



FAO-GEF Project Implementation Report

2021 – Revised Template

Period covered: 1 July 2020 to 30 June 2021



1. Basic Project Data

General Information

Region:	Asia Pacific
Country (ies):	China
Project Title:	A New Green Line: Mainstreaming Biodiversity Conservation Objectives and Practices into China's Water Resources Management Policy and Planning
FAO Project Symbol:	GCP/CPR/057/GEF
GEF ID:	5665
GEF Focal Area(s):	BD (Biodiversity)
Project Executing Partners:	International Economic and Technical Cooperation and Exchange Centre of the Ministry of Water Resources (MWR), The Nature Conservancy (TNC)
Project Duration:	72 months
Project coordinates: (Ctrl+Click here)	<p><i>Zhenyuan County</i> <u>N 23° 51' 0"</u> <u>E 100° 58'59"</u></p> <p><i>Jingdong County</i> <u>N 24° 28' 0"</u> <u>E 100° 54' 0"</u></p> <p><i>Banan District</i> <u>N 29° 22' 14"</u> <u>E 106° 44' 4"</u></p> <p><i>Jiangjin District</i> <u>N 29° 1' 54"</u> <u>E 106° 15' 28"</u></p>

Milestone Dates:

GEF CEO Endorsement Date:	1 December, 2015
Project Implementation Start Date/EOD :	29 September, 2016
Proposed Project Implementation End Date/NTE¹:	31 May, 2020
Revised project implementation end date (if applicable) ²	31 May, 2022
Actual Implementation End Date³:	

¹ As per FPMIS

² In case of a project extension.

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

Funding

GEF Grant Amount (USD):	USD 2,639,726
Total Co-financing amount as included in GEF CEO Endorsement Request/ProDoc⁴:	USD 25,975,000
Total GEF grant disbursement as of June 30, 2021 (USD m):	USD 2.350.683
Total estimated co-financing materialized as of June 30, 2021⁵	USD 27 405 276

Review and Evaluation

Date of Most Recent Project Steering Committee Meeting:	September 11, 2020
Expected Mid-term Review date⁶:	
Actual Mid-term review date:	March-June, 2020
Mid-term review or evaluation due in coming fiscal year (July 2021 – June 2022)⁷:	No
Expected Terminal Evaluation Date:	March 2022
Terminal evaluation due in coming fiscal year (July 2021 – June 2022):	Yes
Tracking tools/ Core indicators required⁸	Yes

Ratings

Overall rating of progress towards achieving objectives/ outcomes (cumulative):	S
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⁴ This is the total amount of co-financing as included in the CEO document/Project Document.

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 The MTR should take place about halfpoint between EOD and NTE – this is the expected date

⁷ Please note that the FAO GEF Coordination Unit should be contacted six months prior to the expected MTR date

⁸ 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

Overall implementation progress rating:	S
Overall risk rating:	Low

Status

Implementation Status <i>(1st PIR, 2nd PIR, etc. Final PIR):</i>	4 th PIR
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Project Contacts

Contact	Name, Title, Division/Institution	E-mail
Project Manager / Coordinator	Project Manager, Zhu Jiang, INTCE, MWR / Coordinator, Hu Wenjun, INTCE, MWR	wenjun.hu@263.net
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2. Progress Towards Achieving Project Objectives and Outcome (DO)

(All inputs in this section should be cumulative from project start, not annual)

Project objective and Outcomes (<u>as indicated at CEO Endorsement</u>)	Description of indicator(s) ⁹	Baseline level	Mid-term target ¹⁰	End-of-project target	Level at 30 June 2021	Progress rating ¹¹
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Objective(s)	To mainstream biodiversity conservation objectives and practices into China's water resources management policy and planning.					
Outcome 1.1 Mainstream biodiversity objectives and practices into key water resource management policies, planning, and legal stipulations at the national, provincial and prefecture level	<ul style="list-style-type: none"> Initial gap analysis conducted at national level, provincial level for two pilot provinces, and municipal level for four pilot municipalities; renewal of results at a one-year interval. 	<ul style="list-style-type: none"> Existing water resource management policies, plans, regulations and institutional structures do not systematically integrate biodiversity conservation in river ecosystems. While supportive of ecological priorities, the existing framework does not provide sufficient 	<ul style="list-style-type: none"> Review; identification of new and additional opportunities 	<ul style="list-style-type: none"> Review; identification of new and additional opportunities 	Completed ahead of schedule in general. <ul style="list-style-type: none"> Gap analysis has been completed at all levels and is supporting the reform process to mainstream biodiversity (BD) and e-flow protection in the water sector's policy, legal and regulatory framework. 	S

⁹ 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.

¹⁰ 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.

¹¹ 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).

	<ul style="list-style-type: none"> • Biodiversity mainstreamed into at least 3 important national level WRM policies, plans, or laws 	<p>support for and guidance to the mainstreaming of biodiversity conservation objectives and practices into water resources management.</p>	<ul style="list-style-type: none"> • Mainstreaming work 	<ul style="list-style-type: none"> • Biodiversity mainstreamed into at least 3 important national level WRM policies, plans, or laws 	<p>Completed ahead of schedule.</p> <ul style="list-style-type: none"> • Mainstreaming process is advancing in 8 policies¹², work plans and laws (The Yangtze River Protection Law has come into operation in 2021) 	HS
	<ul style="list-style-type: none"> • Biodiversity mainstreamed into at least 3 provincial level WRM policies, plans or law for each of the two provinces (min. 6 provincial level improvements in total) 	<ul style="list-style-type: none"> • Existing policy framework provides a solid basis for sound water management with regards to absolute water use, water use efficiency and water quality from a pollutant perspective (The three red lines) • Political context supportive of improvements of environmental protection in general and for river ecosystems in particular. 	<ul style="list-style-type: none"> • Mainstreaming work 	<ul style="list-style-type: none"> • Biodiversity mainstreamed into at least 3 provincial level WRM policies, plans or law for each of the two provinces (min. 6 provincial level improvements in total) 	<p>Completed ahead of schedule.</p> <ul style="list-style-type: none"> • Mainstreaming is advancing through 5 policies, regulations or plans in Yunnan and 5 in Chongqing (New regulation on river chief system in Chongqing). 	HS
	<ul style="list-style-type: none"> • Biodiversity mainstreamed into water sector plan as well as river management plan for each of the four pilot sites (prefecture level) 		<ul style="list-style-type: none"> • Mainstreaming work 	<ul style="list-style-type: none"> • Biodiversity mainstreamed into water sector plan as well as river management plan for each of the four pilot sites (prefecture, county/district level) 	<p>Completed.</p> <ul style="list-style-type: none"> • Recommendations on mainstreaming BD and e-flow goals into river management plans in the four pilot sites were made and are expected to be implemented over the next 2 years. 	S
Outcome 1.2 Develop administrative	<ul style="list-style-type: none"> • Biodiversity mainstreamed into 1-2 important national level regulations and 1-2 important provincial level 	<ul style="list-style-type: none"> • See Outcome 1.1 	<ul style="list-style-type: none"> • Mainstreaming work 	<ul style="list-style-type: none"> • Biodiversity mainstreamed into at least 3 important national 	<p>Completed.</p> <ul style="list-style-type: none"> • MWR has issued the Technical Guidance on Ecological Flow 	HS

¹² 1) The Supervision and Management Measures for Water Function Zones; 2) Technical Guidance Opinions on the Small Hydropower Ecological Flow Supervision Platform; 3) the Notice on Strengthening Ecological Flow Supervision for Small Hydropower Stations in the Yangtze River Economic Belt; 4) 2019 Ecological Flow (Water Volume) Research and Guarantee Work Plan for Key Rivers and Lakes; 5) Guidance on Rivers and Lakes Ecological Flow Identification and Guarantee; 6) Aquatic Biodiversity Conservation Program for Key Watersheds in China; 7) the Guidance on Further Strengthening the Performance on Responsibilities of River and Lake Chiefs.

regulations as well as technical guidelines for translating biodiversity objectives into concrete WRM practices (with special emphasis on E-flow implementation through corresponding adjustment of human-made flow alteration)	regulations for each of the two pilot provinces			level regulations and 3 important provincial level regulations for each of the two pilot provinces	Supervision Platform for Small Hydropower, Guidance on E-flows in rivers and lakes, Determination of ecological flow of key rivers and lakes in China in 2020. • Biodiversity has been mainstreamed into 12 regulations or policies at provincial level.	
	<ul style="list-style-type: none"> • Technical guidelines drafted for the national, provincial, prefecture, and county/district level policies (outcome 1.1) and regulations (outcome 1.2); other suitable policies and regulations will be included as far as possible 		<ul style="list-style-type: none"> • Mainstreaming work 	<ul style="list-style-type: none"> • Technical guidelines drafted for the national, provincial, prefecture and county/district level policies and regulations 	<p>Completed.</p> <ul style="list-style-type: none"> • National-level Technical Guidelines for River and Lake Health Assessment (RHA) were developed (Greenline Scorecard has been integrated into RHA) . • MWR published Technical guidelines on River and Lake Ecosystem Conservation and Restoration Engineering. • Evaluation guide for beautiful rivers and lakes in Yunnan Province. • Guidelines for health assessment of rivers and lakes in Yunnan Province to be drafted in 2021. • Guidelines for aquatic ecological survey to be drafted. 	S

					<ul style="list-style-type: none"> Guideline for ecological flow calculation to be drafted in 2021. 	
	<ul style="list-style-type: none"> Regulations for dam construction and operation drafted or improved at national and provincial level (for both pilot provinces) 		<ul style="list-style-type: none"> Mainstreaming work 	<ul style="list-style-type: none"> Regulations for dam construction and operation drafted or improved at national and provincial level (for both pilot provinces) 	<p>Completed.</p> <ul style="list-style-type: none"> MWR published Technical Guidelines on the Control of Downstream Flow Reduction at Small Hydropower Stations (SL/T 796-2020) Standards are published on the assessment of green small hydropower (SL/T752-2020). Implementation plan for cleanup and rectification of small hydropower stations in Yunnan Province aiming at improving habitat condition and ensuring e-flow. Implementation plan of small hydropower cleaning and rectification in Chongqing Yangtze River Economic Belt to strengthen biodiversity conservation Notice of Chongqing Municipality on Strengthening Rural 	S

					Hydropower efficiency and capacity expansion and related actions <ul style="list-style-type: none"> • Rectification and clean small hydropower will ensure the environmental flow released in river. 	
Outcome 1.3 Establish new institutional partner-ships for WRM between government and CSOs	<ul style="list-style-type: none"> • New collaborative partnerships operational at national level, provincial level for 2 pilot provinces; Working group/Stakeholder network established and operational at prefecture/municipal level as well as county/district level for 4 pilot areas. 	<ul style="list-style-type: none"> • Inclusion of CSOs including academic/research institutions underdeveloped. 	<ul style="list-style-type: none"> • Partnerships established 	<ul style="list-style-type: none"> • Partnerships contribute to mainstreaming (C-I) and implementation (C-II) 	Completed. <ul style="list-style-type: none"> • New partnerships have been established among departments for water, environment, agriculture, forest and judicial system in the pilot provinces, counties and districts. River Chief System is working well at provincial, municipal, district/county and village levels supported by creation of civil chiefs selected from civil society. • More than 1000 volunteers are engaged in river protection. 	HS
Outcome 1.4 Develop system of principles and corresponding standards to systematically measure and certify biodiversity conservation in China's water bodies	<ul style="list-style-type: none"> • River/lake health assessment (RHA) system developed and ready to be tested in the pilot sites (see component II) 	<ul style="list-style-type: none"> • No certification system for river biodiversity protection in place 	--	--	Completed. <ul style="list-style-type: none"> • Green Line Scorecard (GLS) has been integrated with RHA. 	S
	<ul style="list-style-type: none"> • RHA created with input from and endorsed by all relevant stakeholders 		<ul style="list-style-type: none"> • Testing of RHA in pilot rivers 	<ul style="list-style-type: none"> • Recommendations for RHA replication and upscaling 	Completed. <ul style="list-style-type: none"> • RHA is being tested in the 4 pilot rivers, and gradually upscaling. 	S

