



# ASSESSMENT OF DEVELOPMENT RESULTS **CHINA**

EVALUATION OF UNDP CONTRIBUTION



**HUMAN DEVELOPMENT** effectiveness **COORDINATION**  
efficiency **COORDINATION AND PARTNERSHIP** sus  
**NATIONAL OWNERSHIP** relevance **MANAGING FO**  
sustainability **MANAGING FOR RESULTS** responsiver  
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#### ASSESSMENT OF DEVELOPMENT RESULTS: CHINA

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# FOREWORD

This report presents the findings and conclusions of an independent country-level evaluation, conducted by the Evaluation Office of the United Nations Development Programme (UNDP). This is the second Assessment of Development Results (ADR) undertaken in the People's Republic of China. The first one covered the period 1996 to 2005. This ADR examines the relevance and strategic positioning of UNDP support and its contributions to the country's development under the subsequent country programme (2006-2010). It assesses UNDP interventions under the various thematic areas of the country programme, with the aim of providing forward-looking recommendations meant to assist the UNDP country office and its partners in the formulation of programmes for the next cycle (2011-2015).

2009 marked the 30th anniversary of the UNDP presence in China. When the UNDP-Government of China Standard Basic Assistance Agreement was signed in 1979, UNDP became the first United Nations organization to establish a presence in the country that was opening up for international cooperation. During the past three decades, UNDP cooperation in China has ranged over multiple topical and geographical areas. During this period, the nature of the cooperation has evolved considerably and the interaction with governmental and other national partners at the central, provincial and local levels has widened. Overall, UNDP has become a trusted development partner to China due to its perceived impartiality and neutrality.

Recognizing the need for national ownership in evaluation and aligning it with national systems, the Evaluation Office engaged a Chinese national institution, the National Centre for Science and Technology Evaluation (NCSTE), to carry out this evaluation. This novel arrangement of conducting the ADR through a national

institution resulted in several clear benefits to the process. First, the NCSTE brought a thorough understanding of the local context, which enabled the evaluation team to formulate the evaluation criteria and questions reflecting national priorities and aspirations. Second, it also brought diverse expertise to the evaluation, a deeper engagement with stakeholders over a longer period of time than is usually feasible in evaluations carried out by international teams, and an ability to conduct project visits and stakeholder interviews in Beijing and four provinces. This new way of conducting the ADR will provide a benchmark for how the Evaluation Office will orient its evaluations in the future.

This ADR is particularly interesting because of the unique experience of China and the lessons the Chinese development experience can provide to the world. Special emphasis is placed in the evaluation on South-South cooperation. Similarly, the lessons learned from UNDP work in China are valuable more broadly for UNDP as a knowledge organization. The ADR suggests that a key strength of the UNDP role and contributions in China is the strong national ownership of its programmatic activities. The national execution modality has guaranteed that UNDP programmes and activities are anchored in national priorities, as expressed in China's five-year plans. At the same time, UNDP has been able to bring to China expertise and experience through its global networks that have contributed to the country's development efforts. The findings and conclusions of the evaluation highlight UNDP responsiveness to evolving national priorities and needs. At the same time, the evaluation identifies areas where UNDP could further improve its effectiveness and efficiency through enhanced and wider partnerships; stronger engagement with provincial governments, civil society organizations and the private sector; and improvements in

internal programme management procedures. The recommendations contained in the report are intended to address these issues.

A number of people contributed to the evaluation. First and foremost, I would like to thank the independent evaluation team, co-led by Professors Chen Zhaoying and A.K. Shiva Kumar. Professor Chen, the Deputy Director-General of NCSTE, put together a highly competent team consisting of a group of NCSTE staff and expert consultants whose names are listed in the front of this report. The ADR was managed at the Evaluation Office by Juha Uitto and research support was provided by Evelyn Wong.

The evaluation would not have been possible without the support and contributions from our colleagues in the China Country Office, especially Resident Representative Khalid Malik, Country Director Subinay Nandy, and Deputy Country Directors Napoleon Navarro and

Silvia Morimoto. Lu Lei acted as the focal point for the ADR in the country office. His support and that of all other programme and project staff who assisted the team in conducting this evaluation was invaluable. I thank the external reviewers of the draft report, Bruce Murray and Professor Carl Riskin, for their insightful comments that helped to improve the quality of the evaluation. My sincere gratitude is extended to all the persons in the People's Republic of China who have taken time to respond to the requests by the evaluation team. Special thanks goes to the staff of the Department of International Trade and Economic Affairs of the Ministry of Commerce, the Government of China counterpart of UNDP, as well as the China International Centre for Economic and Technical Exchanges, which is the primary implementing partner of UNDP in the country. Finally, let me thank our colleagues in the Evaluation Office who provided support to the ADR, especially Masahiro Igarashi, Thuy Hang To, Cecilia Corpus and Anish Pradhan.



Saraswathi Menon  
Director, Evaluation Office

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# ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
CICETE	China International Centre for Economic and Technical Exchanges
CPD	Country Programme Document
CSO	Civil Society Organization
EU	European Union
GEF	Global Environment Facility
GHG	Greenhouse Gas
GIPA	Greater Involvement of People Living with HIV/AIDS
GoC	Government of China
MDG	Millennium Development Goal
NCSTE	National Centre for Science and Technology Evaluation
NEX	National Execution
NGO	Non-governmental Organization
NPC	National People's Congress
ODS	Ozone Depleting Substances
PMO	Project Management Office
POPs	Persistent Organic Pollutants
RMB	Chinese Currency
SPC	Supreme People's Court
TTF	National Technical Task Force
TVE	Town and Village Enterprise
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNJP	United Nations Joint Programme
USD	United States Dollar



# EXECUTIVE SUMMARY

The United Nations Development Programme (UNDP) partnership with the Government of China (GoC), which began in 1979, has addressed a wide range of national development concerns over the years. In the process, UNDP has built a trusted partnership and working relations with the government at the national, provincial and local levels. UNDP China enjoys high credibility derived from its impartiality and neutrality. Stakeholders acknowledge the organization's global expertise and experience with rights-based approaches that give priority to the poorest and most deprived in society.

This Assessment of Development Results (ADR) in China is a country-level evaluation to assess the overall performance of UNDP and its contribution to development in China since 2006. It provides stakeholders an objective assessment of UNDP work and evaluates the effectiveness, efficiency and sustainability of UNDP programmes. This report also examines UNDP strategic positioning in China as well as relevance and responsiveness to China's development priorities and needs. The ADR is situated against the background of China's human development achievements and national priorities.

Undertaken over an 11-month period starting in May 2009, the ADR is based on a comprehensive literature review and analysis of background data on China including project documents, project progress reports, annual and tripartite project reviews, and final evaluation reports. Available secondary documents were used to make a first-cut assessment of UNDP's 10 country programme document outcomes. The ADR also draws on detailed interviews with

124 representatives belonging to the stakeholder community, 7 focus groups, and field visits between June 2009 and August 2009 to 18 key projects in Beijing and the provinces of Heilongjiang, Gansu, Guangdong and Shanxi.

## UNDP STRATEGIC POSITIONING

**Strategic relevance:** Stakeholders regard the UNDP country programme as being 'highly relevant' to China's development needs and priorities. This is largely due to the high degree of overlap between China's development priorities and UNDP planned outcomes. They acknowledge the ability of UNDP to convene and create partnerships with GoC, research institutions, academia and non-governmental organizations (NGOs). UNDP also has access to global networks of experiences, international best practices and technical expertise, and can potentially tap global financial and other resources for China.

**Contribution to UN values:** The relevance of UNDP to China stems from its contribution to United Nations (UN) goals and values in at least three areas. The first is the close alignment of the Millennium Development Goals with China's own vision of a *Xiaokang* society.<sup>1</sup> The second derives from gender equality being one of UNDP's priorities. Stakeholders acknowledge UNDP efforts at mainstreaming gender concerns and admit that they might not have adopted a gender perspective without continuous advocacy from UNDP for gender equality. The third contribution derives from the special attention paid by UNDP to vulnerable and disadvantaged groups, especially in the areas of poverty reduction, democratic governance and HIV/AIDS.

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<sup>1</sup> '*Xiaokang*' is defined as all round, balanced and harmonious society. In 2003, the *Xiaokang* vision was redefined to emphasize a 'Scientific Concept of Development' that focuses on 'five balances' – between urban and rural, between different geographical regions, between economic and social, between people and nature, and between domestic development and opening-up beyond China's borders.

**Strategic partnerships:** During the past three decades, UNDP has cooperated with almost all central government departments. Strong partnership with the GoC is necessitated by the adoption of the national execution modality. International partners of UNDP include UN organizations, bilateral agencies, multilateral agencies and international NGOs. Strategic partnerships have also been forged with the private sector, think tanks, academia, media and national NGOs.

**Responsiveness:** UNDP has been adequately responsive to changes in China's development needs and priorities. It has made strategic shifts in its programme of cooperation to match changing national priorities as articulated in China's five-year plans. Although core funds are limited and largely programmed, there are adequate mechanisms in place that enable UNDP to respond promptly and effectively to key events. Two oft-cited cases are the UNDP response to the major earthquake in Sichuan in 2008 and the 2008 Beijing Olympic Games.

UNDP has responded to many of the recommendations contained in the last ADR for China completed in 2005. UNDP China has shifted support from a diverse conglomeration of projects to flagship programmes designed to inform and support policy making and human development outcomes. Similarly, UNDP has been able to place greater emphasis in the current country programme on the central level and macro policy interventions. Greater attention has been paid to complex development issues facing China such as the special needs of migrant workers and ethnic communities. UNDP China has also helped to better showcase China's achievements globally by encouraging and supporting many initiatives that promote South-South cooperation and global exchange.

## **CONTRIBUTION TO DEVELOPMENT RESULTS**

The ADR team focused on the achievements in five programmatic areas of UNDP support.

**Poverty reduction:** Stakeholders in China agree that important contributions by UNDP poverty reduction initiatives have been to integrate MDGs into China's vision of a *Xiaokang* society and to strengthen the links between fiscal reforms and poverty reduction. Stakeholders regard UNDP contributions in the area of poverty reduction to be 'efficient'. More than 88 percent of respondents to an ADR questionnaire were 'satisfied' with UNDP efficiency in extending support in this area. More than 50 percent rated UNDP to be more efficient than other international agencies. By and large, the development results achieved by most projects in the area of poverty reduction are sustainable. This is because UNDP interventions are owned by national stakeholders and so are likely to be continued even after UNDP support ends. However, concerns of long-term sustainability arise even in cases when sustainability concerns have been integrated into the design of interventions.

**Democratic governance:** Though projects in this area are relatively small in terms of financial commitments, they have produced significant results. Stakeholders recognize UNDP's critical role and value addition in this area. They gave 'very positive' responses and identified several important contributions made by UNDP projects in capacity development, policy research and advocacy. UNDP contribution to improvement in the overall capacity of the participating authorities is well acknowledged. A majority of the stakeholders expressed satisfaction with UNDP levels of efficiency. To the extent that UNDP projects and programmes are nationally or government owned, they enjoy political support and therefore the results are likely to be accepted. Such ownership is vital, especially for mainstreaming project results in the decision making of government or day-to-day work of partner agencies.

**Environment and energy:** UNDP responses fall into two broad categories: energy efficiency and biodiversity conservation.

*Energy efficiency:* Specific contributions by UNDP include the commercialization and promotion of new and renewable energy technologies in industries, effectively brokering the mobilization of capital resources for energy efficiency and renewable energy projects, and developing systems that improve coordination, working relationships, and performance among partners and government agencies. Most stakeholders rate as ‘highly satisfactory’ the effectiveness of UNDP-supported energy projects. UNDP has effectively assisted in finding market-linked and market-based solutions to improving energy efficiency. Almost 70 percent of the respondents rated the contribution of UNDP projects to enhance capacity of Chinese partners as ‘high’ or ‘very high’. UNDP has consciously advocated public participation. In addition, UNDP interventions have supported development, publication, and dissemination of regulations, codes, guidelines, standards, and labels for energy efficiency and conservation in some energy-consuming industries. The effective use of media has increased awareness among the public, the government and the private sector.

*Biodiversity conservation:* Several significant outputs have resulted from UNDP-supported biodiversity conservation projects. An enabling environment for biodiversity conservation is being created through programming and implementation of ongoing projects that focus on policy and legal reform, partnerships, engagement of civil society, financing mechanisms, institutional strengthening and influencing public opinion about the value of biodiversity. Mainstreaming biodiversity into planning and investment processes has made significant progress. Various awareness-raising activities including Wetland Day, Biodiversity and Climate Change Conference, and World Ocean Week have helped to influence public opinion about the state and importance of biodiversity. Partnerships between the Ministry of Environmental Protection, civil society organizations and academia have been established for promotion of biodiversity conservation.

Overall, the results and benefits generated by energy efficiency projects are sustainable. It is perhaps early to comment on the sustainability of biodiversity conservation projects as most of them are still ongoing. Factors contributing to sustainability include the close alignment of the projects with national priorities, execution by ministries that enhances ownership, capacity development of stakeholders at various levels, and adoption of market-based approaches. However, insufficient funding from national and sectoral budgets would adversely affect the sustainability of some projects particularly in biodiversity conservation.

**Responding to HIV/AIDS:** UNDP projects have contributed to capacity development and strengthening leadership at various levels for the prevention and control of HIV/AIDS. They have further strengthened UNDP partnerships with the National People’s Congress, especially in HIV-related legislative studies. Participants in the focus groups felt that UNDP has played an important role in improving the government’s capacity for planning and coordination and in promoting the work of AIDS prevention and control in China. In addition, UNDP interventions have contributed to the preparation of regulations relating to AIDS prevention and control. However stakeholders also point out that, in some instances, project outputs have only been partially achieved partly due to limited funding. Factors identified by stakeholders that limit efficiency include UNDP financial procedures that cause considerable delays in the release of funds, a relatively tight project cycle that limits the time needed to budget for communicating with partners and taking joint decisions, and the limited capacities of project managers. Generally speaking, UNDP has ensured sustainability of projects dealing with legislation on HIV/AIDS prevention and control. This is because the GoC assigns a high priority to HIV/AIDS and is keen to promulgate effective laws and regulations that guarantee and support HIV/AIDS prevention.

**Global partnerships:** The effectiveness of UNDP projects in support of implementing

international environmental conventions has been satisfactory. These projects have helped to enhance the country's capacity to fulfil China's obligations to UN conventions, and support China in phasing out ozone depleting substances in the solvent sector and reducing and eliminating persistent organic pollutants. UNDP projects have also contributed to the formulation of national policies and regulations in the area of environmental protection. Under the project framework, regulations and standards of anti-fouling paints have been drafted and agreed upon among stakeholders, and the green-labelling activity has been initiated. Partnerships formed by UNDP China in project and non-project activities have effectively increased China's international participation and cooperation. Particularly noteworthy are the outcomes of the International Poverty Reduction Centre in China and the China-Africa Business Council.

**Organizational issues:** The ADR identified several organizational issues that require attention. A majority of stakeholders were satisfied with project management by UNDP China. Almost 30 percent rated UNDP to be more efficient than other international agencies, and 63 percent considered the administrative capacity of UNDP to support their project as 'high' or 'very high'. An equal proportion rated the technical support from UNDP for their project as 'good' or 'very good'. However, stakeholders also raised concerns about UNDP project management. They pointed to gaps in UNDP procedures as well as the limited knowledge and competencies of UNDP personnel to address many of the complex issues in some of the practice areas.

Stakeholders identified several advantages of the new institutional arrangement with the Ministry of Commerce in setting UNDP priorities and the China International Centre for Economic and Technical Exchanges (CICETE) taking responsibility for implementation. CICETE has contributed to improving UNDP interface with government partners in China, mobilizing resources from the private sector, nationally scaling up UNDP-supported projects and building

the UNDP brand within China. Stakeholders pointed to the important role played by CICETE in coordination and financial support of the implementation of projects. However, they also felt that improved capacities in programme management and the substantive content areas of joint programming of both CICETE and UNDP could further enhance the effectiveness of GoC-UNDP programmes.

Like other independent evaluations, the ADR found systemic weaknesses in UNDP programme management that are not specific to UNDP China but applicable to many country offices. The capacities of UNDP China as well as in the regional service centres are not fully matched with the requirements of China as well as the imperative to deliver results. Top-level expertise to advise on policy matters in many development areas is not readily available. UNDP monitoring and evaluation activities are not standardized. The quality of monitoring and evaluation reports varies greatly, and there are few checks to control quality.

## CONCLUSIONS

Based on the assessment, the ADR team has arrived at the following conclusions:

- The UNDP country programme is well aligned with and highly relevant to national development priorities outlined in China's 11<sup>th</sup> Five-Year Plan. UNDP has been particularly responsive to emerging needs and new opportunities that have come up during the past five years.
- The country programme has added value and contributed to China's development results.
- UNDP China has re-oriented its project portfolio to increase effectiveness in China.
- UNDP has extended its partnership beyond the central government to some provincial governments, but its engagement with provincial governments remains relatively weak. Efforts have been made during the past five years to forge stronger partnerships



with the private sector and with civil society organizations.

- There is strong government ownership, guaranteed by the national execution modality. However concerns of sustainability have not always been adequately addressed in UNDP-supported interventions.
- There is considerable scope for improving programme management in UNDP China.

## RECOMMENDATIONS

The ADR makes two sets of recommendations. The first set is strategic—intended to enhance the relevance and strategic nature of UNDP interventions in China. The second set is operational—intended to improve the effectiveness, efficiency and sustainability of UNDP management and project implementation in China.

