



Project Implementation Report

(1 July 2021 – 30 June 2022)

Project Title:	<i>Upgrading of China SHP Capacity Project</i>
GEF ID:	<i>6919</i>
UNIDO ID:	<i>140196</i>
GEF Replenishment Cycle:	<i>GEF-6</i>
Country(ies):	<i>China</i>
Region:	<i>EAP - East Asia and Pacific</i>
GEF Focal Area:	<i>Climate Change Mitigation (CCM)</i>
Integrated Approach Pilot (IAP) Programs ¹ :	<i>N/A</i>
Stand-alone / Child Project:	<i>Stand -alone</i>
Implementing Department/Division:	<i>ENE / ETI</i>
Co-Implementing Agency:	<i>N/A</i>
Executing Agency(ies):	<i>Ministry of Water Resources (MWR), Ministry of Finance (MOF), International Centre for Small Hydro Power (ICSHP)</i>
Project Type:	<i>Full-Sized Project (FSP)</i>
Project Duration:	<i>60</i>
Extension(s):	<i>1</i>
GEF Project Financing:	<i>8,925,000 USD</i>
Agency Fee:	<i>847,875 USD</i>
Co-financing Amount:	<i>74,428,450 USD</i>
Date of CEO Endorsement/Approval:	<i>5/5/2016</i>
UNIDO Approval Date:	<i>7/4/2016</i>
Actual Implementation Start:	<i>7/29/2016</i>
Cumulative disbursement as of 30 June 2022:	<i>7,226,858</i>
Mid-term Review (MTR) Date:	<i>2/1/2020</i>
Original Project Completion Date:	<i>7/29/2021</i>
Project Completion Date as reported in FY21:	<i>12/31/2023</i>
Current SAP Completion Date:	<i>12/31/2023</i>

¹ Only for GEF-6 projects, if applicable

Expected Project Completion Date:	12/31/2023
Expected Terminal Evaluation (TE) Date:	10/31/2023
Expected Financial Closure Date:	10/31/2024
UNIDO Project Manager ² :	<i>Heng LIU</i>

I. Brief description of project and status overview

Project Objective			
<p>The Project aims at supporting the SHP capacity expansion programme of the Chinese Ministry of Water Resources (MWR), by reducing the environmental impact of SHP plants to better meet the challenges imposed by climate change. The objective of this project is to reduce GHG emissions and dependence on fossil fuels through the promotion of upgrading, greening and improving the management of existing SHP stations, contributing to the competitiveness of China's industries. Alongside important social and economic benefits, the project will improve local river ecology, hence contributing to adaptation of SHP plants to climate change.</p>			
Project Core Indicators		Expected at Endorsement/Approval stage	
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)	Direct	1,975,500
		Indirect	5,567,318
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	The Number is not available, but projects is ensuring that female beneficiaries will account for no less than 25%	
6.4	Increase in installed renewable energy capacity	Small Hydropower	21.30 MW

Baseline
<p>Baseline: The awareness, understanding, as well as a long-term vision over the necessity and benefits of green hydropower refurbishment are lacking in China. This is complemented by the absence of relevant expertise and necessary skill, both at policy level and project developer level. This resulted a significant gap with present international green hydropower development, as project owners are unwilling to take initial measure to upgrade to green hydropower due to the lack of relevant inventive measure and expertise. However, through the financial support of GEF funding, this situation will be changed. GEF funding is needed to cover the incremental costs related to the greening of the SHPs to ensure additional environmental and social benefits such as delivering water demand downstream, flood control, irrigation, water quality, and to increase the financial viability of the plants.</p>

Overall Ratings ³	FY22	FY21
Global Environmental Objectives (GEOs) /	<i>Satisfactory (S)</i>	<i>Satisfactory (S)</i>

² Person responsible for report content

³ Please refer to the explanatory note at the end of the document and assure that the indicated ratings correspond to the narrative of the report

Development Objectives (DOs) Rating		
By green upgrades and safety standardization of demonstration SHP plants and improving the institutional frameworks of green SHP development, the project is contributing to sustainable energy production and GHG emission reduction. With components under the project progressing as planned in this fiscal year, and no major environmental problem reported in the ESMP monitoring, we'd like to propose a 'Satisfactory (S)' rating here.		
Implementation Progress (IP) Rating	<i>Satisfactory (S)</i>	<i>Satisfactory (S)</i>
The progress in FY22 matches the work plan between July 2021 and June 2022, and therefore we are proposing a 'Satisfactory (S)' rating here. Planned activities under the three components (see Section II for details) have been completed as scheduled, including policy recommendations for green SHP incentives, green upgrades and safety standardization of demonstration plants, and capacity building among stakeholders.		
Overall Risk Rating	<i>Low Risk (L)</i>	<i>Low Risk (L)</i>
Financial risks are lowering as the project advanced as planned in the reporting time with most of the technology demonstration tasks about to finish. Moderate risks lie in the uncertainties arose from the continuing Covid pandemic, which might result in restrictions in organizing in-person events for knowledge sharing in China, and climate change impacts that reduces actual power generation, but the overall project risk is still low. Please see Section III. Project Risk Management for more details.		

II. Targeted results and progress to-date

Please describe the progress made in achieving the outputs against key performance indicator's targets in the project's **M&E Plan/Log-Frame at the time of CEO Endorsement/Approval**. Please expand the table as needed.

Project Strategy	KPIs/Indicators	Baseline	Target level	Progress in FY22
Component 1 –Policy and institutional framework promoting green SHP plants.				
Outcome 1: Policy and institutional framework for promoting green SHP plants are strengthened				
Output 1.1: Green SHP Assessment Standard and aligned technical standards formulated and revised	Final version of Green small hydro standard.	Preliminary version of Chinese Green SHP standard	Draft and Final versions of Chinese Green SHP Ministerial standard	<ul style="list-style-type: none"> - Completed in the former fiscal year, including: <ul style="list-style-type: none"> ▪ Trial of the Green SHP Assessment Standard by MWR since May 2017 ▪ Amendments in Nov 2021 and official ratification in Feb 2021 - No more action in FY22
	Management rules for green SHP Assessment	No management rules for green SHP	Management rules for green SHP Assessment	<ul style="list-style-type: none"> - Draft of Management rules finalized, pending MWR ratification

