

FINAL PROJECT COMPLETION REPORT

I. BASIC DATA

Organization Name: Conservation International-Mainland Asia

Project Title: Establishing Partnerships for Lasting Conservation in the Mountains of Southwest China Hotspot

Implementation Partners for this Project:

Project Dates (as stated in the grant agreement): June 1, 2002 – June 30, 2003

Date of Report (month/year): August 13, 2003

II. OPENING REMARKS

Provide any opening remarks that may assist in the review of this report.

This project is the first CEPF project in China, aims mainly at setting up CEPF's operation in China and CI China program to coordinate CEPF and to conduct CEPF related activities and projects. This project was originally designed for 6 months, but was extended twice, one without cost and one with cost, to a full year. A new LogFrame was developed during the second Cost Extension, as there were many new deliverables from this grant. This final report incorporated project deliverables from both the original LogFrame and the new Cost Extension LogFrame.

III. ACHIEVEMENT OF PROJECT PURPOSE

Project Purpose: CI-China is operational in line with CEPF strategy

Planned vs. Actual Performance

Indicator	Actual at Completion
Purpose-level:	

<p>1.1. CEPF starts soliciting, reviewing, and supervising proposals in accordance with approved procedures</p>	<p>While obtaining for the focal point endorsement from China's Ministry of Finance, both CEPF Profile and CEPF application documents was being translated into Chinese, and was posted on CEPF website, ready to accept applications and inquiries. After the endorsement letter was obtained in November 2002, first formal CEPF launch meeting was held in Chengdu, follow by a CEPF DC staff visit (Jorgen and Judy) in January, 2003. CEPF project application and review processes was discussed and approved by CEPF in this meeting. Key staffs were identified in Beijing, Sichuan and Yunnan for CEPF coordination, their roles and responsibilities defined, with CEPF's agreement in early February of 2003. First CEPF review meeting was held early March in both Sichuan and Yunnan, with a group of reviewers/experts identified by CI China and agreed by CEPF. Two more Part I reviews were conducted in April and late June, respectively. The following two reviews in May and June had to be cancelled due to SARS epidemic in China and travel restraints. Committee members became familiar with reviewing CEPF projects. CEPF grant manager attended the 3rd round review in June and helped to better define roles and responsibilities within the CI China team and between CI China and CEPF.</p>
<p>1.2. CI-China is implementing projects in line with the CEPF strategy:</p> <ol style="list-style-type: none"> 1. Conservation outcome mapping project initiated. 2. Fund raising strategy implemented. 3. Natural regeneration project initiated. 	<p>Started by hiring of the China country director and a senior program officer, CI China Program Office was established in Beijing on the campus of Peking University. During the first few months of CI China operation, CEPF investment strategy and implementation principles was broadly communicated to key government, non-government and private partners at national, provincial and local levels.</p> <p>1) The idea of outcome mapping was discussed among key partners in China and with CABS in DC. Previous mapping results were collected from partners and information gap filling projects were</p>

	<p>solicited to for CEPF's grant application. Consultants for outcome mapping were identified, with work plans developed. Outcome mapping proposal was developed and sent out for review.</p> <p>2) fund raising strategy was implemented, with several proposals developed to send to donors, including the ones on natural regeneration, NGO networking and sacred land protection.</p> <p>3) Field trip aimed at collecting information on natural regeneration was conducted in November, to discuss project ideas and possibilities with government officials at county, prefecture, provincial level, with academics (Sichuan University, Sichuan Academy of Social Sciences), with NGOs (WWF, TNC) and with funding agencies (JBIC, BP, EU, UNDP); Feasibility study on natural regeneration was conducted and proposals were submitted to BP Conservation Fund and 3M Foundation;</p> <p>Several more key areas of strategy development were identified and refined from pilot projects. This includes: 1) Wildlife Trade - two brainstorming sessions were held with NGOs in Beijing on wildlife trade to identify partners (Participants include relevant NGOs and media); several discussions with Chengdu partner on conducting a field survey to track wildlife trade route in Sichuan held; Wildlife trade information collection initiated in Sichuan. 2) NGO networking - small workshops held in both Sichuan and Yunnan with NGOs to discuss establishing NGO network and providing trainings and capacity building opportunities in the southwestern region; 3) Nature Reserve Capacity Building - proposal developed after a field survey on training needs assessment for newly established reserves new established reserve training feasibility study and field survey convened. 4) Sacred land protection - meetings with half dozen of potential donors held for funding</p>
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	<p>opportunities. Prepared a Sacred Land proposal to submit to State Department.</p> <p>5) Ecotourism - Several discussions held with CI Ecotourism department on room for collaboration. Ecotourism proposals solicited for CEPF;</p>
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Describe the success of the project in terms of achieving its intended impact objective and performance indicators.

