



FAO-GEF Project Implementation Review 2019 – Revised Template

Period covered: 1 July 2018 to 30 June 2019



1. Basic Project Data

General Information

Region:	Asia and The Pacific Region
Country (ies):	China
Project Title:	Sustainable forest management to enhance the resilience of forests to climate change in China
FAO Project Symbol:	GCP/CPR/056/GFF
GEF ID:	5139
GEF Focal Area(s):	Climate change, biodiversity, sustainable forest management-REDD+
Project Executing Partners:	The World Bank Project Management Center (WBPMC) of the National Forestry and Grassland Administration, P.R.China
Project Duration:	6 years

Milestone Dates:

GEF CEO Endorsement Date:	10 April 2015
Project Implementation Start Date/EOD :	30 September 2016 (as per FPMIS)
Proposed Project Implementation End Date/NTE¹:	31 August 2022 (as per FPMIS)
Revised project implementation end date (if applicable) ²	Based on an exchange letter between FAO and the OP, the actual operational EOD/NTE of the project are from 1 August 2017 to 31 July 2023, as the first financial installment to the OP was made on July 31, 2017.
Actual Implementation End Date³:	NA

Funding

GEF Grant Amount (USD):	USD 7,152,728
Total Co-financing amount as included in GEF CEO Endorsement Request/ProDoc⁴:	USD 48,400,000
Total GEF grant disbursement as	USD 1,250,600

¹ as per FPMIS

² In case of a project extension.

³ Actual date at which project implementation ends/closes operationally -- only for projects that have ended.

⁴ This is the total amount of co-financing as included in the CEO document/Project Document.

of June 30, 2019 (USD m):	
Total estimated co-financing materialized as of June 30, 2019⁵	USD 38,856,829

Review and Evaluation

Date of Most Recent Project Steering Committee:	2 April 2019
Mid-term Review or Evaluation Date planned (if applicable):	December 2019
Mid-term review/evaluation actual:	N/A
Mid-term review or evaluation due in coming fiscal year (July 2019 – June 2020).	Yes
Terminal evaluation due in coming fiscal year (July 2019 – June 2020).	No
Terminal Evaluation Date Actual:	N/A
Tracking tools/ Core indicators required⁶	N/A

Ratings

Overall rating of progress towards achieving objectives/ outcomes (cumulative):	S	
Overall implementation progress rating:	S	
Overall risk rating:	L	

Status

Implementation Status <i>(1st PIR, 2nd PIR, etc. Final PIR):</i>	2 nd PIR
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⁵ Please see last section of this report where you are asked to provide updated co-financing estimates. Use the total from this Section and insert here.

⁶ Please note that the Tracking Tools are required at mid-term and closure for all GEF-4 and GEF-5 projects. Tracking tools are not mandatory for Medium Sized projects = < 2M USD at mid-term, but only at project completion. The new GEF-7 results indicators (core and sub-indicators) will be applied to all projects and programs approved on or after July 1, 2018. Also projects and programs approved from July 1, 2014 to June 30, 2018 (GEF-6) must apply core indicators and sub-indicators at mid-term and/or completion

Project Contacts

Contact	Name, Title, Division/Affiliation	E-mail
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1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
Objective(s):						
Outcome 1.1 Improved implementation framework translating the SFM principles and goals embodied in national policies into tangible choices and priorities for on-the-ground SFM activities.	Drafting and successful application of cascading set of implementation guidelines: 1 at national level, 4 at provincial level, 16 at county level	Lacking provisions and guidance for translating national level policies to local implementation	National level: 100%; Province level: 100%; County level: 100%	National level: 100%; Province level: 100%; County level: 100%	National level: 80%; Henan:80%; Guangxi:70%; Fujian:70%; Hainan:70%.	S
Outcome 1.2 Strengthened local level application and coherent planning of SFM practices, including biodiversity conservation and carbon benefit enhancements.	Drafting and successful application of 16 local SFM plans that incorporate three key components: (i) biodiversity criteria and SFM standards; (ii) provision of locally specific	Insufficient incorporation of SFM principles in policies and plans at provincial and local level, including biodiversity and increasing carbon benefit.	All counties at min. 75% At least 10 counties finished	Compile forest sustainable management plans for all project units.	Henan:80%; Guangxi:80%; Fujian:70%; Hainan:50%	S

⁷ This is taken from the approved results framework of the project. Please add cells when required in order to use one cell for each indicator and one rating for each indicator.

⁸ Some indicators may not identify mid-term targets at the design stage (refer to approved results framework) therefore this column should only be filled when relevant.

⁹ Use GEF Secretariat required six-point scale system: **Highly Satisfactory (HS)**, **Satisfactory (S)**, **Marginally Satisfactory (MS)**, **Marginally Unsatisfactory (MU)**, **Unsatisfactory (U)**, and **Highly Unsatisfactory (HU)**.

