



FAO-GEF Project Implementation Review 2019 – Revised Template

Period covered: 1 July 2018 to 30 June 2019



1. Basic Project Data

General Information

Region:	Asia 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/GFF
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:	48 months

Milestone Dates:

GEF CEO Endorsement Date:	1 December 2015
Project Implementation Start Date/EOD :	05 Apr 2017
Proposed Project Implementation End Date/NTE¹:	4 April 2021
Revised project implementation end date (if applicable) ²	
Actual Implementation End Date³:	

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, 2019 (USD m):	USD 325,800
Total estimated co-financing materialized as of June 30, 2019⁵	USD 13,212,413

¹ as per FPMIS

² In case of a project extension.

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

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

Review and Evaluation

Date of Most Recent Project Steering Committee:	May 29, 2019
Mid-term Review or Evaluation Date planned (if applicable):	December, 2019
Mid-term review/evaluation actual:	
Mid-term review or evaluation due in coming fiscal year (July 2019 – June 2020).	Yes
Terminal evaluation due in coming fiscal year (July 2019 – June 2020).	No
Terminal Evaluation Date Actual:	
Tracking tools/ Core indicators required⁶	No

Ratings

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

Status

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

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

Project Contacts

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
Objective(s)	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 6-months 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 support for and guidance to the mainstreaming of biodiversity conservation objectives and practices into water resources management. Existing policy framework provides a 	<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 	A preliminary report on water resource management policies, regulations and best practices was completed.	S
	<ul style="list-style-type: none"> Biodiversity mainstreamed into at least 3 important national level WRM policies, plans, or laws 		<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 	Study on ecological flow (water level) of the major rivers and lakes was carried out by MWR. Technical Guidelines on Rivers and Lakes' Health Assessment was technically approved by MWR.	HS

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

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

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

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
		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.				
	• 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)		• Mainstreaming work	• 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)	Biodiversity has been mainstreamed into 3 provincial government policies, with clear targets on biodiversity. Chongqing has developed 1 plan (Aquatic Biodiversity Conservation Work plan in Three Gorges Reservoir Region) with clear requirements on ensuring biodiversity.	HS

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<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) 	Ecological protection schemes were draft in pilot areas. Banan District, Chongqing revised its 13th-Five Year Plan for Environment Protection and Ecological Civilization by integrating biodiversity concept. Jiangjin District released a policy on controlling catch-fishing in some specific areas in order to sustain biodiversity.	HS
Outcome 1.2 Develop administrative 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	<ul style="list-style-type: none"> Biodiversity mainstreamed into at least 3 important national level regulations and 3 important provincial level regulations for each of the two pilot provinces 	<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 level regulations and 3 important provincial level regulations for each of the two pilot provinces 	Red Line of Ecosystem Conservation in Chongqing was established.	S
	<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 	Technical Guidelines on Rivers and Lakes' Health Assessment was technically approved by MWR.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
human-made flow alteration)	<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) 	Implementation Plan of Rectifying and Improving Small Hydropower Stations in Yangtze Economic Zone in Chongqing was jointly issued by the Water Resources Department and other concerned departments of Chongqing Municipality in Feb. 2019.	S
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) 	Partnerships between residents and local water authorities were established through River Chiefs Mechanism at provincial and county levels. Representatives of local residents are invited to supervise and evaluate the effects of rivers, lakes, reservoirs management and 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"> "Green Line Scorecard" 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 	---	--	Outline of GLS study was drafted by TNC.	S
	<ul style="list-style-type: none"> "Green Line Scorecard" created with input from and endorsed by all relevant stakeholders 		<ul style="list-style-type: none"> Testing of GLS in pilot rivers 	<ul style="list-style-type: none"> Recommendations for GLS replication and upscaling 	Consultation workshop on GLS was held. GLS was linked with the Rivers and Lakes' Health Assessment currently promoted by MWR.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
Outcome 1.5 Increase levels of government investments into biodiversity conservation for river eco-systems	• Investment opportunity assessments conducted at national level as well as for both pilot provinces	• Corresponding government investments are increasing, put targeting on most effective BD conservation can be improved	---	---	Governmental investments into biodiversity conservation for river eco-systems at national level and 2 pilot provinces were increased.	HS
	• Increase in relevant government investment of at least US\$20 million) in value		• Investment monitoring and support for implementation of recommendations	• Investment monitoring and support for implementation of recommendations	In the project areas, the government increased its investment of 9.97 million US\$ on river management with a focus on biodiversity.	HS
	• 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		• Support for targeted investment increases in 5 WRM programs	• Support for targeted investment increases in 5 WRM programs	4 major water management programs (3 at provincial level and 1 at county level) and related budgets include biodiversity conservation.	HS
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	• 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	• Inclusion of CSOs including academic/research institutions underdeveloped.	• Partnerships established	• Partnerships contribute to mainstreaming (C-I) and implementation (C-II)	Partnership between local water authorities and environment authorities and other concerned authorities and residents was established through River Chiefs' Mechanism and joint actions were conducted.	HS

