

**Project Evaluation Series**

**Terminal evaluation of the project “Securing biodiversity conservation and sustainable use in China’s Dongting Lake Protected Areas”**

**Project code: GCP/CPR/043/GFF  
GEF ID: 4356**

**Annex 1. Terms of reference**

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## Abbreviations and acronyms

BH	Budget Holder
DWE	Dongting Wetlands Ecosystem
DWP	Department Division of Wildlife Protection
FAO	Food and Agriculture Organization of the United Nations
FDHP	Forestry Department of Hunan Province
FLO	Funding Liaison Officer
GCU	GEF Coordination Unit
GEF	Global Environment Facility
HPFD	Hunan Province Finance Department
LTO	Lead Technical Officer
MOF	Ministry of Finance
NR	Nature reserve
NRMB	Nature Reserve Management Bureau
OED	Office of Evaluation
OPIM	Operational Partners Implementation Modality
PMO	Project Management Office
PTF	Project Task Force
UNEG	United Nations Evaluation Group
WPRHP	Wetland Protection Regulation of Hunan Province

# 1. Introduction

1. In line with guidelines of the Food and Agriculture Organization of the United Nations (FAO) and the Global Environment Facility (GEF), the FAO Office of Evaluation (OED) will undertake the terminal evaluation of the project on 'Securing biodiversity conservation and sustainable use in China's Dongting Lake Protected Areas'. These terms of reference (TORs) have been developed to guide the evaluation. The document presents key elements that will shape the proposed evaluation by offering an evaluation roadmap and clarifying the roles of all stakeholders.
2. The TORs present in order: i) background and context of the evaluation with a summary of project details; ii) purpose and scope of the evaluation; iii) key evaluation questions; iv) methodology; v) evaluation team composition; vi) roles and responsibilities; vii) evaluation products; and viii) the evaluation timeline.

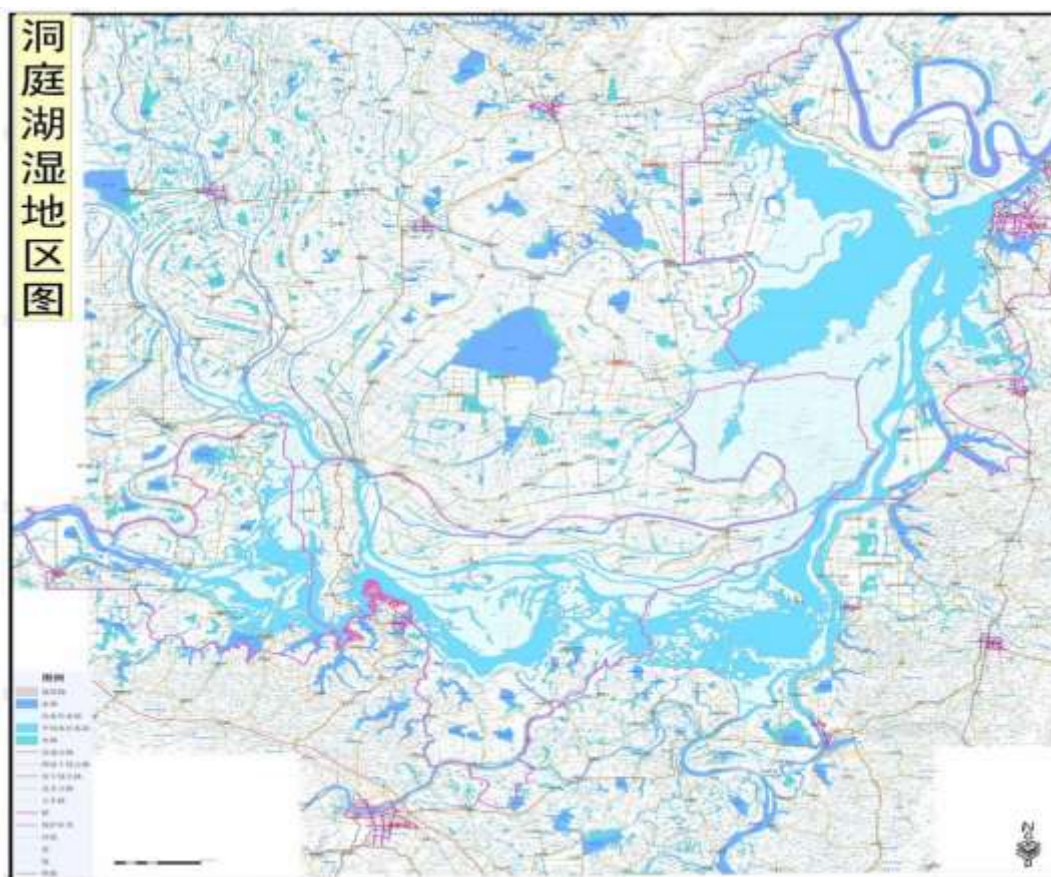
## 2. Background<sup>1</sup>

3. The Dongting Wetlands Ecosystem (DWE) is China's second largest freshwater lake located in the northeast of Hunan Province. The Wetlands were classified as one of the 200 key global ecozones by the World Wildlife Fund (WWF). It represents an important staging, wintering, and feeding site for the North-East Asian Flyway of migratory birds. The DWE plays an important socio-economic role in the immediate area and well beyond because of the ecosystem services it provides. Nearly 16 million people live around the lake, representing around 20 percent of the population in Hunan province. The agricultural production, benefiting from the humid climate and soils with high content of organic matter around the wetlands, account for one-third of the total production in the province.
4. Major sectors that depend on one or more environmental 'goods and services' provided by the ecosystem include fishing, tourism, commercial transport, and sand mining. A significant percentage of the livelihoods of the many adjacent villages and townships are derived either directly or indirectly from the wetlands. Fishers from as many as eight non-adjacent counties are dependent on it.
5. The administration of the DWE is divided into 17 counties and six state-owned farms, belonging to three municipalities, Yueyang, Yiyang and Changde. 26 public sector institutions are managing the DWE resources the most important being the Forestry Department (responsible for the poplar plantations), the Fisheries Administration Bureau, the Water Resource Department, the Reed Management Authority, Land Resources Department (responsible for sand mining), the Environmental Protection Department, and four Nature Reserve Management Bureaus (NRMB).
6. The DWE contains four nature reserves (NR) under the overall administration of the Forestry Department of Hunan Province (FDHP) covering 4 325 square kilometres, an important part of the DWE area: East Dongting Lake national NR and Ramsar<sup>2</sup> site in Yueyang municipality, West Dongting Lake provincial NR and Ramsar site in Changde municipality, South Dongting Lake provincial NR and Ramsar site in Yiyang municipality, and Hengling Lake provincial NR in Xiangyin county. Four separate NRMBs undertake the management of wetlands and wildlife within the NRs. However, even within the core protection zone, the NRMBs do not have jurisdiction over the fishery and reed resources, which fall under the Fisheries Administration Bureau and the Reed Management Authority respectively.

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<sup>1</sup> Based on information from the project documents and the mid-term review.

<sup>2</sup> Ramsar site is a wetland site designated to be of international importance. More information [here](#).

