

2019

Project Implementation Review (PIR)

**China 3NC**

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# Basic Data

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| **Project Information** | |
| UNDP PIMS ID | 5032 |
| GEF ID | 4882 |
| Title | Enabling China to Prepare Its Third National Communication (3NC) to the UNFCCC |
| Country(ies) | China, China |
| UNDP-GEF Technical Team | Integrated Strategies and SGP |
| Project Implementing Partner | Government |
| Joint Agencies | *(not set or not applicable)* |
| Project Type | Full Size |

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| **Project Description** |
| This project is to enable China to fulfill its commitments under the UNFCCC to prepare its Third National Communication (3NC) and Initial Biennial Update Report (BUR) and to gradually establish a supporting system of developing NCs and BUR in accordance with the Guidelines for the Preparation of National Communications from Non-Annex I Parties (17/CP.8) and Biennial Update Reporting Guidelines for Non-Annex I Parties (2/CP.17) adopted by the Conference of Parties (COP). Based on the experience and lessons learned from the previous two NCs, the project will broaden and consolidate the network of stakeholders, including those in the government, research and education institutions, associations, social groups, enterprises, individuals and NGOs, enhance technical capacity of national experts, and strengthen the institutional framework for the preparation of NCs and BURs. Furthermore, the project will place greater emphasis on relevant policies on mitigation of and adaptation to climate change and the results of their implementation, promote the establishment and improvement of the domestic systems for measurement, report and verification, so as to enable China to effectively address climate change in the process of pursuing national sustainable development.    The project will develop comprehensive national Greenhouse Gas (GHG) inventory of 2010 and 2012, with extended categories and sources of GHG emissions and reduced uncertainties of the inventory. It will further improve the national GHG inventory database management system, with a view to administering inventory data in a more scientific way and making the preparation of GHG inventories a continuing process. The project will further improve the approach for projecting GHG emissions in China, and estimate China’s CO2 emission from energy activities in 2025. It will also identify key impacts of climate change and corresponding adaptation measures, describe relevant policies and measures which China adopts to address climate change, and introduce the activities of enhancing public awareness on climate change. It will provide relevant information on addressing climate change by Hong Kong and Macao. The project will lead to the submission of the 3NC and BUR to the Conference of the Parties (COP) to the UNFCCC. |

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| **Project Contacts** | |
| UNDP-GEF Regional Technical Adviser | Mr. Manuel Soriano (manuel.soriano@undp.org) |
| Programme Associate | Ms. Sornsawan (Kam) Phongphao (sornsawan.phongphao@undp.org) |
| Project Manager | Mr. Jiang Zhaoli (jiangzl@ndrc.gov.c) |
| CO Focal Point | Ms. Shijun Liu (shijun.liu@undp.org) |
| GEF Operational Focal Point | Mr. Weifeng Yang |
| Project Implementing Partner | Ministry of Ecology and Environment |
| Other Partners | *(not set or not applicable)* |

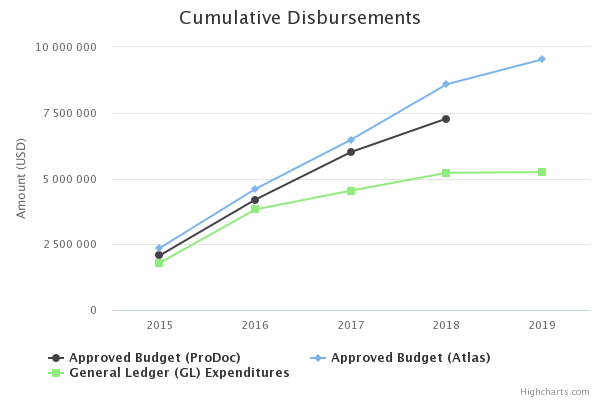
# Overall Ratings

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| Overall DO Rating | Satisfactory |
| Overall IP Rating | Moderately Satisfactory |
| Overall Risk Rating | Moderate |