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	incentives for adoption; (iii) specialized management provisions for locally prevalent threats.					
Outcome1.3 Local monitoring systems guide the application of SFM practices, biodiversity conservation and carbon sequestration efforts.	Drafting and successful application of 16 BD as well as CCM monitoring systems at local level following technical requirements outlined under Outcome 1.1	No monitoring systems for SFM, BD and CCM in place	Monitoring system: 100% Advanced monitoring system: 100%	Monitoring system: 100% Advanced monitoring system: 100%	National level:60% Henan:55%; Guangxi:50%; Fujian:50%; Hainan:45%	S
Outcome 1.4 Enhanced national level policy, legal and regulatory framework based on feedback of project experiences and identified gaps.	Several adjustments to national forest policies, legal provisions and/or regulation directly linked to and informed by experiences gained from project implementation at the local level.	Comparatively advanced policy framework at national level with some remaining weaknesses. No feedback loop from local level back to national level provisions.	n/a	Fine-Tuning of national level policies, legal provisionFine-tuning of all national level policies and plans under direct responsibility of NFGA and advice and exchange of ideas with other departments regarding their respective policies relating to forest management	n/a	n/a
Outcome 2.1 County forestry bureaus and local communities empowered and	Strengthened SFM capacity at local level empowers and capacitates local communities to	0 ha	30,000 ha	100,000 ha	about 20986.21ha	S

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
capacitated to apply a large spectrum of SFM practices selected in accordance with location-specific needs and challenges.	successfully apply SFM practices on more than 100,000 ha of economically used forest across four provinces					
Outcome2.2 Carbon sequestration enhanced and GHG emissions from forests reduced through re-forestation of damaged forest, rehabilitation of degraded forest, as well as enhanced SFM practices leading to emission reductions.	Successful application of SFM practices that directly lead to emission reductions yielding 17.9 million tCO ₂ e, including: (1) 42,000 ha of reforestation and forest restoration/ rehabilitation yielding 4,770,611 tCO ₂ e; (2) 87,000 of enhanced carbon management yielding 12,927,948 tCO ₂ e; (3) six project sites successfully create carbon credits under the SFM methodology for China's national carbon trading scheme.	Current forest management not designed to maximize GHG reductions; no monitoring of GHG emission or emission reductions	-	17.9 million tCO ₂ e; Credits certified in 6 counties	Fujian: An area of 30.4 hectares has been completed. Guangxi: Completed 2347.31 hectares of reforestation; 11244.9 hectares of enhanced carbon management. Henan: Completed 176.87 ha of forest restoration and rehabilitation; 7.01ha of reforestation; 12 ha of converting monoculture to uneven aged mix forest and 60 ha of enhanced tending management ; over 666.67 ha of enhanced pest management, It mainly carried out	S

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
					the monitoring of pine wood nematode, American white moth and other insect pests; To strengthen forest fire prevention management, the main outcome is that the biological fire prevention isolation zone expanded for 6,000 meters, and the newly <i>Camellia oleifera</i> bio-fire prevention zone with a length of more than 10,000 meters and an area of 30 ha completed.	
Outcome2.3 Enhancement of forest biodiversity through protection and conservation of rare and endangered native species.	Successful application of SFM practices that directly lead to the certification of a 35,000 ha of additional forest under the CFCS, 15,000 ha of rare species planting, nurseries for rare tree species created or improved; Implementation of	Current forest management in many cases not designed to provide biodiversity conservation and habitat protection; no comprehensive monitoring of BD.	Preparation for certification; 15,000 ha of forest restoration efforts incorporate the planting of rare species; 5 nurseries for rare tree species created or improved; 3 counties implement business models	Certified area reaches 35,000 ha; 5 nurseries for rare tree species created or improved; 3 counties implement business models for revenue generation from rare species protection.	Fujian: Completed 33.6 ha of rare species cultivation; Completed 7.9 ha of demonstration forest for rare species seed sources collection. Cultivated 25,000 <i>Bretschneidera sinensis</i> seedlings. Guangxi: Completed 36498.3 ha of forest certification; Completed 1826.1	S

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	business models for revenue generation from rare species protection.		for revenue generation from rare species protection.		<p>ha of rare species cultivation; 6.17 hectares of nurseries have been fully equipped with shade shelters and sprinkling irrigation facilities. Infrastructure work has been basically completed and cultivating seedlings have been started. 0.2 hectares of nursery civil engineering and steel structure main body installation has been completed.</p> <p>Henan: Completed 15 ha of rare species cultivation and protection and 1.67 ha of nursery construction. The annual production capacity is expected to reach 200,000 seedlings. Business model of earning income from the protection of rare tree species to developed.</p>	

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
Outcome 3.1 Enhanced knowledge and capacity of local farmers and government staff to implement SFM practices create CCM and BD related GEBs and implements the corresponding monitoring systems.	Enhanced capacity of a minimum of 4000 trainees across the four provinces with regard to SFM practices, BD conservation and CC mitigation in the forest sector. Improved mechanisms for data provision and information exchange successfully established	The overall institutional capacity of the forestry sector is relatively high, but specific capacities for sustainable forest management, biodiversity conservation and climate change mitigation are not sufficient. No monitoring systems, no corresponding capacity No dedicated channels and mechanisms for BD and CCM data and information provision in place.	100 Provincial and county-level forest bureau staff trained; 1000 Provincial and county-level forest bureau staff as well as local community forest managers trained in SFM practices with specific focus on CCM and BD benefit creation as well as biodiversity monitoring systems	200 Provincial and county-level forest bureau staff trained; 4000 Provincial and county-level forest bureau staff as well as local community forest managers trained in SFM practices with specific focus on CCM and BD benefit creation as well as biodiversity monitoring systems; for BD and CCM data and information provision Application of mechanisms.	About 911 personnel in total were trained during the reporting period. Guangxi: 465 provincial level and county level forest service personnel, as well as local community forest managers, were trained. Henan: 271 staff trained Fujian: 125 staff trained Hainan: about 50 staff trained	S
Outcome 3.2 System for peer-to-peer teaching and regular exchange of knowledge and experiences between project site staff within and between the four provinces.	Improved mechanisms and channels for knowledge exchange, including peer-to-peer teaching, successfully established and applied; Interaction on SFM utilized to strengthen social networks and new social capital among	No dedicated mechanisms for peer-to-peer knowledge exchange within and between provinces	Peer-to-peer or similar mechanisms established and applied for all project counties and provinces; Regular channel for knowledge exchange between provinces established and applied.	Peer-to-peer or similar mechanisms established and applied for all project counties and provinces; Regular channel for knowledge exchange between provinces established and applied; Extensive interactions on SFM through mechanisms established.	Peer-to-peer or similar mechanisms and regular channel for knowledge exchange are established at national and provincial levels jointly, including forest field course etc.	S