**Figure 1. Map of the Dongting wetlands and nature reserves**

Map conforms to UN. 2020. [Map. No. 4170, Rev. 19.](#)

7. Despite the significance of the highly diverse and productive biodiversity of the Wetlands, the important ecosystem and the services it provides are increasingly at risk. Loss of habitat arising from sector conflicts and economic interests of local farmers and fishers has resulted in a decline in the fauna populations and in some cases entire species in the wetlands.
8. Main threats to DWE services, biodiversity and local livelihood include:
  - i. pollution from point and non-point sources;<sup>3</sup>
  - ii. overfishing and unsustainable fishing practices;
  - iii. river traffic and sand mining affecting wildlife and degrading habitats;
  - iv. fragmentation of habitat by monoculture reed farming and poplar plantations for timber and pulp and other land conversions; and
  - v. distortion/changes in hydrological cycle by hydro-electric dams.

## 2.1 Project details

### 2.1.1 Overview

9. The project was initially designed as a five-year project that falls under the GEF period: GEF-5. It was approved on 6 June 2014 and activities started on 18 December 2014. The

<sup>3</sup> Non-point sources of pollution refer to pollution resulting from many diffused sources (Source: <https://www.nationalgeographic.org/encyclopedia/point-source-and-nonpoint-sources-pollution/>).

initial end date for the project was 31 December 2019, however, it was granted an extension to 12 November 2021.

**Table 1. Basic project information**

Project symbol	GCP/CPR/043/GFF
GEF project ID number	4356
Recipient countries	China
Implementing agency	FAO
Executing partner	Forestry Department of Hunan Province (FDHP)
GEF Focal Area	Biodiversity
GEF Strategic Objective	BD-1.1 (improved management effectiveness of existing and new protected areas) and BD-2.2 (Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks)
Approval date	06 June 2014
Date of project start	18 December 2014
Initial date of project completion (original NTE)	31 December 2019
Revised project implementation end date	12 November 2021

10. According to the project document, the goal of the project is to secure conservation of globally important biodiversity in the Dongting Lake through the strengthening of existing management efforts and the promotion of the wetland's long-term sustainable development.
11. The project's development objective is to recover fish stocks and promote sustainable fish farming and rice production, while supporting livelihoods and income generation for local fisheries and farming communities. Specifically, the project objectives are to: i) strengthen the existing institutional and policy framework; ii) promote an integrated, ecosystem-wide planning and management approach; iii) strengthen the existing network of wetland nature reserves; iv) demonstrate sustainable co-management models of DWE and biodiversity friendly production practices to reduce human activity pressure on the wetlands; and v) increase institutional capacity and public awareness and support for wetlands conservation.
12. To achieve these objectives, the project has four technical components:<sup>4</sup>
  - i. **Component 1: Strengthening of institutional capacities for integrated monitoring and management of biodiversity in DWE.** Includes activities to: i) operationalize and strengthen the inter-institutional Dongting Lake Conservation Commission; ii) conduct sector specific biodiversity and ecosystem threat analysis filling current information and analysis gaps; iii) develop and implement a five-year integrated DWE management plan; and iv) support the implementation of an Integrated Information Management System (IIMS) on status of biodiversity, ecosystem services, and socioeconomic indicators to support cross sector decision making including provincial departments of Environmental Protection, Water Resources, Fisheries, Forestry and NRs, and research institutions.
  - ii. **Component 2: Strengthening of management effectiveness of DWE NRs network.** Includes activities to: i) prepare, consult and approve local

<sup>4</sup> See the full project log frame in Appendix 1.

- Administrative Measures for NR decrees; ii) support the upgrading of West and South Dongting Lake NRs to national NRs and Hengling Lake to a Ramsar site; iii) develop and implement five-year NR Management Plans; iv) strengthen NR management capacities; v) develop, implement and upscale NR co-management models addressing key pressures on biodiversity and habitat, involving farmers and fishermen; and vi) develop and implement strategies for conservation of flagship species (finless porpoise, lesser white-fronted goose, black stork, Pere David's Deer, Whistle Swan).
- iii. **Component 3: Mainstreaming of biodiversity conservation in key sectors in DWE.** Includes activities to: i) support the process of drafting, consulting and obtaining approval of an amendment of the Wetland Protection Regulation of Hunan Province (WPRHP); ii) promote and support an alignment of sector policies and regulations with the amended WPRHP; iii) strengthen capacities of province and local authorities in the enforcement of wetland conservation laws and regulations; and iv) strengthening public and private capacities in biodiversity conservation practices in priority sectors.
- iv. **Component 4: Environmental education and awareness.** Includes activities to: i) support the preparation of DWE biodiversity communication and information material and improve infrastructure; ii) conduct special wetlands biodiversity campaigns and events; and iii) support the development of DWE conservation and sustainable use curricula for middle school.
- v. **Component 5: Project monitoring and evaluation (M&E) and information dissemination.** Includes activities to: i) set-up the project progress monitoring system; ii) mid-term and terminal evaluations; and iii) dissemination of project results.

### 2.1.2 Project budget

13. Details of the co-financing and GEF allocation are outlined in the table below.

**Table 2. Overview of GEF allocation and project co-financiers<sup>5</sup>**

	Amount (USD)
FAO	200 000
FDHP, Nature Reserve Management Bureaus, and local governments	2 900 000
National Wetland Conservation Programme (2011–2015) through FDHP	1 500 000
Wetland Conservation Subsidy Programme through FDHP	1 000 000
National Nature Reserve Development Programme through FDHP	2 000 000
<b>Total co-financing</b>	<b>7 600 000</b>
<b>Total GEF allocation</b>	<b>2 950 000</b>
<b>Total budget</b>	<b>10 550 000</b>

Source: Project document.

### 2.1.3 Project stakeholders and their role

14. The project is a joint effort by the Forestry Department of Hunan Province (FDHP), the four NRMBS, other provincial and local partners, and FAO and the Global Environmental Facility (GEF). The project is implemented through the Division of Wildlife Protection (DWP/FDHP) of the FDHP and the creation of a Project Management Office (PMO). The

<sup>5</sup> Figures as per the project document. Total estimated co-financing materialized as of June 30, 2020 is USD 53,050,000 as per the 2020 Project Implementation report.



four NRMBS for West, East, South and Hengling Dongting Lake NRs supported the day-to-day operations of activities in the NR core and experimental zones.