# Development Progress

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| **Description** | | | | | | |
| **Objective**  **Strengthened capacity in integrating climate change concerns into national and sectoral development priorities while fulfilling obligations to the UNFCCC** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| Completed and submitted Third National Communications Report to the UNFCCC | 0 | *(not set or not applicable)* | 1 | GHG inventory 2010 for 3NC is being developed, and 3NC is being prepared, Drafted Chinese version of 3NC has been developed. | 1 |
| No. of Biennial Update Reports completed by EOP | 0 | *(not set or not applicable)* | 2 | 1st BUR has been submitted to UNFCCC, drafted Chinese version of 2nd BUR has been developed. 2nd BUR is being prepared | 2 |
| No. of GOC agencies/institutions that are actively involved in the inventory and analysis of sectoral GHG emissions by EOP | 75 | *(not set or not applicable)* | 100 | 110 | 110 |
| No. of center and local governments that integrate CCM and CCA concerns in their development planning by EOP | 33 | *(not set or not applicable)* | 65 | 65 | 65 |
| No. of national and local government agencies, and private sector entities that were involved in the 3NC process (inclusive of BURs) by EOP | 110 | *(not set or not applicable)* | 155 | 178 | 178 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 1**  **Clearer understanding of the magnitude and causes of the GHG emissions from Energy Activities** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| Fossil fuel combustion by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| Biomass combustion by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| CH4 emissions from coal mining and post-mining activities by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| CH4 fugitive emissions from oil and gas system by 2017 | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| Non-energy uses of fossil fuel by 2017 | 2 | *(not set or not applicable)* | 2 | 4 | 4 |
| International bunkers by Year 2017 | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| No. of comprehensive researches/studies conducted and completed for use in the compilation of GHG emissions inventory of the energy sector by EOP | 2 | *(not set or not applicable)* | 33 | 64 | 64 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 2**  **Clearer understanding of the magnitude and causes of the GHG emissions from Industrial Processes** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| Mineral products processing by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Industrial chemical processes by 2017 | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Industrial metal production processes by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Production of halocarbons and sulfur hexafluoride by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Consumption of halocarbons and sulfur hexafluoride by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| No. of comprehensive researches/studies conducted and completed for use in the compilation of GHG emissions inventory of industrial processes by EOP | 9 | *(not set or not applicable)* | 41 | 71 | 71 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 3**  **Clearer understanding of the magnitude and causes of the GHG emissions from Agriculture** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| CH4 emissions from paddy fields by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| N2O emissions from croplands by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| CH4 emissions from animal enteric fermentation by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| CH4 and N2O emissions from manure management systems by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| No. of comprehensive researches/studies conducted and completed for use in the compilation of GHG emissions inventory of the agriculture sector by EOP | 4 | *(not set or not applicable)* | 37 | 66 | 66 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 4**  **Clearer understanding of the magnitude and causes of GHG Emissions/Removal from Land Use, Land Use Change and Forestry sector** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| Forests and woodlands by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| Change in soil organic content in croplands by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Grasslands by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Wetlands by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| Lands converted to residential lands and other lands by EOP | 2 | *(not set or not applicable)* | 2 | 4 | 4 |
| No. of comprehensive researches/studies conducted and completed for use in the compilation of GHG emissions inventory of the land use, land use change and forestry sector by EOP | 5 | *(not set or not applicable)* | 32 | 67 | 67 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 5**  **Clearer understanding of the magnitude and causes of the GHG emissions from Waste treatment** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| CH4 emissions from waste landfills by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| Waste incineration by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| CH4 and N2O emissions from biological treatment of solid waste by EOP | 0 | *(not set or not applicable)* | 2 | 2 | 2 |
| CH4 emissions from domestic and commercial wastewater treatment by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| CH4 emissions from industrial wastewater treatment by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| N2O emissions from wastewater treatment by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| No. of comprehensive researches/studies conducted and completed for use in the compilation of GHG emissions inventory of the waste sector by EOP | 5 | *(not set or not applicable)* | 37 | 67 | 67 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 6**  **Updating China`s GHG Inventory Database** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of updated sectoral data sets uploaded to the National GHG Emissions Database by EOP | 2 | *(not set or not applicable)* | 4 | 5 | 5 |
| No. of formulated sets of CCM and CCA policies uploaded in the National GHG Emissions Database by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| No. of formulated sets of CCM and CCA action plans uploaded to the National GHG Emissions Database by EOP | 2 | *(not set or not applicable)* | 4 | 4 | 4 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 7**  **Better understanding of the appropriate climate change options for China, and enhanced action plan to implement prioritized mitigation actions** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of completed studies based on the GHG inventories on the characteristics and future trends of climate change in China by EOP | 0 | *(not set or not applicable)* | 1 | 1 | 1 |