	Guidance on green SHP construction and technical guidelines on how to implement green hydro measures published	No technical guidelines on green SHP in China	Guidance on green SHP construction and technical guidelines on how to implement green hydro measures published	<ul style="list-style-type: none"> - <i>Completed in the former fiscal year, including:</i> <ul style="list-style-type: none"> ▪ <i>Guidance ratified by MWR in Dec 2016</i> ▪ <i>Technical guidelines finalized in Nov 2020</i> ▪ <i>International consultancy recruited</i> - No more action in FY22
	According to the adjustment of the activities of output 1.1, the progress of the additional achievements are as follows:			
	Technical Guidelines on Dehydration Recovery in Downstream River of Small Hydro aligned to Green SHP Assessment Standard	No Technical Guidelines on Dehydration Recovery in Downstream River of Small Hydro aligned to Green SHP Assessment Standard	Technical Guidelines on Dehydration Recovery in Downstream River of Small Hydro aligned to Green SHP Assessment Standard developed	<ul style="list-style-type: none"> - <i>Completed in the former fiscal year, including:</i> <ul style="list-style-type: none"> ▪ <i>Technical Guidelines ratified by MWR in Jun 2020</i> ▪ <i>Technical Guidelines ratified by MWR in Sept 2020</i> - No more action in FY22
	Green SHP Development Strategy	No Green SHP Development Strategy	Technical Guidelines on Dehydration Recovery in Downstream River of Small Hydro aligned to Green SHP Assessment Standard developed	<ul style="list-style-type: none"> - <i>Completed in the former fiscal year and submitted to MWR in Dec 2020</i> - No more action in FY22
	Establishment and improvement of the online Management Information System for Green Hydropower	No online Management Information System for Green Hydropower	Online Management Information System for Green Hydropower	<ul style="list-style-type: none"> - <i>System in operation since 2019</i> - <i>System improved in 2021, based on opinions from government agencies, SHP plant owners, auditors, etc.</i> - No more action in FY22
Output 1.2: Preferential green SHP policies developed and recommended	Green SHP labeling system established	No green SHP labelling system	Green SHP labelling system established	<ul style="list-style-type: none"> - <i>Completed in the former fiscal year, and final design report accepted by UNIDO in Mar 2020</i> - No more action in FY22
	Incentive policies in 8 provinces recommended for adaption	Few (1-2) specific green incentive policies in place	At least one incentive policy recommended for adoption in each of 8 provinces	<ul style="list-style-type: none"> - <i>Partially completed in the former fiscal year, including:</i> <ul style="list-style-type: none"> ▪ <i>Inception Report received, reviewed, revised and submitted to UNIDO in Jun 2020</i>
	Introduction of mandatory ecological flows	Guidelines in place in 5 provinces	Mandatory ecological flows introduced in 2 provinces	<ul style="list-style-type: none"> ▪ <i>Policy recommendations revised based on opinions from local SHP authorities, and policy incentives for mandatory eco-flows adopted in two provinces in by Nov 2020</i> - Final report revised according to expert opinions and submitted to UNIDO in April 2022
	National and provincial incentive policies recommended for adoption including a section on gender consideration	No green SHP incentive policies in place	At least one incentive policy recommended for national adoption	<ul style="list-style-type: none"> - TOR submitted to UNIDO in June 2022, and tendering to be launched

Output 1.3: Safe Production standard criteria rolled out nationwide	Safe production standard rolled out nationwide	Draft 'document' on safe production	Safe production standard rolled out nationwide	- Completed in the former fiscal year with Best Case Manual for standardization of production safety in rural hydropower finalized in Dec 2020
	Provincial safe production standards issued	No provincial standards issued	Issuance of provincial standards on safe production in 8 provinces	- No more action in FY22
Component 2 –Greening and improving the management and safety standards of existing SHP plants.				
Outcome 2.1: 24 refurbished green SHP plants are fully operational and improved management and safety standards are in place, now 22				
Output 2.1: 24 business plans and feasibility studies finalized for upgrading SHP demonstration plants	Number of detailed feasibility studies and business plans including gender considerations	24 simple prefeasibility studies prepared. No business plans	Formerly 24 business plans and project design reports finalized, now 20	- Partially completed in the former fiscal year, including: <ul style="list-style-type: none">▪ Final report of the technical and economic assessment and feasibility study/preliminary, and 22 business plans and project design reports completed, reviewed and accepted by ICSHP and UNIDO in Jan 2020▪ International consultant recruited to provide technical recommendations for GEF refurbishment for pilot plants - Final research report by the international consultant under development
Output 2.2: Upgraded green SHP plants rehabilitated at 24 sites with additional capacity of approx. 23.7 MW and generation of 157,000 MWh per year.	No. of demonstration projects	No demonstration projects	Formerly 24 demonstration projects installed and commissioned, now 20	- Partially completed in Fiscal Year 2020 and 2021, including: <ul style="list-style-type: none">▪ Green upgrades/retrofitting launched at 22 demonstration SHP plants (three SHP plants withdrew, and another joined)▪ 22 First and Second Progress Reports received, reviewed, and accepted by ICSHP and UNIDO, and payment release completed to 21 - Contracts of two demonstration plants terminated in Oct 2021 due to their demolition
	Additional Installed Capacity (MW)	0	Formerly 23.7MW, now 21.3 MW	- Monitoring Report (2020.01-2021.06) has received, reviewed, and accepted by ICSHP after revision in Dec 2021.
	Additional annual power generation	0	Formerly 157,000 MWh, now 148,322 MWh generated	- Final Report received, reviewed, and accepted by ICSHP after revision in Dec 2021
	Reduced annual GHG emissions	0	Formerly 110,000 tCO2e, now 106,940 tCO2e	- An additional 21.3MW installed capacity reported by 20 pilot plants by Jun 2022, according to 8 provincial PMOs
	No. of pilot sites where ecological flow	0	24 pilot sites, now 20	- 107,788MWh additional power generation in FY2022
				- 76101 tCO2e reduction in GHG emission
				- 20 pilot sites with eco-flow maintained year-round

	maintained year round			<ul style="list-style-type: none">- 50% female-led (management team) pilot SHP plants (beneficiaries)- 28% female employees at pilot SHP plants- 20 rivers with improved ecology (Provincial PMO data)
	#/% of female-led (management team) pilot SHP plants (beneficiaries)	Baseline study	15%	
	#/% of female employees at pilot SHP plants	Baseline study	25%	
	Number of rivers with improved ecology	None (related to project)	24 rivers, now 20	
Outcome 2.2: Improved performance and safety management for SHPs in place				
Output 2.3: Socio-economic and environmental impact of green SHP rehabilitation recorded	No. of Environmental and Social Management Plans prepared	None	Formerly 24 ESMPs completed, now 20	<ul style="list-style-type: none">- 22 ESMPs finalised after revision, and the Final Report received, reviewed and accepted by ICSHP and UNIDO in the former fiscal year- ESMP Monitoring Reports for SHP plants in 4 Provinces (of 8) received, reviewed and accepted by ICSHP and UNIDO in Dec 2021, with very positive results from expert monitoring and analysis, and no major environmental problems during construction and operation- One national expert contracted for ESMP monitoring for SHPs in the rest 4 provinces in Jan 2022- Inception Report of ESMP Monitoring for SHP plants in the rest 4 province received, reviewed and accepted by ICSHP and UNIDO in Apr 2022
	% of ESMP that include a gender dimension	None	100%	<ul style="list-style-type: none">- Completed in the former fiscal year with all ESMPs (100%) including a gender dimension- No more action in FY22
	No. of baseline and socio-economic and environmental studies of local area and population prior to rehabilitation, including a chapter on gender	None	10	<ul style="list-style-type: none">- Baseline and socio-economic and environmental studies of local areas and population prior to rehabilitation received, reviewed and accepted by ICSHP and UNIDO in Dec 2021- Baseline and socio-economic and environmental studies of local areas and population post to rehabilitation drafted, reviewed by ICSHP, and now under CJLU revision
	No. of socio-economic and environmental impact studies post SHP rehabilitation, including a chapter on gender	None	10	
	% of female/male beneficiaries at project areas	To be provided in baseline study	50%	<ul style="list-style-type: none">- Report not submitted and data not available yet
	No. of case studies prepared (% that includes gender section/dimension)	No case studies	10 case studies (100%)	<ul style="list-style-type: none">- Procurement of national consultants completed in Apr 2022- Inception Report of case studies development received and reviewed by ICSHP in Jun 2022- All 10 case studies required by contract to include gender section/dimension