Outcome 1.5 Increase levels of government investments into biodiversity conservation for river eco-systems	<ul style="list-style-type: none"> Investment opportunity assessments conducted at national level as well as for both pilot provinces 	<ul style="list-style-type: none"> Corresponding government investments are increasing, put targeting on most effective BD conservation can be improved 	---	---	Completed. <ul style="list-style-type: none"> An evaluation on investment opportunities for river biodiversity conservation has been completed. 	S
	<ul style="list-style-type: none"> Increase in relevant government investment of at least US\$20 million) in value 		<ul style="list-style-type: none"> Investment monitoring and support for implementation of recommendations 	<ul style="list-style-type: none"> Investment monitoring and support for implementation of recommendations 	Completed ahead of schedule. <ul style="list-style-type: none"> Government investment in river management which focuses on biodiversity increased at least US\$12 million. The central and provincial governments invested billions of Yuan in projects to improve the water environment each year, i.e. Yunnan invested 31 billion Yuan in 2020 to protect water environment. 	HS
	<ul style="list-style-type: none"> At least 5 additional major water management programs (all government levels combined with at least one national level initiative) and related budgets include biodiversity conservation 		<ul style="list-style-type: none"> Support for targeted investment increases in 5 WRM programs 	<ul style="list-style-type: none"> Support for targeted investment increases in 5 WRM programs 	Completed. <ul style="list-style-type: none"> Five major water management programs (1 in Yunnan, 1 in Pu'er, 2 in Chongqing and 1 in Banan District) include biodiversity conservation. Yunnan plans to invest a total of 27.9 billion yuan in the "Beautiful Rivers and Lakes" Initiative which 	S

					includes biodiversity objectives in 2020. A program with a total investment of 30.3 million yuan is ongoing in Pu'er. About 5.7 million yuan were invested in initiatives related to biodiversity conservation in the Wubu and Tang Rivers in Chongqing.	
Outcome 2.1 Broaden the alliance of stakeholders and clarify distribution of responsibilities to strengthen the networks of partners involved in the implementation of biodiversity conservation measures	<ul style="list-style-type: none"> • New collaborative partnership operational at provincial level for 2 pilot provinces (supporting mainstreaming under output 1.1.3 as well as strengthening implementation capacity for pilot activities); Working group/Stakeholder network established and operational at prefecture/municipality level as well as county/district level for the 4 pilot areas 	<ul style="list-style-type: none"> • Inclusion of CSOs including academic/research institutions underdeveloped. 	<ul style="list-style-type: none"> • Partnerships established 	<ul style="list-style-type: none"> • Partnerships contribute to mainstreaming (C-I) and implementation (C-II) 	Completed and achieved broader (Trans provincial and trans County/township as well) outreach. <ul style="list-style-type: none"> • New partnerships among various government departments and with civil society have been established in Yunnan and Chongqing. This is raising awareness on the importance of BD conservation and e-flow protection as well as allowing dialogue on managing other related interests. • Chongqing and Sichuan Province have established a joint river chiefs office and a joint mechanism to prevent and control water pollution. Yunnan and Tibet have signed an agreement to collaborate on 	HS

					transboundary river protection. • Yunnan and four neighboring provinces have established collaborative mechanism on transboundary river protection.	
	<ul style="list-style-type: none"> • Clear biodiversity-related responsibilities for stakeholders in river management established, effectively addressing fragmentation of competences and coordination of tasks across geographical borders as well as across institutions 	<ul style="list-style-type: none"> • As river ecosystems stretch across different administrative boundaries, coordination and cooperation is often highly difficult, river management responsibilities unclear. 	<ul style="list-style-type: none"> • Support for implementation of recommendations 	<ul style="list-style-type: none"> • Support for implementation of recommendations 	<p>Completed.</p> <ul style="list-style-type: none"> • Both Chongqing and Yunnan have established River Chief Systems with clear responsibilities of different stakeholders related to biodiversity protection in river management. • Stakeholders at pilot counties and districts in Yunnan and Chongqing are partnering with their counterparts to protect cross-boundary rivers. 	S
Outcome 2.2 Pilot counties in Yunnan demonstrate successful implementation of local-level biodiversity conservation	<ul style="list-style-type: none"> • Biodiversity mainstreaming under component I explicitly mentions pilot activities. 	<ul style="list-style-type: none"> • Clear political will overcome the misperception that traditional water resources management concerns such as flood control, hydropower, and irrigation systems are in essence always contradictory to the 	<ul style="list-style-type: none"> • Mainstreaming work 	---	<p>Completed.</p> <ul style="list-style-type: none"> • Yunnan has issued a five-year plan to promote aquatic BD monitoring, RHA and habitat restoration. • Pu'er is advancing local initiatives under the guidance of the provincial plan, including the 	S

activities, implementing E- flows		<p>ecological concerns of improving ecosystem vitality and sustaining biodiversity.</p> <ul style="list-style-type: none"> • Extensive work by TNC and other CSOs demonstrating a higher level of compatibility between development goals and environmental concerns • Initial work at MWR and DWRs at provincial level to introduce a different balance into river management 			<p>development of river and lake management plans.</p> <ul style="list-style-type: none"> • TNC produced a report to introduce the US experience in the assessment of policy for freshwater ecological protection. 	
	<ul style="list-style-type: none"> • E-flow implementation strategy determined and agreed upon by all relevant prefectures as well as county level government stakeholders (incorporating expertise and recommendations from the “new partnerships”, see above). 	<ul style="list-style-type: none"> • No clear basis for decision-making; no E-flow analysis and corresponding recommendations (to be provided through C-III); no experience in applying this advanced information as part of an informed decision-making process on E-flow implementation 	---	---	<p>Completed.</p> <ul style="list-style-type: none"> • An Analysis on E-Flow in Yunnan Province for Biodiversity Conservation was completed. • A provincial plan to implement e-flow of major rivers and lakes has been developed in Yunnan. 	S
	<ul style="list-style-type: none"> • E-flow successfully implemented within Buma/Enle river; habitat not blocked to upstream migration by inadequate culvert, small reservoir and other water infrastructure design, resulting in improved habitat connectivity (Area directly covered by BD mainstreaming: 14 400 ha) 	<ul style="list-style-type: none"> • Existing human-made alterations change natural flow cycle creating negative BD effects; no E-flow 	<ul style="list-style-type: none"> • Implementation of agreed adjustments 	<ul style="list-style-type: none"> • Implementation of agreed adjustments 	<p>80% completed.</p> <ul style="list-style-type: none"> • E-flow analysis is progressing and e-flow targets are determined for Enle and Buma Rivers. • E-flows has been implemented within Buma/Enle River • Pu’er has also identified gaps in 	S

					conducting effective e-flow implementation.	
	<ul style="list-style-type: none"> Increased ecosystem ability to sustain globally significant biodiversity (e.g. potamodromous fish species such as: <i>Tor sinensis</i>; <i>Clupisoma sinense</i>; Largemouth Bronze Gudgeon (<i>Coreius guichenoti</i>) & Royal Clown Loach (<i>Leptobotia elongate</i>) (Area of improved habitats: 9.3 ha) 	<ul style="list-style-type: none"> Habitats threatened by flow alterations and other human-made environmental pressures 	<ul style="list-style-type: none"> Implementation of agreed habitat improvements 	<ul style="list-style-type: none"> Implementation of agreed habitat improvements 	<p>Completed.</p> <ul style="list-style-type: none"> Water ecological surveys and river health assessments were conducted in pilot rivers. Data shows that the species in pilot areas have been increasing in the decade. More than 400,000 local fish fingerlings were released into the Enle River and Buma River. Major sections of Enle River bank, totaling 9km, has been greened by plants and ecological restoration of 9km river course completed, with additional 14ha of wetland and 13ha of greened area. Around 205,800 endemic fish fries were released to the Chuanhe River. Restoration is under way along the Chuanhe River, 35.87 	HS

					km river bank in Chuanhe River is restored, i.e. vegetation, etc.	
	<ul style="list-style-type: none"> Enhanced habitat for and increasing population of aquatic birds as measured by bird monitoring system (monitoring stations in two towns); ca. 35 km of minimal disturbance of key habitats (Area of improved habitats and restored wetlands: 25 ha) 	<ul style="list-style-type: none"> Natural wetlands destroyed by flow alterations and other human-made environmental pressures 	<ul style="list-style-type: none"> Implementation of agreed habitat improvements 	<ul style="list-style-type: none"> Implementation of agreed habitat improvements 	<p>Completed.</p> <ul style="list-style-type: none"> A plan for wetland protection has been developed, which will cover 665.82 ha of wetlands along Chuanhe River. Wetland with a total areas of 13.1 ha has been restored in the upper Chuanhe River valley. Population of aquatic birds is increasing. 	S
	<ul style="list-style-type: none"> E-flow successfully implemented within Buma/Enle River (Area directly covered by BD mainstreaming: 7500 ha) 	<ul style="list-style-type: none"> Existing dam structure alters natural flow cycle creating negative BD effects; no E-flow 	<ul style="list-style-type: none"> Implementation of E-flow 	<ul style="list-style-type: none"> Implementation of E-flow 	<p>85% completed.</p> <ul style="list-style-type: none"> Improvement schemes to dam structures are studied on the Chuanhe River. Discharge facilities of 91 hydropower stations (some outside Chuan River) in Pu'er have been improved. All small hydropower stations have been installed with e-flow monitoring system to reflect whether the 	S

					targeted environmental flow is met in real time in Yunnan.	
	<ul style="list-style-type: none"> • BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 80km of river with newly certified RHA water management practices (Area covered by RHA in Yunnan: 21 900 ha) 	<ul style="list-style-type: none"> • No BD monitoring system in place • No BD certification system in place 	<ul style="list-style-type: none"> • Implementation of systems 	<ul style="list-style-type: none"> • Implementation of systems 	60% completed. <ul style="list-style-type: none"> • Water ecological survey and RHA were carried out in pilot rivers in light of RHA methodology. • Pu'er has developed a monitoring and assessment plan and an early warning system on water quality. • TNC submitted a framework on BD monitoring system based on GIS for reference and guidance to pilot rivers. • A BD monitoring system in Yunnan pilot areas will be built in 2021. 	S
Outcome 2.3 Pilot districts in Chongqing demonstrate successful	<ul style="list-style-type: none"> • Biodiversity mainstreaming under component I explicitly mentions pilot activities. 	<ul style="list-style-type: none"> • Clear political will overcome the misperception that traditional water resources management concerns 			Completed. <ul style="list-style-type: none"> • E-flow control has been included in the priority work of Chongqing municipality. Small 	S

implementation of local-level biodiversity conservation activities, implementing E-flows		<p>such as flood control, hydropower, and irrigation systems are in essence always contradictory to the ecological concerns of improving ecosystem vitality and sustaining biodiversity.</p> <ul style="list-style-type: none"> • Extensive work by TNC and other CSOs demonstrating a higher level of compatibility between development goals and environmental concerns • Initial work at MWR and DWRs at provincial level to introduce a different balance into river management 			<p>hydropower stations are being renovated with e-flow implementation taken into consideration.</p> <ul style="list-style-type: none"> • An analysis on WRM policy framework is completed with recommendations on strengthening BD conservation. TNC produced a report to introduce the US experience in the assessment of priority areas for freshwater ecological protection. 	
	<ul style="list-style-type: none"> • E-flow implementation strategy determined and agreed upon by all relevant municipal and district level government stakeholders (incorporating expertise and recommendations from the “new partnerships”, see above). 	<ul style="list-style-type: none"> • No clear basis for decision-making; no E-flow analysis and corresponding recommendations (to be provided through C-III); no experience in applying this advanced information as part of an informed decision-making process on E-flow implementation 	---	---	<p>Completed.</p> <ul style="list-style-type: none"> • A plan to implement e-flow in all major rivers was developed in Chongqing. • E-flow analysis and targets have been determined in 2020. • E-flow monitoring data collected in Chongqing were analysed and e-flow status was assessed. 	S
	<ul style="list-style-type: none"> • E-flow successfully implemented within Wubu river; habitat not blocked to upstream migration resulting in improved habitat connectivity (Area directly 	<ul style="list-style-type: none"> • Existing human-made alterations change natural flow cycle creating negative BD effects; no E-flow 	<ul style="list-style-type: none"> • Implementation of agreed adjustments 	<ul style="list-style-type: none"> • Implementation of agreed adjustments 	<p>80% completed.</p> <ul style="list-style-type: none"> • Good progress has been made in dealing with barriers on Tang River, including measures in place to 	S

	covered by BD mainstreaming: 1043 ha; Area of habitats improved and restored: 4.4 ha)				<p>remain old weirs with heritage characteristics and tourist potential while explore fishway to improve rare fish migration.</p> <ul style="list-style-type: none"> • Banan District has restored 21 ha of ecological conservation areas. • A cascade of hydropower stations were upgrading for ensuring ecological flow in Whubu River in 2020, and realizing online monitoring. 	
	<ul style="list-style-type: none"> • Retain population of aquatic species through strict application of fish protection and fisheries regulation; assess biodiversity impact of several sewage water treatment options along the river; avoid unnecessary obstructions in the future and improve few existing obstructions through fish migration approaches (river length ca. 31.2 km) (Area directly covered by BD mainstreaming: 18 000 ha; Area of habitats improved and restored: 57.6 ha) 	<ul style="list-style-type: none"> • River comparably pristine; ecosystem still largely functioning • Environmental pressures increasing; protection necessary 	<ul style="list-style-type: none"> • Enforcement of BD conservation measures (defined and mandated under C-I) 	<ul style="list-style-type: none"> • Enforcement of BD conservation measures (defined and mandated under C-I) 	<p>Completed.</p> <ul style="list-style-type: none"> • BD conservation measures are being taken, including the removal of 900 tons of garbage from the Tang River, release of 600,000 fish fry and the construction of a sewage treatment plant. A total of 58 ha of ecological conservation areas has been restored in the Tang River. • Jiangjin District released 7,000,000 additional fish fry in Yangtze river basin in 2020. • A total of 11,000 m² fish nest was built in Tang River in 2021. 	S

