conservation & Development Expert
- Resources required: RMB 15,000 per year

8.8 Participatory Monitoring

- Dates: every December of implementation
- Location:Xichang, Xinjin
- Responsible Staff:Community-Based Conservation & Development Expert
- Resources required: RMB 15,000 per year

9. Grievance Mechanism

To address the grievances associated with its implementation, the project has appointed key contact people at various levels to receive and investigate stakeholders' grievances. During the project implementation phase, an annual meeting with the participation of representatives of all stakeholders will be conducted and the grievances put forward will be discussed.

10. Monitoring and Reporting

10.1 Participatory Monitoring

The process and methodology to be used by the project is based on the prior experience of the external facilitators and documented approaches used by various organizations. The Core Monitoring Team is the main group responsible for the design and implementation of the process, the analysis of the findings and the development of the recommendations. While the process has been initially designed by the external facilitators engaged by the project, it was discussed and agreed with the Core Monitoring Team so that it would be a collectively owned process. Similarly, all findings were shared with the team and most recommendations were discussed and agreed within the team. The external facilitators managed the process and provided ideas and inputs for discussion at various stages – this included putting forward recommendations for discussion by the group.

10.2 Reporting

The Core Monitoring Team will conduct participatory monitoring every six months. The main findings will be documented and summarised into a monitoring report which will be sent out to all stakeholders of the project.

The following indicators will be monitored and reported to the CI-GEF Agency:

- Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase on an annual basis; target is 7
- Number of persons (disaggregated by sex) that have been involved in the project implementation phase (on an annual basis); target is 600 persons with at least 35% women
- Number of engagements (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase (Twice a year); target is 10
- Percentage of stakeholders who rate as satisfactory the level at which their views and concerns are taken into account by the project; target is 80%

Appendix VII: Detailed Project Budget

GEF FUNDED BUDGET			Project budget by component (in USD)			
EXPENSES TYPE	*DESCRIPTION*	*DETAILED DESCRIPTION*	Component 1	Component 2	Project Management Costs	Total
Salaries and benefits	*Project Manager*	*Technical Leadership for Project Implementation and Safeguards Implementation*	180,000	110,910	-	290,910
Salaries and benefits	*Finance Officer*	*Finance and Procurement Oversight of the Project*	28,390	28,493	70,400	127,283
Salaries and benefits	*Project Coordinator*	*Support Project Manager to implement the project and safeguards activties*	78,690	103,130	-	181,820
Salaries and benefits	*Project Assistant*	*Support Project Coordinator and Project Manager in implmenting the project*	78,860	43,923	-	122,783
Salaries and benefits	*M&E/Safeguade Specialist*	*Provide saftey - managing stakeholder engagement, indigenous peoples, grievance mechanism, pest (agrochemicals), restriction of access to and use of natural resources (and ensuring no resettlement takes place), and gender mainstreaming*	34,811	81,060		115,871
Total Personnel Salaries and Benefits			400,751	367,516	70,400	838,667
Consultants fees - National	*1.1.1. Gaps in provincial policy, legislation and regulations for wetland conservation are identified and policies, laws and regulations drafted and approved by relevant government agencies.*	*National mainstreaming specialist. Total 40 days @ $200*	8,000	-	-	**8,000**
Consultants fees - National	*1.1.2. Provincial inter-sectoral coordination mechanisms established with wetland biodiversity and resource conservation mainstreamed into provincial development and land use policies and plans.*	*National mainstreaming specialist. Total 100 days @ $200*	20,000	-	-	**20,000**
Consultants fees - National	*1.2.1. Management plans and yearly operation plans with rational resource allocations -including human, financial, technical resources are completed and implemented for two wetland parks (Qionghai and Baihetan).*	*Biodiversity conservation and management planning specialist. Total 200 days @ $200*	40,000	-	-	**40,000**
Consultants fees - National	*1.2.2. Monitoring systems to evaluate the status of wetland ecosystem and biodiversity of the provincial-wide wetlands implemented systematically and results used to improve provincial policies and plans.*	*Technial service provider.Total 440 days @ $200*	88,000	-	-	**88,000**
Consultants fees - National	*1.3.1. Environment education programs, designed and implemented at the provincial level, using Qionghai and Baihetan wetland parks as demonstration platforms.*	*Technial service provider.Total 420 days @ $200*	84,000	-	-	**84,000**
Consultants fees - National	*2.1.1. Direct and indirect threats to wetland protected areas assessed and expansion and consolidation plan for wetland protected areas developed in Sichuan Province.*	*Technial service provider.Total 283 days @ $200*	-	56,600	-	**56,600**
Consultants fees - National	*2.1.2. Sichuan's Network for wetland protected areas established and supported by government to promote best practice.*	*Wetland conservation and management planning specialist. Total 30 days @ $200*	-	6,000	-	**6,000**
Consultants fees - National	*2.2.1. The pilot wetland park master plan and the wetland conservation and restoration plan are prepared and approved.*	*Technial service provider.Total 329 days @ $200*	-	65,800	-	**65,800**
Consultants fees - National	*2.2.2. Pilot communities in the two wetland parks are identified and livelihood needs, resource use, environmental carrying capacity and potential for wetland sustainable products assessed.*	*Community alternative development specialist. Total 120 days @ $200*	-	24,000	-	**24,000**
Consultants fees - National	*2.2.3. Sustainable wetland agriculture production/livelihood systems -pollution-free, green-labelling, organic products, etc. - successfully implemented via conservation agreements with local communities and relevant government agencies.*	*Wetland resource sustainable utilization specialist. Total 60 days @ $200*	-	12,000	-	**12,000**
Consultants fees - National	*2.2.6. Two-way information exchange improved between the wetland park administration and the community including the establishment of a smooth accountability and grievance mechanism.*	*Application software development specialist. Total 100 days @ $200*	-	20,000	-	**20,000**