Component 3 –Knowledge base and capacities in the fields of green SHP and improved safe SHP management.					
Outcome 3: Knowledge and awareness of decision makers, experts and technicians about green SHP retrofitting and management are improved					
Output 3.1: Capacity building programme for SHP owners, developers, and technicians delivered 1200 people	Training materials developed on green hydro and safe SHP with considerations on gender.	No dedicated training material developed	Training material developed. Train the trainers with a chapter on gender.		- Completed in previous fiscal year, and development of training material completed in Mar 2020
	No. of train-the-trainer sessions delivered	None	One		- Completed in the previous fiscal year, one train-the-trainer session delivered to 50 trainers, including 13 females (26%), in Aug 2020
	No. of trained trainers	No trained trainers	50 trained trainers	13 female trainers (at least 25% women)	
	No. of training workshops delivered to project owners, developers, managers, technicians and design institutes	No workshops dedicated to green and safe SHP	15 workshops		- A total of 6 training sessions for capacity building for owners, developers and technical personnel organised, with a completion rate of 48.7% and 585 people (155 females, 26%) trained in total, including: ▪ Four 3-day sessions completed in the former fiscal year ▪ Two 3-day sessions in Jan and May 2022
	Total No. of trainees	0 trainees	1200 trainees	300 female trainees (at least 25% women)	
	No. of study tours	No study tour	1 study tour completed		- Completed in previous fiscal year with one study tour on green SHP to the United States organized in Jun 2019 ▪ 27 people (including 7 females) signed up ▪ 11 cancelled due to visa or personal reasons
	No. of study tour participants	None	25	7 female (at least 25% women)	
Output 3.2: Capacity building programme for 200 officials on green SHP and Safety and Protection regulation	Training material developed on policy and regulation on Green Hydro and on Safe Production with considerations on gender.	No training material available	1 set of training material developed on policy and regulation on Green Hydro 1 set of training material developed on Safe production Both documents will carry a chapter on gender.		- Completed in previous fiscal year and training material completed in Mar 2020
	No. of training sessions for MWR officials in provinces	No training available	- 4 training sessions		- One 4-day training session organized in Mar 2022, with 66 officials trained, including 18 females (27%), and a completion rate of 33%
	No. of official trained	No official trained	200 official trainees	50 female trainees (at least 25% women)	
	No. of study tours	No study tour	1 study tour completed		- Completed in previous fiscal year with one international study tour to Switzerland and Austria organized in Nov 2019 ▪ 34 people (including 9 females, 26%) signed up ▪ 11 cancelled due to visa or personal reasons
	No. of study tour participants	None	30	8 female (at least 25% women)	

Output 3.3: Awareness raising campaign delivered	Inception awareness raising workshop held	None	1		<ul style="list-style-type: none">- Completed in previous fiscal year, with inception workshop organized in Nov 2017, including:<ul style="list-style-type: none">▪ 41 media outlets invited for mass dissemination▪ Press release disseminated through 57 media channels and official websites of UNIDO, GEF and ICSHP▪ 1st NPCC meeting held in conjunction▪ One training session organized for stakeholders on technical aspects of the project▪ One Q&A session organized after the training▪ 156 participants (40 females, 26%), including officials of MWR, MOF, UNIDO, WRBs of the 8 selected provinces, journalists, etc.
	No. of attendees at workshop	None	150	38 female (at least 25% women)	
	Awareness raising and marketing material available for the public	Shortage of effective and good quality public awareness raising and marketing material	Public awareness raising, marketing and training material developed and adapted for Chinese conditions and made available in printed and electronic format. Posters available at project sites		<ul style="list-style-type: none">- Agreement signed with sub-contractor in early 2022 for the provision of services for a documentary film for awareness raising in China- Initial interview and filming of government officials completed in Jan 2022- Agreement signed with sub-contractor in early 2022 for the provision of services for promotional material development- Design of promotional materials reviewed and accepted by UNIDO, and development undergoing
	Awareness raising and marketing material available for project developers and officials including consideration on gender	No public awareness raising and marketing material in Chinese	Public awareness raising, marketing and training material developed (with a chapter on gender) and adapted for Chinese conditions and made available in printed and electronic format.		
	National and provincial seminars on green hydro	None held	3		<ul style="list-style-type: none">- Agreement signed with sub-contractor in Feb 2022- Inception Report received, reviewed and accepted by ICSHP and UNIDO in Apr 2022
	Chinese Green SHP website established	No website	Website established and regularly updated		
	International green hydro event held in China with a side event relevant to gender	No international event	1 international green hydro event		<ul style="list-style-type: none">- Agreement signed with sub-contractor in Feb 2022- Inception Report received, reviewed and accepted by ICSHP and UNIDO in Apr 2022
Output 3.4: Establishment of pilot green SHP plants	Training material developed for green SHP establishment with consideration on gender.	Ad-hoc training material	Training material for green hydro establishment, including a chapter on gender, promoted by MWR and ICSHP.		<ul style="list-style-type: none">- Training partially completed with:<ul style="list-style-type: none">▪ Training material development completed in Mar 2020▪ Two 2-day training sessions organised in previous fiscal year, with 136 people (35 females, 26%) trained▪ One 2-day training session organised online in Apr 2022, with 93 people (33 females, 35%) trained▪ Overall completion rate of 65.4%- 21 hydropower plants promoted to Green SHP Plants by Jun 2022
	Establish 24 refurbished SHP plants as pilot green SHP plants	No list	Pilot Green SHP establishment promoted nationwide.		
	No. of trainees receiving training	0	350 trainees	88 female trainers (at least 25% women)	

					- 87.5% completion rate
Output 3.5: Establishment of safe production standardization carried out	Training material developed for safe production establishment	Draft training material	Training material for safe production establishment promoted by MWR.		- Training completed with: <ul style="list-style-type: none">▪ <i>Training material development completed in Mar 2020</i>▪ <i>First 2-day training session organised in Feb 2021, with 43 people (11 females, 26%) trained</i>▪ <i>Second 2-day training session organised in Apr 2022, with 159 people (38 females, 24%) trained</i>
	Promoting safe production standardization in 24 refurbished SHP plants.		Safe production standardization establishment promoted nationwide.		
	No. of trainees receiving training	54	200 trainees	50 female trainees(at least 25% women)	- 21 hydropower stations promoted to safe production standardization plants by Jun 2022

III. Project Risk Management

1. Please indicate the overall project-level risks and the related risk management measures: (i) as identified in the CEO Endorsement document, and (ii) progress to-date. Please expand the table as needed.