### STRATEGIC SET

**Refine the strategic vision that UNDP China has articulated for China’s development:** Given that UNDP country programmes are demand driven by GoC, any strategic vision for UNDP will have to be developed in close consultation with GoC. Most stakeholders agree that UNDP, as a leading development agency that enjoys the credibility of both GoC and other stakeholders, will continue to play a valued role in China’s development. The challenge is to ensure that the limited resources of UNDP are used more strategically to catalyze public action in areas where need is the greatest and to mobilize additional resources for a country of such enormous size and diversity.

**Make the next country programme more focused and concentrate on three flagship interventions:** Critical international issues—such as climate change, food security and low carbon economy; critical domestic issues—such as human development, livelihood, urbanization, migration and aging; and China’s integration with the world. A distinctively positive feature of the ongoing country programme is its focus

on a number of flagship projects. The ADR recommends that this be continued.

**Ensure balance between upstream and downstream initiatives:** There should be a systematic review of the experience, context and opportunities in each practice area as the basis for arriving at a balance between upstream and downstream activities. It must also be emphasized that when engaged in upstream work, UNDP contribution should be to facilitate mainstreaming of the best practices of local projects and replicate its innovative approaches.

**Further expand and strengthen partnerships:** For further strengthening partnerships, UNDP China should: retain existing good cooperation with key ministries in the central government; actively involve local governments in the design and implementation of UNDP projects in order to strengthen project ownership and effectiveness; and extend partnerships to civil society organizations and the private sector in a strategic and systematic manner. At the same time, careful thought needs to go into developing partnership strategy with local and provincial governments, the private sector, NGOs and civil society organizations as well as with research and other policy think tanks.

**Further mobilize additional financial resources to maintain the UNDP funding level to projects:** UNDP China and GoC should engage in a round of discussions to develop a long-term perspective on funding for China’s development. This is important for UNDP to become more effective in using its core funds to catalyze projects, support capacity development, undertake policy research and make an impact on a country of China’s size and diversity.

### OPERATIONAL SET

**Enhance capacity within the UNDP country office and among project management offices to augment UNDP contributions to China’s development:** UNDP China must invest in augmenting its own capacities to match China’s needs

and to bridge the knowledge and information gap between international organizations and local partners. UNDP needs to realign staff and work culture to enhance organizational effectiveness and become a more rigorous results focused organization. In addition, the National Execution Guidelines of 1998 should be updated. Systematic training should be held for UNDP country office project managers and project management offices in China on national execution. UNDP should also review its policies for recruitment of national and international experts and consultants as well as hiring of chief technical advisers. UNDP should plan for and initiate a transformation of UNDP staff members in China from being traditional project managers to becoming managers of development results. The latter will require, for instance, better domain knowledge and expertise to be able

to engage in policy dialogue and an ability to initiate and follow through on systemic changes.

**Establish a unified programme information system:** UNDP should set up a unified programme and project information system, especially to manage projects with different funding sources.

**Strengthen monitoring and evaluation of the country programme:** UNDP should set up outcomes, indicators and baselines at the country programme level and clarify linkages between outputs and intended outcomes; improve evaluation at the project level, especially for flagship projects; develop an outcome evaluation plan for the next country programme; and develop new methodologies and approaches to evaluate 'soft interventions'.



## CHAPTER 1

# INTRODUCTION

This Assessment of Development Results (ADR) in China is a country-level evaluation to assess the United Nations Development Programme (UNDP) overall performance and contribution to development in China since 2006. It provides stakeholders an objective assessment of UNDP work and evaluates the effectiveness, efficiency and sustainability of UNDP programmes. It also examines UNDP strategic positioning in China as well as relevance and responsiveness to China's development priorities and needs. Central questions for the evaluation are how and whether UNDP has used its comparative advantage and its overall support to further China's development effectiveness in fulfilling national development priorities and the attainment of the Millennium Development Goals (MDGs). In doing so, the analysis assesses the intended outcomes as articulated in the UNDP Country Programme Document (CPD) for China (2006-2010).<sup>2</sup>

### 1.1 RATIONALE

The first UNDP Evaluation Office ADR of China covered the period 1996 to 2005.<sup>3</sup> This report covers the subsequent period 2006 to 2010 and examines both previous country programmes completed during this period as well as ongoing programmes. It assesses key results, specifically outcomes—anticipated and unanticipated, positive and negative, intentional and unintentional—and covers UNDP assistance funded from both regular and other resources.

This is the first time that the Evaluation Office has carried out a second ADR for the same country. There are several reasons for this.

One, China, the world's most populous country (1.31 billion people) with a per capita gross national income of USD 2,940 (purchasing power parity USD 6,020) in 2008 is undergoing a rapid transformation in every aspect of life. Several developments during the past five years—including the Beijing Olympics, the emergence of climate change as a major concern, and the international financial crisis—have catapulted China into the centre stage of global development. However, while parts of the country like Beijing and Shanghai are among the most advanced in terms of infrastructure and other amenities, many other regions of China continue to resemble some of the poorest regions of the world. The ADR offers an opportunity for UNDP China to reflect on its ongoing programmes of cooperation and make necessary shifts to remain relevant. This ADR also comes at an important juncture for UNDP and its national development partners. Discussions are underway to identify development challenges as well as the priorities for China's 12<sup>th</sup> Five-Year Plan covering the period 2011 to 2015. To that extent, inputs from the ADR that contribute to the positioning of UNDP assistance can ensure that UNDP becomes more relevant to and better aligned with the priorities of the 12<sup>th</sup> Five-Year Plan. In addition, the preparation of China's ADR coincides with other important processes underway. The ADR findings can be used as inputs into the preparation of UNDP's next country programme (2011-2015) and the United Nations Development Assistance Framework (UNDAF)—also for the same period. It is also an opportunity for UNDP to revisit its role and contribution in rapidly growing middle-income countries like China.

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<sup>2</sup> UNDP, 'Country Programme for the People's Republic of China 2006-2010', August 2005.

<sup>3</sup> UNDP, 'Country Evaluation: Assessment of Development Results China', Evaluation Office, 2005.

## 1.2 SCOPE

The ADR has two key dimensions:

- Assessing UNDP contribution to the *development results* in the practice areas
- Assessing UNDP *strategic positioning* within the development context of the country

### 1.2.1 DEVELOPMENT RESULTS

The assessment of the development outcomes entails a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. It assesses the contribution of UNDP in terms of key interventions; it identifies factors influencing results (UNDP positioning, capacities, partnerships, advocacy and policy support); and it analyses the crosscutting linkages and relationship to MDGs. In the process, the ADR identifies priorities and strategies for the future.

The ADR addresses the following questions:

- **Effectiveness:** Did the UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?
- **Efficiency:** How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country and sub-regional context?
- **Sustainability:** Is the UNDP contribution sustainable? Are the development results achieved through the UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

The ADR also assesses the extent to which the UNDP country office has been able to leverage the regional programme and the services

of the UNDP Regional Centre in Bangkok for the country programme. A special focus has been made to examine UNDP contribution to advocacy, capacity development, knowledge management and gender equality.

### 1.2.2 STRATEGIC POSITIONING

The ADR assesses the strategic positioning of UNDP both from the perspective of the organization and the development priorities in the country. This has been done through: a systematic analysis of the UNDP place and niche within the development and policy space in China; and an analysis of the strategies used by UNDP China to strengthen the position of UNDP and create a position for the organization in the core practice areas. In addition, the ADR evaluates the following:

- **Relevance of UNDP programme:** How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were critical gaps in UNDP programming?
- **Responsiveness:** How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?
- **Social equality:** Did the programmes and interventions of UNDP contribute to reduced vulnerabilities in the country (regarding vulnerable groups, gender equality and regional disparities)? Did the UNDP intervention in any way influence the existing inequalities in the society? Was the selection of geographical areas of intervention guided by need?
- **Partnerships:** How has UNDP leveraged partnerships within the government, UN system, and with national civil society and private sector?

It is important to note that cost-sharing by the Government of China (GoC) implies that there are no exclusive UNDP-funded programmes. Everything that UNDP does in China is in partnership with GoC.

The ADR considers the influence of administrative constraints affecting the UNDP programme of cooperation with GoC. It also examines issues relating to the development of joint programmes within the context of partnerships with the UN system and overall UN coordination.

Annex 1 presents the complete terms of reference of the ADR.

### 1.3 APPROACH AND METHODOLOGY

A major aim of the ADR is to draw a credible link between overall development results and the UNDP contribution to their achievement. It focuses on higher level results in order to improve understanding of outcomes and the factors that influence or contribute to change. The objectives of the ADR are to:

- Provide an independent assessment of the progress (or lack of) towards the expected outcomes envisaged in the UNDP programming documents. Where appropriate, the ADR highlights unexpected outcomes (positive or negative) and missed opportunities.
- Provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- Present key findings, draw lessons, and provide a set of clear and forward-looking options for the Regional Bureau for Asia and the Pacific and country office management to make adjustments in the current strategy and next country programme.

The ADR process followed three stages. During the first stage, the Evaluation Office undertook a scoping mission in May 2009 to define the scope of the ADR, identify the national agency

to conduct the evaluation, and finalize the terms of reference for the evaluation in consultation with the UNDP China Country Office and GoC. The scoping mission led to the selection of the National Centre for Science and Technology Evaluation (NCSTE) of China as the agency to conduct the evaluation.

This is the first time that the Evaluation Office has entrusted the preparation of the ADR to a national professional evaluation institution led by two co-team leaders—one national and the other international. Some of the advantages of such a practice are worth highlighting. One, the NCSTE team was able to draw on the expertise of more professionals. Compared to a typical international team consisting of three to four members, the NCSTE engaged seven full-time professionals and five part-time consultants with expertise in different areas of UNDP programming. Two, the language constraint was overcome. In addition to studying documents in English provided by UNDP, the team also examined and analysed relevant Chinese documents by accessing the websites of relevant central government departments and local governments, Chinese reports provided by the project offices, and other relevant study reports that offered important evidence for the evaluation. The team also found that it was necessary and important to explain carefully the meanings of many UN terms and acronyms used liberally in UN documentation. Communication during group meetings and in-depth interviews in Chinese made it possible to obtain many more viewpoints and conduct more in-depth and frank discussions. This was particularly useful in situations where outcome evaluations were not available and careful probing was necessary to understand better areas of assessment, such as UNDP value added and the role of the GoC. The field visits to the provinces also yielded richer insights as the NCSTE team's familiarity with and better understanding of ground realities made it easier to validate and triangulate the evidence gathered through various sources. Three, this approach has encouraged strong country engagement with more than 100 key stakeholders being involved

in the focus groups, in-depth interviews and field visits. Fourth, the process has been more effective in terms of costs, contacts and content, as the field visits and interviews were conducted during three months compared to the traditional practice of an international evaluation team devoting 30 to 40 days for the assignment.

Following the preparation of an inception report that outlined the evaluation plan, the selected ADR team undertook a comprehensive literature review and analysis of background data on China including project documents, project progress reports, annual and tripartite project reviews and final evaluation reports. Seventy projects were short-listed for a detailed study. These 70 projects included 23 that were started in the last programme cycle but completed in this cycle, 38 that started and ended in this cycle, and 9 that began in this cycle and will end in the next cycle. An evaluation matrix listing the key evaluation questions was designed (Annex 3).

This was followed by a mid-term review workshop held in Beijing between 14-16 July with participation by the Evaluation Office task manager, international co-term leader and the NCSTE team. The workshop helped streamline and sharpen the evaluation questions as well as finalize the scope of the evaluation based on a detailed review of available documents (Annex 2). Secondary documents were used to make a first-cut assessment of UNDP's 10 CPD outcomes using the questions listed in the evaluation matrix. A questionnaire was developed for domestic stakeholders to solicit their views on different aspects of UNDP cooperation. Eighteen key projects spread over five provinces were identified for detailed reviews and field visits using the following criteria: representativeness of UNDP country programme practice areas, geographical balance, logistic feasibility and costs, and existence of partnership arrangements.

In addition to Beijing, the capital of China and home to the central government, four provinces—Heilongjiang, Gansu, Guangdong and Shaanxi—were identified for the field visits to cover the east, west, north, south and central areas of China. Choice of provinces also took into consideration the difficulties of conducting field visits in regions such as in Yunnan, Guangxi and Sichuan that had been affected by natural disasters.

The regions identified for field visits represent regions with different levels of economic development. Apart from Beijing, Guangdong is a highly developed province, Heilongjiang and Shaanxi provinces are in the middle category, and Gansu, located in the northwest of China, is a relatively poor and environmentally vulnerable province. The Shanxi Province, situated in the middle of the Yellow River valley, produces approximately one quarter of China's total coal every year. At the same time, the province faces serious environment and energy problems.

The second phase consisted of field visits, conducting detailed interviews and organizing focus groups. Almost half of the interviews and field visits took place in Beijing, given that the project management offices (PMOs) of most of the projects as well as all central government agencies are located in the nation's capital. In the province of Heilongjiang, the team visited Suihua County, located in Northeast China, for study of the project Alleviating Rural Poverty Through Innovative Technology Transfer. In the province of Gansu, the team held stakeholder workshops in Lanzhou to gain a better understanding of three projects: Wetlands Biodiversity and Sustainable Use in China; EU [European Union]-China Biodiversity Programme; and Enhancing Legal Aid Service for Migrant Workers in China. In addition, the ADR team also made a field visit to two projects in energy conservation involving the participation of many private enterprises

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<sup>4</sup> See Chapter 5 for a list of the 18 projects.



in the provinces of Guangdong and Shanxi. Guangdong, facing the South China Sea in the southernmost part of China, has almost one million private factories and is one of the most developed provinces in China. The team visited one of China's biggest refrigerator manufacturers, Hisense Kelon Electrical Holdings Co., Ltd., in Shunde City to study the project Barrier Removal for the Widespread Commercialization of Energy Efficient CFC-free Refrigerators in China. The ADR team visited a township and village coking enterprise in Gaoping County that has benefited largely from the energy efficient technology provided by a UNDP project Energy Conservation and GHG [Greenhouse Gas] Emissions Reduction in Chinese Township and Village Enterprises (TVEs).

Field visits to the short-listed provinces and projects were conducted between June 2009 and August 2009. A total of 124 representatives belonging to the stakeholder community were consulted as part of the ADR process (Annex 4). Those consulted include 50 managers and staff from PMOs, 19 representatives of central governmental departments, 16 representatives from the private sector, 11 officials from the UNDP China Country Office, 9 representatives from non-governmental organizations (NGOs), 8 representatives of local governmental departments, 7 staff members belonging to local project implementation units, and 4 experts. In the process, the team obtained detailed views of the country office in Beijing, the Department of International Trade and Economic Affairs of the Ministry of Commerce, and the China International Centre for Economic and Technical Exchanges (CICETE), an administratively autonomous agency directly under the Ministry of Commerce, which coordinates cooperation between China and UNDP. However, since 2008, following governmental institutional reforms, CICETE's functions of providing policy guidance and engagement with the preparation of the UNDP country programme to China were transferred to the Department of International Trade and Economic Affairs/Ministry of Commerce.

The ADR team held seven focus groups in Beijing between 21 July and 10 August 2009. These corresponded to UNDP practice areas of poverty reduction, democratic governance, biodiversity protection, energy, HIV/AIDS and South-South cooperation. A detailed questionnaire was administered to obtain views regarding UNDP operations from stakeholders during the focus groups, interviews with PMOs, and field visits in Heilongjiang Province and Gansu Province. Of the 85 questionnaires delivered, 59 were returned resulting in a response rate of 70 percent. Almost 70 percent of the respondents to the questionnaire were from PMOs and governmental departments. The rest belonged to project implementation units, NGOs and other institutions.

The third phase was devoted to validation of evidence and finalization of a draft report. Following standard evaluation procedures developed by the UNDP Evaluation Office for ADRs, the team drew on three major sources of information: perception, validation and documentation. This is in keeping with the concept of 'triangulation', that is, balancing perceptions with other methods of corroboration. This report has been subject to quality checks by two external development professionals familiar with the Chinese context and evaluation methods and by the quality assessment staff in the Evaluation Office. It has been verified for factual content by key clients (including the government and UNDP country office).

A draft of this report was discussed at a meeting with key national stakeholders on 25 March 2010. The main purpose of the meeting was to get feedback and comments from stakeholders on the findings and conclusions of the ADR. The meeting was also intended to encourage greater buy-in for acting on the recommendations to strengthen national ownership and to promote accountability of UNDP interventions at the country level.

The ADR team then finalized the report taking into account comments, suggestions and feedback received at the stakeholder meeting.

#### **1.4 LIMITATIONS**

Certain limitations of this ADR should also be noted. First, the documentation of UNDP projects was not fully satisfactory. Progress reports and final reports of many projects were not available. Very few external evaluations of UNDP programmes and projects had been conducted. The ADR team had access to only two outcome evaluation reports. Second, participation by PMOs in the focus groups was affected as several key informants were not available in July and August 2009. Additional meetings could not be scheduled due to time constraints. Third, the team has carried out its own, albeit limited, assessment of project-level effectiveness by an in-depth study of 18 projects. Given the limited time and resources available to the team, these assessments were of an impressionistic nature. Nonetheless, the team believes that its observations are broadly representative of the effectiveness of UNDP support and that the recommendations contained in this report can serve as a useful input into the current strategic review and planning processes of UNDP.

It is also important to clarify what the ADR does not attempt to do. First, the ADR does not assess all projects and interventions supported by UNDP. Nor is the ADR a systematic review of all UNDP outputs. Instead the ADR focuses on the overall contribution of UNDP to development results in China and draws inferences based on a selection of representative projects. Second, the ADR team has not undertaken any new in-depth evaluations. Instead maximum use has been made of existing assessments (reviews and project evaluations). Third, the ADR does not offer an audit or a review of administrative procedures. However, it comments on the administrative constraints affecting UNDP programming in China. Again, this has been done to the extent that administrative and management aspects influence evaluation variables, such as effectiveness and efficiency. Fourth, the ADR does not attempt to attribute success or failure to UNDP operations recognizing the complexity (and futility) of attribution of outcomes to discrete actions and interventions in open multi-actor contexts. In addition, trends in outcomes cannot be easily associated with the relatively short duration of a programming cycle.

