

# United Nations Development Programme

Country: China

## PROJECT DOCUMENT



### Project Title: CBPF: Strengthening Globally Important Biodiversity Conservation through Protected Area Strengthening in Gansu Province

**UNDAF Outcome(s):** Outcome 3 – More efficient management of natural resources and development of environmentally friendly behaviour in order to ensure environmental sustainability

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:** Mobilizing environmental financing

**UNDP Strategic Plan Secondary Outcome:** Mainstreaming environment and energy

**Expected CP Outcome:** Outcome 7 – Conservation and sustainable use of biodiversity is more effective

**Expected CPAP Outputs:** Output 7.1 - Joint CBPF Group established and Joint Results Framework agreed upon; Output 7.2 - Existing policies, plans and regulations reviewed and recommendations for changes made, NAP updated and fed into national and local five-year plan; Output 7.3 - Number of laws and regulations on biodiversity promulgated; Output 7.4 - Greater institution of local NGOs and communities to participate in BD conservation activities strengthened.

Executing Entity / Implementing Partner: Gansu Provincial Government

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**Brief description:** Gansu Province covers a total land area of 454,000 km<sup>2</sup>, harbouring 19% of vertebrate species recorded in China, and ranking 4<sup>th</sup> richest of all Chinese provinces in terms of mammal species richness and 7<sup>th</sup> in terms of bird species richness. As in most parts of China, biodiversity is under considerable threat in Gansu from habitat loss from logging from natural forests in the recent past; conversion of natural ecosystems (such as wetlands) to farmland, industries, and human settlements; overgrazing of grasslands and overharvesting of products from nature (such as medicinal plants). The government in Gansu has established an impressive PA network of 58 Nature Reserves covering 9,940,782 ha or 21.9% of the province to safeguard some of its most important sites for biodiversity conservation. Given the global and national importance of biodiversity in the PAs in Gansu Province, the long-term solution proposed by this project is an effectively managed nature reserves system in Gansu to conserve globally important biodiversity for the long-term. However, a number of barriers hamper effective management of the PAs. These barriers can be summarised into: (i) the management system for the Gansu nature reserves system suffers from fundamental weaknesses that undermine conservation effectiveness, and (ii) the Gansu nature reserves system suffers from inadequate financial resources. The ideal solution requires that the nature reserves agency has adequate systemic, institutional and operational capacity to: (i) effectively plan and manage the nature reserves network in the province based on scientific data and information; (ii) mitigate the threats to, and pressures on, the unique biodiversity contained within the PAs; (iii) effectively plan and source sustainable financing for nature reserve management and ensure cost effectiveness of the nature reserves operation; and (iv) ensure better integration of the socio-economic development priorities of the residents and neighbours in nature reserves management operations. The project will focus on improving PA system management capacities and financial sustainability of the PAs at the provincial level as well as the site level at four field demonstration PAs in the Taohe Basin.

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Programme Period: <u>2010-2014</u>
Programme Component: Sustainable Energy and the Environment
Project Title: Strengthening globally important biodiversity conservation through protected area strengthening in Gansu Province
Project ID: TBD
Project Duration: <u>4 years</u>
Management Arrangement: <u>NEX</u>

<b>Total budget:</b>	<b>US \$9,018,000</b>
<b>Allocated resources:</b>	
• <b>GEF</b>	<b>US \$ 1,738,000</b>
• <b>Co-financing</b>	<b>US\$ 7,280,000</b>
• cash:	US\$ 1,500,000
• in kind:	US\$ 5,780,000

Agreed by (Government):

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Date/Month/Year

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## List of Acronyms and abbreviations

AWP	Annual Work Plan
BD	Biodiversity
BOA	Bureau of Agriculture
BOLR	Bureau of Land Resources
BOWR	Bureau of Water Resources
CBD	Convention on Biological Diversity
CBNRM	Community Based Natural Resource Management
CBPF	China Biodiversity Partnership and Framework for Action
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
DRC	Development and Reform Commission
EPB	Environmental Protection Bureau
ERP	Enterprise Resource Planning System (Atlas) of UNDP projects
GEF	Global Environment Facility
GFB	Gansu Forestry Bureau
GOC	Government of China
ha(s)	hectare(s)
IA	Implementing Agency
IC	Incremental Cost
METT	Management Effectiveness Tracking Tool for Protected Areas
MEP	Ministry of Environmental Protection
NEA	National Executing Agency
NEX	National Execution
NDRC	National Development and Reform Commission
NGO	Non-Governmental Organization
NNR	National Nature Reserve
NPD	National Project Director
NPC	National Project Coordinator
NR	Nature Reserve
OP	Operational Programme (GEF)
PA(s)	Protected Area(s)
PDF	Project Development Facility of the GEF
PES	Payment for Ecosystem Services
PIR/APR	Harmonized Project Implementation Report / Annual Project Report
PC	Project Coordinator
PPR	Provincial Nature Reserve
PSC	Project Steering Committee
RCU	Regional Coordination Unit of UNDP/GEF
REDD	Reduced Emissions from Deforestation and Degradation
RMB	Renminbi (unit of Chinese currency, also referred to as “Yuan”)
SBAA	Standard Basic Assistance Agreement
SCM	Steering Committee Meeting
SFA	State Forestry Administration
SP	Strategic Program of the GEF
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNDP-CO	United Nations Development Programme Country Office
WES	Water Ecosystem Service

## SECTION I: Elaboration of the Narrative

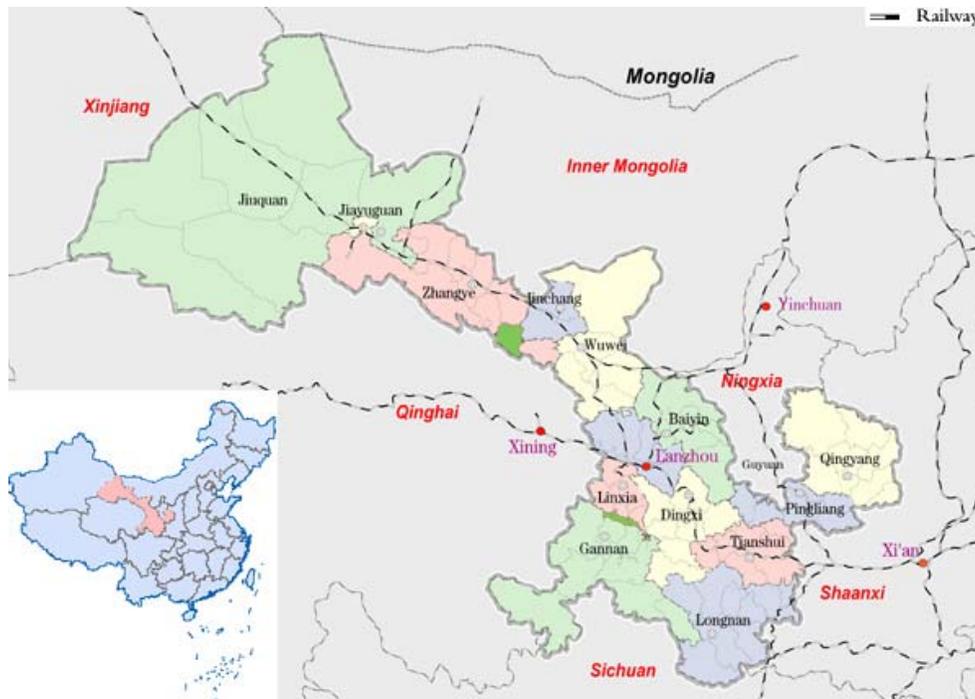
### PART I: Situation Analysis

#### 1.1. Context and global significance

##### *Environmental Context*

1. Gansu Province lies at the centre of China- adjacent to the Loess Plateau, Inner China Plateau and the Tibetan Plateau, between east longitude  $32^{\circ} 31' \sim 42^{\circ} 57'$ , north latitude  $92^{\circ} 13' \sim 108^{\circ} 46'$ . It has a total area of 45.4 million hectares and an average altitude of 1,000 metres above the mean sea level. Gansu has a generally semi-arid to arid, continental climate, with warm summers and very cold winters. The average annual precipitation is 302mm. Annual precipitation decreases from more than 600 mm in the southeast to less than 100 mm in the northwest. In 64 % of the province the annual precipitation is less than 300 mm and the mean annual temperature varies between 4 to 14 °C. Most of the precipitation is concentrated in the summer months.

**Map 1: Administrative Map of Gansu and its Location in China <sup>1</sup>**



##### *Overview of the biodiversity in Gansu*

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<sup>1</sup> <http://www.gansu.gov.cn/en/mapgansu/index.htm>, Copyright 2004 Gansu Province Government

2. Gansu is a significant watershed of the Yellow River and the Yangtze River. The province's diverse climatic regions - from subtropical areas in the southern parts, to warm temperate, temperate and cold temperate to the north of the province; its altitudinal variation and its location have endowed it with diverse ecosystems of global importance. Parts of several global WWF Ecoregions fall inside the Province, including sections of the Gobi Desert, forests of the Upper Yangtze, mountains of Southwest China and peat lands in the south. It has subtropical sub-humid forest steppe in the southeast, the Gobi desert in the northwest, and alpine meadows, glaciers and tundra at high latitude areas.
3. Mountainous and hilly areas constitute 78.2% of the Province's total land area. Over 22 million hectares (48.4%) of land in Gansu is cultivated and 0.93 million hectares (2%) have been used for construction. Of the remaining land, 16.6 million hectares (36.5%) are grasslands, 3.6 million hectares (7.9%) are wetland and only 2.325 million hectares (5.1%) are forests. The rest includes the Gobi desert and mountains.
4. Gansu is also remarkably rich in species diversity, harbouring 19% of all vertebrate species recorded in China. These include 105 freshwater fish species, 35 amphibian species, 67 reptile species, 572 bird species and 163 mammal species. A review of biodiversity in China, published in 1996, ranked Gansu as the 4th richest province in terms of mammal species and 7th in bird species
5. Soft-shell Turtle (*Trionyx sinensis*), Steppe toad-headed agama (*Phrynocephalus frontalis*), and Plateau Pit Viper (*Gloydius monticola*) are some important reptile species found in the Province. Amongst the amphibians, the Giant salamander (*Andrias davidianus*) and Microwarts salamander (*Tylostrotion asperrimus*) nationally protected animals. Globally threatened mammal species such as the Giant Panda, Golden Monkey (*Rhinopithecus roxellanae*), Musk Deer, Lynx, Snow leopard, Tibetan gazelle (*Procapra picticaudata*) and the Bactrian camel are also found in the province. The Golden eagle (*Aquila chrysaetos*), the Chinese grouse (*Bonasa sewerzowi*), the Blood pheasant (*Ithaginis cruentus*), the Boreal owl (*Aegolius funereus*) are some of the important bird species recorded in the province.
6. More than 4500 higher plant species – including 4000 angiosperm species and 292 pteridophyta species have been recorded in Gansu. Several plant species such as Water Chinese fir (*Metasequoia glyptostroboides*), Dove tree (*Davidia involucrata*), Ginkgo (*Ginkgo biloba*) and Golden larch (*Pseudolarix amabilis*) and Chinese Scotch Pine (*Pinus sylvestris*) are listed under different levels of nationally protected species.
7. The province has a high rate of endemism. Of the fish species found in the Province, 55 species are endemic and the Qinling lenok (*Brachymystax lenok tsinlingensis*) is on the list of nationally protected species. The Chinese grouse (*Bonasa sewerzowi*) and the Sukatshev's Laughing thrush (*Garrulax maximus*) are endemic to this region, as are the Giant panda (*Ailuropoda melanoleuca*) and the Thakin (*Budorcus taxicolor*). The Gansu mole, endemic in this region, is the only species of mammal in the Genus Scapanulu. This was first recorded in southern Gansu and is endemic in montane habitats at altitudes between 2,700 to 3,000 m in Gansu, east Qinghai, southwest Shaanxi and north Sichuan.
8. Gansu's biodiversity also has recognition as being globally important. The IUCN Red list includes 107 species found in Gansu Province. Two are critically endangered, 10 are endangered species, and 8 are listed as vulnerable. Part of the Conservation International Hotspot - Mountains of Southwest China Hotspot falls in Gansu - the Min Shan on the Sichuan-Gansu border belongs to this hotspot. Gansu hosts a number of WWF's Global 200 ecoregions. The forest in the most southerly portion of Gansu province belongs to the "Southwest China Temperate Forests", including the Baishuijiang NNR. The coniferous forest in the main project area "Taohe Basin" of southern Gansu belongs to the "Hengduan Shan Coniferous Forests." Some are in conserved areas such as Lianhuashan NNR, and the Taohe NNR. The steppe and alpine meadows in southern Gansu belong to the "Tibetan Plateau Steppe" and "Eastern Himalayan Alpine Meadows." Protection is offered in PAs such as Gahai-Zecha NNR and the Yellow River Shouqu PNR.
9. Fourteen Important Bird Areas have been identified by Birdlife International in Gansu. They include Dunhuang Nature Reserve and Western Qilian Shan Mountains, Jinta, Eastern Qilian Shan Mountains, Minqin, Loess Plateau in western Gansu, Lianhua Shan, Gahai-Zecha Nature Reserve, Huang He Shouqu Nature Reserve, Jone, Min Shan Mountains, Baishuijiang Nature Reserve, Longshengou Nature Reserve, Pingliang and Heshui. The wetlands in southern Gansu, that neighbour the Ruergai wetlands in Sichuan

(listed as WIIC in 2008), are the source of the Yellow River and are considered wetlands of international importance.

10. Annex 1 presents a Table listing the most important globally threatened and endangered species that are found in Gansu.
11. Gansu has a total population of over 26 million people with 54 ethnic groups represented in the province. The Hui population, with about 1.2 million, is the largest. Others include Tibetans, Dongxiang, Tu, Yugu, Baoan, China, Sala, Hazak and Manchu ethnic groups. The Yugu, Dongxiang and Baoan are unique groups found only in Gansu. Over 68% of the total population is still rural and the rest (32%) is urban. The average life span is just over 70 years in the whole province.
12. In 2005, over 57% of the population was involved in the primary production sector – mostly agriculture (including animal husbandry). It is one of the poorest provinces in China. In 2006, it had the fourth lowest Human Development Index for all the provinces in China.<sup>2</sup> It has one of the highest illiteracy rates amongst all provinces (at 20% for populations over 15 years of age). Its per capita GDP in 2006 was 8,757 Yuan (US\$ 1,282), which was the second lowest in the country (the national average being 16,084 Yuan or US\$ 2,355).
13. Most of Gansu's economy is based on mining and the extraction of minerals. The province has significant deposits of antimony, chromium, coal, cobalt, copper, fluorite, gypsum, iridium, iron, lead, limestone, mercury, mirabilite, nickel, crude oil, platinum, troilite, tungsten, and zinc among others. The oil fields at Yumen and Changqing are considered significant. Industries other than mining include electricity generation, petrochemicals, oil exploration machinery, and building materials. There are 14 administrative areas in Gansu immediately below the province level: 12 prefecture-level cities and two autonomous prefectures.

#### ***Protected Area System: Current status and Coverage***

14. The first nature reserve in Gansu (the Baishuijiang nature reserve) was set up in 1978. Remarkable progress has since been made and the number of protected areas (PAs) called ‘nature reserves’ now stands at 58, comprising a total area of 9,940,782 hectares, or 21.9% of the total provincial territory. Of the 58 nature reserves, 15 are designated as ‘national nature reserves’, 39 are ‘provincial’ and four are ‘county level’ nature reserves. This reserve network provides sanctuary to 90 % of the rare and endangered species in Gansu and affords protection to 80% of wetlands.

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<sup>2</sup> [http://www.undp.org.cn/downloads/nhdr2008/NHDR2008\\_en.pdf](http://www.undp.org.cn/downloads/nhdr2008/NHDR2008_en.pdf)



with the primary objective of biodiversity conservation in line with the mandates of these agencies. For example, Gansu Agriculture Bureau has established nature reserves primarily for the protection of rare and endangered aquatic species and their habitat, as the Ministry of Agriculture is commissioned by the State Council to manage and conserve aquatic species nationwide. There is no clear line of distinction between the nature reserves established by Forestry and Environment. Their objectives are biodiversity conservation.

**Table 1: Different Government Agencies Administering Gansu Protected Areas**

Supervising sectoral department or agency	Number of county-level nature reserves	Number of provincial-level nature reserves	National-level nature reserves
Gansu Forestry Bureau	3	30	13
Gansu Environmental Protection Bureau	1	3	2
Gansu Agriculture Bureau	0	3	0
Gansu Land and Resources Bureau	0	3	0
Total Number of PAs under different categories	4	39	15
Total area (ha)	114,900	2,437,628	7,419,424
Total area (ha)	9,940,782		
Area as % of Province's Area	0.25%	5.36%	16.33%

18. **Annex 2** provides a more detailed listing and analysis of Gansu's PAs, including data on each nature reserve's area, type of ecosystem, population living inside the nature reserves, nature reserves administering government agency, date of nature reserves establishment, and number of nature reserves staff.

#### ***Policy and Legislative Context***

19. Gansu's biodiversity conservation policies, including PA management are guided by national policies and programmes. China's 4<sup>th</sup> National Report to the Convention on Biological Diversity (2008) has noted the diverse numbers of strategies and action plans - national, interdepartmental and departmental – that are relevant to nature reserve management<sup>3</sup>. It has also noted that the National Sustainable Development Strategy promotes harmonious economic, social and environmental development, and that some of its aims are to build sustainable development capacities, to promote rational use of national land and natural resources and to improve ecological and environmental quality. China has also put forward the Scientific Development Concept. Under this Concept, China has set a 2020 target of promoting a conservation culture, which is to basically form an energy- and resource-efficient and environment-friendly structure of industries, pattern of growth and mode of consumption, to significantly improve ecological and environmental quality and establish conservation awareness across the country. The 11th Five-Year Plan (2006-2010) proposes a number of strategic actions, including building a resource-efficient and environment-friendly society to effectively conserve biodiversity and biological resources. Its objectives that are directly relevant to PAs include controlling the trends of ecological and environmental degradation, reducing the total discharge of major pollutants by 10%, increasing forest coverage to 20% and achieving substantial progress in greenhouse gas emission control.
20. China's Agenda 21, adopted by the State Council in March 1994, has identified the following objectives concerning biodiversity conservation: (a) establishing and improving a national network of nature reserves; (b) conserving habitats and species outside nature reserves; (c) intensifying biodiversity cataloguing and other scientific research efforts; (d) strengthening *ex-situ* conservation of rare and endangered animals and plants; (e) achieving a balance between biodiversity conservation and sustainable use of biological resources and establishing sustainable use patterns. This is also echoed in China's Biodiversity Conservation Action Plan of June 1994, which defines the overall target for China's biodiversity conservation as "taking effective measures as soon as possible to avoid further losses of biodiversity by reversing or reducing the current rate of loss of biodiversity". The Action Plan has 7 concrete objectives: (1) intensifying basic research on China's biodiversity; (2) improving the national network of nature reserves and other protected areas; (3) protecting

<sup>3</sup> <http://www.cbd.int/doc/world/cn/cn-nr-04-en.pdf>

wild species of particular importance to biodiversity; (4) conserving the genetic resources of crops and livestock; (5) strengthening *in-situ* conservation outside nature reserves; (6) establishing a national network of biodiversity information and monitoring; (7) coordinating biodiversity conservation and sustainable development.

21. Other key national policies relevant to Gansu's nature reserves management include the national Strategy for Sustainable Forestry Development in China developed by the State Forestry Administration (SFA) in 2005 which sets China's overall forestry goal for the first half of the new century, namely "to promote the sustainable development of forestry based on ecological conservation; to establish a national eco-safety system centered on forest vegetation; and to build an ecologically friendly society with beautiful landscapes". Additionally, the National Program for Nature Reserves (1996-2010) sets targets to increase the total number of nature reserves to about 1,200 (including 160~170 national nature reserves) to cover 10% of China's land area; to establish complete legislation system for nature reserves; to ensure that 90% of nature reserves have effective management bodies and adequate personnel, and that over 70% of nature reserves are equipped with advanced conservation and management facilities.
22. Other relevant plans include the National Ecological Environment Plan promulgated by the State Council in November 1998, that has set an overall target of devoting the next 50 years to strengthening conservation of existing natural forests and wildlife resources, carrying out vigorous afforestation projects and grass-growing activities, controlling soil and water loss, preventing and controlling desertification, developing ecological farming and curbing the degradation of the ecological environment. The National Ecological Environment Protection Plan Promulgated by the State Council in 2000, aims to control ecological environment deterioration by 2010, and by 2030, to control completely ecological environment deterioration and effectively conserve the ecological environment of areas with important ecological functions, areas with abundant species and major areas for resource exploitation, and by 2050, to strive to generally improve the ecological environment across the country and create beautiful landscapes in most part of the country . The National Program for Conservation and Use of Biological Resources, approved by the State Council in 2007, sets targets to effectively check the current dramatic decline of biological resources by 2010, to control the loss of biological resources by 2015 and effectively conserve biological resources by 2020.
23. The National Master Plan for Land Use (1997-2010), defines the overall target of national land use as maintaining the dynamic balance of total farmland while ensuring the conservation of the biological environment. It is a shift from extensive land use to intensive land use, noticeably improving land use structure and layout, and significantly increasing the yield per unit of land area.
24. Several forest biodiversity conservation plans such as the China Forestry Action Plan for Biodiversity Conservation (1992), the Forestry Action Plan for China's Agenda 21 (1995), the Plan for Natural Forest Resources Conservation Project (2000-2010), and other related plans and programmes are also relevant to Gansu's nature reserves management.
25. By the end of the 11<sup>th</sup> Five Year Plan (2010), the Government of Gansu has established several biodiversity-oriented targets to address the degradation of the eco-environment. These targets include the increase of forest coverage of Gansu territory to 16.0%; expanding the areas of forests for ecological services to 40 million *mu*<sup>4</sup>, representing 30% of the forest areas in Gansu; and increasing the PA areas to 161,150,000 *mu*<sup>5</sup>, representing 25.2% of the Gansu territory. Among the areas designated as PAs, national level PAs will increase to 106,336,000 *mu*<sup>6</sup>, or 16.7% of Gansu's land area. Furthermore, by 2020, the areas occupied by PAs at different levels will account for 30% of the Gansu land area, while areas occupied by national level PAs will account for 20%.

## **Laws**

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<sup>4</sup> One mu is equivalent to 0.067 hectare. 40 million *mu* is equal to 2.67 million hectares.

<sup>5</sup> Equivalent to 10.74 million hectares.

<sup>6</sup> Equivalent to 7.10 million hectares.

26. As with policies, several laws including the Constitution (enacted in 1954, last amended in 2004) are relevant to protected areas management in China<sup>7</sup>. These include: Criminal Law (enacted in 1979, last amended in 2006), Environmental Protection Law (1989), Forest Law (enacted in 1984, amended in 1998), Wildlife Protection Law (enacted in 1998, amended in 2004), Environmental Impact Assessment Law (2002), Law on the Prevention and Control of Water Pollution (enacted in 1984, amended in 2008), Law on the Prevention and Control of Environmental Pollution by Solid Wastes (enacted in 1995, amended in 2004), Marine Environment Protection Law (1999), Fisheries Law (enacted in 1986, last amended in 2004), Seed Law (enacted in 2000, amended in 2004) and Animal Epidemic Prevention Law (enacted in 1997, amended in 2007).
27. Laws directly related to protected areas include the Regulation on Nature Reserves (1994), Regulation on Wild Plant Conservation (1996), Regulation on Protection of New Plant Varieties (1997), Regulation on Administration of Import and Export of Endangered Wild Animals and Plants (2006), Regulation on Scenic Spots and Historical Sites (2006), Regulation on Biosafety Management in Pathogenic Micro-organism Laboratories (2006) and Regulation on the Prevention and Control of Pollution Damage to the Marine Environment from Marine Construction Projects.
28. There are other administrative rules and regulations that also have relevance to nature reserves management in Gansu, including Interim Regulation on the Administration of Scenic and Historical Sites (1985), the Regulation for the Implementation of the Protection of Terrestrial Wildlife (1992), Regulation for the Implementation of the Protection of Aquatic Wildlife (1993), the Regulation on the Protection of Basic Farmland (1994), Regulations on Aquaculture and Protection of Fishery Resources, and the Regulation on the Administration of Riverways.
29. China's 1994 Regulation on Nature Reserve Management applies to all PAs in China, including provincial-level and county-level PAs. China's nature reserves-related legislation emphasizes the authority of government agencies, and particularly their authority for granting administrative permits and approval, but does not clearly define government agencies' (and government officials') corresponding responsibilities and accountability for failure to perform said responsibilities. For example, Article 18 of China's 1989 Environmental Protection Law states "*it is forbidden to establish industrial facilities that may cause environmental pollution in designated scenic areas, nature reserves and other protected areas designated by the State Council*", but the law does not indicate what steps should be taken and who should be held responsible if polluting industrial facilities are in fact established inside PAs.

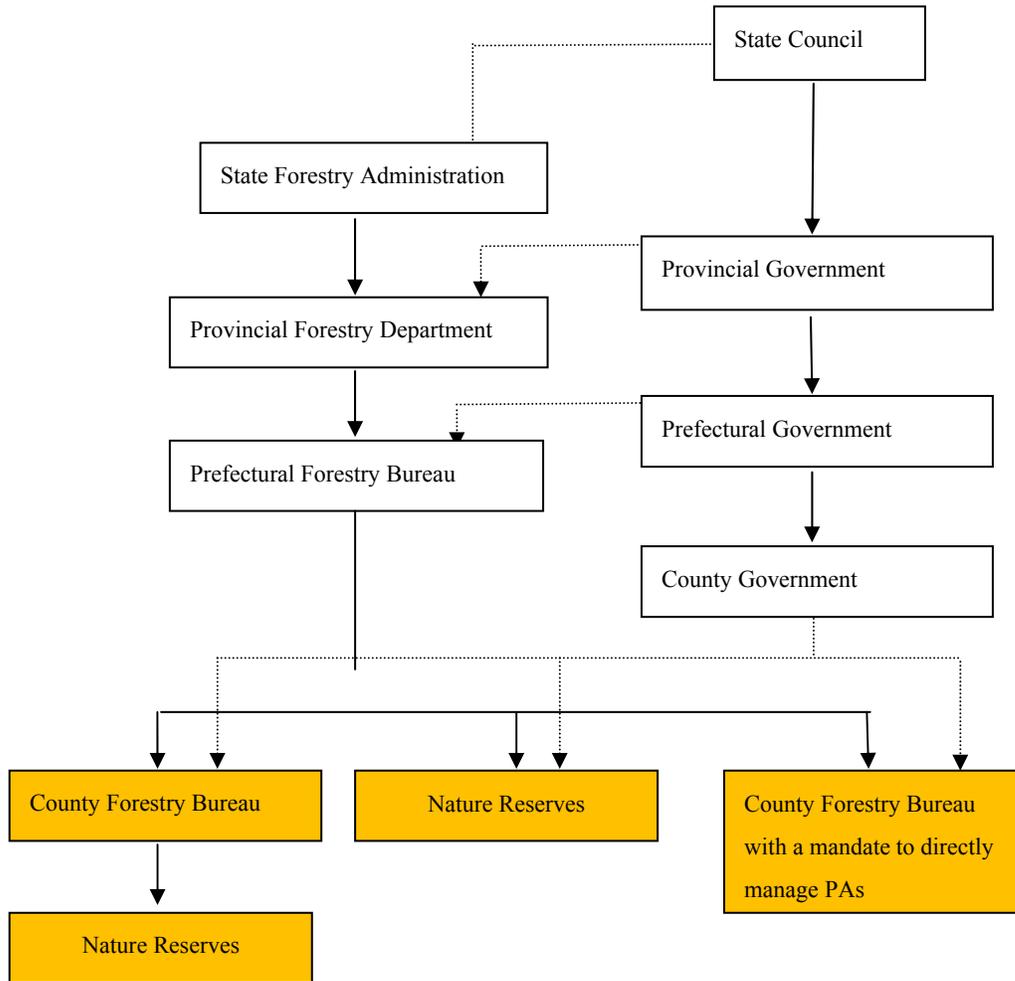
### ***Institutional Context***

30. The overall responsibility for Gansu's development lies with the Gansu's Provincial People's Government. The Province has 14 prefectures and prefecture-level municipalities, which are further divided into 86 Counties, districts and county-level municipalities. The Gansu Provincial People's Congress and the Provincial Legislation Office are the highest level government bodies for promulgating provincial-level policies, legislation and regulations, but in fact they rely on provincial-level departments to carry out much of this legislative role. Most provincial legislation and policies are proposed and drafted by the different sectoral departments, and then approved and published by the Provincial People's Congress or the Provincial Legislation Office after consultation with relevant departments concerned.
31. The entire provincial government is supervised by the central government, and the provincial-level government departments also need to follow instructions from their corresponding national line agencies (i.e., ministries), because the latter are responsible for formulating policies and providing funds through individual projects.

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<sup>7</sup> <http://www.cbd.int/doc/world/cn/cn-nr-04-en.pdf>

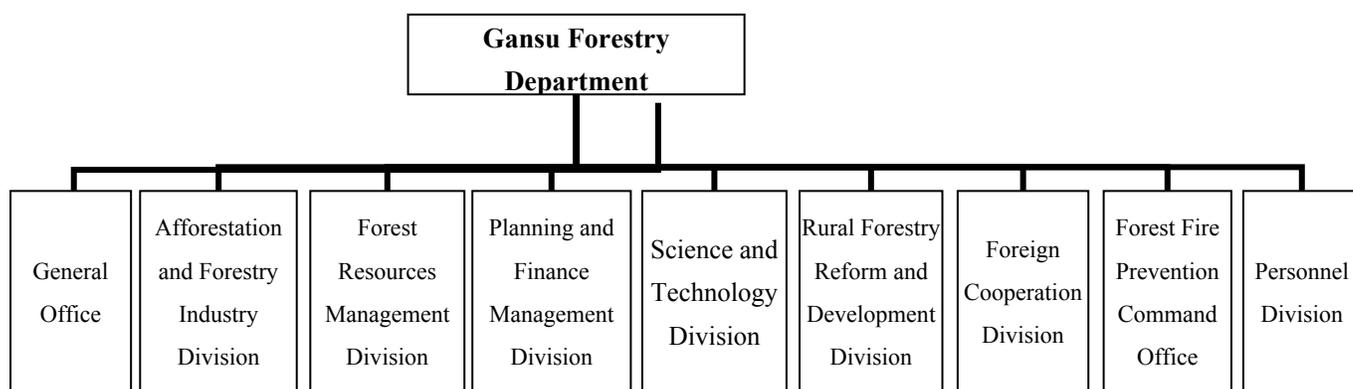
**Figure 2: Management Arrangement of PA System in China**



32. As indicated in Figure 2 below, Gansu’s protected areas are managed by different government bureaus. The government bureaus at provincial level report primarily to the Provincial Government, and prefecture level bureaus report to the prefecture government and the county/district bureaus report to their respective local governments. In addition, the County/District bureau of a government agency will report to Prefecture level Bureau of the same agency, and the Prefecture level bureaus to the Provincial level bureau and the provincial bureau to its national level Bureau.
33. In other words, the central government in Beijing supervises and guides the development and management of PAs in Gansu through its central government-level ministries or agencies such as the State Forestry Administration, Ministry of Environmental Protection, Ministry of Agriculture, Ministry of Land and Resources, etc. Similarly, the provincial government functions through departments and bureaus that are organized along the same sectoral lines as the central government ministries. The current institutional arrangements for PA include their management by sectors (forestry, land, water resources, fish, marine, etc.) with overall coordination of these sectors by the environmental protection department. While this has certain benefits such as bringing specific expertise to bear on particular PA components, coordination among different sectors is difficult in the Chinese context because the environmental protection department carries no

legal power of supervision to ensure that other agencies fulfil their responsibilities. In such situations, problems are transferred to higher level authorities for administrative settlement.

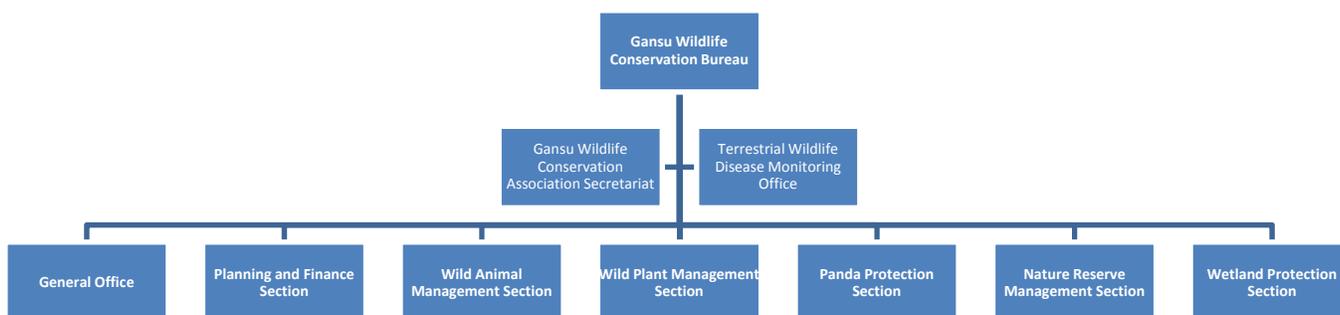
34. Each of the different “elements” or resources that are objects of PA management - such as water, land, minerals and wildlife - are separately but simultaneously managed by different specialised government departments such as the departments of: water resources, land resources, forests, agriculture, fisheries, construction, environmental protection, and tourism. Each of these departments exercises jurisdiction over its own respective element or sector *within every single PA in Gansu*, and does this from the perspective of the department’s own sectoral management priorities, rather than from the perspective of unified PA management or broader ecosystem management. In fact, the basis for supervision of individual PAs by higher-level PA management agencies is often blurred.
35. As the Protected Area Regulations of China do not clearly define the nature, staffing and roles of each PA, there are generally three different models for administering PAs at the site level. The first type of PA management is by an independent PA management agency for a single PA, as is the case of Lianhuashan National Nature Reserve which is managed by Lianhuashan National Nature Reserve Management Bureau. The second type is by a PA management agency that is responsible for managing more than one PA. The third type is by a PA management agency that undertakes enforcement, management, profit-making businesses and other functions.
36. Each of these three types of PA management agency is normally under dual supervision and reporting: technical supervision by higher-level PA management agencies, and administrative and personnel supervision by local governments (i.e., at or above the county level). Furthermore, most of these three different types of PA management authorities do not have their own independent sources of funding, and must rely on local governments for financial support for their daily operations. As a result, when their PA management responsibilities are in conflict with the economic development priorities of local governments, they are usually prevented from following instructions from the higher-level PA management agencies. Effective management of the PA system is also compromised by deficiencies in the skills of the staff responsible for PA management at each different level of government.
37. The Department of Forestry of Gansu Province is the key authority on conservation of biodiversity and management of the environment in this province. This Department is in charge of the management of 46 PAs through formulation and implementation of policies and regulations on PA management and conservation of wild animals and plants, financial support to PAs mainly on staff salary and operation costs, and provincial PA development planning and implementation. The Department has a total of 86 public civil servants at the provincial level, who belong to 9 core divisions (See Figure 3). The staff numbers vary in different divisions, from the highest - 26 staff in the General Office, to the lowest - 4 in Rural Forestry Reform and Development Division. In addition, the Department also has 26 subordinated agencies including 11 PA management authorities.
38. All the nine core divisions have relevance to PA management in Gansu: 1) The General Office is responsible for overall arrangement of all the aspects of the mandates of the Department, including PA management. 2) The Afforestation and Forestry Industry Division provides guidance to afforestation activities in PAs. 3) The Forest Resources Management Division provides direct supervision to PA management on behalf of the Department. This division is responsible for development and implementation of policies and regulations of PA management in this province. 4) The Planning and Finance Management Division is in charge of budgeting of PA management cost and fund disbursement to PAs. 5) The Science and Technology Division is responsible for organization and management of research projects related to PA management and application of new techniques to PAs. 6) The Rural Forestry Reform and Development Division is responsible for reform of forest management in rural areas, including forest within PAs which is still managed by local residents. 7) Foreign Co-operation Division is responsible for mobilizing international support for PA management. 8) Forest Fire Prevention Command Office is in charge of forest fire prevention in PAs. 9) Personnel Division is responsible for staff management including on-the-job training.



**Figure 3: Diagram of Gansu Forestry Department**

39. The Gansu Wildlife Conservation Bureau is an important agency responsible for PA management and planning in Gansu Province. It is one of the 26 subordinated agencies of Gansu Forestry Department. It has 34 staff belonging to 7 sections: General Office, Planning and Finance Section, Wild Animal Management Section, Wild Plant Management Section, Panda Protection Section, PA Management Section and Wetland Protection Section. The Gansu Wildlife Conservation Association Secretariat and the Terrestrial Wildlife Disease Monitoring Office are also hosted by the Bureau (See Figure 4).

**Figure 4: Diagram of Gansu Wildlife Conservation Bureau**



40.

40. Another three subordinated agencies under the Gansu Forestry Department, including the General Station for Forest Technology Extension of Gansu Province, General Station of Forest Seedling Management Station of Gansu Province and Forest Disease Prevention and Quarantine Station, organise irregular training courses related to PA management under the general guidance of the Personnel Division. The General Station for Forest Technology Extension organises training programs each year on the nature reserves management, forestry science and technology, forest resources management, forestry pest control, forest resource management, forestry ecological construction and some other subjects. Hence, close partnership with the Station can be established to build the individual capacity of PA staff in Gansu.