	(i) Risks	(i) Risk level FY 21	(i) Risk level FY 22	(i) Mitigation measures	(ii) Progress to-date	New defined risk ⁴
1	Political risk	Low risk (L)	Low risk (L)	The project objectives and activities are in line with national policies and objectives. MWR has been involved in all stages of the project design and have ensured their full support throughout the project and beyond. In addition, the provincial governments have been involved in the project preparation and have stated their interest in greening projects.	Active communication is maintained between the PMOs and governmental partners under the project via NPCC/PSC meetings, instant messaging groups, e-newsletters, and written reports to share progress and updates under the project. Therefore, governmental partners including MWR and local governments are actively engaged in annual work plans and implementation, technical demonstration, and policy recommendations, which ensure that the project progress is well-aligned with the priorities of government agencies.	<input type="checkbox"/>
2	Implementation risk	Low risk (L)	Low risk (L)	<p>China has a very active national SHP industry which in part is already active in exporting equipment and knowledge. The Project will further strengthen industry actors across the value chain in extending their product and service portfolio towards more ecological sound solutions.</p> <p>MWR, Provincial governments and SHP owners expressed their interest in the project during the PPG and helped to identify potential demonstration projects. Throughout the project, there will be regular and continued contact with stakeholders which should lead to their continued interest and participation.</p>	<p>Implementation of the technical demonstration component has been adapted to changes in national policies as two demonstrations had to be demolished according to new policies. Coordinated responses have been taken at UNIDO, national, provincial and plant levels to mitigate the change and contracts have been terminated with the two plants.</p> <p>Another station is planning a withdrawal in late 2022 due to similar reasons, and the project team is processing the change with active communication with different parties involved to minimize the impact.</p> <p>Impacted by the Covid-19 pandemic and subsequent restrictions on travelling and in-person events, some of the planned activities had to be postponed, down-</p>	<input type="checkbox"/>

⁴ New risk added in reporting period. Check only if applicable.

				<p>Capacity building is an essential part of the Project. Knowledge and skills on SHP upgrading and operation and maintenance is already strongly established in the country. The pilot projects will be located at existing sites with qualified staff who will be further trained in environmental and management aspects.</p> <p>Management organizations were selected for their experience and skills in managing other similar GEF projects. A project management unit will be set up at the national level and monitored under M&E plan. Clear indicators for tracking outcomes and outputs with a focus on implementation milestones and project results and impacts have been prepared.</p>	<p>sized, or moved online, and the completion date has been postponed to 31 Dec 2023 though uncertainties under China's Covid policies still remain. The PMO is actively communicating with project partners to adapt to the change, and 12 training sessions for capacity building have been delivered to 1082 trainees so far.</p>	
3	Technical risks	Low risk (L)	Low risk (L)	<p>There is limited technical risks since technological measures are widely used in many other countries. Detailed assessment of suitable sites for measures will be carried out and training for operating personnel will be provided, including from technology importers, when necessary.</p>	<p>To facilitate the refurbishment of 20 demonstration plants, a document which requires online monitoring of eco-flows has been made under the project, and the document has been used throughout the reporting period.</p>	<input type="checkbox"/>
4	Project Sustainability	Low risk (L)	Low risk (L)	<p>A Project Steering Committee including different agencies will be established to oversee project implementation and will ensure collaboration. Members will include representatives of MWR, MOF, MEP, ICSHP and the provincial DWRs. By making all market players fully aware of the advantages of greening SHP and by equipping them with the capacity and tools to realize these benefits, the project aims to generate a self-reinforcing market. In addition, the incentive mechanisms that will be recommended will create a positive context that is expected to ensure the attainment of the project outcomes and their sustainability.</p> <p>Strengthening and expansion of technical capability through training are built into existing organisations in Component 3. Training activities will be closely monitored and supported under the M&E plan. Linkage to experts and specialized institutions for training and support will be established and coordinated. To ensure that further green SHP projects are built after this project, the project will include a clear awareness raising activity for potential SHP owners, financiers and provincial government to understand the benefits of the measures. In addition, the project will review and recommend possible incentive measures which will support further investment.</p>	<p>An active working relation has been maintained so far with project partners, which has benefited timely decision making and adaptive management of the project to sustain its implementation.</p> <p>Policy recommendations have been developed under the project to help local governments to formulate incentives to build a self-reinforcing institution that allows governments, markets and local communities to interact and sustain the healthy development of green SHP.</p> <p>So far, 12 training sessions for capacity building have been organized to share knowledge and experience attained via the project, which has generated positive impacts on the awareness and capacity of SHP owners, technicians and officials, and continued further dissemination of such knowledge.</p>	<input type="checkbox"/>