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	local forest managers					
Outcome 3.3 Establishment of project monitoring and evaluation system measuring project progress and achievements.	Project M&E system designed, established and applied throughout the project and across all components, provinces and project sites; Publication and dissemination of project information and experiences; public awareness raising	No project M&E system; No publication and dissemination.	Project M&E system applied; Publication and dissemination of project information and experiences.	Fully functional M&E system; Comprehensive dissemination of SFM related information to the public.	Project M&E system is in preparation ; Specific project website (pmcgef.forestry.gov.cn) launched in December 2017 and Project Newsletters compiled for dissemination.	S

Action plan to address MS, MU, U and HU rating ¹⁰

Outcome	Action(s) to be taken	By whom?	By when?

¹⁰ To be completed by Budget Holder and the Lead Technical Officer

2. Progress in Generating Project Outputs

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Output1.1.1 National and provincial level implementation guidelines facilitating implementation of existing SFM policies, legal provisions and standards.	Q4 y2	Expert recruitment at central and provincial levels and workgroup establishment for drafting the guidelines on SFM.	The guidelines on SFM have been reviewed and are in the process of finalization.				95%	The final version of the guidelines should be ready by September 2019.
Output1.1.2 Incorporation of implementation guidance on the biodiversity standards for certification (China	Q4 y2	Expert recruitment at central and provincial levels,	The guidelines on biodiversity have been reviewed				95%	The final version of the guidelines should be ready by September 2019.

¹¹ Outputs as described in the project logframe or in any updated project revision. In case of project revision resulted from a mid-term review please modify the output accordingly or leave the cells in blank and add the new outputs in the table explaining the variance in the comments section.

¹² As per latest work plan (latest project revision); for example: Quarter 1, Year 3 (Q1 y3)

¹³ Please use the same unity of measures of the project indicators, as much as possible. Please be extremely synthetic (max one or two short sentence with main achievements)

¹⁴ Variance refers to the difference between the expected and actual progress at the time of reporting.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Forest Certification Scheme, CFCS).		guidelines on BD at national level drafted.	and are in the process of finalization. Biodiversity standards are considered in the CFCS.					
Output1.1.3 Incorporation of implementation guidance to improve forest inventory procedures and MRV for carbon sequestration and GHG emission reductions from forests, land-use and land-use change including the existing methodology for obtaining tradable carbon certificates from enhanced SFM.	Q4 y2	Expert recruitment at central and provincial levels; Implementation plans on MRV and CCM at national and provincial levels drafted.	The guidelines on MRV and carbon project development have been reviewed and are in the process of finalization.				95%	The final version of the guidelines should be ready by September 2019.
Output 1.2.1 Local SFM plans (following 1.1.1 provisions) for each project area containing a set of modifications in forest regulations, policies and guidelines.	Q4 y4	Preparation for drafting the SFM plans	Local SFM plans in the 4 provinces have been drafted and reviewed by the national consultants				60%	The challenges or problems of the SFM plans' implementation will be identified from the ground and then get reflected in the existing forest

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
			and are in the process of implementation at farm level					policies, regulations and guidelines.
Output 1.3.1 Development of overarching national level monitoring system for collecting and processing information on SFM activities in the 4 provinces (envisioned for national roll-out)	Q4 y2: national SFM monitoring system established; Q4 y6: national SFM monitoring system implemented	Drafting the implementation plan of SFM monitoring at national level.	Developing the SFM monitoring at national level and the data collecting system at local level.				60%	The SFM monitoring system is under improvement.
Output 1.3.2 Development of national level framework and action plan for establishment of a forest carbon sequestration and emission reductions monitoring system	Q4 y2: national CCM monitoring system established; Q4 y6: national CCM monitoring	Drafting the implementation plan of CCM monitoring at national level	Developing the CCM monitoring at national level and the data collecting system at local level.				60%	The CCM monitoring system is under improvement.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
	g system implemented							
Output1.3.3 Design of local level BD monitoring systems integrated with the national level system and following guidance provided under 1.1.2.	Q4 y2: local BD monitoring system established; Q4 y6: local BD monitoring system implemented.	Drafting the implementation plan of BD monitoring at local level.	Developing the BD monitoring at national level and the data collecting system at local level.				60%	The BD monitoring system is under improvement.
Output1.3.4 Design of local level CCM monitoring systems integrated with the national level system and following guidance provided under 1.1.3.	Q4 y2: local CCM monitoring system established; Q4 y6: local CCM monitoring system implemented; Q4 y4: advanced CCM monitoring	Drafting the implementation plan of CCM monitoring at local level.	The implementation plan of CCM monitoring has been drafted and considered in the whole monitoring system. The advanced CCM monitoring system is				60%	The implementation plans of local CCM monitoring system and advanced CCM monitoring system have been developed at national level and considered practically at local level.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
	g system established; Q4 y6: advanced CCM monitoring system implemented.		under development.					
Output 1.4.1 Several adjustments to national forest policies, legal provisions and/or regulation directly linked to and informed by experiences gained from project implementation at the local level.	Start from Q1 y4	n/a	Some advices and suggestions on forest regulations for adjustment have been raised up at workshops based on the local experiences.				10%	The suggestions on forest regulations for adjustment will be drafted and reported to the authority at provincial and national levels.
Output2.1.1 Strengthened SFM capacity at local level; at least 100,000 ha of economically used forest benefitting from enhanced SFM practices across the 4 provinces.	Q4 y1: preparation of SFM activities; Q4 Y6: Roll-out of SFM activities.	Henan: 6232ha; Fujian: 1145 ha of extension area Guangxi: 6,394 ha of	Guangxi: 5,361.4 more ha of commercial forest benefit from enhanced SFM				21%	Partly completed the planned activities. There is no data from Fujian, Hainan and Henan provinces for the 2 nd PIR. Guangxi: Due to