## CHAPTER 2

# DEVELOPMENT CHALLENGES AND NATIONAL STRATEGIES

China has witnessed a remarkable transformation during the past 30 years towards the goal of *Xiaokang*—building a moderately prosperous harmonious socialist society.

### 2.1 HUMAN DEVELOPMENT ACHIEVEMENTS

Since the reform era began, China's human development index has increased from 0.53 in 1978 to 0.76 in 2006. According to the World Bank, China reported a per capita gross national income of USD 2,770 in 2008. Between 1978 and 2007, China's gross domestic product grew annually on average by 9.8 percent. Over the same period, urban disposable income per capita increased from 343 RMB to 13,786 RMB, while rural incomes grew from 134 RMB to 4,140 RMB. China's fiscal position is robust despite the ongoing global financial meltdown. Foreign direct investment was less than USD 20 million in 1978. In 2007, realized foreign direct investment outside the financial sector reached USD 74.77 billion. International trade expanded from a mere USD 20.64 billion in 1978 to USD 2.17 trillion in 2007.

Improvements in people's standards of living have gone hand-in-hand with rising incomes. According to the government's poverty line, the number of people in absolute rural poverty, 250 million in 1978, declined to 85 million people in 1990 and 14.8 million people in 2007 (constituting only 1.6 percent of the total rural population). However, measured by the commonly used international poverty line of USD 1 per day, the share of China's rural population living in poverty was reduced from 46 percent in 1990 to 10.4 percent in 2005.

China has recorded impressive gains along many dimensions of health. Life expectancy at birth has increased from 46 years in the 1950s to more than 71 years today. The country's infant mortality rate fell from 50 per 1,000 live births in 1991 to 15 in 2007, and the under-five mortality rate decreased from 61 per 1,000 live births to 18. The MDG target to reduce under-five mortality by two-thirds has already been met. The prevalence of underweight children under five years of age declined from 19.1 percent in 1990 to 6.9 percent in 2005. The prevalence of stunting among children less than five years dropped from 33.4 percent in 1990 to 9.4 percent in 2005. The maternal mortality ratio decreased from 100 per 100,000 live births prior to 1980 to 37 per 100,000 in 2007. And the MDG target to reduce the maternal mortality rate by three quarters before 2015 is likely to be met on time. The government has begun to reverse the spread of malaria, HIV/AIDS and other major diseases.

The country has made considerable progress in literacy and education. The literacy rate of young people in China aged 15 to 24 years increased from 94 percent in 1990 to 99 percent in 2005. In 1978, the primary enrolment ratio was 94 percent, and the promotion rate from primary to secondary education was 88 percent. By 2009, China was close to achieving universal enrolment and retention at the primary and secondary levels of education for both boys and girls.

GoC has made promoting gender equality an important objective in the guidelines of national development plans. A legal system to protect women's rights and interests, and promote gender equality has been established. China has achieved the target of "elimination of gender disparity in

primary and junior secondary education” and is on the way “to eliminating gender disparities at all levels of education no later than 2015.” The primary net enrolment ratio for girls to boys rose from 98 in 1991 to 106 in 2006. In 2007, the primary net enrolment ratio for both girls and boys was almost 100 percent. The number and percentage of girls in tertiary education level are increasing. In 2007, there were 534,600 female graduate students in China, accounting for 45 percent of the total number. However, gender inequality in education still persists, especially in certain regions such as western China, poor and rural areas, and among ethnic minorities. The Programme for the Development of Chinese Women (2001-2010) announced by GoC specifies 34 major objectives and 100 strategies and measures in six areas: women and the economy, women in decision making and management, the education of women, women and health, women and the law, and women and the environment. The government has taken several economic, judicial, administrative and media measures to guarantee that women enjoy equal rights in the political, economic and cultural spheres, as well as in social life and their families.

Women in China constitute 21.3 percent of officials at the parliamentary level—about three percentage points higher than the average for Asia. The average participation rate at the highest level of decision making almost equals that of the Americas (21.6 percent) and Europe (21.2 percent). The proportion of women deputies in the National People’s Congress (NPC) has increased by 1.1 percentage points—from 20.2 percent in 2003 to 21.3 percent in 2008. The proportion of women at the ministerial level is 10.3 percent and director-general level is 12.9 percent—an increase of 1.3 percent and 0.7 percent respectively compared with rates in 2003.

China has an exceptionally rich natural resource base. It is home to approximately 6,347 species of vertebrates. More than 20,000 marine species have been reported, accounting for more than 10 percent of the marine life diversity of the planet. By 2008, 2,538 natural reserves had been established, and 14.9 million hectares of land had been protected (15.1 percent of the total land area of China). Nationwide, 49 percent of wetlands are protected. The proportion of the population obtaining safe drinking water increased from 67 percent in 1990 to 88 percent in 2006.

The country has introduced several energy efficiency and energy-saving measures. By making adjustments to its economic structure and improving energy efficiency, China saved the equivalent of 800 million tonnes of coal between 1990 and 2005, which is the same as reducing carbon dioxide emissions by 1.8 billion tonnes.

China has taken several steps to promote South-South cooperation. By the end of 2007, GoC had provided assistance to more than 120 countries with almost 2,000 projects of various types. Bilateral trade between China and Africa increased from USD 2 billion in 1999 to USD 73 billion in 2007. Direct investment rose from USD 317 million in 2004 to USD 519 million in 2006. China has also waived 374 debts of 49 heavily indebted poor countries and least-developed countries and provided urgent humanitarian assistance after the Indian Ocean tsunami and other major natural disasters.

## **2.2 NATIONAL DEVELOPMENT CHALLENGES**

Despite the positive economic outlook, China still faces a number of development challenges. Though the country has made progress towards the attainment of the MDGs, several gaps need to be addressed (Box 1).



## Box 1. MDG gaps: The unfinished development agenda

Although the country is moving rapidly towards attaining the MDGs by 2015, the 2008 MDG Report published jointly by the Ministry of Foreign Affairs of the People's Republic of China and the UN system in China identified a number of main challenges facing China.

**Goal 1—Eradicate extreme poverty and hunger:** Some of the areas requiring attention relate to decent employment (especially in the informal sector), upgrading skills of migrant and other workers, increasing public investments in vocational education, improving food security for poor households, and enhancing rural incomes by improving agricultural productivity. Large segments of the population are facing serious threats of unemployment and job loss, especially as a result of the global economic downturn. Addressing livelihood concerns of these segments of the population will remain a major concern of China in the coming years.

**Goal 2—Achieve universal primary education:** Though this goal has been attained, China needs to address the wide disparities between urban and rural areas in teaching quality and learning outcomes, establish a set of national universal minimum education standards, and introduce registration and tracking systems to address the educational needs of migrant children and children with disabilities. Financial allocations to education need to be increased and assigned, particularly those dedicated to improving the quality and delivery of education in rural and remote areas. There

is an urgent need for China to move to a higher value-added economy, and the foundations of this will have to be built on greatly enhancing the skill base of people in society.

**Goal 3—Promote gender equality and empower women:** China has to do more to ensure gender equality. More effective mechanisms and systems for collecting data disaggregated by gender, age, region and ethnicity are needed in order to monitor progress towards gender equality. Educational activities, textbooks and the mass media have to do more to end stereotyping of men and women (that typically devalue women) and to promote awareness of gender equality. More opportunities need to be created for promoting women's participation in public affairs and political life as well as in the social and cultural spheres of society. More commitment and actions are needed to end violence against women. Many more interventions—such as strengthening economic and social security, expanding off-farm employment opportunities for women, and introducing supportive legislation—are needed to address sex discrimination, domestic violence and prevention of sex-selective abortions, which will help reverse the skewed sex ratio at birth.

**Goal 4—Reduce child mortality:** The coverage, reach and quality of public health services fall short of desired levels. The new cooperative medical schemes and urban health insurance schemes need to be further strengthened according to specific local conditions.

Differences in access to quality health care still exist, affecting rural and poor populations, the floating population, and children of minority ethnicity. Enhancing the basic maternal and child health services available to these populations is a high priority. Medical care should not be unaffordable for the poor. Special attention should be paid to the higher female infant mortality in rural areas. Challenges remain in measuring the child mortality rate and immunization coverage among unregistered and floating populations. Greater attention needs to be paid to improving the quality of human resources working in maternal and child health care. New strategies are needed to address early post-natal screening and counselling on appropriate feeding for all infants; screening and special care of low-birth weight infants; integrated management of childhood illness; supplementation with micronutrients; and the use of new vaccines to prevent diarrhoea, pneumonia and meningitis. Efforts should be made to promote appropriate feeding practices for infants and young children.

**Goal 5—Improve maternal health:** Much needs to be done to improve knowledge and practices of midwifery and obstetric staff, particularly in rural China, so as to provide safe delivery care, and efficient emergency and referral services. The fees charged for maternity services have, until recently, been a barrier to the care and treatment of many of China's neediest women. New approaches are needed to make a major impact

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on maternal mortality, such as pre-pregnancy counselling and care, and early supplementation with multiple micronutrients for pregnant women remains under-implemented, particularly in the poorest areas. At the same time, adolescent births and unmet needs for family planning underscore that much work remains in reproductive health care, particularly in providing services to unmarried people and migrants.

**Goal 6—Combat HIV/AIDS, malaria and other diseases:**

The government has begun to reverse the spread of malaria and other major diseases. These efforts need to be further strengthened. Although the HIV infection rate in China is low, combating it is still an urgent priority through: increasing the detection rate of HIV infection among target groups; strengthening the follow-up and service provision to people living with HIV in order to minimize secondary HIV transmission; advocating and awareness raising to counter stigma and discrimination toward people living with HIV; scaling up interventions to achieve universal access to HIV/AIDS care; strengthening the capacity of civil society organizations in the national HIV/AIDS response; and strengthening the coordination and accountability of the national response.

**Goal 7—Ensure environmental sustainability:**

Although advanced technologies and funds have been introduced,

China will need to address issues relating to reducing energy use per unit of gross domestic product and carbon emissions due to the dominance of coal in energy use. It is also a challenge to introduce low-carbon modules in infrastructure, energy, transportation and the building sector, given current and future urbanization. The sustainable development of agriculture will require adjusting agricultural production structures, improving agro-production conditions, preventing desert expansion and enhancing capacities to adapt to climate change. The threat posed by the pollution of water resources is particularly great. The improvement of water resources management and allocation, the strengthening of infrastructure, and the national water saving programmes will contribute to water safety, better socio-economic development and sustainable water ecosystems. Monitoring capacities and information sharing need to be strengthened. Although the central government has invested heavily in rural sanitary latrine improvement, there is still a gap between the current status and the MDG target. The improvement of personal and environmental sanitation remains a challenge, especially in rural areas since this requires effectively guiding people to change their behaviours. New mechanisms and measures need to be brought in. The improvement of drinking water and sanitary latrine facilities requires

the involvement of a large number of departments and governments at all levels, along with enterprises, communities and families. An enabling policy framework should be in place, comprising professional standards, effective coordination mechanisms and monitoring methods. Capital should be raised from various sources in order to achieve cost effectiveness and maximum impact.

**Goal 8—Develop a global partnership for development:**

Several new opportunities exist for China to play a more prominent leadership role in promoting South-South cooperation. These include sharing the wide experience that China has gained in dealing with urbanization, industrialization, and issues of environmental resource management and conservation. These and other areas of cooperation are discussed in Chapter 5.

To conclude, an analysis of China's progress in achieving the MDGs reveals great success as well as new challenges brought on by rapid development. China is likely to achieve all the MDG targets by 2015, but special attention should be paid to promoting gender equality and women's empowerment, combating HIV/AIDS, and reversing the loss of environmental resources.

*Source: Ministry of Foreign Affairs of the People's Republic of China and the UN System in China, 'China's Progress Towards the Millennium Development Goals 2008 Report'.*

The following are some of the development challenges facing China that are of common concern to GoC and UNDP.

### **2.2.1 QUALITY OF GROWTH**

No country in the world has registered such consistently high rates of economic growth as China has during the past two decades. However, analysts point out that China has, in the process, not focused sufficiently on the quality and sustainability of growth. Recent evidence suggests that the poorest are having a more difficult time benefiting from the growth process. While China's export markets have expanded, thanks to a large labour force and low wages, it is feared that this expansion may slow down in the future, especially given the global economic downturn. China is also beginning to experience 'jobless growth'. Employment creation in China has slowed down in recent years. The manufacturing sector is failing to provide sufficient jobs to absorb people moving from the agricultural sector. China, for example, whose buoyant exports have contributed to an exceptionally high rate of economic growth—approaching 10 percent—had employment growth of only 1.1 percent in the 1990s. A recent study<sup>5</sup> by the Ministry of Human Resource and Social Security reveals that the impact of the economic crisis on China is spreading from developed eastern coastal regions to central and western regions, from small and medium enterprises to up-scale enterprises, from export-oriented processing businesses to other industries, and from migrant workers to college graduates and people with difficulties in obtaining employment.

### **2.2.2 PERSISTENT INEQUALITIES**

China's growth has been characterized by inequitable development. Income gaps between urban and rural areas as well as across different regions of the country are widening. In 2007, the per capita income of the officially designated

poor counties was 2,278 RMB—55 percent of the national rural average and only 16 percent of the urban average. Inequalities persist in the gap between rural household new incomes and the urban household disposable income. Rural China lags behind the cities in terms of wealth, infrastructure, opportunities, access to basic public services and a number of other facilities. Rural populations are becoming increasingly elderly, female and vulnerable. Rural-urban and other gaps are reducing social cohesion. Widening income gaps and unequal access to learning opportunities have led to reduced social mobility over generations.

Stark imbalances characterize China's health achievements. Notable disparities in maternal mortality rates exist between rural and urban areas, and between east (coastal), central and west (inland) areas. Maternal mortality is as much as seven times worse in remote areas than in the eastern coastal areas. Most dramatic are the prevailing high rates in China's remote (usually mountainous) areas—where almost twice as many women and infants die than in China as a whole. Equally important to recognize is the dual economic-social structure that exists within the urban sector. Infant and under-five mortality rates are higher in western provinces than in the coastal cities. Infant and child mortality is almost 2.7 times higher in the western than eastern region, 2.4 times higher in rural than urban areas, and 2 to 5 times higher in the poorest rural counties than in large cities. There are gaps between urban and rural areas in safe drinking water coverage and sanitary latrine coverage. In 2007, 251 million rural residents lacked access to safe drinking water. Disparities between the western and eastern regions have widened. Many of the poor live in natural disaster prone regions and in remote regions under difficult natural conditions with limited access to infrastructure and public services.

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<sup>5</sup> Cited in: Shiva Kumar AK, Sen G, 'United Nations Development Assistance Framework (UNDAF) for the People's Republic of China (2011-2015) Complementary Country Analysis Paper Executive Summary', June 2009.

### 2.2.3 WOMEN'S EMPOWERMENT AND GENDER EQUALITY

Progress on the empowerment of women has been mixed. Though gender gaps in primary and secondary education have been closed, disparities remain in the girl-to-boy ratio in schools between different regions and provinces. Education for girls is still a central concern in poor and low-income areas and participation in higher education remains low throughout the country. The gender gap in employment, income and social welfare favors men and has not been significantly narrowed. Discrimination based on gender, age and region are prevalent in the labour market. Political participation of women in decision making and administration still lags behind that of men. In terms of women in leadership, according to the Inter-Parliamentary Union, China occupies 50<sup>th</sup> place in the world ranking in percentage of women represented in national assembly (20 percent). Although China has increased the number of women cadres, they commonly work in areas considered 'appropriate' for women according to traditional stereotypes. Many assume deputy positions but not principal ones. Only 8 percent of ministerial and 13 percent of director general positions are occupied by women. While rural women make up 65 percent of the rural labour, women's participation in village-level positions is 15 percent—with only 1 percent to 2 percent of them in decision-making positions.

Several economic and socio-cultural factors have contributed to women being perceived as inferior to men. This has perpetuated strong son-preference and anti-female biases in China. Data from the 5<sup>th</sup> Population Census conducted in 2000 revealed a sex ratio at birth of 117 males to 100 females, one of the highest in the world—with numbers for some provinces and second children as high as 150 male live births to 100 female. This is highly adverse and reflects a gender imbalance caused by various factors, including culture (such as gender stereotypes); economy (such as lower productivity in remote rural areas, an underdeveloped social security system, and traditional living patterns that

involve relying on boys to support older people); and science and technology (such as abuse of B-ultrasound technology, sex identification and artificial termination of pregnancy). Recognizing and promoting the supportive role of women in society is integral to advancing gender equality.

Another issue linked closely to gender inequality is domestic violence, which is both a public health and social issue. Several factors contribute to domestic violence. The subordination of women is a major contributing factor. Male dominance and patriarchal ideology are embedded in traditional Chinese culture—especially among ethnic minorities. Women too hold on to traditional notions—with some believing that there are good reasons for a husband to beat his wife, particularly as a means of preserving reputation. Other factors include low political representation and social attitudes that perceive women as being inferior to men.