15. The work of the project management unit is linked with a wide range of stakeholders. The main stakeholders of the project are:
- i. At global level
    - **FAO:** As the GEF agency, in its capacity is responsible for providing technical guidance, overseeing project implementation in accordance with the project document and for managing and disbursing funds from GEF in accordance with FAO rules and procedures. It is also responsible for reporting to the GEF Secretariat through the annual Project Implementation Review on project progress and through financial reports to the GEF Trustee. FAO is only responsible for the GEF resources and the FAO co-financing. The project is implemented through FAO's Operational Partners Implementation Modality (OPIM),<sup>6</sup> where the FDHP is the executing partner.
  - ii. At national level
    - **Ministry of Finance** (MOF) is the GEF operational focal point in China responsible for coordinating the programming of GEF resources and overseeing the China GEF portfolio with the GEF agencies. MOF's specific responsibilities include monitoring and reviewing annual Project Implementation Review reports and organization of post project impact and evaluation studies (national evaluation of project), which will be shared with all project partners.
  - iii. At provincial level
    - **Forestry Department Hunan Province** (FDHP) is the project Executing Partner and is directly responsible for technical implementation of project activities, day-to-day monitoring as well as financial management and purchase of goods, minor works, and services (procurement). The FDHP's participation is primarily through DWP/FDHP, supported by its Division of Planning and Finance, Division of Science and International Affairs, and its Supervision and Inspection Office.
    - **Hunan Province Finance Department** (HPFD) received the GEF project funds from FAO on behalf of the Chinese government.
    - **Division of Wildlife Protection** (DWP/FDHP) is the focal point for all formal exchanges and collaboration with international agencies in relation to implementation and coordination of wild animal and plant protection projects with international support.
    - **NR co-executing partners:** the four NRMBS for West, East, South and Hengling NRs are co-executing partners supporting the day-to-day operations of activities supported in the NR core and experimental zones in component 2 and 4. Through the project implementation the NRs could

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<sup>6</sup> OPIM responds to the demand from beneficiary countries and resource partners to carry out FAO projects in collaboration with national and non-profit actors. It facilitates engagement with strategic operational partners. (For more information on OPIM: <http://www.fao.org/3/i7522e/i7522e.pdf> )

also increase the ability to work more closely with local communities and governments to form a NR monitoring and management network.

- The **Project Management Office** (PMO) is part of the DWP/FDHP in Changsha and is responsible for day-to-day project operations. The role of the PMO is to ensure the coordination and execution of the project through the timely and efficient implementation of annual work plans.

iv. At local level

- The **local governments** of Xiangyin county and the three municipalities Yueyang, Yiyang and Changde, and their bureaus are partners for all components. In particular they were planned to be consulted and involved in the development and implementation of the DWE Management Plan that the project promoted and updating/development of local regulations on protection of DWE. The local governments are also planned to benefit from the strengthening of the institutional and policy framework for a better integrated, ecosystem-wide management. They will have the opportunities to develop and implement sustainable plans through a better conserved and managed wetland resources.
- **Farmers, fishing communities and private sector companies** were also planned to play a central role in planning, implementing and monitoring the four demonstration models for NR co-management, such as the agriculture integrated management model, reed and poplar management model, organic fish farming, ecosystem and rights-based fisheries co-management model, eco-tourism and bird habitat conservation model. They are also considered important in the up scaling of the activities beyond the project. The local communities and the private sector will also get technical support to develop sustainable livelihood approaches, such as eco-fishery, bird friendly agriculture and eco-tourism. This would ensure that both the income of local people and the quality of wetland ecosystem is increased.

v. Academia

- **Universities**, such as the Central South Forestry University, Hunan Agriculture University, Hunan Normal University, play an important role in providing the project with specialists and university resources.
- **Research institutes**, such as the Institute of Subtropical Agriculture, provide the project with scientifically backed monitoring data for the Dongting Wetland through their field monitoring and research station in Dongting lake area. Their strong academic background also provides the project with a wide range of technical support on wetland ecosystems.

### 2.1.4 Theory of change

16. The project document does not propose any theory of change (TOC), but it has a detailed results matrix. If needed, the TOC developed for the mid-term review of the project will be developed further by the evaluation team in consultation with the project team.

### 3. Evaluation purpose and scope

17. As the project enters its last phase of implementation, the terminal evaluation aims to provide accountability for results achieved to resource partners, FAO Management and national governments as outlined in the GEF guidelines and its project document. The evaluation will seek to draw lessons from the implementation processes that could inform future projects and decisions by the GEF coordination unit, operational partners and project teams.
18. This evaluation will also draw upon the mid-term evaluation (MTE) conducted by OED in 2019 for lessons learnt from the project's experience and will assess the extent to which these were incorporated into its recent work. The MTE was conducted for both accountability and learning purposes, and documented important lessons to guide the remaining phase of the project and to improve its overall implementation.
19. The main audience and intended users of the evaluation are:
  - i. The FAO Country Office, the project teams at FAO Headquarters and in China that will use the evaluation findings and lessons to finalize the project, plan for sustainability of results achieved, and improve formulation and implementation of similar projects.
  - ii. The GEF, who could use the findings to inform strategic investment decisions in the future for similar projects.
  - iii. The Chinese counterparts such as in Jiangsu, Anhui and Hubei provinces with wide range of wetland distribution, and other partners that could use the evaluation findings and conclusions for future planning.
20. The terminal evaluation will cover the entire implementation period, including all project components, focusing in particular the period following the MTE. The evaluation team, in consultation with the project team, will select regions for field visits<sup>7</sup> and identify stakeholders to be involved and consulted.

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<sup>7</sup> If possible, with the current COVID-19 related travel restrictions.

## 4. Evaluation objective and key questions

21. The terminal evaluation will assess the delivery of results of the project as specified in the project document and their value to identified stakeholders at different levels. The evaluation will also review the processes followed, while taking into consideration the pre-conditions, linkages and/or partnerships or other arrangements in place (including OPIM) that have contributed to – or hindered – the implementation of project activities. These will provide lessons learned that will inform future projects.
22. The evaluation will explore the GEF evaluation criteria, covering relevance, effectiveness, efficiency, and sustainability of project outcomes, factors affecting performance and delivery of project results, and cross cutting dimensions. It will generate recommendations for the improvement of future projects. A short description of what these GEF evaluation criteria entail can be found below. Please refer to Appendix 2 for further details on the GEF evaluation criteria and rating scheme.
- i. **Relevance** - the extent to which the objectives of the project are consistent with GEF and FAO strategic priorities, beneficiaries’ and country requirements, as well as its complementarity with existing interventions. It also entails an assessment of project design in achieving its objectives.
  - ii. **Effectiveness** - assessment of project results<sup>8</sup> including the overall quality of project outputs and outcomes, and a brief assessment of the likelihood of longer-term impacts resulting from the project. It also includes factors affecting the performance and delivery of project results, focused on quality of project oversight, execution and management, including financial management and materialisation of co-financing, partnerships– with particular attention to the Operational Partners Implementation Modality (OPIM), and monitoring and evaluation (M&E), with specific attention to M&E design.
  - iii. **Efficiency** - assessment of the cost-effectiveness of the project, and timeliness of its activities.
  - iv. **Sustainability of project outcomes**, including potential for scale up and/or replication, assessment of the overall likelihood of risks to sustainability, including financial, socio-political, institutional, environmental risks.
  - v. **Cross-cutting dimensions**, including gender and equity concerns, targeting and inclusiveness, environmental and social safeguards.
23. Based on the above-mentioned GEF evaluation criteria, the terminal evaluation report will address the questions in listed in Table 3. These will be further refined during the inception phase of the evaluation by the evaluation team.