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
conservation measures	<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>River Chiefs' Mechanism with clear responsibilities established in 2 project provinces and 4 project counties. Water authority is mainly responsible for water resources management and protection; ecology and environment authority is responsible for water pollution prevention; agricultural authority takes the lead in fishery management; forestry authority is responsible for wetland protection and management.</p>	HS
Outcome 2.2 Pilot counties in Yunnan demonstrate successful implementation of local-level biodiversity conservation activities, implementing E-flows	<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 ecological concerns of improving ecosystem vitality and sustaining biodiversity. • Extensive work by TNC and other CSOs demonstrating a higher level of 	<ul style="list-style-type: none"> • Mainstreaming work 	---	<p>Field surveys and meetings between MWR and PMOs at provincial and county level were organized. The local officials/river chiefs are paying high attention to biodiversity protection with river wetland and fish habitat improvement, etc.</p>	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
		compatibility between development goals and environmental concerns • Initial work at MWR and DWRs at provincial level to introduce a different balance into river management				
	• 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).	• 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	---	---	The workplan for review of E-flow in Yunnan is developed.	S
	• 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)	• Existing human-made alterations change natural flow cycle creating negative BD effects; no E-flow	• Implementation of agreed adjustments	• Implementation of agreed adjustments	Jingdong county has confiscated 7 electric fishing devices in Enle River, and carried out a multistep transformation of the barrage of the Lotus Pond of Chuan River.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<ul style="list-style-type: none"> Increased ecosystem ability to sustain globally significant biodiversity (e.g. potamodromous fish species such as: Tor sinensis; Clupisoma sinense; Largemouth Bronze Gudgeon (Coreius guichenoti) & Royal Clown Loach (leptobotia elongate) (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 	548,909 m2 wetland has been restored and increased, and 100,000 local fry has been put into Enle river.	HS
	<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 	The provincial level work plan for improvement actions are under development.	S
	<ul style="list-style-type: none"> 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) 	<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; establishment of fish migration instruments 	<ul style="list-style-type: none"> Implementation of E-flow; establishment of fish migration instruments 	River was cleaned for fish migration and embankment was reinforced.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<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 "Green Line" water management practices (Area covered by GLS 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 	The subcontract for implementation of BD monitoring system is signed.	S
Outcome 2.3 Pilot districts in Chongqing demonstrate successful implementation of local-level biodiversity conservation activities, implementing E-flows	<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 ecological concerns of improving ecosystem vitality and sustaining biodiversity. 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 			River health assessment was initiated in Wubu River in Banan District. According to <i>the Work Plan for the Comprehensive Implementation of River Chief Mechanism in Chongqing Municipality</i> , the responsibilities of River Chiefs include maintaining the health of rivers and lakes, conserving biodiversity and increasing the E-flow in river channels.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<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 	---	---	The subcontract for implementation of BD monitoring system is signed.	S
	<ul style="list-style-type: none"> 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 (Area directly covered by BD mainstreaming: 1043 ha; Area of habitats improved and restored: 32 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 	River Health Assessment for Wubu River was organized. One River One Strategy plan was drafted for Wubu River.	S
	<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. 75 km) (Area directly covered by BD 	<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) 	900,000 Tons of garbage along Tang River and 4.5 km ² of river surface have been cleaned out.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	mainstreaming: 30 000 ha; Area of habitats improved and restored: 120 ha)					
	<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. 95km of river with newly certified “Green Line” water management practices (Area covered by GLS 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 	The subcontract for implementation of BD monitoring system is signed.	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 	Project related information were collected and used for dissemination. TNC gave suggestions to MWR on NGL communication and advocated NGL on public platforms.	S
	<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 	Communication and discussion meetings were carried out among PMOs, TNC and national consultants, and FAO Beijing officers as well.	HS