Consultants fees - National	*Support implementation of safeguard plans*	*National and local safeguard plan specialists. Total 80 days @ $200 from Year 1- 5.*		16,000		**16,000**
Consultants fees - National	*Independent External Mid-term Review for M & E*		20,000	-	-	**20,000**
Consultants fees - National	*Independent External terminal Review for M & E*		20,000	-	-	**20,000**
Consultants fees - National	*GEF Focal Area Tracking Tools for M & E*		-	8,000	-	**8,000**
Consultants fees - National	*Lessons Learned and Knowledge Generation for M & E*		-	28,000	-	**28,000**
Consultants fees - National	*Financial Statements Audit for M & E*		-	-	40,000	**40,000**
Consultants fees - National	*Social Impact Assessment*	*National and local safeguard plan specialists. Total 35 days @ $200 at Year 4.*		7,000		**7,000**
Other fees / professional services	*Translation services for project documents/reports*		30,000	30,000	-	**60,000**
Recruitment Fees	*HR Service*	*SFGB will use HR Service Agency for hiring staff. Total: $15/person.month * 5 persons * 12month* 5 year=$4,500.*			4,500	**4,500**
Total Professional Services			**310,000**	**273,400**	**44,500**	**627,900**
International Transportation	*International airfare for Project Manager, Coordinator, and Assitant*		6,159	7,528	-	**13,687**
Lodging / meals / perdiem	*Lodging & meals for International travel for Project Manager, Coordinator, and Assitant*		3,825	4,675		**8,500**
Local transportation	*Domestic airfare for Project Manager, Coordinator, and Assitant*		37,168	45,428		**82,596**
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for Project Manager, Coordinator, and Assitant*		26,481	32,366		**58,847**
Local transportation	*Domestic airfare for PMO (program management office)*		2,873			**2,873**
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for PMO*		829			**829**
Local transportation	*Domestic airfare for Study Tour*					
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for Study Tour*					
Total Travel and Accommodations			**77,335**	**89,997**	**-**	**167,332**
Transportation and accommendations	Inception workshop for M & E	Invited Specialists: Total 5 persons @ $100	500	-	-	500
Lodging / meals / perdiem		Participants: Total 50 persons @ $15	750			750
Conference room rental		Room rental and background Board decoration	750			750
Conference room rental	Project Steering Committee Meetings for M & E	Room rental: $420	2,100			2,100
Lodging / meals / perdiem		Participants: Total 30 persons @ $10	1,500			1,500
Transportation and accommendations	PAR-Programme Steering Committee Meeting (5th Year	Vehicle rent: Total $500@ 2 vehicles@ 2days	2,000			2,000
Lodging / meals / perdiem		Total: $60 @ 60persons @ 3days	10,800			10,800
Conference room rental		Room rental and background Board decoration	1,200			1,200
Venue Rental		Total $300 per day @ 3days @ 43 workshops	25,200	13,500		38,700
Transportation		Total $20 per person @ 43 workshops @ 30 participants	16,800	9,000		25,800
Lodging / meals / perdiem	43 Training Workshops (28 workshops for C1, 15 workshops for C2)	Total $45 per person @ 3 days @ 43 workshops @ 30 participants	113,400	60,750		174,150
Consultancy Fees for trainers		Total $150 per day @ 3 days @ 30 participants @ 43 workshops	12,600	6,750		19,350
Training Materials		Total $30 per person @ 30 participants @ 43 workshops	25,200	13,500		38,700
Local transportation	*Domestic airfare and local transportation for Domestic Study Tour*	Total 15 participants@ $640 @ 4 times		38,400		38,400
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for Domestic Study Tour*	Total 15 participants@ $75 @7days @ 4 times		31,500		31,500
Transportation	*International airfare and local transportation for International Study Tour*	Total 10 participants@ $3160*@ 2 times		63,200		63,200
Lodging / meals / perdiem	*Lodging & meals for International travel for Study Tour*	Total 10 participants@ $115 @ 11days @ 2 times		25,300		25,300
Total Meetings and workshops			**212,800**	**261,900**	**-**	**474,700**