## 1.2. Threats, Impacts and Root Causes

41. Gansu has experienced a severe loss of biodiversity in recent decades as a result of human activities as well as natural causes. The structure and composition of Gansu's biomes has been changed; a rapidly increasing number of once common species are now classified as rare and endangered and local extinction of species has become very common. The key threats to Gansu's biodiversity, their root causes and barriers, may be summarised as follows:
42. **Diminished forest size:** the excessive logging that took place during the years before China's 1998 logging ban sharply reduced Gansu's forested area, changed the biological structure of Gansu's forests, reduced the quality of the forests, and diminished forest canopy cover. Forest cover in Gansu has decreased from 9.04% of the total land surface in the 1980s to 6.0 % at present, which is considerably lower than China's average level of forest cover (14%). Although commercial logging inside PAs is now officially banned, illegal logging and fuel wood gathering still take place in many areas. Many PAs have a large number of residents inside the PAs as collective (community-owned) land has often been used for establishment of PAs without adequate consultation or provision for the local communities. Over 80,000 people reside in the four demonstration PAs alone.
43. **Land Conversion and Habitat Degradation and Fragmentation:** due to conversion of wetlands to farmland, diversion of water courses for use in industry, cities, and irrigation, the size of wetlands larger than 8 hectares in Gansu declined to 1.21 million hectares, which only accounts for 30% of the wetland size in 1960s. Eighty percent of the remaining wetlands are within the nature reserves system. Overstocking of livestock, coupled with reduced rainfalls and prolonged drought has also contributed to drying up of marshes and pastures. Since 1980, particularly affected areas in Gansu are Maqu County, Gannan plateau Luqu marsh wetlands with a reduction of wetland areas by 50%.
41. Grasslands in Gansu are also severely degraded due to overgrazing, digging up of grass and peat, collection of fuel wood, collection of medicinal plants, increasing damage by insect pests and rodents, and declining water tables. Fifty-two percent of grassland in Gansu has been severely damaged by overstocking/overgrazing. At present, almost all of the province's 16.6 million hectares of natural grassland appears to be characterised by varying degrees of degradation. Since the 1980s, the height of grass in grasslands has decreased by 50%, and vegetation density has decreased from 65% - 95% to 25% - 60%. Pasture carrying capacity has decreased by 50% -70%. In Maqu County, near the Yellow River some areas of grasslands have totally disappeared. Overstocking in the grasslands is also contributing to the loss of wetlands. According to statistics, the annual direct economic loss in Gansu as a result of land degradation amounts to RMB 378,347,000, representing 1.663% of the GDP of the corresponding year.<sup>8</sup>
42. The underlining root cause is government policy which often favours urban and industrial development over agriculture. It also favours agricultural subsidies (e.g., for irrigation schemes) over sustainable natural resource management in drylands. Central government demands for local government officials to achieve 10% annual economic growth year after year have contributed to severe damage to the environment. Unlike many parts of eastern China, where export-oriented manufacturing is the main engine of economic growth, Gansu's economic growth has been largely based on industries dependent on natural resources such as mining, forestry, hydroelectricity production, and animal husbandry.
43. **Overharvesting of biological resources:** Overharvesting of bamboo, medicinal plants and wild edible species such as mushrooms and fungi is a significant factor influencing biodiversity loss in Gansu. The number of wild plant species in Gansu has decreased in the last few decades and many species have become endangered. For example, in the Baishuijiang area, the Chinese yew (*Taxus celebica*) is endangered because

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<sup>8</sup> From Gansu Strategy and Action Plan to Control Land Degradation, 2006.

of the uncontrolled collection of its leaves by local people due to the demand for medicinal use for treatment of breast cancer. Gansu now has 186 endangered or threatened flowering plant species, of which 5 are first-grade nationally protected species, 45 are second-grade nationally protected species.

44. Although collection of many biological resources is prohibited, a large and increasing population, the proximity of people around PAs and the large number of residents inside PAs, as well as insufficient budgets for law enforcement activities mean that most illegal harvesting takes place with impunity. In Gansu, the population grew from approximately 9.68 million in 1949 to 25.62 million in 2000, and rapidly rising per capita consumption levels over the last 20 years has led to many forms of unsustainable use of natural resources. At the same time, rural households in Gansu are still extremely poor, in both relative and absolute terms. This is especially true in the large areas of Gansu that are inhabited by ethnic minorities, which have not been subject to China's one-child per family policy, but which often live in very economically marginal but high-biodiversity areas. This has led to illegal encroachment into PAs. The ambiguity over land tenure and restriction of access rights to traditional resources inside PAs without any substitutes or alternative livelihoods makes residents disrespectful to nature reserves management and causes conflicts between the residents and nature reserves managers.
45. **Unplanned and inappropriate tourism development inside PAs:** In 2006, visitors to forest PAs accounted for 15% of China's total tourism sector, and during 2001-2006 the total investment in commercially oriented development in forest PAs was US\$ 4.5 billion. Generally PAs in China are encouraged to generate income from tourism and other commercial activities inside their boundaries. Because of the strong emphasis on tourism development for income generation, the biodiversity conservation and other nature reserves objectives such as scientific research, education and nature based recreation, protection of scenic beauty tend to be overridden by development activities. Unplanned tourism development inside PAs with substandard environmental management of the tourism establishment has resulted in poor environmental quality, degradation of scenic beauty and as a consequence a decrease in their overall value as a natural destination.

46.

### **1.3 Long-term solution and barriers to achieving the solution**

47. The Gansu Provincial Government has developed an impressive network of PAs covering nearly 22% of the province, in its attempt to conserve the globally significant biodiversity. With their legally protected status and official governance and management structure, there is good potential for the PAs to form a tight, cohesive and effective conservation network that will provide an effective buffer against threats to biodiversity. However, a number of barriers are hindering the provincial government's efforts toward improving PA management effectiveness.
48. Given the concentration of biodiversity in the PAs in Gansu Province, the long-term solution proposed by this project is an effectively managed nature reserves system in Gansu to conserve globally important biodiversity for the long-term. The ideal solution requires that the provincial nature reserve agency has adequate systemic, institutional and operational capacity to: (i) effectively plan and manage the nature reserve network in the province based on scientific data and information; (ii) mitigate the threats to, and pressures on, the unique biodiversity contained within the PAs; (iii) effectively plan and source sustainable financing for nature reserve management and ensure cost effectiveness of the nature reserves operation; and (iv) ensure better integration of the socio-economic development priorities of the residents and neighbours in nature reserves' management operations. The project will focus on improving capacities at the provincial level as well as at the site level at four field demonstration PAs in the Taohe Basin.

49. Two macro-level barriers exist which hamper efforts to reduce threats facing Gansu's PAs and achieving the proposed long-term solution. These are:
- Barrier 1:** *Weak provincial legal and regulatory framework and institutional capacity for sustainable management and financing of Gansu's PA system*
- Barrier 2:** *Absence of effective PA management and business planning, and operation at site and sub-system level*
50. These are further described in the section below.
51. Weak provincial legal and regulatory framework and institutional capacity for sustainable management and financing of Gansu's PA system
52. Weak enabling legal and regulatory framework and institutional capacity at the provincial level severely affect the effectiveness of the PA system. A number of sub-barriers contribute to this macro-barrier.
53. Absence of overall PA vision and strategy to ensure adequate and representative PA system: Management of Gansu's protected areas is not guided by any overall strategic vision or plan and thus the PAs do not constitute a coherent system. As is the case in other provinces in China, Gansu does not have a strategy for biodiversity conservation or any other such document that provides a cohesive strategic framework for ensuring effective nature reserves or comprehensive biodiversity management. This has meant that nature reserves managed by different agencies in the province are not managed coherently as a 'one nature reserve system' with a common management and operational planning system. Furthermore there is no system to distil and disseminate knowledge to improve the systems' management.
54. Weak support for PAs and undervaluation of PAs economic value: The economic and conservation importance of Gansu's nature reserves is generally recognised by government officials working in forestry and environment sectors, however this is not the case across all sectors. Economic development is always the top priority of local governments in Gansu and therefore in many situations the conservation requirements of a nature reserve are marginalised. Therefore, nature reserve management integration within core development strategies is inadequate: for example, the province's five-year development plan does not explicitly identify biodiversity conservation or nature reserve management as a priority. One of the key reasons for this is the low priority accorded to nature reserve management by senior policy makers in the province due to lack of adequate information on total benefits provided by nature reserves – including current benefits, and potential future benefits (especially related to ecosystem resilience and provision of ecosystem services in the face of climate change impacts). Although there is high level political commitment to PAs at the central government level in China, there is a lower level of commitment at the provincial government level, and there is only very limited public support for PAs. This also holds true for policy makers at sub-provincial levels.
55. Gaps in legal and regulatory framework: Though the basic legal framework for effective PA management is in place in Gansu, its implementation is hindered due to the lack of official guidelines and procedures. One such case is the co-management mechanisms – particularly community involvement - provided for under the Gansu Nature Reserve Management Regulations. Another example is a flexible provision for sourcing funding through different mechanisms for PA management under the terms of the Gansu Nature Reserve Regulation. Lack of official guidelines, procedures and other tools mean that the PAs are still dependent on traditional government funding and revenues from nature reserve entrance fees. There is a marked lack of innovation and new initiatives when it comes to fundraising.

56. In general, laws or policies are in place to facilitate enhancement of the PA budget base at site level. According to the national nature reserve law, individual PAs and their supervising government departments can receive donations from domestic or overseas organisations and individuals, which should be used for development and management of the PAs. The Gansu Nature Reserve Management Regulation (1999) mentions the following six financing sources for the PAs ;
- Funds from government budget at different levels of government
  - Funds introduced from outside;
  - Donations from domestic or overseas organisations and individuals
  - Income from tourism and other business operated by NR units
  - Management fee collected by NRs in accordance with laws and regulations
  - Other income.
57. However, some notable gaps in the legal framework related to sustainable PA financing exist. These include an absence of clear mechanisms for promoting payment for the ecological services rendered by PAs, such as water supply. Also neglected are systems to encourage the establishment of trust funds to finance the PA system or individual PAs. Funding mechanisms such as entry fees are not standardised across the nature reserve system. Entry fees to PAs in Gansu are often priced arbitrarily, and are probably much less than many visitors are able and willing to pay.
58. Tourism, mining, and other revenue-generating activities in the “experimental zones” of nature reserves are subject to regulations, but these regulations are often not enforced. There are regulations for charging fees for non-tourism activities, however these regulations are not implemented effectively across the PAs. In addition, there is no framework for developing, awarding and monitoring tourism concessions.
59. *Absence of formal coordination mechanism between PA management agencies and PA stakeholders:* As noted earlier, nature reserve management involves at least three different agencies. In theory, the Gansu provincial Environmental Protection Bureau (EPB) is responsible for coordinating the nature reserve-related activities of all the different provincial government departments involved in nature reserve management. At the national level, the Ministry of Environmental Protection (MEP) is responsible for the coordination work. However, the national-level, provincial-level and county-level bureaus of environmental protection lack the necessary capacities and the political power to perform this coordinating function that has been assigned to them by law. There are no institutional arrangements to ensure close coordination and cooperation amongst different agencies for nature reserve management, resource management or information/ knowledge gathering or sharing. They do not follow standard management planning processes nor reporting processes, and only three of the 58 nature reserves have management plans. The capacity for nature reserve management amongst these agencies varies considerably. Even the Forestry Bureau, which manages 90% of Gansu’s nature reserve areas, has insufficient staff and financial capacity to effectively coordinate its individual reserves and manage them as a coherent PA system.
60. Conflicts between different sectoral departments are frequent, and even the environmental protection bureaus at each level of government do not have the legal power to ensure that other provincial departments will carry out their respective legal responsibilities. In situations where there are conflicts between different sectoral departments, problems are transferred to higher-level authorities (i.e., sectoral departments at the next highest level of government) for discussion, which may or may not resolve the conflicts.
61. *Absence of database and information systems on PAs, threats, priorities and actions:* Related to the absence of formal coordination mechanisms, centralised information is not available on the status of nature reserves, threats and priorities nor on support provided, or potentially available, to nature reserves by different international organisations. While nature reserves are considered important in terms of global biodiversity

values and have stronger legal safeguards against local development pressures than areas outside protected areas, the current categorisation of nature reserves into national and local nature reserves in Gansu has not been done under any rational analysis of the overall biodiversity of Gansu or their biodiversity significance and have therefore not been given a level of protection commensurate with their biodiversity significance. Many nature reserves in Gansu are established without adequate information of the priority conservation species, ecosystems and areas in the reserves. Zoning of many nature reserves, in particular national and provincial level nature reserves has not fully addressed the ecological integrity of ecosystems by introducing core zone re-delineation that would maximise management effectiveness. Likewise, the zoning of experimental zones in many nature reserves, which allows for biodiversity-friendly practices, has not given due importance to the needs of local communities living inside, and in close vicinity to, the nature reserves.

62. *Weak institutional capacity to plan and manage PA system:* Self assessment by Gansu Province’s officials responsible for nature reserve management using UNDP’s Capacity Scorecard has highlighted that the major weaknesses relate to capacity to mobilise information and knowledge, followed by capacity to monitor, evaluate, report and learn and finally capacity to implement policies, legislation, strategies and programmes. Table 3 below summarises the scores for different components of the scorecard and highlights critical issues for each of the categories presented (see Annex E for details).

63.

**Table 3: Summary of findings from UNDP’s Capacity Development Scorecard, with issues from the lowest scoring to the highest scoring areas**

Strategic Areas	Score out of total	% Scored	Major areas of weaknesses
Capacity to mobilise information and knowledge	3.5 out of total 9	38.9%	<ul style="list-style-type: none"> <li>Information available on nature reserves is of poor quality, is of limited usefulness, or is very difficult to access. Severe data deficiency exists in most of the nature reserves due to lack of biodiversity monitoring.</li> </ul>
Capacity to monitor, evaluate, report and learn	7.5 out of total 15	50%	<ul style="list-style-type: none"> <li>Nature reserve policy is not reviewed regularly, continually nor updated</li> <li>Local government agencies related to the management of nature reserves usually have chances to monitor the nature reserve’s work, but the general public rarely has chance to participate in monitoring.</li> <li>Institutions are not able to respond rapidly to changing situations</li> </ul>
Capacity to implement policies, legislation, strategies and programmes	26 out of total 48	54.2%	<ul style="list-style-type: none"> <li>There are some training opportunities for nature reserve staff, but these are not effectively organised. Appropriate systems of training, mentoring, and learning to maintain a continuous flow of new staff are not in place.</li> </ul>
Capacity to engage and build consensus among all stakeholders	8.5 out of total 15	56.7%	<ul style="list-style-type: none"> <li>Nature reserve institutions are allowed to establish the partnerships needed to achieve their objectives. However, there have been very few cases of successful partnerships that support PA management over the long-term</li> </ul>
Capacity to conceptualise and formulate policies, legislations, strategies and programme	5.5 out of total 9	61%	<ul style="list-style-type: none"> <li>Most of the nature reserve institutions have developed master plans but these are not updated regularly.</li> </ul>
<b>Overall Score</b>	<b>51 out of total 96</b>	<b>53.1%</b>	

64. *Weak institutional capacity for budget planning and resource mobilisation:* There is also a significant deficiency in institutional capacity for budget planning and securing adequate funding for PA planning and management. The majority of PA management budget comes from central and/or provincial government allocation, however, there is little funding available for PA management planning, tourism development planning, as well as for actual nature reserve management activities ranging from law enforcement, scientific research and monitoring to nature reserve infrastructure maintenance.

65. According to the PA Finance Scorecard assessment, the current annual budget allocation for the PA system in Gansu is approximately US\$ 14.8 million. However, the actual required amount for managing the system is estimated at US\$ 99.55 for a minimum improved scenario based on the 11<sup>th</sup> Five Year Plan for Gansu Forestry Bureau and the 2010-2020 Mid- and Long-term Forestry Plan. This leaves a significant gap between the current situation and the minimum improved scenario.
66. Government budgets for individual parks are allocated based loosely on size, and the number of staff and ranger stations, without any consideration for actual management needs, biodiversity significance and threats, business plans, or performance. PAs are not required to have management and business plans. They are only required to develop and submit basic annual work plans to access the government funds, resulting in a lack of correlation between the actual management needs and the budget. As a result, PA budgets hardly ever include biodiversity monitoring and research, and threat reduction strategies in buffer zones (e.g. livelihoods of communities living around the nature reserve).
67. Although capacities exist for general financial management, there is no strategic level financial planning capacity for quantifying actual costs of adequately managing PAs, developing ways for cost effective use of existing resources for better conservation outcomes, and PA agencies do not have economists and financial planners in their teams. There is no requirement or system in place for developing park business plans and no guidance on cost-effective management, nor any mechanism for inter-PA site level networking to enable nature reserve managers to share information with each other on their costs, practices and impacts. Operational and investment cost comparisons between PA sites are absent, as are monitoring and learning systems of cost-effectiveness and opportunities for nature reserves to conduct joint activities to share costs.
68. On the revenue side, the financing scorecard assessment estimates that the nature reserve system receives over 2.7 million visitors annually and generates about US\$ 6.8 million in total tourism revenue. In 2007, total revenue from tourism in all Gansu PAs managed by the Gansu Forestry Bureau was approximately US \$8 million, of which approximately US \$3 million represents the amount paid by visitors for accommodation.
69. Some PAs have established businesses operated by the PAs themselves, including hotels, chicken and cattle farms and wineries. The sale of seedlings is also a common income generation activity conducted by nature reserve management, and one nature reserve is currently generating over US\$ 200,000 per year from such sales. However there is no systematic provincial-level collection of data about the amount of revenue generated by individual PAs in Gansu from different enterprises. Similarly, there is also no mechanism for assessing the cost effectiveness and business performance of different enterprises. In addition, few safeguards exist to ensure that revenue generation does not adversely affect the conservation objectives of nature reserves.
70. All PA revenues and expenditures are partially reported by PA authorities to stakeholders. However, financial monitoring and reporting systems are not in place to show where revenues are generated and how and why funds are allocated across PA sites and to the central PA authority in Gansu. Financial returns on tourism related investments are not measured nor are they reported. Although each PA does provide data in a simple form, how the data is used and analysed to direct decisions is unclear.
71. *Absence of systematic capacity development for PA staff:* Though the General Station for Forest Technology Extension provides training on nature reserve management under the Gansu Forestry Bureau in July and August each year, its training is not conducted based on training needs assessment nor is it based on international best practice. There is no system of mentoring and learning in place to maintain a continuous updating of current and new staff skills. The capacity building activities do not include a full range of the skill sets that are required for effective PA management. PA budgets do not allocate adequate resources for such capacity building activities.

72. Absence of effective PA management and business planning, and operation at site and sub-system level
73. All of the barriers to effective PA management at the PA system level described above have direct impacts on individual PA management at the site and sub-system levels. These are discussed below, especially using the four nature reserves in the Taohe River Basin as examples.
74. *Lack of PA planning and management tools on site:* As mentioned under the systemic and institutional barriers, the lack of standardised park management planning tools makes individual PA management rather ad-hoc. There are only three PAs in Gansu with a management plan. PA management plans are not required for motivating for annual budget and nature reserve management mostly operates in the absence of a management plan. This means day-to-day PA management work planning takes place without clear PA objectives and targets in an overall planning framework. This does not only make monitoring and evaluation of PA effectiveness difficult, but also makes it impossible for PA managers to motivate for an adequate level of budget necessary for PA management activities which satisfy conservation objectives. It also leads to the loss of potential opportunities for collaboration between different PAs through joint activities and information sharing.
75. In addition to the lack of management plans, the absence of tourism development planning systems, and insufficient technical knowledge on the need for balancing ecological protection and infrastructure construction, has resulted in most PAs having too many man-made structures, such as hotels, restaurants, summer resorts and villas, department stores and artificial gardens (of non-native plant species), often in inappropriate locations inside protected areas. There are strong incentives to develop tourism infrastructure inside PAs. Insufficient government funding for nature reserve management activities and the large number of staff working in the PAs, accelerates the need for increasing revenues. In most cases, PAs can retain 100 percent of their self-generated incomes, which creates additional incentives for increasing revenues. However, insufficient knowledge and appreciation of the value of biodiversity and ecosystem services harboured by the PAs, coupled with a lack of payment for ecosystem mechanisms from hydroelectric dams and water users downstream also leads to a biased approach towards the immediate profits the PAs can generate. Suboptimal pricing of nature reserves entry fees is also a contributing factor to the current desire to encourage large scale construction of income generating facilities.
76. Furthermore, overcrowding of visitors is a common problem, especially in the peak seasons, due to the absence of appropriate visitor management systems. The non-existence of business planning tools hampers actual needs based budget planning, cost efficiency maximisation and efforts to secure sufficient funding for managing the threats to biodiversity.
77. Weak local level biodiversity monitoring and evaluation work: A significant capacity gap exists in local level biodiversity monitoring and evaluation and in conducting scientific research. Although some monitoring activities take place in each reserve, including species population dynamics investigation, patrolling to evaluate the threats from community activities such as wood collection, farming, fires, etc., the results have not been analysed, turned into information and systematically applied in reserve management. Some reserves do not have regular monitoring activities. Insufficient equipment for monitoring and research also hampers coordinated and continuous activities. Furthermore, research projects are often not coordinated and directed to nature reserve management needs.
78. *Insufficient PA management budget:* One of the biggest barriers in effective PA management at site level is the insufficient budgets of PAs. For instances, at the four nature reserves in Taohe basin, the funding gaps are estimated to be on average 42% over baseline for basic management and 93% for optimal management costs over baseline (see Table 4 below). The reasons for this underfunding are four fold as noted in the previous systemic barrier 1) Undervaluation of PA values and contribution to development; 2) Gaps in legal

and institutional framework for sustainable financing; 3) Arbitrary allocation and budgeting systems; 4) Insufficient institutional and individual capacity for financial and business planning.

79. Table 4: Funding gap in 4 demonstration nature reserves in Taohe Basin

Nature Reserves	Available (in million Chinese Yuan)	Gap to basic management (million Chinese Yuan)	% increase needed over baseline	Gap to optimal management (million Chinese Yuan)	% increase needed over baseline
Lianhuashan	8	3.5	44	12.6	158
Taizishan	16.6	8.8	53	15.7	95
Gahai-Zecha	4.5	2	44	3	67
Taohe	31.4	8	25	16.6	53
<b>Average</b>	<b>15.125</b>	<b>5.575</b>	<b>42</b>	<b>11.975</b>	<b>93</b>

\*Exchange Rate (April, 2010) : US\$ 1= 6.83 Chinese Yuan

80. *Poor stakeholder involvement and support for PA management:* The majority of PAs in Gansu Province are located in areas which are economically underdeveloped and where local people depend on the natural resources of the PAs for a living. Many reserves have people living inside and around them and they tend to depend on resources in the nature reserves for subsistence which challenges the objectives of nature reserves. Table 5 below shows basic socioeconomic data on over 80,000 people living inside the four demonstration reserves. In addition to these communities inside the PAs, significant populations live adjacent to PAs, and many of them also depend on natural resources within the parks. For example, although Taizishan Nature Reserve only has one settlement inside the reserve, it is surrounded by 836 villages belonging to 117 townships with an ethnically diverse population of 1.22 million.

**Table 5: Key socioeconomic indicators of communities living inside 4 nature reserves in Taohe Basin**

Nature Reserve	Population inside NR	Number of settlements inside the reserve	land areas managed by local residents (ha)	Main ethnic groups	Average Income / capita / year (Chinese Yuan)*	Livelihood of residents	Threats caused by local residents to NR
Lianhuashan	5,300	27	520	Han, Tibet, Hui	1,500	crop farming, forestry, livestock	soil erosion caused by agriculture, illegal logging for firewood and other uses
Taizishan	130	1	20	Hui	1,300	crop farming, forestry, livestock, tourism	soil erosion caused by agriculture, illegal logging for firewood and other uses, tourism, overgrazing
Gahai-Zecha	12,000	17	157,000	Tibet, Han	2,000	livestock, tourism, gold mining	over grazing
Taohe	62,600	375	21,580	Hui, Tibet, Han, Tujia	1,100	crop farming, forestry, livestock, tourism	illegal logging, overgrazing, tourism

\*Exchange Rate (April, 2010) : US\$ 1= 6.83 Chinese Yuan

81. In most nature reserves in Gansu, there are no community outreach programmes. Planned education/awareness programmes for local communities are not in place, especially for provincial reserves. Exclusion of the needs of local people and traditional resource users is contributing to growing human pressure and

conflicts. Conflicts with local community also arise from lack of clear boundary markers for each reserve and for different zones within the reserve.

82. The present PA legislation provides generally for community participation in PA management. For example, Article 5 of the *PA Management Regulation of PR China* directs “Establishment and management of PAs should properly deal with their relationship with local economic development and life of local people.” Article 9 of the *Gansu PA Management Regulation* provides that “The governments of the area where PA is located, may establish conservation coordination body with participation of PA management authority and related village committees and other entities, to undertake public education activities, sign conservation agreements, and coordinate relationships among partners...” Article 17 of the same regulation stipulates that “Residents in the PAs should abide by provisions of the PA Regulation, and can undertake livelihood and daily activities in the defined area of the experimental zone so long as no adverse impacts are caused on natural resources, and should assist the PA Management Authority to undertake conservation work.”
83. However, both of the national and provincial PA regulations have no specific provisions on how the local communities should participate; what kind of participation rights a community should have; how to ensure the adoption of communities’ opinions; what kind of obligations the PA management authority should have in regards to public input; what incentive measures should be established, etc. There have been some signed agreements between the PA authority and local communities and residents related to PA management, but these mostly involve communities pledging to abide by PA rules relating to forest fire prevention and firewood collection (agreeing to permitted time and quantity of collection etc.) The PA management authorities have also signed agreements with selected local residents to assign them as part-time forest rangers with a mandate to look after a certain area of forest over a mutually agreed time period. The PA pays about 3,000 Chinese Yuan (US\$ 439) each year to the contracted individual.
84. Weak skill and competency levels of PA staff: Analyses of the METT scores for 29 PAs in Gansu, and UNDP’s Capacity Scorecard for provincial level and for 4 nature reserves in Taohe basin all indicate that low staff capacities are a major barrier to effective nature reserve management. The number of staff in the nature reserves is generally sufficient and there is little staff turnover. Some nature reserve staff have clear career tracks and training opportunities, but this is not adequate. Many staff lack the essential knowledge and skills for monitoring and managing biodiversity. Some National or provincial level nature reserves have professional staff, but they lack critical skills, for example they are unable to develop a full management plan. Nature reserve management staff lack skills in basic nature reserve functions, such as planning, enforcement, community outreach and conflict resolution.
85. For some reserves, the lack of appropriately trained human resources for conservation is also a reflection of the fact that the PAs have only recently been converted from some other government enterprise to nature reserves. For example, Taohe nature reserve was originally a “tree farm” – (timber harvesting enterprise), which was converted to a nature reserve following the nation-wide logging ban in 1998. Additionally, officials from other government departments such as Water and Agriculture, who have responsibilities over certain resources or areas within the nature reserves, also lack a fundamental understanding of the conservation objectives of the nature reserves and do not understand how the utilisation of resources and/or management practices in certain areas that they are promoting may affect biodiversity.

#### **1.4. Stakeholder Analysis**

86. The project will work closely with a wide range of stakeholders including provincial and local government agencies, universities, research institutions, civil society organisations, private businesses, local communities and residents. The Gansu Provincial Forestry will be the main partner for project implementation and will

work in close cooperation with the member agencies of the Project Board and Project Advisory Committee. Table 5 below lists the main stakeholders and their future roles in the project.

**Table 5. Key Stakeholders and Their Roles in the Project**

Stakeholder	Role in project
Gansu Forestry Department	<p>Will be national executing agency of the project:</p> <ul style="list-style-type: none"> <li>- overall control of project implementation</li> <li>- maintain productive and regular communication with UNDP and other project stakeholders to ensure the smooth progress of project implementation</li> <li>- integrate project products in provincial programs on PAs and biodiversity</li> <li>- approve the provincial nature reserves financing strategy and ensure its implementation</li> <li>- approve by-laws and regulations needed to put in place mechanisms for nature reserves self-generated revenues</li> <li>- coordinate launching of the nature reserves system Management Effectiveness Tracking Tool</li> <li>- ensure that project replication strategy is developed, coordinated with all relevant organizations, and is put in place</li> <li>- ensure that Government co-financing is available</li> </ul>
Gansu Department of Finance	<p>a key partner in reviewing and approving project budgets and ensuring project finance management to be in line with requirement of the government of China and UNDP;  partner in increasing regular financial resources for PAs  key agency to coordinate other relevant provincial departments to take concerted actions to support the project implementation</p>
Gansu Development and Reform Commission	<ul style="list-style-type: none"> <li>- provide this project with lessons and experiences from other international and national projects, either already closed or still ongoing</li> <li>- extend lessons and experiences gained in this project to other international and national projects</li> <li>- mobilise future government-supported projects to support implementation of recommendations and strategies proposed by this project</li> <li>- partner in drafting and promoting legislative and regulatory changes that may be necessary in order to achieve the project's objectives</li> </ul>
Gansu Department of Agriculture and Animal Husbandry	<ul style="list-style-type: none"> <li>- coordinates programmes to conserve aquatic biodiversity inside PAs</li> <li>- coordinates programmes to reduce overgrazing inside PAs</li> <li>- replicates lessons and experiences from this project in their own projects and daily work</li> </ul>
Gansu Department of Water Resources	<ul style="list-style-type: none"> <li>- partner in the elaboration of mechanisms for PES to PAs for hydrological services provided by PAs</li> <li>- partner in drafting and promoting legislative and regulatory changes that may be necessary in order to achieve the project's objectives</li> </ul>
Gansu Environmental Protection Bureau	<ul style="list-style-type: none"> <li>- coordinates all PA work in province</li> <li>- partner in drafting and promoting legislative and regulatory changes that may be necessary in order to achieve the project's objectives</li> <li>- replicate lessons and experiences from this project in their projects and daily work</li> </ul>
Gansu Tourism Bureau	<ul style="list-style-type: none"> <li>- partner in promoting increased tourism activities in PAs</li> <li>- partner in developing tourism plans for pilot sites and reviewing policy on generation and allocation of tourism revenues</li> <li>- partner in drafting and promoting legislative and regulatory changes that may be necessary in order to achieve the project's objective</li> </ul>
Provincial Government Legislative Office	<ul style="list-style-type: none"> <li>- partner in drafting and promoting legislative and regulatory changes that may be necessary in order to achieve the project's objectives</li> <li>- coordinate with ADB-GEF Op 12 Project, which involves drafting of new provincial legislation relating to land degradation</li> </ul>
nature reserves directors and staff	<ul style="list-style-type: none"> <li>- take leadership in creating and supporting PPPs</li> <li>- "owners" and beneficiaries of the nature reserves business plan preparation process</li> <li>- major role in implementation of nature reserves-level project activities</li> </ul>

Stakeholder	Role in project
General Station for Forest Technology Extension	Training provider on nature reserve management under the Gansu Provincial Bureau; Conducts training in July and August each year; The capacity of this institution will be developed so that it can continue capacity needs assessment and capacity development in effective PA management planning and implementation as well as in business planning
Local governments including prefecture, county and township levels	- participate in and benefit from the PPPs - participate in the development and implementation of nature reserves business plans - assist with the establishment of nature reserves-community agreements on nature reserves management
- Local communities and residents	- take part in the decision making process of nature reserves management - implement project activities including community-based nature reserves management and alternative income development (ecotourism, sustainable harvesting of natural resources), awareness raising, etc.
Private sector	- possible provider of funds for nature reserves management - partner of PAs in operating businesses
Universities and research organizations	-partner in providing technical assistance -possible sub-contractors
International and domestic non-governmental conservation organizations, such as WWF, CI, Shan Shui	-partner in providing technical assistance -possible sub-contractors
Press and media	-partner in disseminating project results -partner in raising public awareness of biodiversity conservation

87. The project will be launched by a well-publicised multi-stakeholder inception workshop. This workshop will provide an opportunity to provide all stakeholders with updated information on the project as well as a basis for further consultation during the project's implementation, and will refine and confirm the work plan. Furthermore, the Project Board and Project Advisory Committee will include broad representation of all key interests throughout the project's implementation. Public Private Partnerships will be cultivated as both a means of improving sustainability of PAs, and as an instrument for closer stakeholder involvement. Partnerships will be developed in the tourism and hydropower sectors. In addition, certain project activities will be specifically designed to directly involve local stakeholders in project implementation.

## Baseline Analysis

88. Without this GEF support, global biodiversity conservation and financing in Gansu will remain at a basic level and will not gain wider support from multiple stakeholders- including different government departments and programmes, local communities and the private sector. Business-as-usual will continue on an ad hoc and inconsistent basis in institutions, policies, and capacity building across different nature reserve sites. National and international support for Gansu's global biodiversity conservation – such as through the GEF and other important donors - will continue to face weaknesses in the form of systemic, institutional, financial and individual barriers.

89. Currently, there are no plans by the Gansu Provincial government to bring about any significant institutional or policy reforms to strengthen nature reserves management in the province. Though the need to support a multi-stakeholder approach for nature reserves management has been realised, without the technical support

from the project, any follow up actions will be limited in nature and will not be informed by best available knowledge and practices from China and around the world.

90. It is clear from METT and Capacity Analysis that nature reserves managers are concerned about improving management effectiveness of their protected areas and their sustainable financing. However, whilst some issues of sustainable financing may be addressed at some sites, the requisite comprehensive and systemic approach to financing is unlikely to occur without this project's support. Without this GEF project intervention, nature reserves finance-related work will continue to largely deal with the cost side of financing, and an extremely limited amount of work would be done on innovative revenue generation and fostering partnerships – including sharing of knowledge and resources between different protected areas. Capacity building of reserve staff will also continue as usual and will not bring about significant changes in overall capacities of reserve managers.
91. Under the baseline, protected areas will continue to be under-resourced and nature reserve/people conflicts will continue. Levels of participation and support by local people for conservation activities will remain low. The project's activities will strengthen the overall policy, legal and institutional arrangements so that reserves are able to better address threats to biodiversity of global values and sustain their activities through strategic partnerships and sustainable financing. GEF involvement will also ensure strong coordination and collaboration with similar projects and programmes in Gansu, other parts of China, and in the rest of Asia and the world. Lessons from this project will also be better documented and communicated to the wider world so that future programmes benefit from experiences here.

## **PART II: PROJECT STRATEGY**

### **2.1 Project Rationale and Policy Conformity**

92. The project is in conformity with national, UNDP and GEF policies. The proposed project is fully in line with the GEF IV's biodiversity focal area's Strategic Objective 1 "To catalyse sustainability of protected area (nature reserves) systems"- specifically on GEF Strategic Program 1: Sustainable Financing of Protected Area Systems at the National Level and SP 3: Strengthening Terrestrial Nature Reserves Systems. The project will support national policy and institutional strengthening activities and demonstrations to ensure that the national nature reserves system has plans and actions for long term financial sustainability. In line with SP1, the project will ensure development of plans that will include diversified funding sources and cost effective management and use of resources. The project will also develop the management and financial capacity of Gansu's Forestry Bureau and strengthen the partnerships between nature reserves authorities and local communities, and the local government.
93. Strengthened PA management effectiveness and financing will contribute substantially to the development results identified in the Outcome 3 of UN Development Assistance Framework with China (UNDAF 2006-2010): More efficient management of natural resources and development of environmentally friendly behaviour in order to ensure environmental sustainability. The project will help improve sustainable utilisations and management of natural resources and the environment at national and community levels through demonstration of sustainable financing and ecosystem valuation for conservation. The success will be replicated as a means to achieve MDG # 7 - ensure environmental sustainability. The project's expected outcomes are also in line with Outcome 7 of the Country Programme Document 2006-2010 (CPD) between the Government of China and the UNDP which seeks to sustainably manage China's biodiversity through interventions to strengthen: 1) enabling environment for biodiversity conservation; 2) mainstreaming of biodiversity into planning and investment processes; 3) biodiversity conservation in protected areas; and 4) biodiversity conservation in production landscape.

94. The project falls under the umbrella of China Biodiversity Partnership and Framework for Action (CBPF), which is China's primary investment strategy for biodiversity conservation through the GEF and other partners. Specifically, it will contribute directly to the following Results of the agreed CBPF Framework:
95. Result 4: Financial flows to biodiversity conservation increase over current baseline
96. Result 18: NRs and PNRs are effectively managed;
97. Result 19: NNRs and PNRs have stable and sufficient financing;
98. Result 20: at NNRs and PNRs, local communities, NGOs and/or the private sector are involved in PA co-management and development.

### **Rationale and summary of GEF Alternative**

99. Support for enhancing the management effectiveness and financial sustainability of Gansu's protected area system defined by this project and the removal of barriers to do so constitutes the essential rationale for the present project and forms the basis for its outcomes. In order to achieve these outcomes, GEF has joined in partnership with key nature reserves management agencies in Gansu, and will collaborate with other partners such as those referenced in the Stakeholder Analysis section of this document.