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<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 	5 newsletters were developed totally and disseminated for sharing information, project activities and results.	HS
	<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 	A webpage of the project was established on the website of the OP for information dissemination and experience sharing. Newsletters were issued by MWR and Yunnan as well.	HS
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 	---	Outlines for ecotypes assessment methods and case studies completed.	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 und 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 	---	Work plan for collecting information on E-flow for 4 pilot counties is under development.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<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 	---	Outline of River Health Assessment Case Study completed.	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 	---	Hydrologic information including discharge, water use, water level etc. has been collected.	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 	Strategy document is under development and will be delivered by the end of 2019.	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 	GIS system is under development. Principles of data clarification and collection have been set up.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<ul style="list-style-type: none"> • Aquatic biodiversity monitoring system designed and operational. 	<ul style="list-style-type: none"> • No dedicated and continuous BD monitoring existent 	---	---	Principles of data clarification and collection have been set up.	S
	<ul style="list-style-type: none"> • Monitoring system successfully piloted in project areas. 	<ul style="list-style-type: none"> • No dedicated and continuous BD monitoring existent 	<ul style="list-style-type: none"> • Implement monitoring system 	<ul style="list-style-type: none"> • Implement monitoring system 	Principles of data clarification and collection have been set up.	S

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
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 	<ul style="list-style-type: none"> 6 training workshops and meetings were organized and more than 120 officials from MWR and provincial level attended and gained knowledge on BD. 	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 	Over 200 Local river chiefs in towns and villages were trained.	HS

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

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<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 	Training plan has been developed with detail contents.	S
	<ul style="list-style-type: none"> At least 400 water management professionals trained in "Green Line Scorecard" 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 	Training plan has been developed with detail contents.	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 	Over 10,000 villagers were trained for biodiversity protect and behaviors. Nearly 40% of the trainees are female.	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 	Required PPRs and PIRs were submitted. MTR is scheduled in December 2019.	S

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

Outcome	Action(s) to be taken	By whom?	By when?
Outcome 3.2 Establish a comprehensive biodiversity monitoring system for aquatic biodiversity and piloting of the system in the project areas	To develop the strategy document for both provinces and all four project sites	Technical services providers subcontracted by the PMO	by the end of 2019

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

2. Progress in Generating Project Outputs

Outputs ¹¹	Expected completion date ¹²	Achievements at each PIR ¹³					Implement. status (cumulative)	Comments. Describe any variance ¹⁴ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
<u>Output 1.1.1</u> 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-months interval.	End of the project (Q4 of 2020)	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.				50%	
<u>Output 1.1.2</u> Biodiversity mainstreaming objectives and priorities incorporated into key water sector policies and plans at national level	End of the project (Q4 of 2020)	N.A.	Assessment of WRM policies is ongoing.				20%	
<u>Output 1.1.3</u> Biodiversity mainstreaming objectives and priorities incorporated into key	End of the project (Q4 of 2020)	N.A.	Preparation on systematic analysis of WRM policies is started. Biodiversity is				33 %	

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

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

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

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

water sector policies and plans at provincial level in Chongqing and Yunnan			mainstreamed into governmental policies and plans to some extent, with clear requirement on ensuring biodiversity protection in development of water projects in Chongqing.					
<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 (Q4 of 2020)	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.				60%	
<u>Output 1.2.1</u> Biodiversity mainstreamed into at least 3 important national level regulations and 3 important provincial level regulations for each of the two pilot provinces.	End of the project (Q4 of 2020)	Collected some regulation materials related to biodiversity conservation for gap analysis.	Conducting of policy analysis and assessment to identify entry points is started.				30%	
<u>Output 1.2.2</u> Technical guidelines drafted for the national, provincial, prefecture, and county/district level policies (outcome 1.1) and regulations	End of the project (Q4 of 2020)	N.A.	Technical Guidelines on Rivers and Lakes' Health Assessment was technically approved by MWR				30%	

(outcome 1.2); other suitable policies and regulations will be included as far as possible			and will be officially issued soon.					
<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 (Q4 of 2020)	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 Rectification Work plan" etc.				14%	
<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 (Q4 of 2020)	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.				70%	