**Table 3. Terminal evaluation main questions**

<b>1. Relevance</b> (rating required)	<p>1.1 Were the project outcomes relevant to the sub-national, national and global efforts aimed at biodiversity conservation?</p> <p>1.2 Was the project design appropriate for delivering the expected outcomes?</p> <p>1.2.1 Have there been any corrective actions taken to improve the project design, especially for the NR capacity building and knowledge management activities?</p> <p>1.2.2 Have specific features related to the OPIM project component been taken into consideration during project preparation and design (e.g. operational procedures and capacity of the Operational Partner(s), etc.)</p>
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<sup>8</sup> Including global environmental benefits linked to the project’s tracking tool.

<p><b>2. Effectiveness</b> (rating required)</p>	<p>2.1 To what extent has the project achieved its objectives (listed below), and were there any unintended results?</p> <ul style="list-style-type: none"> <li>(i) strengthen the existing institutional and policy framework;</li> <li>(ii) promote an integrated, ecosystem-wide planning and management approach;</li> <li>(iii) strengthen the existing network of wetland nature reserves;</li> <li>(iv) identify and demonstrate sustainable co-management models of DWE biodiversity and biodiversity friendly production practices to reduce human activity pressure on the Wetlands; and</li> <li>(v) increase institutional capacity and public awareness and support for wetlands conservation.</li> </ul> <p>2.2 What have been the key factors that have contributed to the achievement or non-achievement of results?</p> <p>2.2.1 To what extent did FAO and FDHP effectively discharge their role and responsibilities related to the design and implementation of the project?</p> <p>2.2.2 How has coordination and collaboration between key stakeholders (including FAO and FDHP) contributed to project results?</p> <p>2.2.3 How has the information from the M&amp;E system been used to make timely decisions and foster learning during project implementation?</p> <p>2.3 To what extent may the progress towards long-term impact be attributed to the project? Are there any barriers or other risks that may prevent future progress towards long-term impact?</p>
<p><b>3. Efficiency</b> (rating required)</p>	<p>3.1 To what extent has the project been implemented in an efficient and cost-effective manner?</p> <ul style="list-style-type: none"> <li>3.1.1 Were there any complementarities or duplication with other activities in the region?</li> <li>3.1.2 How has FAO's existing technical expertise been utilized in the design and implementation of the project?</li> </ul> <p>3.2 In what ways did the institutional set-up of the project, including the OPIM modality, contribute to efficiency?</p>
<p><b>4. Sustainability</b> (rating required)</p>	<p>4.1 What is the likelihood that the project results will continue to be useful or will remain even after the end of the project?</p> <ul style="list-style-type: none"> <li>4.1.1 To what extent did the OPIM modality contribute to ensure ownership and sustainability of the project results? <ul style="list-style-type: none"> <li>Did the delegation of project result implementation to the Operational Partner(s) contribute to strengthened capacities of regional, sub-regional and/or national entities?</li> <li>What was the value added of the involvement of the Operational Partner?</li> </ul> </li> <li>4.1.2 To what extent are the knowledge management and learning activities likely to support the sustainability of project results?</li> </ul> <p>4.2 What are the key risks which may affect the sustainability of the project results?</p>
<p><b>5. Stakeholder engagement</b></p>	<p>5.1 Were other actors, such as other public sector institutions, civil society, indigenous population or private sector involved in project design or implementation, and what was the effect on the project results?</p>
<p><b>6. Cross cutting dimensions</b></p>	<p><b>Gender</b></p> <p>6.1 To what extent were gender considerations taken into account in designing and implementing the project?</p> <ul style="list-style-type: none"> <li>6.1.1 Were there any corrective actions undertaken based on the recommendations of the MTE on gender mainstreaming?</li> <li>6.1.2 To what extent have men and women been affected differently by changes to natural resource use and decision making as a result of GEF outcomes?</li> </ul> <p><b>GEF additionality</b></p> <p>6.2 To what extent can the results of the project be attributed to the GEF contribution?</p> <p><b>Social and environmental safeguards</b></p> <p>6.3 To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?</p> <ul style="list-style-type: none"> <li>6.3.1 Were there any corrective actions undertaken based on the recommendations of the MTE on integrating social and environmental safeguards?</li> </ul>

## 5. Methodology

24. The evaluation will adhere to the UNEG Norms & Standards<sup>9</sup> and be in line with OED Manual and methodological guidelines and practices. The evaluation will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin its validation and analysis, and will support its conclusions and recommendations.
25. The evaluation will be results-focused and will use the above key questions as main areas of analysis. The sub-questions will be further elaborated in an evaluation matrix and developed during the inception phase of the evaluation.
26. The evaluation will benefit from a desk review of existing documents and other secondary data. Relevant documents for the evaluation include: i) existing project documents and reports (for example, annual work plans, project implementation review, progress reports, backstopping missions); ii) the developed manual, framework and indicators; and iii) the available M&E data. The desk-review will also be a key source of information to the inception phase.
27. The evaluation will make use of primary data sources including semi-structured key informant interviews with FAO personnel (at headquarters, regional and country-level), resource partners, government officials and FAO implementation partners (including technical experts and senior management in relevant UN agencies, non-governmental organizations (NGOs), technical agencies, etc.), and any relevant private sector service providers. Protocols for interviews will be developed by the evaluation team prior to the evaluation data collection phase. In consultation with the project team, the evaluation team will identify the assessment sites, as well as the main stakeholders to be interviewed during the evaluation.
28. The inception report will complement the TORs and contribute to guide the evaluation: it will provide the evaluation team a mutual understanding of the organization of the work. It will encompass a stakeholder analysis, detailed information on the evaluation approach and methodology, the evaluation matrix and an update of the limitations and risks, timeline and deliverables of the evaluation.
29. Final decisions about the evaluation design and data collection methods for the evaluation will emerge from consultations among the project team and the evaluation team about what is appropriate and feasible to answer the evaluation questions, in light of the COVID-19 related travel restrictions.
30. The terminal evaluation report is expected in October 2021 (see section 9 below).

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<sup>9</sup> More details on the UNEG Norms and Standards can be found here.  
<http://www.uneval.org/document/detail/21>

## **6. Evaluation team composition and profile**

31. The evaluation team will be composed of two external experts, one Evaluation Team Leader (ETL) and a National Consultant. The team will work under the guidance of the OED Evaluation Manager (EM). The external experts selected for this evaluation, will have experience and expertise in two or more of the following areas: project evaluation, biodiversity conservation and ecosystem management. All consultants will have some prior experience in evaluation, and some knowledge of the institutional, sociocultural and environmental context of the country.
32. The evaluation team will be independent from any organizations that have been involved in designing, executing or advising any aspect of the project. All team members will sign OED's Declaration of Interest form. To the extent possible, the evaluation team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