5	Financial Risks	Moderate risk (M)	Low risk (L)	<p>This will be mitigated as much as possible through the choice of greening measures, the allocation of a grant, and the development of incentive policies.</p> <p>Demonstration projects are only selected on evidence of co-finance for the project. There is stringent selection of borrowers through assessment and due diligence of each borrower's historic and future financial management capacity.</p> <p>The banking sector has shown its interest in these projects through the provision of loans, as part of the co-finance, for the demonstration projects. The letters of commitment to invest provided by the projects include the loans from banks. Proper dissemination of the results will be organized to raise awareness in the banking sector.</p>	<p>As much of the co-financing has been secured, the risk level in financing is lowering. By Jun 2022, the total amount of approved investment is 382.05 million yuan (c. 57 million USD, 79% completion rate), including 133.11 million central fund, 55.77 million local fund, 114.03 million raised by plant owners, and 79.14 million bank loan.</p>	<input type="checkbox"/>
6	Environmental and social risk	Moderate risk (M)	Low risk (L)	<p>The project specifically aims to improve the environmental and social circumstances of the SHP. Although in China, formal EIAs are not required for upgrading SHP projects, an environmental and social management plan (ESMP) will be prepared for each project and will identify any risks where applicable. Mitigation measures will be proposed at that time. In addition, an environmental and social impact assessment study will be carried out at 10 of the sites before and after the project. Annual environment and safeguards M&E reports will be provided, which will follow up with necessary actions.</p> <p>This Project will pursue thorough and gender responsive communication and ensure stakeholder involvement at all levels, with special regard to involving women and men, as well as CSOs and NGOs promoting GEEW, and a gender expert. This shall mitigate social and gender related risks, promote gender equality, create a culture of mutual acceptance, and maximize the potential contribution of the project to improving gender equality in the energy field.</p> <p>To attract qualified female candidates to the project, adequate and gender responsive communication strategy will be carried out by reaching out to women's groups and associations, while also making trainings and workshops accessible for women, e.g. by providing safe transport, offering childcare, offering trainings at suitable times for women when children are in school and day-care, etc.</p> <p>Every participating SHP has been asked to sign a confirmation letter</p>	<p>The implementation of ESMPs was closely monitored and analyzed by a national expert who has reported very positive results in 4 provinces where demonstration plants are located. Data on environmental and social circumstances at the demonstration sites was collected during the inception phase as well as for the Data Collection Report. No major environmental issues were reported during construction and operation.</p> <p>The implementation of ESMPs in the rest 4 provinces is still undergoing and under monitoring and analysis of a national expert.</p> <p>During the processing of project implementation, gender equality is one of the priorities for relevant parties to consider in all aspects. The female ratio of project teams of all contracted tasks are more than 25%. Accessibility assistance, including that for transport, childcare, etc, was available for all events organized.</p>	

				to reinforce their commitment to the GEF project.		
7	Climate change risk	Low risk (L)	Moderate risk (M)	Changing patterns in rainfall may affect the availability of the water flow and hydropower output. Activities included in the greening of the SHP should help to mitigate against adverse impacts and improve resilience.	The impacts of regional climate change are gaining as runoff decreases with reduced precipitation. In the overall, the estimated additional power generation and GHG emission reduction in this reporting period have both fallen behind the expected outcomes by approximately a quarter.	

2. If the project received a **sub-optimal risk rating (H, S)** in the previous reporting period, please state the **actions taken** since then to mitigate the relevant risks and improve the related risk rating. Please also elaborate on reasons that may have impeded any of the sub-optimal risk ratings from improving in the current reporting cycle; please indicate actions planned for the next reporting cycle to remediate this.

N/A

3. Please indicate any implication of the **COVID-19** pandemic on the progress of the project.

Due to the outbreak of COVID-19, in-person activities and travelling have been restricted as required by government and health agencies, which have impacted the implementation of the project in the following aspects:

1) **Difficulties in international travel**: An international consultant was originally supposed to travel to China and provide technical recommendations on relevant standards on green SHP and safe production. Given the tightened border control policies of China, a change of workplan has to be made to allow the consultant to work remotely and the business trip postponed. An international event on green SHP were originally planned but has to be postponed as well for difficulties in international travel.

2) **Restrictions in domestic travel**: Regular business trips within the country were planned for the project, in particular under the components of institutional framework and technology demonstration. Because of the restrictions in domestic travel and lockdowns in some cases, many of the business trips had to be postponed or cancelled.

3) **Restrictions in organising in-person activities**: An array of training sessions and regular seminars were planned under the project, in particular under the capacity building and knowledge sharing component. Due to restrictions in organising in-person activities in China, many of the planned activities have been postponed, down-sized, moved online, or even cancelled.

These changes have significantly impacted the progress of the project, and the 2020 NPCC meeting reached a resolution that application should be made to postpone the completion date of the project. The PMO subsequently organised experts to make assessment of the progress and reached agreement with UNIDO on the extension application. UNIDO confirmed with the Ministry of Finance of China in October 2021 to extend the completion date of the project to December 31, 2023.

4. Please clarify if the project is facing delays and is expected to request an **extension**.

Due to the restrictions resulted from national policies to contain the Covid-19 pandemic, the project is facing delays in implementation out of subsequent difficulties in travelling and organising in-person activities (see the previous box for more details). Therefore, the 2020 National Project Coordination Committee and Project Steering Committee (NPCC/PSC) Meeting came to a resolution that the completion date of the project would have to be postponed and application for extension of completion date should be made. An expert assessment was organised subsequently by the Project Management Office, after which the completion date was suggested to be postponed to December 31, 2023. After agreement at the 2021 NPCC/PSC Meeting, the Ministry of Finance (MOF) of China formally submitted the extension application to UNIDO in

May 2021. UNIDO agreed on the extension in August 2021, and officially confirmed the extension with MOF in October 2021 for the completion of the project on December 31, 2023.

5. Please provide the **main findings and recommendations of completed MTR**, and elaborate on any actions taken towards the recommendations included in the report.

The Mid-Term Review (MTR) in January 2020 concluded that up until the review, 'major activities [of the project] are continuously progressed as planned', and the project was rated as 'smoothly implemented'. The MTR also find a few problems regarding the implementation of the project and made recommendations for improvements, including (1) strengthening communication and coordination within the project management team, (2) providing additional practical training in reimbursement and financial management for project owners, (3) increasing public engagement and awareness raising, and (4) supporting the formulation of local policy incentives for green SHP development.

Given the MTR recommendations, a few specific actions in response to them are taken, including (1) organising monthly meetings to share updates and progress to facilitate better communication and coordination between the PMO and UNIDO team, (2) offering detailed written & in-person guides and tutorials for project owners to prepare documents for reporting progress and processing reimbursements, and setting up rules for appraisal and acceptance of piloting projects for final reimbursements, (3) fast-tracking the development of publicly-accessible documentary film, brochures, and e-newsletters, and preparing four seminars (3 domestic and 1 international) for knowledge sharing, and (4) developing policy recommendations for provincial SHP authorities.

IV. Environmental and Social Safeguards (ESS)

1. As part of the requirements for **projects from GEF-6 onwards**, and based on the screening as per the UNIDO Environmental and Social Safeguards Policies and Procedures (ESSPP), which category is the project?

☐ Category A project

☒ Category B project

☐ Category C project

(By selecting Category C, I confirm that the E&S risks of the project have not escalated to Category A or B).

Please expand the table as needed.