					<ul style="list-style-type: none"> • A preliminary scheme design on fishway in Tang River was discussed in Feb 2021. 	
	<ul style="list-style-type: none"> • BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 57.46 km of river with newly certified “Green Line” water management practices (Area covered by RHG in Chongqing: 31 043 ha) 	<ul style="list-style-type: none"> • No BD monitoring system in place • No BD certification system in place 	<ul style="list-style-type: none"> • Implementation of systems 	<ul style="list-style-type: none"> • Implementation of systems 	<ul style="list-style-type: none"> Completed. • Water ecological survey and RHA were carried out in pilot rivers in light of RHA methodology. • Chongqing aquatic biological monitoring system on pilot rivers has been established in 2020 and would be combined in the city’s River Chief system in 2021 • Guidance on monitoring and information system operation was developed. • TNC submitted a framework on BD monitoring system based on GIS for reference and guidance to pilot rivers. 	S
Outcome 2.4 Compilation and internal as well as external dissemination of information and best practices gained from the project	<ul style="list-style-type: none"> • All relevant information documented; project results reports synchronized with M&E reporting schedule (see section 4) 	<ul style="list-style-type: none"> • Identification of best practices plus targeted dissemination very limited; needs improvement 	<ul style="list-style-type: none"> • Collection and documentation of project information; Mid-Term Report 	<ul style="list-style-type: none"> • Collection and documentation of project information; Final Report 	<ul style="list-style-type: none"> 80% completed. • Project documents, reports and records are collected and filed. • Project best practice is being summarized by PMOs • M&E system was built and applied to record the progress. 	S

					<ul style="list-style-type: none"> • A handbook on river/lake chief system has been developed in Yunnan, incorporating information on biodiversity conservation. 	
	<ul style="list-style-type: none"> • Project results shared with project team and relevant stakeholders 	<ul style="list-style-type: none"> • Identification of best practices plus targeted dissemination very limited; needs improvement 	<ul style="list-style-type: none"> • Internal project communication (based on output 2.4.1) incl. corresponding visits and workshops 	<ul style="list-style-type: none"> • Internal project communication incl. corresponding visits and workshops 	<ul style="list-style-type: none"> • 80% completed. • Communication and discussion meetings were continuously carried out within the team and among stakeholders. • Connections between local departments of water, ecology and environment have been established under the river chiefs system, and is continuously enhanced. • Training workshops were organized in Yunnan and Chongqing to share project results between different departments. 	S
	<ul style="list-style-type: none"> • Project result briefings compiled and distributed to decision-makers; public dissemination campaign including project report, DVD 	<ul style="list-style-type: none"> • Identification of best practices plus targeted dissemination very limited; needs improvement 	<ul style="list-style-type: none"> • Continuous communication with decision-makers also in the context of C-I activities; Targeted dissemination of mid-term report results (based on output 2.4.1) 	<ul style="list-style-type: none"> • Continuous communication with decision-makers also in the context of C-I activities. Targeted dissemination of final report results 	<ul style="list-style-type: none"> • 80% completed. • More than 30 newsletters were developed and published online to disseminate information and insight in progress, lessons and good practices. • Public awareness raising activities have 	S

					<p>been organized in Yunnan and Chongqing and reached 30,000 villagers.</p> <ul style="list-style-type: none"> • Pilot counties in Yunnan provided project information through leaflets and displaying panels to the public. • Project achievements were reported at a local journal, <i>Chongqing Water</i>. • A project brief video will be developed in late 2021. 	
	<ul style="list-style-type: none"> • Best practices report compiled and distributed to other provinces, prefectures and counties/districts suitable for replication 	<ul style="list-style-type: none"> • Identification of best practices plus targeted dissemination very limited; needs improvement 	<ul style="list-style-type: none"> • Continuous communication with potential replication areas; Targeted dissemination of mid-term report results (based on output 2.4.1) 	<ul style="list-style-type: none"> • Continuous communication with potential replication areas. Targeted dissemination of final report results 	<p>70% completed.</p> <ul style="list-style-type: none"> • The project communication strategy has been developed. • Best practices were shared with participants from non-pilot areas. For example, training on river health assessment in August 2019 was extended to non-pilot participants in Yunnan. • Books on water management and international cooperation were shared with pilot provinces and counties. 	S

					<ul style="list-style-type: none"> • Exchange activities inter-GEF projects will be organized in late 2021 or early 2022. • GEF project result has been submitted to COP15 Yunnan preparatory group as cases to improve publicity. 	
Outcome 3.1 Design and implement additional information systems to provide comprehensive river biodiversity analysis (including mappings, environmental flow analysis, river health assessments, and water accounting)	<ul style="list-style-type: none"> • Mappings conducted in Chongqing and Yunnan with particularly detailed mappings in the four pilot sites 	<ul style="list-style-type: none"> • Information to serve as basis for BD related WRM and corresponding decision-making very limited; needs improvement • No BD specific mappings existent 	<ul style="list-style-type: none"> • Finalize mappings 	---	80% completed. <ul style="list-style-type: none"> • At the national level, the preliminary study on the framework of the aquatic ecology monitoring system was conducted, and the Baseline Survey Report on River Ecological Zone completed. • Aquatic ecology survey was conducted in Chuan, Buma, Enle and Tang Rivers in 2020 and mapping conducted in Chongqing pilot rivers. 	S
	<ul style="list-style-type: none"> • E-flow analysis conducted; natural cycle as well as impact of flow alterations identified; recommendations for measures to achieve E-flow provided (implementation under component II) 	<ul style="list-style-type: none"> • Information to serve as basis for BD related WRM and corresponding decision-making very limited; needs improvement • No E-flow analysis existent 	<ul style="list-style-type: none"> • Finalize comprehensive E-flow analysis 	---	Completed. <ul style="list-style-type: none"> • E-flow analysis is done on all pilot rivers in 2020 with the support of RHA and hydrological stations. • Suggestions on improving e-flows have been provided by TNC and IWHR in 2020. 	S

	<ul style="list-style-type: none"> • River health assessment conducted for all project counties 	<ul style="list-style-type: none"> • Information to serve as basis for BD related WRM and corresponding decision-making very limited; needs improvement • No E-flow analysis existent 	<ul style="list-style-type: none"> • Finalize assessments 	---	<ul style="list-style-type: none"> Completed. • RHAs were conducted in all pilot rivers in 2020. • A study of RHA standards, methods and application was completed. • Indicators to assess benthic fauna in the pilot rivers were developed. 	S
	<ul style="list-style-type: none"> • Water accounting system operational, utilizing global scale public domain datasets (WA+) 	<ul style="list-style-type: none"> • Information to serve as basis for BD related WRM and corresponding decision-making very limited; needs improvement • No comprehensive water accounting system existent 	<ul style="list-style-type: none"> • Finalize and implement water accounting system 	---	<ul style="list-style-type: none"> 90% completed. • The Preliminary Report on Standard, Methodology of Water Resources Accounting and Application in Pilot Rivers was completed, the water resources accounting system was applied in Enle River with providing support for the ecological water management in the Basin. 	S
Outcome 3.2 Establish a comprehensive biodiversity monitoring system for aquatic biodiversity and piloting of the system in the project areas	<ul style="list-style-type: none"> • Strategy document formulated for both provinces and all four project sites after 6 months of project start date. 	<ul style="list-style-type: none"> • No strategy existent 	<ul style="list-style-type: none"> • Implement strategy 	<ul style="list-style-type: none"> • Implement strategy 	<ul style="list-style-type: none"> Completed. • Strategy documents on aquatic diversity monitoring for project sites are completed and provided guidance to piloting. 	MS
	<ul style="list-style-type: none"> • GIS database designed and operational. 	<ul style="list-style-type: none"> • No BD database existent 	<ul style="list-style-type: none"> • Utilize database 	<ul style="list-style-type: none"> • Utilize database 	<ul style="list-style-type: none"> 60% completed. • Methods to develop GIS database have been proposed and database established in Chongqing, database is being 	S

					established in Yunnan in 2021. • TNC provided a GIS database framework in 2020.	
	• Aquatic biodiversity monitoring system designed and operational.	• No dedicated and continuous BD monitoring existent	---	---	80% completed. • Aquatic biodiversity monitoring system was designed. • Monitoring guidance was developed in Chongqing. • Yunnan improved their biodiversity monitoring ability in hydrological work through training.	S
	• Monitoring system successfully piloted in project areas.	• No dedicated and continuous BD monitoring existent	• Implement monitoring system	• Implement monitoring system	80% completed. • Pilot river monitoring systems have been initially developed to monitor the water quantity, quality, and plants, fish and large benthic animals in the target reaches at regular intervals. • Water ecology surveys were continuously carried out in the pilot rivers in 2018-2021. • Training on monitoring was conducted in Yunnan and monitoring on benthic fauna will start in pilot rivers in 2021 by hydrological organizations as regular work.	S

Outcome 3.3 Develop and implement system of multi-level and multifaceted biodiversity mainstreaming training program targeting government officials and water management partners from local communities and civil society organizations	<ul style="list-style-type: none"> At least 30 MWR officials as well as 60 officials at provincial level plus the same number of stakeholder from CSOs trained in the mainstreaming BD conservation objectives into water resources management planning and programming; at least four workshops/symposia organized. 	<ul style="list-style-type: none"> Capacity and knowledge on BD mainstreaming low No corresponding trainings existent 	<ul style="list-style-type: none"> Implement trainings 	<ul style="list-style-type: none"> Implement trainings 	Completed ahead of schedule. <ul style="list-style-type: none"> Trainings were provided to more than 90 officials and 60 civil society members at national and provincial level. Up to 8000 river/lake chiefs, technicians and volunteers have been trained in Yunnan since the project started, including 20% of ethnic minorities and 30% of women. 	HS
	<ul style="list-style-type: none"> At least 400 water management professionals trained in biodiversity mainstreaming practices relevant to their area of expertise. 	<ul style="list-style-type: none"> Capacity and knowledge on BD mainstreaming low No corresponding trainings existent 	<ul style="list-style-type: none"> Implement trainings 	<ul style="list-style-type: none"> Implement trainings 	Completed. <ul style="list-style-type: none"> More than 400 officials and stakeholders participated in training in BD mainstreaming trainings (8000 river chief has been trained in Yunnan). 	S
	<ul style="list-style-type: none"> At least 400 water management professionals trained in BD monitoring system implementation, processing and analysis 	<ul style="list-style-type: none"> Capacity and knowledge on BD mainstreaming low No corresponding trainings existent 	<ul style="list-style-type: none"> Implement trainings 	<ul style="list-style-type: none"> Implement trainings 	50% completed. <ul style="list-style-type: none"> A workshop on benthic fauna and aquatic biodiversity monitoring was held in Yunnan in 2020, 60 people were trained. A training on BD and monitoring system was held in Pu'er in 2020, and 120 people was trained. 	MS