### **2.2 Project Goal, Objective, Outcomes and Outputs/activities**

100. The Project Objective is to "strengthen protected areas' sustainability in Gansu Province through improved effectiveness of PA management and sustainable financing." This will contribute to the broader Goal to "effectively conserve globally significant biodiversity in China."
101. In order to achieve the above objective, and overcome the barriers identified above, it is essential to ensure a comprehensive approach that tackles the barriers at systemic, institutional and operational levels. The project's intervention therefore has been organised into two outcomes:
  - **Outcome 1:** *Strengthened provincial policy framework and institutional capacity for sustainable management and financing of Gansu's PA system*
  - **Outcome 2:** *Sustainable PA management and financing demonstrated in Taohe Basin*
102. Activities under the first outcome will target the provincial level, rectifying systemic and institutional weaknesses that affect the management and financing of the PA system in Gansu. The second outcome will focus on four nature reserves. Through working directly with the nature reserve management authorities and local stakeholders including reserve residents, neighbours, officials and business enterprises in the area, Outcome 2 interventions will operationalise and demonstrate actual application of the outputs under Outcome 1. Demonstration work will be used in refining provincial level PA management strategy, financing strategy and capacity building strategy, thereby ensuring wide replication of the lessons learned across the province.
103. Outcome 1: Strengthened provincial legal and institutional frameworks for sustainable management and financing of the Gansu's PA system

104. Work under this component will support the development of a clear official vision and strategy for development and management of the Gansu PA system, articulating the relevance of the PAs to the provincial development agenda and paving the way forward for safeguarding the natural assets and unleashing the potential of PAs for improving people's livelihoods. The vision and strategy will be adopted by the provincial government and integrated into its development planning process. The vision and strategy will be based on a thorough understanding of the biodiversity assets and significance of Gansu, its relevance to development, priority areas and elements for conservation and envisaged climate change impact on biodiversity and biodiversity based industries. In order to support the realisation of the vision, legislative and regulatory framework will be reviewed and refined as necessary. Some legal and regulatory barriers need to be dealt with at the national level, therefore the project will tackle areas for improvement which are possible at the provincial level. A strong link will be formed with the UNDP-GEF Project "Priority Institutional Strengthening and Capacity Development to Implement the CBPF." The CBPF institutional strengthening project, which is about to be launched, will support a number of critical national level issues that are relevant to this project. These include establishment of the national planning system and framework for biodiversity conservation and the creation of an enabling national framework for the PES.
105. Implementation of the vision and strategy will be also aided by the project support for increased financial sustainability of the province's PA system. With economic valuation of the PA system and sustainable financing plans as tools, and through intensive awareness raising and lobbying activities using the tools and through a multi-sectoral PA forum, a marked increase in government investment in conservation activities in the PAs will be sought for. Increase in PA financing will also be expected through more appropriate entrance and user fee setting, concession systems and diversification of tourism activities in PAs.
106. Targeted institutional capacity building of the Gansu Forestry Bureau that manages 90% of the PAs in Gansu, will be supported to ensure operationalisation and sustainability of the outputs. Emphasis is placed on strengthening the institutional capacity to plan for, and to meet, the necessary cost of PA management. This will be done through supporting business planning capacity for PAs for effective use of resources and assist with identification and implementation of additional streams of financing. The project also invests in the establishment of knowledge management systems. The outputs necessary to achieve this outcome are as follows.
107. Output 1.1 Systematic PA development and management strategy adopted by Provincial Government :Work under this output will seek to assist the Gansu Provincial Government to develop a systematic PA development and management strategy, which will encompass all the 58 PAs in the province. This strategic document will describe the vision, approach and actions necessary for the establishment and effective management of a comprehensive, adequate and representative PA system in Gansu. It will also spell out the positioning of the PAs in the broader provincial development context, articulating the existing and potential benefits from the PAs for local development and their potential for improving the livelihoods of people living in and around the PAs. The activities required to prepare this policy will include inter alia: 1) review of best practices in PA system strategy development; 2) thorough assessment of the current PA system and its effectiveness in meeting biodiversity conservation objectives, as well as identifying conservation gaps and making plans to fill them; 3) assessment of the climate change vulnerability of the PA system; 4) prioritisation of the PAs according to their conservation importance and making recommendations for appropriate designation and management intensity; 5) review of socio-economic situations in and around the PAs and identification of opportunities for local livelihood enhancement; and 6) development of a system level biodiversity monitoring framework and nature reserve level performance evaluation system. It will also lay out a plan for better categorisation of protected areas into national level, provincial level and local level PAs depending on their global biodiversity significance. The strategy will also clearly identify linkages with national and provincial development partners – especially with the CBPF. It is expected that this strategy will guide the investment planning and prioritisation of actions across the Province. In the case of the expansion of the PA estate in Gansu, the integration of biophysical, economic and social factors into the

needs analysis will be ensured, especially in regard to community rights, traditional knowledge, and regional development plans.

108. Output 1.2 Economic valuation of the PA system in Gansu conducted and a PA system financing plan developed: Under this component, an economic valuation of the entire PA system will be conducted, with an aim to increase the level of commitments among the provincial and national government officials for PA system sustainability and to secure adequate and long-term investment in the PA system in Gansu. The study will generate a sound understanding of the PA system's direct and indirect use values and the PA contribution to provincial economic development. It will also include a basic cost-benefit model of current and future investment in PAs, providing a solid economic rationale for increased investment by the national and provincial governments. The project will also support development of advocacy materials and plans to ensure that the results of the study will be communicated strategically and widely so that they will lead to actual changes in decision makers' thinking and action as well as generating increased local and international support for the PA system. With the PA economic valuation as the backbone of justification for increased investment in PA management, a PA system financing plan will be developed to secure adequate funding for implementing the systematic PA development and management strategy. The financing plan will identify different options for generating additional funding and look at the feasibility of the options. It will map out detailed steps necessary to reach improved financial sustainability and define conditions required for the steps.
109. Output 1.3 Legislative and regulatory framework for the PA system in Gansu improved: PPG activities identified some critical areas where a good legislative framework is in place, yet no implementation occurs due to the lack of official guidelines and procedures. One such case is the coordination and co-management mechanisms provided for under the Gansu Nature Reserve Management Regulations. Another example is a flexible provision for sourcing funding through different mechanisms for PA management under the terms of the Gansu Nature Reserve Regulation. Lack of official guidelines, procedures and other tools mean that the PAs are still dependent on traditional government funding and revenues from nature reserve entrance fees. There is a marked lack of innovation and new initiatives when it comes to fundraising.
110. Activities under this output would primarily target these "low hanging fruits", providing tools for implementation of already existing enabling legal provision. These will include development of official procedures and guidelines for development of PA management planning tools such as PA management plan, PA business plan, and PA tourism development plan. Actual development of these plans is demonstrated in four PAs under Outcome 2, in tandem with the guideline development, to ensure practical lessons are incorporated in the guideline development process. Legal and regulatory framework for establishing an effective coordination forum focusing on ensuring sound and sustainable PA management will also be investigated. Production of pocket-size guides should be considered for nature reserve managers and partners for their easy reference, as well as support for required capacity development for the implementation.
111. This component will also support in-depth analysis of the Gansu Nature Reserve Regulations with a view to strengthening the regulations and/or subsidiary official procedures. In order to improve the legal and regulatory framework for meeting financing needs, the Project will support the establishment of an enabling framework for park entrance fee setting, planning, developing and awarding of environmentally compatible tourism concessions within PAs. This would ensure good concession planning, maximising the value of concessions thus increasing the amount of income flowing to PA management authorities, while at the same time minimising the adverse environmental and social impacts that may be caused by concessions. Concession fees should be based on the annual turnover rather than a fixed amount. Public auctions or competitive bidding systems will be introduced wherever possible for awarding concessions inside PAs, in order to increase the amount of revenue to the PA authorities, with strict environmental conditions and monitoring and with provisions for revocation of concessions where holders fail to comply with agreed environmental standards.

112. In addition, the project will help clarify the lead agencies and their roles in coordinating development and conservation actions on PA management and financing. Other sector legislation such as regulations related to mining, environmental management, agriculture and water resource management will also be reviewed in detail, and in close consultation with relevant sector administration entities, to identify possible conflict areas and create an action-oriented plan for harmonising regulations.
113. Output 1.4: *Gansu PA Forum established with the sectoral agencies and stakeholders aiming to enhance PA management effectiveness*: This output will address the current lack of coordination among the PA and resource management agencies and wider PA stakeholders. It will support the formation of the Gansu PA Forum. The forum is envisaged as a champion of the PA causes, constantly promoting PAs as repositories of biodiversity, cultural heritage and natural capital for development. It is expected that the PA Forum will become an important means to define roles and responsibilities for all stakeholders in PA management and also serve as the primary means to communicate the efforts and outputs of the project broadly to relevant stakeholders, to solicit input from stakeholders, leading to wider replication of best practice. It is expected that this forum will help reduce conflicts and overlaps between actions of different agencies at PAs and result in better sharing of information and resources. This is also expected to help foster common approaches for PA management across different agencies.
114. The project will support the launch of the forum, coordinating initial set-up and periodic meetings throughout the duration of the project: The PA Forum will include authorities that manage different types of PAs and different elements within PAs (such as water resources, land resources, forests, grazing animals, etc.) to harmonise approaches and coordinate actions. The Forum will also include departments or agencies responsible for managing different productive sectors that affect resources within PAs (such as mining, tourism, etc.) in order to minimise the negative ecological impacts on PAs from economic development activities in and around PAs. Furthermore, the Forum will include community representatives to make certain that communities contribute to PA management as well receiving increased benefits from the PAs, resulting in more cost effective operation and reduction of conflicts on the ground. The Forum will also involve other international and national organisations working on PA management in Gansu.
115. Sustainability of the Forum will be pursued by ensuring that such a forum is provided for in the provincial legislative framework, thereby making the running of the forum a core function of the Provincial Government. The Forum will oversee the systematic PA development and management strategy so that participating institutions will be committed to implementation. The need for a coordination forum will be also enshrined in the strategy. Raising public awareness and interest in PAs and better understanding of PAs' economic roles is expected to make it more likely that the forum will be sustained beyond the project.
116. In support of the above mentioned interventions, a concurrent communication, education and awareness programme will be initiated, targeting key political and institutional decision-makers and PA stakeholders at provincial and local levels. In line with the role assigned to it, the Environmental Protection Bureau will be the lead coordinating agency for this work, in close cooperation with the Provincial Government, especially its Financial Bureau.
117. Key stakeholders who will be involved in the Forum include the following:
- Gansu Forestry Department
  - Gansu Department of Finance
  - Gansu Development and Reform Commission
  - Gansu Department of Agriculture and Animal Husbandry
  - Gansu Department of Water Resources
  - Gansu Environmental Protection Bureau
  - Gansu Tourism Bureau
  - Provincial Government Legislative Office

- Nature reserves directors and staff
- General Station for Forest Technology Extension
- Representatives of Local governments including prefecture, county and township levels
- Representatives from Local communities and residents
- Private sector
- Universities and research organisations
- International and domestic non-governmental conservation organizations, such as WWF, CI, Shan Shui
- Press and media

118. 1.5: Provincial level PA database and knowledge management system developed: A provincial-level PA database will be established to include essential data and information for reserve management. Data could include, inter alia, the basic profiles of each nature reserve and biological, climatic and hydrological data, socio-economic data with particular regard to PA residents and neighbours, maps, ecological research and monitoring results, tourism development/establishments, visitor numbers, and revenues from different income sources. The database will also include any nature reserve management tools such as management plans, tourism development plans, field monitoring systems etc. It will incorporate data and information from other sectors that are relevant to nature reserve management, including mining and prospecting and other commercial activities that may be taking place in and around the PAs.
119. In order to ensure the replicability of conservation outcomes and capture lessons from the Project, in particular the pilot interventions under outcome 2 aiming to demonstrate sustainable PA management, a knowledge management system will also be developed as part of the database development. The knowledge management activities will mine and incorporate lessons from other on-going projects in Gansu and from PA strengthening projects around the world. Knowledge management activities will be instituted in close collaboration with the relevant section of the Gansu Forestry Bureau, which will partly cover the recurrent costs of sustaining the system, and which will ensure staff and budgets are available. The database will also include current investments by different projects and organisations in and around individual PAs as appropriate and METT scores for different PAs, in order to measure progress.
120. Output 1.6 Institutional capacities for effective PA planning and management strengthened: To develop institutional capacity to operationalise the above mentioned outputs, support is rendered for targeted institutional capacity building. In particular, capacity to plan the PA network, provide adequate oversight and support the PAs, capacity to secure adequate financing as well as capacity to engage and build consensus among stakeholders will be targeted. The capacity building activities will primarily focus on the Gansu Forestry Bureau, which manages the vast majority of the PA system in Gansu – i.e. 46 out of 58 nature reserves.
121. Based on the systematic PA development and management strategy, an institutional audit will be conducted to gauge the adequacy of the institutional structure, work processes, human and financial management of the Gansu Forestry Bureau for PA development, management and monitoring and evaluation. The Project will support improving efficiency and effectiveness of human and financial resource management and use for PA management and oversight, including improvement in budgeting system and creation of incentive mechanisms for retaining motivated and capable individuals. The project will also support streamlining of internal communication systems, fostering more regular interactions between provincial level authorities and site level PA management authorities for better exchanges of information and improved support system and monitoring of PA activities and performance.
122. 1.7 Training curricula and institutes are in place at provincial level for enhancing knowledge and skills of PA staff: In tandem with the institutional audit, a capacity and training needs assessment of the Gansu Forestry Bureau will be conducted to direct and support the design of training and mentoring programmes.

This is to include: management planning and related technical issues, financing and budgeting, business planning, tourism management, livelihood support, community consultations and partnership collaboration. A capacity assessment of the in-house training centre of the Gansu Forestry Department, the General Station for Forest Technology Extension, will also be conducted, and support will be rendered to build the capacity of the training centre to ensure its ability to undertake capacity needs assessment (such as through use of Capacity Assessment Scorecards) and offer appropriate high quality capacity building courses and activities. The centre also needs to be able to source necessary budget and expertise from other institutions to offer PA managers access to the training programmes. The actual training programmes will primarily target PA staff at the field demonstration sites contributing to Outcome 2. There will also be a component and training programme focused on training and mentoring the key staff in the head office in Lanzhou in management skills such as budget planning, business planning and effective collaborative management, to complement other outputs.

**Outcome 2: Sustainable PA management and financing demonstrated in Taohe Basin (GEF funding: US\$ 759,750; Government of Gansu Co-financing: US\$ 2,780,000)**

123. Under this outcome, the project will demonstrate sustainable PA management and financing in the Taohe River Basin. Four nature reserves in the basin (three national and one provincial) have been selected to pilot the outputs under Outcome 1. These are Lianhuashan National Nature Reserve, Taizishan Provincial Nature Reserve, Gahai-Zecha National Nature Reserve, and Taohe National Nature Reserve. These reserves were selected collectively based on the biodiversity significance of the area and based on the fact that this is one of the most important watersheds in the middle reaches of the Yellow River. The four nature reserves supply 2,390 million m<sup>3</sup> of water per year to the Taohe River. Taohe River Basin has been identified by Conservation International as a global biodiversity hotspot. It covers 814,000 ha and is located in the northern part of “Mountains of Southwest China”. More than 1,300 plant species, 300 species of birds and 70 species of mammals have been recorded in the area with high levels of endemism.
124. The four demonstration sites share the geographical location in the transitional zone between the Qinghai-Tibet Plateau and the Loess Plateau with predominantly forest system. Therefore, it is envisaged that joint planning and activities, for example in the areas of research, field training, corridor establishment, tourism marketing and community outreach, can lead to reduced costs and increased management effectiveness. The four nature reserves also face similar threats; mainly overgrazing, illegal encroachment and harvesting conducted by a large number of park residents. Given this, the project’s threat reduction strategy under Outcome 2 is to strengthen community outreach and community participation in PA management activities through co-management agreements. Creation of new economic opportunities for local communities is another strategy for threat reduction. See more details of each nature reserve in Annex F: Profile of the four demonstration sites, and in Annex G: METT Scorecards for the nature reserves. The outputs necessary to achieve this outcome are outlined below.
125. Output 2.1: Consistent PA management tools are developed and utilised at the demonstration PA sites with clear action and monitoring mechanisms: The project will support development of a nature reserve management plan for each of the four field demonstration reserves, and associated training. The management plan will be the basis for any nature reserve management and development activities, including any other public, subsistence or commercial activities within the PAs. The management plans will have a clear vision of the biodiversity and socio-economic objectives of the PAs. The plan will be priority focused and action orientated, to facilitate implementation and the achievement of outputs and outcomes with clearly established objectives, guiding principles and actions for each component of nature reserve management – e.g. law enforcement, biodiversity monitoring and research, road and trail maintenance, and tourism concession and visitor management. The plan needs to be linked to an annual cycle of management and oversight, involving the preparation of annual work plans, budgets and reporting. The plan should also be

“principles” based so as to allow decisions to be made against the set principles, rather than trying to plan for each and every possible circumstance and eventuality. Emphasis is to be placed on simple plans that can be readily implemented by nature reserve managers. Wherever possible, coordinated activities between the four nature reserves will be developed, for example research and monitoring activities of shared wildlife. A nature reserve management plan should be based on solid local knowledge and scientific facts, including the number and concentration of species, assemblages and habitats, movement patterns, human settlements and their activities within the PAs. Gaps in management-oriented basic information should be identified and filled. A clear monitoring and reporting mechanism will also be developed as an integral part of the plan. Development of the plans must be fully participatory, involving PA staff on the ground as well as local stakeholders. Four plans should be developed in a coordinated manner with a joint workshop to kick start the initiative, allowing the process to start with everybody looking at the big picture; the entire basin.

126. Output 2.2: Local level biodiversity monitoring and evaluation system in place in the four demonstration PAs: The local level knowledge on biodiversity is a significant gap identified during the PPG phase. A targeted support will be rendered to build an uncomplicated system for biodiversity monitoring to be carried out by PA rangers, in some cases in collaboration with nature reserve residents. The principle underlying this locally based system approach is that monitoring and basic analysis is undertaken entirely by nature reserve management. It is designed to compliment, rather than replace, more sophisticated activities undertaken by the provincial government and/or external scientists. The intention is for the local level biodiversity monitoring system to provide basic information covering a wide variety of topics, for instances wildlife sighting, condition of vegetation, fire, poaching and other illegal activities, legal activities such as permitted harvesting, tourist numbers, revenues etc. The site level information collection system will enable PA managers to apply adaptive management on the basis of solid data. The system will assist the nature reserve staff with reporting to the nature reserve managers and headquarter staff, as well as aid in the evaluation of the work and performance of field based staff. Moreover, it will enable PA managers and provincial government to make informed management decisions whether they be intensification of law enforcement or forest rehabilitation activities, and potentially increase cost efficiencies of operations.
127. Output 2.3: Financial sustainability of the demonstration PAs improved with use of financial planning tools and diversification of revenue streams: Work under this output will support development of an integrated tourism development plan based on the above mentioned management plans. Due to their proximity and geographic connectivity, the integrated tourism development plan will cover all the four sites. Nature reserve tourism development plans will review the current tourism products in PAs and their long-term viability, and will identify the optimal (low impact, high yield) tourism products that nature reserve authorities, private operators and/or communities could invest in, quantifying the potential direct financial benefits. The plans will strictly follow the nature reserve management plan and will ensure that these tourism development opportunities lie within the carrying capacity of the PA, its biodiversity and surrounds. The Plan will also include nature reserve-specific components, identifying actual tourism products and their financial viabilities and economic impacts. The tourism products will not be confined to physical tourism establishments such as hotels and restaurants, but will also include “eco-activity” based tourism products that are compatible with conservation objectives. Tourism product development opportunities that could directly benefit local communities will be actively explored.
128. Building on the nature reserve management and tourism development plans, a business plan for each nature reserve will be developed. A nature reserve business plan establishes in fine detail the actual operational and developmental costs of adequately managing PAs, based on costing of individual nature reserve management activities be they law enforcement, research and monitoring, fire management, community liaison etc. The business plan also defines current income and expenditure situations and identifies opportunities for increasing cost effectiveness of operations by different means such as rationalising operations or through partnerships. In addition, a business plan sets out a financing plan for meeting the necessary costs, using both traditional (e.g. government budget allocation and nature reserve fees) and non-traditional methods ( e.g. trust funds, mining fees, PES and bioprospecting fees). In order to support implementation of the business

plan, the project will foster improvement in budgeting and financial management, through supporting the Forestry Bureau's effort to establish a more accurate system of tracking: (i) the numbers of visitors at each PA; (ii) the income and expenditures of tourism facilities operated by individual PAs; (iii) income and costs for each business enterprise operated by PAs and by the Provincial Forestry Bureau; (iv) revenues generated by local government and other entities from tourism concessions inside national-level and provincial-level PAs.

129. Analysis during project development suggests that the available budget for the four demonstration PAs in the Taohe basin of Gansu in 2009 was 60,510,000 Yuan (US\$ 8.86 million) (Table 6). Overall, the most important sources of funds were project support from the central government (52%) and from provincial government (35%). Entrance fees and seedlings sold from nurseries run by protected areas each constituted 5% of the total funds available.

**Table 6: Current PA finance status of 4 demonstration nature reserves (Chinese Yuan)**

	Lianhuashan	Tao He	Taizishan	Gahai-Zecha	Total for each reserve	% of grand total
Entrance fee	200,000	2,600,000	400,000	0	3,200,000	5
Restaurant	100,000	500,000	250,000	0	850,000	1
Hotel	100,000	500,000	200,000	0	800,000	1
Other tourism services	0	100,000	50,000	0	150,000	0
Souvenir	0	50,000	0	0	50,000	0
Seedling	500,000	300,000	2,000,000	0	2,800,000	5
Donation	0	0	0	0	0	0
Budget from provincial government	4,600,000	4,600,000	10,400,000	1,500,000	21,100,000	35
Project support from Central government	2,500,000	22,740,000	3,320,000	3,000,000	31,560,000	52
Grand Total	8,000,000	31,390,000	16,620,000	4,500,000	60,510,000	100

\*Exchange Rate (April, 2010) : US\$ 1= 6.83 Chinese Yuan

130. The project will assist the four protected areas to increase their finances to 98,690,000 yuan (US\$ 14.45 million). This is based on the preliminary projection carried out by PA staff themselves as shown in Table 7 below. Most of the budget increase is expected to be from central government projects and budgets and from the provincial government. The improved understanding by decision makers on the values of PAs for conservation and development as well as necessary government investment and expected returns achieved under Outcome 1 is expected to increase government funding. This is also supported by enhanced awareness and support from stakeholders that will be generated through PA vision and strategy development and the PA Forum to be established. The PA management and financial planning tools under output 2.1 will assist the park managers in making the case for additional resource allocation based on actual needs. The access to central government programme resources is expected due to enhanced knowledge about different government financing sources that may be available, and improved capacities of Park management to prepare proposals to access such resources. Additional tourism revenue is also expected without increasing pressure on biodiversity, through the Project support at both provincial and site level. Strategies in this regard include improved fee structure, concession awarding and monitoring mechanisms, appropriate planning system for tourism development, and joint destination marketing of the sub-system. Tourism planning exercise for the sub-system will include a market survey and feasibility study of tourism development. Other less conventional means of revenue generation mechanisms including trust funds, PA stewardship programmes, will also be explored through the financing planning exercise.

**Table 7: Potential increases in PA finance by source for 4 Nature Reserves (Chinese Yuan)**

Items	Lianhuashan	Tao He	Taizishan	Gahai-Zecha	Total for each	% of grand total
Entrance fee	600,000	4,000,000	1,200,000	300,000	6,100,000	6.18
Restaurant	300,000	600,000	500,000	50,000	1,450,000	1.47

Hotel	300,000	600,000	500,000	50,000	1,450,000	1.47
Entertainment	300,000	200,000	100,000	0	600,000	0.61
Souvenir	200,000	100,000	0	100,000	400,000	0.41
Seedling	1,000,000	600,000	4,000,000	0	5,600,000	5.67
Donation	100,000	200,000	200,000	50,000	550,000	0.56
Budget from provincial government	7,000,000	5,800,000	15,000,000	2,000,000	29,800,000	30.20
Project support from central government	4,000,000	35,740,000	7,000,000	6,000,000	52,740,000	53.44
Grand Total	13,800,000	47,840,000	28,500,000	8,550,000	98,690,000	100

\*Exchange Rate (April, 2010) : US\$ 1= 6.83 Chinese Yuan

131. Output 2.4: Collaborative approaches between PAs and local PA partners developed, demonstrating improved PA management and cost effectiveness: Partnerships are identified as a key for effective PA management and biodiversity conservation. Partnerships can increase the cost effectiveness of PA management operations and can generate support and additional funding for the PAs. Moreover, partnerships are the key to reduce threats to biodiversity through promoting the participation of PA residents and neighbouring communities while ensuring that tangible benefits accrue to them from the PA system. The project support will be directed to strengthen the capacity of the Gansu Forestry Bureau staff and partners, to forge effective and mutually beneficial alliances to effect optimal collaborative management of shared natural resources. Such management collaboration will be based on clear agreements specifying the rights and responsibilities of each entity and will involve the establishment of a system for monitoring progress and performance. In particular, management arrangements are tested aiming to reduce threats related to overgrazing, forest fires and illegal hunting and harvesting. Incentives for communities need to be developed in tandem with the management arrangements to ensure they are effective and sustainable. These will include the creation of new economic opportunities for local communities to generate income from environmentally sustainable tourism and natural resource harvesting. Local stakeholder consultation fora will be initiated to promote dialogue on co-management and to provide valuable hands-on experience for PA managers and partner groups alike. In addition, the possibility of creating a “Friends of Nature reserves” type support organisation for nature reserve management will be explored. Such a support group would aim to generate awareness about the importance of the PAs and cultivate the material support of individuals and businesses in China and worldwide.

132. In addition, development of partnerships between the four demonstration PAs will be supported. Currently, most of them operate singly and without much active cooperation with each other, despite their shared landscape and threats. An integrated tourism plan to be developed under output 2.3 will reinforce the collaborative approach. Management plans and business plans for individual PAs will also be developed in tandem, in order to maximise the possibility for collaboration and a resulting cost effectiveness of operation. Joint programming and activities will be explored wherever possible, for example in the field of research, monitoring, emergency response, tourism planning and training activities. Regular meetings between the four PAs will be instituted to ensure information exchange, data sharing and joint planning and implementation.

133. Output 2.5: Skills and competencies of PA staff improved with use of a performance management system and the creation of incentive mechanisms: This output will ensure that each PA manager and staff has clear roles and responsibilities and annual performance targets. It also pilots a performance evaluation system. Existing performance evaluation system will be reviewed and updated. The annual planning and reporting system will also be reviewed and updated, according to the new PA management plans to be developed. Incentive mechanisms will be explored to promote improved performance among PA managers and staff. This could include access to training, a clear performance evaluation and recognition system, an award scheme for outstanding performance, the establishment of a small grant scheme that PA managers can access to fund innovative work within the PAs, and increased communication between different PAs for exchange and mutual support. This could also include production of promotional material extolling the beauty and

biodiversity of the PAs and bringing them to the attention of internationally significant tourism operators and the media, in order for PA staff to gain a sense of pride in their nature reserves.

### 2.3 Project Indicators, Risks and Assumptions

134. The project indicators, risks, and assumptions, along with the baseline and target situation are detailed in the Logical Framework (attached in Section II of this document). Key risks and their mitigation measures are noted in the table below. The project will continue to monitor risks and report on them through Risk Logs throughout its implementation.

**Table 8: Risk and Mitigation Measures**

Risks	Risk status	Mitigation
Climate change is likely to increase the occurrence of pests and diseases, forest fires and floods that will negatively affect PAs. The incidence and scale of such events will be unpredictable.	Low to Medium in the short term	The sustainable financing strategy developed under the project will ensure that coping strategies are incorporated within the nature reserves operations framework.
Key national legal reform processes to support the effective PA management and increase financing may not occur within the timeframe of the project	Medium to High	As noted in the project document, Gansu’s protected areas management is guided by an overall national legal framework. Some constraints in the legal framework – such as promoting payment for ecological services by beneficiaries of such services – have been noted in the project document, which cannot be changed at the provincial level. The UNDP-GEF project Priority Institutional Strengthening and Capacity Development to Implement the China Biodiversity Partnership and Framework for Action (GEFSEC ID 2435) is working to establish National legislation on PES/Eco-compensation and Technical PES guidelines, which will also influence the work that can be done at Gansu. It is uncertain as to the time it will take to develop such legislation and guidelines – and thus will directly affect options available at Gansu. The project will ensure close cooperation and coordination with the national project and, as far as possible, provide necessary “ground” information and advocacy to the national project to expedite such critical legal changes.
Other government agencies will not see benefits in coordination and collaboration of nature reserves management and financing	Medium to low	There is a strong commitment from high level policy makers in Gansu to ensure this project’s success. Key government agencies at the province level have been involved in the project design and they have shown commitment to be involved in the project. The project board and other mechanisms identified in this document will ensure their strong cooperation and collaboration.
Local communities will not see benefits in their involvement in conservation and will undermine project efforts	Low	Local community consultations were also held during the project design stage and there is strong interest on the part of local communities to be involved in protected areas decision making. In fact, there is growing realisation that some of the options, like effective grazing management, are win-win for both local communities and protected areas in the long run. The project’s work on community involvement through negotiated contracts and institutionalisation of rewards for natural resources stewardship are expected to reduce conflicts and give people incentives for

		better involvement in conservation efforts. This will be linked with ongoing government work on poverty reduction to maximise positive impacts on their livelihoods as well.
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**2.4 Incremental reasoning and expected global, national and local benefits**

135. Without the GEF support provided through this project, global biodiversity conservation and financing in Gansu will remain at a basic level and will not have wider support from multiple stakeholders- including different government departments and programmes, local communities and the private sector. Without GEF support, institutional, policy reforms, and capacity building will be conducted on an ad hoc basis and at different nature reserves site levels. Whilst some issues of sustainable financing may be addressed, the requisite comprehensive and systemic approach to financing will not occur. Without this GEF project intervention, nature reserves finance related work will continue to largely deal with the cost side of financing, and extremely limited work is likely to be done on seeking cost efficiency and innovative revenue generation and partnerships. Under the baseline, protected areas will continue to be under-resourced and park/people conflicts will continue – with low levels of participation and support by local people for conservation activities. The project’s activities will strengthen the overall policy, legal and institutional arrangements so that they are able to better address threats to biodiversity of global values and sustain their activities through strategic partnerships and sustainable financing. GEF involvement will also ensure strong coordination and collaboration with similar projects and programmes in Gansu, other parts of China, and in the rest of Asia and the world. Lessons from this project will also be better documented and communicated to the wider world so that future programmes benefit from experiences here.

**Relation to other government activities and other donor-supported projects**

136. The project will be linked to the national CBPF process, which will provide a national platform to ensure strong coordination between approved and planned GEF biodiversity projects as well as other relevant initiatives of the Government and development agencies. The project will ensure strong links with other ongoing and planned GEF funded initiatives on protected areas management. In particular, very close links will be established with the recently approved UNDP-GEF project “Priority Institutional Strengthening and Capacity Development to Implement the CBPF”. This UNDP-GEF project is working to establish a national level planning system and framework for biodiversity conservation and national legislation on PES/Eco-compensation. These will directly fill some of the current gaps and limitations of the provincial project. A formal memorandum of cooperation will be drafted between the two projects to ensure strong cooperation and coordination.

137. Other projects include the ongoing UNDP-GEF Biodiversity Management in the Coastal Area of China's South Sea project, the World Bank – GEF Sustainable Forest Development Project, Protected Areas Management Component, the planned UNDP-GEF Strengthening the Effectiveness of the Protected Area System in Qinghai Province, the FAO-GEF Demonstration of Estuarine Biodiversity Conservation Restoration and Protected Area Networking projects. Project Management Unit (PMU) will maintain regular communications with other donor-funded projects in Gansu and with wider initiatives under CBPF. This will include participation in workshops organised by other projects (and *vice versa*), sharing project results and outputs, organisation of joint workshops, and implementation of joint activities, if possible.

138. In Gansu, the project development and implementation will be coordinated with the GEF funded Gansu and Xinjiang Pastoral Development Project (IBRD) which focuses on sustainable grassland management and technical support to local herdsmen through marketing of dairy products to increase benefits. UNDP will

also ensure strong cooperation with the EU-China Biodiversity Conservation Programme, which is executed by UNDP-China and also includes some activities in Gansu.

139. Starting from 2008, the State Forestry Administration has initiated a PA strengthening programme among nearly 2000 PAs managed by SFA, with 51 PAs to pilot PA management effectiveness planning. This initiative will also review extensively the functional area boundaries within PAs to accommodate the changing needs and environment of the PAs. The experiences of the project will have a high potential for replication to all PA management planning.
140. In 2007, the National Development and Reform Commission (NDRC) approved a significant project titled the *Programme on Conservation and Development of Important Water Source Ecological Area of Yellow River in Gannan Prefecture*, which covers the upper reaches of the Taohe River. The central government and local governments will invest a total of approximately US \$650 million during the project's timeframe (2006-2020) to improve the environment and improve water storage capacity in this prefecture. The main components of this Programme include ecological conservation and restoration. With a budget of 1.978 billion RMB, this component will convert 887,900 hectares of pastureland back to natural grassland, undertake integrated control of rodent pests in 1,048,500 hectares of pastureland, undertake integrated management of 180,000 hectares of pastureland threatened by desertification, undertake fire prevention in 236,100 hectares of pastureland, conserve and restore 138,400 hectares of wetlands, protect 157,400 hectares of natural forest, watch over 185,600 hectares of key eco-forests, enclose 22,100 hectares of mountain areas for recovery of natural forests, undertake fire prevention in 47,700 hectares of forest, set up infrastructure facilities in 5 places, implement 2 biodiversity conservation projects and undertake management of a 8,297,500 hectare watershed area of small rivers. 2) *Living and production facility*. With a budget of 2.244 billion RMB, this component will build fixed residences for 73,708 nomadic herdsmen, relocate 2,430 people for ecological purposes, construct 35,000 biogas ponds, provide safe drinking water for 311,700 people, build 19,317 sheds for wintering livestock, establish 8 cattle farms, establish 16 fattening areas for yak and sheep, and establish 16,700 hectare of highland barley. 3) *Enabling system for ecological conservation*. With a budget of 0.163 billion RMB, this component will establish ecological monitoring systems, extend and apply nine practical techniques such as the establishment of biological enclosures of pasture land, and the provision of training to farmers and herdsmen.
141. The nature reserves authorities will be supported to help them capitalise on other ongoing government activities – such as the project noted above and several government initiatives on poverty reduction. Under this initiative, for example, part of the government's poverty reduction programme would be targeted to areas of high global biodiversity so that local people can reduce their dependence on natural resources and instead support conservation. The project will work with the Agriculture Department (which is the leading agency to implement the central government's Western China Poverty Reduction Programme) to analyse the present priority geographic areas of the Programme and identify gaps where PAs and their surrounding areas are not fully covered by the Programme. Possibilities will be explored to get the Programme to target areas of high global biodiversity so that local people can reduce their dependence on natural resources and instead support conservation.

### ***Expected global, national and local benefits***

142. Global benefit: The project focuses on strengthening nature reserves management capacity and financing at the provincial level. This will produce significant global and national benefits by reducing the threats to many globally and nationally endangered species, and by serving as a model for replication and lessons learning by nature reserve systems in other provinces of China and in other countries. The global benefits that will arise are the reduction of pressures on biodiversity through an improvement in PA management effectiveness in Gansu that is managed by the Gansu Forestry Bureau (8,940,529 ha), including predictable financing and overall capacity building that will lead to reduced threats to biodiversity and the improved

biodiversity conservation status in PAs as threats to biodiversity are reduced. This will improve the efficacy of the PA system as a mechanism to address threats, and will improve the management effectiveness and financial sustainability of the PAs at the field demonstration sites in the Taohe river basin. The Taohe river basin is located in the northern part of the "Mountains of Southwest China", which has been categorised as a global biodiversity hotspot by Conservation International (CI). It has several species of global importance, such as the Chinese Grouse (*Bonasa sewerzowi*), and it is also within a distribution area of the Giant Panda (*Ailuropoda melanoleuca*). The area hosts many endemics including 11 genera of plants and animals and 15% of all of the species that are endemic to China. These include the Sichuan Jay (*Perisoreus internigrans*) and the Sichuan Wood Owl (*Strix davidi*), six species of fishes and reptiles and five amphibian species.

143. National and local benefits: These benefits will accrue directly through the conservation and sustainable use of nationally important biodiversity at the project demonstration sites and also indirectly to all of Gansu's protected area. Additional benefits will include the provision of better ecosystem services – such as improved water quality from the watershed in Taohe. Other benefits of the project will be through the extensive capacity building activities of the project from provincial to local levels. These are expected to help in achieving a number of national development (including conservation) objectives as well as local benefits. Improved cost-effectiveness of resource use and contributions to conservation from multiple non-governmental sources is also expected to lead to additional national benefits. Local benefits will largely accrue from improved relationships between the nature reserves, local governments and local communities. Better coordination of activities and improved involvement of all are expected to bring benefits in terms of cost effective use of resources and better monitoring of outcomes.

#### **Country Ownership: Country Eligibility and Country Drivenness**

144. China ratified the Biodiversity Convention on 5 January 1993 and is eligible to receive funding from UNDP. The project has been endorsed by China's national operational focal point for GEF (see attached endorsement letters).
145. The project is highly relevant to national priorities, as shown by its close linkages to China's top priority environmental and biodiversity efforts, including the China Biodiversity Partnership and Framework for Action (CBPF), which is China's primary investment strategy for biodiversity conservation. The CBPF, in turn, will assist in implementing the China National Biodiversity Strategy and Action Plan, which is currently being revised.
146. The proposed Project is well aligned with several national and provincial policies and programmes. The 11th National Five-year Plan (2006 - 2010) identifies "protecting the eco-environment" as a key strategy and clearly stipulates the principle that "the explorer is responsible for protection". One of the key principles guiding China's Western Development Strategy over the 11th Five Year Plan period is the need to strengthen on-going ecological construction and environmental protection activities. It emphasises the need for sustainable use of natural resources to provide ecological security for the Western Provinces. The 11th Five Year Plan of Gansu Province includes actions to support integrated planning and implementation of ecological protection and integrating watershed management. The Plan also gives high priority to natural forest resources and wildlife protection, setting up and strengthening existing nature reserve management, and protection of water source supply areas of the Yellow River.
147. The project is also consistent with China's 11th Five-Year National Socio-economic Development Plan (2006-2010) which specifies "developing the recycling economy, protecting the environment and speeding up the construction of a resource-saving and environment-friendly society" as one of its core strategies.

148. This project also conforms to China's Millennium Development Goals (MDG), its United Nations Development Assistance Framework (UNDAF) and UNDP's Country Programme Document (CPD). For example, MDG 7, Target 9 seeks to integrate the principles of sustainable development into policies and programmes and reverse the loss of environmental resources, while China's UNDAF (2006-2010) includes an outcome on "more effective conservation and sustainable use of biodiversity."