Overall the project was very successful and in many aspects has exceeded the intended impact. Both purpose level indicators, setting up CEPF operation and setting up CI China office to implement CEPF projects, were carried out successfully. There are many new initiatives developed that go beyond the original design of the project.

Were there any unexpected impacts (positive or negative)?

Unexpected impacts can be summarized as below:

1. CEPF coordination mechanism – this was designed and refined and the current mechanism does not exist in other CEPF invested areas. CI China, as administrator for CEPF’s investment in SW China, organizes a review committee that not only reviews project but link CEPF project ideas to the ongoing government and non-government initiatives, making CEPF projects more coordinated. It’s the first time CEPF uses this type of coordination mechanism and may adopt it in other CEPF regions as well.

2. CEPF’s refined strategy in China – after Ecosystem Profile was written and used as investment guide for China, several new ideas were developed and themes emerging from operating in China. As summarized in the above table, we have developed or in the process of developing strategy on wildlife trade campaign, natural regeneration, NGO networking, sustainable/alternative livelihoods and conservation, nature reserve capacity building and ecotourism development.

3. Reacting to new findings, threats and opportunities – during this project execution, CI China has not only refined CEPF strategy, but also identified new opportunities to work on. 1) Sacred land protection by local Tibetan residents (amounts to 85% of SW China hotspot population) has proven to be an effective means of wildlife protection and sustainable use of natural resources. Such conservation initiative from the local level should be preserved, cultivated. CI China has supported several information collection and field survey project in order to better design a strategy for future work. 2) Dam building has become a trend in China’s west, as part of the bigger western development program. Yet freshwater system are not well planned for hydropower projects and high biodiversity and sensitive ecological areas often become target for large scale hydropower projects, threatening both biodiversity, ecological function and local culture. CI has been a supporter to several initiatives against dam building in the southwest and strategic thinking in general for incorporating environment concerns into China’s hydropower planning. 3) participated in a Chinese river dolphin conservation workshop organized by CI Marine department to provide up-to-date information on the topic. A report and recommendation to the Chinese government and conservation society came out as a result of this workshop.

IV. PROJECT OUTPUTS

Project Outputs: Enter the project outputs from the Logical Framework for the project

Planned vs. Actual Performance

Indicator	Actual at Completion
Output 1: CEPF coordination mechanism established	
1.1. Focal point signature acquired by the end of first quarter	SEPA approved and Ministry of Finance (MOF) signed the letter of endorsement for CEPF's investment in China on November 17, 2002. This was the first time MOF has endorsed a project for a non-governmental organization.
1.2. Institutional structure (role and responsibilities) of CEPF coordination and outreach/peer review process designed by the end of project	During Quarter 3&4, 2003, general idea on CEPF coordination was exchanged with key partners in government and non-government sector. CI China key staff was trained on CEPF application processes, principles in setting up CEPF coordination mechanism in country and started to organize for CEPF proposal reviews. Discussion was initiated with CEPF on roles/responsibilities within the coordination team in China and DC. During Quarter 1, 2003, drafted Coordination Mechanism for China was discussed, revised and approved by CEPF. Roles and responsibilities of CI staff were defined, with each CI China staff in Beijing, Sichuan and Yunnan to take charge in different proposals. First round of LOI review was conducted in Sichuan and Yunnan in early March. The coordination committee was briefed about CEPF Ecosystem Profile, criteria for reviewing Lols, and such principles as how to handle possible conflict of interest during project review. First batch of CEPF Lols were reviewed, received comments from the reviewers. These comments cover not only the projects themselves, but also how these project ideas could relate to overall CEPF strategy in the hotspot region. Results of review were summarized and sent to CEPF for decision. Formats of such review processes and summary was commented by CEPF grant director.