### 2.2.4 POPULATION CHANGES

China will have to address four demographic challenges in coming years. First, the country's population policy, while having successfully lowered fertility rates, has given rise to several concurrent concerns such as the adverse female-to-male ratios in younger age groups, insufficient supply of labour force and the accelerated ageing of the population. Two, massive migration, primarily from rural to urban areas, is another great demographic change and challenge. The 'floating population' is estimated at 150 million—more than 10 percent of the total population—and many of these migrant workers remain unprotected in the cities they help to build. Most of them do not receive even basic health care benefits because of the deficiencies in the registration system. As a result, many families are forced to leave their children behind in the villages as the adults move to urban areas in search of employment. Three, China's youth—approximately 200 million of them—require special attention. Many of them who migrate from rural to urban areas lured by the prospects of better jobs end up in manual and menial



jobs that are often exploitative. Four, China has witnessed an unprecedented increase in the proportion of older persons, with those 60 years or older now totalling more than 150 million. Many of them are left behind in rural areas as their children migrate to cities. This number is projected to increase to 430 million by 2050 when older persons will account for almost one third of China's population. The growing aged population will require care and protection.

#### 2.2.5 SUSTAINABLE USE OF NATURAL RESOURCES

Rapid growth, industrialization and urbanization are contributing to serious resource depletion, which in turn threatens food and ecological security as well as sustainable development. High rates of resource consumption and industrial pollution pose a serious health hazard as well. Biodiversity and farmland, which support large segments of the population in the western regions, are being lost to deterioration and soil erosion. Improving the quality of drinking water and ensuring access to it remains a concern, especially in remote and minority areas in the west. Maximum attention needs to be given to natural resource management over the coming years. The increasing demands on natural resources are likely to exert additional pressures on land use, forest management and environment protection. The location of lands without forest and grass coverage in areas subject to erosion and desertification further delays and hinders eco-restoration. To adapt to climate change, there is an urgent need to introduce integrated and coordinated approaches to accelerate eco-restoration processes. China's agriculture is under pressure from climate change and the degradation of eco-systems.

China's biodiversity is facing serious challenges from environmental pressures resulting from continued rapid economic growth. Key threats to China's biodiversity arise from overgrazing of grasslands, loss of wetlands, commercial and illegal logging of forests, over-harvesting of specific species, unchecked construction and exploitation of mining resources, air and water

pollution, and unregulated urban expansion that encroaches into ecologically sensitive areas. Responsibilities for biodiversity conservation are allocated to a number of government agencies. Cross-agency coordination and policy consistency need to be improved. The capacity of local governments to translate and adapt national laws and policies into locally adapted regulations promoting biodiversity needs to be strengthened. Monitoring systems and procedures lack consistency and transparency.

#### 2.2.6 NEW CHALLENGES

China has set its own goal of building a moderately prosperous society (referred to as *Xiaokang*) in an all-round way. In its medium-term five-year plans and in its longer term vision of achieving an all-around *Xiaokang* society by the year 2020, the government is placing great emphasis on reducing widening internal inequalities, particularly in terms of income and access to quality health care and education services. As part of China's emphasis on a balanced, scientific approach to development, the government is steadily increasing its investment of human and financial resources in the less advanced interior regions, particularly in the Western provinces, where human development indicators are still far behind those in the wealthier coastal regions. In the area of poverty alleviation, even after far exceeding the MDG target, there is still the vital task of lifting China's remaining poor people out of poverty and ensuring that they and others who have risen out of poverty are protected by safety nets that prevent them from sliding back when affected by job loss, illness or a natural disaster. China has already demonstrated that it is determined to build on its earlier achievements in poverty alleviation and confront head-on these remaining challenges.

In setting national priorities for the 12<sup>th</sup> Five-Year Plan, China will have to factor in the many changes in the global economic context. The pace of globalization is likely to slow down. There is likely to be greater need for state interventions to regulate markets. The export demand for Chinese

goods is likely to shrink as the economies of the developed nations face economic recession. As a result, China's economic growth may slow down and this will call for greater attention to the quality of growth. GoC will need to pay greater attention to reducing export dependency and developing domestic markets. With increasing migration, the rural-urban dichotomy is likely to be bridged. At the same time, it will become important for the state to provide basic services including housing for people who migrate to urban areas. Greater attention will be needed where reforms have not been successful. Some of these areas include: natural resources (oil and coal) management, environmental pollution, fiscal and tax reforms, state enterprise reforms, containment of monopolies and evaluation of the public sector. The government will also need to pay greater attention to promoting green jobs as well as occupational safety and health.

There are several areas where UNDP can partner with the government to make a meaningful contribution. While parts of China are opulent and experiencing rapid growth, other regions still have all the characteristics of a poor economy. China's development path emphasizes scientific development—namely people-oriented development, comprehensive development, coordinated development and sustainable development.

This is consistent with the human development approach of UNDP that places people at the centre of development. Issues of inequalities; social security for the poor; better governance; increased participation; migration and related migration; and planning for a green, environmentally sustainable, low-carbon economy are likely to become important priorities. More specifically, UNDP can contribute significantly by strengthening China's efforts at improving the sustainability and quality of growth, supporting more inclusive and equitable development, addressing gender gaps as well as the human development impacts of demographic changes and population movements (especially rural to urban migration), and enhancing environmental sustainability and sustainable use of natural resources. UNDP can also contribute to building a knowledge economy and promote cooperation between China and the world. In all these areas, UNDP can assist with capacity development, strategic planning and policy advice, promoting partnerships, demonstrating success of community-based interventions that can be scaled up, and promoting global norms and conventions. These are areas where UNDP has knowledge, expertise and the potential to contribute to China's development and will be discussed in more detail in Chapter 4.

## CHAPTER 3

# UNDP RESPONSE AND STRATEGIES

### 3.1 BACKGROUND

UNDP started its operations in China in September 1979 with the signing of the UNDP-GoC Standard Basic Agreement. Since then, UNDP has completed more than 900 projects and extended assistance across a wide variety of fields including agriculture, natural resources management, urban environment management, industry, renewable energy, energy efficiency, climate change adaptation, public health, poverty alleviation and economic restructuring. Beginning in 1982, UNDP developed and implemented multi-year country programmes and cooperation frameworks with specific thematic and result focuses. Since then, UNDP has completed five such frameworks in close collaboration with its government partner, CICETE, under the Ministry of Commerce. There has been a shift in the nature of programming between UNDP and GoC from being a development-assistance programme in the initial years to becoming a development cooperation programme in more recent years.

Today, more than 90 percent of UNDP projects in China are directly executed or implemented by Chinese institutions, involving more than a dozen government ministries as well as NGOs and the private sector. In recent years, intensified results-based management and broadened strategic partnerships with key development actors have become a priority in addition to community-based interventions. UNDP increasingly works towards advocacy, policy advice, dialogue, facilitation, and brokerage for innovative solutions.

UNDP manages financial resources from various sources in support of its development efforts in China. These resources include UNDP core

funding, resources mobilized from the GoC and other contributors to China, resources from global trust funds such as the Global Environment Facility (GEF) and the Montreal Protocol, and funds from the private sector. In the programme cycle 2001 to 2005, UNDP mobilized more than USD 250 million for its programme in China.

UNDP China employs 65 staff members, mostly in the age group of 25 to 55 years, who are educationally qualified in a range of subjects including social sciences, law, economics and environmental science. More than half (54 percent) are women and 10 staff members are internationally recruited.

### 3.2 THE 2006-2010 COUNTRY PROGRAMME

In January 2006, the UNDP Executive Board adopted the 2006-2010 country programme for China, which outlines the content and management arrangements of the assistance that UNDP provides to China over these years.

In addition to and complementing the MDGs, the GoC has adopted a national development vision and strategy referred to as *Xiaokang*, which puts the highest priority on promoting sustainable development and aims at establishing by 2020 a harmonious socialist society extending its benefits to the largest number of people.

Under the framework of the MDGs and the *Xiaokang* reform agenda, the 2006-2010 country programme is based on the analysis of the 2004 United Nations Common Country Assessment (CCA), the continuous evaluation of previous UNDP assistance and consultations with stakeholders. The country programme focuses on key national priorities and strategies to increase

impact of interventions at central and local levels and concentrates on three main areas:

- Achieving the MDGs and reducing human poverty
- Environment and energy for sustainable human development
- Responding to HIV/AIDS and other communicable diseases

These strategic focuses are conducive to exploring joint programmes and activities with government ministries, policy making bodies, and other UN organizations.

The country programme represents the UNDP contribution to the achievement of the outcomes of the 2006-2010 UNDAF. The UNDAF seeks to focus on the areas where the United Nations can most effectively help China address national priorities. Based on the analysis of the country's situation from the CCA, the UN Country Team, in close cooperation with key government agencies, identified five national priority areas and five corresponding UN outcomes to be achieved within the period 2006-2010:

- Social and economic policies for equitable growth
- Participatory instruments and capacity development for effective and equitable policy implementation
- More efficient management of natural resources
- HIV/AIDS
- Support to China's increased role in the global arena

UNDP is in a unique position to use its cross-cutting role and corporate mandate to contribute substantively to these priority areas through the prism of the Millennium Declaration and the MDGs. Assisting the GoC in realizing its *Xiaokang* vision of all-round human development is the ultimate goal of the UNDAF and the country programme.

### 3.3 PROJECTS

UNDP delivers its assistance through multi-year projects that aim to deliver results contributing to the achievement of 10 country programme outcomes. In 2007, UNDP had approximately 70 ongoing projects with activities in nearly all provinces.

Until the 2009 clarification on the roles of the Department of International Trade and Economic Affairs/Ministry of Commerce and CICETE, UNDP assistance to China was coordinated by CICETE in the Ministry of Commerce. All project documents are approved and signed by the GoC, thereby ensuring full national ownership of these projects. Allocation of financial resources is the joint decision of UNDP and CICETE. However, the allocation of resources from global trust funds (such as the GEF and the Montreal Protocol) is jointly decided by the Ministry of Finance, the Ministry of Environmental Protection, the technical line ministries and UNDP.

A large majority of UNDP projects are implemented by national partners under national execution (NEX), directly contributing to the overall objective of UNDP to strengthen national capacities for human development.

During the past several years, UNDP has made significant progress in strengthening partnerships and mobilizing resources to support progress towards the MDGs. UNDP coordinates and nurtures working relationships with other contributing countries, civil society organizations (CSOs), international financial institutions, regional development banks, the private sector and the rest of the UN system. UNDP China today has established an extensive network of partners belonging to the government, international community, academic society, civil society and the private sector. The country office works with its partners to conduct outreach through the network, advocate and advise on policy, and facilitate inter-agency dialogue and cooperation. These partnerships have also been utilized to design, implement and execute development projects.



### 3.4 RESOURCES

The 2006-2010 country programme has adopted a target of USD 280 million as financial resources to deliver its expected development results. These resources include UNDP core funding, and resources mobilized from the GoC, donors, private sector and other global trust funds.

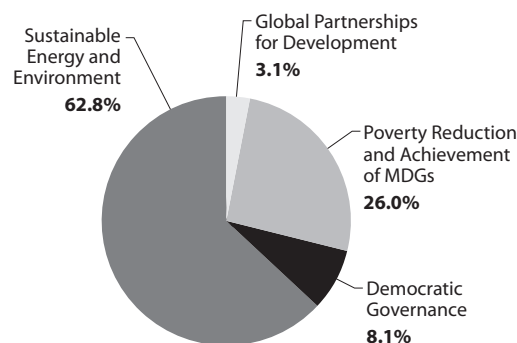
**Table 1. UNDP China programme funds, 2006-2009**

Source of funds	Expenditures during 2006-2009, USD millions
Regular resources (TRAC 1&2)	30.9
Government cost sharing	70.6
Third-party cost sharing	57.4
Global Environment Facility	39.6
Montreal Protocol Fund	33.1
Others	10.1
<b>Total</b>	<b>241.7</b>

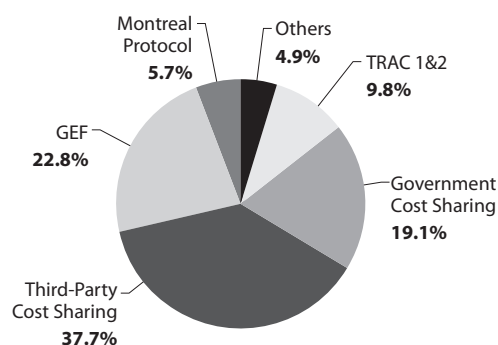
#### 3.4.1 PROGRAMME EXPENDITURE

In 2006-2007, UNDP China delivered development resources worth USD 53 million. Almost half of these resources (49 percent) were delivered within projects in the area of support to the MDGs, poverty reduction and HIV/AIDS. The second largest portion (43 percent) of these resources contributed to results in the area of the environment and energy, while 3 percent was spent in the area of rule of law and democracy, and 4 percent on global partnerships including regional cooperation. Figures 1 and 2 show the programme expenditures by UNDP areas of support and source of funding for 2008-2009.

**Figure 1. Programme expenditures by area of support and source of fund, 2008-2009**



**Figure 2. Programme expenditures by source of fund, 2008-2009**



### 3.5 PROGRAMMATIC SUPPORT

UNDP supports China on a range of issues that includes developing policy frameworks, testing innovative solutions and building the capacity to implement them. By drawing on experience and networks from across the globe, UNDP provides access to the latest knowledge of theory and practice to support China's development agenda. The country office partners with GoC in five thematic areas.

#### 3.5.1 POVERTY REDUCTION

UNDP China supports the government in creating both the detailed policies and the capacity to manage these challenges and realize the domestic vision of development.

**Local poverty reduction initiatives:** UNDP combines its support to policy development at the national level with localized initiatives. By piloting activities on the ground, UNDP tests new solutions at the community level and feeds practical experiences back into overarching policy making. In doing so, it brings technical assistance closer to the people who can benefit from it.

**Pro-poor policy reform and capacity development:** China's rapid transformation creates great opportunities for progress but also a complex set of challenges for translating growth into equitable human development.

### 3.5.2 DEMOCRATIC GOVERNANCE

UNDP projects in this area concentrate on developing policy recommendations for legal and governance reform, piloting initiatives at central and local levels, building capacity of counterpart ministries and organizations, promoting international conventions, and increasing access to international experience. In all its work, UNDP cooperates closely with CICETE, government ministries and institutions, and CSOs.

UNDP facilitates CSO participation in international forums, brings together CSOs and government stakeholders for dialogues, and engages CSOs to carry out project activities and to participate in policy and programming consultations. It works with key government ministries—such as the Ministry of Supervision, the Ministry of Land and Resources, and the State Commission Office for Public Sector Reform—at the central and local levels to improve the capacity, efficiency and responsiveness of governance institutions. It attempts to foster a broad understanding and consensus around the concepts of good governance, and to improve transparency and anti-corruption mechanisms at all levels. The promotion of human rights, especially of the poor and disadvantaged, and anchoring governance in international principles are other key areas where UNDP works closely with government institutions such as the Ministry of Justice, the Supreme People's Court

and local courts, and various CSOs. UNDP also assists GoC in fulfilling its international obligations as China's increasing integration into global processes heighten the importance of international norms, conventions, and standards, particularly those concerning human rights.

### 3.5.3 ENERGY AND ENVIRONMENT

UNDP supports China in its efforts to achieve the environmental goals of the 11<sup>th</sup> Five-Year Plan while also improving compliance with multilateral agreements such as the UN Framework Convention on Climate Change (UNFCCC) and its Kyoto Protocol, the Convention on Biological Diversity, the Convention on Persistent Organic Pollutants (POPs) and the Convention on Protection of the Ozone Layer and its Montreal Protocol. This is done by providing technical assistance for policy and legal reform, technology transfer and capacity development.

**Climate change and sustainable energy:** China is a key member of UNFCCC, which aims to reduce emission of greenhouse gases (GHGs) that cause global climate change. China is the world's highest emitter of GHGs. Consequently, a major emphasis of UNDP support is on ways to implement the UNFCCC through expanded use of energy efficiency and renewable energy, and support for adaptation measures and implementation of the Kyoto Protocol.

**Environmental governance and natural resources management:** Improving environmental governance and natural resources management are essential for addressing the challenges of environmental degradation in China. With China's economy growing at a rapid pace, the pressure of natural resources and critical ecosystems such as water and land become major factors affecting future development. In addition, environmental sustainability hinges largely on China's ability to harness a critical mass of environmental awareness among decision makers and the public and its ability to translate increased awareness into action and improved accountability for damages to the natural environment and public health.

**Chemicals management:** China is a key member of the UN Convention on the Phase Out of POPs and the UN Convention on the Phase Out of Ozone Depleting Substances (ODS) and its Montreal Protocol. Both of these UN conventions aim to replace the use of chemicals deleterious to the ecosystem and human health through technical transfer and chemical substitution. Through the support of UNDP and its partners, China has been able to phase out most of its ODS ahead of the global timeframe. However, China's status as a major producer of food products in the world also makes it a major consumer of pesticides, many of which are POPs.

**Biodiversity and ecosystem services:** China is a key member of the Convention on Biological Diversity, which aims to improve the conservation and sustainable use of biodiversity resources and reverse trends of extinction. China is one of 10 mega-diversity countries in the world. A major emphasis of UNDP support is on ways to implement the Convention on Biological Diversity through strategic partnerships and actions at national and local levels.

#### 3.5.4 HIV/AIDS

During the past several years, the Chinese government at the highest level has reiterated its commitment to effectively respond to AIDS, identify prevention and control as a priority in the 11<sup>th</sup> National Five-Year Development Plan, and reinforce the importance of having an HIV/AIDS strategy to achieve the MDGs.

As one of the lead agencies in the joint UN response, UNDP supports China's multisectoral AIDS response through implementation of the following large scale programmes.

**Strengthening an enabling legislative environment to respond to HIV/AIDS in China (2007-2010):** A favourable political environment and empowering leadership are necessary for successful AIDS response. Interventions will focus on supporting harmonization and consistency of HIV/AIDS related legislation to reflect strategic response at national

and provincial levels. UNDP partners with the Education, Science, Culture and Public Health Commission of the NPC.