Grants & Agreements	*Output 1.3.1. Environment education programs, designed and implemented at the provincial level, using Qionghai and Baihetan wetland parks as demonstration platforms.*	*Total $40 per person @ 2,000 participants*	40,000	40,000	-	**80,000**
Grants & Agreements	*Output 2.2.3. Sustainable wetland agriculture production/livelihood systems -pollution-free, green-labelling, organic products, etc. - successfully implemented via conservation agreements with local communities and relevant government agencies.*	*Total $20 per person @ 250 participants @ 20 times*	-	100,000	-	**100,000**
Grants & Agreements	*Output 2.2.4. Community-based alternative livelihoods designed and implemented in a participatory manner in Qionghai Wetland*	*Providing certificated technical training for local farmers. Total $150 per person @ 800 participants*		120,000	-	**120,000**
Total Grants & Agreements			**40,000**	**260,000**	**-**	**300,000**
Furniture and equipment < 5000 USD	Field supplies (monitoring equipments)	Water and soil quality meter, biodiversity monitoring for wetland, GPS, Digital camera, Standard safety gear, Marking gear, Binocular	-	20,000	-	**20,000**
Furniture and equipment < 5000 USD	Furniture	Office Decoration and furniture		15,000		**15,000**
Furniture and equipment < 5000 USD	Laptops & printers	Laptops, printers, projectors, copycat etc. for PMO	-	7,000	10,000	**17,000**
Total Equipment			**-**	**42,000**	**10,000**	**52,000**
Office/sorage rent	*Rent PMO office in Chengdu including safeguard service*		39,121	99,000	-	**138,121**
Communication printing	*Printing for output 1.1.1 print*		800			**800**
Communication printing	*Printing for output 1.1.2 print*		900	-	-	**900**
Communication printing	*Printing for output 1.2.1 print*		4,000	-	-	**4,000**
Communication printing	*Printing for output 1.2.2 print*		3,000	-	-	**3,000**
Communication printing	*Printing for output 1.3.1 print*		5,000	-	-	**5,000**
Communication printing	*Printing for output 2.1.2 print*		-	1,000	-	**1,000**
Communication printing	*Printing for output 2.2.1 print*		-	664	-	**664**
Communication printing	*Printing for output 2.2.2 print*		-	2,000	-	**2,000**
Communication printing	*Printing for output 2.2.3 print*		-	1,500	-	**1,500**
Communication printing	*Printing for output 2.2.4 print*		-	6,000	-	**6,000**
Communication printing	*Printing for output 2.2.5 print*		-	3,005	-	**3,005**
Communication printing	*Printing for output 2.2.6 print*		-	3,005	-	**3,005**
Communication printing	*Printing for output 2.2.6 print*		-	22,700	-	**22,700**
Total Other Direct Costs			**52,821**	**138,874**	**-**	**191,695**
Total GEF funded project costs			**1,093,707**	**1,433,687**	**124,900**	**2,652,294**