<p>1.3. Members of CEPF coordinating committee identified by the end of the project.</p>	<p>CBIK (Center for Biodiveristy and Indigenous Knowledge, a local Yunnan NGO), TNC (China office in Yunnan), WWF (China office in Beijing, Sichuan and Yunnan), CI (China program), SEPA (National), SFD (Sichuan Forest Department), YFD (Yunnan Forest Department), and Sichuan PPC (Provincial Planning Committee) agreed to be on board of CEPF Review Committee. This indicator was completed by Quarter 1, 2003. Key contact person was identified from each committee member organization. During the first review meeting, committee member were explained in detail how CEPF works and the criterion for project evaluation. The timeline for review (alternate each month between Sichuan and Yunnan), as well as possible conflict of interest resolution was approved by the committee members.</p>
<p>1.4. CEPF funding mechanism communicated with major partners during the first two months</p>	<p>Completed by Quarter 4, 2002. CEPF profile was translated, proofread and made available for applicants on website and in the China country offices. Part I and II of CEPF application forms were translated; proofread and Part I was made available for applicants on website and China country office. Regular communication with CEPF was established. Introduction to CEPF in general, CEPF Mountains of Southwest China investment, CI in general and CI China introduction, as well as CI China's workplan is made available, and shared with partners and potential applicants. These documents were also made available on CI and CEPF websites.</p> <p>In Quarter 2, 2003, a reconnaissance trip was made to Diqing Prefecture in Yunnan to introduce CEPF to the prefecture and county government and local NGOs.</p>
<p>1.5. Agreements established with relevant government agencies by the end of project</p>	<p>Introduce CEPF to SFA, SEPA, PPC, SFD, EPA and other governmental agencies in both Beijing and provinces. Obtain support from these government agencies. Central and provincial government officials were debriefed on the CEPF and their support was secured. Although government agencies</p>

	understand that CEPF funds are to support civil society, they endorse the principle of the partnership.
1.6. CEPF Review Cycle Function Effectively before the end of project.	Completed by Quarter 2, 2003. CEPF review meetings were held in March, April and June. May review meeting had to be postponed due to SARS epidemics. Number of Lols reviewed were 24 in March, 32 in April and 30 in June. About 120 Lols were received by June 30, 2003.
1.7. Mechanism for CEPF small grants management discussion initiated before the end of project;	Completed by Quarter 2, 2003. CI China and CEPF had email communication with GGF in both US office and China coordinator. CEPF and CI China visited GGF's Boulder office,, met with Heather Ryan from GGF headquarter.
Output 2: CI-China's first year operational and programmatic strategy designed.	
2.1. A CI office set up and equipped with necessary facilities and capacity on communication and preliminary financial management by the end of first quarter.	<p>CI China program office was set up in Beijing, with 2 permanent staff and 1 project assistant hired. This office was set up in the Peking University, and essential office and field supplies were purchased. CI Sichuan regional office was set up in January, 2003, with a program officer hired on Jan 1, 2003. Function of the Sichuan office was to coordinate CEPF work in Sichuan, lead CI initiatives and to facilitate networking of Sichuan's NGOs.</p> <p>PDQ for a finance/Administrative manager was developed. Top candidate was interviewed by CI DC finance and CI China. Finance training to CI China by CI DC staff was planned but delayed due to unexpected change of schedule.</p> <p>A joint office was set up in Zhongdian, NW Yunnan with essential equipment set up for operation. A part time CEPF Yunnan coordinator was identified.</p> <p>First CEPF Part II training was conducted and key training documents have been translated into Chinese, including finance training material for CEPF applicants.</p>
2.2. Legal status defined by the end of	Information on NGO registration and