	<ul style="list-style-type: none"> • At least 400 water management professionals trained in RHA implementation 	<ul style="list-style-type: none"> • Capacity and knowledge on BD mainstreaming low • No corresponding trainings existent 	<ul style="list-style-type: none"> • Implement trainings 	<ul style="list-style-type: none"> • Implement trainings 	60% completed. <ul style="list-style-type: none"> • More than 240 water management professionals have been trained in the RHA/GLS and river ecological restoration to learn the technical methods for assessing the health of rivers and lakes. 	S
	<ul style="list-style-type: none"> • Provision of training on river biodiversity to local population with a special focus on empowering and educating women and ethnic minorities. 	<ul style="list-style-type: none"> • Capacity and knowledge on BD mainstreaming low • No corresponding trainings existent 	<ul style="list-style-type: none"> • Implement trainings 	<ul style="list-style-type: none"> • Implement trainings 	90% completed. <ul style="list-style-type: none"> • Several training were held in county level • In 2021, PMO organized 200 people to attend the gender mainstreaming training held by FAO. • Events were held during World Water Day, China Water Week and World Environment Day to raise awareness of local communities on the functions and benefits of BD conservation and their roles in supporting conservation and protection of e-flow. • Biodiversity promotion events were held in Jingdong and Zhenyuan in the first half of 2021. 	S

Outcome 3.4 Project Monitoring and Evaluation	<ul style="list-style-type: none"> • M&E plan implemented (according to criteria and reporting requirements described in section 4.5) 	<ul style="list-style-type: none"> • No project, no project M&E 	<ul style="list-style-type: none"> • Implement project M&E 	<ul style="list-style-type: none"> • Implement project M&E 	80% completed. <ul style="list-style-type: none"> • Mid-term review was completed and self-evaluation finished. • External spot checks were conducted in 2018 and 2020. • Project M&E system was established and in function. • A total of 7 PPRs and 3 PIRs were submitted. 	S
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Action plan to address MS, MU, U and HU ratings

Outcome	Action(s) to be taken	By whom?	By when?
3.1	- Mapping will be further strengthened conducted in Yunnan and Chongqing.	PMOs	Q4 of 2021
3.3	- More trainings on BD monitoring system implementation will be held in 2021-2022.	PMOs	Q2 of 2022.

3. Progress in Generating Project Outputs (Implementation Progress, IP)

(Please indicate progress achieved during this FY as planned in the Annual Work Plan)

Outputs ¹³	Expected completion date ¹⁴	Achievements at each PIR ¹⁵					Implement. status (cumulative)	Comments Describe any variance ¹⁶ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Output 1.1.1 Initial gap analysis conducted at national level, provincial level for two pilot provinces, and municipal level for four pilot municipalities; renewal of results at a one-year interval.	Q4 of 2021	Draft report of policy summary on international experience in water resources utilization and biodiversity protection developed for gap analysis.	Gap analysis and identification of entry points is ongoing.	Analysis on water resource management (WRM) policies for biodiversity conservation at national and provincial completed, gaps identified and recommendations made to improve the legal and regulatory framework.	The 2020 annual gap analysis on water resource management policies was done at national level, and in pilot areas of Yunnan and Chongqing.		95%	
Output 1.1.2 Biodiversity mainstreaming objectives and priorities incorporated into key water sector policies and plans at national level	End of the project (Q2 of 2022)	N.A.	Assessment of WRM policies is ongoing.	At the national level, recommendations made in the Analysis Report on China's Water Resources Management Policies for Biodiversity Conservation is completed. MWR formulated the 2019 Key Rivers and Lakes Ecological Flow	Policy recommendations were made on more robust e-flow management of rivers and lakes. The Yangtze River Protection Law was come into force in 2021.		90%	

				(Water Volume) Research and Guarantee Work Plan, selecting 21 key rivers and lakes as pilots for implementation.				
Output 1.1.3 Biodiversity mainstreaming objectives and priorities incorporated into key water sector policies and plans at provincial level in Chongqing and Yunnan	End of the project (Q2 of 2022)	N.A.	Preparation on systematic analysis of WRM policies is started. Biodiversity is mainstreamed into governmental policies and plans to some extent, with clear requirement on ensuring biodiversity protection in development of water projects in Chongqing.	Yunnan provincial government has issued 3 provincial water sector policies and plans, including the Yunnan Province Total Water Use Control Plan, Yunnan Province Implementation Plan for the Protection and Restoration of the Six Major River Systems focusing on the Yangtze River, and Yunnan Water Resources Protection Plan, put forward specific measures for ecological water demand protection, and clarified the minimum requirements for the E-flow. The Implementation Plan for Small	Policy recommendations were made on biodiversity mainstreaming targets and measures in Yunnan and Chongqing. Chongqing River Chief Regulation came into force on 1 January, 2021.		80%	

¹³ 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.

¹⁴ As per latest work plan (latest project revision); for example: Quarter 1, Year 3 (Q1 y3)

¹⁵ 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)

¹⁶ Variance refers to the difference between the expected and actual progress at the time of reporting.

				Hydropower Cleanup and Rectification in the Yangtze River Economic Belt in Chongqing was issued by Chongqing Government.				
<u>Output 1.1.4</u> Biodiversity mainstreaming objectives and priorities incorporated into the water sector development plan and the river management plan at prefecture level in all four pilot prefectures	End of the project (Q2 of 2022)	Drafted ecological protection schemes in pilot areas.	Banan District of Chongqing revised its 13 th -Five Year Plan for Environment Protection and Ecological Civilization by integration of biodiversity. Jiangjin District released a policy on controlling fishing in some specific areas in order to sustain biodiversity.	Research Reports on WRM Policies for the Biodiversity Protection in both provinces are completed. A Notice on Strengthening the Protection of Aquatic Organisms in the Yangtze River was issued by Jiangjin district government. Current water resources development and river management plans of the 4 pilot counties are investigated and evaluated. Relevant suggestions for incorporating biodiversity mainstreaming goals and priorities into local water and river management policies and plans are proposed.	Pu'er developed a plan to carry out the beautiful river and lake initiative. Jiangjin and Hejiang districts produced a policy on collaboration on Tang River protection. Chongqing is developing a plan to protect Wubu River.		90%	
<u>Output 1.2.1</u> Biodiversity mainstreamed into 1-2	End of the project (Q2 of 2022)	Collected some regulation materials related to	Conducting of policy analysis and assessment to identify entry	MWR issued the Technical Guidance on Ecological Flow Supervision Platform for Small	River Chief Regulation of Chongqing came into force on 1 January, 2021.		90%	

important national level regulations and 1-2 important provincial level regulations for each of the two pilot provinces.		biodiversity conservation for gap analysis.	points is started.	Hydropower, which aims to strengthen technical guidance on ecological flow supervision of hydropower stations with installed capacity of 50MW and below, and to effectively supervise the ecological flow release of small hydropower stations. Biodiversity has been mainstreamed into 3 government regulations at provincial level, such as Water Resources Management Regulations of Chongqing, River Management Regulations in Chongqing, and Notice on Strengthening Rural Hydropower Capacity Expansion in Chongqing, which requires ecological water use and ecological flow release.	MWR published its guidance on the determination and guarantee of river and lake ecological flow in 2020.			
Output 1.2.2 Technical guidelines drafted for the national, provincial, prefecture, and	End of the project (Q2 of 2022)	N.A.	N.A	Needs assessment and gap analysis has been conducted at the national level. Technical Guidelines for River and Lake Health Assessment was developed.	National-level Technical Guidelines for River and Lake Health Assessment (RHA) were developed. MWR published Technical guidelines on River and Lake		90%	

county/district level policies (outcome 1.1) and regulations (outcome 1.2); other suitable policies and regulations will be included as far as possible				Yunnan has drafted a guideline on the assessment of beautiful rivers and lakes and is developing incentive measures.	Ecosystem Conservation and Restoration engineering Yunnan published its guidance on evaluation of beautiful rivers and lakes. Xinan University (Chongqing) drafted a brochure of BD Monitoring System Information Database in pilot rivers.			
<u>Output 1.2.3</u> Regulations for dam construction and operation drafted or improved at national and provincial level (for both pilot provinces)	End of the project (Q2 of 2022)	Sorted out briefing document of Method and Application of Eco-Regional Assessment introducing the progress and the cases using ERA method.	The government of Chongqing municipality issued the "Ecological Base Flow of Small Hydropower Implementation of the Rectification of Refinement Scheme", "Three Gorges Reservoir Area Aquatic Biodiversity Conservation Work plan", "Chongqing Yangtze River Economic Belt Small Hydropower to Clean up	The national level has completed the Environmental Flow Background Research Report, conducted a gap analysis of domestic environmental flow research, and put forward suggestions on safeguarding China's e-flow. Chongqing has set a target for 2020 to finish renovating facilities for e-flow control and monitoring at small hydropower stations.	A study on e-flow technology and system at dams was conducted. Standards on Assessment of Green Small Hydropower was published in November, 2020. Technical guidance for prevention and control of dewatering in downstream river of small hydropower station has published in 2020.		100%	

			the Rectification Work plan" etc.					
<u>Output 1.3.1</u> New collaborative partnerships operational at national level, provincial level for 2 pilot provinces; Working group/Stakeholder network established and operational at prefecture/municipal level as well as county/district level for 4 pilot areas.	End of the project (Q2 of 2022)	Potential partners of working group/stakeholder network at the national level and provincial level were identified and connected.	River Chiefs Mechanism at provincial and county levels are built and joint actions among concerned government agencies are initiated.	An inter-ministerial joint mechanism has been established at the national level. Both Yunnan and Chongqing have established River (Lake) Chief System at provincial, city, county, township and village levels. River chief offices have been set up in the pilot areas. River health and biodiversity protection targets have been incorporated into the responsibilities of the river chiefs. Chongqing, together with the neighbouring province Sichuan, have established a joint river chief mechanism and cross-departmental collaboration mechanism to protect transboundary rivers. Yunnan and the neighbouring province Tibet signed an agreement in March to protect	Volunteers participated in river protection in Chongqing and Pu'er. Chongqing Rare Fish Nature Reserve signed an agreement with Jiangjin People's Court and Jiangjin Forestry Bureau in December 2020 to work together on ecosystem restoration through legal actions and public education.		100%	

				transboundary rivers and establish joint mechanism on emergency response.				
<u>Output 1.4.1</u> River health assessment (RHA) developed and ready to be tested in the pilot sites (see component II).	End of the project (Q2 of 2022)	Background materials compiled for reference to GLS developing	Outlines of study on GLS and river health assessment are developed.	MWR has conducted river health assessment in major rivers and lakes across the country as pilots. A research report on Green Line Scorecard (GLS) and a report on river health assessment (RHA) standards, methods and application were completed. The RHA has been tested in the 4 pilot rivers.	National guide and technical guidelines on river health assessment were published, and RHA is tested in pilot areas.		100%	
<u>Output 1.4.2</u> River health assessment created with input from and endorsed by all relevant stakeholders.	Q4 of 2020	N.A.	Consultation has been conducted at the national level.	Discussions on the GLS and RHA were held at the national level. Participants reached consensus on the next steps.	GLS is merged with RHA and approved by the PSC.		100%	
<u>Output 1.5.1</u> Investment opportunity assessments conducted at national level as well as for both pilot provinces.	Q4 of 2021	N.A.	N.A	An evaluation on investment opportunities for river biodiversity conservation started and will achieve preliminary results in late 2020.	Analysis has been made to evaluate investment opportunity on BD and policy recommendations were made on increasing investment in biodiversity protection as well as in pilot provinces.		100%	
<u>Output 1.5.2</u> Increase in relevant	End of the project (Q2 of 2022)	Increase in relevant government	In pilot areas, the government increased its	Government investment in river management which focused on	Pu'er has invested 67 million yuan (about 10 million USD) in a		90%	