GEF FUNDED BUDGET			Project budget per year (in USD)					
EXPENSES TYPE	DESCRIPTION	DETAILED DESCRIPTION	YR1	YR2	YR3	YR4	YR5	TOTAL
Salaries and benefits	*Project Manager*	*Technical Leadership for Project Implementation and Safeguards Implementation*	50,587	54,128	57,917	61,971	66,307	290,910
Salaries and benefits	*Finance Officer*	*Finance and Procurement Oversight of the Project*	20,957	23,053	25,299	27,710	30,264	127,283
Salaries and benefits	*Project Coordinator*	*Support Project Manager to implement the project and safeguards activties*	29,939	32,924	36,142	39,582	43,233	181,820
Salaries and benefits	*Project Assistant*	*Support Project Coordinator and Project Manager in implmenting the project*	20,057	22,153	24,399	26,810	29,364	122,783
Salaries and benefits	*M&E/Safeguade Specialist*	*Provide saftey - managing stakeholder engagement, indigenous peoples, grievance mechanism, pest (agrochemicals), restriction of access to and use of natural resources (and ensuring no resettlement takes place), and gender mainstreaming*	20,149	21,559	23,068	24,684	26,411	115,871
Total Personnel Salaries and Benefits			141,689	153,817	166,825	180,757	195,579	838,667
Consultants fees - National	*1.1.1. Gaps in provincial policy, legislation and regulations for wetland conservation are identified and policies, laws and regulations drafted and approved by relevant government agencies.*	*National mainstreaming specialist. Total 40 days @ $200*	4,000	4,000	0	0	0	**8,000**
Consultants fees - National	*1.1.2. Provincial inter-sectoral coordination mechanisms established with wetland biodiversity and resource conservation mainstreamed into provincial development and land use policies and plans.*	*National mainstreaming specialist. Total 100 days @ $200*	6,000	6,000	4,000	2,000	2,000	**20,000**
Consultants fees - National	*1.2.1. Management plans and yearly operation plans with rational resource allocations -including human, financial, technical resources are completed and implemented for two wetland parks (Qionghai and Baihetan).*	*Biodiversity conservation and management planning specialist. Total 200 days @ $200*	20,000	20,000	0	0	0	**40,000**
Consultants fees - National	*1.2.2. Monitoring systems to evaluate the status of wetland ecosystem and biodiversity of the provincial-wide wetlands implemented systematically and results used to improve provincial policies and plans.*	*Technial service provider.Total 440 days @ $200*	30,000	30,000	4,000	20,000	4,000	**88,000**
Consultants fees - National	*1.3.1. Environment education programs, designed and implemented at the provincial level, using Qionghai and Baihetan wetland parks as demonstration platforms.*	*Technial service provider.Total 420 days @ $200*	4,000	30,000	30,000	20,000	0	**84,000**
Consultants fees - National	*2.1.1. Direct and indirect threats to wetland protected areas assessed and expansion and consolidation plan for wetland protected areas developed in Sichuan Province.*	*Technial service provider.Total 283 days @ $200*	0	30,000	26,600	0	0	**56,600**
Consultants fees - National	*2.1.2. Sichuan's Network for wetland protected areas established and supported by government to promote best practice.*	*Wetland conservation and management planning specialist. Total 30 days @ $200*	0	6,000	0	0	0	**6,000**
Consultants fees - National	*2.2.1. The pilot wetland park master plan and the wetland conservation and restoration plan are prepared and approved.*	*Technial service provider.Total 329 days @ $200*	33,000	32,800	0	0	0	**65,800**
Consultants fees - National	*2.2.2. Pilot communities in the two wetland parks are identified and livelihood needs, resource use, environmental carrying capacity and potential for wetland sustainable products assessed.*	*Community alternative development specialist. Total 120 days @ $200*	12,000	12,000	0	0	0	**24,000**
Consultants fees - National	*2.2.3. Sustainable wetland agriculture production/livelihood systems -pollution-free, green-labelling, organic products, etc. - successfully implemented via conservation agreements with local communities and relevant government agencies.*	*Wetland resource sustainable utilization specialist. Total 60 days @ $200*	4,000	8,000	0	0	0	**12,000**
Consultants fees - National	*2.2.6. Two-way information exchange improved between the wetland park administration and the community including the establishment of a smooth accountability and grievance mechanism.*	*Application software development specialist. Total 100 days @ $200*	0	20,000	0	0	0	**20,000**
Consultants fees - National	*Support implementation of safeguard plans*	*National and local safeguard plan specialists. Total 80 days @ $200 from Year 1- 5.*	2,000	4,000	4,000	4,000	2,000	**16,000**
Consultants fees - National	*Independent External Mid-term Review for M & E*		0	0	20,000	0	0	**20,000**
Consultants fees - National	*Independent External terminal Review for M & E*		0	0	0	0	20,000	**20,000**
Consultants fees - National	*GEF Focal Area Tracking Tools for M & E*		0	0	4,000	0	4,000	**8,000**
Consultants fees - National	*Lessons Learned and Knowledge Generation for M & E*		0	0	0	14,000	14,000	**28,000**