<p>project;</p>	<p>other NGO operation collected from international NGOs in China and from relevant government departments. It was decided that a legal status is difficult to obtain due to lack of legislation. Legal status of international organizations and difficulties in getting registered in China were documented and reported to CI Legal and HR.</p> <p>Several discussions were held to identify a solution, including getting insurance, tax status and social benefits for China staff. After the finance/Administrative manager was hired in May, more investigation was conducted in China and CITDC (China International Talent Development Corp.) was identified to resolve CI China's HR and tax needs. Offer letter was not developed for key China staff, as negotiation process with CITDC and legal counsel took much longer than expected.</p>
<p>2.3. Partnership with PKU and national host established during the first quarter;</p>	<p>Mutual agreement with PKU Center for Nature and Society was reached during the second month of operation. No MOU has been signed with national host ministries to avoid antagonizing either SEPA or SFA. CI's strategy is to work closely on projects with both SEPA and SFA. Both ministries accept this loose connection and are willing to work with CI and be supportive of CEPF investment.</p>
<p>2.4. Term of Reference (PDQ position description questionnaire) developed during the first month of project</p>	<p>PDQs for all needed positions, including country director, senior program officer, DC China coordinator were submitted and approved. PDQ for Sichuan program officer was completed in Jan, 2003. PDQ for Admin/Finance manager obtained from CI Finance, adapted and completed in Mar, 2003. A China program DC coordinator was recruited in May-June, 2003. A PDQ format was provided by the CI InterCom department for a China communication manager. CEPF communication manager agreed to advise on the CEPF communication part of the PDQ. Potential candidate for the position was approached; The hiring process was delayed due to SARS epidemics;</p>
<p>2.5. Key staff hired during the first month</p>	<p>Consultancy contract were signed with</p>

	China country director and senior program officer, starting from June and July 2002, respectively. CI Sichuan Program officer came on board in Jan, 2003.
2.6. Administrative/Finance manager on board; DC-based China Coordinator interviewed	Finance/Admin manager hired on May 1, 2003. Among over 70 applicants, email communication, phone interviews and on-site interviews were conducted to select a China program coordinator, who was hired to start from July, 2003.
2.7. CI China Strategy presented at the annual planning PMG meeting in May, 2003;	PMG meeting held successfully for China with positive feedback.
2.8. Discussion on CI China communication strategy initiated by the end of project.	Meetings were held with CEPF communication manager, InterCom and CI communications (Webteam) on website design, communication strategy and hiring of a communication officer.
2.9. Qualified students are sent to RARE program to study community-based pride campaign method.	One candidate recommended by CI China was accepted by RARE, one observer from Sichuan was accepted by RARE without cost.
Output 3: Proposal to map conservation outcomes developed.	
3.1. Support and participation from key government partner's secured (PPC, SFD, EPB, SEPA) during the first quarter	CI-China staff briefed key government partners on the Outcome Mapping idea. General support secure from key partners.
3.2. Region of interest (ROI) defined by the end of project	After several consultation sessions and discussions with experts, it seems reasonable to extend the Hotspot west boundary to eastern Himalayan region (SE Tibet) and east boundary to Guizhou Province. CI China team visited Tibet Autonomous Region to discuss with the forestry department on obtaining reserve establishment data in SE Tibet. Discussion was held with Yunnan experts, David Boufford from Harvard and CI-CABS staff. Draft boundary was agreed in principle at PMG meeting. CI China Guizhou trip has brought back a collection of useful information on hotspot boundary definition.
3.3. NGO (including research institutes) partnership established based on ROI and a timeframe agreed by the end of project	Continue negotiating was conducted with WWF on completing the FUY workshop products. Basic contents were agreed

	<p>upon. Leftover issues on FUY workshop products communitied among CI, TNC, WWF China and WWF US. Discussions held with TNC on the idea of outcome mapping, compared to that of ecoregional planning, possible collaborative area could include collaboration, data sharing, etc. Discussions were held with Sichuan Academy of Forestry, about digitalizing currently available biodiversity data collected during the past decades, to enrich and fill gaps. Chengdu Institute of Biology expressed strong interest in continuing to work with CI to enrich data points to their current database on Sichuan biodiversity. PKU key experts identified for conducting the Outcome Mapping project. Several discussions were held in developing a workplan by the appointed PKU experts. Basic agreement on information sharing was secured with TNC, WWF-Sichuan, PKU, CIB, SAF (Sichuan Academy of Forestry) and CSIS located in Beijing Institute of Zoology. A timeframe for next steps was discussed and agreed by PKU experts and CABS.</p>
<p>3.4. Major objectives defined and agreed upon among partners by the end of project</p>	<p>Major objectives are been discussed among partners. The key questions are how to incorporate Monitoring component into the Mapping project and where to make the cut for the first mapping project in terms of data quality. The objectives of China Outcome Mapping communicated with partners and CABS/CI Monitoring team. CEPF has approved the Lol for Outcome Mapping project in three Hotspot regions, including SW China. Invitation was sent by CEPF to continue part II application. By the end of this project, Part II was being developed. The process was delayed due to SARS epidemics and the fact that one of the PKU GIS specialists could not obtain a US visa.</p>
<p>3.5. Additional GIS databases identified/acquired in the region by the end of project</p>	<p>Database from CIB, Sichuan Academy of Forestry, CCICED, PKU, Ouyang Zhiyun (CAS), WWF (partial) are aquired and/or being developed. Task completed during Quarter 1, 2003. A list of available GIS database and capacity summarized. TNC has agreed to collaborate and share in</p>