government investment of at least US\$20 million) in value.		investment of US\$5.1 million in value	investment of US\$9.97 million on river management with focus on biodiversity.	<p>biodiversity increased by over US\$2 million. The central and provincial governments invested billions of yuan in projects to improve the water environment of the whole country.</p> <p>Banan District has increased investment on biodiversity conservation by RMB200, 000 in the first half, mainly in e-flow control of small hydro stations and the improvement of drinking water source.</p>	<p>number of projects contributing to biodiversity conservation, covering endemic fish release, river restoration, greening, wetland construction, waste water treatment and reforestation.</p> <p>About 5.7 million yuan (about 0.89 million USD) were invested in initiatives related to biodiversity conservation in the Wubu and Tang Rivers, including the installation of e-flow meters at small hydropower stations, operation of waste water treatment plants, garbage removal, water quality monitoring, training and publicity.</p>			
<u>Output 1.5.3</u> At least 5 additional major water management programs (all government levels combined with at least one national level initiative)	End of the project (Q2 of 2022)	2 additional major water management programs	4 additional major water management programs (3 at Chongqing Municipal level and 1 at Banan District level) and related budgets include	In pilot areas, the government budgets on river management focused on biodiversity increased by a large margin.	<p>Yunnan has earmarked 10 million RMB (about 1.5 million USD) from 2021-24 to award counties and cities with good performance in river and lake protection.</p> <p>Yunnan will invest 28 billion RMB (about 4.3</p>		80%	

and related budgets include biodiversity conservation.			biodiversity conservation.		billion USD) in beautiful river and lake initiative.			
<p><u>Output 2.1.1</u></p> <p>New collaborative partnerships operational at national level, provincial level for 2 pilot provinces; Working group/Stakeholder network established and operational at prefecture level for 4 pilot areas.</p>	End of the project (Q2 of 2022)	The establishment of Working group/Stakeholder network has started. ERA method introduced in the TNC materials	New collaborative partnerships has been established at provincial and county levels through River Chiefs' Mechanism.	Yunnan and Chongqing signed agreements with Tibet and Sichuan respectively on the protection of transboundary rivers.	<p>Pu'er has established a collaborative mechanism between River/lake Chief and Chief Procurator, which includes the set-up of a procuratorial office within the River Chief's Office to deal with public litigations. Government websites and Wechat accounts publish regular updates on river/lake conservation and public complaints are dealt with case by case.</p> <p>Yunnan Department of Water Resources is working with other departments to develop plans to enforce the 10-year moratorium on fishing in the Yangtze River Basin.</p> <p>District procuratorates and the voluntary service centre in Chongqing agreed in September 2020 to motivate youths to support the procuratorates in environmental litigations.</p>		100%	

					Volunteers and militia worked with local government to patrol Wubu River in Banan District, Chongqing.			
Output 2.1.2 Clear biodiversity-related responsibilities for stakeholders in river management established, effectively addressing fragmentation of competences and coordination of tasks across geographical borders as well as across institutions.	Q4 of 2020	river chief system establishment in pilot areas	River Chiefs' Mechanism established in 2 project provinces and 4 project counties with clear responsibilities of all stakeholders. Joint actions are initiated at county level.	Reports were completed on policy framework and case studies on biodiversity protection in the context of river and lake chief system at the national and provincial levels. The reports summarize the experience and lessons from the implementation of the River Chief System and make policy suggestions.	<p>Pu'er issued a notice to specify responsibilities of tiered river/lake chiefs. Regular inspections are being carried out.</p> <p>Pu'er and neighbouring Xishuangbana have agreed on a coordination mechanism to monitor cross-border rivers and lakes. Jindong and neighbouring counties, districts and power plants have signed a coordination mechanism to monitor a reservoir area.</p> <p>Chongqing published a regulation on river chief system in December 2020, which stipulated responsibilities, mechanism, monitoring and evaluation.</p> <p>The procuratorate in Jiangjin District, Chongqing, and its neighbouring counterpart in Hejiang County, Sichuan, agreed in August 2020 to collaborate on</p>		100%	

					environmental protection of Tang River. Two neighbouring townships also signed an agreement in October 2020 to collaborate on cross-boundary river governance.			
<u>Output 2.2.1</u> Biodiversity mainstreaming under component I explicitly mentions pilot activities.	End of the project (Q2 of 2022)	ERA method briefed	Baseline survey on political will is ongoing and Biodiversity mainstreaming is initiated in pilot activities.	An Analysis on Water Resources Management Policy Framework for Biodiversity Conservation of Yunnan Province was drafted, covering baseline evaluation. TNC compiled Methods and Cases for the Assessment of Priority Areas for Freshwater Ecological Protection, introducing the US experience.	Yunnan has issued a five-year plan to promote aquatic BD monitoring, RHA and habitat restoration. Pu'er is advancing local initiatives under the guidance of the provincial plan, including the development of river and lake management plans. TNC finished a report on the best practices of river basin wetland restoration in foreign countries.		80%	
<u>Output 2.2.2</u> E-flow implementation strategy determined and agreed upon by all relevant prefecture level government stakeholders.	End of the project (Q2 of 2022)	N.A.	Preparation work on the survey and analysis is started.	An Analysis on Environmental Flow in Yunnan Province for Biodiversity Conservation was drafted. The design principles and standards for E-flows will be further developed in 2nd half of 2020, and technical support will continue to be provided for the	An Analysis on E-Flow in Yunnan Province for Biodiversity Conservation was completed. A provincial plan of Yunnan to implement e-flow of major rivers and lakes has been developed		80%	

				decision-making process.				
<u>Output 2.2.3</u> E-flow successfully implemented within Buma/Enle river; Habitat not blocked to upstream migration by inadequate culvert, small reservoir and other water infrastructure design, resulting in improved habitat connectivity.	End of the project (Q2 of 2022)	N.A.	Preparation work on the survey and analysis is started.	Research on E-flow analysis, river health assessment and water accounting for Buma/Enle river have been carried out in Yunnan pilot areas. E-flow control will be implemented in the pilot rivers. Through trainings and on-site guidance, TNC is providing technical support for the pilot rivers.	An experiment on e-flow adjustment was conducted in the Buma river in December 2020. An annual report on e-flow monitoring analysis in Buma and Enle Rivers was developed for 2020, with recommendations for improvement.		80%	
<u>Output 2.2.4</u> Increased ecosystem ability to sustain globally significant biodiversity (e.g. potamodromous fish species such as: Tor sinensis; Clupisoma sinense; Largemouth Bronze Gudgeon	End of the project (Q2 of 2022)	preparation work for ecological system restoration	548,909 m ² wetland has been restored. And 100,000 fry of local species has been input into Enle river. Ecological survey for pilot rivers is under preparation.	Water ecological surveys and river health assessments were conducted on Buma River and Enle River. Area of restored wetland totaled 19.25 ha and about 300,000 local fish fry were released into the Enle and Buma rivers.	Major sections of the Enle river bank, totalling 9km, has been greened and ecological restoration of 9km river course completed, with additional 140,000m ² of wetland and 130,000m ² of greened area. Waste water treatment plant in Zhenyuan is being renovated. In Enle county, toilets of 934 rural households are being renovated and 4,000 mu of farmland will be reforested.		90%	

(Coreius guichenoti) & Royal Clown Loach (leptobotia elongate.					Monitoring data of the species have been collected. Around 205,800 endemic fish fries were released into Chuanhe River in 2020. Recommendations were developed on swamp restoration for the Enle, Buma and Chuanhe rivers.			
<u>Output 2.2.5</u> Enhanced habitat for and increasing population of aquatic birds as measured by bird monitoring system (monitoring stations in two towns); ca.35 km of minimal disturbance of key habitats	End of the project (Q2 of 2022)	N.A.	Review of the best practices in habitat improvements is ongoing.	A Plan for Wetland Protection and Construction of "One Reservoir One river" in Jingdong was completed. 665.82 ha of wetland in the upper reaches of the Chuan River have been included in the protection scope, and 13.1 ha of river side wetland has been restored.	Water ecological surveys and river health assessments were conducted in pilot rivers. Data shows that the species in pilot areas have been increasing in the decade. Wetland with a total areas of 13.1 ha has been restored in Chuanhe River. Policy recommendations were made on improving wetland on Chuan, Buma and Enle Rivers.		90%	
<u>Output 2.2.6</u> E-flow successfully implemented within Chuan river	End of the project (Q2 of 2022)	Cleanout the channels and riparian garbage for fish migration. Reinforced the river	Cleanout the channels and garbage as well as embankment are continued.	The preliminary Report on the Investigation and Research on Water Ecology in Chuan River was completed. A Preliminary Scheme for Fishway on	An aquatic ecosystem survey was conducted in the Chuan River. Discharge facilities of 91 hydropower stations (some outside Chuan		85%	

		embankment and interconnected the river system.		Lianhuatang Overflow Dam in Chuan River and Chuan River Ditch Overflow Dam was developed.	River) in Pu'er have been improved. A report was produced on e-flow experiment based on fish protection.			
<u>Output 2.2.7</u> BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 80km of river with newly RHA water management practices.	End of the project (Q2 of 2022)	River administration supervision was addressed in fields	River administration supervision is continuously strengthened in fields.	Water ecological survey and RHA were carried out in pilot rivers in light of RHA methodology.	Pu'er has developed a monitoring and assessment plan and an early warning system on water quality. Yunnan is planning to build BD monitoring system in 2021.		50%	
<u>Output 2.3.1</u> Biodiversity mainstreaming under component I explicitly mentions pilot activities.	End of the project (Q2 of 2022)	Collected successful practice cases on biodiversity conservation and E-flows.	Preparation work is undergoing.	An Analysis on Chongqing Water Resources Management Policy Framework for Biodiversity Conservation was completed, including baseline evaluation. TNC compiled Methods and Cases for the Assessment of Priority Areas for Freshwater Ecological Protection, introducing the US experience.	E-flow control has been included in the priority work of Chongqing municipality. Small hydropower stations are being renovated with e-flow control taken into consideration. An analysis on WRM policy framework is completed with recommendations on strengthening BD conservation.		90%	

Output 2.3.2 E-flow implementation strategy determined and agreed upon by all relevant prefecture level government stakeholders.	End of the project (Q2 of 2022)	N.A.	Review E-flow status in Chongqing is in preparation.	The Report on the Status of Environmental Flow in Chongqing was drafted. Ecological flow release from small hydropower stations started in Chongqing.	Recommendations were made on e-flow standards and monitoring system in Chongqing. A plan on the management of the Wubu River is under development. A plan to implement e-flow in all major rivers was developed in Chongqing. E-flow monitoring data collected from 2 pilot rivers in Chongqing were analysed and e-flow status was assessed.		85%	
Output 2.3.3 E-flow successfully implemented within Wubu river; habitat not blocked to upstream migration resulting in improved habitat connectivity	End of the project (Q2 of 2022)	Drafted ecological protection scheme	River administration supervision is continuously strengthened. River Health Assessment for Wubu River was organized. One River and One Strategy plan was drafted for Wubu river.	A Survey Report on Aquatic Ecology in Wubu River was drafted. Banan District has developed the Plan for Ecological Flow Control of Wubu River Hydropower Stations; and installed ecological flow outlet facilities to each hydropower station in the river and ecological flow monitoring equipment (online monitoring platform) to avoid water reduction and	A report was produced on the impacts of e-flow discharge on aquatic fauna and flora in Wubu River. Good progress has been made in dealing with barrier on Tang River, including measures in place to conserve old weir with heritage characteristics and tourist potential. Area target is suggested to adjust to 4.4 ha after field study.		80%	

				dehydration. 21 ha of ecological conservation area has been restored.	Banan District is implementing e-flow control on hydropower stations, including installing monitoring equipment to record e-flow data, and real-time data are transmitted to central monitoring system.			
Output 2.3.4 Retain population of aquatic species through strict application of fish protection and fisheries regulation; Assess biodiversity impact of several sewage water treatment options along the river; Avoid unnecessary obstructions in the future and improve few existing obstructions through fish migration approaches (river length ca. 31.2 km)	End of the project (Q2 of 2022)	N.A.	Preparation on GLS related work is started. 900 Tons of garbage along Tang River and 4.5 km ² of river surface have been cleaned out.	A Survey Report on aquatic ecosystem of Tang River in Jiangjin County was drafted. 600,000 fish fry were released to increase the number of fish populations. A sewage treatment plant project was built to meet the standards for discharge. 58 ha of ecological conservation area was restored in the Tang River.	BD conservation measures are being taken, including the release of 7,000,000 fish fries in Yangtze River Bain by Jiangjin District in 2020, and the establishment of 11,000m ² artificial fish nests in Tang River in 2021. A workshop was held in February 2021 to discuss the preliminary scheme of fishway in Tang River.		90%	