Consultants fees - National	*Financial Statements Audit for M & E*		8,000	8,000	8,000	8,000	8,000	**40,000**
Consultants fees - National	*Social Impact Assessment*	*National and local safeguard plan specialists. Total 35 days @ $200 at Year 4.*				7,000		**7,000**
Other fees / professional services	*Translation services for project documents/reports*		12,000	12,000	12,000	12,000	12,000	**60,000**
Recruitment Fees	*HR Service*	*SFGB will use HR Service Agency for hiring staff. Total: $15/person.month * 5 persons * 12month* 5 year=$4,500.*	900	900	900	900	900	**4,500**
Total Professional Services			**135,900**	**223,700**	**113,500**	**87,900**	**66,900**	**627,900**
International Transportation	*International airfare for Project Manager, Coordinator, and Assitant*		-	6,510	-	7,177	-	**13,687**
Lodging / meals / perdiem	*Lodging & meals for International travel for Project Manager, Coordinator, and Assitant*		-	4,043	-	4,457	-	**8,500**
Local transportation	*Domestic airfare for Project Manager, Coordinator, and Assitant*		14,780	15,960	16,295	17,596	17,965	**82,596**
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for Project Manager, Coordinator, and Assitant*		10,500	11,419	11,576	12,589	12,763	**58,847**
Local transportation	*Domestic airfare for PMO (program management office)*		520	546	573	602	632	**2,873**
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for PMO*		150	158	165	174	182	**829**
Local transportation	*Domestic airfare for Study Tour*							
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for Study Tour*							
Total Travel and Accommodations			**25,950**	**38,635**	**28,610**	**42,595**	**31,542**	**167,332**
Transportation and accommendations	Inception workshop for M & E	Invited Specialists: Total 5 persons @ $100	500	-	-	-	-	500
Lodging / meals / perdiem		Participants: Total 50 persons @ $15	750					750
Conference room rental		Room rental and background Board decoration	750					750
Conference room rental	Project Steering Committee Meetings for M & E	Room rental: $420	420	420	420	420	420	2,100
Lodging / meals / perdiem		Participants: Total 30 persons @ $10	300	300	300	300	300	1,500
Transportation and accommendations	PAR-Programme Steering Committee Meeting (5th Year	Vehicle rent: Total $500@ 2 vehicles@ 2days					2,000	2,000
Lodging / meals / perdiem		Total: $60 @ 60persons @ 3days					10,800	10,800
Conference room rental		Room rental and background Board decoration					1,200	1,200
Venue Rental		Total $300 per day @ 3days @ 43 workshops	8,100	14,400	10,800	2,700	2,700	38,700
Transportation		Total $20 per person @ 43 workshops @ 30 participants	5,400	9,600	7,200	1,800	1,800	25,800
Lodging / meals / perdiem	43 Training Workshops (28 workshops for C1, 15 workshops for C2)	Total $45 per person @ 3 days @ 43 workshops @ 30 participants	36,450	64,800	48,600	12,150	12,150	174,150
Consultancy Fees for trainers		Total $150 per day @ 3 days @ 30 participants @ 43 workshops	4,050	7,200	5,400	1,350	1,350	19,350
Training Materials		Total $30 per person @ 30 participants @ 43 workshops	8,100	14,400	10,800	2,700	2,700	38,700
Local transportation	*Domestic airfare and local transportation for Domestic Study Tour*	Total 15 participants@ $640 @ 4 times	9,600	9,600	9,600	9,600	-	38,400
Lodging / meals / perdiem	*Lodging & meals for Domestic travel for Domestic Study Tour*	Total 15 participants@ $75 @7days @ 4 times	7,875	7,875	7,875	7,875	-	31,500
Transportation	*International airfare and local transportation for International Study Tour*	Total 10 participants@ $3160*@ 2 times		31,600	31,600	-	-	63,200
Lodging / meals / perdiem	*Lodging & meals for International travel for Study Tour*	Total 10 participants@ $115 @ 11days @ 2 times		12,650	12,650			25,300
Total Meetings and workshops			**82,295**	**172,845**	**145,245**	**38,895**	**35,420**	**474,700**
Grants & Agreements	*Output 1.3.1. Environment education programs, designed and implemented at the provincial level, using Qionghai and Baihetan wetland parks as demonstration platforms.*	*Total $40 per person @ 2,000 participants*	10,000	20,000	20,000	20,000	10,000	**80,000**
Grants & Agreements	*Output 2.2.3. Sustainable wetland agriculture production/livelihood systems -pollution-free, green-labelling, organic products, etc. - successfully implemented via conservation agreements with local communities and relevant government agencies.*	*Total $20 per person @ 250 participants @ 20 times*	-	20,000	30,000	30,000	20,000	**100,000**
Grants & Agreements	*Output 2.2.4. Community-based alternative livelihoods designed and implemented in a participatory manner in Qionghai Wetland*	*Providing certificated technical training for local farmers. Total $150 per person @ 800 participants*	-	20,000	40,000	40,000	20,000	**120,000**
Total Grants & Agreements			**10,000**	**60,000**	**90,000**	**90,000**	**50,000**	**300,000**