	formation in NW Yunnan and with the upcoming eco-regional planning project.
3.6. CSIS/Red List products/outcomes identified/acquired by the end of project	Key CABS scientists visited Institute of Zoology, host of CSIS and Red List, and discussed the scope of work for both CSIS database, <i>chinabiodiversity</i> website and format for publishing the Redlist. The Redlist is expected to be complete in June 2003. Redlist workshops on vertebrates was held to verify species data. Communicated with CABS experts resulted in further steps to take for Redlist.
3.7. CIB data collection finalized by the end of the first quarter	In October 2002, CIB provided a 50,000-record biodiversity database for Southwest Sichuan at township level and available for outcome mapping project.
3.8. Major information gaps identified for rapid assessment by the end of project	CI China had helped Sichuan Academy of Forestry to complete a CEPF proposal in digitalizing biodiversity data from their multiple field surveys. Harvard University Herbaria's three-year botanical inventory project in SW China was approved by CEPF. Discussion was held with Tibet Forestry Department in obtaining reserve baseline data for Southeast Tibet region. Literature search was undertaken by PKU experts.
3.9. Proposal(s) prepared and submitted by the end of project	Processes for proposal submission were postponed due to delay in getting workshop report from Mar 2002 FUY priority setting meeting. A Letter of inquiry was drafted and submitted by CABS and approved by CEPF, who extended an invitation to proceed to Part II. Part II was still being developed by the end of project. The delayed was due to SARS. This proposal is expected to be developed in early August.
Output 4: Proposal to promote natural regeneration as a key strategy in the farmland to forest restoration program prepared.	
4.1. Participation of key government agency secured by the end of project	The project concept was exchanged with the director of SFD who showed great interest and suggested a brainstorming/introduction workshop. SFA, SEPA and SPPC were debriefed

	with the concept. Discussions were also held with county officials in selected sites in Sichuan.
4.2. Scientific, economic and political feasibility identified by the end of project	A brainstorming was held in Sichuan with forestry department officials, researchers and NGOs, on scientific and political implications, as well as feasibility of natural regeneration project in SW China. Several discussions were held with CELB on technical and fund raising strategies for this project. Workshop was postponed. A visit is planned by BP and CELB to several sites in the hotspot area, in order to get a better sense of how the project could be carried out. Several discussions were facilitated for a site-specific project by WWF and CIB in western Sichuan to initiate research and demonstration for regeneration. Other feasibility research were also discussed.
4.3. Partners established by the end of project;	CI China visited selected counties in Sichuan to discuss G2G program and the need to integrate natural regeneration with county-wide land use planning. Discussion was held with SFD director on G2G and NFPP. A debriefing was given to Sichuan PPC in November 2002. In December, 2002, a joint trip was held with JBIC to several northern Sichuan counties to further explore project ideas and feasibilities for G2G and natural regeneration. A brainstorming session was held in December with a dozen forestry and rural economics experts to discuss a framework for natural regeneration project design, including sites selection for demonstration projects.
4.4. SASS report on logging ban and G2G published, results reviewed and incorporated into project planning by the end of project	CI China exchanged project ideas with US Forestry Service but deferred submitting a proposal until project design was more advanced. SASS (Sichuan Academy of Social Sciences) report was reviewed and finalized, waiting to be published. Discussion was held on how to package and distribute such report in a most effective way. It was decided that format of publication will be determined as Natural Regeneration project