| No. of comprehensive researches/studies conducted and completed for use in the identification and evaluation of potential CC mitigation actions by EOP | 2 | *(not set or not applicable)* | 4 | 5 | 5 |
| No. of operational improved/modified simulation models for forecasting GHG emissions and emission trends using the updated GHG inventory data by EOP | 2 | *(not set or not applicable)* | 2 | 5 | 5 |
| No. of scenario analyses developed using the improved/modified simulation models, and utilized in CCM and CCA policy making and action planning by EOP | 3 | *(not set or not applicable)* | 6 | 9 | 9 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 8**  **Better understanding of China’s vulnerability to the threats of climate change and predicted impacts in five sectors** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of national and local climate change adaptation programs developed and implemented by the national and local governments as influenced by the 3NC process by EOP | 1 | *(not set or not applicable)* | 2 | 2 | 2 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 9**  **Better understanding of the appropriate climate change mitigation options for China, and enhanced action plan to implement prioritized mitigation actions** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of national and local climate change mitigation programs developed and implemented by the national and local governments as influenced by the 3NC process by EOP | 2 | *(not set or not applicable)* | 3 | 3 | 3 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 10**  **Improving Public Awareness and Informing Policy Decision Making on Climate Change** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of users of the China Climate Change Info-Net each year starting 2015 | 150000 | *(not set or not applicable)* | 160000 | 473684 | More than 473684 |
| No. of national and local climate change programs developed and implemented by the national and local governments as influenced by the advocacy and public awareness campaigns that were carried out under the 3NC process by EOP | 2 | *(not set or not applicable)* | 3 | 3 | 3 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 11**  **Better understanding and enhanced capacity in GHG emission inventory and national communication compilation in the Hong Kong** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of completed GHG inventory of the Hong Kong SAR | 1 | *(not set or not applicable)* | 3 | 3 | 3 |
| No. of CCM and CCA policies and actions formulated by the Hong Kong SAR based on the GHG inventories and included in the completed 3NC Report by EOP | 3 | *(not set or not applicable)* | 5 | 5 | 5 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 12**  **Better understanding and enhanced capacity in GHG emission inventory and national communication compilation in Macau SARs** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No of completed GHG inventory of the Macau SAR | 1 | *(not set or not applicable)* | 3 | 3 | 3 |
| No. of CCM and CCA policies formulated by the MAC SAR based on the GHG inventories and included in the completed 3NC Report by EOP | 3 | *(not set or not applicable)* | 5 | 5 | 5 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 13**  **Improved capacity and technical inputs in meeting obligations to the UNFCCC** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of researches and studies conducted in the context of the 3NC that were carried out by local experts by EOP | 9 | *(not set or not applicable)* | 11 | 71 | 71 |
| No. of local experts that were involved in the GHG inventories as well as in the analysis of the GHG inventory results by EOP | 7 | *(not set or not applicable)* | 31 | 81 | 81 |
| No. of Climate Change mitigation policies and measures developed by local experts by EOP | 11 | *(not set or not applicable)* | 110 | 105 | 105  Needed more time to collect data due to national and local level institutional restructuring in late 2018. |
| No. of Climate Change adaptation policies and measures developed by local experts by EOP | 0 | *(not set or not applicable)* | 1 | 1 | 1 |
| No. of research and studies on systematic observation of climate conducted by local experts by EOP | 0 | *(not set or not applicable)* | 1 | 1 | 1 |
| No. of projects that contributed inputs on climate change technology transfer & cooperation by EOP | 1 | *(not set or not applicable)* | 2 | 3 | 3 |
| No of trained nationals on NC formulation that were involved in the 3NC process by EOP | 20 | *(not set or not applicable)* | 30 | 210 | 210 |
| No. of trained nationals on NC formulation that were employed for NC-related activities on a regular basis | 7 | *(not set or not applicable)* | 11 | 197 | 197 |
| **The progress of the objective can be described as:** | | **On track** | | | | |
| **Outcome 14**  **Improved and integrated climate change action planning both at the local and national levels** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of integrated CCM and CCA measures and action plans developed formulated by the national government and local governments by EOP | 11 | *(not set or not applicable)* | 110 | 105 | 105  Needed more time to collect data due to national and local level institutional restructuring in late 2018. |
| No. of local governments that have initiated GHG inventories and other NC process activities at the local level by EOP | 0 | *(not set or not applicable)* | 33 | 33 | 33 |
| **The progress of the objective can be described as:** | | **On track** | | | | |
| **Outcome 15**  **Publication, dissemination and submission to the UNFCCC of the 3NC Report** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of national and local government agencies that made use of the 3NC for their development planning activities with climate change mainstreamed in it by EOP | 0 | *(not set or not applicable)* | 10 | 30 | 30 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |
| **Outcome 16**  **Submission of the Biennial Update Report to the UNFCCC** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of BUR submitted to the UNFCCC | 0 | *(not set or not applicable)* | 2 | 1 | 2 |
| No. of adjustments made on the CCM and CCA policies, measures and plans based on the findings and recommendations of the BUR by Year 2 | 0 | *(not set or not applicable)* | 1 | 1 | 1 |
| No. of national government entities that are making use of the designed measurement, reporting and verification (MRV) process developed as part of the BUR by EOP | 0 | *(not set or not applicable)* | 5 | 13 | 13 |
| **The progress of the objective can be described as:** | | **Achieved** | | | | |