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		commercial forest benefit from enhanced SFM practices.	practices. Hainan: baseline investigation.					the adjustment of project implementation units agreed by the project advisory committee, the area completed in the first annual progress report was revised to 8230.81 ha.
Output2.2.1 42,000 ha of reforestation and forest restoration/rehabilitation yielding 4,770,611 tCO ₂ e (project duration).	Q4 y6	Henan: 741.97 ha of afforestation ; Guangxi: Complete 4093ha. Fujian: 2516 ha of forest restoration and rehabilitation, with 224.5 ha of afforestation .	Fujian: total demonstration area for forest restoration/rehabilitation is 62.67 ha, and 30.40 ha have been completed so far. Total demonstration area for reforestation is 33.6 ha, all were completed. Guangxi: Reforestation of 607.1 hectares				15%	Guangxi: Due to the adjustment of project implementation units, the area completed in the first annual progress report was revised to 1740.21 ha. Guangxi: Reforestation of 2347.31 ha was completed. Due to the adjustment in Guangxi province, the cumulative achievement is even less than the 1 st PIR in terms of

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
			completed. Henan: Completed 176.87 ha of forest restoration and rehabilitation; 7.01ha of reforestation.					percentage.
Output2.2.2 87,000 of enhanced carbon management yielding 12,927,948 tCO ₂ e (project duration).	Q4 y6	Henan: 9722.04 ha of tending and thinning; 1539.39 ha of conversion, of which 1476.39 ha of transformation of monocultures to mixed forest; 76.5 ha of forest belt construction ; 4966.67 ha	Henan: 12 ha of converting monoculture to uneven aged mix forest and 60 ha of enhanced tending management ; over 666.67 ha of enhanced pest management, strengthened forest fire prevention				35%	SFM activities implemented for enhancing carbon management. Guangxi: Due to the adjustment of the project implementation unit, the area completed in the first annual progress report was revised to 6490.6 hectares.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		of pest and pathogens control; 2067ha of sustainable logging; Guangxi: Complete 5815 ha. Reduction of 164.429 million t CO ₂ e. Fujian: 645.8 ha of enhances tending and management activities (thinning, cleaning deadwood, etc.); 975 ha of converting monoculture to mixtures; 470 ha of pest and pathogens control; 43	management by expanding the biological fire prevention isolation zone for 6,000 meters, and complete the newly <i>Camellia oleifera</i> bio-fire prevention zone with a length of more than 10,000 meters and an area of 30 ha. Fujian: Total area of enhanced management activities is 79.93 ha, 47.2 ha has					

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		ha of forest fire construction ; 9000m ³ of reducing harvesting which affect the environment .	been completed. Total area of converting monoculture into mixed forest is 222.4 ha, 177.87 ha has been completed. The total area of the pest control is 572.8 hectares, which has been completed. The total area of reduce impact logging is 69.67 hectares. Guangxi: Completed the application of enhanced					

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
			carbon management of 4754.3 hectares.					
Output2.2.3 Six project sites successfully create carbon credits under the SFM methodology for China's national carbon trading scheme.	Q4 y6	Carbon credit certificate obtained in Shunchang and Yangkou forest farms based on the provincial standard FFCER, with initial carbon reached 78,772 tons and 119,400 tons respectively.	Forest carbon project is under development in Henan province.				55%	The expected outcome has been adjusted from 6 projects sites for carbon credit to 3 project sites with one for national carbon trading scheme and two for provincial carbon trading scheme, as was approved by the project advisory committee.
Output2.3.1 35,000 ha of additional forest area certified under CFCS with particular focus on CFCS biodiversity requirements.	Q4 y2: preparation of forest certification; Q4 y6: Application for certificate	Guangxi: 36492.3 ha of forest in Yachang Forest Farm has been certified. Fujian:	Fujian: Completed Guangxi: : The forest certification area is 36498.3 hectares, which was				80% Guangxi: 100%; Fujian: 100%	Forest certificates obtained for 36492.3 ha of forest in Yachang Forest Farm and 6469 ha of forest in Weimin Forest Farm. Forest certification in Henan province is