**Mitigating the negative impacts of HIV/AIDS on human development (2007-2010):** HIV is not only a health problem but also an issue that affects socio-economic and cultural development. This programme aims to alleviate the negative impacts on human development that arise as a result of HIV/AIDS. The Safe Mobility and HIV Prevention in Northern China component aims to reduce the vulnerability and risk of HIV within the stable and floating population in target areas of northern China. UNDP partners with the National Population and Family Planning Commission.

**HIV and human rights (Greater Involvement of People Living with HIV/AIDS [GIPA II]):** UNDP actively promotes the active participation of CSOs and individuals in the planning, implementation and evaluation of responses, and protecting the rights of people living with HIV, women and vulnerable groups.

#### 3.5.5 GLOBAL PARTNERSHIPS

UNDP China and GoC have been partnering to improve China's capacity to fulfil national obligations under various UN conventions. Initiatives include the reduction and elimination of POPs in China, developing alternatives to DDT usage in the production of anti-fouling paints and ODS phase out. UNDP and GoC have also been active in promoting regional cooperation as well as bilateral agreements with other countries. Initiatives in this area include the setting up of the China-Africa Business Council, the start of the International Poverty Reduction Centre in China, and other efforts at strengthening South-South cooperation. Among the projects are Tumen River Area Development Phase II, the Chinese New Silk Road Phase II, and the China-ASEAN economic integration programme.

Table 2 presents the outcomes, results areas, projects and non-project activities of the current country programme.

**Table 2. UNDP programming areas: Outcomes and related activities**

Programme area	Outcomes	Related and indicative activities
<b>I. Poverty reduction</b>	<b>Outcome No. 1</b>	
	<i>Xiaokang</i> /MDG concepts and indicators integrate into national and provincial development vision, policies and plans	Developing a <i>Xiaokang</i> Society; Support to Fiscal Reform; Land Policy Reform and Rural Development; Leadership Development; Rural Poverty Reduction (Dairy Industry)
	<b>Outcome No. 2</b>	
	National efforts to lead and manage <i>Xiaokang</i> /MDG implementation supported through a variety of instruments and capacity development initiatives	Tibet Development and Poverty Alleviation; Science and Technology Support; Green Poverty Alleviation; Minority Poverty Alleviation
<b>II. Democratic governance</b>	<b>Outcome No. 3</b>	
	Enabling environment for civil society participation and its effective engagement in <i>Xiaokang</i> priority issues supported	Governance for Equitable Development; Promoting Women's Equal Rights and Participation in Local Governance; Governance Assessment; Olympic Volunteers; China Environmental Awareness Programme
	<b>Outcome No. 4</b>	
	Rule of law strengthened to protect human rights of all, especially the poor and the disadvantaged groups	Umbrella—Rule of Law; Innovation in Public Sector for Good Governance; Governance for Equitable Development; Governance Assessment
	<b>Outcome No. 5</b>	
Capacities to pursue gender-equality efforts enhanced through advocacy, gender sensitive analysis and implementation	Distance Learning; Women's Equal Rights and Participation; International Forum of Women Entrepreneurs; Comprehensive Gender Strategy Training	

(cont'd) ►

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Programme area	Outcomes	Related and indicative activities
<b>III. Energy and environment</b>	<b>Outcome No. 6</b>	
	End-use energy efficiency improved and applications of new and renewable energy technologies enhanced	Renewable Energy; China End-use Energy Efficiency Project; Barrier Removal of Energy Efficient CFC-free Refrigerators; Energy Conservation GHG Emissions Reduction TVEs Phase II; Interconnection Nationwide Electricity Network; Fuel-cell Bus Commercialization (I/II); Carbon Finance; Coal Mine Safety Standards; Water Resources Management and Drinking Water Safety; Capacity Building for the Clean Development Mechanism in China; Climate Change Mitigation and Adaptation
	<b>Outcome No. 7</b>	
Conservation and sustainable use of biodiversity is more effective	Wetland Biodiversity; China South Sea Biodiversity; EU- China Biodiversity; China Environment Awareness Programme; Integrating Biodiversity Considerations into Strategic Environmental Assessment of Mining and Tourism Development Plans; Bio-conservation in Yunnan; Wetland Conservation in Anqing; Bio-conservation Bamboo Forest; Limestone Ecosystem in Guangxi; Disaster Risk Management; China Biodiversity Partnership Framework; Environmentally Friendly City; Conservation and Sustainable Utilization of Wild Relatives of Crops	
<b>IV. HIV/AIDS</b>	<b>Outcome No. 8</b>	
	Strengthened leadership and coordination at all levels prepared to respond to HIV/AIDS	HIV and Governance Programme; GIPA II; HIV and Human Development; Community Based HIV/AIDS Care, Prevention and Poverty Reduction; Reinforcing Treatment Component of "China Care"; "We Are Friends" Anti-stigma Campaign; Enabling Legislative Environment to Respond to HIV/AIDS; Positive Talks
<b>V. Global partnerships (regional cooperation, South-South cooperation)</b>	<b>Outcome No. 9</b>	
	Key UN conventions promoted through improved capacity to fulfil their obligations	Solvent Sector Plan; Reduction and Elimination of POPs in China—Anti-fouling Paint; Alternatives to DDT Usage in the Production of Anti-fouling Paint; ODS Phase Out
	<b>Outcome No. 10</b>	
Global and regional partnerships promoted for effective results	China-Africa Business Council; International Poverty Reduction Centre; Strengthening South-South Cooperation; Tumen River Area Development Phase II; Chinese New Silk Road Phase II; Promoting South-South Cooperation in 21st Century; Silk Road Regional Programme; China-ASEAN Economic Integration	



## CHAPTER 4

# UNDP STRATEGIC POSITIONING

The UNDP partnership with China during the past 30 years has covered a number of areas including technical assistance, support to demonstration projects, policy dialogue, research, capacity development and advocacy. In the process, it has acquired several advantages over other international agencies working in China. UNDP has built a long-term trusted partnership and working relations with the government at the national, provincial and local levels. The organization enjoys high credibility derived largely from its impartiality and neutrality. Unlike many other organizations, UNDP has extended support to address a wide range of development concerns spread over many sectors. UNDP's collective commitment to values imbedded in the Millennium Declaration is in line with China's vision of a *Xiaokang* society. The adoption of the human development paradigm is consistent with China's own development vision of people-centred development. GoC and stakeholders acknowledge the global expertise of UNDP and its experience with rights-based approaches that give priority to the poorest and most deprived in society. UNDP has derived its legitimacy from supporting GoC in adhering to and complying with global standards, international conventions and declarations. Stakeholders acknowledge the ability of UNDP to convene and create partnerships with GoC, research institutions, academia and NGOs. UNDP also has access to global networks of experiences, international best practices and technical expertise, and can potentially tap global financial and other resources for China. This chapter assesses the extent to which UNDP

has effectively and strategically positioned itself to contribute to China's development goals. In doing so, the ADR team has considered the following factors:

- Relevance to national development priorities
- Contribution to UN values
- Strategic partnerships around development outcomes
- Responsiveness to changes in the country's development context

### 4.1 STRATEGIC RELEVANCE

Stakeholders regard the UNDP country programme as being 'highly relevant' to China's development needs and priorities. Almost 82 percent of questionnaire respondents felt that UNDP-supported projects would be implemented even without UNDP support, though there might be some delays or changes in the way projects were implemented. This assertion affirms the high degree of overlap between China's development priorities and UNDP planned outcomes.

Table 3 lists the nine major objectives, policy thrusts, and national priorities of the 11<sup>th</sup> Five-Year Plan covering 2006-2010.

Table 4 lists the 10 key outcomes of UNDP's CPD 2006-2010 and the corresponding core interventions in the five practice areas.



**Table 3. Objectives of the 11<sup>th</sup> Five-Year Plan**

Major objectives	Key issues related to objectives
<b>Objective 1:</b> Stable operation of macro economy	<ul style="list-style-type: none"> <li>▪ Robust growth of gross domestic product</li> <li>▪ Urban employment</li> <li>▪ Moderate inflation</li> <li>▪ Basically balanced external trade</li> </ul>
<b>Objective 2:</b> Optimization and upgrading of industrial structure	<ul style="list-style-type: none"> <li>▪ Rationalize industry and enterprise organization structure</li> <li>▪ Increase share of the service sector</li> <li>▪ Increase spending on research and development</li> </ul>
<b>Objective 3:</b> Significant increase in resource utilization efficiency	<ul style="list-style-type: none"> <li>▪ Reduce energy and water intensity</li> <li>▪ Increase water available for irrigation</li> <li>▪ Address industrial solid waste issues</li> </ul>
<b>Objective 4:</b> Coordinated urban and rural development	<ul style="list-style-type: none"> <li>▪ Build the new socialist country side</li> <li>▪ Manage urbanization</li> <li>▪ Prevent increase in urban-rural inequality in incomes, living standards and public services</li> </ul>
<b>Objective 5:</b> Improved basic public services	<ul style="list-style-type: none"> <li>▪ Ensure nine years of education</li> <li>▪ Build a sound public health and medical services system</li> <li>▪ Increase social security coverage, including old-age insurance and the rural cooperative medical system</li> <li>▪ Decrease poverty</li> </ul>
<b>Objective 6:</b> Enhanced sustainable development	<ul style="list-style-type: none"> <li>▪ Stabilize population growth</li> <li>▪ Keep up farmland retention</li> <li>▪ Protect water sources</li> <li>▪ Increase energy and mineral resources</li> <li>▪ Check ecological and environmental deterioration</li> <li>▪ Reduce emission major pollutants</li> <li>▪ Increase forest coverage</li> <li>▪ Control GHG emission</li> </ul>
<b>Objective 7:</b> Enhanced market economy	<ul style="list-style-type: none"> <li>▪ Reform administrative management, state-owned enterprises, finance and taxation, banking, science and technology, education, culture and health</li> <li>▪ Coordinate opening up to the outside world and domestic development</li> <li>▪ Open up the economy further</li> </ul>
<b>Objective 8:</b> Improved living standards	<ul style="list-style-type: none"> <li>▪ Increase per capita disposable incomes</li> <li>▪ Improve the quality of life</li> <li>▪ Improve conditions in housing, traffic, education, culture, health and the environment</li> </ul>
<b>Objective 9:</b> Democratic legality and spiritual civilization building	<ul style="list-style-type: none"> <li>▪ Progress with legal reform</li> <li>▪ Promote socialist ideology</li> <li>▪ Establish a moral and harmonious society</li> </ul>



**Table 4. CPD outcomes and core interventions**

Practice areas	CPD outcomes	Indicative core interventions
Poverty reduction	1	<ul style="list-style-type: none"> <li>▪ <i>Xiaokang</i> society indicator system and piloting in 15 provinces</li> <li>▪ Support to fiscal reform, land policy reform</li> <li>▪ Training for leadership capacity development</li> </ul>
	2	<ul style="list-style-type: none"> <li>▪ Innovative technology transfer</li> <li>▪ Green poverty alleviation</li> <li>▪ Post Sichuan earthquake early recovery</li> </ul>
Democratic governance	3	<ul style="list-style-type: none"> <li>▪ Governance for equitable development</li> <li>▪ Governance assessment</li> <li>▪ Olympic volunteers mobilization</li> <li>▪ Enhancing civil society participation</li> </ul>
	4	<ul style="list-style-type: none"> <li>▪ Umbrella rule of law programme</li> <li>▪ Innovations in public sector</li> <li>▪ Legal aid service for migrant workers</li> <li>▪ Governance assessment</li> </ul>
	5	<ul style="list-style-type: none"> <li>▪ Promote women's equal rights and participation</li> <li>▪ Support international forum of women entrepreneurs</li> <li>▪ Develop comprehensive gender strategy</li> <li>▪ Offer training and distance learning</li> </ul>
Environment and energy	6	<ul style="list-style-type: none"> <li>▪ China end-use energy efficiency</li> <li>▪ Barrier removal for the widespread commercialization of energy-efficient CFC</li> <li>▪ MDG carbon</li> </ul>
	7	<ul style="list-style-type: none"> <li>▪ Wetlands biodiversity</li> <li>▪ EU-China Biodiversity Programme</li> <li>▪ Disaster risk management</li> </ul>
HIV/AIDS	8	<ul style="list-style-type: none"> <li>▪ Greater involvement of people living with HIV/AIDS</li> <li>▪ Anti-stigma campaign</li> <li>▪ Enabling legislative environment to respond to HIV/AIDS</li> </ul>
Global partnerships	9	<ul style="list-style-type: none"> <li>▪ Fulfil the obligations of key UN conventions</li> <li>▪ Solvent Sector Plan, POPs anti-fouling paint, ODS phase out</li> </ul>
	10	<ul style="list-style-type: none"> <li>▪ China-Africa Business Council</li> <li>▪ International Poverty Reduction Centre</li> <li>▪ Tumen River Area Development Phase II</li> <li>▪ Chinese New Silk Road Phase II</li> <li>▪ China-ASEAN economic integration</li> </ul>

The ADR team examined the core interventions under each outcome by relating them to specific objectives of the 11<sup>th</sup> Five-Year Plan. Outcomes are regarded as being relevant if they directly address the key issues identified under specific objectives. Such core interventions under the different outcomes can contribute distinctively by producing added value or making a difference in results. An outcome is regarded as having little or no relevance if it is difficult to judge the direct value addition of the core intervention, and to that extent, its relevance is not obvious or clear. This does not mean that the outcome has no logical relation with the corresponding objective. It could be that the issues relevant to the specific objective are not areas of UNDP strengths. Our analysis reveals that:

- Country programme outcomes correspond directly to seven out of nine objectives covering rural and urban development, expansion of social opportunities, and energy and environment. Country programme outcomes do not directly address Objectives 1 and 2, and to that extent, UNDP contribution or value addition in these areas can be regarded as being modest or negligible. This is largely because UNDP China has not had a comparative advantage in these areas of macroeconomic policy and industrial organization.
- Two of the 10 outcomes—Outcome 1 and 2—are relevant to Objectives 4 and 8. They contribute to improvements in living standards and building of a harmonious society. Projects corresponding to these two outcomes have been designed to tap UNDP strengths and integrate MDGs with China’s vision of a *Xiaokang* society.
- At least five outcomes (mainly in the areas of poverty reduction and democratic governance) correspond to Objectives 4 and 9, namely to promote urban and rural development as well as strengthen legal reforms needed for a harmonious society.
- Outcomes 6, 7 and 9 are relevant to Objectives 3 and 6, which seek to reduce energy use,

check ecological deterioration, and control GHG emission. The National Development and Reform Commission reports that in the first two years of the 11<sup>th</sup> Five-Year Plan, reduction in energy intensity fell short of the target.

- Outcome 10 concerning global partnerships is a crosscutting issue. UNDP support to South-South cooperation corresponds to Objective 7.

UNDP has also enhanced its image and relevance by launching a series of advocacy activities to promote public awareness and influence public opinion on development issues. For example, along with the State Council Leading Group on Poverty Reduction and Development and the International Poverty Reduction Centre in China, UNDP organized two global poverty forums in 2008 and 2009 held on 17 October to mark the International Day for the Eradication of Poverty. More than 600 national and international participants joined these events including Vice Premier Hui Liangyu. UNDP has made a significant shift in its capacity development efforts by focusing on leaders who can deliver on the *Xiaokang* vision. UNDP has also been able to get greater attention paid to complex development issues facing China, such as the special needs of migrant workers and ethnic communities.

## 4.2 CONTRIBUTION TO UN VALUES

The strategic relevance of UNDP also is reflected by its contribution to UN goals and values. There are three areas where UNDP support has been particularly relevant.

### 4.2.1 FOCUS ON MDGS

UNDP acknowledges that *Xiaokang* society is the Chinese version of MDGs. Consequently, the UNDP partnership with GoC has included a number of *Xiaokang*-related initiatives to integrate MDGs into China’s efforts to create a *Xiaokang* society. This is the motivation behind the UNDP partnership with GoC for addressing specific deprivations among communities still

living in poverty despite the attainment of MDGs. The Chinese Foreign Ministry, in collaboration with the UN system in China, published the reports 'China's Progress Towards the MDGs' in 2003, 2005 and 2008.<sup>6</sup> These reports review China's progress towards the MDGs and also identify specific problems and remaining challenges that are common concerns of GoC and UNDP.

#### 4.2.2 CONTRIBUTION TO GENDER EQUALITY

Promoting gender equality is one of the central concerns and priorities of UNDP. Awareness of gender issues has been regularly raised and disseminated among project partners and beneficiaries. Stakeholders interviewed by the ADR team affirm the UNDP emphasis on mainstreaming gender concerns. Some even admitted that they might not have adopted a gender perspective without UNDP's continuous advocacy for gender equality. Seven out of 18 key projects have special requirements and measures for improving women's participation. For example, the Olympic Volunteer Project required that 50 percent of volunteers be women. Similarly, indicators on empowering women (such as the maternal mortality rate, sex ratio at birth and ratio of women representatives in parliament) are included in the all-round *Xiaokang* society indicator system.