# Implementation Progress



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| Cumulative GL delivery against total approved amount (in prodoc): | 72.03% |
| Cumulative GL delivery against expected delivery as of this year: | 72.03% |
| Cumulative disbursement as of 30 June (note: amount to be updated in late August): | 5,243,898 |

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| **Key Financing Amounts** | |
| PPG Amount | *(not set or not applicable)* |
| GEF Grant Amount | 7,280,000 |
| Co-financing | 900,000 |

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| **Key Project Dates** | |
| PIF Approval Date | Nov 15, 2012 |
| CEO Endorsement Date | Jul 18, 2014 |
| Project Document Signature Date (project start date): | Mar 3, 2015 |
| Date of Inception Workshop | Mar 17, 2015 |
| Expected Date of Mid-term Review | Mar 3, 2017 |
| Actual Date of Mid-term Review | *(not set or not applicable)* |
| Expected Date of Terminal Evaluation | Jul 1, 2020 |
| Original Planned Closing Date | Mar 3, 2019 |
| Revised Planned Closing Date | Sep 3, 2020 |

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| **Dates of Project Steering Committee/Board Meetings during reporting period (30 June 2018 to 1 July 2019)** |

# Critical Risk Management

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| Current Types of Critical Risks | Critical risk management measures undertaken this reporting period |
| Organizational | During the reporting time,  Despite the difficulties caused by the institutional reform actions that transpired (e.g., MEE establishment; DCC moved from NDRC to MEE), NEA and PMO still function well to take actions to implement the remaining and new additional project activities, among which are the conduct of workshop and meetings for review and approval of the 3NC and 2BU reports, and the development of the 4NC Project concept (PIF). The 3NC report and 2BUR, were completed and submitted to UNFCCC. Meanwhile, the PMO also requested for an extension of the project implementation period to insure the implementation of the local capacity building activities could be carried out after the local government institutional reform is completed.    The new project end date is 3 September 2020. The 4NC Project design and project document preparation will only start by January next year if the 4NC PIF is approved by the GEF. Assuming the PIF is approved for the December 2019 work program, there will only be 8 months to complete the 4NC project design and documentation. |

# Adjustments

**Comments on delays in key project milestones**

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| **Project Manager: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.** |
| According to State Council institution reform plan, the governing function on Climate Change Issues has been transferred from NDRC to the new Ministry of Ecology and Environment (MEE). The entire Department of Climate Change, as the National Executing Agency for the 3NC Project was merged to MEE in April 2018. Accordingly, local governments must restructure their Department of Climate Change (DCC) from local Development and Reform Commission (DRC) to local Bureau of Ecology and Environment (BEE). Recently, the institutional restructuring of the local governments was completed. As a result of this, some of the activities of the 3NC Project in 2018 have not yet been carried out.  According to the progress of local government institutional reform, it will take one and a half years to support local capacity building activities. Hence the PMO submitted the request to extend the 3NC Project implementation period .to September 3, 2020 |