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		6469 ha of forest has been certified in Weimin forest farm in November 2017.	approved by annual auditing in September 2018. Henan: Develop certification training and improve certification materials					under development.
Output2.3.2 15,000 ha of forest restoration efforts incorporate the planting of rare species.	Q4 y3	Henan: more than 20 ha of rare species planting; Guangxi: Complete 1337 ha of rare species afforestation . Fujian: Complete 112.3 ha of rare species afforestation .	Fujian: 7.93 hectare was established as demonstrati on forest for precious native species. Guangxi: Planting of 1,826.1 hectares of rare tree species was completed. Henan: Compile planting				22%	Planting activities for rare species implemented in four provinces. There is no data from Hainan province.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
			design of rare tree species and carry out planting activities. Provincial consultants provide technical consulting and guidance to project implementing units.					
Output2.3.3 Nurseries for rare tree species created or improved.	Q4 y3: nursery enhancement	Henan: three nurseries created for rare species in total area of 41.33 ha; Guangxi: 8 ha of enhanced seedling breeding; 6.17 ha of new nursery has been	Fujian: Completed 0.87 ha of nursery, Cultivated 25,000 <i>Bretschneidera sinensis</i> seedlings. Guangxi: completed implementation plan for cultivation and				60%	Nurseries for rare species enhanced.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		designed and called for bidding. Fujian: Established 0.66 ha of nursery for rare species.	protection of rare tree species; 6.17 hectares of nurseries have been fully equipped.					
Output2.3.4 Implementation of business models for revenue generation from rare species protection.	Q4 y3: business model design; Q4 y6: business model implementation	Henan: selling 270,000 seedlings of rare species Fujian: established the win-win business model of "company + farmer", for collecting, demonstration area for rare tree species, selling 106,000 seedlings of rare species	Fujian: Prepare and design business model on cultivation & conservation of rare and endangered species; Hainan: preliminary selection Henan: develop seedling marketing mode, modify and improve seedling marketing plan.				55%	The business models for revenue generation from rare species protection are developed and implementation.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Output3.1.1 National level as well as cross-provincial trainings for stakeholders from all project provinces including international experts and exchange at international level.	Q4 y1: Design and establishment of training; Q4 y6: Implementation of training	Preparation of the overall implementation plan of capacity building; hold the trainings at national level with active participation from the four provinces.	Organize the training workshop at national level with active participation from the four provinces.				40%	Trainings have been organized.
Output3.1.2 Provincial and county-level forest bureaus as well as local community forest managers trained in SFM practices with specific focus on CCM and BD benefit creation. [Total number of trainees across the four provinces: 4000]	Q4 y1: Design and establishment of training; Q4 y6: Implementation of training	Henan: Held and participated in 6 project meetings and special training sessions with 400 participants. Guangxi: 589 people from province level, county	Guangxi: 344 personnel from provincial and county forestry bureaus and local community forest managers received training. Henan:				38%	More than 1510 practitioners trained with main focuses on SFM, CCM and BD. Guangxi: Due to the adjustment of the project implementation unit, the number of participators in the first annual progress report was revised to 246.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		level and local community forest management department have been trained. Fujian: more than 120 staff trained. Hainan: more than 120 staff trained.	Carried out training on project management , finance, afforestation technology, monitoring and evaluation. About 400 person/times trained.					
Output3.1.3 Provincial and county-level forest bureaus as well as local community forest managers trained in the setup and application of carbon as well as biodiversity monitoring systems as designed under component 1.	Q4 y1: Design and establishment of training; Q4 y6: Implementation of training	Henan: Held and participated in 6 project meetings and special training sessions with 400 participants. Guangxi: 589 people from province level, county	Guangxi: 344 personnel from provincial and county forestry bureaus and local community forest managers received training. Henan:				38%	More than 1200 practitioners trained with relatively less focus on monitoring; Field trainings by the consultants on SFM, CCM and BD and their monitoring. Guangxi: Due to the adjustment of the project implementation unit, the number of