<u>Output 1.4.1</u> “Green Line Scorecard” developed and ready to be tested in the pilot sites (see component II).	Q4 of 2017	Background materials compiled for reference to GLS developing	Outlines of study on GLS and river health assessment are developed.				40%	
<u>Output 1.4.2</u> “Green Line Scorecard” created with input from and endorsed by all relevant stakeholders.	Q4 of 2018	N.A.	Consultation has been conducted at the national level.				10%	
<u>Output 1.5.1</u> Investment opportunity assessments conducted at national level as well as for both pilot provinces.	Q2 of 2017	N.A.	N.A				0%	
<u>Output 1.5.2</u> Increase in relevant government investment of at least US\$20 million) in value.	End of the project (Q4 of 2020)	Increase in relevant government investment of US\$5.1 million in value	In pilot areas, the government increased its investment of 9.97 million US\$ on river management with focus on biodiversity.				50 %	
<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) and related budgets include biodiversity conservation.	End of the project (Q4 of 2020)	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 biodiversity conservation.				60%	
<u>Output 2.1.1</u> New collaborative partnerships operational at national level, provincial level for 2 pilot provinces; Working group/Stakeholder	End of the project (Q4 of 2020)	The establishment of Working group/Stakeholder network has started. ERA method introduced in the TNC materials	New collaborative partnerships have been established at provincial and county levels through River Chiefs’ Mechanism.				50 %	

network established and operational at prefecture level for 4 pilot areas.								
<u>Output 2.1.2</u> 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 2018	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.				60%	
<u>Output 2.2.1</u> Biodiversity mainstreaming under component I explicitly mentions pilot activities.	Q4 of 2018	ERA method briefed	Baseline survey on political will is ongoing and Biodiversity mainstreaming is initiated in pilot activities.				30 %	
<u>Output 2.2.2</u> E-flow implementation strategy determined and agreed upon by all relevant prefecture level government stakeholders.	Q4 of 2017	N.A.	Preparation work on the survey and analysis is started.				10 %	
<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	End of the project (Q4 of 2020)	N.A.	Preparation work on the survey and analysis is started.				10 %	

and other water infrastructure design, resulting in improved habitat connectivity.								
<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 (Coreius guichenoti) & Royal Clown Loach (leptobotia elongate).	End of the project (Q4 of 2020)	preparation work for ecological system restoration	548,909 m ² wetland has be restored and increased. And 100,000 fry of local species has been input into Enle river. Ecological survey for pilot rivers is under preparation.				30%	
<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 (Q4 of 2020)	N.A.	Review of the best practices in habitat improvements is ongoing.				20%	
<u>Output 2.2.6</u> E-flow successfully implemented within Chuan river; Installation of fish migration channels and/or ladders or other suitable migration instruments	End of the project (Q4 of 2020)	Cleanout the channels and riparian garbage for fish migration. Reinforced the river embankment and interconnected the river system.	Cleanout the channels and garbage as well as embankment are continued.				40%	
<u>Output 2.2.7</u> BD monitoring system established with two monitoring stations per river and used for	End of the project (Q4 of 2020)	River administration supervision was addressed in fields	River administration supervision is continuously strengthened in fields.				30%	

improvement of BD conservation measures; ca. 80km of river with newly certified “Green Line” water management practices.								
<u>Output 2.3.1</u> Biodiversity mainstreaming under component I explicitly mentions pilot activities.	Q4 of 2018	Collected successful practice cases on biodiversity conservation and E-flows.	Preparation work is undergoing.				30 %	
<u>Output 2.3.2</u> E-flow implementation strategy determined and agreed upon by all relevant prefecture level government stakeholders.	Q4 of 2017	N.A.	Review E-flow status in Chongqing is in preparation.				10 %	
<u>Output 2.3.3</u> 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	End of the project (Q4 of 2020)	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.				40%	
<u>Output 2.3.4</u> Retain population of aquatic species through strict application of fish protection and fisheries regulation; Assess biodiversity impact of	End of the project (Q4 of 2020)	N.A.	Preparation on GLS related work is started. 900,000 Tons of garbage along Tang River and 4.5 km ² of river surface have been cleaned out.				30%	

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. 75 km)								
<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. 95km of river with newly certified “Green Line” water management practices	End of the project (Q4 of 2020)	River administration supervision addressed.	Preparation for establishing BD monitoring is undergoing.				30%	
<u>Output 2.4.1</u> All relevant information documented; project results reports synchronized with M&E reporting schedule.	End of the project (Q4 of 2020)	Project related information were collected.	Project related information were collected continuously.				30 %	
<u>Output 2.4.2</u> Project results shared with project team and relevant stakeholders.	End of the project (Q4 of 2020)	Communication and discussion meetings carried out between concerned project partners.	Communication and discussion meetings were continuously carried out within the team and among stakeholders. TNC gave suggestions to MWR on NGL communication and advocated NGL on public platforms.				30%	