### ***Sustainability***

149. The project design pays substantial attention to the issue of sustainability. Various elements of sustainability are supported as follows:

150. Environmental sustainability is inherent to the entire project design, given its focus on improving nature reserves management capacity and cost effectiveness of existing activities, while simultaneously pursuing improvements to PAs revenue-generating capacity and benefits from the PAs to communities. Thorough tourism planning exercise with strong environmental assurance element will serve as a model for environmentally sensitive tourism development and design. The environmental sustainability of the project will be monitored through relevant sections of METT scorecards.

151. Social sustainability is strongly supported by the project, which emphasises the integration of poverty alleviation with biodiversity conservation at the 4 demonstration sites by creating new economic opportunities for local communities to generate income from environmentally sustainable tourism and environmentally sustainable harvesting of non-timber forest products. It will also ensure the long-term continuation and increase in environmental services provided by PAs (such as watershed conservation, control of erosion, and mitigation of climate change) which are necessary for local people's livelihoods. This will be done through exploring potential for hydropower companies and other large beneficiaries of such ecosystem services to pay for said ecosystem services, in close collaboration with the national level UNDP/GEF CBPF institutional strengthening project. Inclusive approaches will be considered with regards to PA management planning, revenue generation, and overall benefits sharing. Specifically, community involvement and management of PAs will be linked to improved management of the PA systems as well as alternative funding opportunities. The project will place strong emphasis on promoting gender equity in its actions, thereby further aiding social sustainability.

152. Strong provincial government commitment to the project represents an important indicator of institutional sustainability. This includes specific commitments on the part of the Provincial Government to maintain support for PA management and financing, and more sustainable land use practices. The project will build on current institutional structures to deliver project outcomes and new arrangements proposed such as coordination mechanisms are such that they have low cost and other implications for the government and are expected to bring about significant benefits and government commitment to make them sustainable.

153. In terms of financial sustainability: One of the key outcomes the project seeks to address is financial sustainability of protected areas management in Gansu – therefore the project has strong emphasis on financial sustainability. In addition to building capacities to plan and implement business plans to reduce funding gaps to PAs, the project has also been designed to be cost effective. This project is considered more cost effective to an 'alternative' scenario of nature reserves expansion or taking a mainstreaming approach in Gansu to achieve global biodiversity conservation objectives. Since Gansu already has a large nature reserves estate under poor management, improving their effectiveness based on strengthening current arrangements would be more cost effective than establishing new PAs and their new management structures or having to build significant investment across multiple sectors in mainstreaming. In fact, the current approach will have effective nature reserves management and additionally biodiversity mainstreaming impacts – through better coordination with other sectors and involvement of local communities and the

private sector. Additionally, the project's strategy of promoting local involvement in nature reserves management, meanwhile, would be socially and operationally more sustainable, and therefore more cost-effective in the long run. Rather than investing in PA expansion this project addresses the issues of "fixing the basics" – including the management effectiveness of PAs in addressing pressures to biodiversity and sustainable financing. This is because Gansu already has an extensive nature reserves estate that is not being managed effectively. The focus on sustainable financing will also be more cost effective than the baseline scenario of funding PAs largely mainly through government budgetary support. The more inclusive nature reserves management model this project seeks to promote is also expected to lead to cost-effective use of resources resulting from increased transparency and accountability of nature reserves managers.

## **Replicability**

154. The project has been designed with replication in mind. Each of the project's outcomes will include lesson generation, dissemination and replication through training, workshops, and communication, all of which are expected to enhance the prospects for replication. Replicability is also enhanced by the project's cost effectiveness. The project has designed several mechanisms for replication. Firstly, the project will build capacity of Gansu Forestry Bureau and other agencies to undertake effective actions on protected area management strengthening and financing – and link strongly with actions at demonstration sites through targeted coordination and lessons learning actions. These will also include frequent sharing of lessons from demonstration sites to wider provincial level through periodic meetings, joint training and exposure visits to demonstration PAs.
155. The project's actions will also be replicable in other similar projects being designed for other provinces in China through coordination with the China Biodiversity Partnership and Framework for Action. The project implementation will include mechanisms for linking with wider stakeholders nationally through this mechanism.

## SECTION II: STRATEGIC RESULTS FRAMEWORK AND GEF INCREMENT

### Part I: Incremental Cost Matrix

Benefits	Baseline (B)		GEF Project Alternative (A)		Increment (I = A-B)	
Domestic Benefits	Gansu's PAs continue to provide multiple biodiversity benefits, ecosystem services, and tourism opportunities, but in steadily declining amounts as processes of environmental degradation spread and deepen.		Economically valuable biodiversity, ecosystem services and tourism revenue generating potential are being better managed through targeted planning, active policy measures and increased capacities. PAs in other provinces of China also benefit from a demonstration effect.		Long-term higher and more sustainable levels of effective biodiversity conservation ecosystem services, and tourism functions.	
Global Benefits	Opportunities to conserve globally significant biodiversity are missed at most of Gansu's 58 PAs IEFAs, due to lack of sufficient capacity and lack of sufficient revenue for effective nature reserves management, unplanned development, conflicts between different government sectoral departments, and unsustainable resource use (particularly overgrazing).		Proposed new policies, regulations and institutional mechanisms provide tools and lessons to enable policy makers and land users to incorporate conservation into policies and practices.		<p>Globally significant biodiversity at the 4 Taohe demonstration site PAs, including rare and threatened species of medicinal plants and animals, and other species of global significance face enhanced prospects for survival.</p> <p>Gansu's PAs are increasingly sustainable thanks to increased revenues from PES and increased revenues from better planned and managed tourism.</p> <p>Globally significant biodiversity at PAs across Gansu faces reduced long-term extinction risk.</p>	
Outcomes	Baseline (US\$ over 4-year period)		GEF Project Alternative		Increment	
<b>Outcome 1:</b> Strengthened provincial policy framework and institutional capacity for sustainable management and financing of	Gansu Provincial Government	1,200,000	Gansu Provincial Government	3,900,000	Gansu Provincial Government	2,700,000
			GEF	804,450	GEF	804,450
	Total:	1,200,000	Total:	4,704,450	Total:	3,504,450

Gansu's PA system						
<b>Outcome 2:</b> Sustainable PA management and financing demonstrated in Taohe Basin	Gansu Provincial Government	1,500,000	Four PAs of Taohe River Basin GEF	4,280,000 759,750	Four PAs of Taohe River Basin GEF	2,780,000 759,750
	Total:	1,500,000	Total:	5,039,750	Total:	3,539,750
<b>Project Totals:</b>	Gansu Provincial Government	2,700,000	Gansu Provincial Government GEF	8,180,000 1,564,200	Gansu Provincial Government GEF	5,480,000 1,564,200
	Total:	2,700,000	Total:	9,744,200	Total:	7,044,200

Note: Project management cost is not a part of above captioned incremental cost analysis. Project management total cost is US\$ 1,973,800, of which US\$ 173,800 is GEF financing, and US\$ 1,800,000 is co-financing.

## Part II: Logical Framework Matrix

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Objective</b> To strengthen protected areas' sustainability in Gansu Province through improved effectiveness of PA management and sustainable financing	Financial sustainability score (%) for national systems of protected areas	32.5%	70%	Annual Financial Sustainability Scorecard	<u>Assumptions:</u> – The government commits to an incremental growth in the grant funding allocation to finance the protected area network  <u>Risks:</u> – Climate change related and other natural disaster drastically shift the priorities of the national and provincial governments
	Improved management effectiveness of 8,940,529 ha of nature reserves managed by the Gansu Forestry Bureau as per average METT scores	65	75	METT applied at Mid-Term and Final Evaluation	
<b>Outcome 1</b> Strengthened provincial policy framework and institutional capacity for sustainable management and financing of Gansu's PA system	At least 200% increase in the available total annual budget for PA management and development activities in Gansu province	14.8	44.4	Financial reports of the Gansu Forestry Bureau Financial reports of the State Forestry Administration	<u>Assumptions:</u> – Legislative and regulatory adjustments are supported and adopted by Government, and provide for enabling framework for co-management – Sectoral agencies and departments are willing to participate and collaborate at the coordination forum – It is possible to change relevant policies and regulations at the provincial and/or local level without requiring changes at the national level  – PA staff have proper training and equipment to collect and analyze data
	“Capacity to implement policies, legislation, strategies and programmes” component of the Capacity Scorecard	54.2%	65%	Capacity Scorecard assessment	
	“Capacity to engage and build consensus among all stakeholders” component of the Capacity Scorecard	56.7%	65%	Capacity Scorecard assessment	
	Presence of the PA system wide strategy and planning framework for effective management adopted at the PA Council meeting by relevant stakeholders	No such strategy exist	Strategy formulated and adopted by stakeholders PA Council established and meeting regularly	Strategy document Meeting minutes	

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
	New comprehensive PA Database exists strengthening the effective use of limited human and financial resources	No PA Database exists	Database maintained and regularly updated	Database Frequency of updates	<u>Risks:</u> The legal reform processes to support the effective management and increase financing prolonged and drawn out
<b>Outputs:</b> 1.1: Systematic PA development and management strategy adopted by Provincial Government 1.2: Economic valuation of the PA system in Gansu conducted and a PA system financing plan developed 1.3: Legislative and regulatory framework for the PA system in Gansu improved 1.4: Gansu PA Forum established with the sectoral agencies and stakeholders aiming to enhance PA management effectiveness 1.5: Provincial level PA database and knowledge management system developed 1.6: Institutional capacities for effective PA planning and management strengthened 1.7: Training curricula and institutes are in place at provincial level for enhancing knowledge and skills of PA staff					
<b>Outcome 2</b> Sustainable PA management and financing demonstrated in Taohe sub-system	Improved management effectiveness as per METT scores for individual sites - Lianhuashan National NR - Taizishan Provincial NR - Gahai-Zecha National NR - Taohe National NR	60 55 73 73	69 64 84 84	METT applied at Mid-Term and Final Evaluation	<u>Assumptions:</u> – Stakeholder institutions constructively engage in the development of a PES scheme – Individual PAs will continue to be able to retain its income  <u>Risks:</u> - Resident and neighbouring communities do not see sufficient benefit to enter into co-management agreements
	Number of park planning tools developed and implemented in the demo PAs - Management Plan - Business Plan - Tourism Plan	0 0 0	3 3 1	Park Management and Business Plans for each of the four parks An integrated tourism development plan for the four parks	
	Increase in park revenue/budget (CNY million) - Lianhuashan National NR - Taizishan Provincial NR - Gahai-Zecha National NR - Taohe National NR	8 16.6 4.5 31.4	11.5 25.4 6.5 39.4	Audited financial reports of individual PAs	

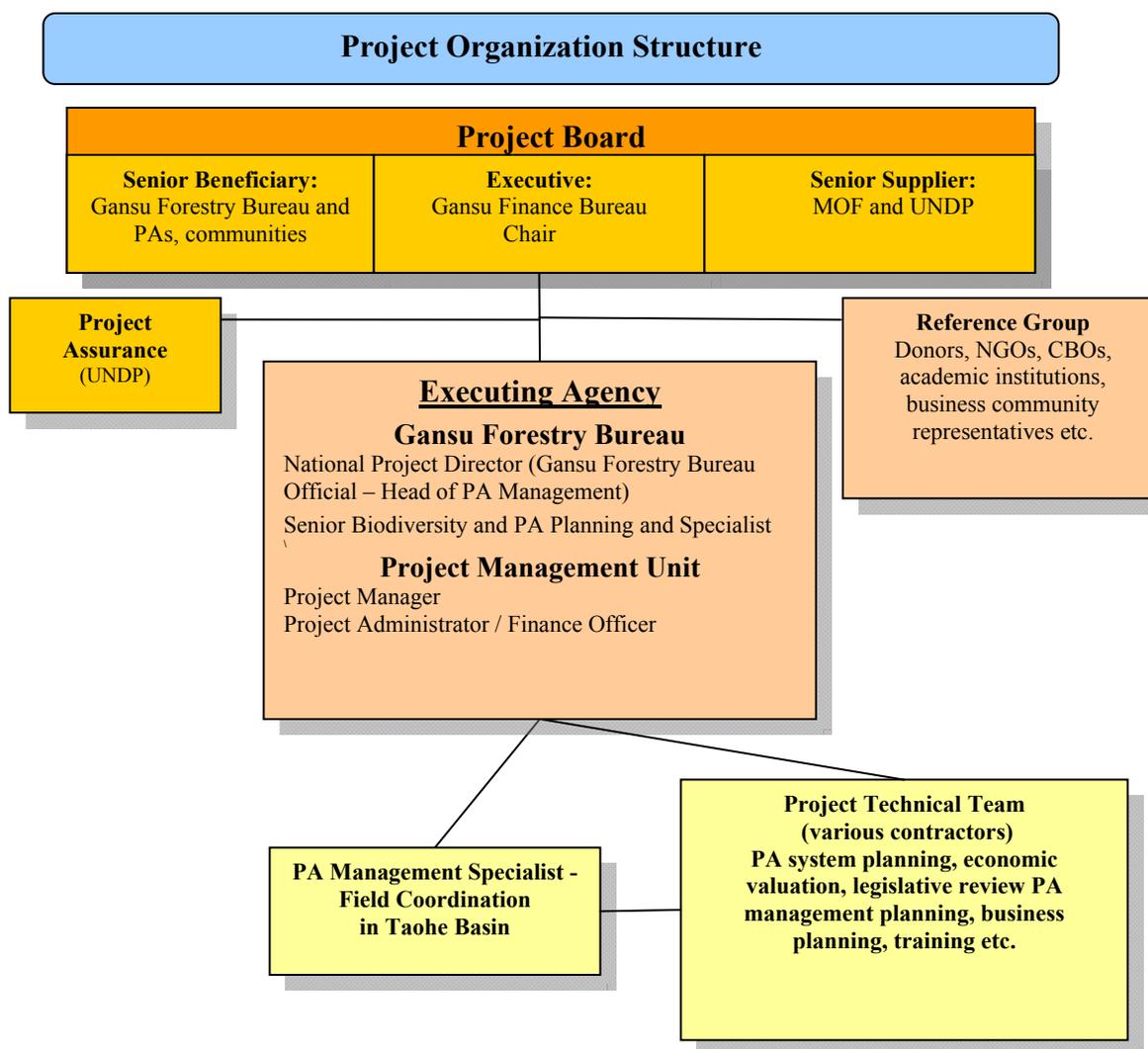
Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
	Systematic local level biodiversity monitoring system enhancing PA management	No mechanism for monitoring exist	Monitoring mechanism in place	Annual biodiversity monitoring report	
	PA staff completing specialised training and/or skills development programmes - Short course training - Mentoring programme - Train-the-trainers programme	0 0 0	20 5 5	Training reports Project reports	
	Reduced threats to PAs: Number of co-management agreements with resident communities reducing threats related to overgrazing, forest fire and illegal hunting and harvesting.	0	20	Co-management agreements <sup>9</sup> Existence of community groups promoting conservation compatible livelihoods	
	Increased cost efficiency of PA management: Number of joint and PA management activities between the four demonstration PAs leading to increased cost efficiency of PA management	0	10	Management plans Joint planning mechanisms and implementation status	
<b>Outputs</b> 2.1: Consistent PA management tools are developed and utilised at the demonstration PA sites with clear action and monitoring mechanisms installed 2.2: Local level biodiversity monitoring and evaluation system in place in the four demonstration PAs 2.3: Financial sustainability of the demonstration PAs improved, with use of financial planning tools and diversification of revenue streams 2.4: Collaborative approaches between PAs and local partners developed, demonstrating improved PA management and cost effectiveness 2.5: Skills and competencies of PA staff improved with use of performance management system and creation of incentive mechanisms					

<sup>9</sup> During the project each agreement will include how the threat reduction would be measured on a case by case basis.

### **Part III. Project Management Arrangements**

156. The project's implementation and execution arrangements will focus on maintaining strong collaboration and cooperation, and avoid duplication of effort, among protected area conservation initiatives in the country.
157. The project will be implemented over a period of five years. The project will be executed by the Gansu Provincial Government of the Republic of China (hereinafter referred to as Executing Agency) following UNDP guidelines for nationally executed projects (NEX), as well as in line with the programme and operations policies and procedures (POPP) and principles of results-based management. The International Cooperation Department of the Ministry of Finance of People's Republic of China and Gansu Forestry Bureau on behalf of Gansu Provincial Government will sign a grant agreement with UNDP, while the Executing Agency will be accountable to UNDP for the disbursement of funds and the achievement of the project objective and outcomes, according to the approved work plan. In particular, the Executing Agency will be responsible for the following functions: (i) coordinating activities to ensure the delivery of agreed outcomes; (ii) certifying expenditures in line with approved budgets and work-plans; (iii) facilitating, monitoring and reporting on the procurement of inputs and delivery of outputs; (iv) coordinating interventions financed by GEF/UNDP with other parallel interventions; (v) approval of Terms of Reference for consultants and tender documents for sub-contracted inputs; and (vi) reporting to UNDP on project delivery and impact. Gansu Finance Bureau will open a special account specifically for the project and certify expenditures in line with approved budgets and work-plans.
158. The Gansu Forestry Bureau will nominate a high level official who will serve as the National Project Director (NPD) for the project implementation. The NPD will chair the Project Board (PB) meetings, and be responsible for providing government oversight and guidance to the project implementation. The NPD will not be paid from the project funds, but will represent a Government in kind contribution to the Project.
159. The project will establish a Project Board to act as the project steering committee and a Project Management Unit (PMU), which will be located at the Gansu Forestry Bureau in Lanzhou. The Project Board and PMU will be instrumental in conveying the messages/outcomes of actual site work to relevant central bodies and make use of them in developing new policies. The overall programme management structure of the project is shown below:
160. The Project Board: A Project Board (PB) will be set up at the inception of the project to serve as the project's decision-making body. PB will provide strategic oversight and direction to the project and monitor the project delivery according to the annual work plan. The PB will have three roles: Executive: Gansu Finance Bureau representing the Gansu Provincial Government, Senior Suppliers (representatives from Ministry of Finance and UNDP) who provide guidance regarding the technical and overall feasibility of the project, and Senior Beneficiaries (representatives from Gansu Forestry Bureau and four PAs from Taohe River Basin) who ensure that the project benefits reach the intended beneficiaries. The PB will meet at least quarterly and the Project Management Unit (PMU) will act as its secretariat. The PB is responsible for making executive management decisions, including approval of work plans, budget plans, project revisions and major deliverables of the project. The PB will also provide guidance regarding the technical feasibility of the project, and ensure the realisation of project benefits to the project beneficiaries. Specifically the PB will be responsible for: (i) achieving co-ordination among the various government agencies; (ii) guiding the programme implementation process to ensure alignment with national and local statutory planning processes and sustainable resource use and conservation policies, plans and conservation strategies; (iii) ensuring that activities are fully integrated between the other developmental initiatives in the region; (iv) overseeing the work being carried out by the implementation units, monitoring progress and approving reports; (v) overseeing the financial management and production of financial reports; and (vi) monitoring the effectiveness of project implementation. The Board will also ensure that the project is well linked with CBPF.

**Figure 2: Project Management Structure**



161.

162. The Project Management Unit (PMU): The project administration and coordination between central and field divisions / offices within the Gansu Forestry Bureau and relevant organizations will be carried out by a PMU under the overall guidance of the Project Board. The PMU will be headed by the National Project Director (NPD), an appointed official of the Gansu Forestry Bureau, who will be the focal point to provide overall guidance to the Project Management Unit members who are hired on the project budget. The PMU members include a project manager and a project administrator and finance officer.

163. More specifically, the role of the PMU will be to: (i) ensure the overall project management and monitoring according to UNDP rules on managing UNDP/GEF projects; (ii) facilitate communication and networking among key stakeholders; (iii) organise the meetings of the PB; and (iv) support the local stakeholders. The PM has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Project Board and is responsible for day-to-day management and decision making for the project. The PM will also lead and manage the policy issues required for the success of this project. The PM will be assisted by an Administrative Team (administrative and finance assistant, office support, translator/secretary,

driver). The project manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. Responsibilities include the preparation of progress reports which are to be submitted to the members of the PB. The project coordinator will also coordinate directly with UNDP. A monthly meeting between UNDP and the project management team will be held to regularly monitor the planned activities and their corresponding budgets in the project's Annual Work Plan (AWP).

164. PMU will be technically assisted by the Senior Biodiversity and PA Planning Specialist attached to the NPD's office, working side by side with the Gansu Forestry Bureau officials. A PA management specialist / field coordinator will be based in the field demonstration area, providing technical support to the field demonstration activities. The PA Management Specialist will ensure the coordination and effective liaising between the PMU and demonstration site level partners and the PA staff as well as between the PA staff and local stakeholders in particular the resident and neighbouring communities. Project Technical Teams, will consist of national and international consultants to provide technical support to project implementation (see Annex 3: Terms of References for Key Project Staff).
165. The Gansu Forestry Bureau and its PA management staff will be assigned to work in partnership with members of the project management unit to enhance the mutual learning process during project implementation. This will especially be true at the national level with PM and the senior specialist and at the PAA regional level with the project field coordinator and Project Technical Team experts.
166. Reference Group: A reference group will be established to assist the project in technical issues and to ensure coordination, consisting of representatives from academic institutions, NGOs and CBOs working in relevant field. The Group will also include other donors and projects, in particular other GEF projects in the field of biodiversity and natural resources management for Gansu Forestry Bureau to better ensure aid coordination and coherence to capacity development needs. The PM will coordinate and solicit necessary inputs from the group members. .
167. Project Assurance: The Project Assurance function will be performed by UNDP. The function supports the Project Board by carrying out objective and independent project oversight and monitoring functions. The role ensures appropriate project management milestones are managed and completed. Project Assurance has to be independent of the Project Manager; therefore the Project Board cannot delegate any of its assurance responsibilities to the Project Manager or the Project Management Specialist.
168. In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgment to GEF.
169. In line with the United Nations reform principles, especially simplification and harmonization, the Annual Work Plan (AWP) will be operated with the harmonized common country programming instruments and tools, i.e. the UNDAF results matrix and monitoring and evaluation tools. At the day-to-day operational level, ATLAS will be used for keeping track of timely and efficient delivery of the activities and for effective financial monitoring under the AWP.

#### Project Inception Phase

170. A Project Inception Workshop (IW) will be conducted within the first 2 months of project start, with the full project team, relevant government counterparts, and representatives from pilot sites, co-financing partners, the UNDP, and representation from the UNDP-GEF RCU as appropriate. Key objective of this Inception Workshop will be to assist the project team to understand and take ownership of the project's goal and objective, as well as finalize preparation of the project's first annual work plan on the basis of the Strategic Results Framework. This will include refining the log

frame (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalizing the Annual Work Plan (AWP) with precise and measurable performance indicators.

171. Additional objectives of the IW will be to: (i) introduce project staff with the UNDP-GEF team which will support the project during its implementation, namely the CO and responsible Regional Coordinating Unit (RCU) staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and RCU staff vis à vis the project team; (iii) provide a detailed overview of UNDP-GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Review Report (ARR), as well as mid-term and final evaluations.
172. The IW will provide an opportunity to inform the project team on UNDP project related budgetary planning, budget reviews, and mandatory budget re-phasing. The IW will also highlight the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and decision-making structures will be discussed again, as needed, to clarify each party's responsibilities during the project's implementation.

#### Monitoring responsibilities and events

173. A detailed schedule of project review meetings will be developed by the project team and incorporated in the Project Inception Report (PIR). Such a schedule will include: (i) tentative time frames for Project Board Meetings and (ii) project related Monitoring and Evaluation activities. Day-to-day monitoring of implementation progress will be the responsibility of the Project Coordinator based on the project's Annual Work Plan and its indicators. The Project Coordinator will inform UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion. The Project Coordinator will fine-tune the progress and performance/impact indicators of the project – both full project and subsets of indicators at the PA demonstration site levels - in consultation with the full project team at the Inception Workshop with support from UNDP-CO and assisted by the UNDP-GEF Regional Coordinating Unit.
174. Measurement of impact indicators related to global biodiversity benefits will occur according to the schedules defined in the Inception Workshop, using METT scores.
175. Periodic Monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities. UNDP Country Offices and UNDP-GEF RCUs as appropriate, will conduct yearly visits to projects that have field sites, or more often based on an agreed upon schedule to be detailed in the project's Inception Report / Annual Work Plan to assess first hand project progress. Any other member of the Project Board can also accompany, as decided by the Board. A Field Visit Report will be prepared by the CO and circulated no less than one month after the visit to the project team, all project Board members, and UNDP-GEF.
176. Annual Monitoring will occur through the Tripartite Review (TPR). This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to TPR at least once every year. The first such meeting will be held within the first twelve months of the start of full implementation. The project proponent will prepare an Annual Project Report (APR) and submit it to UNDP-CO and the UNDP-GEF regional office at least two weeks prior to the TPR for review and comments. The APR will be used as one of the basic documents for discussions in the TPR meeting. The project proponent will present the APR to the TPR, highlighting policy issues and recommendations for the decision of the TPR participants. The project proponent also informs the participants of any agreement reached by stakeholders during the

APR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if necessary.

177. In addition, the project team will coordinate Peer Reviews each year during the project, whereby protected area managers from protected areas within Gansu will be invited to evaluate the relevance of the project to their protected areas and the PA system. Feedback from these reviews will provide the project team and the Gansu Forestry Bureau with guidance and inputs into appropriate adjustments and highlight aspects of the project to communicate to the PA system more broadly.

### Project Reporting

178. The Project Manager in conjunction with the UNDP-GEF extended team will be responsible for the preparation and submission of the following reports that form part of the monitoring process. The first six reports are mandatory and strictly related to monitoring, while the last two have a broader function and the frequency and nature is project specific to be defined throughout implementation.
179. A Project Inception Report will be finalized immediately following the Inception Workshop. It will include a detailed First Year/ Annual Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide project implementation. This Work Plan will include the dates of specific field visits, support missions from the UNDP-CO or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the AWP, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame. The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, the UNDP Country Office and UNDP-GEF's Regional Coordinating Unit will review the document.
180. Periodic Thematic Reports: As and when called for by CBPF Secretariat, UNDP, UNDP-GEF or the Implementing Partner, the project team will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNDP and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. UNDP is requested to minimize its requests for Thematic Reports, and when such are necessary will allow reasonable timeframes for their preparation by the project team.
181. Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APRs. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.
182. An Annual Review Report (ARR) shall be prepared by the Project Coordinator and shared with the Project Board. As a self-assessment by the project management, it does not require a cumbersome preparatory process. As minimum requirement, the Annual Review Report shall consist of the Atlas

standard format covering the whole year with updated information for each element of the PPR as well as a summary of results achieved against pre-defined annual targets at the project level. As such, it can be readily used to spur dialogue with the Project Board and partners. An ARR will be prepared on an annual basis prior to the Project Board meeting to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The ARR should consist of the following sections: (i) project risks and issues; (ii) project progress against pre-defined indicators and targets and (iii) outcome performance.

183. The Project Implementation Review (PIR) is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. Once the project has been under implementation for a year, a Project Implementation Report must be completed by the CO together with the project team. The PIR should be prepared and discussed with the CO and the UNDP/GEF RCU.
184. Project Terminal Report: During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities. The project proponent is responsible for preparing the Terminal Report and submitting it to UNDP-CO and RBAP-GEF's Regional Coordinating Unit. It shall be prepared in draft at least two months in advance of the TTR in order to allow review, and will serve as the basis for discussions in the TTR. The terminal tripartite review considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of project results, and acts as a vehicle through which lessons learnt can be captured to feed into other projects under implementation of formulation. The TPR has the authority to suspend disbursement if project performance benchmarks are not met. Benchmarks will be developed at the Inception Workshop, based on delivery rates, and qualitative assessments of achievements of outputs.

#### Independent evaluations

185. The project will be subjected to at least two independent external evaluations as follows: An independent Mid-Term Evaluation will be undertaken at the mid-point of the project lifetime. The Mid-Term Evaluation will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term evaluation will be prepared by the UNDP CO based on guidance from the UNDP-GEF Regional Coordinating Unit. The GEF METT will be updated at the midpoint of the project as well as appropriate tracking of co-financing.
186. An independent Final Evaluation will take place three months prior to the terminal Project Board meeting, and will focus on the same issues as the mid-term evaluation. The final evaluation will also look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the UNDP-GEF Regional Coordinating Unit. The final update of GEF METT will be undertaken at the final evaluation of the project as well as appropriate tracking of co-financing.

### Learning and knowledge sharing

187. The project will develop a communications strategy at the beginning of project implementation. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. In addition, the project will participate, as relevant and appropriate, in UNDP/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identifying and analyzing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP/GEF shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. These lessons will be shared widely throughout Gansu to help develop and initiate ongoing projects and new initiatives and also widely throughout China through CBPF. Such mechanism for sharing may include newsletter, websites, and technical and general publications as appropriate. Partnerships will also be developed with government run media in Gansu and beyond to share lessons from the project.
188. Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team will determine if any of the Technical Reports merit formal publication, and will also (in consultation with UNDP, the government and other relevant stakeholder groups) plan and produce these Publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

### Audit Clause

189. The Government of China will provide the Resident Representative with certified periodic financial statements and an annual audit of the financial statements relating to the status of GEF funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted according to UNDP financial regulations, rules and audit policies by the legally recognized auditor of the Government of China, or by a commercial auditor engaged by the Government.

190. The M&E plan is summarized in the Table 1 below.

*Table 1: Indicative Monitoring and Evaluation Work plan and corresponding Budget*

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team Staff time</i>	Time frame
Inception Workshop	<ul style="list-style-type: none"><li>▪ Project Management Unit</li><li>▪ UNDP China</li><li>▪ UNDP GEF RCU</li></ul>	\$10,000	Within first two months of project start up
Inception Report	<ul style="list-style-type: none"><li>▪ Project Management Unit</li><li>▪ UNDP CO</li></ul>	None	Immediately following IW
Measurement of	<ul style="list-style-type: none"><li>▪ Hired Third Party Assessment</li></ul>	\$2,000	During Inception

Means of Verification for Project Purpose Indicators			Phase
Measurement of Means of Verification for Project Progress and Performance	<ul style="list-style-type: none"> <li>▪ Project Management Unit</li> <li>▪ UNDP China</li> <li>▪ UNDP GEF</li> </ul>	None	Annually
Annual Progress Report (APR) and Project Implementation Report	<ul style="list-style-type: none"> <li>▪ Project Management Unit</li> <li>▪ UNDP China</li> <li>▪ UNDP-GEF</li> </ul>	None	Annually
Tripartite Review (TPR) and TPR report	<ul style="list-style-type: none"> <li>▪ Government Counterparts</li> <li>▪ Project Management Unit</li> <li>▪ UNDP China</li> <li>▪ UNDP-GEF</li> </ul>	None	Annually, upon receipt of APR
Project Board Meetings	<ul style="list-style-type: none"> <li>▪ Project Management Unit</li> <li>▪ UNDP China</li> </ul>	None	Following Project IW and subsequently at least annually
Mid-term Review	<ul style="list-style-type: none"> <li>▪ Hired third-party assessment</li> </ul>	\$40,000	At the end of the second year
Periodic status reports (incl. CDRs, Issues Log, Risk Log, Lessons Learned, Terminal Report)	<ul style="list-style-type: none"> <li>▪ Project Management Unit</li> </ul>	\$10,000	Periodic as required
Technical reports	<ul style="list-style-type: none"> <li>▪ Project Management Unit</li> <li>▪ consultants</li> </ul>	\$5,000	To be determined by Project Team and UNDP-CO
Audit	<ul style="list-style-type: none"> <li>▪ UNDP China</li> <li>▪ Project team</li> </ul>	\$5,000	Annually
Visits to field sites ( <u>excluding</u> UNDP staff travel costs)	<ul style="list-style-type: none"> <li>▪ Government representatives and others (such as peer group)</li> </ul>	\$15,000	Annually
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Hired third-party assessment</li> </ul>	\$40,000	3 months before the project ends.
<b>TOTAL INDICATIVE COST <i>Excluding project team staff time expenses</i></b>		<b>\$127,000</b>	

## PART V: LEGAL CONTEXT

191. This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in Standard Basic Assistance Agreement (SBAA) and all Country Programme Action Plan (CPAP) provisions apply to this document.

192. Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.
193. The implementing partner shall:
- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.
194. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.
195. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

### SECTION III: Total Budget and Work Plan

<b>Award ID:</b>	TBD									
<b>Award Title:</b>	TBD									
<b>Project ID:</b>	TBD									
<b>Project Title:</b>	Strengthening globally important biodiversity conservation through protected area strengthening in Gansu Province									
<b>Executing Agency:</b>	Gansu Provincial Government									
GEF Outcome/Atlas Activity	RespParty (IA)	SoF	Atlas Budget Account Code	Input	Amount (USD) Year 1	Amount (USD) Year 2	Amount (USD) Year 3	Amount (USD) Year 4	Total (USD)	Budget Notes
<b>OUTCOME 1: Strengthened provincial policy framework and institutional capacity for sustainable management and financing of Gansu's PA system.</b>	Gansu Forestry Department and UNDP	GEF	71200	International Consultants	0	8,000	0	8,000	16,000	A
		GEF	71300	Local Consultants	30,000	100,000	40,000	9,250	179,250	B
		GEF	72100	Contractual Services - Companies	50,000	100,000	78,000	40,000	268,000	C
		GEF	71600	Travel	13,000	18,000	7,500	1,500	40,000	D
		GEF	72200	Equipment and furniture	50000	100000	30000	20,000	200,000	E
		GEF	74200	Audiovisual and printing production	2000	4000	4000	10,000	20,000	F
		GEF	74500	Miscellaneous Expenses	20,000	20,000	20,000	21,200	81,200	G
					<b>Total Outcome 1</b>	<b>165,000</b>	<b>350,000</b>	<b>179,500</b>	<b>109,950</b>	<b>804,450</b>
<b>OUTCOME 2: Sustainable PA management and financing demonstrated in Taohe Basin.</b>	Gansu Forestry Department and UNDP	GEF	71200	International Consultants	24,000	24,000	0	0	48,000	H
		GEF	71300	Local Consultants	45,000	86,000	85,000	16,500	232,500	I
		GEF	72100	Contractual Services - Companies	20,000	98,750	80,000	40,000	238,750	J
		GEF	71600	Travel	6,000	11,000	11,000	2,000	30,000	K
		GEF	74200	Audiovisual and printing production	2,000	4,000	4,000	10,000	20,000	L
		GEF	74500	Miscellaneous Expenses	40,000	65,000	55,000	30,500	190,500	M
					<b>Total Outcome 2</b>	<b>137,000</b>	<b>288,750</b>	<b>235,000</b>	<b>99,000</b>	<b>759,750</b>
<b>Project Management</b>	Gansu Forestry Department and UNDP	GEF	71300	Contractual services / individual	34,000	34,000	34,000	34,000	136,000	N
		GEF	71600	Travel	3,000	3,000	3,000	3,000	12,000	O
		GEF	72500	Office facility / supplies	10,000	0	0	0	10,000	P
		GEF	74500	Miscellaneous	3,950	3,950	3,950	3,950	15,800	Q
					<b>SUBTOTAL</b>	<b>50,950</b>	<b>40,950</b>	<b>40,950</b>	<b>40,950</b>	<b>173,800</b>
			<b>TOTAL (GEF)</b>	<b>354,000</b>	<b>681,750</b>	<b>454,000</b>	<b>248,250</b>	<b>1,738,000</b>		
			<b>PROJECT TOTAL</b>	<b>354,000</b>	<b>681,750</b>	<b>454,000</b>	<b>248,250</b>	<b>1,738,000</b>		
				<b>Total budget</b>				<b>1,738,000</b>		

**TOTAL BUDGET SUMMARY**

<b>Responsible Party/ Implementing Agent</b>	<b>Amount Year 1 (USD)</b>	<b>Amount Year 2 (USD)</b>	<b>Amount Year 3 (USD)</b>	<b>Amount Year 4 (USD)</b>	<b>Total (USD)</b>
<b>GEF</b>	<b>354,000</b>	<b>681,750</b>	<b>454,000</b>	<b>248,250</b>	<b>1,738,000</b>
<b>GRAND TOTAL</b>	<b>354,000</b>	<b>681,750</b>	<b>454,000</b>	<b>248,250</b>	<b>1,738,000</b>

## Budget Notes

### Outcome 1: Strengthened provincial policy framework and institutional capacity for sustainable management and financing of Gansu's PA system.

- a. **International Consultants:** International Evaluation Expert will be recruited for 2 weeks in Year 2 for Mid-term Evaluation and another 2 weeks in Year 4 for Terminal Evaluation: 4 weeks@ \$4000/week=\$16,000.
- b. **Local Consultants:** A senior Biodiversity and PA Planning Expert (170 weeks), Natural Resource Economist (30 weeks), PA Policy/Regulation Expert (30 weeks), Evaluation Expert (4 weeks), and Auditor (5 weeks) will be hired for a total of 239 weeks: 239 weeks@ \$750/week=\$179,250
- c. **Contractual Services - Companies:** Three sub-contracts will be issued. Sub-contract 1 will be responsible for developing a Systematic PA Development and Management Strategy of Gansu Province with a total budget of \$100,000. Sub-contract 2 will produce financing plan and assess and improve financial planning and management systems including pricing structure and data collection, with a total budget of \$ 38,000. Sub-contract 3 will establish a Gansu Provincial level PA Database and Knowledge Management System with a total budget of \$100,000. The rest of the budget (\$30,000) will cover costs of workshops related to this outcome.
- d. **Travel:** Including travel by stakeholders to project sites and elsewhere if necessary, and travel of consultants for project purposes.
- e. **Equipment and furniture:** Including equipment which is necessary to improve PA's biodiversity monitoring and patrolling capacity. A list of required equipment will be identified through an Equipment Needs Analysis at the beginning of the project.
- f. **Audiovisual and printing production:** This will cover costs for printing and publishing project reports and for producing audiovisual outputs of the project.
- g. **Miscellaneous:** This will cover costs on communication, workshops and seminars and consumerables.