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
		level and local community forest management department have been trained. Fujian: more than 120 staff trained. Hainan: more than 120 staff trained.	Carried out training on project management, finance, afforestation technology, monitoring and evaluation. About 400 person/times trained					participants in the first annual progress report was revised to 246.
Output 3.1.4 Improved provision of relevant data and knowledge to project stakeholders.	Q4 y2: establishment of mechanism; Q4 y6: Implementation of mechanism	Project website established for information sharing.	Project website established for information sharing. The wechat group established for communication among various levels.				40%	Specific project website; Field training mechanism – called “Lecture in the forest” on the sites of the selected 16 forest farms in the four provinces continued. Wechat groups established for smooth communications.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Output3.2.1 Mechanisms and communication channels for regular exchange of knowledge and experience incl. peer-to-peer teaching between local forest managers and government administrators at county and provincial level established.	Q4 y1: Preparation and Design; Q4 y2: Establishment; Q4 y6: Application	preparation of peer-to-peer or similar mechanisms and regular channel for knowledge exchange at national and provincial levels jointly	regular channel for knowledge exchange at national and provincial levels jointly				40%	Implementation of peer-to-peer or similar mechanisms at national and provincial levels jointly
Output 3.2.2 Mechanisms and communication channels for exchange of knowledge and experience between project stakeholders from different provinces established.	Q4 y1: Preparation and Design; Q4 y2: Establishment; Q4 y6: Application	Preparation of mechanisms and communication channels for knowledge and experiences exchange	Regular channel for knowledge exchange at national and provincial levels jointly				40%	Regular channel for knowledge exchange at national and provincial levels jointly
Output3.2.3 Interaction on SFM utilized to strengthen social networks and new social capital among local forest managers (possibly including creation of forest	Q4 y6: Intensified interactions on SFM	Establishment of mechanisms of involving consultants and practitioners at all the	Enhanced involving of consultants and practitioners at all the levels and all provinces.				40%	Enhanced involving of consultants and practitioners at all the levels and all provinces.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
manager associations where suitable).		levels and all provinces.						
Output 3.3.1 Project M&E system designed, established and applied throughout the project and across all components, provinces and project sites.	Q4 y1: Design and establishment; Q4 y6: Application	Preparation of implementation plan for project M&E system	Implementation plan for project M&E system drafted and reviewed.				40%	Implementation plan of project M&E system drafted and reviewed.
Output 3.3.2 Publication and dissemination of project information and experiences; public awareness raising	Q4 y1: Design and establishment; Q4 y6: Application	Specific project website opened in December 2017 and Project Newsletter compiled for dissemination.	Printed and distributed training materials; Established WeChat communication platform for provincial and county-level project managers and provincial project experts, and use WeChat to officially				40%	Project website launched and project newsletters developed for dissemination. training materials printed and distributed; Established WeChat communication platform for formal and informal use among stakeholders at various levels.

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
			publicize the inspection of project officials and project training information.					

Information on Progress, Outcomes and Challenges on project implementation.

Please briefly summarize main progress achieving the outcomes (cumulative) and outputs (during this fiscal year) (Max 200 words)

- **Project management:** Project technical service manual for consultant management, was developed and implemented to enhance the efficiency and effectiveness.
 - **Component 1:** a) The national guidelines on sustainable forest management, biodiversity standards, forest carbon project development and management were developed and reviewed several times at national, provincial and forest farm levels involving professionals and practitioners; b) provincial forest management plans drafted in four provinces are under review; c) a package of implementation plans on demonstration and extension activities on SFM, monitoring activities and methods, forest certification, and capacity building and knowledge dissemination for the four provinces and all the forest farms have been drafted and reviewed which are ready for implementation.
 - **Component 2):** a) CFCS certificates have been obtained in Weimin Forest Farm of Fujian province (6469ha). Preparation and trainings on certification were conducted in Henan and Guangxi provinces; b) Preparation and trainings on forest carbon management were taken in Henan province; c) Practical SFM activities in the four provinces and all the targeted forest farms were enhanced.
- Component 3):** A series of technical training workshops and “Lecture in the forest” were taken, involving over 911 participants.

- **Communication and visibility:** A project specific website (pmcgef.forestry.gov.cn) has been maintained. Three issues of project newsletter were compiled. An international workshop on this project was organized at the 4th World Congress on Planted Forest during October 22-25 2018 sharing the project concept and experiences with the international participants. A number of release press on project activities were published on several important media platforms.

What are the major challenges the project has experienced during this reporting period? (Max 200 words)

- How to involve the experts and practitioners at national, provincial and county levels with incentives and innovation by creating innovative management mechanism remains as one of the key challenges from the project management point of view.
- The project idea is very much forward looking and the project results would be of highly guiding significance to the implementation of the current key forest programs like National Strategic Timber Reserve Program and forest quality precision promotion. How to build up the techniques, talents and experiences gathered through implementing this project, and then scale up in more areas need to be explored further.
- The project design was done in a few years back. Some of the activities/outputs designed no longer fit the current situations, and cause difficulties in project implementation. Adaptive adjustment is needed. For example:
 - Project site Tianlin County of Guangxi province faced difficulties in project implementation due to the reform of forest farm in the country. Therefore, this project site had to be replaced by a new unit – Qipo Forest Farm of Guangxi province.
 - Co-financing issue: the project period of the co-financing in some forest farms is inconsistent with that of this project. When there is no co-financing for these farms, it would be difficult for them to complete their project tasks.

Development Objective Ratings, Implementation Progress Ratings and Overall Assessment

FY2019 Development Objective rating ¹⁵	FY2019 Implementation Progress rating ¹⁶	Comments/reasons justifying the ratings for FY2019 and any changes (positive or negative) in the ratings since the previous reporting period
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¹⁵ **Development/Global Environment Objectives Rating** – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet.

Ratings can be Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U) or Highly Unsatisfactory (HU). For more information on ratings, definitions please refer to Annex 1.

Project Manager / Coordinator	S	S	<i>The project achieved all major global environment objectives for year 1 and generated good practices in terms of project management, technical innovation and capacity building modalities.</i>
Budget Holder	S	S	<i>The project team has demonstrated a high degree of ownership and proactivity. The project has achieved all the year one results with satisfaction. Faster disbursement of the funds as per the agreed modality is encouraged for the second project year to come.</i>
Lead Technical Officer¹⁷	S	S	<i>The project progress remains on track, with a strong project management office and commitment by government counterparts at the central and local levels.</i>
GEF Funding Liaison Officer	S	S	<i>The project team continues to demonstrate high commitment to the project's timely delivery and quality. The team could be a role model for other FAO-GEF project teams in sharing good practices. Scheduled MTR in Q1 2020 will provide opportunity to further strengthen the implementation.</i>

¹⁶ **Implementation Progress Rating** – Assess the progress of project implementation. For more information on ratings definitions please refer to Annex 1.