Furniture and equipment < 5000 USD	Field supplies (monitoring equipments)	Water and soil quality meter, biodiversity monitoring for wetland, GPS, Digital camera, Standard safety gear, Marking gear, Binocular	4,000	4,000	4,000	4,000	4,000	**20,000**
Furniture and equipment < 5000 USD	Furniture	Office Decoration and furniture	15,000	0	0	0	0	**15,000**
Furniture and equipment < 5000 USD	Laptops & printers	Laptops, printers, projectors, copycat etc. for PMO	10,000	7,000	0	0	0	**17,000**
Total Equipment			**29,000**	**11,000**	**4,000**	**4,000**	**4,000**	**52,000**
Office/sorage rent	*Rent PMO office in Chengdu including safeguard service*		27,000	27,500	27,500	28,000	28,121	**138,121**
Communication printing	*Printing for output 1.1.1 print*		400	400	-	-	-	**800**
Communication printing	*Printing for output 1.1.2 print*		300	300	300	0	0	**900**
Communication printing	*Printing for output 1.2.1 print*		2,000	2,000	0	0	0	**4,000**
Communication printing	*Printing for output 1.2.2 print*		600	600	600	600	600	**3,000**
Communication printing	*Printing for output 1.3.1 print*		0	2,000	2,000	1,000	0	**5,000**
Communication printing	*Printing for output 2.1.2 print*		0	0	1,000	0	0	**1,000**
Communication printing	*Printing for output 2.2.1 print*		0	664	0	0	0	**664**
Communication printing	*Printing for output 2.2.2 print*		0	1,000	1,000	0	0	**2,000**
Communication printing	*Printing for output 2.2.3 print*		1,500	0	0	0	0	**1,500**
Communication printing	*Printing for output 2.2.4 print*		1,200	1,200	1,200	1,200	1,200	**6,000**
Communication printing	*Printing for output 2.2.5 print*		600	600	600	600	605	**3,005**
Communication printing	*Printing for output 2.2.6 print*		600	600	600	600	605	**3,005**
Communication printing	*Printing for output 2.2.6 print*		1,500	2,200	5,000	5,000	9,000	**22,700**
Total Other Direct Costs			**35,700**	**39,064**	**39,800**	**37,000**	**40,131**	**191,695**
Total GEF funded project costs			**460,534**	**699,061**	**587,980**	**481,147**	**423,572**	**2,652,294**

Appendix VIII: Letter of Commitment for co-financing

四 川 省 财 政 厅

川财金函〔2016〕23号

四川省财政厅关于全球环境基金“中国四川省扩大湿地保护面积并增强湿地管理能力项目”地方政府配套资金承诺的函

财政部：

中国-全球环境基金第六增资期“保护区管理改革规划型项目”四川省子项目“中国四川省扩大湿地保护面积并增强湿地管理能力项目”预计将于2016年启动实施，该子项目使用全球环境基金赠款2,652,293.58美元。

按照中央项目牵头单位环保部环境保护对外合作中心《关于提供全球环境基金第六增资期“保护区管理改革规划型项目”相关支撑文件的函》（环外经函〔2016〕40号）要求，我省应提供“中国四川省扩大湿地保护面积并增强湿地管理能力项目”赠款与配套比不低于1:6的国内政府配套资金。

经核实确认，该项目配套资金由四川省林业厅协调各项目单位按要求足额落实，西昌市、新津县政府已向省林业厅出具配套资金承诺函，地方政府配套 17,950,000.00 美元（现金配套 12,565,000.00 美元，实物配套 5,385,000.00 美元）。现向你部出具该项目地方政府配套资金承诺。

四川省财政厅

2016 年 2 月 2 日

Sichuan Department of Finance

SDF Letter [2016] No.23

Re: Co-financing letter on the commitment from local government on providing co-financing for Global Environment Facility (GEF) project "Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China"

Ministry of Finance:

The GEF-6 project "Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China" under "China's Protected Area Reform" Program (CPAR) is estimated to be started in 2016, with GEF grant in the amount of USD2,652,293.58.