### Outcome 2: Sustainable PA management and financing demonstrated in Taohe Basin.

- h. **International Consultants:** An International PA Financing Expert will be recruited for 12 weeks: 12 weeks@ \$4000/week=\$48,000.
- i. **Local Consultants:** PA management specialist (170 weeks in total), a Nature-based Tourism Development Expert (40 weeks), PA Business Development Expert (30 weeks), Communication Expert (40 weeks) and a Community Co-management Expert (30 weeks), with a total of 310 weeks: 310 weeks@ \$750/week=\$232,500.
- j. **Contractual Services - Companies:** A sub-contract with a budget of \$ 88,000 will develop consistent PA management tools and apply them at the demonstration PA sites with clear action and monitoring mechanisms installed. Sub-contracts to training service providers with a budget of \$ 100,000. The rest of the budget (\$50,000) will cover costs of workshops related to this outcome.
- k. **Travel:** Including international travel, DSAs and terminals for one overseas study tour in year 2 for 5 PA managers, as well as travel by stakeholders to project sites and elsewhere if necessary, and travel of consultants for project purposes.
- l. **Audiovisual and printing production:** This will cover costs for printing and publishing project reports and for producing audiovisual outputs of the project.
- m. **Miscellaneous:** This will cover costs on communication, workshops and seminars and consumerables.

### Project Management

- n. **Contractual services / individual:** This will cover the costs of the Project Manager and Administrative and Financial Officer.
- o. **Travel:** This may cover costs related to monitoring travels of staff from PMU.
- p. **Office facility / supplies:** This will be used to procure computers, printers, fax, photocopier and others necessary for office running of PMU.
- q. **Miscellaneous:** This will cover costs on communication, workshops and seminars and consumerables.

## SECTION IV: ADDITIONAL INFORMATION

### PART I: Other agreements

The Letter of Co-financing from the Gansu Forestry Department in Chinese and an English translation are attached herewith.

雅尼克·格里马瑞先生

联合国开发计划署/全球环境基金执行协调员

美国纽约市

尊敬的雅尼克·格里马瑞先生：

**主题：UNDP/GEF 加强甘肃省自然保护区建设保护具有全球性意义的  
生物多样性项目配套函**

甘肃是中国国内生物多样性资源非常丰富的省份之一，现有的许多生态系统和植物物种都具有全球重要意义。近年来，甘肃省人民政府采取了一系列积极、有效的生物多样性保护措施，如加快国家级、省级和县级自然保护区建设步伐、开展形式广泛的生物多样性保护研究、积极履行生物多样性保护国际公约等，已经在当地产生了明显的生态效益和社会效益。

甘肃省申请了由 GEF 提供无偿援助的 UNDP/GEF 加强甘肃省自然保护区建设保护具有全球性意义的生物多样性项目。该项目旨在通过提高甘肃省自然保护区，尤其是项目示范点——洮河流域 4 个自然保护区的系统管理能力，并加强财政上的可持续扶持，以遏制近年来在甘肃省发生的对自然环境的破坏，如生境流失、林木滥伐、天然林退化、自然生态系统（如湿地）被用于农业、工业、居民区建设、草场过牧、对自然界天然产品（如药材）的过度采收。

该项目在申请过程中，GEF 和 UNDP 都给了大量的精心指导和具体帮助，对此，我们向 GEF 和 UNDP 表示衷心地感谢。为了确保项目启动后顺利实施，甘肃省林业厅将代表甘肃省人民政府，衔接省财政厅，提供国内配套资金相当于 728 万美元的人民币（其中，现金配套 150 万美元，实物配套 578 万美元）。实物配套将根据项目实施目标，资助与自然保护区建设有关的工程项目、办公场所和设备采购、研究与评估、基础设施建设、办公经费、差旅费、人员工资等。

祝好！



***English translation:***

To: Yannick Glemarec  
UNDP/GEF Executive Coordinator,  
UNDP, New York, USA

Dear Mr. Glemarec,

**Subject: Confirmation of co-financing for the Project: Strengthening globally important biodiversity conservation through protected area strengthening in Gansu Province**

Gansu is one of the richest provinces in China in terms of bio-diversity richness, many of the ecosystems and species here are of great significance globally. In recent years, Gansu provincial government has taken several effective steps to conserve biodiversity by speeding up development of nature reserves at the national, provincial and county levels, as well as focusing on biodiversity-related research and responding to specific directives of the Convention on Biological Diversity (CBD). Through which, significant ecological and social effects have been created.

Gansu government applied for the GEF donor-assisted project ---- Strengthening globally important biodiversity conservation through protected area strengthening in Gansu Province, to remove threat in Gansu from habitat loss from logging from natural forests in the recent past; conversion of natural ecosystems (such as wetlands) to farmland, industries, and human settlements; overgrazing of grasslands and overharvesting of products from nature (such as medicinal plants). We will be fully committed to improving PA system management capacities and financial sustainability of the PAs at the provincial level as well as the site level at four field demonstration PAs in the Taohe Basin through the project support.

We highly appreciate GEF and UNDP for their great support and efficient guidelines offered to us in applying this project. To ensure the smooth implementation of the project, Gansu Forestry Bureau on behalf of the Gansu provincial government, in consultation with the Gansu Finance Department, will provide co-financing of 7.28 million US\$ ( including 1.5 million US\$ in cash and 5.78 million US\$ in-kind ) through funding related conservation projects for strengthening the protected areas in line with the project objectives. The in-kind contribution will mainly be related to provision of working premises, studies and assessment, infrastructure, office running cost, travels, office equipment and staff salaries.

Best regards,

Yours sincerely

Gansu Forestry Department

## **PART II: Terms of References for key project staff and main sub-contracts**

### **1. Project Manager**

#### Duties and Responsibilities

- Supervise and coordinate the production of project outputs, as per the project document;
- Mobilise all project inputs in accordance with UNDP procedures for nationally executed projects;
- Supervise and coordinate the work of all project staff, consultants and sub-contractors;
- Coordinate the recruitment and selection of project personnel;
- Prepare and revise project work and financial plans, as required by UNDP;
- Liaise with UNDP, relevant government agencies, and all project partners, including donor organisations and NGOs for effective coordination of all project activities;
- Facilitate administrative backstopping to subcontractors and training activities supported by the Project;
- Oversee and ensure timely submission of the Inception Report, Combined Project Implementation Review/Annual Project Report (PIR/APR), Technical reports, quarterly financial reports, and other reports as may be required by the Executing Agency, UNDP, GEF and other oversight agencies;
- Disseminate project reports and respond to queries from concerned stakeholders;
- Report progress of project to the steering committees, and ensure the fulfilment of steering committees directives.
- Oversee the exchange and sharing of experiences and lessons learned with relevant community based integrated conservation and development projects nationally and internationally;
- Ensures the timely and effective implementation of all components of the project;
- Assist community groups, municipalities, NGOs, staff, students and others with development of essential skills through training workshops and on the job training thereby upgrading their institutional capabilities;
- Coordinate and assist scientific institutions with the initiation and implementation of all field studies and monitoring components of the project
- Assist and advise the teams responsible for documentaries, TV spots, guidebooks and awareness campaign, field studies, etc; and
- Carry out regular, announced and unannounced inspections of all sites and the activities of any project site management units.

### **2. Project Administrator / Finance Officer**

#### Duties and Responsibilities

- Provide general administrative support to ensure the smooth running of the project management unit;
- Collect, register and maintain all information on project activities;
- Contribute to the preparation and implementation of progress reports;
- Monitor project activities, budgets and financial expenditures;
- Advise all project counterparts on applicable administrative procedures and ensure their proper implementation;
- Support the preparations of project work-plans and operational and financial planning processes;
- Assist in procurement and recruitment processes;
- Assist in the preparation of payments requests for operational expenses, salaries, insurance, etc. against project budgets and work plans;
- Follow-up on timely disbursements by UNDP CO;

- Receive, screen and distribute correspondence and attach necessary background information;
- Prepare routine correspondence and memoranda for Project Managers signature;
- Assist in logistical organisation of meetings, training and workshops;
- Prepare agendas and arrange field visits, appointments and meetings both internally and externally related to the project activities and write minutes from the meetings;
- Maintain project filing system;
- Maintain records over project equipment inventory; and
- Perform other duties as required.

### 3. Overview of Indicative Inputs from Technical Assistance Consultants financed by GEF<sup>10</sup>

Position Titles	US\$/person week	Estimated person weeks	Indicative tasks to be performed
<b>For Project Management</b>			
<i>Local</i>			
Project Manager	500	170	See Above
Project Administrator / Finance Officer	300	170	
Justification for Travel, if any: Domestic travel to project sites will be necessary for the National Coordinator and CTA (mostly by road). Detailed justification is provided in the Total Budget and Workplan, including its notes.			
<b>For Technical Assistance</b>			
<i>Local</i>			
1. Senior Biodiversity and PA Planning Specialist	750	170	<p><u>Technical Quality Assurance</u></p> <ul style="list-style-type: none"> <li>• Provide strategic technical support to the NPD and PM in work/budget planning, implementation, management and reporting activities;</li> <li>• Ensure technical quality and direction of the project interventions in meeting the project objectives;</li> <li>• Ensure the technical quality of the consultants input, assisting the PM in coordinating the work of all consultants and sub-contractors, ensuring the timely and quality delivery of expected outputs, and ensuring an effective synergy among the various sub-contracted activities;</li> </ul> <p><u>Specific Technical Inputs</u></p> <ul style="list-style-type: none"> <li>• Coordinate the development of the systematic PA development and management strategy and secure stakeholders' consensus on and buy-in to the strategy ;</li> <li>• Coordinate policy efforts to ensure provision of essential policy procedures and guidelines and harmonisation of various regulations to create enabling environment for effective PA management guidelines and requirements is referenced in appropriate laws and regulations;</li> <li>• Coordinate the establishment of the PA Forum and cultivate general support for the PA management;</li> <li>• Lead effortsto develop comprehensive PA management, tourism and business plans, ensure integration of management planning and budget planning within PA system;</li> <li>• Lead the effort for institutional capacity building components of the project; Ensure collection of relevant data necessary for use in the Management Effectiveness Tracking Tools (METT).</li> </ul>

<sup>10</sup> The Positions, unit amount, estimated duration of work and tasks are all indicative and must be reviewed at the inception phase.

Position Titles	USS/ person week	Estimated person weeks	Indicative tasks to be performed
			<p><u>Project Management Support</u></p> <ul style="list-style-type: none"> <li>• Support the PM in preparing Terms of Reference for consultants and sub-contractors, and assist in the selection and recruitment process;</li> <li>• Assist the NPD and PM in preparation of the Combined Project Implementation Review/Annual Project Report (PIR/APR), inception report, technical reports, quarterly financial reports for submission to UNDP, the GEF, other donors and Government Departments, as required;</li> <li>• Assist the NPD and PM in mobilising staff and consultants in the conduct of a mid-term project evaluation, and in undertaking revisions in the implementation programme and strategy based on evaluation results;</li> <li>• Assist the NPD and PM in liaison work with project partners, donor organizations, NGOs and other groups to ensure effective coordination of project activities;</li> <li>• Support the PM in documenting lessons from project implementation and make recommendations to the Project Board for more effective implementation and coordination of project activities; and</li> <li>• Perform other tasks as may be requested by the NPD and PM.</li> </ul>
2. PA Management Specialist – Field Coordination	750	170	<ul style="list-style-type: none"> <li>• Coordinate the project activities at the demonstration sites, providing direct support to the PA management staff in the field;</li> <li>• Provide technical input into the development of ToRs of short-term consultants and facilitate their work at the local level;</li> <li>• Manage quality control and timely delivery of field-based project outputs;</li> <li>• Liaise with all PA management units and local stakeholders ensuring coordination, stakeholder participation and cultivating potential long-term support for the PAs;</li> <li>• Ensure adequate and regular information flow, discussions and feedback among the various stakeholders of the project in particular the resident and neighbouring communities;</li> <li>• Support the development of collaborative management arrangements between the PAs in the field sites and neighbouring conservancies, communities and other key stakeholders;</li> <li>• Provide field level coordination for the production of the PA management tools, including PA management plans, business plans and an integrated tourism development plan;</li> <li>• Lead the establishment of local level biodiversity monitoring and evaluation system for the four demonstration sites and implementation of the system;</li> <li>• Support the PM in developing detailed site-level implementation inputs including preparation of work plans, identification and selection of national, regional and international subcontractors, cost estimation, time scheduling, contracting, and reporting;</li> <li>• Plan and organise meetings and workshops at site level, including assistance in the design, supervision and, where possible, delivery of the training and outreach activities within the demonstration area;</li> <li>• Prepare monthly progress, technical and financial reports for submission to the PM;</li> <li>• Undertake other management duties that contribute to the effective functioning of the project.</li> </ul>
3.PA policy and	750	30	<p><u>Output 1.3</u> – Conduct a thorough review of legal and regulatory framework, identifying areas where guidelines and procedures can be</p>

Position Titles	US\$/person week	Estimated person weeks	Indicative tasks to be performed
regulation specialist			developed to improve PA management, and where change in legislation is required; conduct an in-depth analysis of the Gansu Nature Reserve regulations and subsidiary official procedures, identifying gaps; make recommendations on how to better align PA legislation with other complementary legislation; draft specific amendments to PA legislation and regulations; develop subsidiary guidelines and procedures as appropriate.
4.Natural Resource Economist	750	30	<u>Output 1.2</u> – Collect and assess available data on financial flows to PAs, including the government budget, park entry fees and other tourism incomes; assess the values and income generated by the PA system and natural resources in Gansu, including direct use values (e.g. tourism and natural resource harvesting with multiplier effects), indirect use values (e.g. ecosystem services – water catchment, carbon storage and sequestration) and non-use values; assess current capital and recurrent costs for maintaining the PA system; identify economic cost of not investing in the PA system; a basic cost-benefit model of current and future investment in PAs; provide a clear business case for investing in PAs; provide recommendations for policy on PA development and future data collection and research on PA economic values.
5.Business consulting	750	30	<u>Output 1.2</u> - Update the financial baseline for the PA system; based on the economic valuation results, consultatively prepare a ‘financial and business plan for the PA system, by conducting the feasibility of different financing mechanisms for the PA system; define the legal and structural requirements for viable PA system financing mechanisms; prepare advocacy materials and plans to ensure the effective communication of the plan. <u>Output 1.6</u> - Assess the functionality of the current PA agencies budgeting and financial management systems including revenue tracking systems for visitor no. and various incomes from PAs; assess the pricing structures for entry, and other user fee across the PA system; determine the optimal fee structures for tourism/recreational concessions
6.Marketing and communications specialist	750	40	Develop a communication strategy for the project and design advocacy, marketing and communications materials and media; support production of project’s advocacy materials, technical reports, booklets, posters and websites; implement a broad-based media communications campaign aiming to raise the profile of PA system and improve understanding of the decision makers and general public regarding the importance of the PAs
7. Nature-based tourism development specialist	750	40	<u>Output 2.3</u> - Review international and regional best practice in park tourism development; conduct a tourism market survey for the Taohe river basin; consultation with relevant stakeholders including PA management units, communities, local tourism operators and tourism authority; based on the park management plan and through field visits with the PA management, identify the optimal (low impact, high yield) tourism products that communities and/or private operators could invest in, ensuring that these opportunities lie within the carrying capacity of the PAs; develop financial and economic projections for the identified tourism products over the short, medium and long term; develop a plan for enhancing marketability of the area; develop a guideline for awarding management of tourism concessions; develop a guideline for PA tourism development plans.
8.Training service provider	750	133	<u>Output 1.7</u> – In close consultation with the Senior PA management specialist and field coordinator, assess the current skills base and competence of protected area agency staff; identify the critical skills and competence gaps; source and/or develop relevant short-course training programmes; facilitate the implementation of all training and skills development programmes; oversee the mentoring and career development programme for senior management staff of the FS and NPCS; facilitate the establishment of knowledge exchange programs with relevant counterpart conservation agencies and international NGO’s

Position Titles	US\$/person week	Estimated person weeks	Indicative tasks to be performed
9.Information management system specialist or service provider	750	133	<u>Output 1.5</u> – In close collaboration with the Senior PA management specialist and field coordinator, and the PA system planning and management specialist, and through a highly consultative process, assess the scope of information needs and identify users; developing data and information collection methodologies; collating existing and new information; converting information into electronic datasets; designing and establishing an electronic information management system; identifying hardware, software and networking requirements; developing user interfaces to assist decision-making; developing data access and maintenance protocols; and training designated staff members from the Gansu Forestry Bureau and other institutions.
10.Co-management and community development specialist	750	30	In close collaboration with the senior PA management specialist and project field coordinator,; <u>Output 2.4</u> – 1) assist PA managers in developing a plan and system for community outreach; 2) ensure park management, business and tourism plans incorporate appropriate collaborative management approaches; 3) support in implementation of collaborative management approaches such as the establishment and operation of local consultative fora; 4) support development of co-management agreements that strengthen PA management and increase benefits to communities; 5) assist in linking protected areas to conservation and development activities across broader landscapes that involve management of the land by multiple stakeholders across different sectors; 5) provide PA managers with technical assistance in managing relationships between the park authority and communities; 6) assist MET to develop training programmes on collaborative management and participatory approaches for PA managers.
11.Evaluation experts	750	4	The standard UNDP/GEF project evaluation TOR will be used. This will include: participate, alongside the international consultants, in the mid-term and final evaluation of the project, in order to assess the project progress, achievement of results and impacts; develop draft evaluation report and discuss it with the project team, government and UNDP; as necessary, participate in discussions to realign the project time-table/logframe at the mid-term stage
12.Auditor	1000	5	Mid-term and final independent audit of project expenditure as per UNDP/GEF standard ToR
<i>International</i>			
13.Biodiversity and Protected Area system planning specialists or subcontract to local company	4000	25	In collaboration with the senior PA management specialist: <u>Output 1.1</u> – Develop systematic PA development and management strategy. This will include review of best practices in PA system strategy development; 2) thorough assessment of the current PA system and its effectiveness in meeting biodiversity conservation objectives, as well as identifying conservation gaps and plans to fill them; 3) assessment of the climate change vulnerability of the PA system; 4) prioritisation of the PAs according to their conservation importance and recommendation for appropriate designation and management intensity; 5) review of socio-economic situations in and around the PAs and identification of opportunities for local livelihood enhancement; and 6) development of a system level biodiversity monitoring framework and nature reserve level performance evaluation system. <u>Output 1.5</u> – Provide technical input into the establishment of the PA database and knowledge management system, in particular in developing architecture of the system. <u>Output 2.1</u> – Support the development of park management plans and the official guidelines.
14.Senior PA Financing Specialist	4000	12	In close collaboration with the senior PA management specialist and the PA management planning consultant;

Position Titles	US\$/person week	Estimated person weeks	Indicative tasks to be performed
			<p><u>Output 1.2</u> – Prepare a financing plan for the PA system in Gansu province, including 1) Review of existing literature and data regarding Gansu’s protected areas system with specific focus on previous and existing investments, management plans and resource mobilization strategies; 2) preparation of a comprehensive list of current and expected revenue generating activities for the demonstration sites, including innovative revenue generating mechanisms in addition to the traditional ones, suggested responsible entities and projecting the expected revenue over 10 years and comparing that with the itemized investment list needed to fully activate and process these revenue generating activities; 3) Conduct a feasibility study for the 4 field demonstration PAs to assess the likelihood of various revenue generation options for 3 (minimum, optimal and ideal) business planning and PA management scenarios including private sector and government investments options as well as several management and conservation options; 4) Assess the potential economic benefits to the surrounding community; 5) On the basis of comparisons with international practice and experience, provide examples extrapolating the cost-effectiveness of investments, revenue generation, quality control measures, etc... that will be a pre-requisite for the financial sustainability of Gansu’s PA system.</p> <p><u>Output 1.6 / 2.3</u> – In tandem with the above mentioned activities and through a participatory process, develop park business plans for the field demonstration PAs and official guidelines for park business planning.</p>
15.Evaluation experts for mid-term and final evaluation	4000	4	<p>The standard UNDP/GEF project evaluation TOR will be used. This will include:</p> <p>Lead the mid-term and the final evaluations; Work with the local evaluation consultant in order to assess the project progress, achievement of results and impacts; develop draft evaluation report and discuss it with the project team, government and UNDP; As necessary participate in discussions to extract lessons for UNDP and GEF</p>
<p>Justification for Travel, if any: Domestic travel to project sites will be necessary for several technical assistance consultants. Detailed justification is provided in the Total Budget and Workplan, including its notes.</p>			

*Note: Most of the consultancies indicated in this table are budgeted under individual consultants (71200 or 71300 ) in the annual work plan. However, item 8, 9, 13 are budgeted under contractual services(72100). During the project implementation, it will be determined whether individuals or companies will be more suitable for different tasks.*

## Annex 1: Globally threatened species occurring in Gansu and at the 4 Demonstration Sites

	Globally threatened species in Gansu	Globally threatened species in the 4 Tao He River Demonstration Sites	
Fish	2	1	Bronze gudgeon <i>Coreius septentrionalis</i> : endangered freshwater fish, mainly threatened by water polluting.
Amphibians	4	3	<p>Alpine Stream Salamander <i>Batrachuperus tibetanus</i>: Vulnerable, Endemic to China. The declining of its population was mainly because of its low reproductive rate and water pollution.</p> <p>Chinese Giant Salamander <i>Andrias davidianus</i>: Critically endangered in China. Endemic to China. One of the most famous amphibians in China. Due to over-exploitation, water pollution and habitat loss, it has emerged from many places.</p> <p>Chinese Wood Frog <i>Rana chensinensis</i>: distributes in many places in China. Today its population is declining because of over-hunting for meat and medicinal materials.</p>
Reptiles	8	4	<p>Chifeng Rat-snake <i>Elaphe anomala</i>: Vulnerable in China. Its population size has declined by 30% in the past decade because of over hunting.</p> <p>Short-tailed Fu <i>Gloydius brevicaudus</i>; Intermediate Fu <i>Gloydius intermedius</i>; Plateau Fu <i>Gloydius strauchi</i>: Three kinds of poison snakes, all are vulnerable in China. Poison snakes are thought to be harmful animals and used to be killed by the local people. Today the poison snakes are mainly hunted for their medicinal materials and meat.</p>
Birds	46	30	<p>Black Stork <i>Ciconia nigra</i>: a kind of critically endangered wading birds.</p> <p>Demoiselle Crane <i>Grus virgo</i>: vulnerable wading birds. National protected bird.</p> <p>White-tailed Sea Eagle <i>Haliaeetus albicilla</i>; Pallas's Fish Eagle <i>Haliaeetus leucoryphus</i>; Cinereous Vulture <i>Aegypius monachus</i> ; Bearded Vulture <i>Gypaetus barbatus</i> ; Himalayan Griffon <i>Gyps himalayensis</i> ; Oriental Honey-buzzard <i>Pernis ptilorhynchus</i> ; Goshawk <i>Accipiter gentilis</i> ; Sparrow Hawk <i>Accipiter nisus</i> ; Golden Eagle <i>Aquila chrysaetos</i> ; Black Kite <i>Milvus migrans</i> ; Long-legged Buzzard <i>Buteo rufinus</i> ; Rough-legged Buzzard <i>Buteo lagopus</i> ; Common Buzzard <i>Buteo buteo</i> ; Saker Falcons <i>Falco cherrug</i> ; Kestrel <i>Falco tinnunculus</i> ; Peregrine Falcon <i>Falco peregrinus</i> ; Eurasian Hobby <i>Falco subbuteo</i>: A group of endangered raptors, including eagles, vultures, hawks, buzzards and falcons, are at the highest trophic level of the food chain in nature. They play an important part in the balance of the ecosystem, some of them are the key species in their habitats. Today they are mainly threatened by poaching for illegal animal trade.</p>

	Globally threatened species in Gansu	Globally threatened species in the 4 Tao He River Demonstration Sites	
			<p>Chinese Grouse <i>Bonasa sewerzowi</i>: endangered grouse which is endemic to China, mainly distributed in high mountains conifer forest along the east edge of Qinghai-Tibet Plateau. Mainly threatened by habitat fragmentation, poaching and egg collection.</p> <p>Chestnut-throated Partridge <i>Tetraophasis obscurus</i> ; endemic and vulnerable pheasant, mainly inhabits in conifer forests in high mountains above 4000 m, its habitats are getting smaller for excessive deforestation.</p> <p>Blood Pheasant <i>Ithaginis cruentus</i> ; mainly distributed in China, threatened by habitat fragmentation, poaching and egg collection.</p> <p>Blue Eared Pheasant <i>Crossoptilon auritum</i>: a vulnerable species which is endemic to China, its population size shows a slowly declining trend, mainly because of habitat destruction, especially over-logging of fir forests and over-hunting.</p> <p>Whooper Swan <i>Cygnus cygnus</i>: It is famous for its beautiful feathers and constant love. Now it is gradually becoming endangered for seriously illegal hunting.</p> <p>Mandarin Duck <i>Aix galericulata</i> ; a kind of beautiful birds which is very famous in China. People treat them as the emblem of love in China. Now it is threatened mainly because of loss of breeding habitat due to logging of big trees.</p> <p>Sichuan Wood Owl <i>Strix davidi</i> ; Northern Eagle Owl <i>Bubo bubo</i> ; Boreal Owl <i>Aegolius funereus</i>: A group of endangered owls, among which Sichuan Wood Owl is endemic to China. Unlike other ones, it was mainly threatened by loss of habitat and nesting areas due to logging.</p> <p>Sichuan Jay <i>Perisoreus internigrans</i>: endemic to central western China. Information of its population size was rarely known. Ornithologists think habitat fragmentation is the main reason for its declining.</p> <p>Sukatschev's Laughing thrush <i>Garrulax sukatschewi</i>: a rare bird species, endemic to central to western China, is listed as vulnerable on IUCN Red List. It was seen just in limited area of southeastern Gansu and northern Sichuan. Loss of forestland and small population size were thought of the main reasons for its declining.</p>
Mammals	43	16	Asian Golden Cat <i>Catopuma temminckii</i> : critical endangered in China, mainly threatened by over-hunting ,illegal trade and severe habitat

	Globally threatened species in Gansu	Globally threatened species in the 4 Tao He River Demonstration Sites
		<p>degradation.</p> <p>Pallas's Cat <i>Felis manul</i>: its fur is with bright color and dense fine hair, many of them was hunted for illegal commercial use.</p> <p>Lynx <i>Lynx lynx</i> ; over-hunted for its beautiful fir and its habitats are becoming fragmented due to human activities.</p> <p>Leopard Cat <i>Prionailurus bengalensis</i>: a vulnerable species in China, its declining mainly due to habitat degradation and illegal trade.</p> <p>Leopard <i>Panthera pardus</i>: a critically endangered species in China and it has emerged from many places in China. The leopard was once treated as harmful animals and killed for furs. Although protected by law, illegal-hunting still exists.</p> <p>Snow Leopard <i>Uncia uncia</i>: Critically endangered in China. It is famous for its fur, now mainly threatened by illegal hunting and human disturbance to its harsh habitat.</p> <p>Wolf <i>Canis lupus</i>: Vulnerable in China. It was once treated as harmful animals in China and was killed a lot in the past, even today, it is still treated as harmful animals. Habitat degradation and loss of food resources are thought to be the main threats.</p> <p>Dhole <i>Cuon alpinus</i>: endangered in China and mainly distributed in southern China. As wolf, its population is becoming smaller and smaller.</p> <p>Asiatic Black Bear <i>Ursus thibetanus</i>: Vulnerable in China. Habitat degradation, severe poaching and over-utilization are the mainly threats.</p> <p>Common Otter <i>Lutra lutra</i> ; Endangered in China. People hunted them for get their high economic fur and the water pollution also affects them.</p> <p>Stone Marten <i>Martes foina</i>: Endangered in China. Illegal hunting for furs and human agricultural activities are the main reasons for the declining population.</p> <p>Forest Musk Deer <i>Moschus berezovskii</i>; Alphine Musk Deer <i>Moschus chrysogaster</i>: two kinds of endangered musk deer in China. Habitat degradation, agriculture pollution and serious illegal hunting for musk are the main threats.</p> <p>Goitred gazelle <i>Gazella subgutturosa</i>; Chinese serow <i>Capricornis milneedwardsii</i>; Argali Sheep <i>Ovis ammon</i> ; Blue sheep <i>Pseudois nayaur</i>; Four kinds of endangered cloven-hoofed animals, among which</p>

	Globally threatened species in Gansu	Globally threatened species in the 4 Tao He River Demonstration Sites	
			Chinese serow is endemic to China. They are all threatened for habitat degradation and over poaching for illegal trade.
<b>Total</b>	<b>103</b>	<b>54</b>	

196. In addition, 2 species of trees are under first-grade national protection, 17 species of trees are under second-grade national protection, and 36 species of trees are under third-grade national protection. Gansu has 186 endangered or threatened angiosperm plant species, among which 5 are first-grade nationally protected species, and 45 are second-grade nationally protected species.

197. Among the tree species protected by Chinese government, one species is listed as Critically Endangered (CR), five species are Endangered (EN), six species are Vulnerable (VR), six species are Near Threatened (NT), and five species are Least Concern (LR) by IUCN, as shown in the following Table:

Scientific name	IUCN rank
<i>Metasequoia glyptostroides</i>	CR
<i>Ginkgo biloba</i>	EN
<i>Picea neoveitchii</i>	EN
<i>Pseudotaxus chienii</i>	EN
<i>Corylus chinensis</i>	EN
<i>Changnienia amoena</i>	EN
<i>Juglans regia</i>	NT
<i>Cercidiphyllum japonicum</i>	NT
<i>Magnolia officinalis</i>	NT
<i>Magnolia wilsonii</i>	NT
<i>Sinowilsonia henryi</i>	NT
<i>Ormosia hosiei</i>	NT
<i>Abies chensiensis</i>	LR
<i>Taxus chinensis</i>	LR
<i>Euptelea pleiospermum</i>	LR
<i>Liriodendrom chinense</i>	LR
<i>Toona ciliate</i>	LR
<i>Picea brachytyla</i>	VR
<i>Cupressus chengiana</i>	VR
<i>Amentotaxus argotaenia</i>	VR
<i>Tapiscia sinensis</i>	VR
<i>Acer miaotiense</i>	VR
<i>Gastrodia elata</i>	VR

## Annex 2: Protected Areas of Gansu Province

Each of the 38 protected areas are numbered and illustrated in the table below:

ID	Name	Name in Chinese characters	Administrative Areas	Status*	Area (ha)	Founded Time	Type	Authorities
1	Baishuijiang	白水江	Wenxian	N	213,750	1978	Wildlife	Forestry
2	Xinglongshan	兴隆山	Yuzhong	N	33,301	1986	Forest Ecology	Forestry
3	Qilianshan	祁连山	Jiuquan	N	2, 653, 000	1987	Forest Ecology	Forestry
4	Gahai-Zecha	尕海-则岔	Luqu	N	247,431	1998	Forest Ecology	Forestry
5	Liangucheng	连古城	Minqin	N	389,900	1982	Desert Ecology	Forestry
6	Lianhuashan	莲花山	Kangle	N	11,691	1982	Forest Ecology	Forestry
7	Dunhuangxihu	敦煌西湖	Dunhuang	N	660,000	2003	Wildlife	Forestry
8	Liancheng	连城	Yongdeng	N	47,930	2001	Forest Ecology	Forestry
9	Taitong-Kongdongshan	太统-崆峒山	Pingliang	N	16,283	1982	Forest Ecology	Forestry
10	Annanba	安南坝	Akesai	N	396,000	1982	Wildlife	Forestry
11	Yanchiwan	盐池湾	Subei	N	1,360,000	1982	Wildlife	Forestry
12	Xiaolongshan	小陇山	Huixian	N	31,938	1982	Wildlife	Forestry
13	Anxi	安西极旱荒漠	Anxi	N	800,000	1987	Desert Ecology	Environmental Protection
14	Taohe	洮河	Zhuoni	N	470,017	2005	Forest Ecology	Forestry
15	Dunhuangyangguan	敦煌阳关	Dunhuang	N	88,178	1994	Inland wetlands	Environmental Protection
16	Dasugan Lake	大苏干湖	Akesai	P	9,640	1982	Wildlife	Forestry
17	Xiaosugan Lake	小苏干湖	Akesai	P	2400	1982	Wildlife	Forestry
18	Ganhaizi	干海子	Yumen	P	300	1982	Wildlife	Forestry
19	Changmahe	昌马河	Yumen	P	68,250	1996	Desert Ecology	Forestry
20	Gaotai-Heihe	黑河流域	Gaotai	P	4,850	1992	Inland wetlands	Forestry
21	Huanhesanxiashidi	黄河三峡湿地	Yongjing	P	19,500	1995	Inland wetlands	Forestry
22	Huanheshouqu	黄河首曲	Maqu	P	37,500	1995	Wildlife	Forestry

23	Mazongshan	马鬃山	Subei	P	480,000	2001	Wildlife	Forestry
24	Dongdashan	东大山	Zhangye	P	5,045	1980	Forest Ecology	Forestry
25	Longshoushan	龙首山	Shandan	P	2,550	1990	Forest Ecology	Forestry
26	Changlingshan	昌岭山	Gulang	P	3,679	1987	Forest Ecology	Forestry
27	Shoulushan	寿鹿山	Jingtai	P	10,875	1980	Forest Ecology	Forestry
28	Tiemushan	铁木山	Huining	P	749	1992	Forest Ecology	Forestry
29	Guiqingshan	贵清山	Zhangxian	P	1,114	1992	Wildlife	Forestry
30	Dunhuangnanhu	敦煌南湖	Dunhuang	P	1,107	1992	Wildlife	Forestry
31	Longshengou	龙神沟	Kangxian	C	6,700	1986	Wildlife	Forestry
32	Heihe	黑河	Liangdang	P	3,495	1982	Wildlife	Forestry
33	Jianshan	尖山	Wenxian	P	10,040	1992	Wildlife	Forestry
34	Xiangshan	香山	Lixian	P	11,330	1992	Forest Ecology	Forestry
35	Nanquanshidi	南泉湿地	Yumen	C	111,400	1999	Inland wetlands	Forestry
36	Shulehe	疏勒河	Anxi	P	324,200	2002	Forest Ecology	Forestry
37	Hasishan	哈斯山	Jingyuan	P	8,400	2002	Forest Ecology	Forestry
38	Juewushan	崛吴山	Baiyin	P	3,715	2002	Forest Ecology	Forestry
39	Shazaoyuanzi	沙枣园子	Jinta	P	163,404	2002	Forest Ecology	Forestry
40	Nanshan	南山	Yumen	P	152,900	2002	Wildlife	Forestry
41	Shuangyan	岷县双燕	Minxian	P	64,000	2002	Forest Ecology	Forestry
42	Yuhe	裕河	Longnan	P	74,944	2004	Wildlife	Forestry
43	Taizishan	太子山	Kangle	P	84,700	2005	Forest Ecology	Forestry
44	Axia	阿夏	Diebu	P	135,536	2004	Wildlife	Forestry
45	Duoer	多儿	Diebu	P	55,275	2004	Wildlife	Forestry
46	Ziwuling	子午岭	Heshui	P	242,106	2005	Forest Ecology	Forestry
47	Chaganliang	插岗梁	Zhouqu	P	114,361	2005	Wildlife	Forestry
48	Boyuhe	博峪河	Zhouqu	P	91,712	2006	Wildlife	Forestry
49	Huanheshilin	黄河石林	Jingtai	P	3,040	2001	Geological heritage	Land Department

50	Dunhuangyadandi mao	敦煌雅丹地貌	Dunhuang	P	39,840	2001	Geological heritage	Land Department
51	Renshoushan	仁寿山	Longxi	P	520	1997	Forest Ecology	Environmental Protection
52	Liujiaxia	刘家峡恐龙 足迹群	Yongjing	P	1,500	1995	Palaeontolo gical heritage	Land Department
53	Jijiquan	芨芨泉	Jingchang	P	51,070	2005	Desert Ecology	Forestry
54	Jifengshan	鸡峰山	Chengxian	P	52,441	2005	Wildlife	Forestry
55	Qinlingxilingui	秦岭细鳞鲑	Zhangxian	P	25,330	2005	Wildlife	Agricultural
56	Wenxiandani	文县大鲵	Wenxian	P	13,579	2004	Wildlife	Agricultural
57	Qingzanggaoyuant uzhuyulei	青藏高原土 著鱼类	Maqu	P	27,416	2005	Wildlife	Agricultural
58	Wuweishashengzh iwu	武威沙生植 物	Wuwei	C	850	1972	Desert Ecology	Environmental Protection

\* The status of the reserves are abbreviated by N, P, and C, which represent National, Provincial, and County level respectively.