#### 4.2.3 PRIORITIZING THE VULNERABLE AND DISADVANTAGED

Special attention has been paid by UNDP to vulnerable and disadvantaged groups in the areas of poverty reduction, democratic governance and HIV/AIDS. At least five key projects attempt to directly target vulnerable and disadvantaged groups such as migrant workers, rural farmers and HIV-affected people. Other projects yield indirect benefits to vulnerable groups. UNDP typically identifies needs and then makes a conscious effort through its projects to address the needs of vulnerable groups such as HIV patients

and rural farmers. There are also instances of UNDP support to vulnerable and disadvantaged communities in post-disaster relief interventions. For example, in response to the Sichuan earthquake in May 2008, UNDP implemented the Early Recovery and Disaster Risk Management Programme in China, designed specifically to address the needs of earthquake-affected people. In its recovery plan, UNDP integrated early recovery in poor villages through various instruments and capacity-development initiatives. The capacity of vulnerable communities to mitigate the risk of disaster has been improved. UNDP and the China Law Society jointly conducted a field mission to the quake-affected areas in Sichuan, with a special focus on disadvantaged and vulnerable people. The findings of the mission have been published and widely disseminated. Disaster prevention and management that benefit the poorest and most vulnerable communities are also incorporated into long-term national poverty alleviation and development strategy.

### 4.3 STRATEGIC PARTNERSHIPS

UNDP programmes are designed and implemented with multiple stakeholders and partners. Multi-stakeholder participation tends to inspire and encourage national ownership, which in turn helps to improve the quality of project design and facilitate smooth implementation. A desk review of project documents reveals that more than half of UNDP projects involved engagement with five partners or more.

During the past 30 years, UNDP has cooperated with almost all central government departments. In the ongoing programme cycle, 47 projects have established partnerships with central governmental departments. This includes 16 out of 27 ministries and organizations directly under the State Council. Moreover, UNDP has built partnerships with the NPC, the Supreme People's

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<sup>6</sup> China's Progress Towards the Millennium Development Goals Reports for 2003, 2005 and 2008. Published jointly for the Ministry of Foreign Affairs of the People's Republic of China and United Nations System in China.

Court (SPC) and organizations directly under the Central Committee of the Communist Party of China, such as the State Commission Office for Public Sector Reform. In contrast, only 16 projects cooperate with local governments. Of the 18 key projects, 13 are implemented by ministries or central government agencies, and 5 by Chinese civil societies or local agencies.

Strong partnership with GoC is necessitated by the adoption of the NEX modality. At the same time, strategic partnerships with the right implementing agencies ensure that the results of projects are acted upon by the government. This has been ensured, for instance, in the Governance Equality Development Project, which is implemented by the SPC, NPC and the Ministry of Civil Affairs. This collaboration has influenced both SPC and NPC, which are the topmost legislative institutions in China.

International partners of UNDP include UN organizations, bilateral agencies, multilateral agencies and international NGOs. UNDP has also established strategic partnerships with top think tanks and with the State Council including the China Council for International Cooperation in Environment and Development. It has been actively promoting and participating in joint programmes and has played a useful coordinating role as in the case of the response to the Sichuan earthquake.

UNDP has been proactively pursuing and promoting partnerships with the private sector and civil society. For example, during the period under review, UNDP was instrumental in developing partnerships with Arcelor Mittal to support China's environment protection; Stora Enso to address biodiversity conservation, poverty reduction and HIV/AIDS; and Coca-Cola to address water governance. Another notable example is the Memorandum of Understanding and a cost-sharing agreement signed in June 2008 between UNDP, CICETE and the Yunnan Metallurgical Group under which the Yunnan Metallurgical Group committed to contribute 100 million RMB (equivalent to USD 14.7 million)

to UNDP China. The main purposes of the cooperation are to: undertake development activities including poverty reduction, environmental protection and ecological improvement; undertake joint advocacy; promote corporate social responsibility; and encourage public-private partnerships for the building of a harmonious society.

UNDP has also initiated a project with the China Enterprise Confederation to organize a high-level International Conference on Corporate Social Responsibility and with the Beijing Municipal Government to co-host the International Finance Forum. To the extent that these are relatively new activities, they are not part of the CPD and have not been evaluated as such. Similarly, UNDP has been more actively working with NGOs and civil society groups in China especially following up on the mobilization of volunteers for the Olympics.

#### **Box 2. Partnerships in early recovery and disaster risk management**

UNDP has allocated more than USD 100,000 and mobilized USD 1 million through the GEF to strengthen GoC efforts to adopt biodiversity-friendly approaches in recovery and reconstruction efforts by improving coordination and conducting assessment missions. UNDP is also partnering with the State Council Leading Group Office of Poverty Alleviation and Development as well as other central and local partners to develop a long-term strategy for assisting GoC in early recovery and disaster risk management. In the process, partnerships between the Ministry of Environmental Protection, CSOs and academia in earthquake disaster planning, relief and reconstruction are being established with increased effectiveness and transparency. Within the overall framework of the UN China Appeal for the Sichuan earthquake of 12 May 2008, UNDP has joined hands with international funding agencies and other partners in programming and delivering targeted early recovery support to women, elderly, people with disabilities, as well as other most vulnerable groups affected by the earthquake. Through UNDP efforts, the governments of Canada, Japan, Norway, and Saudi Arabia and the Hong Kong Peace Development Foundation have pledged support to the initiative.



#### 4.4 RESPONSIVENESS

UNDP has made important changes to its portfolio of programme support to China. The last ADR for China completed in 2005 pointed out that UNDP support was thinly spread over a large number of scattered projects. As a result, even though individual projects were locally successful, national impact was negligible. Responding to this conclusion, the UNDP country office has managed to “shift support from a diverse conglomeration of projects to flagship programmes designed to inform and support policy making and human development outcomes.”<sup>7</sup> This is evidenced by the smaller number of projects approved in the ongoing programme cycle. This has resulted in more funds being available to each project. According to CICETE, the number of projects approved decreased from 58 projects in last country programme to 34 projects in the current country programme, and UNDP core funds for each of the projects have increased, on average, by 91 percent. The last ADR also called for more upstream activities to balance UNDP’s downstream projects. UNDP has made this shift as greater emphasis in the current country programme is placed on central level and macro policy interventions. During the past five years, UNDP has also contributed to upstream policy by generating several knowledge products such as the two national human development reports and the MDG report.<sup>8</sup>

The ADR addressed the issue of UNDP responsiveness by exploring two questions: Has UNDP been sufficiently responsive to the significant changes that have taken place in China during the period of the country programme; and are adequate mechanisms in place for UNDP to respond to China’s needs that may arise, especially during crises and emergencies?

The ADR found that UNDP was adequately responsive to changes in China’s development needs and priorities. As elaborated in Chapter 3, UNDP made strategic shifts in its programme of cooperation to match changing national priorities as articulated in the country’s five-year plans. This was most visible in the efforts of the ongoing country programme that corresponds closely to nine key objectives of the 11<sup>th</sup> Five-Year Plan.

Although core funds were limited and largely programmed, there were adequate mechanisms in place that enabled UNDP to respond promptly and effectively to important events in China. In the focus group discussions, stakeholders gave a very positive assessment of UNDP mechanisms to respond to key events. Two oft-cited cases were the UNDP response to the major earthquake in Sichuan and the 2008 Beijing Olympic Games.

**Sichuan Province earthquake:** UNDP was proactive in responding to the challenges arising out of the major earthquake that hit China’s Sichuan Province on 12 May 2008. By being flexible and accommodating, UNDP today supports a number of related initiatives. For instance, UNDP is partnering with the State Council Leading Group Office of Poverty Alleviation and Development as well as with other central and local partners to assist GoC in early recovery and disaster risk management. A two-year programme of USD 3.5 million has been launched to support integrated rural recovery planning and community-based livelihoods, as well as environmental and psycho-social rehabilitation in selected poorest villages affected by the earthquake. UNDP has also worked with international funding agencies and other partners to support programming and delivery of targeted early-recovery assistance to most vulnerable groups affected by the earthquake.

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<sup>7</sup> UNDP, ‘Country Evaluation: Assessment of Development Results China’, Evaluation Office, 2005.

<sup>8</sup> UNDP China and the China Institute for Reform and Development, ‘Access for All: Basic Public Services for 1.3 Billion People’, Human Development Report China 2007/2008, 2008. Ministry of Foreign Affairs of the People’s Republic of China and United Nations System in China, ‘China’s Progress Towards the Millennium Development Goals’, joint publication, 2008. UNDP China and Renmin University of China, ‘China and a Sustainable Future: Towards a Low Carbon Economy & Society’, China Human Development Report 2009/2010, 2010.

**Beijing 2008 Olympic Games:** The GoC, UNDP and UN Volunteers made a joint effort to promote volunteerism through the 2008 Olympics Games. This initiative contributed to successfully enhancing the capacity of national volunteer partners to support the 2008 Beijing Olympic Games. It has also opened up opportunities for Olympic volunteers after the games to participate in China's development. Representatives at the Beijing Volunteer Association acknowledged the contribution

of UNDP, especially in terms of introducing international good practices in volunteerism. With support from UNDP, the Beijing Volunteer Association engaged high-level expertise to train a group of core Olympic volunteer leaders. They note that without support from UNDP, it would be difficult to have such high-quality training. Stakeholders also acknowledged the UNDP contribution in providing a common platform for mobilizing volunteers.



## CHAPTER 5

# CONTRIBUTION TO DEVELOPMENT RESULTS

This chapter assesses the development results achieved during the period under review (2006–2010) against the objectives of UNDP China’s country programme. The ADR team has focused

on the achievements in five programmatic areas of UNDP support. Eighteen projects in the various programmatic areas were identified for an in-depth study (Box 3).

### Box 3. Projects selected for in-depth study

#### Poverty reduction

1. Supporting the All Around *Xiaokang* Society (2005-2009)
2. Capacity Building to Support Pro-poor Fiscal Reform in China (2006-2010)
3. Alleviating Rural Poverty Through Innovative Technology Transfer (2006-2010)

#### Democratic governance

4. Umbrella Programme to Support Promotion of Rule of Law in China (2005-2008) including sub-project on Enhancing Legal Aid Service for Migrant Workers in China under rule of law umbrella (2007)
5. Governance for Equitable Development—Strengthening Rule of Law and Civil Society Participation in China (2007-2010)
6. Post Wenchun (Sichuan) Earthquake Early Recovery and Disaster Risk Management Programme
7. Olympic Volunteers (2007-2009)

#### Environment and energy

8. Barrier Removal for the Widespread Commercialization of Energy-efficient CFC-free Refrigerators in China
9. Wetlands Biodiversity and Sustainable Use in China
10. EU-China Biodiversity Programme
11. China End-use Energy Efficiency Project
12. MDG Carbon: Carbon Finance for Achieving Millennium Development Goals (MDGs) in China

#### HIV/AIDS

13. Addressing the Greater Involvement of People Living with HIV/AIDS and Furthering a Multi Sector Response to HIV/AIDS in China (GIPA II)
14. Positive Talks/Positive Speakers Project—Socio-economic Impact of HIV/AIDS at Individual and Household Level in China

#### Global partnerships

15. Solvent Sector Plan for ODS Phase Out in China
16. Support to Establishing the China-Africa Business Council
17. International Poverty Reduction Centre in China
18. Tumen River Area Development Programme, Phase III of The Greater Tumen Initiative

Stakeholders in group discussions were asked to rate the UNDP contribution to development results using the following four-point ranking scale:

- Very satisfactory
- Satisfactory
- Partially satisfactory
- Unsatisfactory

The sections that follow present the findings of the ADR team.

## 5.1 POVERTY REDUCTION

### 5.1.1 DEVELOPMENT CHALLENGES

China has recorded impressive advances in achieving human development during the past three decades. China's success in reducing income poverty is globally acknowledged. Though only a relatively small proportion of the population lives below the official income poverty line, these communities face several deprivations in their daily lives. Many lack the opportunities and the capabilities to improve their standards of living. They also tend to reside in ecologically fragile areas and in remote rural villages where the capacities and resources of local governments are limited. Moreover, the costs of reaching poor communities in remote and mountainous areas tend to be higher than in other regions with better infrastructure and access. Rural-to-urban migration poses additional challenges. On the one hand, the aged and female populations left behind in rural areas face conditions of increasing vulnerability. Livelihood options for them are few given the low levels of technical skills. On the other hand, those migrating to urban areas in search of employment find themselves deprived of access to basic social services including decent housing, health care and education for their children.

### 5.1.2 UNDP RESPONSE

UNDP and GoC have worked together on a number of initiatives and interventions that seek to reduce poverty and improve the living

conditions of poor communities. In particular, UNDP has contributed to developing policy options around poverty reduction by supporting policy analysis and research. Among the notable outputs are China's MDG progress reports (2003, 2005 and 2008) as well as the China human development reports. UNDP has consistently underscored the importance of gender mainstreaming in its projects and combined poverty reduction with environment protection in projects such as Green Poverty Alleviation in Poor Rural Areas. The project Supporting the All-round *Xiaokang* Society supports the Chinese government in integrating *Xiaokang* and MDG concepts into development planning at national and local levels. The project Advanced Leadership Development for the *Xiaokang* Society Phase II helps to build capacities at national and sub-national levels to formulate and implement sustainable human development policies and programmes. UNDP projects have also contributed towards linking fiscal reforms and poverty reduction. The project Capacity Building to Support Pro-poor Fiscal Reform in China seeks to widen the implementation of ongoing fiscal reforms and to enhance related capacities. UNDP attaches importance to capacity development and has launched projects to explore new models for providing financial and technical services to poverty-stricken populations. These include the Alleviating Rural Poverty through Innovative Technology Transfer Project and the Human Resource Capacity Development in the Northeast and Western Areas Project.

The CPD has allocated USD 123 million to this practice area. Of this, USD 23 million is from regular resources and USD 100 million from other resources.

### 5.1.3 EFFECTIVENESS

Two outcomes listed in the CPD relate to the area of poverty reduction:

- Outcome 1: *Xiaokang*/MDG concepts and indicators integrated into national and provincial development vision, policies and plans

- Outcome 2: National efforts to lead and manage *Xiaokang*/MDG implementation supported through a variety of instruments and capacity development initiatives<sup>9</sup>

The ADR team rates the effectiveness of UNDP poverty reduction initiatives as ‘satisfactory’. Major achievements highlighted by UNDP and GoC included the finalization of a national level all-round *Xiaokang* indicator system that has been tested and piloted in 15 provinces, initiation of policy dialogues, the commissioning of policy-oriented studies, and the piloting of local and community-based experiments with the potential for scaling up. In particular, stakeholders mentioned the positive contribution of UNDP to capacity development for achieving these two outcomes.

The following three projects were assessed in more detail in order to form a more informed view of UNDP contributions as well as the extent to which intended results of interventions have been achieved.

A flagship project in the area of poverty reduction and closely related to Outcome 1 is the UNDP project on Supporting the All-round *Xiaokang* Society. This project on developing *Xiaokang* indicators for China has achieved its stated objectives. By 2009, a national level of all-round *Xiaokang* indicator system had been finalized and tested in 15 provinces. Provincial *Xiaokang* progress reports have been drafted for all the pilot provinces. Though the CPD initially listed only 6 provinces, the project was extended to cover 15 out of 32 provinces. The project has built a broad consensus among policy makers and stakeholders on the future direction and goals of the *Xiaokang* vision. The project has had a stronger influence at the provincial level than the central or national level. Chinese government officials and research scholars agree that important contributions by UNDP have been to integrate MDGs into China’s vision of a *Xiaokang* society

and communicate not only China’s vision to the international community but also the country’s achievements towards the realization of the vision. Policy recommendations from the project were well absorbed into decision-making processes, such as into the annual Central Economic Work Conferences in 2008 and 2009. Hundreds of government officials were provided with capacity building opportunities directly in leading and managing *Xiaokang* progress. Several more officials, think tanks and CSOs benefited from the project by participating in the project studies, workshops and seminars.

The Capacity Building to Support Pro-poor Fiscal Reform in China Project seeks to: support the widened implementation of fiscal and taxation reforms currently carried out by the Chinese government; and address emerging policy development and other capacity needs in this area. Central emphasis is placed on capacity development for strengthening the links between fiscal reforms and poverty reduction. Although the project is still ongoing, it has made notable contributions to policy, revision of budget legislation and basic tax laws of China. Achievements highlighted by stakeholders point in particular to institutional and capacity development for the management and implementation of fiscal and taxation reforms, especially in the provinces of the western region of China. The project has contributed to strengthening dialogue between key stakeholders by establishing platforms for policy discussions and promoted wider participation of policy makers, academia and practitioners in pro-poor fiscal reforms.

Stakeholders pointed to the specific contributions of the Revised Draft of the Basic Tax Law of China Project. These were made possible because the Ministry of Finance and State Administration of Taxation, two agencies responsible for introducing fiscal and tax reforms in China, were also the project implementing agencies. The direct involvement of end users

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<sup>9</sup> See Annex 5 on the results and resources framework of the country programme for more information.

has ensured that the findings and results of the project feed into policy formulation. The two implementing agencies, the Ministry of Finance and State Administration of Taxation, point out that a significant contribution by UNDP has been to coordinate with and bring technical assistance from the International Monetary Fund. The GoC values both the advice offered by the International Monetary Fund experts as well as the exposure provided by the project to international experiences in fiscal and taxation reforms.

The Ministry of Science and Technology since 2002 piloted the National Technical Task Force (TTF) Initiative referred to as the Alleviating Rural Poverty through Innovative Technology Transfer Project in partnership with UNDP China. This project builds on the experience and lessons learned from a local innovation initiative introduced in Nanping Municipality of Fujian Province in 1998 for reducing rural poverty by increasing people's knowledge and building capacity for innovation. Box 4 describes and lists the main contributions and achievements of the TTF Initiative.

**Box 4. UNDP contribution in TTF: Feedback from stakeholders**

**Policy researchers:** According to senior policy researchers in the Ministry of Science and Technology who have been paying close attention to the project for many years, the TTF has grown to cover more than 45,000 people, distributed in 1,039 counties across 31 provinces of China. TTF provides direct technical services to more than 9 million farmers. Although widely praised as an institutional innovation, TTF has not evolved into a stable system or policy and its sustainability faces challenges. For example, if TTF are civil servants or work in national public institutions, can their income through providing technical service to farmers be regarded as legal? With support from UNDP, a sustainable development mechanism for the TTF Initiative should be explored.