According to the request from Foreign Economic Cooperation Office (FECO) of Ministry of Environmental Protection, the leading agency for CPAR in China (FECO letter [2016] No.40), we should provide co-financing in the rate of 1:6 for the child project in Sichuan "Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China".

After verification, we confirm that Sichuan Forestry Departed has coordinated with Xichuang City government and Xinjin County Government, who have issued official co-financing commitment letters in the total amount of USD17,950,000 (USD12,565,000 in cash, USD5,385,000 in kind). Now we issued this co-financing commitment letter to the Ministry of Finance.

Sichuan Department of Finance

February 26, 2016

Conservation International Co-financing.

CONSERVATION INTERNATIONAL

March 28, 2018

Dr. Miguel Morales
Vice President, CI-GEF Project Agency
2011 Crystal Drive
Suite 500
Arlington, Virginia 22202
USA

Subject: Co-Financing for "Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China "

Dear Dr. Morales,

On behalf of Conservation International Foundation (CI), I am pleased to inform you that CI plans to contribute US$59,342 in cash co-financing in support of the Global Environment Facility (GEF) funded project titled, "Expanding the coverage and strengthening the management of wetland protected areas in Sichuan Province, China (GEF-9403)."

This co-financing is from private donor funding for CI's China program and will support Components 1, 2 and Project Management during the estimated project period from July 1, 2018 to June 30, 2023.

This contribution as described above is intended to qualify as co-financing should the project proposal be successful

Sincerely,

Barbara DiPietro
Chief Financial Officer
Conservation International

APPENDIX IX: Globally Threatened Species in Qionghai National Wetland Park

Latin Name	Red List / Unique Status	CITES Appendix	Note: Species status and protection challenges
Mergus squamatus	EN	I	Mergus squamatus is a rare Chinese bird species, which is extremely scarce and totals less than 1,000 around the world, and has many overwintering records previously in China. In the early 21st century, larger groups of wintering Mergus squamatus were found in Yiyang and Wuyuan, northeast of Jiangxi Province, the total number of which exceeds 100, and their quantity and distribution locations are relatively stable. There are about 170 in Heilongjiang Province, and the population quantity is stable.
Falco peregrinus	LC	I	The survey of *Falco peregrinus*, a key terrestrial wildlife species in China, shows that the species has a breeding population of about 43,000 and a wintering population of about 2,300, most of which are found in Xinjiang and Inner Mongolia. The global population of the species is estimated at 1,200,000 and the population size is stable.
Buteo buteo	LC	Ⅱ	According to results of the survey of China's key terrestrial wildlife species conducted by the State Forestry Administration of China, *Buteo buteo* is widely distributed and has a large breeding population of 180,000 and a wintering population of 30,000. The global population of the species is estimated at 4,000,000 and on the rise.
Accipiter gentilis	LC	Ⅱ	*Accipiter gentilis* has a breeding population of 250,000 and a wintering population of 70,000. There are about 10,000-100,000 breeding pairs and 1,000-10,000 migrants in China. The population size is stable and the global population is estimated at more than 500,000.
Falco tinnunculus	LC	Ⅱ	According to the results of the survey of China's key terrestrial wildlife species, *Falco tinnunculus* is widely distributed and has a breeding population of about 840,000 and a wintering population about 23,000. There are about 10,000-100,000 breeding pairs and 1,000-10,000 migrants in China. The global population is more than 5000,000 and decreasing.

Latin Name	Red List / Unique Status	CITES Appendix	Note: Species status and protection challenges
Aix galericula	LC	None	*Aix galericula* has a breeding population of 14,000 and a wintering population of 12,000. It has records in Hubei Province, Guizhou Province, and Fujian Province in China. There are about 100-10,000 breeding pairs and less than 50 wintering populations. The global population is estimated at 65,000-66,000 and decreasing.
Plegadis falcinellus	L）	III	*Plegadis falcinellus* is very rare in China. No accurate data are available. They only appear in China as straggling migrants. With no records of the species for 70 years, China has recently reported the discovery of the species in several places. In January 2013, a group of 18 *Plegadis falcinellus* were found in Honghe, Yunnan Province. According to a winter waterfowl survey conducted by the Institute for Wetland & Waterfowl Research in 1992, there are about 8,000-9,000 in Asia. The population size of the species is decreasing.
Grus grus	LC	Ⅱ	According to results of the survey of China's key terrestrial wildlife species conducted by the State Forestry Administration of China, *Grus grus* has a population of 10,000 in China. Song Fei et al. (1995) estimated that the total number of *Grus grus* in China was 19,372-22,311. At the beginning of the 21st century, it was estimated that the total number of *Grus grus* distributed throughout China was 21,632-22,401. The population reported in Yunnan Province, Guizhou Province, Shanxi Province, Henan Province, and Tibet in China, totals from hundreds to more than two thousand. Wetland International (2006) estimates that there are about 360,000-370,000 *Grus grus* around the world, and the number of populations is unknown. Liu Xiaoge et al. (2009) estimates the number of *Grus grus* around the world is about 200,000.