### Annex 3: Profiles of the Four Protected Areas in Taohe River Basin

#### Summary Information on Four Demonstration PAs

PA (gazetted)	Year of Gazette	Size (ha)	Eco-systems	Major Global Biodiversity	Mgt Authority	Mgt Plan in Place?	FY 2008 Budget (Chinese Yuan)	No of Staff (permanent /temp.)	No. of residents / settlements within the PA	Areas managed by the residents (ha)
Gahai Zecha National Nature Reserve	1998	247,431	Endemic high altitude (3,500 meters) cold meadow and grassland ecosystem, wetland and forests	529 species of seed plants (179 endemic species) and 197 species of vertebrates (40 endemic species). Wetlands with Black-necked Crane, Black Stork, Grey Crane, Swan and other migratory birds. The alpine forests with Musk Deer Sika Deer and Blue Eared Pheasant. The high altitude meadows and grasslands are home to Golden Eagle, Bearded Vulture.	Gansu Forestry Bureau	No	4.5 mil.*	50 / 6	12,000 / 17	157,000
Lianhuashan National Nature Reserve	1983	11,691	Forest	745 species of higher plants. Over 700 species of wild animals. Protected species includes leopard, lynx and Chinese Grouse			8 mil.	90 / 16	5,300 / 27	520
Taohe National Nature Reserve	2005	470,017	Forest	1,302 higher plants, belonging to 122 families and 444 genera, accounting for 26.6%, 12.1% and 4.45% of higher plant families, genera and species of the country. 275 species of wild animals, of which 60 species are under national protection, including leopard, Chinese Grouse and musk deer.			31.39 mil.	1,352 / 0	62,600 / 375	21,580
Taizishan Provincial Nature Reserve	2005	84,700	Forest 2,200 – 4,636 metres. Permanent Snow over 4,100 meters	839 species of seed plants, including 13 rare and endangered species. 67 mammal species, 130 bird species, 5 amphibian species and 2 reptile species. Of these animal species, 31 species have been listed as National Protected Key Species.			16.62 mil.	392 / 68	130 / 1	20

\*Exchange rate (April, 2010) : US\$ 1= 6.83 Chinese Yuan

## **Gahai Zecha National Nature Reserve (GZNNR):**

Physical and biological overview: In 1998, China's State Council established Gahai Zecha as a national nature reserve to protect the endemic high altitude cold meadow and grassland ecosystem, wetland and forests. It has a total area of 247,431 ha, with 39,095 ha in the core zone, 81,157 ha in a buffer zone and 127,179 ha in an experimental zone. Within the reserve are 40,772 ha of forests, 43,176 ha of wetland, and 155,753 ha of meadow. A 1996 survey identified 529 species of seed plants and 197 species of vertebrates, of which 179 species of seed plants and 40 species of vertebrates are endemic to China. Globally important species and ecosystems found in the nature reserve include wetland ecosystems inhabited by Black-necked Crane, Black Stork, Grey Crane, Swan and other migratory birds. The alpine forests, which are represented by the dominant *Picea purpurea*, are inhabited by Musk Deer (*Moschus berezovskii*), Sika Deer and Blue Eared Pheasant. The high altitude meadows and grasslands are home to Golden Eagle, Bearded Vulture and other grassland wildlife. The Gahai Wetland lies at an altitude of 3,500 meters and is a wetland type only found in China. The reserve is an important source of freshwater for the Taohe River in the Yellow River basin and Jianglingjiang River in the Yangtze River basin, and has an annual average discharge of 824 million cubic meters effectively making one of the key areas of water supply for production, daily life and ecology for central and eastern Gansu.

Site management and policy: The Gahai-Zecha NNR Management Bureau was established in 2003, with 30 of the 57 staff responsible for nature conservation, 10 serving as forest police and 17 staff allocated to manage natural forests. There are four country-level managers and 11 technical staff (including 1 senior engineer and 3 engineers). 80% of the staff, whose average age is 33, has received college and university education, and 20% of the staff are 20. The Management Bureau has established a general office, planning and finance section, a conservation section, the Gahai Conservation Station, the Zecha Conservation Station and a forest police unit.

The National Nature Reserve Regulation prohibits logging, grazing, hunting, fishing, collection of medicinal plants, use of fires to add fertility to soils, quarrying, mining and removal of sand, and access to core zones inside protected areas.

Nature reserve staff, though well educated, have not received systematic training on protected area management, and the long term implications of grassland degradation are poorly understood by local communities and stakeholders. Investment for the reserve is mainly from central and provincial government, without guaranteed co-funding from local government.

Other baseline activities: The ecosystems within the reserve are challenged by a reduction in forest areas and vegetation coverage, desertification, salinisation, water and soil erosion, sedimentation and low water levels in rivers as a result of increased human population, economic development, overgrazing and excessive logging. In Luqu County, the annual precipitation in 1990s is only 67.2% of the level of the 1960s, while the annual average evaporation has increased by 139.7 mm in the corresponding period. Compared with the 1960s, annual average run-off of Taohe River has shrunk by 32.8%. Soil erosion has affected an area of 121,800 ha in Luqu County, or 28.9% of the total land area. This has led to a reduction in soil fertility and agricultural production and shrinkage of grassland areas. Reduced annual precipitation has resulted in shrinkage of marshland areas in Ga-Er-Niang Village, Gongba Village and Bohai Village of Langmusi Township. The Gahai Lake, once named 'the Pearl of the Plateau', became completely dry in 1995, 1997 and 2000. Pheasants, Huangyang and Ma Deer, once common in the 1970s, are now hardly found in the reserve because of degraded ecosystems. According to surveys, degraded grassland represents 67.08% of the useable grassland, with 15% reduction of biomass, 25% reduction of gramineous and 15-30% increase of toxic plants and weeds and 27.6% decrease of fodder supply. This has resulted in a reduction in levels of milk and wool production and has significantly reduced the income of herders per labor unit. Degraded grassland and disappearance of predators lead to a 30% increase in

areas affected by rodents and pest insects. The density of rodents in the Gahai grassland reaches 8.13 individuals per mu<sup>11</sup>.

The importance of Gaihai-Zecha as a NNR is fully recognized by the local government. For example a new road from Lu Qu to Ma Qu is being built circumventing the core zone of the nature reserve. The reserve is also a demonstration site of a wetland management project supported by the EU-China Biodiversity Programme. The nature reserve is also planning to prioritize the following goals in the future:

- 1, submit a proposal for upgrading as a Ramsar site;
- 2, develop infrastructure for the Gansu High Altitude Wetland Field Training Base;
- 3, prepare proposals to establish endangered and threatened species rescue and reproduction projects;
- 4, develop projects for ecological restoration of water retention forests;
- 5, implement an ecological conservation and construction project in Gansu South to replenish water flow to the Yellow River;
- 6, propose a payment for ecological services provided by 32,000 mu of forests and 410,000 mu of shrublands;
- 7, prepare and adopt Gahai-Zecha National Nature Reserve Management Regulation;
- 8, establish a system of forest tenure certification;

Socio-economic context: Lu Qu has a big population of minority ethnic groups and is assessed as one of the counties suffering from poverty. Increase in degraded grassland areas undoubtedly leads to reduced income of local communities and disparity with coastal areas. 2,000 villagers from 300 households still live in four villages in the core zone of the reserve subsisting on grazing as they have done for generations. According to estimates, the grassland has a theoretical carrying capacity of 464,000 sheep unit, yet the actual livestock number is 595,000 sheep unit.

Ongoing threats and baseline scenario: Although the Gahai-Zecha NNR has developed quickly, conservation of local biodiversity is still threatened by the following:

- 1) Livestock overload, over-grazing: Traditional grazing activities of impoverished local villagers still have great influence on the ground vegetation (grassland).
- 2) Climate change (e.g. Storms, floods, and drought) causing wetlands and grassland degradation, and as a consequence a decline in biological diversity.

### **Lianhuashan National Nature Reserve (LHSNNR):**

Physical and biological overview: Lianhuashan National Nature Reserve (LHSNNR) is located at the junction of Kangle, Lintan and Zhuoni counties, between N 34°54 ' 17"-35°01 ' 43", E103°39 ' 59"-103°50 ' 26". It lies in the transition zone between the Qinghai-Tibet Plateau and the Loess Plateau, with a total area of 11,691 hm<sup>2</sup>. The forest coverage rate is 69.3%. Like all China's national reserves, LHSNNR is classified into core, buffer and experimental zones. There are rich biological resources in LHSNNR, with a high level of species diversity. The LHSNNR is known to have 745 species of higher plants in LHSNNR, of which 15, such as *Picea purpurea*, are nationally protected. There are more than 700 species of wild animals. Five species of mammals including leopard (*Panthera unica*), and lynx (*Lynx lynx*) are protected and 6 species of bird are covered by first or second class national protection. These latter include the Chinese Grouse (*Bonasa sewerzowi*).

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<sup>11</sup> 1 mu = 0.067 hectare.

In addition to its biodiversity significance, the forest ecosystem is an important water conservation forest base in Taohe upstream.

The current environmental condition of LHSNNR may be characterised as fair. A history of destructive logging before the reserve was founded has left its mark on forest ecosystems. Through the implementation of afforestation of barren hills, returning farmland to forest and other measures, the forest vegetation has seen some restoration and improvement.

Site management and policy: In 1983, Government of Gansu Province approved the establishment of the Lianhuashan Nature Reserve Bureau, as the division level institution directly under the leadership of Gansu Provincial Forestry Bureau. It was subsequently promoted to national reserve status in June 2003. In December 2005, the status of Lianhuashan Forest Park was upgraded from provincial to state-level forest park. In October 2006 LHSNNR was listed as one of the nation's 51 state-level reserve demonstration sites by the State Forestry Administration.

There are 90 regular staff in the reserve deployed in Bureau Headquarters, Conservation Stations and Conservation Points forming a three-tiered management system. The headquarters comprises 12 division-level departments, such as the Office, Resources Management Section and Research Management Section etc.

Socio-economic context: There are about 5,000 inhabitants from 9 villages living in the experimental zone. Ethnically they are Han, Hui, and to a lesser extent, Tibetan. The livelihoods of the inhabitants are sustained by agriculture or migrant labour. A few inhabitants subsist on partial overgrazing, illegal cutting of timber and the collection of herbs. One of the main activities of the 80 co-workers and rangers in the reserve is the protection of the natural resources, such as prohibiting the illegal cutting of trees. To support these activities, several small cabins in the mountains are staffed by rangers all year long.

Other baseline activities: In order to better collect the information about major plant and animal species, their quantity, distribution and growth status in the reserve, 28 patrol routes, covering the whole protected area were established in 2006. Since 2008, a biodiversity monitoring system including 21 fixed monitoring plots and 13 monitoring transects has been established in accordance with the different forest types, to monitor and analyze changes in forest resources within the reserve. Furthermore, the reserve will focus on the following activities to improve the reserve management and biodiversity conservation.

- 1) Vegetation Restoration
- 2) Ecological Migration, which means the government, will pay residents within the reserve to move out of the reserve.
- 3) Improve the monitoring system
- 4) Strengthen public education on biodiversity conservation

Ongoing threats and baseline scenario: Despite the above-mentioned efforts, LHSNNR's complex ecosystem has suffered from a variety of human's impacts and remains at risk. The following factors would continue to threaten biodiversity at LHSNNR under the baseline scenario:

- 1) A few impoverished inhabitants may continue to collect fuel wood and medicine, which would adversely impact on ecosystems.
- 2) The use of pesticides and fertilizers in agricultural activities on surrounding ecosystems.
- 3) Due to the lack of promotion of biodiversity conservation and environment protection, increases in tourist visitation especially during the spring, are placing growing pressure on animal breeding behavior, and are exacerbating pollution problems (plastic garbage).

## Taohe National Nature Reserve:

Physical and biological overview: Taohe National Nature Reserve (THNNR) is located on the north slope of Dieshan in the upper reaches of Taohe. It traverses Zhuoni, Lintan, Diebu and Hezuo, four counties of the Gannan Tibetan Autonomous Prefecture. Geographic coordinates are between east longitude 102°46' 02"-103°51' 25", north latitude 34°10' 07"-35°09' 25". The total area is 470,017 ha. Forest coverage is 44.17%. THNNR is a forest ecosystem nature reserve intended mainly to protect the natural raw cold temperate coniferous mountain forest ecosystems, and rare wild animals and plants and their habitats. THNNR is an important source of water conservation in the upstream of the Yellow River, with a total catchment area of 2,877.59 square kilometers. The average annual runoff is 1.013 billion cubic meters, accounting for 19.06% of the Tao River Basin's average annual runoff of 5.31 billion cubic meters. There are 1,302 higher plants in the reserve, belonging to 122 families and 444 genera, accounting for 26.6%, 12.1% and 4.45% of higher plant families, genera and species of the country. Among them, one species is under first class national protection and 30 enjoy second class national protection. There are 275 species of wild animals, belonging to 26 orders and 59 families. 60 species are under national protection, including species such as Leopard (*Panthera unica*), Chinese Grouse (*Bonasa sewerzowi*), and Musk Deer (*Moschus berezovskii*). We still don't have a complete picture of the richness of the area's biodiversity as few biodiversity surveys have been conducted in this reserve. The nature reserve is a transitional zone -forest to grassland. It covers a large area and is of great value socially and economically.

Site management and policy: In 1982, Gansu Provincial People's Government approved the establishment of the Guozhagou *Picea purpurea* Nature Reserve. However, its managed area is only 2,687 ha. In 2005, to further strengthen water conservation and forest and biodiversity conservation in the upper reaches of Taohe, Gansu Provincial People's Government approved the establishment of Gansu Taohe Provincial Nature Reserve. This was promoted to the status of National Nature Reserve in 2010.

THNNR is managed with a three-tiered structure comprising a Management Bureau, Conservation Stations and Conservation Checkpoints to protect the environment and resources. The Bureau consists of 10 functional departments, 23 conservation management stations, 34 conservation sites, 1 forest police station, six forestry Police Stations, and 15 checkpoints. There are 462 staff.

Socio-economic context: There are about 62,610 Han, Hui and Tibetan inhabitants from 11,030 households in 375 villages living in the reserve. They obtain their livelihood from agriculture, animal husbandry, or, increasingly, by working as migrant labourers. There are 21,579.1 ha of farmland within the reserve. Furthermore, people within the tourist spots gain income mainly from the tourism service. A few people earn their living by partial overgrazing, illegal cutting of timber and gathering herbs. One of the main activities of the reserve's rangers is the protection of the natural resources and preventing the illegal cutting of trees.

Ongoing threats and baseline scenario: Although the Taohe Nature Reserve has developed quickly and has been promoted to national reserve status in 2010, there are still threats to biodiversity conservation. These include the following:

- 1) Illegal collection of firewood and herbs, grazing, and so on., These activities affect the animals' daily lives and destroy habitat.
- 2) The management bureau has not enough funding, which makes it difficult to conduct comprehensive conservation management activities and scientific research

## Taizishan Provincial Nature Reserve (TZSPNR)

Physical and biological overview: The site is located between Linxia Hui Autonomous Prefecture and Gannan Tibet Autonomous Prefecture. It is adjacent to Linahuashan National PA to its east, borders on Zhuoni, Lintan, Xiahe and Hezuo Counties of Gannan Tibet Autonomous Prefecture and Taohe NNR in the south, adjoins Xunhua County of Qinghai Province in the west, and is contiguous to Kangle, Hezheng, Linxia and Jishishan Counties of Linxia Hui Autonomous Prefecture. The site is shaped like a narrow belt with a length of 100 km from west to east and a width of 10-20 km from north to south. TZSPNR is situated in the transitional zone between the Qinghai-Tibet Plateau and the Loess Plateau. Its altitude declines from the highest point, 4,636 m, in the west to the lowest point, 2,200 m, in the east. There is a permanent snow line in TZSPNR, which is basically consistent with the 4,100 m contour line.

The site has a temperate continental climate with an average annual rainfall of 628 mm and an annual average temperature of 5.1 degrees Celsius. The mean relative humidity is 71% and the mean annual evaporation rate is 1,375 mm. There exist considerable vertical and horizontal climate differences within this PA due to its wide range of altitudes and its complicated landscape. However, the climate here is generally characterized by cold, humidity, and rain, long winters and short summers. There are 16 rivers in the TZSPNR with a combined annual runoff of 718 million cubic meters. Two reservoirs have been constructed in the PA: Yaoshuixia Reservoir, with a surface area of 150,000 square meters and a storage capacity of 1,900,000 cubic meters, and Yatang Reservoir, with a surface area of 600,000 square meters and a storage capacity of 8,000,000 cubic meters. The site is an important water source area for Taohe and even the Yellow River.

The area of TZSPNR is 84,700 hectares, including the core zone of 26,053.90 hectares, a buffer zone of 17,548.79 hectare and an experimental zone of 41097.31. The forest coverage rate of the PA is 57.96%, with a total forest stock volume of 165,000 cubic meters. This PA supports 839 species of seed plants, belong to 358 genera and 95 families. Eight rare and endangered plant species have been found here, including three National Grade II Protected Key Plant Species - *Circaea agrestis*, *Meconopsis punicea* and *Juglans regia*., There are five National Grade III Protected Key Plant Species - *Abies chensiensis*, *Glycine soja*, *Engelhardtia roxburghiana*, *Sinopodophyllum emodi* and *Paeonia suffruticosa*. This PA is the home of 67 mammal species belonging to 18 Families and 6 Orders; 130 bird species under 31 Families and 14 Orders; 5 amphibian species under 5 Families and 2 Orders; and 2 reptile species under 2 Families and 1 Order. Of these animal species, 31 species have been listed as National Protected Key Species, including 7 National Class 1 Protected Animal Species *Panthera uncia*, *Moschus berezovskii*, *Tetrastes sewerzowi*, *Aquila chrysaetos*, *Aquila heliaca*, *Tetraopsis obscura* and *Gypaetus barbatus*, and 24 National Class 2 Protected Animal Species.

Site management and policy: Taizishan Provincial PA was established by the Government of Gansu Province in 2005. It is classified as a forest PA according to the PA Category in China. The PA Management Authority has a total of 393 permanent staff, 261 of whom can fully get and 132 partly get financial support from the Provincial Government. Staff education levels differ. 72 have taken undergraduate education, 158 have taken education in high school or secondary technical school, and 163 who just received education at the junior middle school level. There are 59 technical staff in total. In addition, the PA Management Authority contracts about 180 full-time and 120 part-time local forest rangers, whose costs are borne by income generated by the PA itself.

A wide range of activities have been carried out to conserve the biodiversity of the PA and generate income to supplement the PA management costs, including:

- Converting Cropland Back to Forestland Project. A total of 7,300 hectares of cropland has been converted back to forest land since 2001, with the survival rate of afforestation meeting the national criteria.
- Natural Forest Protection Project. Since 2000, a total of 4,980 hectare mountain area has been enclosed to allow natural recovery of the forest and 52,066 hectares of forest have been placed in the custody of forest rangers.
- National Key Ecological Forest Protection Project. A total of 14,420 hectares of forest in the PA has been designated as National Key Ecological Forest, which can receive ecological compensation from the central government. This forest is divided into 12 management areas with 51 forest rangers.

- Development of Taizishan Forest Scenic Spot. A total of RMB 30 million Yuan has been invested in developing this Scenic Spot. Up till now 3 hotels and 7 restaurants are operating generating an annual income of about RMB 1 million Yuan.
- Forest Seedling Farm. The Farm covers 100 hectares and has an annual income of RMB 2.5 million Yuan.

Socio-economic context: Taizishan Provincial PA has full land tenure of its whole territory. Unlike many other PAs in China, its boundary has been clearly defined. There is just one permanent Hui settlement within the PA with a total of 130 inhabitants, living on 20 hectares of cropland. Their main livelihoods include crop farming, forestry, livestock and tourism. The main crops of local residents are wheat, corn, buckwheat and potatoes. In contrast to the sparse population inside the PA, Taizishan Provincial PA is surrounded by 836 villages belonging to 117 townships with a population of 1.22 million. Nationality is diverse including Han, Hui, Tibetan, Dongxiang, Bao'an, Sala and Tu. The average per-capita net income of local farmers is around RMB 1,300 Yuan per year. In recent years local residents can make over RMB 3 million Yuan income each year through participating in PA operation activities such as forest management, tourism, forest seedling production, non-timber product collection and infrastructure construction.

Threats and baseline scenario: Biodiversity in Taizishan PA is threatened by soil erosion caused by agriculture, illegal logging for firewood and other uses, inappropriate tourism, poaching and overgrazing.

## Annex 4: Financial Scorecard - PART I – Overall Financial Status of Gansu Protected Area System

Basic Protected Area System Information			
<p><b>Describe the PA system and what it includes:</b></p> <p>The Gansu PA Financial Scorecard was completed in August 2009, focusing on the PA system of Gansu Provincial protected areas in China managed by Gansu Forestry Bureau (GFB), Gansu Wildlife Conservation Bureau (GWCB). As PAs are established in compliance with National Protected Areas Regulation which primarily prohibits development activities inside, PAs in China and Gansu as well are defined as IUCN Category V. Specifically the scorecard focuses on two levels of PAs because statistics on different classifications of protected areas are not available. As a result, financial scorecard data and information are presented for National and Provincial PAs only.</p> <p>The baseline year is Fiscal year 2008 (January - December 2008). As this is the first time the scorecard is completed the scorecard mainly presents baseline year data (some tourism data for previous years are also listed).</p>			
Protected Areas System or sub-system	Number of sites	Total hectares	Comments
National protected areas	13	6,531,000	The number of PAs in Gansu as indicated only refer to those managed by Gansu Wildlife Conservation Bureau (GWCB) under the Gansu Forestry Bureau (GFB). The August 19 2009 Financing scorecard workshop was also informed that the Provincial Bureau of Agriculture and Animal Husbandry manages 6 “aquatic protected areas” to conserve fish species. Similarly there are also protected areas which are managed by the Provincial Bureau of Land and Resources and by other provincial bureaus. However, PAs managed by other bureaus in Gansu are not included in this analysis. The Fiscal Year (FY) in China begins January 1 and finishes December 31. The total hectares of the Gansu PA system include all PAs in Gansu.
Sub-national (provincial and county) protected areas	33	2,314,000	Sub-National PAs in Gansu managed by forestry include 30 provincial, 1 municipal level and 2 county level PAs.
- Forest ecosystem PA	21		
- Wildlife sanctuaries	21		
- Wetland PA	2		
- Dryland PA	2		
Co-managed protected areas	0	0.00	No formal co-managed areas in Gansu and therefore they are not addressed in this scorecard.
Others (define)	0	0.00	Not Applicable (NA)

<b>Financial Analysis of the Gansu Protected Area System</b>	Baseline year <sup>12</sup> 2008 US\$ <sup>13</sup>	Year X <sup>14</sup> US\$ <sup>15</sup>	Comments <sup>16</sup>
<b>Available Finances<sup>17</sup></b>			
(1) Total annual government budget allocated to PA management (excluding donor funds and revenues generated for the PA system)			90% of PAs in Gansu Province are managed by Gansu Wildlife Conservation Bureau (GWCB) under the Gansu Forestry Bureau (GFB).
- national protected areas	5,800,000		The robustness of the financial data is high as provided by the Gansu Forestry Bureau. The budget was for wetland protection, forest fire protection, and PA construction. The budget does not include salary of permanent government Staff and central government transfer for programs not specifically targeted for PAs.
• National parks & Forest Park			No breakdown data are available.
• Wildlife sanctuaries & Non Hunting Area			Wildlife sanctuaries & Non Hunting Areas are established as protected areas in China
- sub-national (provincial and county) protected areas	6,100,000		The data was provided by the Finance Branch of GFB and robustness is high. The budget was from central government as ecological forest conservation payment.
- co-managed protected areas	-		NA
- others	-		NA
(2) Total annual government budget provided for PA management (including PA dedicated taxes <sup>18</sup> , Trust Funds, donor funds, loans, donations, debt-for nature swaps and other financial mechanisms)	0		Budget was almost all allocated by the central government budget.

<sup>12</sup> The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year eg 2007.

<sup>13</sup> US\$1=6.8346RMB, 31 December2008

<sup>14</sup> X refers to the year the Scorecard is completed and should be inserted (eg 2008). For the first time the Scorecard is completed X will be the same as the baseline year. For subsequent years insert an additional column to present the data for each year the Scorecard is completed.

<sup>15</sup> Insert in footnote the local currency and exchange rate to US\$ and date of rate

<sup>16</sup> Comment should be made on robustness of the financial data presented (low, medium, high)

<sup>17</sup> This section unravels sources of funds available to PAs, categorized by (i) government core budget (line item 1), (ii) additional government funds (line item 2), and (iii) PA generated revenues (line item 3).

<sup>18</sup> Such as a conservation departure tax or water fees re-invested in PAs

- national protected areas	0		NA
• National parks & Forest Park	0		
• Wildlife sanctuaries & Non Hunting Area	0		
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
(3) Total annual site based revenue generation across all PAs broken down by source <sup>19</sup>			Indicate total economic value of PAs (if studies available) <sup>20</sup>
A. Tourism entrance fees	1,660,000		<p>The number of visitors to Gansu PAs in year 2008 is as follows:</p> <ul style="list-style-type: none"> <li>- international: 12,700</li> <li>- national: 2,715,700</li> </ul> <p>The GFB statistics/data provides the breakdown actual number of visitors by international or national for each of the PAs and forest parks in the province.</p> <p><b>Forest Park visitor numbers:</b></p> <p>2005 - 3, 732,800 visitors (foreign: 112,000)</p> <p>2006 - 3,262,900 visitors (foreign: 32,900)</p> <p>2007 - 3,75,000 visitors (foreign: 13,700)</p> <p><b>Total Revenue from tourism:</b></p> <p>2005 - 65,307,500 RMB</p> <p>2006 - 57,402,000 RMB</p> <p>2007 - 64,488,800 RMB</p> <p>2008 – 47,635,300 RMB</p> <p><b>Entrance fees:</b></p> <p>In 2005 - 17,293,200 RMB</p> <p>In 2006 - 23,176,100 RMB</p>

<sup>19</sup> This data should be the total for all the PA systems to indicate total revenues. If data is only available for a specific PA system specify which system

<sup>20</sup> Note this will include non monetary values and hence will differ (be greater) than revenues

			<p>In 2007 - 23,517,500 RMB</p> <p>In 2008 – see above</p> <p><b>Accomodation fee:</b></p> <p>In 2005 - 23,825,400 RMB</p> <p>In 2006 - 15,582,200 RMB</p> <p>In 2007 - 28,712,600 RMB</p> <p>In 2008 – 23,664,000 RMB</p> <p><b>Other:</b></p> <p>In 2005 - 18,119,900 RMB</p> <p>In 2006 – 16,394,000 RMB</p> <p>In 2007 – 9,529,200 RMB</p> <p>In 2008 – 9,777,500 RMB</p>
- national protected areas			
• Forest parks (total revenue)			
• Wildlife sanctuaries			Wildlife sanctuaries are established as PAs in China
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
B. Concessions	690,000		Primarily from four sources: restaurants, hotels, entertainments, souvenirs;
- national protected areas	-		NA
• National parks	-		
• Wildlife sanctuaries	-		
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
C. Payments for ecosystem services (PES)	0		Provide examples: (It is already included in the total budget.)

- national protected areas	-		
• National parks	-		
• Wildlife sanctuaries	-		
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
D. Other (specify each type of revenue generation mechanism <sup>21</sup> )	550,000		From sales of seedlings, livestock and medicinal plant nurseries
- national protected areas			
• National parks	-		
• Wildlife sanctuaries	-		
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
(4) Total annual revenues generated by PAs (total of (3))	2,900,000		
- national protected areas			
• National Parks and Forest Parks			
• Wildlife sanctuaries and Non Hunting Area			
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
(5) Percentage of PA generated revenues retained in the PA system for re-investment <sup>22</sup>			
	%		Specify whether PA generated revenues are retained directly in the PA system or are

<sup>21</sup> This could include fees for licenses, research etc

<sup>22</sup> This includes funds to be shared by PAs with local stakeholders

			sent to government and then returned back to the PA system
- national protected areas			
• National Parks and Forest Parks	0%		Forest parks are under the forest eco-tourism sector and have different budget system from PA budget system.
• Wildlife sanctuaries and Non Hunting Area	100%		<b>100%</b> is returned to PAs for operation and management.
- sub-national (state/regional/municipal) protected areas	100%		
- co-managed protected areas	-		NA
- others	-		NA
(6) Total finances available to the PA system [line item 2 ]+ [line item 4 * line item 5]	14,800,000		
- national protected areas			
• National Parks and Forest Parks			
• Wildlife sanctuaries and Non Hunting Area			
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
<b>Costs and Financing Needs</b>			
(7) Total annual expenditure for PAs (all PA operating and investment costs and system level expenses) <sup>23</sup>	14,800,000		State any extraordinary levels of capital investment in a given year State rate of disbursement – total annual expenditures as % of available finances (line item 6.) If this % is low, state reasons <sup>24</sup> :
- national protected areas			
• National Parks and Forest Park			
• Wildlife sanctuaries and Non Hunting Area			

<sup>23</sup> In some countries actual expenditure differs from planned expenditure due to disbursement difficulties. In this case actual expenditure should be presented and a note on disbursement rates and planned expenditures can be made in the Comments column.

<sup>24</sup> Low to be defined by country expectations and needs

- sub-national (state/regional/municipal) protected areas			
- co-managed protected areas	-		
- others	-		
(8) Estimation of financing needs <sup>25</sup>			Estimation of financial needs of the Gansu PA system was based on the 11 <sup>th</sup> -Five Year Plan for Gansu Forestry Bureau and the 2010-2020 Mid- and Long-term Forestry Plan.
A. Estimated financing needs for <i>basic</i> management costs (operational and investments) to be covered	99,552,717		Basic estimated budget for fiscal year 2009 is estimated as about \$99.55 million in the 11 <sup>th</sup> Five-Year Plan for GFB. It is clear that significant gap is existing between the current budget and the estimated basic need.
- national protected areas			
• National Parks and Forest Park			The estimated basic budget need is for all the PAs in the Gansu. No breakdown is available for budgets of different types of PAs at different levels.
• Wildlife sanctuaries and Non Hunting Area			
- sub-national (state/regional/municipal) protected areas	-		See above
- co-managed protected areas	-		NA
- others	-		NA
B. Estimated financing needs for <i>optimal</i> management costs (operational and investments) to be covered <sup>26</sup>	131,476,604		The optimal estimated budget for Gansu PA system is based on the 2010-2020 long-term Plan. The budget is also for the whole PA system and is not broken down into different types and levels of PAs in the Province.
- national protected areas			See above.
• National Parks and Forest Park			
• Wildlife sanctuaries and Non Hunting Area			
- sub-national (state/regional/municipal) protected areas	-		See above
- co-managed protected areas	-		NA
- others	-		NA
(9) Annual financing gap (financial needs – available finances) <sup>27</sup>			

<sup>25</sup> Complete this per PA system and add rows as necessary for each PA system for which needs are estimated

<sup>26</sup> Optimal scenarios should include costs of expanding the PA systems to be fully ecologically representative

A. Net actual annual surplus/deficit <sup>28</sup>	0		The figure covers all the PAs in the Gansu Province. All the data were provided by the Finance Branch of GFB (in Chinese).
- national protected areas			
• National Parks and Forest Park			
• Wildlife sanctuaries and Non Hunting Area			
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
B. Annual financing gap for basic expenditure scenarios	84,752,717		The figure covers all the PAs in the Gansu Province. All the data were provided by the Finance Branch of GFB.
- national protected areas	-		
• National Parks and Forest Park			
• Wildlife sanctuaries and Non Hunting Area			
- sub-national (state/regional/municipal) protected areas	-		NA
- co-managed protected areas	-		NA
- others	-		NA
C. Annual financing gap for optimal expenditure scenarios	116,676,604		
- national protected areas	-		See notes above regarding "optimal management" scenario.
• National Parks and Forest Park	-		
• Wildlife sanctuaries and Non Hunting Area	-		
- sub-national (state/regional/municipal) protected areas	-		
- co-managed protected areas	-		
- others	-		
D. Projected annual financing gap for basic expenditure	Similar to B		The annual budget for Gansu PA system in the 11 <sup>th</sup> Five-Year Plan (2006-2010) is quite similar. Based on this, it is estimated that budget for PA system in Gansu in

<sup>27</sup> Financing needs as calculated in (8) minus available financing total in (6)

<sup>28</sup> This will likely be zero but some PAs may have undisbursed funds and some with autonomous budgets may have deficits

scenario in year 2013 <sup>29,30</sup>			year 2013 will be also similar to current level.
- national protected areas	NA		
• National Parks and Forest Park	NA		
• Wildlife sanctuaries and Non Hunting Area	NA		
- sub-national (state/regional/municipal) protected areas			
- co-managed protected areas	-		NA
- others	-		NA
(10) Financial data collection needs	<p><b>Specify main data gaps identified from this analysis:</b></p> <ul style="list-style-type: none"> <li>• There are no financial data based on different classifications of PAs.</li> <li>• The GFB statistics/data provided did not break down budget for national level PAs and provincial PAs.</li> <li>• Although GFB Finance deals with both forest park eco-tourism and PAs, the two sectors are separated in terms of management and budget systems.</li> </ul> <p><b>Specify actions to be taken to fill data gaps<sup>31</sup>:</b></p> <ul style="list-style-type: none"> <li>• Revenues generated by all types of PAs in Gansu should be collected separately to give a full picture of PA costs and needs under basic and optimal scenarios. The robustness of PA generated revenues is low as PAs might be unwilling to provide real data.</li> </ul>		

<sup>29</sup> This data is useful to show the direction and pace of the PA system towards closing the finance gap. This line can only be completed if a long term financial analysis of the PA system has been undertaken for the country

<sup>30</sup> As future costs are projected, initial consideration should be given to upcoming needs of PA systems to adapt to climate change which may include incorporating new areas into the PA system to facilitate habitat changes and migration

<sup>31</sup> Actions may include (i) cost data based on site based management plans and extrapolation of site costs across a PA system and (ii) revenue and budget accounts and projections

## FINANCIAL SCORECARD – PART II – ASSESSING ELEMENTS OF THE FINANCING SYSTEM

**Note:** This assessment was done with a financing scorecard workshop on August 19 2009 attended by 22 participants including UNDP Programme Manager, one international consultant, two national consultants, staff from GFB, and directors and managers from 7 PAs in Gansu. Meanwhile, four representatives from key branches of GFB were interviewed and completed the Part II of the financial scorecard through separate interviews.

<b>Component 1 – Legal, regulatory and institutional frameworks</b>					<b>COMMENT</b>
<i>Element 1</i> – Legal, policy and regulatory support for revenue generation by PAs	None (0)	A Few (1)	Several (2)	Fully (3)	
(i) Laws or policies are in place that facilitate PA revenue mechanisms			√		Ecological Service Payment by central government for forest ecosystem protection is in place to support forest type PAs, yet the payment can only be used to cover maintenance, fire prevention and management costs but can not be used to pay PA staff salary. Legal framework for payment for ecological services of PAs in water supply to hydropower plants is still unavailable. In addition, the current National Nature Reserve Regulation only requires central government to provide partial financial support for operations of national level nature reserves
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	√				there is no legal framework to finance PA through any types of taxes.
<i>Element 2</i> - Legal, policy and regulatory support for revenue retention and sharing within the PA system	No (0)	Under development (1)	Yes, but needs improvement (2)	Yes, satisfactory (3)	
(i) Laws or policies are in place for PA revenues to be retained by the PA system (central and site levels)			√		Policies are in place to allow PAs to keep 100% of the income from tourist entrance fees and concessions from accommodation, restaurants and souvenirs,
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level				√	Policies are in place to allow PAs to keep 100% of the income from tourist entrance fees and concessions from accommodation, restaurants and souvenirs,

(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders			√		National Protected Area Regulation requires PAs to settle disputes with local stakeholders;
<i>Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)</i> <sup>32</sup>					
	No (0)	Established (1)	Established with limited capital (2)	Established with adequate capital (3)	
(i) A Fund has been established and capitalized to finance the PA system	√				
	None (0)	A few (1)	Several (2)	Sufficient (3)	
(ii) Funds have been created to finance specific PAs	√				
	No (0)	Partially (1)	Quite well (2)	Fully (3)	
(iii) Fund expenditures are integrated with national PA financial planning and accounting	√				
<i>Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government</i>	None (0)	Under development (1)	Yes, but needs improvement (2)	Yes, Satisfactory (3)	
(i) There are laws or policies which allow and regulate concessions for PA services			√		

<sup>32</sup> This element can be omitted in countries where a PA system does not require a Trust Fund due to robust financing within government

(ii) There are laws or policies which allow and regulate co-management of PAs			√		
(iii) There are laws or policies which allow and regulate local government management of PAs				√	
(iv) There are laws which allow, promote and regulate private reserves	√				
<i>Element 5 - National PA financing policies and strategies</i>					
(i) There are key PA financing policies for:	No (0)	Yes, but needs improvement (2)	Yes, satisfactory (3)		
- Comprehensive, standardized and coordinated cost accounting systems (both input and activity based accounting)		√			Participants at the Workshop said that funds which are raised by individual protected areas themselves are not subject to the unified government accounting system which applies to all funds which come from the central government and the provincial government.
- Revenue generation and fee levels across PAs	√				there are no standardized tourism concession fees (i.e., fees paid to PAs by private hotel operators, or by local governments that operate tourism concession inside PAs and charge their own separate entrance fees, such as at Sung min Yuan in Tai Dz Shan Nature Reserve). These fees vary among different PAs, and PA entry fees also vary.
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	√				the amount of money that individual PAs receive from the provincial government or central government is not based on threats, nor on business plans, nor on performance. The amount of money is also not based on size, because some PAs have 2000 staff while other PAs have no staff. The budgets are allocated based on a rather systematic approach considering size, number of staff, ranger station, etc.
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs		√			Tourism, mining, and other revenue-generating activities in the “experimental zones” of PAs are subject to regulations, but these regulations are often not enforced.
- PA management plans to include financial data or associated business plans		√			Only 3 PAs currently have management plans (which were required and financed by international donor projects), and no PAs in Gansu have business plans. Participants at the Workshop would have preferred to give a score of 1, but that is not an option for this item of the Scorecard.

(ii) Degree of formulation, adoption and implementation of a national financing strategy <sup>33</sup>	Not begun (0)	In progress (1)	Completed (3)	Under implementation (5)	
	√				
<b>Element 6 - Economic valuation of protected area systems</b> (ecosystem services, tourism based employment etc)	None (0)	Partial (1)	Satisfactory (2)	Full (3)	
(i) Economic valuation studies on the contribution of protected areas to local and national development are available		√			No valuation studies have been made available to the consultant. Some people interviewed did mention a couple of impact studies.
(ii) PA economic valuation influences government decision makers	√	(eg within Ministry of Environment )	(eg within other sectoral Ministries)	(eg within Ministry of Finance)	
<b>Element 7 - Improved government budgeting for PA systems</b>	No (0)	Partially (2)	Yes (3)		
(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans		√			the amount of money that a PA receives from the provincial government is based solely on the number of the PA's staff, and the money only covers salaries. The policy requires that a budget based on the management plan be submitted, however the budgets are based on basic workplans and rarely linked to actual, functional management plans.
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA) <sup>34</sup>		√			No funds for threat reduction in buffer zones come from the provincial government, but only come from national government programs such as the "Grain for Green" program.
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates			√		Budgets from the provincial government are never based on disbursement rates, but are only based on the number of PA staff.