## 7. Roles and responsibilities

33. OED, in particular the EM develops the draft TORs with inputs from the project team. The TORs are based on a preliminary review of documents and an initial discussion with the project team. The EM is responsible for the finalization of the TOR and the identification of the evaluation team members.<sup>10</sup> The EM will brief the evaluation team on the evaluation methodology and process and will review the final draft report for quality assurance purposes in terms of presentation, compliance with the TORs and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report. OED also has the responsibility in following up with the Budget Holder (BH) for the timely preparation of the management response (MR).
34. In the exercise of the quality assurance function, OED may require textual and substantial changes on the report. Moreover, being the principal author of the report, OED holds an option to make final changes to the composition of the report as it deems necessary, and in line with FAO/UNEG evaluation standards and policies.
35. The Project Task Force (PTF), which includes the FAO BH, the Lead Technical Officer (LTO), the GEF Coordination Unit (GCU) focal point and the project team are responsible for initiating the evaluation process, providing inputs to the draft version of the TORs, especially the description of the background and context chapter, and supporting the evaluation team during its work. They are required to meet with the evaluation team, make available information and documentation as necessary, and comment on the draft report. Involvement of different members of the PTF will depend on respective roles and participation in the project.
36. The PTF will also assist the EM in the identification of potential consultants, as needed, and in the organization of the data collection. The BH is also responsible for leading and coordinating the preparation of the FAO MR and the follow-up report to the evaluation, fully supported in this task by the LTO and other members of the PTF. OED guidelines for the MR and the follow-up report provide necessary details on this process.
37. OED has the responsibility to follow up with the BH for the timely preparation of the MR and follow-up report to the evaluation.
38. The evaluation team is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for drafting the evaluation report. All team members, including the ETL, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the report. The evaluation team will agree on the outline of the report early in the evaluation process, based on the template provided by OED. The evaluation team will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within the available time and resources, based on discussions with the EM and where required, consultations with PTF. The evaluation team is fully responsible for its report which may not reflect the views of the Government or

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<sup>10</sup> The responsibility for the administrative procedures for recruitment of the team, will be decided on a case-by-case basis.



FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for the quality assurance of all evaluation reports.

39. The ETL guides and coordinates the evaluation team members in their specific work, discusses their findings, conclusions and recommendations. The ETL prepares and revises the draft and the terminal evaluation report, consolidating the inputs from the team members with his/her own.<sup>11</sup>

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<sup>11</sup> For further details related to the tasks of evaluation team members, please refer to the calls for expression of interested shared provided by OED.

## 8. Evaluation products (deliverables)

40. This section describes the key evaluation products the evaluation team will be accountable for producing. These products include:
- i. The evaluation **TORs**.
  - ii. An **inception report** for the use of the team and OED including an **evaluation matrix** and a **stakeholder analysis**: the evaluation matrix will show how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures, and interview guides for relevant country-level stakeholders.
  - iii. **Draft evaluation report**: the project team and key stakeholders will be provided the draft evaluation report to ensure that the evaluation meets the required quality criteria. The draft report will illustrate the evidence found that responds to the evaluation questions listed in the TORs.
  - iv. **Terminal evaluation report**: the terminal evaluation report will include an executive summary. The report will be prepared in English with numbered paragraphs, following the OED template for report writing. Supporting data and analysis will be annexed to the report when considered important to complement the main report. Translations in other languages of the Organization, if required, will be FAO's responsibility. The evaluation report would include the following GEF ratings table:

**Table 4. GEF rating scheme<sup>12</sup>**

GEF criteria/sub-criteria	Rating <sup>13</sup>	Summary comments <sup>14</sup>
<b>A. STRATEGIC RELEVANCE</b>		
A1. Overall strategic relevance	HS• HU	
A1.1. Alignment with GEF and FAO strategic priorities	HS• HU	
A1.2. Relevance to national, regional and global priorities and beneficiary needs	HS• HU	
A1.3. Complementarity with existing interventions	HS• HU	
<b>B. EFFECTIVENESS</b>		
B1. Overall assessment of project results	HS• HU	
B1.1 Delivery of project outputs	HS• HU	
B1.2 Progress towards outcomes <sup>15</sup> and project objectives	HS• HU	
- Outcome 1	HS• HU	
- Outcome 2	HS• HU	
- Etc.	HS• HU	
- Overall rating of progress towards achieving objectives/ outcomes	HS• HU	
B1.3 Likelihood of impact	HS• HU	

<sup>12</sup> HS-Highly Satisfactory; HU-Highly Unsatisfactory. More details on the GEF rating scheme provided in Annex 2.

<sup>13</sup> See rating scheme at the end of the document.

<sup>14</sup> Include reference to the relevant sections in the report.

<sup>15</sup> Assessment and ratings by individual outcomes may be undertaken if there is added value.

GEF criteria/sub-criteria	Rating <sup>13</sup>	Summary comments <sup>14</sup>
<b>C. EFFICIENCY</b>		
C1. Efficiency <sup>16</sup>	HS• HU	
<b>D. SUSTAINABILITY OF PROJECT OUTCOMES</b>		
D1. Overall likelihood of risks to sustainability	L• HU	
D1.1. Financial risks	L• HU	
D1.2. Socio-political risks	L• HU	
D1.3. Institutional and governance risks	L• HU	
D1.4. Environmental risks	L• HU	
D2. Catalysis and replication	HS• HU	
<b>E. FACTORS AFFECTING PERFORMANCE</b>		
E1. Project design and readiness <sup>17</sup>	HS• HU	
<b>E2. Quality of project implementation</b>	HS• HU	
E2.1 Quality of project implementation by FAO (BH, LTO, PTF, etc.)	HS• HU	
E2.1 Project oversight (PSC, project working group, etc.)	HS• HU	
<b>E3. Quality of project execution</b> For DEX projects: Project Management Unit/BH; For OPIM projects: Executing Agency	HS• HU	
E4. Financial management and co-financing	HS• HU	
E5. Project partnerships and stakeholder engagement	HS• HU	
E6. Communication, knowledge management and knowledge products	HS• HU	
<b>E7. Overall quality of M&amp;E</b>	HS• HU	
E7.1 M&E design	HS• HU	
E7.2 M&E plan implementation (including financial and human resources)	HS• HU	
E8. Overall assessment of factors affecting performance	HS• HU	
<b>F. CROSS-CUTTING CONCERNS</b>		
F1. Gender and other equity dimensions	HS• HU	
F2. Human rights issues/Indigenous Peoples	HS• HU	
F2. Environmental and social safeguards	HS• HU	
<b>Overall project rating</b>	<b>HS• HU</b>	

<sup>16</sup> Includes cost efficiency and timeliness.

<sup>17</sup> This refers to factors affecting the project's ability to start as expected, such as the presence of sufficient capacity among executing partners at project launch.