	E&S risk	Mitigation measures undertaken during the reporting period	Monitoring methods and procedures used in the reporting period
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(i) Risks identified in ESMP at time of CEO Endorsement	In the PPG phase, it was decided that ESMP needs to be prepared for each of the pilot project.	The ESMP Monitoring Report for SHPs in 4 provinces (Zhejiang, Fujian, Guangdong and Guangxi) has been received, reviewed and accepted by ICSHP and UNIDO in Dec 2021. Implementation in the rest 4 provinces (Hubei, Chongqing, Yunnan, Shaanxi) is undergoing with one national expert closely monitoring and analyzing the process.	Environmental and social data were collected during the inception phase and recorded as the baseline condition. During both the construction and operation phases, field surveys and monitoring are overseen and organized by recruited national experts. Results are attained by comparing and analyzing the baseline condition and the monitored ones.
(ii) New risks identified during project implementation (if not applicable, please insert 'NA' in each box)	N/A	N/A	N/A

V. Stakeholder Engagement

1. Using the previous reporting period as a basis, please provide information on **progress, challenges and outcomes** regarding engagement of stakeholders in the project (based on the Stakeholder Engagement Plan or equivalent document submitted at CEO Endorsement/Approval).

Primary target beneficiaries of the project are energy and environmental policy-making and implementing institutions at national and local levels, primarily MWR and MEP, SHP owners (end beneficiaries), designers, installers, training institutions, energy professionals, service providers and the financial sector. The outcomes of the planned project activities and potential recommendations for bridging the gaps have been discussed with all the potential stakeholders during the PPG stage.

Progress:

Stakeholders of green SHP are actively engaged in the decision-making, technical demonstration, and knowledge sharing under the project. The NPCC/PSC Meetings are also participated by owners of the demonstration plants. So far, 5 sessions of the NPCC/PSC Meetings have been convened and updates and progress are also shared regularly via instant messaging groups, e-newsletters and written reports. Training sessions targeting capacity building among stakeholders have also been organized, including, up until now, one train-the-trainer session, 6 sessions targeting SHP owners/developers/technicians, 1 session targeting government officials, 3 sessions addressing green SHP development, and 2 sessions addressing production safety standardization.

The project is progressing by taking into consideration a wider range of stakeholders of green SHP, in particular in its technical demonstration and capacity building. To minimize its potential adverse impacts on the local communities around the plants, ESMPs are implemented under close monitoring and analysis of national experts, which has been completed in four provinces with very positive results and is undergoing in the rest four.

Challenges:

The Covid-19 pandemic is also challenging stakeholder engagement as well, due to restrictions on in-person interactions in particular. As some of the planned meetings, business trips, campaigns are postponed, downsized, or moved online, some moderate impacts could be foreseen in efficiency of the events. Meanwhile, as forms of awareness raising and knowledge sharing campaigns would also be mildly limited, it would require more time and inputs to complete.

Outcomes:

- Raised awareness among stakeholders: By actively engaging SHP stakeholders in the decision-making, technical demonstration, and knowledge sharing under the project, it is influencing the way how the concept of green SHP should be perceived, understood, and implemented among government officials, technical personnel, and plant owners, and such influence is propagating beyond the provinces of the demonstration plants.
- More inclusive sharing of green SHP benefits: By taking into consideration a wider range of stakeholders of green SHP, the project is helping to share the benefits of green SHP more inclusively. No major problems were reported in the implementation of ESMPs of the demonstration plants. They now have more than 25% of its employees being female and have created valuable job and recreational opportunities that benefits the local communities. Accessibility assistance has also been made available to women in knowledge sharing and capacity building events under the project.

2. Please provide any feedback submitted by national counterparts, GEF OFP, co-financiers, and other partners/stakeholders of the project (e.g. private sector, CSOs, NGOs, etc.).

It was recognized that under the joint efforts from the UNIDO, MOF, MWR and other relevant partners, the GEF project was processing smoothly in FY22, and has achieved expected results.

During the NPCC/PSC meeting, UNIDO fully affirmed that with the strong support and active efforts of all parties, the project was implemented smoothly and laid a good foundation for the acceptance work in the next stages.

Ms. Chen Jing, from the Construction Department of the Ministry of Finance, fully affirmed that the project has played a positive role in the green development and modernization of hydropower in China.

Xing Yuanyue, the Deputy Director of the Department of Rural Water and Hydropower of MWR made a speech in the 2022 NPCC Meeting that in 2021, provincial PMOs and demonstration projects actively carried out various tasks such as "green SHP establishment" and "safety production standardization construction", and have achieved practical results. Huge progress has been made in terms of the power station's environmental profile and eco-friendliness. In addition, the excellent experience and practices have been explored and obtained during the project implementation, and relevant policies have been developed to achieve good social benefits. He emphasised that PMO played a coordinating role Between UNIDO, NPCC, provincial PMO and demonstration projects.

3. Please provide any **relevant stakeholder consultation** documents.

Please see the attachments:

1. 6919_Meeting Minutes of 2022 NPCC Meeting for GEF Upgrading of China SHP Capacity Project



6919 Meeting
Minutes of NPCC

2. 6919_ 2022 NPCC (PSC) Meeting: Upgrading of China SHP Capacity project Agenda



6919_2022 NPCC
(PSC) Meeting Ag

VI. Gender Mainstreaming

1. Using the previous reporting period as a basis, please report on the **progress achieved on implementing gender-responsive measures and using gender-sensitive indicators**, as documented at CEO Endorsement/Approval (in the project results framework, gender action plan or equivalent),.

To secure gender balance among the national and international consultants recruited for the project, female engineers and scientists have been recruited in the project implementation, in technical and supporting capacities. And equal participation of women has been encouraged as experts and consultants for training and capacity building activities, as well as in expert panels. Furthermore, female participation in the pilot plants management activities has been increased.

During the project implementation, gender equality is one of the priorities for relevant parties to consider in all aspects. In the bidding requirements of each activity, the resulted female interests and the female proportion (which must reach more than 25%) are mandatory requirements and part of evaluation criteria.

On top of that, to ensure equally benefits of the male and female, the current female participation rate in each capacity building training course exceeds 25%. In this way, these training courses and study tours available for females can upgrade their skills to equally compete for higher positions in their careers and increase their participation in the development and management of Green SHP.

This is also reflected in the gender composition in the project teams. For example, the female proportion of project team proposed by Zhejiang University of Water Resources and Electric Power responsible for demonstration plant monitoring is 66.67%, which is much higher than the initially targeted 25% participation rate.

VII. Knowledge Management

1. Using the previous reporting period as a basis, please elaborate on any **knowledge management activities / products**, as documented at CEO Endorsement / Approval.

Project Component 3 is dedicated to enhancing knowledge and capacity building of green and safe SHP management to stakeholders and the public, particularly electricity consumers. Activities include the use of international consultants to bring up-to date knowledge from other countries to China and consultation with UNIDO's panel of experts on greening small hydropower, who have also been involved during the project preparation. Technical guidance will be prepared during the project implementation and disseminated during the project and the awareness raising activities include further knowledge products such as green SHP website, case studies, lessons learned briefs and sharing of experience. Efforts will also be made to collaborate with other water-focused platforms such as UN Water, International Waters Learning Exchange & Resource Network, etc.