	<p>develops. SASS research findings were incorporated in the grant applications to BP, 3M foundation and GEC in Japan.</p>
<p>4.5. Proposal prepared and submitted by the end of project</p>	<p>Several proposals were prepared and were submitted to outside donors instead of to CEPF, as CEPF's strategy for natural regeneration was being developed. CI China continued to develop a finer scale strategy for conducting natural regeneration projects in SW China. CI China collaborated with CELB in completing grant proposals to 3M and GEC in Japan. CI China facilitated the CEPF applications in conducting pilot studies to promote for natural regeneration. Extensive discussions were held between CELB and CI China. A invitation was extended by 3M Foundation to discuss CI's proposal. GEC proposal was discussed among CELB, CI Japan and CI China. The GEC proposal was turned down in June.</p>
<p>4.6. Linkage to other CI conservation approaches explored by the end of project; (e.g., CELB, conservation concession, TEAM, GCF)</p>	<p>A workshop with CELB and relevant China experts was planned to be held in China. A memo was written in the second quarter report on the progress.</p> <p>Several discussions were held with CELB, GCF, TEAM and conservation concessions. More thoughts were communicated during CI annual planning.</p> <p>Discussions initiated on setting up a 'China Interest Group' within CI to get attention from CI's departments on China and CI China program. Initial discussion held with interested CI departments and senior management, including CELB, CGC, CABS, Regional Strategic Planning, CEPF, GCF and Development and Operation.</p> <p>CI DC coordinator was hired to facilitate the CI China's communication with the DC office.</p>
<p>4.7. Proposal to 3M Foundation written with CELB on natural regeneration</p>	<p>Meeting held with 3M Foundation to answer questions about the proposal.</p>

Output 5: Opportunities for co-funding explored	
5.1. The “big ideas” initiated by the end of project--a long-term vision that may lead to significant conservation outcome in China and its footprint internationally	<p>Discussions were held with stakeholders within and beyond the hotspot. Funding organizations, such as World Bank-GEF, SEPA, UNF, UNDP were approached. CI China attended 2nd GEF council meeting in Beijing, exchanged idea with major Chinese and International NGOs. Ideas communicated on how to hitchhike on 'Green Olympics' to achieve a bigger goal of promoting conservation and less wildlife consumption in China.</p> <p>CI's strategic programs are re-defined to include Eco-tourism promotion, Wildlife Trade information collection and campaign, Capacity-Building for Newly Established Protected Areas, Sacred Land protection, forest regeneration, and outcome mapping and monitoring.</p>
5.2. Potential donors identified and communicated, including foundations, private sectors and bilateral donors, by the end of project	<p>Meetings were held with SEPA and SFA on leveraging funds with CEPF. A field trip to Sichuan was taken with JBIC, who was interested in forest projects. Discussion was held that CEPF and TNC becomes matching fund for each other. Discussion was also held with EU, Netherlands Embassy, GEF/SEPA, TNC, UNDP, UNF, Rockefeller Foundation, and private donors on using CEPF as startup to leverage more conservation investment.</p>
5.3. China program fundraising strategy discussed with relevant CI departments including CELB, Center for Governance, Foundation relations, etc.	<p>Strategy and Development department was contacted to discuss developing a package of China projects for fund raising. China funding situation was also discussed during annual meeting and PMG.</p>
5.4 Proposals developed and submitted: 1) Sacred Land protection to State Department; 2) Natural Regeneration to BP and 3M; 3) NGO networking to Asia Foundation	<p>Sacred land protection proposal was submitted to USSD on May 31. Natural regeneration proposals were submitted to BP, GEC and 3M. NGO networking proposal was submitted to Asia Foundation, who invited CI to develop such a proposal.</p>
Output 6: CEPF Investment Strategies listed in Ecosystem Profile refined and operational for application evaluation.	
6.1. Strategy on combating Wildlife Trade	An NGO/Media meeting was held in