<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 (Q4 of 2020)	2 newsletters were developed and distributed to concerned departments for dissemination.	3 newsletters were developed and disseminated for sharing project activities and results. Microblog and WeChat Official Account were created to share information.				30%	
<u>Output 2.4.4</u> Best practices report compiled and distributed to other provinces and prefectures suitable for replication	End of the project (Q4 of 2020)	N.A.	N.A				0%	
<u>Output 3.1.1</u> Mappings conducted in Chongqing and Yunnan with particularly detailed mappings in the four pilot sites	Q4 of 2018	N.A.	Preparation for river ecological survey is started.				20%	
<u>Output 3.1.2</u> River health assessment conducted for all project counties.	Q4 of 2018	N.A.	Preparation for collecting information on E-flow for 4 pilot counties is started.				20 %	
<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 2018	N.A.	Preparation for study of river health assessment is started.				30 %	
<u>Output 3.1.4</u> Water accounting system operational, utilizing	Q4 of 2018	N.A.	Preparation for research on water accounting is started.				20 %	

global scale public domain datasets (WA+).								
<u>Output 3.2.1</u> Strategy document formulated for both provinces and all four project sites after 6 months of project start date.	End of the project (Q4 of 2020)	N.A.	N.A				0%	
<u>Output 3.2.2</u> GIS database designed and operational.	End of the project (Q4 of 2020)	N.A.	Preparation work for GIS database design is started.				30 %	
<u>Output 3.2.3</u> Aquatic biodiversity monitoring system designed and operational	End of the project (Q4 of 2020)	Preparation work on monitoring systems discussed by PMO and TNC	Preparation work is started				20%	
<u>Output 3.2.4</u> Monitoring system successfully piloted in project areas.	End of the project (Q4 of 2020)	N.A.	Preparation work is started in Chongqing.				10%	
<u>Output 3.3.1</u> 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.	Q4 of 2019	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.				80%	
<u>Output 3.3.2</u> At least 400 water management professionals trained in	Q4 of 2019	Local river chiefs in towns and villages were trained.	Over 200 Local river chiefs in towns and villages ere trained.				50%	

biodiversity mainstreaming practices relevant to their area of expertise.								
<u>Output 3.3.3</u> At least 400 water management professionals trained in BD monitoring system implementation, processing and analysis.	Q4 of 2019	N.A.	N.A				0%	
<u>Output 3.3.4</u> At least 400 water management professionals trained in "Green Line Scorecard" implementation.	Q4 of 2019	N.A.	N.A				0%	
<u>Output 3.3.5</u> Provision of training on river biodiversity to local population with a special focus on empowering and educating women and ethnic minorities.	Q4 of 2019	N.A.	Over 10,000 villagers were trained for biodiversity protect and behaviors.				40%	
<u>Output 3.4.1</u> M&E plan implemented (according to criteria and reporting requirements)	End of the project (Q4 of 2020)	Reviewed the project implementation and conducted preparation for the spot check	MWR PMO passed external spot check in October 2018. Project monitoring and evaluation system development is started.				30%	

Information on Progress, Outcomes and Challenges on project implementation.

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

Component 1: “Changing the framework”--institutional and planning framework for mainstreaming biodiversity into water resources management at national, provincial and local levels.

At the national level, study on ecological flow (water level) of all the major rivers and lakes was carried out; Technical Guidelines on Rivers and Lakes’ Health Assessment was technically approved by MWR. Banan District, Chongqing revised its 13th-Five Year Plan for Environment Protection and Ecological Civilization by integrating biodiversity into it.

During 2018, the general office of the State Council issued *the Opinions on Strengthening the Protection of Aquatic Life in the Yangtze River*, and MWR issued the *Opinions on Cleaning Up and Rectifying Small Hydropower in the Yangtze River Economic Belt* and the *Notice on Further Strengthening Law Enforcement in Rivers and Lakes*.

A preliminary report on water resource management policies, regulations and best practices was completed. Outline of study on GLS and river health assessment is developed.

Component 2: “Enhancing implementation”--demonstrate on-the-ground activities for mainstreaming biodiversity in pilot rivers in Chongqing and Yunnan provinces.