<sup>33</sup> A national PA Financing Strategy will include targets, policies, tools and approaches

<sup>34</sup> This could include budgets for development agencies and local governments for local livelihoods

(iv) Ministry of Finance plans to increased budget, over the long term, to reduce the PA financing gap	√				
<i>Element 8</i> - Clearly defined institutional responsibilities for financial management of PAs	None (0)	Partial (1)	Improving (2)	Full (3)	
(i) Mandates of public institutions regarding PA finances are clear and agreed				√	It is clear which government agencies they should go to in order to ask for money, even if there is often no money available.
<i>Element 9</i> - Well-defined staffing requirements, profiles and incentives at site and system level	None (0)	Partial (1)	Almost there (2)	Full (3)	
(i) There is an organizational structure with a sufficient number of economists and financial planners in the PA authorities (central, regional and site levels) and sufficient authority to properly manage the finances of the PA system		√			Although the organizational structure includes accountants and people who are responsible for finance at the provincial and site levels, it is not clear whether there are any economists or financial planners at either level. It depends on how the qualifications for an economist or financial planner are defined.
(ii) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation <sup>35</sup>			√		They manage these issues with varying degrees of effectiveness. It is important to note that well managed and effective implementation is not necessarily encouraged or rewarded.
(iii) Budgetary incentives motivate PA managers to promote site level financial sustainability  (eg sites generating revenues do not experience budget cuts)		√			
(iv) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management		√			
(v) There is auditing capacity for PA finances			√		
(vi) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)			√		

<sup>35</sup> These responsibilities should be found in the Terms of Reference for the posts

<b>Total Score for Component 1</b>					<b>Actual score: 42</b> <b>Total possible score: 92</b> <b>#: 45.6%</b>
<b>Component 2 – Business planning and tools for cost-effective management</b>					<b>COMMENT</b>
<i>Element 1</i> – PA site-level business planning	Not begun (0)	Early stages (1)	Near complete (2)	Completed (3)	
(i) PA management plans includes conservation objectives, management needs and costs based on cost-effective analysis		√			The rating should be based on quality of management plans
(ii) PA management plans are used at PA sites across the PA system		√			Only 3 of the 7 PAs have management plans (i.e., based on analysis of threats and activities to address those threats, etc.), and all of these management plans were done as part of international donor-funded projects (GEF or EU)
(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system <sup>36</sup>	√				
(iv) Business plans are implemented across the PA system  (degree of implementation measured by achievement of objectives)	√				
(v) Business plans for PAs contribute to system level planning and budgeting	√				
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	√				

<sup>36</sup> A PA Business Plan is a plan that analyzes and identifies the financial gap in a PA's operations, and presents opportunities to mitigate that gap through operational cost efficiencies or revenue generation schemes. It does not refer to business plans for specific concession services within a PA. Each country may have its own definition and methodology for business plans or may only carry out financial analysis and hence may need to adapt the questions accordingly.

<i>Element 2 - Operational, transparent and useful accounting and auditing systems</i>	None (0)	Partial (1)	Near complete (2)	Fully completed (3)	
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system		√			
(ii) Revenue tracking systems for each PA in place and operational		√			
(iii) There is a system so that the accounting data contributes to system level planning and budgeting		√			
<i>Element 3 - Systems for monitoring and reporting on financial management performance</i>	None (0)	Partial (1)	Near completed (2)	Complete and operational (3)	
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders		√			
(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	√				Each PA does provide data in simple form. But how the data is used and analyzed to direct decisions is unclear.
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	√				
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives		√			This is done for project funding, but not for payment of recurrent costs (i.e., salaries)
<i>Element 4 - Methods for allocating funds across individual PA sites</i>	No (0)	Yes (2)			

(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)		√			The budgets are allocated based on a systematic approach considering size, number of staff, ranger station, etc. However even this is not the primary driver. It is clear that the only indicator is the amount allocated in the previous year. There is really no budgeting based on current management needs or performance.
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist		√			
<i>Element 5 - Training and support networks to enable PA managers to operate more cost-effectively</i>	Absent (0)	Partially done (1)	Almost done (2)	Fully (3)	
(i) Guidance on cost-effective management developed and being used by PA managers	√				
(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	√				
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	√				
(iv) Monitoring and learning systems of cost-effectiveness are in place and feed into system management policy and planning	√				
(v) PA site managers are trained in financial management and cost-effective management		√			
(vi) PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters <sup>37</sup>	√				
<b>Total Score for Component 2</b>					<b>Actual score: 12</b> <b>Total possible score: 48</b> <b>%: 25%</b>

<sup>37</sup> This might include aerial surveys, marine pollution monitoring, economic valuations etc.

<b>Component 3 – Tools for revenue generation by PAs</b>					<b>COMMENT</b>
<i>Element 1</i> - Number and variety of revenue sources used across the PA system	None (0)	Partially (1)	A fair amount (2)	Optimal (3)	
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	√				
(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system			√		PAs receive funding from the central government, provincial government, international donors, entry fees, concession fees, and profits from businesses operated by the PAs themselves, such as hotels, chicken and cattle farms (e.g., in Tai Dz Shan nature reserve), wineries, etc.
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	√				
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs		√			Local communities, in some cases, benefit from tourist visits. It is not clear how much and whether there is a positive outcome in terms of threat reduction.
<i>Element 2</i> - Setting and establishment of user fees across the PA system	No (0)	Partially (1)	Satisfactory (2)	Fully (3)	
(i) A system wide strategy and action plan for user fees is complete and adopted by government	√				
(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes		√			

ii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment <sup>38</sup>		√			Eco-tourism investments in Gansu for forest parks are not directly linked to conservation, and budgets of the two sectors are separated.
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives			√		Yes, but varies - depends on the capability of the superintendent and staff and design of the management and work plans.
(v) Non tourism user fees are applied and generate additional revenue		√			there are regulations for charging user fees, but these regulations are not implemented.
<i>Element 3 - Effective fee collection systems</i>	None (0)	Partially (1)	Completed (2)	Operational (3)	
(i) System wide guidelines for fee collection are complete and approved by PA authorities	√				It is estimated by the GFB that forest parks lose revenues as a result of larger investment costs.
(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner		√			Simple and effective where applied.
(iii) Fee collection systems are monitored, evaluated and acted upon	√				It is not clear exactly how they are evaluated and acted on, but systems and fee revenues are well monitored by central accounting.
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided		√			This can be done through visitor surveys
<i>Element 4 - Marketing and communication strategies for revenue generation mechanisms</i>	None (0)	Partially (1)	Satisfactory (2)	Fully (3)	
(i) Communication campaigns and marketing for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	√				

<sup>38</sup> As tourism infrastructure increases within PAs and in turn increases visitor numbers and PA revenues the score for this item should be increased in proportion to its importance to funding the PA system.

(i) Communication campaigns and marketing for the public about PA fees are in place at PA site level	√				
<i>Element 5</i> - Operational PES schemes for PAs <sup>39</sup>	None (0)	Partially (1)	Progressing (2)	Fully (3)	
(i) A system wide strategy and action plan for PES is complete and adopted by government		√			
(ii) Pilot PES schemes at select PA sites developed	√				
(iii) Operational performance of pilots is monitored, evaluated and reported	√				
(iv) Scale up of PES across the PA system is underway	√				
<i>Element 6</i> - Concessions operating within PAs <sup>40</sup>	None (0)	Partially (1)	Progressing (2)	Fully (3)	
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	√				Not policies exist to encourage concessions.
(ii) Concession opportunities are operational at pilot PA sites		√			
(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon		√			
(iv) Scale up of concessions across the PA system is underway	√				
<i>Element 7</i> - PA training programmes on revenue generation mechanisms	None (0)	Limited (1)	Satisfactory (2)	Extensive (3)	

<sup>39</sup> Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system

<sup>40</sup> Concessions will be mainly for tourism related services such as visitor centres, giftshops, restaurants, transportation etc

(i) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration		√			
Total Score for Component 3					<b>14</b>

## FINANCIAL SCORECARD – PART III – SCORING AND MEASURING PROGRESS

<b>Total Score for PA System</b>	<b>68</b>
<b>Total Possible Score</b>	<b>209</b>
<b>Actual score as a percentage of the total possible score</b>	<b>32.5%</b>
<b>Percentage scored in previous year<sup>41</sup></b>	<b>NA</b>

Signature<sup>42</sup>: \_\_\_\_\_

Director of Protected Areas System

Date: \_\_\_\_\_

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<sup>41</sup> Insert NA if this is first year of completing scorecard.

<sup>42</sup> In case a country does not have an official national Protected Areas system, the head of the authority with most responsibility for protected areas or the sub-system detailed in the Scorecard, should sign.

## Annex 5: METT Scorecards of Four Protected Areas in Taohe River Basin

### Section One: Project General Information

1. Project Name: Strengthening globally important biodiversity conservation through protected area strengthening in Gansu Province
2. Project Type (MSP or FSP): FSP
3. Project ID (GEF): 4072
4. Project ID (IA): UNDP
5. Implementing Agency: Gansu Forestry Bureau, Gansu Province
6. Country(ies): China

Name of reviewers completing tracking tool and completion dates:

	<b>Name</b>	<b>Title</b>	<b>Agency</b>
<b>Work Program Inclusion</b>	<b>Yinfeng GUO</b>	<b>Programme Manager</b>	<b>UNDP China Office</b>
<b>Project Mid-term</b>			
<b>Final Evaluation/project completion</b>			

7. Project duration: *Planned*   4   years *Actual*            years

8. Lead Project Executing Agency (ies):  
- Gansu Forestry Bureau, Gansu Province

9. GEF Strategic Program:

- Sustainable Financing of Protected Area Systems at the National Level (SP 1)
- Increasing Representation of Effectively Managed Marine PAs in PA Systems (SP 2)
- Strengthening Terrestrial PA Networks (SP 3)

10. Project coverage in hectares

<b>Targets and Timeframe</b>	<b>Foreseen at project start (ha)</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
<b>Total Extent in hectares of protected areas targeted by the project by biome type</b>			
Forest ecosystems	3,658,303		
Desert ecosystems	874,095		
Wetland and freshwater	2,376,503		
Grassland ecosystem	2,937,931		

Please complete the table below for the protected areas that are specific target of the GEF intervention. Use NA for not applicable.

Name of Protected Area	Is this a new protected area? Please answer yes or no.	Area in Hectares— please specify biome type	Global designation or priority lists (E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 200, etc.)	Local Designation of Protected Area (E.g, indigenous reserve, private reserve, etc.)	IUCN Category for each Protected Area <sup>43</sup>					
					I	II	III	IV	V	VI
1. Gahai Zecha National Nature Reserve	No	247,431 ha --- grassland, wetland and forest ecosystem		National Nature Reserve		✓				
2. Lianhuashan National Nature Reserve	No	11,691 ha --- forest ecosystem		National Nature Reserve		✓				
3. Taohe National Nature Reserve	No	470,017 ha, forest ecosystem		National Nature Reserve		✓				
4. Taizishan Provincial Nature Reserve	No	84,700 ha --- Forest Ecosystem		Provincial Nature Reserve		✓				

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- I. Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
- II. National Park: managed mainly for ecosystem protection and recreation
- III. Natural Monument: managed mainly for conservation of specific natural features
- IV. Habitat/Species Management Area: managed mainly for conservation through management intervention
- V. Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
- VI. Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems

## Data Sheet – Lianhuashan National Nature Reserve, METT Scorecard

Name of protected area	Lianhuashan National Nature Reserve	
Location of protected area (country, ecoregion, and if possible map reference)	Gansu, China, 103°40'-103°50' eastern longitude, 34°54' – 35°01' northern latitude	
Date of establishment (distinguish between agreed and gazetted*)	Approved in 1983	
Ownership details (i.e. owner, tenure rights etc)	State Forestry Administration	
Management Authority	Management bureau of Lianhuashan National Nature Reserve	
Size of protected area (ha)	11,691 ha	
Number of staff	Permanent: 90	Temporary: 16
Annual budget (US\$)	Provincial Finance: 4.39 million yuan/year, State Forestry Administration: 200,000 yuan/year	
Designations (IUCN category, World Heritage, Ramsar etc)	Wildlife and forest	
Reasons for designation	Protection of rare animals and plants and their wild habitats	
Brief details of GEF funded project or projects in PA		
Brief details of other relevant Projects in PA		
List the two primary protected area objectives		
Objective 1	Protection of rare animals and plants and their wild habitats	
Objective 2	Biological diversity monitoring	
List the top two most important threats to the PA (and indicate reasons why these were chosen)		
Threat 1	Human activity	
Threat 2	Resource over-exploitation and pollution	
List top two critical management activities		
Activity 1	Patrolling and monitoring	
Activity 2	Publicity and education	

Name/s of assessor (including people consulted): Xueren Dong, Xiaorong Chao

Issue	Criteria	Score	Comments	Next steps
1. Legal status Does the protected area have legal status?  <i>Context</i>	The protected area is not gazetted.		" Management Regulations of Lianhuashan National Nature Reserve in Gansu " has been implemented	
	The government has agreed that the protected area should be gazetted but the process has not yet begun.			
	The protected area is in the process of being gazetted but the process is still incomplete.			
	The protected area has been legally gazette (or in the case of private reserves is owned by a trust or similar).	3		
2. Protected area regulations Are inappropriate land uses and activities (e.g. poaching) controlled?  <i>Context</i>	There are no mechanisms for controlling inappropriate land use and activities in the protected area.		Human disturbance, resource over-exploitation and PowerStation development around.	strengthen the patrol work to enable the inappropriate land use and activities under control.
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively.			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them.	2		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented			
3. Law enforcement Can staff enforce protected area rules well enough?  <i>Context</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations.		Law enforcement officers' ability need to be improved.	Law enforcement knowledge training .
	There are major deficiencies in staff capacity / resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget).			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain.	2		
	The staff have excellent capacity/resources to enforce protected area legislation and Regulations			
4. Protected area objectives Have objectives been agreed?  <i>Planning</i>	No firm objectives have been agreed for the protected area.		Rare and endangered wildlife conservation and their habitats quality had been improved.	Strengthen the patrol and monitoring work to further achieve the conservation objectives.
	The protected area has agreed objectives, but is not managed according to these Objectives.			
	The protected area has agreed objectives, but these are only partially implemented.	2		
	The protected area has agreed objectives and is managed to meet these objectives.			
5. Protected area design Does the protected area need enlarging, corridors etc to meet its objectives?	Inadequacies in design mean achieving the protected areas major management objectives of the protected area is impossible.			Improve the reserve management objectives to reduce human activities impacts on the forest ecosystems
	Inadequacies in design mean that achievement of major objectives are constrained to some extent .			
	Design is not significantly constraining achievement of major objectives, but could be improved.	2		

Planning	Reserve design features are particularly aiding achievement of major objectives of the protected area.			
6. Protected area boundary demarcation Is the boundary known and demarcated? Context	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users.			
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land Users.			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated.			
	The boundary of the protected area is known by the management authority and local residents and is appropriately demarcated.	3		
7. Management plans there a management plan and is it being implemented?	There is no management plan for the protected area.			
	A management plan is being prepared or has been prepared but is not being implemented.	1		
	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems.			
	An approved management plan exists and is being implemented.			
Additional points Planning	The planning process allows adequate opportunity for key stakeholders to influence the management plan	+1		
	There is an established schedule and process for periodic review and updating of the management plan			
	The results of monitoring, research and evaluation are routinely incorporated into Planning			
8. Regular work plan Is there an annual work plan?  <i>Planning/Outputs</i>	No regular work plan exists.		There is no formal work plan prepared	Formal work plan needs to be prepared.
	A regular work plan exists but activities are not monitored against the plan's targets.	1		
	A regular work plan exists and actions are monitored against the plan's targets, but many activities are not completed.			
	A regular work plan exists, actions are monitored against the plan's targets and most or all prescribed activities are completed.			
9. Resource inventory Do you have enough information to manage the area?	There is little or no information available on the critical habitats, species and cultural values of the protected area.			
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision Making.	1		
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained.			

<i>Context</i>	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support.			
10. Research Is there a programme of management-orientated survey and research work? <i>Inputs</i>	There is no survey or research work taking place in the protected area.		Scientific department is understaffed and lacks vocational training	Strength the investigation and research in the reserve to improve the conservation management.
	There is some ad hoc survey and research Work.	1		
	There is considerable survey and research work but it is not directed towards the needs of protected area management.			
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs			
11. Resource management Is the protected area adequately managed (e.g. for fire, invasive species, poaching)? <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed.		Lack of hardware resources management	Additional revenue generation mechanisms to cover needs for ecosystem management in full.
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being Addressed.			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed.	2		
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully Addressed.			
12. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff.			
	Staff numbers are inadequate for critical management activities.			
	Staff numbers are below optimum level for critical management activities.			
	Staff numbers are adequate for the management needs of the site.	3		
13. Personnel management Are the staff managed well enough? <i>Process</i>	Problems with personnel management constrain the achievement of major management objectives.		Reserve Management Bureau has 8 departments including the resource management, forestry police, and fire prevention office and so on. There are also 6 Management stations, which can basically support the conservation management at present.	Further strengthen the scientific management of staff training, to promote the key management objectives.
	Problems with personnel management partially constrain the achievement of major management objectives.			
	Personnel management is adequate to the achievement of major management objectives but could be improved.	2		
	Personnel management is excellent and aids the achievement major management Objectives.			
14. Staff training Is there enough training for staff? <i>Inputs/Process</i>	Staff are untrained.		Level of scientific skills needs improvement, marketing and business planning skills are lacking.	
	Staff training and skills are low relative to the needs of the protected area.	1		
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management			

	Staff training and skills are in tune with the management needs of the protected area, and with anticipated future needs			
15. Current budget  Is the current budget sufficient?  <i>Inputs</i>	There is no budget for the protected area.			
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage.			
	The available budget is acceptable, but could be further improved to fully achieve effective management.	2		
	The available budget is sufficient and meets the full management needs of the protected Area.			
16. Security of budget  Is the budget secure?  <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding.			
	There is very little secure budget and the protected area could not function adequately without outside funding.			
	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding.	2		
	There is a secure budget for the protected area and its management needs on a multi year cycle.			
17. Management of budget  Is the budget managed to meet critical management needs?  <i>Process</i>	Budget management is poor and significantly undermines effectiveness.			
	Budget management is poor and constrains Effectiveness.	1		
	Budget management is adequate but could be improved.			
	Budget management is excellent and aids Effectiveness.			
18. EquipmentAre thereadequateequipment andfacilities?  <i>Process</i>	There are little or no equipment and facilities.		Reserve has 6 vehicles of different kinds, radios interphone, GPS, computers, printers and other equipment. More equipment for scientific research, monitoring patrol is .	Improve the construction of equipment and facilities to meet the conservation management needs.
	There are some equipment and facilities but these are wholly inadequate.	1		
	There are equipment and facilities, but still some major gaps that constrain management.			
	There are adequate equipment and facilities.			
19. Maintenance of equipment  Is equipment adequately maintained?  <i>Process</i>	There is little or no maintenance of equipment and facilities.		Funding shortage.	Seeking more funds to support the timely maintenance and update of equipment and facilities.
	There is some ad hoc maintenance of equipment and facilities.			
	There is maintenance of equipment and facilities, but there are some important gaps in Maintenance.	2		

	Equipment and facilities are well maintained.			
20. Education and awareness programme  Is there a planned education programme? <i>Process</i>	There is no education and awareness Programme.			
	There is a limited and ad hoc education and awareness programme, but no overall planning for this.	1		
	There is a planned education and awareness programme but there are still serious gaps.			
	There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area.			
21. State and commercial neighbours  Is there co-operation with adjacent land users?	There is no contact between managers and neighbouring official or corporate land users.		No conflicts in existence.	
	There is limited contact between managers and neighbouring official or corporate land Users.			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation.	2		
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on Management.			
22. Indigenous People Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions?	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area.		Low investment, with nearly no participation of indigenous people.	
	Indigenous and traditional peoples have some input into discussions relating to management but no direct involvement in the resulting decisions	1		
	Indigenous and traditional peoples directly contribute to some decisions relating to Management.			
	Indigenous and traditional peoples directly participate in making decisions relating to Management.			
23. Local communities Do local Communities resident or near the protected area have input to management	Local communities have no input into decisions relating to the management of the protected area.			
	Local communities have some input into discussions relating to management but no direct involvement in the resulting decisions.	1		
	Local communities directly contribute to some decisions relating to management.			
	Local communities directly participate in making decisions relating to management.			
Additional pointsOutputs	There is open communication and trust between local stakeholders and protected area managers.	+1		
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented.			

24. Visitor facilities Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services.		No visitor facilities, low level of service.	Improve the visitor facilities construction, and put into use as soon as possible.
	Visitor facilities and services are Inappropriate for current levels of visitation or are under construction.	1		
	Visitor facilities and services are adequate for current levels of visitation but could be Improved.			
	Visitor facilities and services are excellent for current levels of visitation.			
25. Commercial Tourism Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area.			
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters.			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values.			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, protect values and resolve Conflicts.	3		
26. Fees If fees (tourism, fines) are applied, do they help protected area management? <i>Outputs</i>	Although fees are theoretically applied, they are not collected.			
	The fee is collected, but it goes straight to central government and is not returned to the protected area or its environs.			
	The fee is collected, but is disbursed to the local authority rather than the protected area.			
	There is a fee for visiting the protected area that helps to support this and/or other protected areas.	3		
27. Condition assessment Is the protected area being managed consistent to its objectives? <i>Outcomes</i>	Important biodiversity, ecological and cultural values are being severely degraded.		Due to the early impact of human activities, there is some degradation of the ecosystem.	Improve the forest resources management, to reverse the biological diversity, ecological and cultural value degradation.
	Some biodiversity, ecological and cultural values are being severely degraded.			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted.	2		
	Biodiversity, ecological and cultural values are predominantly intact.			
Additional points <i>Outputs</i>	There are active programmes for restoration of degraded areas within the protected area and/or the protected area buffer zone.	+1		

28. Access Assessment Is access/resource sufficiently controlled? <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated Objectives.			
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives.			
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives.	2		
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated objectives.			
29. Economic Benefit Assessment Is the protected Area providing Economic benefits to local communities? <i>Outcomes</i>	The existence of the protected area has reduced the options for economic development of the local communities.			
	The existence of the protected area has neither damaged nor benefited the local Economy.			
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy.	2		
	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of locals, locally operated commercial tours etc).			
30. Monitoring and evaluation  Are management activities monitored Against performance?  Planning/Process	There is no monitoring and evaluation in the protected area.		Patrolling and monitoring work has been carried out, but the results have not systematically applied in the management.	
	There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results.			
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management.	2		
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management.			
<b>TOTAL SCORE</b>		<b>60</b>		

## Data Sheet – Gahai-Zecha National Nature Reserve, METT Scorecard

Name of protected area	Gahai-Zecha National Nature Reserve	
Location of protected area (country, ecoregion, and if possible map reference)	Gansu, China, 102,05-102,47 eastern longitude, 33,58 – 34,32 northern latitude	
Date of establishment (distinguish between agreed and gazetted*)	Agreed: 1998	
Ownership details (i.e. owner, tenure rights etc)	State Forestry Administration	
Management Authority	Management bureau of Gahai-Zecha Nature Reserve	
Size of protected area (ha)	247,431 ha	
Number of staff	Permanent: 57	Temporary: 6
Annual budget (US\$)	Provincial Finance: 1.50 million yuan/year, State Forestry Administration: 600,000 yuan/year	
Designations (IUCN category, World Heritage, Ramsar etc)	Wetland	
Reasons for designation	wetland ecosystems and forest ecosystems conservation	
Brief details of GEF funded project or projects in PA		
Brief details of other relevant Projects in PA		
List the two primary protected area objectives		
Objective 1	To protect the integrity of wetland ecosystem	
Objective 2	To protect the integrity of forest ecosystem	
List the top two most important threats to the PA (and indicate reasons why these were chosen)		
Threat 1	Livestock overload, over-grazing	
Threat 2	Climate change, wetlands, grassland degradation, declining biological diversity.	
List top two critical management activities		
Activity 1	Patrolling and monitoring	
Activity 2	Publicity and education	

**Name/s of assessor (including people consulted): Youshun Chen, Junzhen Li, Peilong Ma**

Issue	Criteria	Score	Comments	Next steps
1. Legal status Does the protected area have legal status?  <i>Context</i>	The protected area is not gazetted.			
	The government has agreed that the protected area should be gazetted but the process has not yet begun.			
	The protected area is in the process of being gazetted but the process is still incomplete.			
	The protected area has been legally gazette (or in the case of private reserves is owned by a trust or similar).	3		
2. Protected area regulations Are inappropriate land uses and activities (e.g. poaching) controlled?  <i>Context</i>	There are no mechanisms for controlling inappropriate land use and activities in the protected area.			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively.			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them.	2		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented.			
3. Law enforcement Can staff enforce protected area rules well enough?  <i>Context</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations.			
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget).	1		
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain.			
	The staff have excellent capacity/resources to enforce protected area legislation and Regulations.			
4. Protected area objectives Have objectives been agreed?  <i>Planning</i>	No firm objectives have been agreed for the protected area.			
	The protected area has agreed objectives, but is not managed according to these Objectives.			
	The protected area has agreed objectives, but these are only partially implemented.	2		
	The protected area has agreed objectives and is managed to meet these objectives.			
5. Protected area design Does the protected area need enlarging, corridors etc to meet its objectives?  <i>Planning</i>	Inadequacies in design mean achieving the protected areas major management objectives of the protected area is impossible.			
	Inadequacies in design mean that achievement of major objectives are constrained to some extent.			
	Design is not significantly constraining achievement of major objectives, but could be improved.	2		
	Reserve design features are particularly aiding achievement of major objectives of the protected area.			
6. Protected area boundary demarcation Is the boundary known and demarcated?  <i>Context</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users.			
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land Users.			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated.	2		
	The boundary of the protected area is known by the management authority and local residents and is appropriately demarcated.			
7. Management plan	There is no management plan for the protected area.		Due to the	To increase the investment and to improve the financial

Is there a management plan and is it being implemented? <i>Planning</i>	A management plan is being prepared or has been prepared but is not being implemented.		funding shortage, protected area management plan implementation has been incomplete.	mechanism of protected areas, to solve the problem of inadequate funding, and promote the implementation of management plans.
	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems.			
	An approved management plan exists and is being implemented.	3		
Additional points <i>Planning</i>	The planning process allows adequate opportunity for key stakeholders to influence the management plan.			
	There is an established schedule and process for periodic review and updating of the management plan.			
	The results of monitoring, research and evaluation are routinely incorporated into Planning.			
8. Regular workplanIs there an annualwork plan? <i>Planning/Output</i>	No regular work plan exists.			Improve the personnel training, purchase the monitoring equipment, and strengthen monitoring.
	A regular work plan exists but activities are not monitored against the plan's targets.			
	A regular work plan exists and actions are monitored against the plan's targets, but many activities are not completed.	2		
	A regular work plan exists, actions are monitored against the plan's targets and most or all prescribed activities are completed.			
9. Resource inventory Do you have enough information to manage the area? <i>Context</i>	There is little or no information available on the critical habitats, species and cultural values of the protected area.			Seek for funds to conduct additional investigation.
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision Making.			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained.	2		
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being Maintained.			
10. Research Is there a programme of management- orientated survey and research work? <i>Inputs</i>	There is no survey or research work taking place in the protected area.			Strengthen the professional training for special researchers and seek for funds to carry out periodic investigation.
	There is some ad hoc survey and research Work.			
	There is considerable survey and research work but it is not directed towards the needs of protected area management.	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs.			
11. Resource management Is the protected area adequately managed (e.g. for fire, invasive species, poaching)? <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed.			
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being Addressed.			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed.	2		
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully Addressed.			
12. Staff numbers	There are no staff.		The number of	Hiring more workers

Are there enough people employed to manage the protected area? <i>Inputs</i>	Staff numbers are inadequate for critical management activities.		workers has been serious insufficient at present.	through establishing more reasonable financial mechanisms.
	Staff numbers are below optimum level for critical management activities.	2		
	Staff numbers are adequate for the management needs of the site.			
13. Personnel management Are the staff managed well enough? <i>Process</i>	Problems with personnel management constrain the achievement of major management objectives.			Through training to enhance the management capacity of managers to promote the management goals.
	Problems with personnel management partially constrain the achievement of major management objectives.			
	Personnel management is adequate to the achievement of major management objectives but could be improved.			
	Personnel management is excellent and aids the achievement major management Objectives.	3		
14. Staff training Is there enough training for staff? <i>Inputs/Process</i>	Staff are untrained.			Introduce more training opportunities.
	Staff training and skills are low relative to the needs of the protected area.			
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management.	2		
	Staff training and skills are in tune with the management needs of the protected area, and with anticipated future needs.			
15. Current budget Is the current budget sufficient? <i>Inputs</i>	There is no budget for the protected area.		Management expenses have a greater gap at present.	To increase national and local input, and to improve the financial mechanism of protected areas, and thus to solve the problem of inadequate funding.
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage.	1		
	The available budget is acceptable, but could be further improved to fully achieve effective management.			
	The available budget is sufficient and meets the full management needs of the protected Area.			
16. Security of budgets Is the budget secure? <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding.			
	There is very little secure budget and the protected area could not function adequately without outside funding.			
	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding.	2		
	There is a secure budget for the protected area and its management needs on a multi year cycle.			
17. Management of budget Is the budget managed to meet critical management needs? <i>Process</i>	Budget management is poor and significantly undermines effectiveness.		Budget system is not perfect.	Establish a good budget system of protected areas.
	Budget management is poor and constrains Effectiveness.	1		
	Budget management is adequate but could be improved.			
	Budget management is excellent and aids Effectiveness.			
18. Equipment Are there adequate equipment and facilities? <i>Process</i>	There are little or no equipment and facilities.			
	There are some equipment and facilities but these are wholly inadequate.			
	There are equipment and facilities, but still some major gaps that constrain management.	2		
	There are adequate equipment and facilities.			
19. Maintenance of equipment Is equipment adequately maintained?	There is little or no maintenance of equipment and facilities.			
	There is some ad hoc maintenance of equipment and facilities.			

<i>Process</i>	There is maintenance of equipment and facilities, but there are some important gaps in Maintenance.	2		
	Equipment and facilities are well maintained.			
20. Education and awareness programme Is there a planned education programme? <i>Process</i>	There is no education and awareness Programme.	0	Public education program has been well implemented, but not enough depth and universal due to the lack of education funding.	To carry out universal public education programs of biodiversity conservation, and establish lasting implementation mechanisms.
	There is a limited and ad hoc education and awareness programme, but no overall planning for this.			
	There is a planned education and awareness programme but there are still serious gaps.			
	There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area.			
21. State and commercial neighbours Is there co- operation with adjacent land users? <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users.			
	There is limited contact between managers and neighbouring official or corporate land Users.			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation.	2		
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on Management.			
22. Indigenous People Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area.			Encourage residents of the stakeholders to increase investment in protected areas and participation in management decision-making.
	Indigenous and traditional peoples have some input into discussions relating to management but no direct involvement in the resulting decisions.	1		
	Indigenous and traditional peoples directly contribute to some decisions relating to Management.			
	Indigenous and traditional peoples directly participate in making decisions relating to Management.			
23. Local communities Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area.			
	Local communities have some input into discussions relating to management but no direct involvement in the resulting decisions.			
	Local communities directly contribute to some decisions relating to management.	2		
	Local communities directly participate in making decisions relating to management.			
Additional points Outputs	There is open communication and trust between local stakeholders and protected area managers.	+1		
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented.			
24. Visitor facilities Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services.			Resolve conflicts with builders to speed up the construction and tourist center in use.
	Visitor facilities and services are Inappropriate for current levels of visitation or are under construction.	1		
	Visitor facilities and services are adequate for current levels of visitation but could be Improved.			
	Visitor facilities and services are excellent for current levels of visitation.			
25. Commercial Tourism	There is little or no contact between managers and tourism operators using the protected area.			

Do commercial tour operators contribute to protected area management? <i>Process</i>	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters.	1		
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values.			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, protect values and resolve Conflicts.			
26. Fees If fees (tourism, fines) are applied, do they help protected area management? <i>Outputs</i>	Although fees are theoretically applied, they are not collected.	0		
	The fee is collected, but it goes straight to central government and is not returned to the protected area or its environs.			
	The fee is collected, but is disbursed to the local authority rather than the protected area.			
	There is a fee for visiting the protected area that helps to support this and/or other protected areas.			
27. Condition assessment Is the protected area being managed consistent to its objectives? <i>Outcomes</i>	Important biodiversity, ecological and cultural values are being severely degraded.			Effective control of serious threats to resource.
	Some biodiversity, ecological and cultural values are being severely degraded.			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted.	2		
	Biodiversity, ecological and cultural values are Predominantly intact.			
Additional points Outputs	There are active programmes for restoration of degraded areas within the protected area and/or the protected area buffer zone.	+1		
28. Access Assessment Is access/resource use sufficiently Controlled? <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated Objectives.			
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives.			
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives.	2		
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated Objectives.			
29. Economic Benefit Assessment Is the protected Area providing Economic benefits to local communities? <i>Outcomes</i>	The existence of the protected area has reduced the options for economic development of the local communities.			
	The existence of the protected area has neither damaged nor benefited the local Economy.			
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy.	2		
	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of locals, locally operated commercial tours etc).			
30. Monitoring and evaluation	There is no monitoring and evaluation in the protected area.			
	There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results.	1		

Are management	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management			
	A good monitoring and evaluation system exists, is well implemented and used inadaptive management.			
<b>TOTAL SCORE</b>		<b>73</b>		

## Data Sheet – Taizishan Provincial Nature Reserve, METT Scorecard

Name of protected area	Taizishan Provincial Nature Reserve	
Location of protected area (country, ecoregion, and if possible map reference)	Gansu, China, 102 <sup>o</sup> 43-103 <sup>o</sup> 42 eastern longitude, 35 <sup>o</sup> 02 – 35 <sup>o</sup> 36 northern latitude	
Date of establishment (distinguish between agreed and gazetted*)	Agreed: 2005	
Ownership details (i.e. owner, tenure rights etc)	State Forestry Administration	
Management Authority	Management bureau of Taizishan Provincial Nature Reserve	
Size of protected area (ha)	84,700 ha	
Number of staff	Permanent: 392	Temporary: 68
Annual budget (US\$)	Provincial Finance: 7 million yuan/year, Self-employment income: 3 million yuan/year	
Designations (IUCN category, World Heritage, Ramsar etc)	IUCN category: forest ecosystem	
Reasons for designation	Forest ecosystems and rare plant and animal resources and their habitats, in particular, the forest musk deer, leopard and endangered birds conservation.	
Brief details of GEF funded project or projects in PA		
Brief details of other relevant Projects in PA	1) Biodiversity monitoring within the reserve; 2) The Water Conservation ability monitoring of the upstream of Tao River; 3) Rare animals and habitats monitoring and conservation in the reserve	
List the two primary protected area objectives		
Objective 1	To protect the unique ecosystem at the transition zone between Qinghai-Tibet Plateau and Loess Plateau	
Objective 2	To protect and enhance the biodiversity	
List the top two most important threats to the PA (and indicate reasons why these were chosen)		
Threat 1	Human activities including grazing, wood cutting and illegal hunting and so on.	
Threat 2	Negative effects taken by tourism and other tertiary industries.	
List top two critical management activities		
Activity 1	Patrolling and monitoring, strengthen the resources management.	
Activity 2	Publicity and education, enhance the popularity of the reserve.	

Issue	Criteria	Score	Comments	Next steps
1. Legal status Does the protected area have legal status? <i>Context</i>	The protected area is not gazetted.			
	The government has agreed that the protected area should be gazetted but the process has not yet begun.			
	The protected area is in the process of being gazetted but the process is still incomplete.			
	The protected area has been legally gazette (or in the case of private reserves is owned by a trust or similar).	3		
2. Protected area regulations Are inappropriate land uses and activities (e.g. poaching) controlled? <i>Context</i>	There are no mechanisms for controlling inappropriate land use and activities in the protected area.			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively.	2		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them.			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented.			
3. Law enforcement Can staff enforce protected area rules well enough? <i>Context</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations.			
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget).			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain.	2		
	The staff have excellent capacity/resources to enforce protected area legislation and Regulations.			
4. Protected area objectives Have objectives been agreed? <i>Planning</i>	No firm objectives have been agreed for the protected area.			
	The protected area has agreed objectives, but is not managed according to these Objectives.			
	The protected area has agreed objectives, but these are only partially implemented.			
	The protected area has agreed objectives and is managed to meet these objectives.	3		
5. Protected area design Does the protected area need enlarging, corridors etc to meet its objectives? <i>Planning</i>	Inadequacies in design mean achieving the protected areas major management objectives of the protected area is impossible.			
	Inadequacies in design mean that achievement of major objectives are constrained to some extent.			
	Design is not significantly constraining achievement of major objectives, but could be improved.	2		
	Reserve design features are particularly aiding achievement of major objectives of the protected area.			
6. Protected area boundary demarcation Is the boundary known and demarcated? <i>Context</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users.			To set the boundary markers of the reserve, and to enhance publicity.
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land Users.			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated.			
	The boundary of the protected area is known by the management authority and local residents and is appropriately demarcated.	3		
7. Management plan Is there a management plan and is it being	There is no management plan for the protected area.			
	A management plan is being prepared or has been prepared but is not being implemented.	1		

implemented? <i>Planning</i>	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems.			
	An approved management plan exists and is being implemented.			
Additional points <i>Planning</i>	The planning process allows adequate opportunity for key stakeholders to influence the management plan.	1		
	There is an established schedule and process for periodic review and updating of the management plan.			
	The results of monitoring, research and evaluation are routinely incorporated into Planning.			
8. Regular workplan Is there an annual work plan? <i>Planning/Output</i>	No regular work plan exists.			Improve the personnel training, purchase the monitoring equipment, and strengthen monitoring.
	A regular work plan exists but activities are not monitored against the plan's targets.	1		
	A regular work plan exists and actions are monitored against the plan's targets, but many activities are not completed.			
	A regular work plan exists, actions are monitored against the plan's targets and most or all prescribed activities are completed.			
9. Resource inventory Do you have enough information to manage the area? <i>Context</i>	There is little or no information available on the critical habitats, species and cultural values of the protected area.			Seek for funds to conduct additional investigation.
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision Making.			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained.	2		
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being Maintained.			
10. Research Is there a programme of management- orientated survey and research work? <i>Inputs</i>	There is no survey or research work taking place in the protected area.			
	There is some ad hoc survey and research Work.			
	There is considerable survey and research work but it is not directed towards the needs of protected area management.	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs.			
11. Resource management Is the protected area adequately managed (e.g. for fire, invasive species, poaching)? <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed.			
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being Addressed.			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed.	2		
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully Addressed.			
12. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff.		Reserve department setting is unreasonable.	Try for more departments.
	Staff numbers are inadequate for critical management activities.			
	Staff numbers are below optimum level for critical management activities.	2		
	Staff numbers are adequate for the management needs of the site.			