## 9. Evaluation timeline

41. The evaluation will be conducted according to the following time frame:

**Table 5. Evaluation timeline**

<b>Task</b>	<b>Period</b>	<b>Responsibility</b>
Team identification and recruitment	April -May 2021	EM
TOR preparation	April -May 2021	EM and the PTF
TOR finalization	May 2021	EM
TBC: Travel arrangements and organisation of the agenda/travel itinerary in the country for the field mission	June 2021	EM, project team and evaluation team
Documentation review	June 2021	Evaluation team
Inception report	June – July 2021	Evaluation team
Data collection	July – August 2021	Evaluation team with support of EM and project team
Presentation of preliminary findings	September 2021	Evaluation team
First draft report for OED review	September 2021	Evaluation team
Circulation of first draft for comments (PTF - BH, LTO, FLO, project team, GCU Focal Point)	September-end 2021	EM
Circulation of second draft to key national partners	October 2021	EM, project team
Production of final draft	Mid-October 2021	Evaluation team
Circulation of final report and publication	October 2021	EM
Management response (MR)	1 month after the Final report is issued	BH

## Appendix 1. Project logical framework

	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
<b>Component 1: Strengthening of institutional capacities for integrated monitoring and management of biodiversity in DWE</b>			
<b>Outcome 1.1:</b> DLCC is fulfilling its function coordinating the implementation of the DWEMP and at least two key biodiversity threats addressed (sand mining threatening porpoises, poplar plantations, and/or un-sustainable fisheries) by the end of project.	No issue addressed by the DLCC	DLCC minutes; annual DWE MP implementation progress reports; PPR; project mid-term and terminal evaluations	PMO/FDHP; mid-term and terminal evaluations teams
<b>Output 1.1.1:</b> DLCC strengthened by the end of the project with: i) a functioning secretariat in FDHP (two half-time staffs, office equipment and operations budget); ii) agreed operations procedures; iii) agreed five years work plan; and iii) at least one meeting per year held.	A circular creating the DLCC and appointing the chairman and members was issued by the provincial government in 2007. However, DLCC does not have operations budget and procedures or a work plan and no meetings have been held	Budget assigned for DLCC Secretariat; operations procedures; 5 years Work Plan and its annual implementation progress reports; minutes of meetings; PPR	PMO/FDHP
<b>Output 1.1.2:</b> Updated detailed biodiversity baseline and threat analysis by the end of PY1 including three technical reports on: a) DWE biodiversity and ecosystem services value and status; b) impacts on biodiversity from different sectors and response options; and c) options and priorities for land and water use plans valuating biodiversity.	Separate studies exist on various aspects of the DWE and pressures but findings are not integrated in management planning. Among others there is a study on the valuation of DWE ecosystem services that needs to be updated	Technical reports; minutes from focus group consultations; PPR	PMO/FDHP; Project Expert groups
<b>Output 1.1.3:</b> Integrated DWE management plan (MP) incorporating valuation of biodiversity approved by DLCC by PY3 and under initial implementation by the end of the project.	A framework master plan exists but lacks detailed actions and implementation capacity among relevant agencies at different levels need to be strengthened. Stakeholders also lack mechanisms to participate in DWE management planning.	Minutes from stakeholder consultations and comments received; Draft and final DWE MP; MP implementation monitoring report; PPR	PMO/FDHP; Experts supporting the formulation of the DWE MP
<b>Output 1.1.4:</b> DWE Integrated Information Management System (IIMS) on status of biodiversity, ecosystem services, and socio-economic indicators is operating providing data and analysis for DWE management and decision-making at municipal, province and NR levels by PY2.	Information systems and data are owned by different public institutions while protocols and platform for sharing do not exist.	Bi-annual status reports produced by the IIMS; existence of platform; Training reports detailing number of staff trained and organizations represented; PPR	PMO/FDHP; Information system expert; IIMS focal points

	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
<b>Component 2: Strengthening of management effectiveness of DWE NRs network</b>			
<b>Outcome 2.1a:</b> Improvement in management effectiveness of NRs by the end of the project monitored through the BD management effectiveness tracking tool: (a) NR management effectiveness assessment improved for: East Dongting Lake (DL) from 61 to 70; West DL from 54 to 70; South DL from 56 to 68; and Hengling from 53 to 66; (b) threat score decreased for: East DL from 56 to 47; West DL from 63 to 51; South DL from 57 to 50; and Hengling from 61 to 40.	Management effectiveness assessment scores: East DL 61; West DL 54; South DL 56; and Hengling 53 Threat score: East DL 56; West DL 63; South DL 57; and Hengling 61	BD management effectiveness tracking tool; mid-term and terminal evaluations	PMO/FDHP; NR bureaus; local governments
<b>Outcome 2.1b:</b> 50% increase in national and local governmental budget allocations to PA management.	20 million/year	PA budgets; mid-term and terminal evaluations	PMO/FDHP; NR bureaus; local governments
<b>Output 2.1.1:</b> Three local decrees on Administrative Measures for NR (AMNR), one for each of East, South and Hengling Dongting Lake (DL) NRs, proclaimed by the end of PY2 (facilitating increased local government budget allocation).	The NRs are established by provincial and central government approval and West DL also has a county decree. For South, East and Hengling DL NRs there has been no progress so far on local decrees on AMNR	Survey reports; Draft and final AMNR; proclamation of AMNR; PPR	PMO/FDHP; NR bureaus; Forestry bureaus at provincial, municipality, and county level
<b>Output 2.1.2:</b> West Dongting Lake NR and South Dongting Lake NR are upgraded from provincial NRs to National NRs and Hengling NR to Ramsar site by the end of PY3 (facilitating increased national government budget allocation).	West DL NR has presented documentation (master plan, biodiversity baseline survey) and application to SFA. South DL NR and Hengling NR are planning to start the documentation and application procedure in 2013. Both NRs need updating of their biodiversity baseline.	Biodiversity baseline survey and master; Ramsar information sheet; Applications; provincial and central government approval; PPR	PMO/FDHP; NR bureaus; Forestry bureaus at provincial, municipality, and county level
<b>Output 2.1.3:</b> Four five-years NR management plans (NRMP) updated for 2013-2018 and at least 20 NR staff trained in NR planning and management strengthening the DWE NR network.	The four DL NRs have 15-years master plans but they are outdated and do not provide concrete priorities, activities and work planning for a more short and medium term period (five years) such as much needed zoning and use regulation and co-management mechanisms.	Minutes of consultation workshops; Five-years NRMPs; NRMPs implementation progress reports; PPR	PMO/FDHP; NR bureaus
<b>Output 2.1.4:</b> Capacities for NR management strengthened through: a) training of 100 NR staff in BD monitoring and conservation measures, eco-tourism in NRs, law enforcement	Staff trained mostly in bird monitoring and protection during the UNDP/GEF project, but there has been changes in	Training participation lists and final test results; Verification of infrastructure and equipment in	PMO/FDHP; NR bureaus