<p>in China, especially the hotspot region developed and information collection initiated by the end of project</p>	<p>Beijing in early April, 2003, on strategies for wildlife trade in China. Plans were discussed on information collection and campaign. Four key NGO partners participated in the discussion were Sichuan Wilderness Club, IFAW, Pacific Environment and CI.</p> <p>Sichuan wildlife trade collection plan was discussed extensively between CI China and the collection team. A three-day training was conducted before the trip. 5 teams surveyed 5 key routes of wildlife trade in western and northwestern Sichuan.</p> <p>After the Sichuan information collection trips, a meeting was held with Yunnan, Qinghai and Guangxi key organizations to discuss strategy in collecting trade information and share experience. This meeting was delayed due to SARS and rescheduled in July.</p>
<p>6.2. Discussion initiated on strategy to promote <u>sacred landscape in the Tibetan area</u>; grant proposal submitted to State department by the end of project;</p>	<p>A field survey in Qinghai and Tibet was conducted from May 1 - June 1. Lots of information was collected on community-based protection of sacred landscape and different management system in Qinghai and TAR. A report with over 1000 photographs and 50 survey questionnaires will be developed.</p> <p>A trip was taken in Diqing Prefecture in NW Yunnan to identify partners and locate possible field sites for this project.</p> <p>A grant proposal on Sacred land protection was submitted to US State Department Tibet fund.</p>
<p>6.3. Survey conducted on <u>capacity building for newly established nature reserves</u>. CEPF strategy for funding nature reserve projects drafted and discussed by the end of project;</p>	<p>Survey convened on need assessment of nature reserve capacity building. 4 survey trips taken in Liangshan Prefecture, Ganzi prefecture, A'ba Prefecture, Mianyang city and natural reserves around Chengdu city (LXHK, Baishuihe).</p> <p>A nature reserve capacity building needs assessment report was written in Chinese and reviewed.</p>

	A niche was identified for CEPF to first invest in the newly established nature reserves. An Lol was developed and submitted to CEPF.
6.4. Discussion initiated with partners and relevant CI department on promoting <u>ecotourism</u> in the hotspot region.	Meetings were held with CI ecotourism department. Prior experiences were shared in ecotourism strategic design. Lols on ecotourism, especially from tour operators and policy makers were solicited for CEPF. Several applicants and partners were identified.
6.5. Meeting organized for environment and development NGOs in Sichuan. Discussion initiated on <u>networking among these NGOs</u> .	An NGO meeting was held in Chengdu as startup for Sichuan NGO networking, with participation of over 25 local environment and development NGOs. A draft plan was made for better NGO communication and collaboration in SW China on biodiversity conservation. Western NGO website was launched as one of the outcomes for the first NGO networking meeting. The test site is located at http://west.ngo.cn . Follow up steps on NGO networking were delayed by SARS.
Output 7: Actions taken to respond to emerging threats to biodiversity in the hotspot region	
7.1. World Bank/IUCN 1997 meeting proceedings on Large Dams translated, with executive summary written	Large Dams translation was completed. IUCN/Worldbank report on Large Dams was translated, with executive summary written. The report was made available to all.
7.2. Investigation and expert report on Mugeco dam building completed and submitted to the State Council	A field investigation was conducted to gather first-hand information. A workshop was held with over 20 top environmental experts, activists and governmental officials to discuss strategy for Mu Ge Cuo and other dam building projects. A campaign letter was signed by most experts and sent to Premiere to stop dam building on Mu Ge Cuo and carefully examine environmental impact in other dam building projects in the west.
7.3. Translation for Invasive Species Toolkit started.	Completed.

7.4. Report from the Baiji workshop distributed and funding opportunity explored;	Several discussions held with CI marine department on next step for Baiji report distribution and possibility of a workshop in China. Funding requests were sent very broadly.
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Describe the success of the project in terms of delivering the intended outputs.

Because this project was extended from the original 6 months to 12 months, several new outputs were designed during the project execution and were added to the original LogFrame. Majority of the outputs were accomplished successfully and in many cases, exceeded the expectation from the original project design. Only a few outputs were not delivered, as summarized below for the next question, mostly due to lack of legal support in China for NGO registration and SARS epidemic from April – June, 2003.

Were any outputs unrealized? If so, how has this affected the overall impact of the project?

Indicator 2.2 on CI China legal status was not completed. China does not have NGO law and allow international NGOs to register. 2.3 Identify a National host was not completely. This is mostly to balance between SEPA and SFA, as a strategic move so CI would have more flexibility selecting who to collaborate with for projects of different nature.

Indicator 3.2 (ROI boundary defined) is delayed because more information should be collected;

Indicator 3.9 (Outcome mapping proposal submitted) has not completed due to the complexity of coordination and CABS overall plan on defining indicators and outcome mapping/monitoring. Outcome mapping proposal is still being developed and expect to come out by the end of next quarter.

Indicator 4.4 Publication of SASS report. This was not completed as CI and USFS are still negotiating on a most useful and sensitive way to get the report published.