Training and information sharing is a key part of the project and the activities include study tours to Europe and the United States for first-hand knowledge and experiences in green SHP development and management. Different training and awareness activities will target different stakeholder groups to knowledge sharing and awareness-raising. During the project there are scheduled events that will promote project outcomes to key stakeholders and allow engagement to better align project outputs with their needs, including three national seminars and an international seminar. Training sessions for capacity building are organized for key stakeholders, including, up until now, one train-the-trainer session, 6 sessions targeting SHP owners/developers/technicians, 1 session targeting government officials, 3 sessions addressing green SHP development, and 2 sessions addressing production safety standardization.

2. Please list any **relevant knowledge management mechanisms / tools** that the project has generated.

- Communication platforms have been established through instant messaging tools on different management level, including project owners, provincial PMOs and water departments to share project progress and relevant information.
- For knowledge sharing and public engagement, undergoing is the development of a documentary film and brochures, which are to be made publicly accessible. Inceptions of the sub-contractors have been accepted and developments are undergoing.
- A dedicated website for knowledge dissemination will be developed and the tendering is to be kicked

VIII. Implementation progress

1. Using the previous reporting period as a basis, please provide information on **progress, challenges and outcomes achieved/observed** with regards to project implementation.

Progress:

During the fourth reporting period from July 2021 to June 2022, the GEF project continued as planned and has been making further progress under its components. **Firstly**, incentive policies targeting green SHP development and policy recommendations for mandatory ecological flow guarantee were made for eight pilot provinces under the policy and institution component. **Secondly**, implementation monitoring and performance analysis of demonstration projects have been completed by the end of 2021, with two monitoring reports and a final report submitted. The ESMP Monitoring Reports for SHPs in 4 provinces, Zhejiang, Fujian, Guangdong and Guangxi, have been received, reviewed and accepted by ICSHP and UNIDO. Meanwhile, 20 pilot plants have been put into operation, and 14 power stations have completed GEF refurbishment activities. **Moreover**, capacity building training has been organized as scheduled and the completion rate has reached more than 50% so far. Up to now, 21 demonstration plants have completed their green SHP upgrading and safe production standardization. Knowledge sharing and public engagement activities have been kicked off, and the organization of the GEF project seminars is undergoing.

Apart from progress under the first three components of the project, the monitoring and evaluation component has also continued to advance during this period to enable adaptive management.

Given the significant impacts from the Covid-19 pandemic and subsequent delays in implementation, the PMOs coordinated project partners to apply for an extension of completion date to 31 December 2023, which has been approved and confirmed by GEF. Both the central and provincial PMOs have been working closely together to monitor and facilitate the implementation of green upgrades and safe operation standardization of demonstration plants. Due to national policy changes, contracts with two plants (Baiyunxia and Xiakou) were terminated after their demolishment, and withdrawal of another plant (Jingtanfeng-Huangyan) has been planned in later 2022 due to its approximation to a national conservation zone.

The national coordination and decision-making mechanisms of the project are functioning properly with progresses and updates shared regularly within the National Project Coordination Committee / Project Steering Committee (NPCC/PSC) and other partners under the project. The 2022 NPCC/PSC meeting in April 2022 reviewed progress of implementation and reached agreement on the 2022 work plan, including countermeasures to problems arose from the implementation.

Challenges:

- Though the completion date of the project has been extended to 31 December 2023, much uncertainties still remain in project implementation as the Covid-19 pandemic still looms and restrictions are imposed on travelling and in-person events out of China's policies in containing the pandemic.
- The Jingtanfeng-Huangyan Power Station in Chongqing, one of the remaining 20 piloting stations, is planning a withdrawal from the project in late 2022 due to its approximation to a conservation area. Located in the buffer zone of the conservation area, the station would be demolished after a new national policy to be enacted later in 2022. Therefore, the PMO, Chongqing PMO, and owners of the station are making preparations for the withdrawal.
- GHG emission reduction / reduced power generation for climate variabilities

Outcomes:


- Component 1. Policy and Institutional Framework Promoting Green SHP plants
 - The online Management Information System for Green Hydropower has been improved and applied to the development and review of Green SHP projects.

- Policy recommendations to support governments in formulating policies to incentivize green SHP development and mandate ecological flows have been made to MWR and 8 provinces where demonstration plants are located.
- Apart from 2 provinces (Zhejiang and Fujian) who have already enacted policies to incentivize green SHP development, SHP authorities in 8 provinces have expressed their interest and willingness to ratify similar policies for green SHP and mandatory ecological flows.
- Component 2. Greening and improving the management and safety standards of existing SHP plants
 - Refurbishment for green upgrades completed at 19 plants, and the withdrawal of the rest one plant (Jingtangfeng-Huangyan) has been planned in later 2022.
 - Improvements for safe production standardization have been completed at 14 demonstration stations (Qingshuitan, Panxi Cascade, Tangban, Jiaosan-Tantou, Gaofang Cascade II, Jiangjunzhu, Sandieling-Dongpai, Aibu Cascade II&III, Majing, Gaokeng, Taiping, Maoyandong Cascade II, Chahe and Xinpingya).
 - All three phases of payments have been released for 3 demonstration plants (Tangban, Sandieling & Dongpai, Aibu cascade II & III), 15 plants have received Phase 1&2 payments in two phases, and the rest one (Jiangjunzhu) has only received Phase 1 payment.
 - An additional 21.3MW installed capacity has been reported at the demonstration plants in total, according to the Monitoring Report (2020.07-2021.06), the Final Report of Implementation Monitoring and Performance Analysis, and the in December 2021, and the Baseline and Socio-Economic and Environmental Study Reports completed in December 2021.
 - An additional 85,925MWh power generation, a 59632 tCO₂e reduction in GHG emissions, a 28% ratio of female employees at demonstration plants, and 20 rivers with improved ecology have been reported in provincial PMO data.
 - Environmental management of SHP plants in 4 provinces (Zhejiang, Fujian, Guangdong and Guangxi) are progressing smoothly, and has yielded satisfactory results without major environmental problems according to their ESPM Monitoring Reports completed and accepted in December 2021. Inception Report has been accepted in April 2022 for ESPM monitoring in the rest 4 provinces (Hubei, Chongqing, Yunnan, Shaanxi) after contract signed with a national expert.
- Component 3. Knowledge base and capacities in the field of green SHPs and improved and safe SHP management
 - Training programs for capacity building are being organized as planned. All training materials for capacity building programs was completed by March 2020. These programs include one train-the-trainer session (50 trainees in total, 13 female) through the platform of "Cloud Small Hydropower, 6 sessions targeting SHP owners/developers/technicians (585 trainees, 155 female, 48.7% completion rate), 1 session targeting government officials (66 trainees, 18 female, 33% completion rate), 3 sessions for green SHP development (229 trainees, 68 female, 65.4% completion rate), and 2 sessions for production safety standardization (202 trainees, 49 female, 100% completion rate).
 - The first and second progress reports of Capacity Building Program & Establishment of Green SHP Plants and Safe Production Standardization have been completed and submitted by the end of June 2022.
 - Awareness raising and public engagement programs are undergoing for knowledge sharing and experience dissemination. These include the development of a documentary film and brochures which are to be made publicly accessible, 4 seminars (3 domestic and 1 international), and a dedicated website for Green SHP in China. Inceptions have been accepted for the former 3 items and tendering for the last item will be started in late 2022.