APPENDIX X: Globally Threatened Species in Baihetan National Wetland Park

Latin Name	Red List / Unique Status	CITES Appendix	Note: Species status and protection challenges
Milvus migrans	LC	Ⅱ	*Milvus migrans* has a breeding population of 350,000, about 190,000 of which are distributed in Northwest China, accounting for 54.3% of the total population in China. The global population is estimated at 1,000,000-6,000,000, and the European population is estimated at 192,000-300,000. However, the population trend for the species is unknown.
Accipiter nisus	LC	Ⅱ	According to results of the survey of China's key terrestrial wildlife species conducted by the State Forestry Administration of China, Accipiter nisus has a breeding population of 250,000 and a wintering population of 100,000 in China. The global population is estimated at more than 1,500,000 and the population trend is stable.
Buteo buteo	LC	Ⅱ	According to results of the survey of China's key terrestrial wildlife species conducted by the State Forestry Administration of China, *Buteo buteo* is widely distributed and has a large population. It has a breeding population of 180,000 and a wintering population of 30,000. The global population is estimated at 4,000,000 and the population trend is increasing.
Falco subbuteo	LC	Ⅱ	According to results of the survey of China's key terrestrial wildlife species conducted by the State Forestry Administration of China, *Falco subbuteo* is widely distributed and has a large population. It has a breeding population of about 100,000 and a wintering population of about 17,000. The global population is estimated at 400,000 and the population trend is decreasing.
Spizaetus cirrhatus	NE	Ⅱ	*Spizaetus cirrhatus* is a Class II nationally protected species and one of the major migratory raptors in East Asia, with migration routes across Japan, Taiwan, mainland China, Indonesia, Malaysia and the Philippines. Its Asian subspecies are distributed in

Latin Name	Red List / Unique Status	CITES Appendix	Note: Species status and protection challenges
			Northeast China, Xinjiang, Qinghai, Hebei, Shaanxi, Shandong and other areas; its Southwest Asian species are distributed in Sichuan, Yunnan and other areas.
Charadrius placidus	LC	-	Wetlands International (2006) estimates that the global population is estimated at 1,000-25,000, roughly equivalent to 670-17,000 mature individuals. National population estimates include: 100-10,000 breeding pairs, and 50-1,000 wintering individuals in China; 100-10,000 breeding pairs in Korea; 100-10,000 breeding pairs in Japan; and 100-10,000 breeding pairs and 50-1,000 individuals on migration in Russia (Brazil 2009). The population is suspected to be in decline owing to ongoing habitat destruction (del Hoyo et al. 1996).
Gallinula chloropus	LC	-	According to Wetlands International 2014, the global population is estimated at 2,900,000-6,200,000 individuals. However, if the most recent estimate of the European population is included (909,000-1,440,000 pairs, which equates to 1,820,000-2,870,000 mature individuals or 2,730,000-4,305,000 individuals), the updated estimate is 4,956,000-8,400,000 individuals. The overall population trend is thought to be stable.
Tachybaptus ruficollis	LC	-	The global population is estimated at 610,000-3,500,000 individuals (Wetlands International 2015). The European population is estimated at 129,000-208,000 pairs, which equates to 258,000-417,000 mature individuals (BirdLife International 2015). The overall population trend is decreasing.
Ixobrychus cinnamomeus	LC	-	The global population is estimated at 1,300,000-2,000,000 individuals (Wetlands International 2006), while national population estimates include: 100-10,000 breeding pairs in China; 100-10,000 breeding pairs in Taiwan and 100-10,000 breeding pairs in Japan (Brazil 2009). The overall population trend is stable (Wetlands International 2006).

Latin Name	Red List / Unique Status	CITES Appendix	Note: Species status and protection challenges
Botaurus stellaris	LC	-	The global population is estimated at 115,000-340,000 individuals (Wetlands International 2015). There are 100-10,000 breeding pairs and 50-1,000 wintering individuals in China (Brazil 2009). The overall population trend is decreasing while the European population is estimated to be stable (BirdLife International 2015).