Overall natural regeneration proposals were being developed and sent to outside donors and funds instead of solely to CEPF as originally designed. This was because natural regeneration is the kind of project that can consume lots of investment without immediate conservation outcome. If an outside donor can be identified, CEPF's investment can be seen as a matching fund to leverage for more support. The natural regeneration and carbon sequestration proposals were sent to BP, GEC of Japan and 3M Foundation.

Overall, the delays have not caused impact on overall project.

V. SAFEGUARD POLICY ASSESSMENTS

Provide a summary of the implementation of any required action toward the environmental and social safeguard policies within the project.

N/A

VI. LESSONS LEARNED FROM THE PROJECT

Describe any lessons learned during the various phases of the project. Consider lessons both for future projects, as well as for CEPF's future performance.

Lessons learned from this project.

1). CEPF endorsement took longer than anticipated, until November - this is the first time that Chinese government (GEF focal point - MOF) endorsed NGO project. It might make more sense to start approaching the focal point even before the board approves the investment.

2). Legal registration and related issues on bank account and hiring had been an obstacle for CI operation in China. Flexible, realistic and proactive attitude would be greatly helpful when dealing with a newly-established program in a county known to be strict in NGO management.

3) It took so long to get the results from the priority-setting workshop, making it harder to pinpoint sites where the investment should take as priority. The Outcome mapping process would also be most useful if conducted before CEPF's launching in a project area.

4) Although CEPF Ecosystem Profile and strategic directions is the guideline for investment, the strategic directions sometimes come too general when making judgment about one particular project. There needs to be a more detailed strategy, for each hotspot, in order to develop a consistent and integrated portfolio.

5) It is critical for any coordination mechanism to have a serious course on CEPF operation, before a smooth CEPF coordination could be established in country. CI China received training on CEPF's operation in DC but due to time difference and insufficient communication, the CEPF coordination has not been streamlined. Roles and responsibilities could be better defined. CEPF's system in receiving, archiving and processing grants was improving but took sometime for the new system to be up and running. Overall the hurdles preventing a streamlined CEPF process in China have been removed one by one.

6) CI China and CEPF has been advertising CEPF as an agile and flexible funding mechanism, which turned out to be the opposite from our experience administering CEPF for the last year. The Part II application package for large projects is not intuitive and pays much attention in wording than contents. Small grant applicants experience much simpler paperwork yet almost the same waiting time for project approval. Having to go through several departments in DC for approval has caused delays for several time-sensitive projects, especially given the case that SW China is a temperate area with a long winter in the mountains, prohibiting field work.

7) CI China should have clarified detailed procedures with CEPF before review cycles begin; An operation manual should be obtained from CEPF on the whole grant making process; Communication with CEPF grant maker should be conducted more frequently,

to avoid misunderstanding. CI China team did not have access to CI's finance system but should have paid more attention to the spending.

Project Design Process: (aspects of the project design that contributed to its success/failure)

This was CI China's first project with CEPF. It's a very useful process as we have learned, as a normal applicant would also have going through the process of project design, reporting and self-evaluation.

The project is overall a success. CI China office was set up in Beijing and two provinces in the hotspot, established solid connection with governments both at the national level and local level in the hotspot region. Administration of CEPF, after the initial exploration period, has been clarified, refined and now operates at a good pace and scale. Original design was import as being flexible, conducting timely self-evaluation, spirit of learning and collaboration have always been emphasized. This made sure that CI China has kept open eyes for room to improve, refine strategy and take advantage of opportunities. We feel that although there seem to be many projects developing, the framework and mentality maintain the same.

As mentioned in the above question on Lessons Learned, we feel that CEPF as a funding mechanism provided the seed money for CI China to establish its presence. Yet more training to CI China is important for it to operate in line with CEPF's operational routines. If this was taken up early on in the project, more time could have been saved from trying to adjust later.

Project Execution: (aspects of the project execution that contributed to its success/failure)

CI China was very careful with selecting its staff. Staff was only recruited when there was real needs and more projects were accomplished by collaborating with other organizations. Keeping the office small has significantly reduced the operation cost for the project.

As a new program, CI China has taken on the task of establishing its own presence in China to develop CEPF projects itself and administers CEPF at the same time. While these two tasks may not always be compatible, CI China has made a good balance between the two. The coordination mechanism works very well so far and has become a model for CEPF design in other regions.

VII. ADDITIONAL COMMENTS AND RECOMMENDATIONS

None. Already summarized in the previous 3 questions.