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| **Country Office: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.** |
| As the government restructuring occurred in March 2018, it took time for the Department of Climate Change of NDRC to transfer to Ministry of Ecology and Environment. This delayed the implementation of some activities. The delay, among others, prompted the CO to support the request of the PMO to extend the project’s implementation period. The request was approved by UNDP-GEF and the project implementation was extended to September 2020. |

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| **UNDP-GEF Technical Adviser: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.** |
| The last year of the 3NC Project implementation should have been during the PIR 2019 period. The 2 major reasons for the non-completion of the project activities as per the original plan are: (1) The 2018 State Council Decree on Government Restructuring that required reshuffling of the GOC’s administrative system, which resulted, among others, to the transfer of the governing function on climate change issues from the NDRC to the new Ministry of Ecology and Environment (MEE); and, (2) The publication and dissemination of the 3NC Project results and other knowledge products for the promotion and campaign for actions to address Climate Change in the country. Another reason was the inclusion of the preparation of China’s 4NC Project as part of the 3NC Project. The 4NC project proposal will be done in tandem with the completion of the remaining 3NC activities as this process will also make use of the remaining 3NC project financial resources. It is expected that the entire project 4NC project design and preparation process will be completed by end 2020. |

# Ratings and Overall Assessments

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| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **Project Manager/Coordinator** | Satisfactory | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | Since its inception, the 3NC project has been implemented geared towards achieving the project objective. By now, most of the project components have been completed and their respective outcomes realized. The set targets for each component were achieved and, in some cases even exceeded them. The 1st BUR, 2nd BUR and 3rd NC were completed and have been submitted to UNFCC. Moreover, the national executing agency (NEA) and PMO designed additional activities to develop municipal level GHG inventories and assess provincial GHG inventories. These activities were endorsed by the Project Steering Committee (PSC) in 2018. These activities will expand the influence of the project and help local governments in their sustainable development. The NEA and PMO played key roles in the progress towards the accomplishment of the project objective and outcomes. The PSC and other stakeholders also present strong support in the project implementation. Therefore, the 2019 rating is S. | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **UNDP Country Office Programme Officer** | Satisfactory | Moderately Satisfactory |
| Overall Assessment | The project has been being implemented on the right track from activity level to output level, outcome level and objective level from very beginning. At the management level, the project is effectively implemented with high efficiency. Meetings have been held regularly to discuss project progress and potential issues so that the project could be smoothly implemented; at the output level, he 1st BUR, 2nd BUR and 3rd NC have been submitted to UNFCC. Some outputs have exceeded project requirement listed in Project Document. . Besides, national execute agency (NEA) and PMO designed additional activities to develop municipal level GHG inventories and assess provincial GHG inventories. | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **GEF Operational Focal point** | *(not set or not applicable)* | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | *(not set or not applicable)* | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **Project Implementing Partner** | Satisfactory | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | Generally, the 3NC project has been implemented well in line with the project objective. Main targets of the 3NC project have been completed, and additional targets have been accomplished. The 1st BUR, 2nd BUR and 3rd NC have been submitted to UNFCC. Besides, the national executing agency and the PMO designed additional activities to develop municipal level GHG inventories and assess provincial GHG inventories. This would enlarge project influences and help local government in their sustainable development. The MEE and PMO played an effective role in the progress towards accomplishing the project objectives. PSC and other stakeholders also provided strong support in the project implementation. Therefore, the 2019 rating is S. | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **Other Partners** | *(not set or not applicable)* | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | *(not set or not applicable)* | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **UNDP-GEF Technical Adviser** | Satisfactory | Moderately Satisfactory |
| Overall Assessment | This PIR 2019 report is the 4th report for the 3NC Project. It is supposed to be the last PIR report of the project but since the project implementation period has been extended till September 2020, there will be a 5th and last PIR report for the project next year.    Per the Activities Inventory that was done in April 2019, all the planned activities in all the project components have already been completed, except for some remaining activities in Sub-Components 1.2 and 1.3. These are on the international training on the conduct of GHG inventory of industrial processes (Sub-component 1.2); and, the conduct of workshop and training courses (local and international) on the inventory of CH4 and N2O emissions from the agricultural sector (Sub-component 1.3). Considering that these were also the remaining activities in the previous reporting period, these somehow manifest the impact of the institutional changes that happened during the current reporting period. Nonetheless, since these are part of an intended series of capacity development activities, these will be continued during the next reporting period.    While in the previous PIR reporting period the progress towards the realization of the respective outcome of Sub-Components 6.1 and 6.2 were already reported as “achieved”, in this current reporting period the progress is reported as “on track”. This is because new additional activities were agreed (and endorsed by the PSC) to be incorporated in the 3NC Project during the PIR 2019 reporting period and will be covered under these 2 sub-components. With the rapid pace of activities completion during the previous PIR reporting periods it was expected that these additional activities will also be completed by the last year of the 3NC Project implementation. These activities include the following:    Sub-Component 1: (a) 4NC PIF preparation; and, (b) 4NC project design and project document preparation.  Sub-Component 2: (a) Evaluation of provincial GHG inventories; and, (b) Development of municipal level GHG inventories    Initial work on the formulation of the 4NC PIF was done during the current reporting period, and this was reviewed and commented on by the EITT Team in UNDP-BRH and the Climate Change Team in UNDP-GEF NY. The evaluation of provincial GHG inventories and development of the municipal level GHG inventories were initiated in the 4th quarter of 2018 and as of end PIR 2019 period are still work in progress. To facilitate the completion of these additional activities the request for an extension of the project implementation period was approved by UNDP-GEF.    With almost all the original Year 4 targets of the indicators achieved during the previous PIR reporting period, the completion of the remaining and additional new activities could have been achieved if not for the delays that were caused by the GOC’s institutional reforms. Considering that and the work of some of the project team members on the new activities, it would be fair to conclude that the overall DO progress rating is S.    In the case of project implementation progress, the project’s cumulative general ledger expenses during the 1st half of 2019 was US$ 27,904.57, which translates to a low 2.19% delivery against the project’s 2019 AWP. Overall, the cumulative disbursement as of end PIR 2019 period is US$ 5,243,898, which translates to an overall 72.03% delivery against the total approved project budget. This is just 8 percentage points improvement from the previous period’s delivery rate, which somehow reflects the rather limited activities that were carried out in view of the reported constraints that the project encountered. Nonetheless, the IP/PMO was expected to also be diligent enough to ensure that timing of the implementation of the remaining and new project activities will not be severely affected by being more proactive in initiating the request for project implementation period extension. In this regard, it would be considered fair to rate the implementation progress for this reporting period MS. | |