	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
and co-management mechanism, and public communication and awareness raising; and b) up-grating of infrastructure, patrol and monitoring equipment in three DL NRs (West, South and Hengling).	staff and capacities need to be broadened to other species and issues important for NR management. Only East DL NR is adequately equipped for monitoring and provision of services to visitors including a training center and 4 management stations	situ; PPR	
<b>Outcome 2.2.a:</b> Improved biodiversity and endangered species indicators by the end of the project in DWE: i) increase in total bird visitation by 10% in the four DL NRs; ii) finless porpoise population maintained; iii) lesser white-fronted goose population maintained; iv) black stork population maintained; v) 5% increase in Pere Davis deer population; vi) Whistling Swan population maintained; vii) increase from 2 to 5% appearance of Silver Fish in monitoring caches (ecosystem health indicator).	i) Total migratory bird visitation 104 000-130 000 (2008-2012); ii) Finless porpoise: 100-150 in DWE (2011), ca. 800 total population; iii) Lesser white-fronted goose (Anser erythropus): 18 000 in DWE (mostly in East DL NR) which is 50% of total global population; iv) Black stork (ciconia nigra): 23 in DWE (Dec. 2011), 24 000-34 000 East Asia population; (v) Pere David's Deer (Elaphurus Davidianus): 25 in DWE (Jan 2012), 3 000 global population; vi) Whistling Swan (Cygnus columbianus): 800-1 000 in DWE (Nov-Dec 2011), 86 000 global population; (vii) Silver fish (near endangered in IUCN Red List): 2% appearance rate in monitoring catches in DWE (2011).	Population monitoring system; terminal evaluations	PMO/FDHP; NR bureaus; local governments
<b>Outcome 2.2.b:</b> Improved income indicators for households (of which 60% are represented by women as the main participant and beneficiary) involved in co-management demonstration models: i) 320 farming households have increased their income with at least 30% in East DL NR from bird-friendly rice production; ii) 400 house-holds involved in organic fish farming and 500 households involved in rights based fisheries co-management to support the restoration of fisheries resources have increased their income with at least 100% in Hengling NR experimental zone; iii) 70 households have increased their income with at least 100% in West DL NR	2.2.b (i) income baseline to be established in PY1.	Co-management models monitoring reports; mid-term and terminal evaluations	PMO/FDHP; NR bureaus; local governments; farmers and fishers

Appendix 1. Project logical framework

	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
from eco-tourism operations and bird habitat conservation.			
<p><b>Output 2.2.1:</b> Four demonstration models for NR co-management implemented:</p> <p>a) agriculture integrated management model restoring paddy harvested fields as winter bird feeding ground on 700 ha involving 320 households in East DL NR;</p> <p>b) reed and poplar management model in South DL NR; c) organic fish farming (involving 400 households) and ecosystem and rights based fisheries co-management (involving 500 households) models to support the restoration of fisheries resources and maintain the porpoises population in 1,800 ha in Hengling NR experimental zone;</p> <p>d) eco-tourism and bird habitat conservation model conserving 60 ha of birds habitat and 70 additional households involved in eco-tourism operations in West DL NR.</p>	<p>a) 700 ha converted to vegetable production in winter season reducing migratory birds feeding area in NR experimental zone. Preliminary economic, social and biodiversity feasibility study has been conducted. Framework of agreement has been discussed among partners.</p> <p>b) 10 000 ha of monoculture of poplar and reed in NR core zone are fragmenting habitats. Ten years compensation contracts with poplar enterprises for cutting threes and not planting new threes runs out in 2014.</p> <p>c) 200 households involved in Illegal fishing in Hengling NR and experimental zone resulting in fish stocks under high pressure as evidenced by the silver fish ecosystem health indicator (2% appearance rate in monitoring catches in Henglinghu NR) and the decreasing population of porpoises (20-30 individuals left in Hengling lake which might be difficult to monitor but it feeds on 4 carp species as an important food source which can be monitored, baseline to be established in PY1).</p> <p>d) Illegal fishing activities by 70 fishing vessels are disturbing the birds in the West DL NR core area. Good opportunities for eco-tourism and birds biodiversity co-management because of high concentration of birds and diversified habitat which could reduce the pressure from illegal fishing and</p>	<p>PPR and:</p> <p>a) training results reports; cultivation plan; monitoring reports; report documenting co-management model with farmers;</p> <p>b) assessment report on solution options and incentives; report documenting co-management model with reed farmers;</p> <p>c) economic and social feasibility study; environmental assessment; agreed investment and business plan and monitoring report; agreed sustainable fisheries management plan and monitoring reports; training results reports; documentation of co-management model with fisheries communities.; and</p> <p>d) birds habitat improvement and eco-tourism development plan and monitoring reports; verification of infrastructure in-situ; training results reports.</p>	<p>PMO/FDHP; NR bureaus; local governments</p>



	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
	bring local economic benefits from birds biodiversity conservation. A pilot experience exist from Banbian Lake involving local population in bird conservation.		
<b>Output 2.2.2:</b> Conservation of five flagship biodiversity species (finless porpoise, lesser white-fronted goose, black stork, Pere David's Deer, Whistle Swan) in a common effort among all NRs through: i) development and implementation of conservation action plan; ii) restoration of 6 000 ha of habitat; iii) systematic monitoring of population or proxy indicators for population size supported by a GIS data base.	No specific action plans for flagship species have been established. CAS (Institute of aquatic biology) has a monitoring programme on finless porpoise and ex-situ conservation has started but no results yet.  UNDP/GEF project (GEF ID: 623) established population monitoring system for East DL (which did not include habitat), but no monitoring system exist for at NR network and DWE ecosystem level.	Species conservation action plans; monitoring reports; PPR	PMO/FDHP; NR bureaus; local governments
<b>Component 3: Mainstreaming of biodiversity conservation in key sectors</b>			
<b>Outcome 3.1.a:</b> BD O2 tracking tool score on biodiversity conservation integration in policies and regulations increased from 17 to 23 (out of 36 possible) for the sectors influencing on DWE.	17	Legislations and regulations; BD O2 tracking tool	PMO/FDHP; mid-term and terminal evaluation teams
<b>Outcome 3.1.b:</b> Poplar plantation reduced by 20 000 ha by the end of the project.	400 000 ha	Poplar plantation survey; mid-term and final valuations	PMO/FDHP; mid-term and terminal evaluation teams
<b>Output 3.1.1:</b> Amendment of Wetland Protection Regulation of Hunan Province (WPRHP) presented to the Provincial People's Congress by PY3 including in particular provisions for: i) integrated management of wetland biodiversity and ecosystems; and ii) compensation mechanism for conservation of wetlands biodiversity and ecosystem services.	WPRHP proclaimed in 2005 but without clear provisions for unified coordination and effective management of wetlands biodiversity and ecosystems and mechanisms for compensation for biodiversity and ecosystem services conservation. Some consultations have been conducted on wetland conservation as a whole, but none supporting an amendment of the	Consultation reports; draft and final amendment; proclamation of amendment; PPR	PMO/FDHP Forestry sector bureaus at provincial, municipality, and county level