<u>Output 2.3.5</u> BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 57.46 km of river with RHA water management practices	End of the project (Q2 of 2022)	River administration supervision addressed.	Preparation for establishing BD monitoring is ongoing.	Water ecological survey and RHA were carried out in pilot rivers in light of RHA methodology. Chongqing aquatic biological monitoring system on pilot rivers was preliminarily established.	Data on vegetation, fish and benthic fauna of the Wubu and Tang rivers were incorporated in GIS based BD monitoring system. A Guidance was developed on aquatic ecosystem monitoring and information system.		100%	
<u>Output 2.4.1</u> All relevant information documented; project results reports synchronized with M&E reporting schedule.	End of the project (Q2 of 2022)	Project related information were collected.	Project related information were collected continuously.	Relevant project documents, reports and records have been properly kept. The newsletters were published.	Project documents, reports and records are collected and filed. Newsletters were published. Project best practice is being summarized by PMOs. A handbook on river/lake chief system has been developed in Yunnan, incorporating information on biodiversity conservation.		80%	
<u>Output 2.4.2</u> Project results shared with project team and relevant stakeholders.	End of the project (Q2 of 2022)	Communication and discussion meetings carried out between	Communication and discussion meetings were continuously carried out	Communication and discussion meetings were continuously carried out within the team and among stakeholders. MWR, PMO and TNC	Communication and discussion meetings were continuously carried out within the team and among stakeholders.		80%	

		concerned project partners.	within the team and among stakeholders. TNC gave suggestions to MWR on NGL communication and advocated NGL on public platforms.	developed a project publicity strategy.	Training workshops were organized in Yunnan and Chongqing to share project results. Connections between local departments of water, ecology and environment have been established under the river chiefs system, and is continuously enhanced.			
<u>Output 2.4.3</u> Project result briefings compiled and distributed to decision-makers; public dissemination campaign including project report, DVD	End of the project (Q2 of 2022)	2 newsletters were developed and distributed to concerned departments for dissemination.	3 additional newsletters were developed and disseminated for sharing project activities and results. Microblog and WeChat Official Account were created to share information.	4 newsletters on the project were distributed to relevant agencies and the public and 1 newsletter published at FAO website.	More than 10 additional newsletters on the project were developed and distributed. Jingdong and Zhenyuan displayed the project publicity panels at public sites and distributed 6,000 leaflets to townships and villages along the pilot rivers in September 2020. Project achievements were reported at a local journal, Chongqing Water.		80%	
<u>Output 2.4.4</u> Best practices report compiled and distributed to other provinces and prefectures suitable for replication	End of the project (Q2 of 2022)	N.A.	N.A.	The communication strategy was developed. Project staff participated in seminars, exchanging ideas and experiences.	PMO sent in July 2020 1,000 copies of books on EU Water Framework Directives, EU Ecological flow handbook to stakeholder participation in water resource management, and public participation		70%	

					and gender mainstreaming in natural resource management. The project communication strategy was further refined.			
<u>Output 3.1.1</u> Mappings conducted in Chongqing and Yunnan with particularly detailed mappings in the four pilot sites	End of the project (Q2 of 2022)	N.A.	Preparation for river ecological survey is started.	At the national level, the preliminary study on the framework of the aquatic ecology monitoring system was conducted, and the Baseline Survey Report on River Ecological Zone completed.	An ecological survey for the dry season was carried out in the Chuan, Buma and Enle rivers in October 2020. An ecological survey was carried out in the Tang and Wubu rivers and mappings were conducted.		80%	
<u>Output 3.1.2</u> River health assessment conducted for all project counties.	End of the project (Q2 of 2022)	N.A.	Preparation for collecting information on E-flow for 4 pilot counties is started.	E-flow baseline survey and information collection for all project sites were conducted.	E-flow monitoring facilities have been installed at all hydropower stations in Yunnan and 94% of those are connected with local monitoring platforms. An experiment on e-flow adjustment was carried out on the Buma River in December 2020. Indicators to assess benthic fauna in the pilot rivers were developed by IWHR in 2020.		90%	

					Review on RHA carried in pilot rivers was completed in 2020. E-flow feedback model was developed for the Wubu and Tang rivers.			
<u>Output 3.1.3</u> E-flow analysis conducted; Natural cycle as well as impact of flow alterations identified; Recommendations for measures to achieve E-flow provided (implementation under component II)	Q4 of 2020	N.A.	Preparation for study of river health assessment is started.	The report of River Health Assessment Study: Standards, Methods and Applications, was completed. Yunnan and Chongqing carried out RHA in pilot rivers. Relevant information is collected, including hydrological regime, riparian plants, fish, terrestrial organisms, water quality, river management, etc.	E-flow implementation and impacts analysis is done on pilot rivers in 2020 with the support of RHA and hydrological stations. Suggestions on improving e-flows in pilot rivers provided by TNC and IWHR in 2020.		90%	
<u>Output 3.1.4</u> Water accounting system operational, utilizing global scale public domain datasets (WA+).	Q4 of 2020	N.A.	Preparation for research on water accounting is started.	The Preliminary Report on Standard, Methodology of Water Resources Accounting and Application in Pilot Rivers was completed at the national level.	Water resources accounting was applied in e-flow analysis and RHA in pilot rivers.		90%	
<u>Output 3.2.1</u> Strategy document formulated for both provinces and all four project sites	Q4 of 2021	N.A.	N.A.	Strategy documents for both provinces and all four project sites are being developed.	Strategy documents on aquatic biodiversity monitoring for project sites are completed.		90%	

after 6 months of project start date.								
<u>Output 3.2.2</u> GIS database designed and operational.	End of the project (Q2 of 2022)	N.A.	Preparation work for GIS database design is started.	The methodology was proposed to construct GIS-based aquatic biodiversity database. The database framework was established. A Report on Establishing a Robust Aquatic Biodiversity-Oriented Ecological Zone Management System was drafted.	Data on vegetation, fish and benthic fauna of the Wubu and Tang Rivers were incorporated in GIS based on database. Methods to develop GIS database have been proposed and database established in pilot areas.		80%	
<u>Output 3.2.3</u> Aquatic biodiversity monitoring system designed and operational	End of the project (Q2 of 2022)	Preparation work on monitoring systems discussed by PMO and TNC	Preparation work is started	Aquatic biodiversity monitoring system was designed and under improvement.	A monitoring system was piloted in the Wubu and Tang rivers in Chongqing. A Guidance was developed on aquatic ecosystem monitoring and information system in Chongqing.		80%	
<u>Output 3.2.4</u> Monitoring system successfully piloted in project areas.	End of the project (Q2 of 2022)	N.A.	Preparation work is started in Chongqing.	Pilot river monitoring systems have been initially developed to monitor the water quantity, quality, and plants, fish and large benthic animals in the target reaches at regular intervals. Water ecology surveys were carried out in the pilot rivers.	Water ecology surveys were continuously carried out in the pilot rivers. Training on monitoring was conducted in Yunnan and monitoring on benthic fauna will start in pilot rivers in 2021 by hydrological organizations as regular work.		80%	

Output 3.3.1 At least 30 MWR officials as well as 60 officials at provincial level plus the same number of stakeholder from CSOs trained in the mainstreaming BD conservation objectives into water resources management planning and programming; at least four workshops/symposia organized.	End of the project (Q2 of 2022)	At least 20 MWR officials as well as 35 officials at provincial level plus the same number of stakeholder from CSOs trained in the mainstreaming BD conservation objectives into water resources management planning and programming; 6 workshops were organized.	20 project officials attended the International Forum on River and Lake Ecological Protection in Beijing in May 2019. 30 participants attended the Project Steering Committee meeting in May 29, 2019.	Focusing on the principles and policies related to BD mainstreaming, 7 workshops were held at the national and provincial levels. More than 20 MWR officials, 30 provincial officials and 30 stakeholders from CSOs participated in the trainings of integration mainstreaming BD conservation objectives into water management planning and programming.	Voluntary inspectors in Pu'er have been trained on river/lake biodiversity conservation. Jingdong held a workshop on river/lake system and biodiversity conservation in August 2020. Up to 8000 river/lake chiefs, technicians and volunteers have been trained in Yunnan since the project started, including 20% of ethnic minorities and 30% of women. A workshop on aquatic biodiversity conservation and WRM was held in Chongqing in November 2020.		120% The total number of trainees has exceeded the target	
Output 3.3.2 At least 400 water management professionals trained in biodiversity mainstreaming practices relevant to their area of expertise.	End of the project (Q2 of 2022)	Local river chiefs in towns and villages were trained.	Over 200 Local river chiefs in towns and villages were trained.	More than 320 officials and stakeholders participated in training in BD mainstreaming trainings, increasing their capacity to establish and use advanced BD information systems.	A workshop was organized in Yunnan in September 2020 to train over 130 technicians on the application of river/lake health assessment guidelines and the use of information system.		110% The total number of trainees has exceeded the target	
Output 3.3.3 At least 400 water management professionals trained in BD	End of the project (Q2 of 2022)	N.A.	N.A	The training is under preparation and will take place in the 2nd half of 2020.	A workshop on benthic fauna and aquatic biodiversity monitoring was held in Yunnan in 2020, 60 trainees.		50%	

monitoring system implementation, processing and analysis.					BD and monitoring training in Pu'er in 2020 and 120 trained.			
<u>Output3.3.4</u> At least 400 water management professionals trained in RHA implementation.	End of the project (Q2 of 2022)	N.A.	N.A	More than 150 water management professionals have been trained in the RHA/GLS and river ecological restoration to master the technical methods for assessing the health of rivers and lakes.	More than 240 water management professionals have been trained in the RHA/GLS and river ecological restoration to learn the technical methods for assessing the health of rivers and lakes in 2019 and 2020.		60%	
<u>Output3.3.5</u> Provision of training on river biodiversity to local population with a special focus on empowering and educating women and ethnic minorities.	End of the project (Q2 of 2022)	N.A.	Over 10,000 villagers were trained for biodiversity protect and behaviors.	Local agencies actively carried out trainings and publicities in conjunction with the River Chief System, World Water Day, China Water Week and World Environment Day activities, and raised the awareness of protecting river biodiversity of local people. More than 10,000 villagers attended the events. Women and ethnic minorities in particular accounted for a large proportion of the beneficiaries.	Events were held during World Water Day, China Water Week and World Environment Day to raise awareness of local communities on the functions and benefits of BD conservation and their roles in supporting conservation and protection of e-flow. Biodiversity promotion events were held in Jingdong and Zhenyuan in the first half of 2021.		90%	
<u>Output3.4.1</u> M&E plan implemented (according to	End of the project (Q2 of 2022)	Reviewed the project implementation and	MWR PMO passed external spot check in	Project implementation monitoring and	Mid-term review was completed and self-evaluation conducted.		80%	

criteria and reporting requirements)		conducted preparation for the spot check	October 2018. Project monitoring and evaluation system development is started.	evaluation system was established. PPRs and PIR were submitted to FAO. External mid-term review and spot check were completed.	External spot check was conducted in 2020. M&E system was established and in function. A total of 7 PPRs and 3 PIRs were submitted.			
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4. Information on Progress, Outcomes and Challenges on Project Implementation

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

In the past 12 months, the project has achieved a number of outcomes, including:

- the publishing of technical guidelines on river and lake health assessment, green small hydropower assessment, etc. A national level law on Yangtze River Protection has been promulgated. Yunnan and Chongqing also published several policies or regulations related to BD, such as Chongqing regulation on the administration of river chief system, etc.
- more cross-boundary and cross-departmental collaboration on river and lake protection, including the engagement of volunteers.

Highlights of the outputs include:

- Component 1: A number of policy recommendations were made on e-flow monitoring, biodiversity mainstreaming and investment at the national and provincial level.
- Component 2: Aquatic ecological surveys and e-flow experiments were carried out in the pilot rivers to collect data for the establishment of monitoring database. Promotion activities were held in pilot areas to raise public awareness of the project and biodiversity conservation.
- Component 3: Training on aquatic biodiversity monitoring was provided to water resource management personnel in Yunnan and a monitoring guidance was developed in Chongqing.

What are the major challenges the project has experienced during this reporting period?

COVID-19 pandemic has delayed work planning process. The PSC meeting was not held until September, which limited the time for contracting and implementation.

Development Objective (DO) Ratings, Implementation Progress (IP) Ratings and Overall Assessment

Please note that the overall DO and IP ratings should be substantiated by evidence and progress reported in the Section 2 and Section 3 of the PIR.

For DO, the ratings and comments should reflect the overall progress of project results.