# Gender

**Progress in Advancing Gender Equality and Women's Empowerment**

This information is used in the UNDP-GEF Annual Performance Report, UNDP-GEF Annual Gender Report, reporting to the UNDP Gender Steering and Implementation Committee and for other internal and external communications and learning.  The Project Manager and/or Project Gender Officer should complete this section with support from the UNDP Country Office.

|  |
| --- |
| **Gender Analysis and Action Plan:** *not available* |
| **Please review the project's Gender Analysis and Action Plan. If the document is not attached or an updated Gender Analysis and/or Gender Action Plan is available please upload the document below or send to the Regional Programme Associate to upload in PIMS+. Please note that all projects approved since 1 July 2014 are required to carry out a gender analysis and all projects approved since 1 July 2018 are required to have a gender analysis and action plan.** |
| *(not set or not applicable)* |

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| **Please indicate in which results areas the project is contributing to gender equality (you may select more than one results area, or select not applicable):** |
| Contributing to closing gender gaps in access to and control over resources: No |
| Improving the participation and decision-making of women in natural resource governance: No |
| Targeting socio-economic benefits and services for women: No |
| Not applicable: Yes |

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| **Atlas Gender Marker Rating** |
| **GEN1:** some contribution to gender equality |

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| **Please describe any experiences or linkages (direct or indirect) between project activities and gender-based violence (GBV). This information is for UNDP use only and will not be shared with GEF Secretariat.** |
| N/A |

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| --- |
| **Please specify results achieved this reporting period that focus on increasing gender equality and the empowerment of women.**    **Please explain how the results reported addressed the different needs of men or women, changed norms, values, and power structures, and/or contributed to transforming or challenging gender inequalities and discrimination.** |
| Although the TNC project has not specifically targeted women as stakeholder, the project implementers have positively encouraged and invited women stakeholders to participate in the project implementation. In fact, many outstanding women in the country have been playing very important roles in research activities of the project. For example, the key researchers in sub-projects of energy activities, agriculture cropland and livestock GHG emission inventories, the GHG emission inventory database, and public awareness are women who had excelled in their respective fields that are relevant to the work carried out under the TNC. |