¹⁷ The LTO will consult the HQ technical officer and all other supporting technical Units.

3. Risks

Environmental and Social Safeguards (Under the responsibility of the LTO)

Overall Project Risk classification (at project submission)	Please indicate if the Environmental and Social Risk classification is still valid ¹⁸ . If not, what is the new classification and explain.
LOW	Yes

Please make sure that the below risk table include also Environmental and Social Management Risks captured by the Environmental and social Management Risk Mitigations plans.

Risk ratings

RISK TABLE
The following table summarizes risks identified in the Project Document and reflects also any new risks identified in the course of project implementation. The <u>Notes</u> column should be used to provide additional details concerning manifestation of the risk in your specific project, as relevant .

	Risk	Risk rating ¹⁹	Mitigation Action	Progress on mitigation actions ²⁰	Notes from the Project Task Force
1	Insufficient coordination and collaboration among stakeholders (vertical and horizontal) decreases implementation effectiveness	Low			

¹⁸ **Important:** please note that if the Environmental and Social Risk classification is changing, the ESM Unit should be contacted and an updated Social and Environmental Management Plan addressing new risks should be prepared.

¹⁹ GEF Risk ratings: Low, Medium, Substantial or High

²⁰ If a risk mitigation plan had been presented as part of the Environmental and Social management Plan or in previous PIR please report here on progress or results of its implementation. For moderate and high risk projects, please Include a description of the ESMP monitoring activities undertaken in the relevant period".

	Risk	Risk rating ¹⁹	Mitigation Action	Progress on mitigation actions ²⁰	Notes from the Project Task Force
2	Capacity development may not be sustained at the local community level failing to enable forest farmers to understand and apply SFM or resulting in stakeholders continuing unsustainable practices.	Low			
3	Climate change impacts may increase to the extent that even if the project implements activities to improve forest management it may not be enough to make a significant difference. New threats could emerge, specifically, insect infestations, epidemics or diseases caused by CC.	Low			
4	The national executing partner does not have the full capacity to implement the fiduciary processes of the project including financial planning and budgeting in all its aspects	Low			

Project overall risk rating (Low, Medium, Substantial or High):

FY2018 rating	FY2019 rating	Comments/reason for the rating for FY2019 and any changes (positive or negative) in the rating since the previous reporting period
LoW	LoW	

4. Adjustments to Project Strategy

Please report any adjustments made to the project strategy, as reflected in the results matrix, in the past 12 months²¹

Change Made to	Yes/No	Describe the Change and Reason for Change
Project Outcomes	no	
Project Outputs	Partially for output	1) Modifications on carbon credits of the six project sites. Due to the budget deficiency, and considering the overall project target, an agreement was reached to change the number of the proposed project sites to get carbon credit certified from six project sites acquiring carbon credits based on national standards CCER to one site for carbon credits based on CCER and two sites for carbon credits based on provincial standards; 2) Adaptive adjustment on project site. Project site Tianlin County of Guangxi province faced difficulties in project implementation due to the reform of forest farm in the country. Therefore, it was approved to replace this project site by a new unit – Qipo Forest Farm of Guangxi province.

Adjustments to Project Time Frame

If the duration of the project, the project work schedule, or the timing of any key events such as project start up, evaluations or closing date, have been adjusted since project approval, please explain the changes and the reasons for these changes. The Budget Holder may decide, in consultation with the PTF, to request the adjustment of the EOD-NTE in FPMIS to the actual start of operations providing a sound justification.

Change	Describe the Change and Reason for Change
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²¹ Minor adjustments to project outputs can be made during project inception. Significant adjustments can be made only after a mid-term review/evaluation or supervision missions. The changes need to be discussed with the FAO-GEF Coordination Unit, then approved by the whole Project Task Force and endorsed by the Project Steering Committee.

Project extension	<p>Original NTE: 31 August 2022 (as per FPMIS) Revised NTE: July 31 2023</p> <p>Justification: The first financial installment was paid to the OP on July 31, 2017. At the request of OP and as per consultation with the OPIM team in FAO, an official letter of exchange was made in January 2018 to acknowledge the operational EOD-NTE would be August 01 2017 to July 31 2023.</p>
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5. Gender Mainstreaming

Information on Progress on gender-responsive measures as documented at CEO Endorsement/Approval in the gender action plan or equivalent (when applicable)?

Fujian: The concept of gender equality has been implemented during the whole process.

Guangxi: Project area is dominated by karst landforms with complex and mountainous terrain. The intensity of forestry work is high, and the physical demands of workers are high. The production activities of the project, such as reforestation and afforestation, conversion of monoculture to mixed forest, and impact harvesting, are mostly male participants. But women also have equal access to programs. They participate in activities such as planting, tending and protecting forests, which are low physical demands. And they get the same pay for the same job. In the training, according to actual needs, the proportion of male trainees is often higher than that of female trainees. But in the project management process, there are a large number of women involved, especially in the financial management activities. The implementation of the project provides women with opportunities for employment and development, which is conducive to improving women's economic and social status and further promoting gender equality.

Hainan: The project personnel were employed through open recruitment without gender difference.

Henan: The project emphasizes the participation of women in the implementation process. There are women staffs participate in the management and technical department. The participation rate of female trainees reached 30%.