Appendix 1. Project logical framework

	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
	WPRHP.		
<b>Output 3.1.2:</b> At least two sector policies (fisheries, reed and/or poplar plantation) are aligned with WPRHP, the Integrated DWEMP and the four AMNR decrees and NRMPs at local and provincial level by the end of the project.	Conflicting regulation between NR master plans and regulations and sector policies and regulations.	Consultation workshop reports; policy documents; PPR	PMO/FDHP; sector bureaus
<b>Output 3.1.3:</b> Practical skills of 360 provincial and local government officers in enforcement of wetland conservation and sustainable use regulations enhanced.	Trainings exist but without specific focus on compliance with wetland regulation.	Training report and test results of participants; PPR	PMO/FDHP
<b>Output 3.1.4:</b> Increased capacity of 40 provincial and local government officials and private sector representatives in development and implementation of biodiversity conservation measures and practices in fishery management, pollution control from paper mills, sand mining and land-use planning for reed and poplar plantations.	There is knowledge on technical solutions and biodiversity friendly practices among technical staff but managers lack knowledge on good examples to support their decision-making.	Workshop and study visit reports; PPR	PMO/FDHP
<b>Component 4: Environmental education and awareness</b>			
<b>Outcome 4.1:</b> Awareness among the local population on DWE biodiversity value, use and wetlands protection regulations increased to 30%.	Less than 10% of the local population knows about wetlands provincial regulation	Awareness survey; mid-term and terminal evaluation	PMO/FDHP; NR bureaus; mid-term and terminal evaluations teams
<b>Output 4.1.1:</b> 50 000 brochures distributed and system of 20 billboard signs set up on: i) flagship species conservation; ii) rules and regulations for protection and use of wetlands biodiversity; iii) success stories on organic aquaculture, ecotourism, ecosystem and rights-based management of fisheries, and bird-friendly cultivation plan; and iv) NR demarcation.	Four brochures; two on East and South DL NR in general, one on some specific water bird species, and one on ecotourism in West DL NR.  16 billboard signs in DWE marking core zone and communicating some rules and important habitats.	Brochures disseminated; billboard signs in situ; PPR	PMO/FDHP; NR bureaus
<b>Output 4.1.2:</b> Infrastructure and display of visitors and other education centres improved including: a) construction of three visitors and education centers of West, South and Hengling DL NRs; b) improvement of displays in four centers; and c) upgrading of displays in Qingshan polder organic aquaculture success story exhibition hall (West DL NR).	There are only two useful visitors and education centers in four NRs.  The infrastructure needs improvements to meet the needs.	Visitors and education centers and exhibition hall verified in situ; equipment list of centers; PPR	PMO/FDHP; NR bureaus; Hanshou Qingshan polder co-management association
<b>Output 4.1.3:</b> Special campaign and events organized and conducted including: i) 20 summer holiday university volunteers camps in each of the four NRs; and ii) 40-60	The activities have already been done, however improvements are needed in design, planning and organization of the	Media reports; Camp and event agenda and	PMO/FDHP; NR bureaus

	Baseline	Data collection and reporting	
		Means of verification	Responsible for data collection
campaigns on special days such as annual Wetlands day, annual Bird week, bi-annual Bird watching race.	events.	summary report; PPR	
<b>Output 4.1.4:</b> Curricula on DWE biodiversity conservation and sustainable use included in 20 middle schools in counties and townships around the lake reaching 30 000 students.	No curricula.	Curricula; verification of school classes in situ; PPR	PMO/FDHP; NR bureaus
<b>Component 5 M&amp;E and information dissemination</b>			
<b>Outcome 5.1:</b> Project implementation based on results based management and increased receptivity and adoption of DWE approach to “mainstreaming” biodiversity conservation in sector planning both in China and elsewhere.	N/A	Mid-term and terminal evaluations	PMO/FDHP, FAO
<b>Output 5.1.1:</b> Project monitoring system providing six-monthly reports on progress in achieving project outputs and outcomes.	Project results framework with project output and outcome indicators, targets and baseline.	PPRs	PMO/FDHP
<b>Output 5.1.2:</b> Mid-term and terminal evaluation reports	N/A	Evaluation reports	PMO/FDHP, FAO
<b>Output 5.1.3:</b> Project “best-practices” and “lessons-learned” in relation to co-management models, integrated DWE management experience, mainstreaming of wetlands biodiversity conservation in sectors disseminated via publications, project website and others.	N/A	Publications; number of visitors on website; PPR	PMO/FDHP

## Appendix 2. GEF rating scheme<sup>18</sup>

### PROJECT RESULTS AND OUTCOMES

Project outcomes are rated based on the extent to which project objectives were achieved. A six-point rating scale is used to assess overall outcomes:

<b>Rating</b>	<b>Description</b>
Highly Satisfactory (HS)	"Level of outcomes achieved clearly exceeds expectations and/or there were no short comings."
Satisfactory (S)	"Level of outcomes achieved was as expected and/or there were no or minor short comings."
Moderately Satisfactory (MS)	"Level of outcomes achieved more or less as expected and/or there were moderate short comings."
Moderately Unsatisfactory (MU)	"Level of outcomes achieved somewhat lower than expected and/or there wee significant shortcomings."
Unsatisfactory (U)	"Level of outcomes achieved substantially lower than expected and/or there were major short comings."
Highly Unsatisfactory (HU)	"Only a negligible level of outcomes achieved and/or there were severe short comings."
Unable to Assess (UA)	The available information does not allow an assessment of the level of outcome achievements.

During project implementation, the results framework of some projects may have been modified. In cases where modifications in the project impact, outcomes and outputs have not scaled down their overall scope, the evaluator should assess outcome achievements based on the revised results framework. In instances where the scope of the project objectives and outcomes has been scaled down, the magnitude of and necessity for downscaling is taken into account and despite achievement of results as per the revised results framework, where appropriate, a lower outcome effectiveness rating may be given.

### PROJECT IMPLEMENTATION AND EXECUTION

Quality of implementation and of execution will be rated separately. Quality of implementation pertains to the role and responsibilities discharged by the GEF Agencies that have direct access to GEF resources. Quality of Execution pertains to the roles and responsibilities discharged by the country or regional counterparts that received GEF funds from the GEF Agencies and executed the funded activities on ground. The performance will be rated on a six-point scale:

<b>Rating</b>	<b>Description</b>
Highly Satisfactory (HS)	There were no shortcomings and quality of <b>implementation</b> or <b>execution</b> exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality of <b>implementation</b> or <b>execution</b> meets expectations.
Moderately Satisfactory (MS)	There were some shortcomings and quality of <b>implementation</b> or <b>execution</b> more or less meets expectations.
Moderately Unsatisfactory (MU)	There were significant shortcomings and quality of <b>implementation</b> or <b>execution</b> somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of implementation substantially lower than expected.
Highly Unsatisfactory (HU)	There were severe shortcomings in quality of <b>implementation</b> or <b>execution</b> .
Unable to Assess (UA)	The available information does not allow an assessment of the quality of <b>implementation</b> or <b>execution</b> .

<sup>18</sup> See instructions provided in Annex 2: Rating Scales in the "Guidelines for GEF Agencies in Conducting Terminal Evaluations for Full-sized Project", April 2017.

## MONITORING AND EVALUATION

Quality of project M&E will be assessed in terms of:

- Design
- Implementation

## SUSTAINABILITY

*The sustainability will be assessed taking into account the risks related to financial, sociopolitical, institutional, and environmental sustainability of project outcomes. The evaluator may also take other risks into account that may affect sustainability. The overall sustainability will be assessed using a four-point scale:*

<b>Rating</b>	<b>Description</b>
Likely (L)	<i>There is little or no risk to sustainability.</i>
Moderately Likely (ML)	<i>There are moderate risks to sustainability.</i>
Moderately Unlikely (MU)	<i>There are significant risks to sustainability.</i>
Unlikely (U)	<i>There are severe risks to sustainability.</i>
Unable to Assess (UA)	<i>Unable to assess the expected incidence and magnitude of risks to sustainability.</i>

Office of Evaluation  
evaluation@fao.org  
www.fao.org/evaluation

**Food and Agriculture Organization of the United Nations**  
Rome, Italy



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