	FY2021 Development Objective rating¹⁷	FY2021 Implementation Progress rating¹⁸	Comments/reasons¹⁹ justifying the ratings for FY2021 and any changes (positive or negative) in the ratings since the previous reporting period
Project Manager / Coordinator	S	S	<i>The extension of 2 years of the project implementation is reasonable and showing positive influence. The project is back on track and will achieve the expected outcomes.</i>
Budget Holder	S	S	<i>The project implementation is on track. Some outputs and outcomes have been achieved or over achieved.</i>
GEF Operational Focal Point	S	S	<i>The project is on track and will achieve the expected outcomes.</i>
Lead Technical Officer²⁰	S	S	<i>Project implementation has made significant progress, both at policy and practice levels. Stakeholder involvement would be important for the impacts assessment on e-flow implementation.</i>
FAO-GEF Funding Liaison Officer	S	S	<i>The PMO continued to make excellent progress in achieving the project objective and outcomes. The coming year is very important for the project to consolidate achievements, prepare sustainability plan and undergo the final evaluation, in addition to completing disbursement of remaining budget.</i>

¹⁷ **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.

For more information on ratings, definitions please refer to Annex 1.

¹⁸ **Implementation Progress Rating** – Assess the progress of project implementation. For more information on ratings definitions please refer to Annex 1.

¹⁹ Please ensure that the ratings are based on evidence

²⁰ The LTO will consult the HQ technical officer and all other supporting technical Units.

5. Environmental and Social Safeguards (ESS)

Under the responsibility of the LTO (PMU to draft)

This section of the PIR describes the progress made towards complying with the approved ESM plan, when appropriate. Note that only projects with **moderate** or **high** Environmental and Social Risk, approved from June 2015 should have submitted an ESM plan/table at CEO endorsement. This does not apply to **low** risk projects. Please add recommendations to improve the implementation of the ESM plan, when needed.

Social & Environmental Risk Impacts identified at CEO Endorsement	Expected mitigation measures	Actions taken during this FY	Remaining measures to be taken	Responsibility
ESS 1: Natural Resource Management				
ESS 2: Biodiversity, Ecosystems and Natural Habitats				
ESS 3: Plant Genetic Resources for Food and Agriculture				
ESS 4: Animal - Livestock and Aquatic - Genetic Resources for Food and Agriculture				
ESS 5: Pest and Pesticide Management				
ESS 6: Involuntary Resettlement and Displacement				
ESS 7: Decent Work				
ESS 8: Gender Equality				
ESS 9: Indigenous Peoples and Cultural Heritage				
New ESS risks that have emerged during this FY				
	NO			

In case the project did not include an ESM Plan at CEO endorsement stage, please indicate if the initial Environmental and Social Risk classification is still valid; if not, what is the new classification and explain.

Overall Project Risk classification (at project submission)	Please indicate if the Environmental and Social Risk classification is still valid ²¹ . If not, what is the new classification and explain.
Low	Yes

<i>Please report if any grievance was received as per FAO and GEF ESS policies. If yes, please indicate how it is being/has been addressed.</i>

²¹ **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.

6. Risks

Risk ratings

RISK TABLE					
<p>The following table summarizes risks identified in the Project Document and reflects also any new risks identified in the course of project implementation. Please make sure that the table also includes the Environmental and Social Management Risks captured by the Environmental and social Management Risk Mitigations plans. The <u>Notes</u> column should be used to provide additional details concerning manifestation of the risk in your specific project, as relevant.</p>					

	Risk	Risk rating ²²	Mitigation Actions	Progress on mitigation actions ²³	Notes from the Project Task Force
1	The capacity at Provincial water department level to support main-streaming is just emerging and may be difficult to operationalize effectively.	Low	To communicate more often through field visit, meetings, calls, and capacity building events.	Capacity at the provincial level is being improved through training.	
2	Increased frequency or regularity of temperature extremes caused by CC may alter the flow regimes of many of China's river systems.	Low	To address the effects of climate change in work planning.	E-flow experiment at Buma River was shifted to December due to drought in May.	
3	Continuation of COVID-19 will further delay the project delivery.	Moderate	To review the work plan and make adjustment where needed and explore alternatives to deliver activities where appropriate.	Some meetings were changed to virtual format.	The risk is identified by the mid-term review.

²² GEF Risk ratings: Low, Moderate, Substantial or High

²³ 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 ²²	Mitigation Actions	Progress on mitigation actions ²³	Notes from the Project Task Force
4	Economic pressure may increase, intensifying the inclination for infrastructure development in rivers, altering aquatic habitats at unsustainable rates.	Moderate	To mainstream BD into long-term policies and plans; and to establish e-flows.	Pu'er has published a local regulation to control sand mining in rivers. Working plans on e-flows implementation on major rivers have been developed in Yunnan and Chongqing.	Please consider alternative livelihood for the residents affected.
5	Coordination between the national and provincial level actors is a potential risk, as it is not unusual for different interests and views to come to the surface.	Low	To establish regular communication between national and provincial level partners.	Two-way communication is regular through Wechat, newsletters, workshops and PSC meetings.	The provincial partners have provided sufficient support to the project implementation.

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

FY2020 rating	FY2021 rating	Comments/reason for the rating for FY2021 and any changes (positive or negative) in the rating since the previous reporting period
Low	Low	The overall rating remains low. COVID-19 is a new risk with uncertain prospects, but the project has been resorting to alternatives to mitigate its impacts, e.g. PSC meeting through teleconferences. Two-year extension allows the project more time to meet targets.

7. Adjustments to Project Strategy – Only for projects that had the Mid-term review (or supervision mission)

If the project had a MTR review or a supervision mission, please report on how the MTR recommendations were implemented as indicated in the Management Response or in the supervision mission report.

MTR or supervision mission recommendations	Measures implemented
Recommendation 1: Grant an extension of two years (accounting for the impact of COVID-19), with three conditions: (i) adopt the theory of change to clarify vision and mission of the project and its exit strategy; (ii) update the Results Matrix and; (iii) develop an internal M&E system geared to learning.	Extension has been approved and the project will end in 2022. OPA has been amended accordingly. The theory of change was revised and adopted by the PSC and an exit strategy has been drafted. The results matrix has been updated, and an internal project M&E system developed.
Recommendation 2: Establish an intra and inter-institutional coordination mechanism to establish effective decision-making on WRM in areas of mutual interest, particularly at the provincial level (ensuring it has a secretariat to implement decisions and monitor progress).	The coordination mechanism has been established cross-boundary and cross-institutional in pilot provinces, districts and prefectures, covering forestry, fishery, environment protection and judicial system.
Recommendation 3: Identify and apply an effective communication strategy guided by an expert in communications	A communication strategy has been updated and applied.
Recommendation 4: Establish a communication mechanism within FAO to ensure all key services are brought together to ensure all GEF-funded projects are correctly designed, funded and implemented in accordance	FAO is currently reviewing the agency fee distribution.

with MS-701/OPIM (November 2016) and resolve outstanding funding gaps.	
Recommendation 5: Improving reporting on women's participation, ensuring data includes women participating in decision-making roles, how far the project is targeting access of vulnerable women, etc.	PMOs at all levels attended the gender mainstreaming training organized by FAO. Reporting on women participation is improved by figures calculation for access to project events, etc.

Adjustments to the project strategy.

Please note that changes to outputs, baselines, indicators or targets cannot be made without official approval from PSC and PTF members, including the FLO. These changes will follow the recommendations of the MTR or the supervision mission.

Output	Original (words to be changed highlighted; indicators in italics)	Revised (highlighted)	Reason for change
1.1.1	<i>Indicators and Targets: Initial gap analysis conducted at national level, provincial level for two pilot provinces, and municipal level for four pilot municipalities; renewal of results at a 6-month interval.</i>	<i>Indicators and Targets: Initial gap analysis conducted at national level, provincial level for two pilot provinces, and municipal level for four pilot municipalities; renewal of results at a one-year interval.</i>	A six-month interval is too short to observe meaningful change for gap analysis.
1.2.1	<i>Indicators and Targets: Biodiversity mainstreamed into 3 important national level regulations and 3 important provincial level regulations for each of the two pilot provinces.</i>	<i>Indicators and Targets: Biodiversity mainstreamed into 2-3 important national level regulations, technical norms and guidelines and 2-3 important provincial level regulations, technical norms and guidelines for each of the two pilot provinces.</i>	It usually takes time longer than the project lifespan to enact a regulation. Current target is too ambitious.
1.4.1	Create an official “ Green Line Scorecard ” system for measurement and certification of advanced ecosystem-based river management and achievement of biodiversity conservation objectives.	Create an official “ River Health Assessment ” (RHA) system for measurement and certification of advanced ecosystem based river management and achievement of biodiversity conservation objectives.	It has been agreed that the Green Line Scorecard system should be integrated into RHA system.

Output	Original (words to be changed highlighted; indicators in italics)	Revised (highlighted)	Reason for change
	<i>Indicators and Targets: “Green Line Scorecard” system developed and ready to be tested in the pi-lot sites (see component II).</i>	<i>Indicators and Targets: “River Health Assessment” system developed and ready to be tested in the pi-lot sites (see component II).</i>	
1.4.2	<p>“Green Line Scorecard” widely discussed, amended and lastly agreed upon by relevant stakeholders at national (e.g. across MWR Departments), provincial and local levels in pilot provinces and sites</p> <p><i>Indicators and Targets: “Green Line Scorecard” created with input from and endorsed by all relevant stakeholders.</i></p>	<p>“River Health Assessment” widely discussed, amended and lastly agreed upon by relevant stakeholders at national (e.g. across MWR Departments), provincial and local levels in pilot provinces and sites</p> <p><i>Indicators and Targets: “River Health Assessment” created with input from and endorsed by all relevant stakeholders.</i></p>	<i>Ibid</i>
2.2.6	<p>Improvements to existing dam structures along Chuan River to a) implement e-flow (based on recommendations from e-flow assessment) and b) facilitate fish migration</p> <p><i>Indicators and Targets: E-flow successfully implemented within Buma/Enle river; installation of fish migration channels and/or ladders or other suitable migration instruments (Area directly covered by BD mainstreaming: 7500 ha)</i></p>	<p>Improvements to existing dam structures along Chuan River to implement e-flow (based on recommendations from e-flow assessment; see 2.2.3)</p> <p><i>Indicators and Targets: E-flow successfully implemented within Buma/Enle river; Implementation of habitat conservation management; Proposal on river ecological restoration plan. (Area directly covered by BD mainstreaming: 7500 ha)</i></p>	There is no special demand for fish migration in Chuan River, according to field surveys.
2.2.7	<p>Application of aquatic biodiversity monitoring system as well as “Green Line Scorecard” certification system in project area</p> <p><i>Indicators and Targets: BD monitoring system established with two monitoring</i></p>	<p>Application of aquatic biodiversity monitoring system as well as “River Health Assessment” certification system in project area</p>	Same as Output 1.4.1

Output	Original (words to be changed highlighted; indicators in italics)	Revised (highlighted)	Reason for change
	<p><i>stations per river and used for improvement of BD conservation measures; ca. 80km of river with new water management practices</i></p> <p>Area covered by <i>GLS</i> in Yunnan: 21 900 ha</p>	<p><i>Indicators and Targets: BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 80km of river with new water management practices</i></p> <p>Area covered by RHA in Yunnan: 21 900 ha</p>	
2.3.3	<p>Review and adjustment of existing river flow alteration (especially dam structures, embankments and abstraction pattern) along Wubu River (Banan County) to establish e-flow, enhance habitats and increase connectivity (based on recommendations from e-flow analysis, river health assessment and water accounting.)</p> <p><i>Indicators and Targets: E-flow successfully implemented within Wubu river; habitat not blocked to upstream migration (e.g. by inadequate culvert, small reservoir and other water infrastructure design) resulting in improved habitat connectivity</i></p> <p>Area directly covered by BD mainstreaming: 1043 ha</p> <p>Area of habitat environment conservation : 32 ha</p>	<p>Review and adjustment of existing river flow alteration along Wubu River (Banan District) to establish e-flow, enhance habitats and increase connectivity (based on recommendations from e-flow analysis, river health assessment and water accounting.)</p> <p><i>Indicators and Targets: E-flow successfully implemented within Wubu river; habitat conservation (e.g. ecological monitoring of river reach downstream of Guanjingkou reservoir dam) resulting in improved habitat connectivity</i></p> <p>Area directly covered by BD mainstreaming: 1043 ha</p> <p>Area of habitat environment conservation : 4.4 ha</p>	Monitoring site is specified. More realistic target is set to meet ecological demand.
2.3.4	<p><i>Indicators and Targets: Retain population of aquatic species through strict application of fish protection and fisheries regulation; assess biodiversity impact of several sewage water treatment options along the Tang River; avoid unnecessary obstructions in the future and improve few existing obstructions through fish migration approaches (river length ca. 75 km)</i></p>	<p><i>Indicators and Targets: Retain population of aquatic species through strict application of fish protection and fisheries regulation; assess biodiversity impact of several sewage water treatment options along the Tang River; avoid unnecessary obstructions in the future and improve few</i></p>	More realistic target is set to meet ecological demand, and baseline information corrected as well.