6. Indigenous Peoples Involvement

Are Indigenous Peoples involved in the project? How? Please briefly explain.

Fujian: There are ethnic minority peoples involving in the project. For example, in the enhanced management activities in the project, the implementation unit signs a contract with indigenous people to carry out forest measures such as tending, irrigation and weeding and pruning.

Guangxi: Most staffs who work in the local forestry department, including county forest bureau and forest farm, are ethnic minority people. They were responsible for project implement and training activities. In the implementation of the project, the implement unit gave priority to hiring local migrant workers to participate in project activities, such as reforestation and afforestation, and enhance carbon management activities. The project tried to provide local people opportunities to fully participate in the project and provide them with more job opportunities. Local languages were used in training activities. Most of the GEF project areas in Guangxi are located in state-level poverty-stricken counties, and the implementation of the project plays an important role in promoting local people's income, learning advanced afforestation technologies, poverty alleviation and improvement of living.

7. Stakeholders Engagement

Please report on progress, challenges and outcomes on stakeholder engagement (based on the description of the Stakeholder engagement plan included at CEO Endorsement/Approval (when applicable))

The major stakeholders of the project include FAO, the National Forestry and Grassland Administration (NFGA), the World Bank Project Management Center (WBPMC) of NFGA, the National Forestry Carbon Sequestration Accounting and Monitoring Center (NFCSA), the Provincial Forest Departments (PFD) in Hennan, Guangxi, Hainan and Fujian provinces, County Forest Bureaus, local communities and related civil society organizations.

During this 2nd PIR reporting period, all the project stakeholders have been mobilized to work together towards to the implementation of the project. It is also worth highlighting that strong coordination have taken shape between the WBPMC as national PMO and the PFDs as the provincial PMOs, which is considered key to move forward the implementation of the all the project activities.

The local people are part of the stakeholders benefiting from the project through: 1) capacity building in SFM and improved forest management which increases the forest land productivity and income finally; 2) job opportunity created through the project activities implementation which provides additional income. The project is also contributing to achieve the expected global environmental benefits including biodiversity conservation and climate change mitigation and adaptation through improved forest management practices.

8. Knowledge Management Activities

Knowledge activities / products (when applicable), as outlined in knowledge management approved at CEO Endorsement / Approval

The project produces guidelines on sustainable forest management, biodiversity conservation, forest carbon project development and management at national and provincial levels, as well as a package of implementation plans on demonstration and extension activities on SFM, monitoring activities and methods, forest certification, and capacity building and knowledge dissemination for the four provinces and all the forest farms. A series of training workshops and “Lecture in the forest” have taken place involving over 911 participants. A project specific website (pmcgef.forestry.gov.cn) has been maintained. Three issues of project newsletter were compiled and delivered.

The project creates the international impacts though organizing the workshop at the 4th World Congress on Planted Forest during October 22-25 2018 by sharing the project concept and experiences with the international participants.

9. Co-Financing Table

Sources of Co-financing ²²	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at 30 June 2019-	Actual Amount Materialized at Midterm or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
State Forestry Administration and Provincial Forestry Departments	European Investment Bank-Government of China (EIB-GOC) Forestry Frame-work Loan (project implementation period 2014-2018)	LOAN	USD 40,800,000	USD 21,331,941		
State Forestry Administration and Provincial Forestry Departments	Government of China's own forest sector investments under the National Strategic Timber Reserve Programme (NSTRP) and other fiscal allocations .	CASH	USD 7,200,000	USD 17,524,887		
FAO	FAO Project	Grant	USD 400,000	n/a		
		TOTAL	USD 48,400,000	USD 38,856,828		

²² Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Beneficiaries, Other.

Please explain any significant changes in project co-financing since Project Document signature, or differences between the anticipated and actual rates of disbursement

n/a

Annex 1. – GEF Performance Ratings Definitions

Development/Global Environment Objectives Rating – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet. **DO Ratings definitions:** **Highly Satisfactory (HS)** - Project is expected to achieve or exceed **all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”; **Satisfactory (S)** - Project is expected to achieve **most** of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings); **Moderately Satisfactory (MS)** - Project is expected to achieve **most** of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major global environmental objectives or yield some of the expected global environment benefits); **Moderately Unsatisfactory (MU)** - Project is expected to achieve of its major global environmental objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives); **Unsatisfactory (U)** - Project is expected **not** to achieve **most** of its major global environment objectives or to yield any satisfactory global environmental benefits); **Highly Unsatisfactory (HU)** - The project has failed to achieve, and is not expected to achieve, **any** of its major global environment objectives with no worthwhile benefits.)

Implementation Progress Rating – Assess the progress of project implementation. **IP Ratings definitions:** **Highly Satisfactory (HS):** Implementation of all components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be resented as “good practice”. **Satisfactory (S):** Implementation of most components is in substantial compliance with the original/formally revised plan except for only a few that are subject to remedial action. **Moderately Satisfactory (MS):** Implementation of some components is in substantial compliance with the original/formally revised plan with some components requiring remedial action. **Moderately Unsatisfactory (MU):** Implementation of some components is not in substantial compliance with the original/formally revised plan with most components requiring

remedial action. **Unsatisfactory (U):** Implementation of most components is not in substantial compliance with the original/formally revised plan.

Highly Unsatisfactory (HU): Implementation of none of the components is in substantial compliance with the original/formally revised plan.