13. Personnel management Are the staff managed well enough? <i>Process</i>	Problems with personnel management constrain the achievement of major management objectives.			
	Problems with personnel management partially constrain the achievement of major management objectives.	1		
	Personnel management is adequate to the achievement of major management objectives but could be improved.			
	Personnel management is excellent and aids the achievement major management Objectives.			
14. Staff training Is there enough training for staff?  <i>Inputs/Process</i>	Staff are untrained.			
	Staff training and skills are low relative to the needs of the protected area.			
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management.	2		
	Staff training and skills are in tune with the management needs of the protected area, and with anticipated future needs.			
15. Current budget Is the current budget sufficient?  <i>Inputs</i>	There is no budget for the protected area.			
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage.			
	The available budget is acceptable, but could be further improved to fully achieve effective management.	2		
	The available budget is sufficient and meets the full management needs of the protected Area.			
16. Security of budgets the budget secure? <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding.			
	There is very little secure budget and the protected area could not function adequately without outside funding.			
	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding.	2		
	There is a secure budget for the protected area and its management needs on a multi year cycle.			
17. Management of budget Is the budget managed to meet critical management needs? <i>Process</i>	Budget management is poor and significantly undermines effectiveness.			
	Budget management is poor and constrains Effectiveness.	1		
	Budget management is adequate but could be improved.			
	Budget management is excellent and aids Effectiveness.			
18. Equipment Are there adequate equipment and facilities? <i>Process</i>	There are little or no equipment and facilities.			
	There are some equipment and facilities but these are wholly inadequate.	1		
	There are equipment and facilities, but still some major gaps that constrain management.			
	There are adequate equipment and facilities.			
19. Maintenance of equipment Is equipment adequately maintained? <i>Process</i>	There is little or no maintenance of equipment and facilities.			
	There is some ad hoc maintenance of equipment and facilities.	1		
	There is maintenance of equipment and facilities, but there are some important gaps in Maintenance.			
	Equipment and facilities are well maintained.			
20. Education and awareness programme Is there a planned education programme?	There is no education and awareness Programme.		Lack of education funding	
	There is a limited and ad hoc education and awareness programme, but no overall planning for this.	1		
	There is a planned education and awareness programme but there are still serious gaps.			

<i>Process</i>	There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area.			
21. State and commercial neighbours Is there co- operation with adjacent land users?  <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users.		2	
	There is limited contact between managers and neighbouring official or corporate land Users.			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation.			
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on Management.			
22. Indigenous People Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area.		1	
	Indigenous and traditional peoples have some input into discussions relating to management but no direct involvement in the resulting decisions.			
	Indigenous and traditional peoples directly contribute to some decisions relating to Management.			
	Indigenous and traditional peoples directly participate in making decisions relating to Management.			
23. Local communities Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area.		1	
	Local communities have some input into discussions relating to management but no direct involvement in the resulting decisions.			
	Local communities directly contribute to some decisions relating to management.			
	Local communities directly participate in making decisions relating to management.			
Additional points Outputs	There is open communication and trust between local stakeholders and protected area managers.	+1		
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented.			
24. Visitor facilities  Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services.		2	
	Visitor facilities and services are Inappropriate for current levels of visitation or are under construction.			
	Visitor facilities and services are adequate for current levels of visitation but could be Improved.			
	Visitor facilities and services are excellent for current levels of visitation.			
25. Commercial Tourism Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area.		2	
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters.			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values.			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, protect values and resolve Conflicts.			
26. Fees If fees (tourism, fines) are applied, do they help protected area management?	Although fees are theoretically applied, they are not collected.			
	The fee is collected, but it goes straight to central government and is not returned to the protected area or its environs.			

<i>Outputs</i>	The fee is collected, but is disbursed to the local authority rather than the protected area.			
	There is a fee for visiting the protected area that helps to support this and/or other protected areas.	3		
27. Condition assessment Is the protected area being managed consistent to its objectives? <i>Outcomes</i>	Important biodiversity, ecological and cultural values are being severely degraded.			
	Some biodiversity, ecological and cultural values are being severely degraded.			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted.	2		
	Biodiversity, ecological and cultural values are Predominantly intact.			
Additional points <i>Outputs</i>	There are active programmes for restoration of degraded areas within the protected area and/or the protected area buffer zone.			
28. Access Assessment Is access/resource use sufficiently Controlled? <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated Objectives.			
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives.	1		
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives.			
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated Objectives.			
29. Economic Benefit Assessment Is the protected Area providing Economic benefits to local communities? <i>Outcomes</i>	The existence of the protected area has reduced the options for economic development of the local communities.			
	The existence of the protected area has neither damaged nor benefited the local Economy.			
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy.	2		
	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of locals, locally operated commercial tours etc).			
30. Monitoring and evaluation  Are management	There is no monitoring and evaluation in the protected area.			
	There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results.	1		
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management			
	A good monitoring and evaluation system exists, is well implemented and used inadaptive management.			
<b>TOTAL SCORE</b>		<b>55</b>		

## Data Sheet – Taohe National Nature Reserve, METT Scorecard

Name of protected area	Taohe National Nature Reserve	
Location of protected area (country, ecoregion, and if possible map reference)	Gansu, China, 102°46'-103°51' eastern longitude, 34°10' – 35°9' northern latitude	
Date of establishment (distinguish between agreed and gazetted*)	Agreed: 2005	
Ownership details (i.e. owner, tenure rights etc)	State Forestry Administration	
Management Authority	Management bureau of Taohe Nature Reserve	
Size of protected area (ha)	470,017 ha	
Number of staff	Permanent: 1350	Temporary:
Annual budget (US\$)	Provincial Finance: 7 million yuan/year, Self-employment income: 3 million yuan/year	
Designations (IUCN category, World Heritage, Ramsar etc)	IUCN category: forest ecosystem	
Reasons for designation	relative comprehensive forest ecosystems and rich biodiversity, it is also the water conservation of the upstream of Yellow River and an important ecological barrier in southern Gansu	
Brief details of GEF funded project or projects in PA		
Brief details of other relevant Projects in PA	1, forest ecosystems, 2, cherish the wildlife resources and habitats	
List the two primary protected area objectives		
Objective 1	Full restoration of forest ecosystems in protected areas, and thus to enhance the functions of water conservation	
Objective 2	Wildlife resources and habitats are full and effectively protected, and the biodiversity enriched	
List the top two most important threats to the PA (and indicate reasons why these were chosen)		
Threat 1	The management bureau has no enough funding, which would be difficult to carry out a comprehensive conservation management activities and scientific research	
Threat 2	Local residents' activities of collecting firewood and herbs, grazing, and so on.	
List top two critical management activities		
Activity 1	Patrolling and monitoring, strengthen the resources management.	
Activity 2	Publicity and education, enhance the popularity of the reserve.	

Issue	Criteria	Score	Comments	Next steps
1. Legal status Does the protected area have legal status?  <i>Context</i>	The protected area is not gazetted.			
	The government has agreed that the protected area should be gazetted but the process has not yet begun.			
	The protected area is in the process of being gazetted but the process is still incomplete.			
	The protected area has been legally gazette (or in the case of private reserves is owned by a trust or similar).	3		
2. Protected area regulations Are inappropriate land uses and activities (e.g. poaching) controlled?  <i>Context</i>	There are no mechanisms for controlling inappropriate land use and activities in the protected area.		Protected area has regulations to limit the inappropriate land use and activities, but there are some invalidity during the implementation.	Enhance the effectiveness of the implementation
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively.			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them.	2		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented.			
3. Law enforcement Can staff enforce protected area rules well enough?  <i>Context</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations.		Protected area has a complete law enforcement system including police, prosecution, and court. It also has relatively complete resource management and protection team.	
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget).			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain.			
	The staff have excellent capacity/resources to enforce protected area legislation and Regulations.	3		
4. Protected area objectives Have objectives been agreed?  <i>Planning</i>	No firm objectives have been agreed for the protected area.		Consentaneous objective has been agreed, but only some of the goals have been implemented.	Implement the reserve according to the agreed objective.
	The protected area has agreed objectives, but is not managed according to these Objectives.			
	The protected area has agreed objectives, but these are only partially implemented.	2		
	The protected area has agreed objectives and is managed to meet these objectives.			
5. Protected area design Does the protected area need enlarging, corridors etc to meet its objectives?  <i>Planning</i>	Inadequacies in design mean achieving the protected areas major management objectives of the protected area is impossible.			
	Inadequacies in design mean that achievement of major objectives are constrained to some extent.			
	Design is not significantly constraining achievement of major objectives, but could be improved.			
	Reserve design features are particularly aiding achievement of major objectives of the protected area.	3		
6. Protected area boundary demarcation Is the boundary known and demarcated?  <i>Context</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users.			To set the boundary markers of the reserve, and to enhance publicity.
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land Users.			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated.			
	The boundary of the protected area is known by the management authority and local residents and is appropriately demarcated.	3		
7. Management plan Is there a management plan and is it being	There is no management plan for the protected area.		Management plan is not perfect due to	State and local governments should consider the reserve management investment, to
	A management plan is being prepared or has been prepared but is not being implemented.			

implemented? <i>Planning</i>	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems.	2	the insufficient funds that no investment of local government.	solve the funding problem, and thus promote the full implementation of management plans.
	An approved management plan exists and is being implemented.			
Additional points <i>Planning</i>	The planning process allows adequate opportunity for key stakeholders to influence the management plan.			
	There is an established schedule and process for periodic review and updating of the management plan.			
	The results of monitoring, research and evaluation are routinely incorporated into Planning.			
8. Regular work plan Is there an annual work plan? <i>Planning/Output</i>	No regular work plan exists.			Improve the personnel training, purchase the monitoring equipment, and strengthen monitoring.
	A regular work plan exists but activities are not monitored against the plan's targets.			
	A regular work plan exists and actions are monitored against the plan's targets, but many activities are not completed.			
	A regular work plan exists, actions are monitored against the plan's targets and most or all prescribed activities are completed.	3		
9. Resource inventory Do you have enough information to manage the area? <i>Context</i>	There is little or no information available on the critical habitats, species and cultural values of the protected area.			Seek for funds to conduct additional investigation.
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision Making.			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained.			
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being Maintained.	3		
10. Research Is there a programme of management- orientated survey and research work? <i>Inputs</i>	There is no survey or research work taking place in the protected area.		Reserve had carried out a considerable amount of investigation and research work, but did not directly meet the management needs.	Train more staff to participate in the investigation and research work, and organize more comprehensive research work.
	There is some ad hoc survey and research Work.			
	There is considerable survey and research work but it is not directed towards the needs of protected area management.	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs.			
11. Resource management Is the protected area adequately managed (e.g. for fire, invasive species, poaching)? <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed.			
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being Addressed.			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed.			
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully Addressed.	3		
12. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff.		Reserve department setting is unreasonable.	Try for more departments
	Staff numbers are inadequate for critical management activities.			
	Staff numbers are below optimum level for critical management activities.			
	Staff numbers are adequate for the management needs of the site.	3		

13. Personnel management Are the staff managed well enough? <i>Process</i>	Problems with personnel management constrain the achievement of major management objectives.			
	Problems with personnel management partially constrain the achievement of major management objectives.			
	Personnel management is adequate to the achievement of major management objectives but could be improved.	2		
	Personnel management is excellent and aids the achievement major management Objectives.			
14. Staff training Is there enough training for staff?  <i>Inputs/Process</i>	Staff are untrained.			Seek for more training opportunities during this project.
	Staff training and skills are low relative to the needs of the protected area.			
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management.	2		
	Staff training and skills are in tune with the management needs of the protected area, and with anticipated future needs.			
15. Current budget  Is the current budget sufficient?  <i>Inputs</i>	There is no budget for the protected area.		Not included in the budget, funding for protected areas rely mainly on natural forest protection project. Serious funding shortage had severely restricted the management function.	
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage.	1		
	The available budget is acceptable, but could be further improved to fully achieve effective management.			
	The available budget is sufficient and meets the full management needs of the protected Area.			
16. Security of budget Is the budget secure? <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding.	0	Expenses currently rely mainly on natural forest protection project.	Included in the provincial and the national budget to solve the funding shortage problem.
	There is very little secure budget and the protected area could not function adequately without outside funding.			
	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding.			
	There is a secure budget for the protected area and its management needs on a multi year cycle.			
17. Management of budget Is the budget managed to meet critical management needs? <i>Process</i>	Budget management is poor and significantly undermines effectiveness.	0	Management funds with non-budget	Included in the provincial and the national budget to solve the funding shortage problem.
	Budget management is poor and constrains Effectiveness.			
	Budget management is adequate but could be improved.			
	Budget management is excellent and aids Effectiveness.			
18. Equipment Are there adequate equipment and facilities? <i>Process</i>	There are little or no equipment and facilities.		Aging equipment due to the funding shortage limited the efficiency of the management activities.	Included in the provincial and the national budget to solve the funding shortage problem.
	There are some equipment and facilities but these are wholly inadequate.			
	There are equipment and facilities, but still some major gaps that constrain management.	2		
	There are adequate equipment and facilities.			
19. Maintenance of equipment Is equipment adequately maintained? <i>Process</i>	There is little or no maintenance of equipment and facilities.		Existing equipment maintenance has been supported by self-financing.	
	There is some ad hoc maintenance of equipment and facilities.			
	There is maintenance of equipment and facilities, but there are some important gaps in Maintenance.			
	Equipment and facilities are well maintained.	3		
20. Education and awareness programme Is there a planned education	There is no education and awareness Programme.		Educational programs had been	\
	There is a limited and ad hoc education and awareness programme, but no overall planning for this.			

programme? <i>Process</i>	There is a planned education and awareness programme but there are still serious gaps.	2	established, but need to do major improvements	
	There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area.			
21. State and commercial neighbours Is there co- operation with adjacent land users?  <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users.			
	There is limited contact between managers and neighbouring official or corporate land Users.			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation.			
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on Management.	3		
22. Indigenous People Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area.		Residents of the protected area invest very little to the reserve management, and almost no direct part in the final decision-making	Encourage residents of the stakeholders to increase investment in protected areas and participation in management decision-making.
	Indigenous and traditional peoples have some input into discussions relating to management but no direct involvement in the resulting decisions.	1		
	Indigenous and traditional peoples directly contribute to some decisions relating to Management.			
	Indigenous and traditional peoples directly participate in making decisions relating to Management.			
23. Local communities Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area.		part of the input was from local community, but also not directly involved in the final decision-making	
	Local communities have some input into discussions relating to management but no direct involvement in the resulting decisions.			
	Local communities directly contribute to some decisions relating to management.	2		
	Local communities directly participate in making decisions relating to management.			
Additional points Outputs	There is open communication and trust between local stakeholders and protected area managers.	+1		
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented.	+1		
24. Visitor facilities  Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services.			
	Visitor facilities and services are Inappropriate for current levels of visitation or are under construction.			
	Visitor facilities and services are adequate for current levels of visitation but could be Improved.			
	Visitor facilities and services are excellent for current levels of visitation.	3		
25. Commercial Tourism Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area.			
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters.			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values.			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, protect values and resolve Conflicts.	3		
26. Fees	Although fees are theoretically applied, they are not collected.			

If fees (tourism, fines) are applied, do they help protected area management? <i>Outputs</i>	The fee is collected, but it goes straight to central government and is not returned to the protected area or its environs.			
	The fee is collected, but is disbursed to the local authority rather than the protected area.			
	There is a fee for visiting the protected area that helps to support this and/or other protected areas.	3		
27. Condition assessment Is the protected area being managed consistent to its objectives? <i>Outcomes</i>	Important biodiversity, ecological and cultural values are being severely degraded.			
	Some biodiversity, ecological and cultural values are being severely degraded.			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted.			
	Biodiversity, ecological and cultural values are Predominantly intact.	3		
Additional points <i>Outputs</i>	There are active programmes for restoration of degraded areas within the protected area and/or the protected area buffer zone.	1		
28. Access Assessment Is access/resource use sufficiently Controlled? <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated Objectives.		Reserve is relatively ineffective in controlling access or use of the reserve due to that the protected areas are overlap with the local villages	Establish the carrying capacity control system of the reserve together with local governments, to restrict the number of people enter the reserve.
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives.			
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives.	2		
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated Objectives.			
29. Economic Benefit Assessment Is the protected Area providing Economic benefits to local communities? <i>Outcomes</i>	The existence of the protected area has reduced the options for economic development of the local communities.			
	The existence of the protected area has neither damaged nor benefited the local Economy.			
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy.			
	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of locals, locally operated commercial tours etc).	3		
30. Monitoring and evaluation  Are management	There is no monitoring and evaluation in the protected area.		Reserve is relatively ineffective in controlling access or use of the reserve due to that the protected areas are overlap with the local villages	Establish the carrying capacity control system of the reserve together with local governments, to restrict the number of people enter the reserve.
	There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results.			
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management	2		
	A good monitoring and evaluation system exists, is well implemented and used inadapptive management.			
<b>TOTAL SCORE</b>		<b>73</b>		

## Annex 6: Capacity scorecard results

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes	The protected area agenda is being effectively championed / driven forward	0 -- There is essentially no protected area agenda; 1 -- There are some persons or institutions actively pursuing a protected area agenda but they have little effect or influence; 2 -- There are a number of protected area champions that drive the protected area agenda, but more is needed; 3 -- There are an adequate number of able "champions" and "leaders" effectively driving forwards a protected area agenda	2	SPAM project formulated a strategy (2003), approved by Gov't decision but few people know about it! PAMB Directors know about it; decisions are based on Strategy; need authority to deal with all types of PAs
	There is a strong and clear legal mandate for the establishment and management of protected areas	0 -- There is no legal framework for protected areas; 1 -- There is a partial legal framework for protected areas but it has many inadequacies; 2 -- There is a reasonable legal framework for protected areas but it has a few weaknesses and gaps; 3 -- There is a strong and clear legal mandate for the establishment and management of protected areas	2	Focus on conservation and protection mostly
	There is an institution or institutions responsible for protected areas able to strategize and plan	0 -- Protected area institutions have no plans or strategies; 1 -- Protected area institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion; 2 -- Protected area institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation; 3 -- Protected area institutions have relevant, participatorially prepared, regularly updated strategies and plans	1.5	Only focus on SUF (terrestrial PAs); FPD deals with various different institutions to strategize and plan;
2. Capacity to implement policies, legislation, strategies and programmes	There are adequate skills for protected area planning and management	0 -- There is a general lack of planning and management skills; 1-- Some skills exist but in largely insufficient quantities to guarantee effective planning and management; 2 -- Necessary skills for effective protected area management and planning do exist but are stretched and not easily available; 3 -- Adequate quantities of the full range of skills necessary for effective protected area planning and management are easily available	1	
	There are protected area systems	0 -- No or very few protected area exist and they cover only a small portion of the habitats and ecosystems; 1 -- Protected area system is patchy both in number and geographical coverage and has many gaps in terms of representativeness; 2 -- Protected area system is covering a reasonably representative sample of the major habitats and ecosystems, but still presents some gaps and not all elements are of viable size; 3 -- The protected areas includes viable representative examples of all the major habitats and ecosystems of appropriate geographical scale	2	Wetlands and marine ecosystems are under-represented
	There is a fully transparent oversight authority (there	0 -- There is no oversight at all of protected area institutions;	2	Never independent evaluation or

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	are fully transparent oversight authorities) for the protected areas institutions	1 -- There is some oversight, but only indirectly and in a non-transparent manner; 2 -- There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized) ; 3 -- There is a fully transparent oversight authority for the protected areas institutions		monitoring of PA performance; needs further consideration; in reality management plan is not effective, only investment plan is implemented; not clear distinction between management and investment
	Protected area institutions are effectively led	0 -- Protected area institutions have a total lack of leadership; 1 -- Protected area institutions exist but leadership is weak and provides little guidance; 2 -- Some protected area institutions have reasonably strong leadership but there is still need for improvement; 3 -- Protected area institutions are effectively led	1.5	
	Protected areas have regularly updated, participatorially prepared, comprehensive management plans	0 -- Protected areas have no management plans; 1 -- Some protected areas have up-to-date management plans but they are typically not comprehensive and were not participatorially prepared; 2 -- Most Protected Areas have management plans though some are old, not participatorially prepared or are less than comprehensive; 3 -- Every protected area has a regularly updated, participatorially prepared, comprehensive management plan	1.5	
	Human resources are well qualified and motivated	0 -- Human resources are poorly qualified and unmotivated; 1 -- Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated; 2 -- HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified; 3 -- Human resources are well qualified and motivated.	1.5	
	Management plans are implemented in a timely manner effectively achieving their objectives	0 -- There is very little implementation of management plans; 1 -- Management plans are poorly implemented and their objectives are rarely met; 2 -- Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met; 3 -- Management plans are implemented in a timely manner effectively achieving their objectives	1.5	Can achieve objectives but not efficiently or with effectiveness
	Protected area institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	0 -- Protected area institutions typically are severely underfunded and have no capacity to mobilize sufficient resources; 1 -- Protected area institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate; 2 -- Protected area institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate; 3 -- Protected area institutions are able to adequately mobilize sufficient quantity of		See Financial scorecard results

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
		funding, human and material resources to effectively implement their mandate		
	Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	0 -- While the protected area institution exists it has no management; 1 -- Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal; 2 -- The institution(s) is (are) reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way; 3 -- The protected area institution is effectively managed, efficiently deploying its human, financial and other resources to the best effect	1.2!	
	Protected area institutions are highly transparent, fully audited, and publicly accountable	0 -- Protected area institutions totally untransparent, not being held accountable and not audited; 1 -- Protected area institutions are not transparent but are occasionally audited without being held publicly accountable; 2 -- Protected area institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent; 3 -- The Protected area institutions are highly transparent, fully audited, and publicly accountable	1	PAMBs are occasionally audited, but these are not independent
	There are legally designated protected area institutions with the authority to carry out their mandate	0 -- There is no lead institution or agency with a clear mandate or responsibility for protected areas; 1 -- There are one or more institutions or agencies dealing with protected areas but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements; 2 -- There are one or more institutions or agencies dealing with protected areas, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps; 3 -- Protected Area institutions have clear legal and institutional mandates and the necessary authority to carry this out	1.5	Some overlaps exist; e.g. wetlands – can be part of SUF's; wetlands also provide water for irrigation; many such overlaps exist; even police and provincial authorities, have responsibilities for SUFs
	Protected areas are effectively protected	0 -- No enforcement of regulations is taking place; 1 -- Some enforcement of regulations but largely ineffective and external threats remain active; 2 -- Protected area regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated; 3 -- Protected Area regulations are highly effectively enforced and all external threats are negated	1	
	Individuals are able to advance and develop	0 -- No career tracks are developed and no training opportunities are provided;	1.5	Policies are in place but implementation is

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	professionally	1 -- Career tracks are weak and training possibilities are few and not managed transparently; 2 -- Clear career tracks developed and training available; HR management however has inadequate performance measurement system; 3 -- Individuals are able to advance and develop professionally		weak
	Individuals are appropriately skilled for their jobs	0 -- Skills of individuals do not match job requirements; 1 -- Individuals have some or poor skills for their jobs; 2 -- Individuals are reasonably skilled but could further improve for optimum match with job requirement; 3 -- Individuals are appropriately skilled for their jobs	1.2	People with tertiary education few; in forestry sector only a few PhDs
	Individuals are highly motivated	0 -- No motivation at all; 1 -- Motivation uneven, some are but most are not; 2 -- Many individuals are motivated but not all; 3 -- Individuals are highly motivated	1	
	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	0 -- No mechanisms exist; 1 -- Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed; 2 -- Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required; 3 -- There are mechanisms for developing adequate numbers of the full range of highly skilled protected area professionals	2	
3. Capacity to engage and build consensus among all stakeholders	Protected areas have the political commitment they require	0 -- There is no political will at all, or worse, the prevailing political will runs counter to the interests of protected areas; 1 -- Some political will exists, but is not strong enough to make a difference; 2 -- Reasonable political will exists, but is not always strong enough to fully support protected areas; 3 -- There are very high levels of political will to support protected areas	2	High level commitment at central level but lower level commitment at provincial level
	Protected areas have the public support they require	0 -- The public has little interest in protected areas and there is no significant lobby for protected areas; 1 -- There is limited support for protected areas; 2 -- There is general public support for protected areas and there are various lobby groups such as environmental NGO's strongly pushing them; 3 -- There is tremendous public support in the country for protected areas	1	
	Protected area institutions are mission oriented	0 -- Institutional mission not defined; 1 -- Institutional mission poorly defined and generally not known and internalized at all levels; 2 -- Institutional mission well defined and internalized but not fully embraced; 3 -- Institutional missions are fully internalized and embraced	2	

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Protected area institutions can establish the partnerships needed to achieve their objectives	0 -- Protected area institutions operate in isolation; 1 -- Some partnerships in place but significant gaps and existing partnerships achieve little; 2 -- Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives; 3 -- Protected area institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner	1.5	
	Individuals carry appropriate values, integrity and attitudes	0 -- Individuals carry negative attitude; 1 -- Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2 -- Many individuals carry appropriate values and integrity, but not all; 3 -- Individuals carry appropriate values, integrity and attitudes	1	
4. Capacity to mobilize information and knowledge	Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access; 2 -- Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 -- Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system	1	
	Protected area institutions have the information needed to do their work	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2 -- Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity; 3 -- Adequate quantities of high quality up to date information for protected area planning, management and monitoring is widely and easily available	1.5	
	Individuals working with protected areas work effectively together as a team	0 -- Individuals work in isolation and don't interact; 1 -- Individuals interact in limited way and sometimes in teams but this is rarely effective and functional; 2 -- Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 -- Individuals interact effectively and form functional teams		Difficult to answer – high number of individuals involved – survey required
5. Capacity to monitor, evaluate, report and learn	Protected area policy is continually reviewed and updated	0 -- There is no policy or it is old and not reviewed regularly; 1 -- Policy is only reviewed at irregular intervals; 2 -- Policy is reviewed regularly but not annually; 3 -- National protected areas policy is reviewed annually	2	

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Society monitors the state of protected areas	0 -- There is no dialogue at all; 1 -- There is some dialogue going on, but not in the wider public and restricted to specialized circles; 2 -- There is a reasonably open public dialogue going on but certain issues remain taboo; 3 -- There is an open and transparent public dialogue about the state of the protected areas	0	
	Institutions are highly adaptive, responding effectively and immediately to change	0 -- Institutions resist change; 1 -- Institutions do change but only very slowly; 2 -- Institutions tend to adapt in response to change but not always very effectively or with some delay; 3 -- Institutions are highly adaptive, responding effectively and immediately to change	1	
	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	0 -- There are no mechanisms for monitoring, evaluation, reporting or learning; 1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be; 3 -- Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	1	Mechanisms for reporting, but not all PAs follow – no punishment for failure
	Individuals are adaptive and continue to learn	0 -- There is no measurement of performance or adaptive feedback; 1 -- Performance is irregularly and poorly measured and there is little use of feedback; 2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 -- Performance is effectively measured and adaptive feedback utilized	1	

## Annex 6: Capacity Scorecard Results

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes	The protected area agenda is being effectively championed / driven forward	0 -- There is essentially no protected area agenda; 1 -- There are some persons or institutions actively pursuing a protected area agenda but they have little effect or influence; 2 -- There are a number of protected area champions that drive the protected area agenda, but more is needed; 3 -- There are an adequate number of able "champions" and "leaders" effectively driving forwards a protected area agenda	2	SPAM project formulated a strategy (2003), approved by Gov't decision but few people know about it! PAMB Directors know about it; decisions are based on Strategy; need authority to deal with all types of PAs
	There is a strong and clear legal mandate for the establishment and management of protected areas	0 -- There is no legal framework for protected areas; 1 -- There is a partial legal framework for protected areas but it has many inadequacies; 2 -- There is a reasonable legal framework for protected areas but it has a few weaknesses and gaps; 3 -- There is a strong and clear legal mandate for the establishment and management of protected areas	2	Focus on conservation and protection mostly
	There is an institution or institutions responsible for protected areas able to strategize and plan	0 -- Protected area institutions have no plans or strategies; 1 -- Protected area institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion; 2 -- Protected area institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation; 3 -- Protected area institutions have relevant, participatorially prepared, regularly updated strategies and plans	1.5	Only focus on SUF (terrestrial PAs); FPD deals with various different institutions to strategize and plan;
2. Capacity to implement policies, legislation, strategies and programmes	There are adequate skills for protected area planning and management	0 -- There is a general lack of planning and management skills; 1-- Some skills exist but in largely insufficient quantities to guarantee effective planning and management; 2 -- Necessary skills for effective protected area management and planning do exist but are stretched and not easily available; 3 -- Adequate quantities of the full range of skills necessary for effective protected area planning and management are easily available	1	
	There are protected area systems	0 -- No or very few protected area exist and they cover only a small portion of the habitats and ecosystems; 1 -- Protected area system is patchy both in number and geographical coverage and has many gaps in terms of representativeness; 2 -- Protected area system is covering a reasonably representative sample of the major habitats and ecosystems, but still presents some gaps and not all elements are of viable size; 3 -- The protected areas includes viable representative examples of all the major habitats and ecosystems of appropriate geographical scale	2	Wetlands and marine ecosystems are under-represented
	There is a fully transparent oversight authority (there are fully transparent	0 -- There is no oversight at all of protected area institutions; 1 -- There is some oversight, but only indirectly	2	Never independent evaluation or monitoring of PA

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	oversight authorities) for the protected areas institutions	and in a non-transparent manner; 2 -- There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized) ; 3 -- There is a fully transparent oversight authority for the protected areas institutions		performance; needs further consideration; in reality management plan is not effective, only investment plan is implemented; not clear distinction between management and investment
	Protected area institutions are effectively led	0 -- Protected area institutions have a total lack of leadership; 1 -- Protected area institutions exist but leadership is weak and provides little guidance; 2 -- Some protected area institutions have reasonably strong leadership but there is still need for improvement; 3 -- Protected area institutions are effectively led	1.5	
	Protected areas have regularly updated, participatorially prepared, comprehensive management plans	0 -- Protected areas have no management plans; 1 -- Some protected areas have up-to-date management plans but they are typically not comprehensive and were not participatorially prepared; 2 -- Most Protected Areas have management plans though some are old, not participatorially prepared or are less than comprehensive; 3 -- Every protected area has a regularly updated, participatorially prepared, comprehensive management plan	1.5	
	Human resources are well qualified and motivated	0 -- Human resources are poorly qualified and unmotivated; 1 -- Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated; 2 -- HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified; 3 -- Human resources are well qualified and motivated.	1.5	
	Management plans are implemented in a timely manner effectively achieving their objectives	0 -- There is very little implementation of management plans; 1 -- Management plans are poorly implemented and their objectives are rarely met; 2 -- Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met; 3 -- Management plans are implemented in a timely manner effectively achieving their objectives	1.5	Can achieve objectives but not efficiently or with effectiveness
	Protected area institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	0 -- Protected area institutions typically are severely underfunded and have no capacity to mobilize sufficient resources; 1 -- Protected area institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate; 2 -- Protected area institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate; 3 -- Protected area institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to		See Financial scorecard results

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		effectively implement their mandate		
	Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	0 -- While the protected area institution exists it has no management; 1 -- Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal; 2 -- The institution(s) is (are) reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way; 3 -- The protected area institution is effectively managed, efficiently deploying its human, financial and other resources to the best effect	1.2!	
	Protected area institutions are highly transparent, fully audited, and publicly accountable	0 -- Protected area institutions totally untransparent, not being held accountable and not audited; 1 -- Protected area institutions are not transparent but are occasionally audited without being held publicly accountable; 2 -- Protected area institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent; 3 -- The Protected area institutions are highly transparent, fully audited, and publicly accountable	1	PAMBs are occasionally audited, but these are not independent
	There are legally designated protected area institutions with the authority to carry out their mandate	0 -- There is no lead institution or agency with a clear mandate or responsibility for protected areas; 1 -- There are one or more institutions or agencies dealing with protected areas but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements; 2 -- There are one or more institutions or agencies dealing with protected areas, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps; 3 -- Protected Area institutions have clear legal and institutional mandates and the necessary authority to carry this out	1.5	Some overlaps exist; e.g. wetlands – can be part of SUF's; wetlands also provide water for irrigation; many such overlaps exist; even police and provincial authorities, have responsibilities for SUFs
	Protected areas are effectively protected	0 -- No enforcement of regulations is taking place; 1 -- Some enforcement of regulations but largely ineffective and external threats remain active; 2 -- Protected area regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated; 3 -- Protected Area regulations are highly effectively enforced and all external threats are negated	1	
	Individuals are able to advance and develop	0 -- No career tracks are developed and no training opportunities are provided;	1.5	Policies are in place but implementation is

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	professionally	1 -- Career tracks are weak and training possibilities are few and not managed transparently; 2 -- Clear career tracks developed and training available; HR management however has inadequate performance measurement system; 3 -- Individuals are able to advance and develop professionally		weak
	Individuals are appropriately skilled for their jobs	0 -- Skills of individuals do not match job requirements; 1 -- Individuals have some or poor skills for their jobs; 2 -- Individuals are reasonably skilled but could further improve for optimum match with job requirement; 3 -- Individuals are appropriately skilled for their jobs	1.2	People with tertiary education few; in forestry sector only a few PhDs
	Individuals are highly motivated	0 -- No motivation at all; 1 -- Motivation uneven, some are but most are not; 2 -- Many individuals are motivated but not all; 3 -- Individuals are highly motivated	1	
	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	0 -- No mechanisms exist; 1 -- Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed; 2 -- Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required; 3 -- There are mechanisms for developing adequate numbers of the full range of highly skilled protected area professionals	2	
3. Capacity to engage and build consensus among all stakeholders	Protected areas have the political commitment they require	0 -- There is no political will at all, or worse, the prevailing political will runs counter to the interests of protected areas; 1 -- Some political will exists, but is not strong enough to make a difference; 2 -- Reasonable political will exists, but is not always strong enough to fully support protected areas; 3 -- There are very high levels of political will to support protected areas	2	High level commitment at central level but lower level commitment at provincial level
	Protected areas have the public support they require	0 -- The public has little interest in protected areas and there is no significant lobby for protected areas; 1 -- There is limited support for protected areas; 2 -- There is general public support for protected areas and there are various lobby groups such as environmental NGO's strongly pushing them; 3 -- There is tremendous public support in the country for protected areas	1	
	Protected area institutions are mission oriented	0 -- Institutional mission not defined; 1 -- Institutional mission poorly defined and generally not known and internalized at all levels; 2 -- Institutional mission well defined and internalized but not fully embraced; 3 -- Institutional missions are fully internalized and embraced	2	

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	Protected area institutions can establish the partnerships needed to achieve their objectives	0 -- Protected area institutions operate in isolation; 1 -- Some partnerships in place but significant gaps and existing partnerships achieve little; 2 -- Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives; 3 -- Protected area institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner	1.5	
	Individuals carry appropriate values, integrity and attitudes	0 -- Individuals carry negative attitude; 1 -- Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2 -- Many individuals carry appropriate values and integrity, but not all; 3 -- Individuals carry appropriate values, integrity and attitudes	1	
4. Capacity to mobilize information and knowledge	Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access; 2 -- Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 -- Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system	1	
	Protected area institutions have the information needed to do their work	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2 -- Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity; 3 -- Adequate quantities of high quality up to date information for protected area planning, management and monitoring is widely and easily available	1.5	
	Individuals working with protected areas work effectively together as a team	0 -- Individuals work in isolation and don't interact; 1 -- Individuals interact in limited way and sometimes in teams but this is rarely effective and functional; 2 -- Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 -- Individuals interact effectively and form functional teams		Difficult to answer – high number of individuals involved – survey required
5. Capacity to monitor, evaluate, report and learn	Protected area policy is continually reviewed and updated	0 -- There is no policy or it is old and not reviewed regularly; 1 -- Policy is only reviewed at irregular intervals; 2 -- Policy is reviewed regularly but not annually; 3 -- National protected areas policy is reviewed annually	2	

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	Society monitors the state of protected areas	0 -- There is no dialogue at all; 1 -- There is some dialogue going on, but not in the wider public and restricted to specialized circles; 2 -- There is a reasonably open public dialogue going on but certain issues remain taboo; 3 -- There is an open and transparent public dialogue about the state of the protected areas	0	
	Institutions are highly adaptive, responding effectively and immediately to change	0 -- Institutions resist change; 1 -- Institutions do change but only very slowly; 2 -- Institutions tend to adapt in response to change but not always very effectively or with some delay; 3 -- Institutions are highly adaptive, responding effectively and immediately to change	1	
	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	0 -- There are no mechanisms for monitoring, evaluation, reporting or learning; 1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be; 3 -- Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	1	Mechanisms for reporting, but not all PAs follow – no punishment for failure
	Individuals are adaptive and continue to learn	0 -- There is no measurement of performance or adaptive feedback; 1 -- Performance is irregularly and poorly measured and there is little use of feedback; 2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 -- Performance is effectively measured and adaptive feedback utilized	1	