River Chiefs’ Mechanism has been established in 2 project provinces and 4 project counties and actions for cleaning rivers and biodiversity protection have been carried out.

Jingdong county confiscated 7 electric fishing devices in Enle River and carried out a multistep transformation of the barrage of the Lotus Pond of Chuan River. 548,909 m² wetland has been restored and increased. 100,000 local fry has been input into Enle River, Zhenyuan county of Chongqing. 900,000 tons of garbage along Tang River and 4.5 km² of river surface have been cleaned out in Jiangjin county of Chongqing.

Work on transforming original dam into ladder steps in Chuan River was initiated to promote migration of fishes and to improve environment flow in Jingdong county, Yunnan province. One River and One Strategy plans for Chuan River and Wubu River have been drafted. Preliminary River Health Assessment for Wubu River has been organized.

Component 3: “Improving information”--creation of improved information systems and capacity to use these systems to inform better and continuously improving water management practices serving enhanced conservation of river biodiversity.

Through capacity building, government officers at all levels have better understanding and views about biodiversity protection. Information is shared in various ways.

6 Training workshops, meetings and an international study tour have been organized at the central and provincial levels to improve capacity and exchange information. The total number of participants is over 120. GEF project column was set up on the official website of INTCE for wide dissemination and information sharing. Microblog and WeChat official account were created. Over 10,000 villagers were trained on biodiversity conservation.

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

The project encountered the following management issues which caused delay of project implementation.

- ✓ The LOA between FAO and The Natural Conservancy (TNC) who serves as a key technical partner of the project was signed in March 2019, after the long negotiation between FAO, MWR and TNC. Some of the important joint activities with TNC and technical support from TNC could not start as planned.
- ✓ The Amendment of Operational Partners Agreement (OPA) was officially signed in July 2018 which also affected the implementation of project activities.
- ✓ The restructuring of government agencies at central and local levels in second half year of 2018 until 2019 has substantial impact on decision-making of some important project implementation arrangement and actions.
- ✓ Due to inadequate staff of the PMOs, Project Management Consultants for MWR PMO and provincial PMOs were not recruited until March 2019.

Development Objective Ratings, Implementation Progress Ratings and Overall Assessment

	FY2019 Development Objective rating¹⁵	FY2019 Implementation Progress rating¹⁶	Comments/reasons justifying the ratings for FY2019 and any changes (positive or negative) in the ratings since the previous reporting period
Project Manager / Coordinator	S	MS	<i>The project has made impressive progresses towards the objective, especially in policy development. However, the overall implementation is behind schedule. The project will apply for a no-cost extension based on the results of the Mid-term Review.</i>

¹⁵ **Development/Global Environment Objectives Rating** – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet.

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

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

Budget Holder	S	MS	<i>The project is moving towards achieving the objective. The project implementation is behind schedule but has shown signs of accelerating.</i>
Lead Technical Officer¹⁷	S	MS	<i>China's on-going ecological civilization both policy and practices has been providing the good opportunities for the project implementation, such as environment flow and the river chief system, etc. This project may further seek the synergies by consulting with the related government agencies.</i>
GEF Funding Liaison Officer	S	MS	<i>Slow implementation due to unresolved staffing issue: qualified but part-time PMU staff. The upcoming MTR in Q4 2019 will most likely pick up this topic, however, the MTR exercise should be a positive opportunity to improve and accelerate the project implementation.</i>

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

3. Risks

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

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

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

Risk ratings

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

	Risk	Risk rating ¹⁹	Mitigation Action	Progress on mitigation actions ²⁰	Notes from the Project Task Force
1	Economic pressure may increase, intensifying the inclination for infrastructure development in rivers, altering aquatic habitats at unsustainable rates.	Moderate	EIA is required for the infrastructure development		

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

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

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

	Risk	Risk rating ¹⁹	Mitigation Action	Progress on mitigation actions ²⁰	Notes from the Project Task Force
2	The capacity at Provincial water department level to support main-streaming is just emerging and may be difficult to operationalize effectively.	Moderate	<ul style="list-style-type: none"> ✓ More communication through field visit, meetings, calls, etc. ✓ Adjusted the project management unit in provincial water department accordingly. ✓ Awareness and capacity building. 		
3	Increased frequency or regularity of temperature extremes caused by CC may alter the flow regimes of many of China's river systems.	Moderate~Low	Not encountered.		
4	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	Not encountered.		