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| **Please describe how work to advance gender equality and women's empowerment enhanced the project's environmental and/or resilience outcomes.** |
| N/A |

# Social and Environmental Standards

**Social and Environmental Standards (Safeguards)**

The Project Manager and/or the project’s Safeguards Officer should complete this section of the PIR with support from the UNDP Country Office. The UNDP-GEF RTA should review to ensure it is complete and accurate.

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| --- |
| **1) Have any new social and/or environmental risks been identified during project implementation?** |
| No |

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| **If any new social and/or environmental risks have been identified during project implementation please describe the new risk(s) and the response to it.** |
| N/A |

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| **2) Have any existing social and/or environmental risks been escalated during the reporting period? For example, when a low risk increased to moderate, or a moderate risk increased to high.** |
| No |

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| **If any existing social and/or environmental risks have been escalated during implementation please describe the change(s) and the response to it.** |
| N/A |

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| **SESP:** [5032\_TNC&BUR\_China\_ESSP signed.pdf](https://undpgefpims.org/attachments/5032/213753/1678685/1678966/5032_TNC%26BUR_China_ESSP%20signed.pdf)  **Environmental and Social Management Plan/Framework:** *not available* |
| **For reference, please find below the project's safeguards screening (Social and Environmental Screening Procedure (SESP) or the old ESSP tool); management plans (if any); and its SESP categorization above. Please note that the SESP categorization might have been corrected during a centralized review.** |
| *(not set or not applicable)* |

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| **3) Have any required social and environmental assessments and/or management plans been prepared in the reporting period? For example, an updated Stakeholder Engagement Plan, Environmental and Social Impact Assessment (ESIA) or Indigenous Peoples Plan.** |
| Not Applicable |

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| **If yes, please upload the document(s) above. If no, please explain when the required documents will be prepared.** |
| N/A |

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| **4) Has the project received complaints related to social and/or environmental impacts (actual or potential )?** |
| No |

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| **If yes, please describe the complaint(s) or grievance(s) in detail including the status, significance, who was involved and what action was taken.** |
| N/A |

# Communicating Impact

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| --- |
| **Tell us the story of the project focusing on how the project has helped to improve people’s lives.**  **(This text will be used for UNDP corporate communications, the UNDP-GEF website, and/or other internal and external knowledge and learning efforts.)** |
| Climate is an important component of the natural environment that sustains human beings. The Chinese government attaches great significance on climate change issue. INC, SNC, 1st BUR TNC and 2nd BUR on climate change have been conducted for strengthening capacity in integrating climate change concerns into national and sectoral developments. The 3NC project will further strengthen China’s capacity to develop national GHG inventory, ability to project future GHG emissions, develop and maintain national GHG emission database, and better understanding the policies and measures for climate change mitigation, analysis on mitigation actions, and institutional structure of Measurement, Reporting and Verification (MRV), promotions for public awareness related to climate change. It will also assess the impacts of and vulnerability to climate change to identify adaptation options and their implementation. |

**Knowledge Management, Project Links and Social Media**

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| **Please describe knowledge activities / products as outlined in knowledge management approved at CEO Endorsement /Approval.**    **Please also include: project's website, project page on the UNDP website, blogs, photos stories (e.g. Exposure), Facebook, Twitter, Flickr, YouTube, as well as hyperlinks to any media coverage of the project, for example, stories written by an outside source. Please upload any supporting files, including photos, videos, stories, and other documents using the 'file lirbary' button in the top right of the PIR.** |
| 3NC, 1BUR, 2BUR and GHG technical reports will be published for knowledge sharing and propaganda.  http://tnce.ccchina.gov.cn/ |

# Partnerships

**Partnerships & Stakeholder Engagment**

Please select yes or no whether the project is working with any of the following partners. Please also provide an update on stakeholder engagement. This information is used by the GEF and UNDP for reporting and is therefore very important!  All sections must be completed by the Project Manager and reviewed by the CO and RTA.