**PMOs:** The UNDP brand extends the influence of TTF, which facilitates the mobilization of various resources and promotes the international exchanges of TTF. For example, a website for China TTF International Cooperation was launched in 2007. Compared with domestic projects, UNDP attaches importance to capacity

development of TTF and the training of this project is intensive and of high quality. The exploration of sustainable development mechanisms for TTF initiative is a highlight of this project.

**TTF practitioners:** In-person interviews were held with more than 10 TTF practitioners from Suihua, a pilot county in Heilongjiang Province. They said they voluntarily participated in the project after hearing the person in charge from the county PMO's introduction. They became the first group of TTF practitioners in their province. Before becoming TTF practitioners, most of them were doing agricultural technical extension service. Almost all stated that there were obvious differences between before and after becoming TTF practitioners, and explained the differences to the team using their own experiences. Although each had their own story, one point was similar. After becoming TTF practitioners, they had closer relations with the farmers they served. After two years, farmers' incomes have grown and the TTF has received corresponding

payment from farmers. They have all participated in the trainings held by the national or provincial PMO and they hope to participate in more. All of them were willing to continue to be TTF practitioners and were proud to be able to participate in the UNDP project. A field trip was also undertaken during the scoping mission to Ji County in Tianjin Province to see how UNDP attempts to support the government in testing and demonstrating novel approaches to empowering local farmers.

**Farmers receiving services:** In field visits, the evaluation team also interviewed farmers who received direct technical services from the TTF. The farmers grew rice, soybeans, potatoes and other vegetables and bred pigs and geese. They were all very satisfied with the technical service provided by TTF. With the exception of the potato farmer, whose crop suffered from bad weather, the income of the other farmers had increased during the past two years. All of the farmers knew that they were getting the support from UNDP.

(cont'd) ►

**Table 2.** continued

<b>Local officials in charge of TTF:</b>	the work quality of local TTF.	currently there is no policy about
Local officials said that even without UNDP, TTF activities would still be carried out. The UNDP project helped set up a project office intended to help manage the project and improve	The TTF has been promoted in not only pilot counties but also other counties, and the local government has issued several preferential policies for TTF to good results. However, because	TTF at the national level, they have some concern about the stability and future development of TTF. <i>Source: Interviews and field visits.</i>

#### 5.1.4 EFFICIENCY

Stakeholders and project managers regard UNDP contributions in the area of poverty reduction to be ‘efficient’. More than 88 percent of respondents to the ADR questionnaire were ‘satisfied’ with UNDP efficiency in extending support in this area—higher than the rating that UNDP received for its overall efficiency. More than 50 percent rated UNDP to be more efficient than other international agencies.

At the same time, stakeholders pointed to several areas for improvement. As implementation often involves many government agencies, effective coordination has become a real challenge. For example, the project Capacity Building to Support Pro-poor Fiscal Reform in China is implemented by two of the busiest government agencies in China: the Ministry of Finance and State Administration of Taxation. The start of the project was delayed by six months as a result. It has proven difficult for the PMO to organize regular joint review meetings given the competing time commitments of senior officials. Work on some of the other projects has been delayed on account of engagements of government officials that understandably take precedence over UNDP projects such as the 2008 Olympic Games. Most stakeholders do not consider these delays to be serious. They are seen as being routine and unavoidable.

#### 5.1.5 SUSTAINABILITY

By and large, the development results achieved by most projects in the area of poverty reduction are sustainable. This is because UNDP interventions are owned by national stakeholders and so are likely to be continued even after UNDP support ends. For instance, stakeholders rate the project Capacity Building to Support Pro-poor

Fiscal Reform in China as highly sustainable given the strong ownership by the Chinese implementation agencies. Similarly, the sustainability of the project Alleviating Rural Poverty Through Innovative Technology Transfer is assured because most pilot provinces have incorporated TTF into their own work plans, thus the TTF can continue after the UNDP project comes to an end. Some provinces do plan to scale up the TTF Initiative based on lessons learned from the pilot phase of the TTF.

However, concerns about sustainability sometimes arise even after UNDP interventions have been accepted and scaled up. For instance, although there is evidence to support the sustainability of the TTF Initiative, some TTF practitioners and local officials pointed out that though local governments have issued several preferential policies for TTF, there is currently no national policy regarding TTF. This raises concerns about the future continuity of TTF. They also pointed to changes that would be needed in the personnel systems in the future that could affect the future engagement of some TTF practitioners. Similarly, in order to ensure the sustainability of the project Supporting the All-round *Xiaokang* Society through the 12<sup>th</sup> Five-Year Plan, the relation between the *Xiaokang* indicator system developed by this project and other relevant activities should also be considered. For example, in 2005 the National Bureau of Statistics (NBS) based on extensive consultations with government departments, issued an Indicators System for Building All-round *Xiaokang* Society (referred to as the NBS *Xiaokang* Indicators). National *Xiaokang* progress reports were issued nationwide in 2007 and 2009 based on these NBS *Xiaokang* Indicators. A number of local governments also



issued local *Xiaokang* progress reports using NBS *Xiaokang* Indicators, including some of the pilot provinces participating in this project. A better reconciliation of the two systems would be important to ensure compatibility and sustainability of the initiatives.

## 5.2 DEMOCRATIC GOVERNANCE

### 5.2.1 DEVELOPMENT CHALLENGES

China's rapid economic growth has led to a widening of disparities and inequalities and this in turn has drawn GoC's attention to the urgent need for improving governance. Governance reforms in China cover a broad spectrum of areas including the legislature, the executive, and the judiciary, as well as the operations of CSOs and the private sector. The 11<sup>th</sup> Five-Year Plan accords special importance to administrative institutional reforms and recognizes the importance of reducing administrative hierarchies.

Legal reforms became a government priority starting in the late 1990s. In March 1999, the concept of the rule of law was formally incorporated into the State Constitution. With the emphasis on more people-centred development and the goal of establishing a harmonious society, the GoC recognizes the significance of increased popular participation in governance processes, improved accountability and transparency in the management of public affairs, and enhancing rule of law to promote social, legal and judicial equity.

GoC has initiated important reforms of the public sector to improve the performance of civil services, institutionalize management and accountability structures, and improve the provision of services to the public. Incremental improvements have been achieved in recent years, but more comprehensive changes to the systems and structures of the public sector are needed. Key challenges are to increase efficiency, accountability and transparency, and to improve administrative mechanisms and the quality of public administration.

### 5.2.2 UNDP RESPONSE

The ongoing UNDP country programme, linked to the priorities of the 11<sup>th</sup> Five-Year Plan, assigns a high priority to rule of law to protect human rights of all, especially of the poor and disadvantaged groups, and to promote an enabling environment for civil society participation in the development of a *Xiaokang* society.

Insufficient and unequal access to justice limits the effectiveness of poverty reduction and democratic governance. Working with key national partners, UNDP projects such as the Umbrella Programme to Support Promotion of Rule of Law in China Project and the Governance for Equitable Development Project address critical areas of legal reforms and seek to further enhance national capacity to develop the rule of law and promote access to justice in line with international standards.

UNDP recognizes the crucial role of civil society and people's participation in connecting governance reform to the needs of people. Accordingly, UNDP partners with government to expand engagement with CSOs. This is critical to the attainment of the *Xiaokang* and the MDGs as well as for reducing human poverty and deprivations. For instance, the Governance for Equitable Development Project provides consultation on relevant laws and regulations for CSO registration. The Olympic Volunteers Project seeks to increase participation of civil society and strengthen CSO capacities to more effectively participate in the development of a *Xiaokang* society.

The CPD allocates USD 30 million to democratic governance of which USD 8 million is from regular resources and USD 22 million from other resources.

### 5.2.3 EFFECTIVENESS

Three outcomes listed in the CPD relate to the area of democratic governance:

- Outcome 3: Enabling environment for civil society participation and its effective engagement in *Xiaokang* priority issues supported



- Outcome 4: Rule of law strengthened to protect human rights of all, especially the poor and the disadvantaged groups
- Outcome 5: Capacities to pursue gender-equality efforts enhanced through advocacy, gender sensitive analysis and implementation<sup>10</sup>

UNDP contribution to achievements in the area of democratic governance has been considerable. Chinese stakeholders gave ‘very positive’ responses and identified several important contributions made by UNDP projects in capacity development, policy research and advocacy. For example, UNDP-supported projects have strengthened the rule of law to protect the human rights of all, especially poor and disadvantaged groups. UNDP has supported the NPC in studying local pilot experiences and international practices in public hearing procedures. Findings from this project have contributed to improvements in procedures for enhancing public participation in law making. A governance assessment framework for China has been developed, highlighting CSO development and participation for good governance. The framework, widely disseminated to all levels of government as well as to NGOs, academia and media has stimulated discussions among the different stakeholders on measuring governance effectiveness in China. UNDP has been instrumental in encouraging GoC to set up the China CSO Development Forum to further promote direct dialogue among CSOs and between the government and the CSOs.

However, in-depth interviews with stakeholders raised a number of questions linked to the effectiveness of UNDP projects. What is the specific nature of the UNDP contribution, especially in the area of capacity development? What are some of the lessons learned from good practices? Is there hard evidence to show the linkage of UNDP interventions to specific changes in governance? Clearly, answers to these questions are

not easy to elicit as the projects are usually closely related to the work of GoC and implemented by government. To that extent, attribution of achievements to UNDP becomes difficult.

The ADR team undertook an in-depth assessment of two projects in order to gain specific insights into UNDP contributions, the achievement of intended results and value added by UNDP.

The Umbrella Programme to Support Promotion of Rule of Law in China serves as an umbrella for cooperation between GoC and UNDP in prioritized areas of legal reforms in China. The main objectives are to support China’s efforts to reform the current legal system and to further enhance the capacity of the country to develop the rule of law and accessible justice in line with international standards. Sub-projects under the umbrella include: establishing and strengthening China’s Central Agency for International Judicial Assistance relating to criminal cases; extending legal aid services for migrant workers in China; piloting a legal aid duty lawyer system; and supporting empirical studies to enhance the first instance procedures for death penalty cases.

An important outcome from the implementation of the above sub-projects was the improvement in the overall capacity of the participating authorities. For example, the national training programme aimed at practitioners from courts as well as from legal and judicial departments conducted in January 2008 contributed to enhancing the knowledge base of more than 50 participating officials from the Supreme Court, the Supreme Procuratorate and the Ministry of Justice. A book titled *Procedures of Crime Act 2002* was published in February 2008 to strengthen the legal knowledge of the Chinese authorities and facilitate the judicial assistance cooperation between Australia and China. A Forum on International Judicial Cooperation in Smuggling Cases, held in May 2008, benefited officials from the Department of Customs. Participants

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<sup>10</sup> See Annex 5 on the results and resources framework of the country programme for more information.

also gained from international study tours to the United Kingdom, Spain and Portugal organized by the Ministry of Justice in 2008.

The sub-project Enhance Legal Aid for Migrant Workers in China deserves special mention. The project was successfully implemented and expected results have been attained. More importantly, its implementation model and experience can provide useful lessons for future UNDP projects. Unlike many other projects, this project follows a bottom-up approach. Before the project began, GoC had already initiated measures to provide professional and free legal aid to migrant workers in places such as Beijing. After observing the operations of the Beijing legal aid working station for migrant workers, UNDP launched the sub-project in partnership with the All-China Lawyers' Association to scale up the successful working model in Beijing and explore alternative non-governmental approaches and resources to institutionalize legal aid to migrant workers.

Stakeholders recognize and appreciate UNDP's critical role and value addition in this area of democratic governance. Successfully implemented sub-projects have recorded many achievements. For instance, 15 legal aid working stations for migrant workers have been established benefiting hundreds of thousands of migrant workers. A national network focused on legal aid for migrant workers has been established for the first time in China. Migrant workers' capacities to claim and protect their rights have improved, directly benefiting at least 70,000 trained migrant workers. The project has enhanced their awareness of labour rights and their capacity to defend their rights. Policy changes have been advocated. For example, policy recommendations from the project have been submitted for deliberation and adoption to the Ministry of Justice. Public awareness on the rights of migrant workers has been raised. The findings of the project have been reported extensively in national and international media, such as CCTV, *People's Daily*, *Xinhua News* and international press such as Reuters. The Department of Justice of Henan Province decided to extend the mechanism to cover the whole province.

UNDP expertise in human rights of disadvantaged groups has helped the All-China Lawyers' Association with developing new approaches to address migrant workers issues. UNDP support has helped to mainstream non-governmental approaches to legal aid for migrant workers. Financial support from the project has played a critical role in catalyzing and mobilizing additional resources from government and non-government sources in China. Officials working in the legal aid stations were keen on continued support from UNDP as this would further strengthen and protect rights of migrant workers in China.

The project titled Governance for Equitable Development—Strengthening Rule of Law and Civil Society Participation in China has three key national government partners: the Legal Affairs Commission of NPC, the SPC and the Ministry of Civil Affairs. Its objectives are to support the process for improving governance by encouraging more transparency and accountability, and strengthening the emerging institutions of the judiciary, the NPC and civil society. Special attention is paid to urban-rural balances, gender issues and vulnerable groups. The outcomes recorded by the project include noticeable improvements in law and policy-making systems. Outputs from research on local pilot experiences and international practices in public hearing procedures have strengthened opinion solicitation processes. They have also fed into improving procedures to enhance public participation in law making. Research reports have been disseminated internally within the Legal Affairs Commission of NPC. Access to justice has increased. Capacity development of the SPC and local courts to deliver fair and transparent justice has taken place through study tours, workshops and research projects. The SPC has supported piloting of state compensation for victims of crime in Qingdao City of Shandong Province. New regulations on procedures for compensation have been developed based on pilot experiences to enhance fair treatment to victims of crimes. Civil society involvement has broadened. The China CSO Development Forum has been set up with UNDP support. A

website for CSO-government communication has been established; it operates to disseminate policies and enhance CSO participation in policy dialogue and policy-making processes.

Officials from the project implementation agencies—NPC, SPC and the Ministry of Civil Affairs—who participated in the focus group meetings are ‘very satisfied’ with UNDP. Compared with other international institutions, they find that UNDP is better at contextualizing projects to local needs. Moreover, they express their willingness to continue cooperation if there is a suitable project. UNDP has also advocated for and paid special attention to issues of grass-roots institutions, women’s representation and the western region. Officials from SPC unanimously agree that the UNDP contribution is most significant in the area of capacity development. Officials from the Ministry of Civil Affairs point out that UNDP has had a significant influence on China in terms of creating an enabling environment for CSOs. Inputs from the project relating to preferential income tax treatment for CSOs have been adopted by GoC.

#### 5.2.4 EFFICIENCY

A majority of respondents to the questionnaire expressed satisfaction with UNDP efficiency. Though projects in this area were relatively small in terms of financial commitments, they have produced significant results.

The ADR team was particularly impressed with the high levels of efficiency in the implementation of the one-year project Enhancing Legal Aid Service for Migrant Workers that started in April 2007. At the end of the 12-month project cycle, all planned activities were successfully implemented by the All China Lawyers’ Association (the implementing partner of this project) and expected project results were realized. The involvement of CSOs helped extend the use and reach of the project’s limited resources.

However, delays were reported in some projects. The Governance for Equitable Development Project, co-funded by the European Commission

and UNDP, has as its partners three key national government agencies as well as CSOs. Given that all the stakeholders were relatively new to the project, there were substantial delays in implementation during the first year. It was also found that sometimes funds were released and available to the project but their use was delayed due to insufficient coordination among the different stakeholders.

#### 5.2.5 SUSTAINABILITY

Commenting on the sustainability of projects is difficult and premature given that a majority of the projects in this area are still being implemented. Only two projects were completed by 2008. Broadly speaking, however, UNDP projects are likely to enjoy a high degree of sustainability. In the area of governance, political support matters for sustainability. To the extent that the projects are nationally or government owned, they enjoy political support and therefore the results are likely to be accepted. Such ownership is vital, especially for mainstreaming project results in the decision making of government or day-to-day work of partner agencies. For example, the implementing agencies of the Governance for Equitable Development Project (NPC, SPC and the Ministry of Civil Affairs) are the major users of project achievements. They decide on the application of project findings and the scope and timing of application. As a result, UNDP interventions feed directly into ongoing efforts of the agencies and, to that extent, the projects can assume a life of their own even after UNDP support ceases.