Output	Original (words to be changed highlighted; indicators in italics)	Revised (highlighted)	Reason for change
	<p><i>Area directly covered by BD mainstreaming: 30 000 ha</i></p> <p><i>Area of habitats improved and restored: 120 ha</i></p>	<p><i>existing obstructions through fish migration approaches (river length ca. 31.2 km)</i></p> <p><i>Area directly covered by BD mainstreaming: 18 000 ha</i></p> <p><i>Area of habitats improved and restored: 57.6 ha</i></p>	
2.3.5	<p>Application of aquatic biodiversity monitoring system as well as “Green Line Scorecard” certification system in project area</p> <p><i>Indicators and Targets: BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 95km of river with newly certified “Green Line Scorecard” water management practices</i></p> <p><i>Area covered by RHA in Chongqing: 31 043 ha</i></p>	<p>Application of aquatic biodiversity monitoring system as well as “River Health Assessment” certification system in project area</p> <p><i>Indicators and Targets: BD monitoring system established with two monitoring stations per river and used for improvement of BD conservation measures; ca. 57.46km of river with newly certified “River Health Assessment” water management practices</i></p> <p><i>Area covered by RHA in Chongqing: 31 043 ha</i></p>	Same as Output 1.4.1
3.3.4	<p>Training for government officials and other relevant stakeholder on the use of the “Green Line Scorecard” system</p>	<p>Training for government officials and other relevant stakeholder on the use of the “River Health Assessment” system</p>	Same as Output 1.4.1

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, mid-term review, final evaluation 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
Project extension	<div>Original NTE: 31 May, 2020 Revised NTE: 31 May, 2022</div> <div>Justification: Two-year extension will allow the project to meet targets, as recommended by MTR.</div>

8. 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))

More stakeholders are involved in aquatic biodiversity conservation, apart from water resource departments at the provincial, prefecture and district level. Engagement events include:

- Ministry of Ecology and Environment participated in the PSC meeting in September 2020;
- Research institutes at the national and provincial level undertook project activities such as policy research, technical guideline development, ecotype mapping and e-flow monitoring all year around;
- Fisheries departments organized the release of local fish fingerlings in pilot rivers in December 2020;
- Forestry department monitored waterfowls and their habitats in pilot rivers all year around;
- New collaboration with courts, procuratorates and environmental departments on river protection started in Yunnan and Chongqing from 2020.
- Pilot provinces/prefectures/districts signed agreements with neighboring provinces/prefectures/districts on cross-boundary river protection and conducted joint field trips in July and October 2020;
- Volunteers are recruited from the society in river protection and inspection all year around;
- International NGO TNC is a major project partner working on research and technical discussions all year around;
- Promotion activities were organized in Zhenyuan, Jingdong and Jiangjin to raise public awareness of aquatic biodiversity in March 2021.

9. Gender Mainstreaming

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

Was a gender analysis undertaken or an equivalent socio-economic assessment made at formulation or during execution stages? Please briefly indicate the gender differences here.

Does the M&E system have gender-disaggregated data? How is the project tracking gender results and impacts?

Does the project staff have gender expertise?

If possible, indicate in which results area(s) the project is expected to contribute to gender equality:

1. closing gender gaps in access to and control over natural resources.

2. improving women's participation and decision making; and or
3. generating socio-economic benefits or services for women

Forty-nine per cent of the local population in the pilot sites are women, although due to the migration of men to the cities for work, the actual figure is estimated to be closer to 70 per cent. Approximately 40 per cent of the 28,500 villagers who have participated in the project's on-the-ground activities are women. Over 40 per cent of the PMO staffs at the central, provincial and local levels are women. In Jan 2021, PMOs organized around 200 people attending a gender-mainstreaming training of FAO, to improve the knowledge on gender equality. Around 40%-50% trainees are female in the project training activities.

10. Knowledge Management Activities

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

- Does the project have a knowledge management strategy? If not, how does the project collect and document good practices? Please list relevant good practices that can be learned and shared from the project thus far.
- Does the project have a communication strategy? Please provide a brief overview of the communications successes and challenges this year.
- Please share a human-interest story from your project, focusing on how the project has helped to improve people's livelihoods while contributing to achieving the expected global environmental benefits. Include at least one beneficiary quote and perspective, and please also include related photos and photo credits.
- Please provide links to publications, leaflets, video materials, related website, newsletters, or other communications assets published on the web.
- Does the project have a communication and/or knowledge management focal point? If yes, please provide their names and email addresses

Knowledge management:

- To disseminate knowledge of good practice, PMO sent to pilots 1,000 copies of books on EU Water Framework Directives, EU Technical guidelines on E-flow on stakeholder participation in water resource management, and public participation and gender mainstreaming in natural resource management.
- A booklet on river chief system was published in Yunnan.
- Communication: The project has updated the communication strategy based on MTR recommendations.
- Around 30 newsletters have been produced at the national, provincial and municipal level.
- A project-related article was published at a journal, *Chongqing Water*.
- Project promotion activities targeting schools and the public were held in Zhenyuan and Jingdong, which were reported by local media.

Human Interest Story:

Fish return to the Wubu River

In his many trips to the Wubu River, Dr. Wang Qiang remembered a morning of last November particularly well. As a researcher from the Southwest University, Dr. Wang led his students to conduct an aquatic biodiversity survey along the river in Chongqing Municipality. That day, he encountered a 60-year-old who just caught a fish with his net. “I haven’t seen this kind of fish in three years,” said the elderly, a local resident who had been fishing in the river for dozens of years. Taking a close look at the fish, Dr. Wang identified it as *Spinibarbus sinensis*, a rare fish inhabiting in the Yangtze River basin.

The survey led by Dr. Wang was to assess river health and monitor aquatic biodiversity. It was supported by a GEF project titled “A New Green Line - Mainstreaming Biodiversity Conservation Objectives and Practices into China’s Water Resources Management Policy and Planning”. The project, implemented by the Ministry of Water Resources, aims to mainstream biodiversity conservation into China’s water resources management policy and planning. The Wubu River in Chongqing is selected as a pilot for the project.

This is not the first time that Dr. Wang did the survey. During his field study in 2012, he noticed lots of people used electricity to stun and catch fish. “The practice is banned now. Each angler is allowed one pole and one hook only. This will reduce the pressure on natural resources,” said Dr. Wang. He also observed more egrets in the river as their habitats were better protected.

Control over fishing is just one of the policy measures leading to the recovery of aquatic biodiversity in the Wubu River. Fish like *Spinibarbus sinensis* loves running water, so cannot survive where there is not enough flow. Economic growth in the past 40 years has led to more water abstraction and consumption which pose a threat to riparian ecology even in large rivers like the Yangtze. In 2019, a cross-provincial survey was conducted to understand the scale of water abstraction in the Yangtze River Basin which includes the Wubu River as a tributary. The next step is to determine ecological flow. Last year, all metering facilities in each water abstraction unit were calibrated in Banan District of Chongqing, according to Mr. Zhang Jun, head of District Water Resources Management Station. He said plans were being developed to monitor and verify ecological flow of major rivers in Chongqing. These measures are meant to ensure there is enough water to support a healthy natural environment.

Small hydro-power stations are one of the largest water abstractors. They build channels to divert water from rivers to dams to generate power. While meeting local demands for electricity, they also reduce water flow which in turn harms habitats of aquatic species like *Spinibarbus sinensis*. China rolled out a national policy in 2018, requiring the improvement or removal of small hydro-power stations to ensure ecological flow in rivers. As a result, the number of stations in Banan Districts was reduced from 38 to 29, while the existing ones were adjusted to minimize the impacts on rivers, often through drilling holes on the barriers to release water back to the rivers.

This is the trade-off between power generation and environment. But the costs are bearable. The gap of electricity generated from small hydro-power can be filled with the increased supply from other power facilities. “In fact, the role of some stations was already limited even before the adjustment,” said Mr. Zhang. More importantly, local residents have acknowledged the efforts. They find it enjoyable again to walk along the banks as rivers are returning to their original state of abundance.



Local kids joined a student from Southwest University to study biotope samples collected from the Wubu River in Chongqing.

Photo by Wang Qiang



A local angler displayed a rare fish, *Spinibarbus sinensi*, which he just caught from the Wubu River.

Photo by Wang Qiang

11. Indigenous Peoples Involvement

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

If applies, please describe the process and current status of on-going/completed, legitimate consultations to obtain Free, Prior and Informed Consent (FPIC) with the indigenous communities

Do indigenous peoples have an active participation in the project activities? How?

During the reporting period, the local ethnic minority have been engaged in ecological survey and RHA questionnaire and public awareness activities. They were consulted about their view of local aquatic biodiversity and received project promotion leaflets. Local young people were also trained as volunteers to support river protection.

12. Innovative Approaches

Please provide a brief description of an innovative²⁴ approach in the project / programme, describe the type (e.g. technological, financial, institutional, policy, business model) and explain why it stands out as an innovation.

The project supports the establishment of tiered river chiefs system at the provincial, county and township and village community level in Yunnan and Chongqing. With the most senior government official as the river chief, the system can encourage inter-departmental collaboration and strengthen political will in biodiversity conservation. Meanwhile, villagers or root citizens are entitled to participating in river chief systems. According to the findings of the mid-term review, the nomination of civil river chiefs at the township and village levels in the pilot rivers is an effective way to raise public awareness on biodiversity conservation, e.g. the special status of the pilot rivers which support the endemic species of global and/or national importance to science. This can offer new opportunities to develop education and research at all levels (locally, nationally and internationally), promote local identity, heritage and customs, encourage recreation and ecotourism, and stimulate private and public investment.

²⁴ Innovation is defined as *doing something new or different in a specific context that adds value*

13. Possible impact of the Covid-19 pandemic on the project

Please indicate any implication of the Covid-19 pandemic on the activities and progress of the project. Highlight the adaptative measures taken to continue with the project implementation.

- Are the outcomes/outputs still achievable within the project period.
- Will the timing of the project MTR or TE be affected/delayed?
- What is the impact of COVID-19 on project beneficiaries, personnel, etc.
- Are there good practices and lessons learned to be shared?

COVID has impacted the project as follows:

- Various face-to-face meetings had to be cancelled and delayed and some are changed to virtual form. For example, MTR was conducted remotely. PSC meeting was postponed to September 2020, with some participants joining remotely.
- Most project activities couldn't take place in the first of 2020 during the peak of the pandemic.
- Work planning was delayed and most contracts couldn't be signed until September 2020.

As the outbreak was controlled largely in China, project activities were carried out in force in the second half of 2020, thanks to strong commitment from partners. In general, the impacts on the project's outputs and outcomes are limited to some degree up to date, there are still uncertainties given that the pandemic is still ongoing around the world.

14. Co-Financing Table

Sources of Co-financing ²⁵	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at 30 June 2021	Actual Amount Materialized at Midterm or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
FAO	FAO	In-kind and cash	75,000	84,948	60,250	85,000
Ministry of Water Resources	Ministry of Water Resources	In-kind and cash	19,300,000	20,429,045	14,089,000	22,000,000
Yunnan Dep. of Water Resources	Yunnan Dep. of Water Resources	In-kind and cash	3,100,000	3,013,627	1,932,956	3,100,000
Chongqing Dep. of Water Resources	Chongqing Dep. of Water Resources	In-kind and cash	3,000,000	3,160,552	2,179,000	3,200,000
The Nature Conservancy	The Nature Conservancy	In-kind	500,000	717,104	618,705	627,089
TOTAL (USD)			25,975,000	27,405,276	18,879,911	29,012,089

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

²⁵ 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.

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.