|  |
| --- |
| **Does the project work with any Civil Society Organisations and/or NGOs?** |
| Yes |

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| **Does the project work with any Indigenous Peoples?** |
| No |

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| **Does the project work with the Private Sector?** |
| Yes |

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| **Does the project work with the GEF Small Grants Programme?** |
| No |

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| **Does the project work with UN Volunteers?** |
| No |

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| **Did the project support South-South Cooperation and/or Triangular Cooperation efforts in the reporting year?** |
| No |

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| **CEO Endorsement Request:** [PIMS 5032 CPR 3NC CEO Endorsement Request 080714.doc](https://undpgefpims.org/attachments/5032/213753/1678694/1678975/PIMS%205032%20CPR%203NC%20CEO%20Endorsement%20Request%20080714.doc) |
| **Provide an update on progress, challenges and outcomes related to stakeholder engagement based on the description of the Stakeholder Engagement Plan as documented at CEO endorsement/approval (see document below). If any surveys have been conducted please upload all survey documents to the PIR file library.** |
| Civil Society Organisations and/or NGOs  A lot of Civil Society Organizations and NGOs have involved in providing information on propaganda on energy-saving, emission reduction and training.  They are Beijing Global Village Environmental Education Center, Beijing Forestry Society, Guangdong Low Carbon Industry Technology Association, Promotion of Democratic Government, China Youth Climate Action Network, Global Environment Institute, Shijiazhuang Association for the development of low carbon economy, and China Green Carbon Foundation.    Private Sector  Several Private Sectors work with TNC project for providing activity data of inventory. They are China National Petroleum Corporation, China Petrochemical Corporation, China National Offshore Oil Corporation, and Shaanxi Yanchang Petroleum (Group) Corp. Ltd. |

# Annex - Ratings Definitions

**Development Objective Progress Ratings Definitions**

(HS) Highly Satisfactory: Project is on track to exceed its end-of-project targets, and is likely to achieve transformational change by project closure. The project can be presented as 'outstanding practice'.

(S) Satisfactory: Project is on track to fully achieve its end-of-project targets by project closure. The project can be presented as 'good practice'.

(MS) Moderately Satisfactory: Project is on track to achieve its end-of-project targets by project closure with minor shortcomings only.

(MU) Moderately Unsatisfactory: Project is off track and is expected to partially achieve its end-of-project targets by project closure with significant shortcomings. Project results might be fully achieved by project closure if adaptive management is undertaken immediately.

(U) Unsatisfactory: Project is off track and is not expected to achieve its end-of-project targets by project closure. Project results might be partially achieved by project closure if major adaptive management is undertaken immediately.

(HU) Highly Unsatisfactory: Project is off track and is not expected to achieve its end-of-project targets without major restructuring.

**Implementation Progress Ratings Definitions**

(HS) Highly Satisfactory: Implementation is exceeding expectations. Cumulative financial delivery, timing of key implementation milestones, and risk management are fully on track. The project is managed extremely efficiently and effectively. The implementation of the project can be presented as 'outstanding practice'.

(S) Satisfactory: Implementation is proceeding as planned. Cumulative financial delivery, timing of key implementation milestones, and risk management are on track. The project is managed efficiently and effectively. The implementation of the project can be presented as 'good practice'.

(MS) Moderately Satisfactory: Implementation is proceeding as planned with minor deviations. Cumulative financial delivery and management of risks are mostly on track, with minor delays. The project is managed well.

(MU) Moderately Unsatisfactory: Implementation is not proceeding as planned and faces significant implementation issues. Implementation progress could be improved if adaptive management is undertaken immediately. Cumulative financial delivery, timing of key implementation milestones, and/or management of critical risks are significantly off track. The project is not fully or well supported.

(U) Unsatisfactory: Implementation is not proceeding as planned and faces major implementation issues and restructuring may be necessary. Cumulative financial delivery, timing of key implementation milestones, and/or management of critical risks are off track with major issues and/or concerns. The project is not fully or well supported.

(HU) Highly Unsatisfactory: Implementation is seriously under performing and major restructuring is required. Cumulative financial delivery, timing of key implementation milestones (e.g. start of activities), and management of critical risks are severely off track with severe issues and/or concerns. The project is not effectively or efficiently supported.