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

FY2018 rating	FY2019 rating	Comments/reason for the rating for FY2019 and any changes (positive or negative) in the rating since the previous reporting period
Substantial	Low	All the challenges encountered in 2018 have been sorted out. Now the project implementation is on track.

4. Adjustments to Project Strategy

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

Change Made to	Yes/No	Describe the Change and Reason for Change
Project Outcomes	No	
Project Outputs	No	

Adjustments to Project Time Frame

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

Change	Describe the Change and Reason for Change
Project extension	<div>Original NTE: Revised NTE:</div> <div>Justification:</div>

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

5. Gender Mainstreaming

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

Was a gender analysis undertaken or an equivalent socio-economic assessment? Please briefly indicate the gender differences.

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

Does the project staff have gender expertise?

Women comprise approximately 49% of the local population in project areas. Since many men go to work in cities, women working on a day-to-day basis are closer to 70%. The primary source of income for women is farming. Women are the largest group who are directly impacted by vulnerable ecosystem. This project pays great attention to women's empowerment, and encourages women's involvement in project activities, such as attending mobilization and advocacy on biodiversity protection practices, participating in river cleaning actions, etc.

At management level, women have priority to participate in project capacity building. Over 100 management staff attended training, workshops, and meetings, of which 70% are female officers.

Project M/E system is under development where gender-disaggregated data will be included and gender impacts will also be recorded and evaluated.

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

- closing gender gaps in access to and control over natural resources;
- improving women's participation and decision making; and or
- generating socio-economic benefits or services for women.

As women and children are more vulnerable to ecological environment, they could benefit from all the project results.

6. 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

During the implementation of the project, ethnic minorities actively participated in various project activities, especially in publicity and education. Especially in Jingdong County in Yunnan Province, the ethnic minorities account for 50% of the local population, which include the Yi, Dai, Hani and Yao ethnic groups. The local PMO distributing leaflets by each household to raise their awareness of water saving, biodiversity conservation and environmental protection. In the trainings held by PMO and local government, nearly 40% of the trainee are ethnic minorities.

7. Stakeholders Engagement

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

If your project had a stakeholder engagement plan, specify whether any new stakeholders have been identified/engaged:

If a stakeholder engagement plan was not requested for your project at CEO endorsement stage, please

- list all stakeholders engaged in the project;
- briefly describe stakeholders' engagement events, specifying time, date stakeholders engaged, purpose (information, consultation, participation in decision making, etc.) and outcomes.
-

Stakeholders include water department of local governments (provincial, municipal and county level), river basin authorities, international advisory organizations, farmer water-consumers, city residents etc. are engaged in the project. (i) Water departments and other concerned agencies of local governments effectively manage rivers considering the mainstream of biodiversity ;(ii) River basin authorities implemented the comprehensive assessment and planning in the pilot areas;(iii) International partner (TNC) offered international best practice and experience on water resource management policy-making and provided capacity building on staffs participating in this project. PMOs, TNC and the domestic technical services providers discuss the project implementation and share BD knowledge and experience; (iv) Representatives of farmer water-consumers and city residents were invited to participate in training courses and express point of views on water use, environment protection and biodiversity conservancy.

8. Knowledge Management Activities

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

- Please tell us the story of your project, focusing on how the project has helped to improve people's livelihood and how it is contributing to achieve the expected global environmental benefits
- Please provide the links to publications, video materials, etc.

Project webpage: <http://intce.mwr.cn/swdyxbhzgslxd>

<http://intce.mwr.cn/swdyxbhzgslxd>/<http://intce.mwr.cn/swdyxbhzgslxd/>

9. Co-Financing Table

Sources of Co-financing ²²	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at 30 June 2019-	Actual Amount Materialized at Midterm or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
FAO	FAO	In-kind and cash	75,000	34,000		75,000
Ministry of Water Resources	Ministry of Water Resources	In-kind and cash	19,300,000	10,051,688		19,300,000
Yunnan Dep. of Water Resources	Yunnan Dep. of Water Resources	In-kind and cash	3,100,000	1,425,319		3,100,000
Chongqing Dep. of Water Resources	Chongqing Dep. of Water Resources	In-kind and cash	3,000,000	1,441,406		3,000,000
The Nature Conservancy	The Nature Conservancy	In-kind	500,000	260,000		500,000
Other		cash				
TOTAL			USD 25,975,000	13,212,413		USD 25,975,000

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

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

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.