As of the end of June 2022, the first and second progress report of Capacity Building Program & Establishment of Green SHP Plants and Safe Production Standardization have been submitted. The progress of the execution of the tasks stipulated in the contract is as follows: six phases of capacity building training for small hydropower owners, developers and technicians were completed, training 585 engineers, a completion rate of 48.7%; one phase of capacity building training for officials, training 66 officials, a completion rate of 33%; three phases of green small hydropower creation training, training 229 people, a completion rate of 65.4%; and two safety standardization training courses, training 202 small hydropower practitioners, completion rate of 100%; completed the creation of 21 green small hydropower demonstration power stations and 21 safety standardized power stations, completion rate of 87.5%.

2. Please briefly elaborate on any **minor amendments**⁵ to the approved project that may have been introduced during the implementation period or indicate as not applicable (NA).

Please tick each category for which a change has occurred and provide a description of the change in the related textbox. You may attach supporting documentation, as appropriate.

<input type="checkbox"/>	Results Framework	N/A
<input type="checkbox"/>	Components and Cost	N/A
<input type="checkbox"/>	Institutional and Implementation Arrangements	N/A
<input type="checkbox"/>	Financial Management	N/A
<input checked="" type="checkbox"/>	Implementation Schedule	<p>Due to the outbreak of COVID-19, individual activities have been restricted as required by the government and relevant departments. The GEF project progress has been affected.</p> <p>According to the requirements of the Meeting Minutes of the 2020 NPCC Meetings on the Project Completion Date Adjustment, the PMO recruited experts to evaluate the GEF project. It is suggested to extend the completion time to December 31, 2023.</p> <p>In August 2021, UNIDO agreed to the extension application of the GEF project. On 28th October 2021, UNIDO reply to the Ministry of Finance of China to confirm the adjustment of the completion date of the GEF project to December 31, 2023. The confirmation letter is attached below.</p>  <p>UNIDO Letter_Project_Ext</p>
<input type="checkbox"/>	Executing Entity	N/A
<input type="checkbox"/>	Executing Entity Category	N/A
<input type="checkbox"/>	Minor Project Objective Change	N/A
<input type="checkbox"/>	Safeguards	N/A
<input type="checkbox"/>	Risk Analysis	N/A
<input type="checkbox"/>	Increase of GEF Project Financing Up to 5%	N/A
<input type="checkbox"/>	Co-Financing	N/A
<input type="checkbox"/>	Location of Project Activities	N/A

⁵ As described in Annex 9 of the *GEF Project and Program Cycle Policy Guidelines*, **minor amendments** are changes to the project design or implementation that do not have significant impact on the project objectives or scope, or an increase of the GEF project financing up to 5%.

<input type="checkbox"/>	Others	N/A
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3. Please provide progress related to the **financial implementation** of the project.

Submitted as an annex.

IX. Work Plan and Budget

1. Please provide **an updated project work plan and budget** for the remaining duration of the project, as per last approved project extension. Please expand/modify the table as needed.

Submitted as an annex.

X. Synergies

1. **Synergies** achieved:

World Small Hydropower Development Report (200192). The selected green hydropower pilot plants from GEF project will be included in the case study of the report;
 Technical Guidelines for Development of Small Hydropower Plants (170216). The standards and technical guideline, as well as rehabilitation measure will be good reference and integrated to the project 170216;
 Other GEF projects on small hydropower (Madagascar 120094, Nigeria 120119, Burundi 140332). The training materials and other advocacy documents from the project will be shared with those projects.

3. Stories to be shared (Optional)

N/A

EXPLANATORY NOTE

1. **Timing & duration:** Each report covers a twelve-month period, i.e. 1 July 2021 – 30 June 2022.
2. **Responsibility:** The responsibility for preparing the report lies with the project manager in consultation with the Division Chief and Director.
3. **Evaluation:** For the report to be used effectively as a tool for annual self-evaluation, project counterparts need to be fully involved. The (main) counterpart can provide any additional information considered essential, including a simple rating of project progress.
4. **Results-based management:** The annual project/programme progress reports are required by the RBM programme component focal points to obtain information on outcomes observed.

Global Environmental Objectives (GEOs) / Development Objectives (DOs) ratings	
Highly Satisfactory (HS)	Project is expected to achieve or exceed <u>all</u> 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 <u>achieve most</u> of its <u>major</u> global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Moderately Satisfactory (MS)	Project is expected to <u>achieve most</u> of its major <u>relevant</u> objectives but with either significant shortcomings or modes overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environmental benefits.
Moderately Unsatisfactory (MU)	Project is expected to achieve <u>some</u> of its major global environmental objectives with major shortcomings or is expected to <u>achieve only some</u> of its major global environmental objectives.
Unsatisfactory (U)	Project is expected <u>not</u> to achieve <u>most</u> of its major global environmental objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (HU)	The project has failed to achieve, and is not expected to achieve, <u>any</u> of its major global environmental objectives with no worthwhile benefits.

Implementation Progress (IP)	
Highly Satisfactory (HS)	Implementation of <u>all</u> components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be presented as "good practice".
Satisfactory (S)	Implementation of <u>most</u> components is in substantial compliance with the original/formally revised plan except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of <u>some</u> components is in substantial compliance with the original/formally revised plan with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of <u>some</u> components is <u>not</u> in substantial compliance with the original/formally revised plan with most components requiring remedial action.
Unsatisfactory (U)	Implementation of <u>most</u> components is <u>not</u> in substantial compliance with the original/formally revised plan.
Highly Unsatisfactory (HU)	Implementation of <u>none</u> of the components is in substantial compliance with the original/formally revised plan.

Risk ratings	
Risk ratings will assess the overall risk of factors internal or external to the project which may affect implementation or prospects for achieving project objectives. Risk of projects should be rated on the following scale:	
High Risk (H)	There is a probability of greater than 75% that assumptions may fail to hold or materialize, and/or the project may face high risks.
Substantial Risk (S)	There is a probability of between 51% and 75% that assumptions may fail to hold or materialize, and/or the project may face substantial risks.
Moderate Risk (M)	There is a probability of between 26% and 50% that assumptions may fail to hold or materialize, and/or the project may face only moderate risk.
Low Risk (L)	There is a probability of up to 25% that assumptions may fail to hold or materialize, and/or the project may face only low risks.