However, there was only one instance where conscious effort was made to imbed concerns of sustainability into the project design itself. Sustainability concerns were built into the project design stage in the Olympic Volunteers Project. An important objective of the project is to find ways of enhancing China’s social and economic development through volunteerism after the Olympic Games. A visit by the ADR team to the PMO team made up of UN Volunteers based at the Beijing Volunteers Federation confirmed that the project has contributed to the identification of new mechanisms for transferring the legacy of the

Olympic Games volunteer spirit. For example, these national UN Volunteers were mobilized to participate in the relief work after the Sichuan earthquake. They have also been working with the Beijing Youth League and environmental organizations in order to incorporate volunteerism into school curriculum for young people

**Box 5. Olympic Volunteer Project: Sustainability incorporated into project design**

The Olympic Volunteer Project aims to strengthen and promote national volunteerism through the 2008 Olympic and Para-Olympic Games and to demonstrate volunteerism as a resource for development in partnership with UN Volunteers. The project has three core components based on initiatives before, during and after the games:

- Pre-games training of Olympic Volunteer leaders, managers and trainers
- Enhancing environmental consciousness and support of the 'Green Olympics' concept
- Post-games campaigns and activities to contribute to China's social and economic development through volunteerism

For the post-games activities component, the project document lists planned activities to provide future opportunities for Olympic Volunteers to continue their volunteer service. Two initiatives underway are:

- Volunteering in centrally coordinated development projects in Beijing and other regions and through special projects focused on awareness creation; the project will further identify opportunities for Olympic Volunteers to serve in carefully selected UNDP supported projects in China
- Volunteering with local volunteers involving organizations in selected areas in China to build capacity and promote citizen involvement in volunteerism

*Source: Olympic Volunteer Project Document.*

## 5.3 ENVIRONMENT AND ENERGY

### 5.3.1 DEVELOPMENT CHALLENGES

China faces many complex environmental challenges arising from rapid economic expansion, rising per capita incomes, growing energy

needs, limited high-quality energy resources and environmental pollution. China's primary energy consumption grew by 62 percent between 2000 and 2005 largely because of its capital-intensive, industry-led growth. China's 11<sup>th</sup> Five-Year Plan has set ambitious goals of reducing by 2010 energy use intensity by 20 percent per unit of gross domestic product from 2005 levels and increasing by 2020 the share of renewable energy in China's energy mix to 15 percent.

China faces several problems relating to land degradation, grassland destruction, soil erosion and water pollution—all of which threaten both China's agricultural potential and its significant biodiversity. At the same time, there is poor public awareness on the values of biodiversity and ecosystems, particularly amongst local people and the private sector. Efforts to embed biodiversity conservation into the range of government programmes have been inadequate. There is often a lack of coherence and coordination between sectoral laws in different sectors. Conservation policies have not been regularly updated. The situation is further complicated by a growing disconnect between national policy and local implementation.

### 5.3.2 UNDP RESPONSE

UNDP responses fall into two broad categories: energy efficiency and biodiversity conservation.

**Energy efficiency:** UNDP projects have supported improvement of end-use energy efficiency in manufacturing industries and buildings, and enhanced application of new and renewable technologies. Advocacy and policy initiatives have accelerated the achievement of national renewable and new energy targets for 2010 and 2020. UNDP China has allocated USD 43 million to energy efficiency—of which USD 1 million comes from regular resources and the rest largely from GEF funds.

The ongoing country programme lists 10 projects related to energy efficiency. Some have been completed; others are still ongoing. Interventions supported include capacity development;



development, application and commercialization of new and renewable energy technologies; development of energy efficiency standards, guidelines and labels; and improving public awareness. For instance, the project Capacity Development for Rapid Commercialization of Renewable Energy in China aims to promote the widespread adoption of renewable energy technologies in China by removing barriers to increased market penetration of the technologies. It seeks to strengthen the capacity of China to shift from supply-oriented technology deployment to demand-driven, investor and consumer-friendly approaches. The project Barrier Removal for the Widespread Commercialization of Energy-efficient CFC-free Refrigerators promotes the widespread commercialization of energy-efficient refrigerators by removing technical, market, commercial, information and other barriers to increased market penetration of the technologies and products. Another project, Energy Conservation and GHG Emissions Reduction in Chinese TVEs Phase II, seeks to reduce the potential adverse social, environmental and economic consequences of global climate change by reducing GHG emissions from TVE-based production and use of building materials, coke and metal-casts. The China End-use Energy Efficiency Project is designed to support the first phase of a four-phase, 12-year strategic plan developed by GoC to significantly improve the efficiency of its major end-use sectors, buildings and industry. The project fosters a strategic approach to developing, implementing and enforcing a comprehensive and effective energy conservation policy and regulatory system consistent with the objectives of the 1998 Energy Conservation Law.

**Biodiversity conservation:** UNDP continues to support the mainstreaming of biodiversity conservation concerns and actions into the socio-economic sectors and the development vision. The ongoing country programme has allocated USD 53 million to biodiversity

conservation—with USD 2 million from regular resources and the remaining coming from GEF.

Illustrative projects supported by UNDP China in the field of biodiversity conservation include the project Wetlands Biodiversity and Sustainable Use in China, which aims to remove barriers at four sites with high global biodiversity importance and to establish a national coordination mechanism to ensure that lessons learned from this project will be appropriately transferred to other wetlands in China. The China Biodiversity Partnership Framework Project seeks to foster a strategic partnership approach to develop the China Biodiversity Partnership Framework Full Project Proposal. This framework will build momentum around domestic and international partner programmes, leading to a shift in the national approach to biodiversity conservation and sustainable use, and to a fuller integration of biodiversity into development at all levels. The EU-China Biodiversity Programme is designed to establish replicable mechanisms for biodiversity management in China and to strengthen sound biodiversity management in all sectors.

### 5.3.3 EFFECTIVENESS

Two outcomes listed in the CPD relate to energy efficiency and biodiversity conservation:

- Outcome 6: End-use energy efficiency improved and applications of new and renewable energy technologies enhanced
- Outcome 7: Conservation and sustainable use of biodiversity is more effective<sup>11</sup>

Stakeholders pointed out that the design of projects in this area is guided by GEF criteria, and these kinds of projects have some distinct advantages.

First, in energy efficiency, UNDP has helped find market-linked and market-based solutions to improving energy efficiency. To this end, it has actively sought the participation of private

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<sup>11</sup> See Annex 5 on the results and resources framework of the country programme for more information.

enterprises in the energy efficiency projects. This approach has been used in making refrigerators, bricks and cement; metal casting; coking; and so forth, which has not only effectively mobilized additional capital for energy efficiency and renewable technology projects, but also ensured the sustainability of projects after their closure.

Second, capacity development is another important advantage of UNDP projects. This has contributed positively to various Chinese stakeholders ranging from governmental officials to the public. Almost 70 percent of the respondents of the ADR questionnaire rated the contribution of UNDP projects to enhance capacity of Chinese partners as 'high' or 'very high'.

Third, UNDP has consciously advocated public participation. In the refrigerator project, for instance, consumer education was carried out to encourage consumers to buy energy-efficient products. In biodiversity conservation projects, the public has actively participated in the conservation and management of protected areas.

### **Energy efficiency**

Most of the stakeholders and participants in the focus group meetings rated as 'highly satisfactory' the effectiveness of UNDP-supported energy projects. Internal assessments indicated that planned outputs stated in the CPD have been delivered and, to that extent, Outcome 6 has been realized and contributions noted.

Stakeholders identified several achievements of UNDP-supported initiatives in the area of energy efficiency. Energy conservation agreement implementation (benchmarking) has been carried out in three energy consuming industries: cement, iron and steel, and chemicals. Four energy saving benchmarking guidelines were developed covering these sectors. Ten pilot enterprises were selected for implementing the energy conservation agreement and the benchmarking guidelines, among which four are from cement, three from iron and steel, and three are from the chemicals sector. Capacity development to strengthen information dissemination

capacity and overall service capacity on energy conservation has been carried out in nine local energy conservation centres that provide energy conservation services to local governments and enterprises. Twelve provincial Clean Development Mechanism Service Centres have been built in central and western China.

In addition, UNDP interventions have supported development, publication and dissemination of regulations, codes, guidelines, standards and labels for energy efficiency and conservation in some energy consuming industries. For example, the Design Code on Energy Conservation of Cement Plant developed by the China End-use Energy Efficiency Project came into force on 1 May 2008. Through the TVE II Project, the energy-saving tri-arch Hoffman kiln technology was successfully adopted by the pilot enterprises, which promoted the publication of *National Standard of Brick Firing Kiln*. The China Energy Efficient CFC-free Refrigerator Project has designed the first energy efficient label for refrigeration projects in China, which has been used by the entire refrigerator industry and is being adopted by other appliance industries.

Other important contributions by UNDP to energy efficiency include the commercialization and promotion of new and renewable energy technologies in industries such as refrigeration building, cement, brick making, metal casting, coking, electrification and water supply. UNDP has also effectively brokered the mobilizing of capital resources for energy efficiency and renewable energy projects. The commercialization and promotion of these technologies has contributed significantly to energy savings and reduced GHG emissions. CO<sub>2</sub> emissions have been reduced or are expected to come down in specified industries. Documents indicate that the TVE II Pilot Project has achieved GHG savings of approximately 193,192 tonnes of CO<sub>2</sub> per year compared to the project's target of 85,000 tonnes of CO<sub>2</sub> per year. In the China End-use Energy Efficiency Project, so far 13.9 million tonnes of carbon emissions have been saved and 34.8 million tonnes of CO<sub>2</sub> has been reduced. The China



Energy Efficient CFC-free Refrigerator Project will result in 42 million tonnes of CO<sub>2</sub> emission reduction by 2010, and assuming the normal life time of refrigerators as 15 years, there will be approximately 630 million tonnes of CO<sub>2</sub> emission reduction between 2010 and 2015.

Successful implementation of projects in the area of energy efficiency requires inherent cooperation and coordination of resources towards common goals and objectives. This is particularly noticeable in projects concerned with climate change issues. It also calls for strong commitment and ownership by all stakeholders. UNDP-supported projects have developed and established systems that improve coordination, working relationships, and performance among

partners and government agencies. They have encouraged public-private cooperation and better partnerships with international funding agencies at the project and programme levels as well as at the national level. The effective use of media has increased public awareness as well as awareness within government and the private sector.

A review of the Renewable Energy, Energy Efficiency and Clean Development Mechanism projects shows that they have contributed in many ways to sustainable development in the industrial sector, remote villages, TVEs, transportation, and residential and commercial sectors by producing outcomes that often exceed project expectations. Some projects were also found to have catalytic effects in improving energy efficiency (Box 6).

#### **Box 6. The catalytic role of the TVE II Project**

Several GEF/UNDP projects have played a catalytic role in the energy and environment sector as a result of which many private enterprises have become involved, effective replication and scaling-up has occurred, and project results have far exceeded expectations.

For example, the project on Energy Conservation and GHG Emissions Reduction in Chinese Township and Village Enterprises (TVEs) was designed to reduce GHG emissions in China from TVEs in the four sub-sectors of brick-making, metal casting, coking and cement. This was to be achieved by increasing the use of energy efficient technologies and products, while at same time, removing key market, policy, technological and financial barriers affecting production, marketing and use of energy efficient technologies and products in these industries. A detailed case study revealed the catalytic nature of this project.

Under the project, 8 pilot and 118 replication enterprises have been established and CO<sub>2</sub> emissions fell by 2.2 million tonnes per year—far exceeding the target of 1 million tonnes per year. An impressive fallout has been the emergence of a large number of self-motivated independent enterprises that adopted the new processes. Awareness among entrepreneurs was improved through project activities such as training and on-site visits. Recognizing the potential for energy saving, they actively replicated the energy efficient technologies even without project funding support. According to the PMOs, there were at least 500 self-replication enterprises at the end of the project in the four sectors—accounting for approximately 30 million tonnes of lifetime CO<sub>2</sub> savings accompanied by increased investments. Replication has also spread to Bangladesh, India, Pakistan, the United States and other countries.

Enterprises that applied the energy efficient technology are not the only the beneficiaries. The case study revealed that local governments, research institutes, equipment manufacturers and even banks benefited from the project. This project helped them discover the market for energy saving, changed their behaviour and triggered many favourable actions. For example, the Tianjin Cement Design Institute that designed cement waste heat recovery equipment for a pilot enterprise completed 158 replication cases nationwide in China. The project levered co-financing of USD 46.76 million (not including the self replication investment)—five times more than originally planned.

The case study also found that strong support from central and local government made for large contributions to the catalytic effect. Also, technologies developed by GEF/UNDP projects are practical, profitable and easy to adopt and disseminate. Furthermore, effective awareness promotion and capacity strengthening by the project encouraged and enabled more people to join in energy conservation.

*Source: NCSTE, 'Evaluation of the GEF Catalytic Role: Case Study of Energy Conservation and GHG Emission Reduction in Chinese Township and Village Enterprises', 19 June 2009.*

**Box 7. China Energy Efficient CFC-free Refrigerator Project: Large-scale impact on the refrigerator industry**

This project sought to reduce CO<sub>2</sub> and other GHG emissions in China by removing barriers through the large scale commercialization of energy efficient refrigerators in China. The project was formally launched in December 1999 and completed in December 2006.

The project adopted a coordinated and multi-faceted approach to permanently transform the refrigerator market, including technology push and market pull backed by raising consumer awareness. The final evaluation report shows that the average refrigerator energy efficiency was improved from 0.794 in 1999 to 0.566 in 2005—a gain of 28.7 percent, three times more than the targeted average gain. More than 70 percent of refrigerators in the market are energy efficiency products (Grade 1 and 2).

It is estimated that the project will result in 42 million tonnes of CO<sub>2</sub> emission reduction by 2010, and counting the lifetime of refrigerators (normally 15 years), there will be a reduction of almost 630 million tonnes of CO<sub>2</sub> emission from 2010 to 2015.

The project also significantly raised public awareness about energy saving and energy efficient refrigerators through a series of activities including public relations, consumer education, retailer education, incentive programmes and media plans. The market barriers for wide commercialization of energy efficient refrigerators have been removed. Moreover, the project designed the first energy efficient label for refrigeration products in China.

*Source: Interviews and Project Final Evaluation Report.*

**Biodiversity conservation**

UNDP supported projects have contributed to creating a positively enabling environment for biodiversity conservation. Biodiversity programming and implementation of ongoing projects have focused on policy and legal reform, partnerships, engagement of civil society participation, financing mechanisms, institutional strengthening and public awareness about biodiversity. Only one project relating to biodiversity conservation has been completed; the rest are still

ongoing. However, most interviewees and participants in the focus groups felt that the objectives of the projects were being met. To that extent, the effectiveness of the biodiversity conservation programme components is regarded as being satisfactory.

Several outputs of the biodiversity conservation projects are worth noting. For instance, the project Wetland Biodiversity and Sustainable Use in China has evaluated 17 relevant national laws in terms of wetlands conservation. The EU-China Biodiversity Programme has supported a team of national experts to undertake analysis of key issues affecting biodiversity in China and contributed to the new National Biodiversity Strategy and Action Plan. The China Biodiversity Partnership Framework (2007-2017) has been formulated to conceptually guide the actions and investments of partners as well as to promote meaningful monitoring of biodiversity conservation in China. Inter-agency biodiversity coordination mechanisms have been created in some provinces, municipalities and counties. Under the Wetland Biodiversity and Sustainable Use in China Project, Heilongjiang Province has established a Project Contact Group to coordinate issues related to wetland conservation, administration and utilization.

Mainstreaming biodiversity conservation in production landscape and seascapes has been successfully piloted in Sanjiang through wetland-friendly agricultural practices and demonstrated through inter-provincial joint management of fishery resources between Fujian and Guangdong Provinces in Southeastern China. A zoning scheme and joint fisheries administration mechanism has been created for the coastal waters of this important region, helping to conserve significant coastal biodiversity resources.

Adopting a market-based approach has successfully promoted the use of a 'mangrove brand' for the marketing of duck eggs and honey produced in mangrove areas. The creation of this brand for mangrove-sourced certified products is critical for conservation of coastal mangrove

areas. Planning, monitoring, partnership and financing capacity have been developed in 17 key freshwater, grassland, peatland, coastal and marine protected areas. UNDP interventions have helped create two protected areas (223,500 hectares) and inclusion of a protected area on Ramsar List, which provides critical habitats for global populations of Lesser White-Fronted Goose, Black Stork, Oriental White Stork, Red-Crowned Crane and Black-Necked Crane.

Various awareness raising activities, including Wetland Day, the Biodiversity and Climate Change Conference, and World Ocean Week, have helped to influence public opinion about the state and importance of biodiversity. Partnerships between the Ministry of Environmental Protection, CSOs and academia in earthquake disaster planning, relief and reconstruction have been established to increase effectiveness and transparency. In addition, through liaison with the UN Theme Group on Environment and Climate Change, experience sharing and policy updates on biodiversity and its linkages with climate change have been well received by a wide range of stakeholders, including UN organizations, line ministries and academia.

Though no systematic evaluation of Outcome 7 is available, UNDP projects have supported and promoted legislation and decision making about biodiversity conservation. Capacity development activities under the projects have benefited officials at different levels in charge of biodiversity conservation. Biodiversity conservation is beginning to get mainstreamed in the work of some related governmental departments. Advocacy, promotion and education activities have increased public awareness on biodiversity conservation.

#### **5.3.4 EFFICIENCY**

Stakeholders rated the efficiency of the energy and environment programme as being 'moderately satisfactory'. They pointed out that UNDP had been able to mobilize sufficient funds through the GEF, Montreal Protocol and the private sector. Chinese PMOs also stated that

financial resources have been efficiently used. Fifteen of the 23 stakeholders responding to the ADR questionnaire rated UNDP efficiency in extending support to projects as 'good' or 'very good'. Compared to other international agencies, 14 out of 19 respondents considered UNDP to be as efficient as others. Only four respondents considered UNDP to be more efficient than others.

However a closer examination reveals considerable inefficiencies in project implementation. Four out of the five completed projects in this practice area were not completed on time. Delays ranged from 24 months to 56 months, the average being 39 months. Ongoing projects have had to seek time extensions. For example, the EU-China Biodiversity Programme launched in June 2006 was expected to end in March 2010. However in May 2009, the PMO applied to the European Union to extend the project implementation cycle by 18 months. This has, in turn, delayed 18 field projects under this programme.

Several factors affect the timeliness of implementation. First, Chinese stakeholders point to the complicated and inefficient procedures of UNDP, especially financial disbursements that delay release of funds. A concern is that almost all projects—with few exceptions—end up having large outstanding (unrealized) balances from the amount advanced quarterly. Another concern relates to the quality and content of work plans against which funds are meant to be advanced. Even in a case of ideal procedures (without the noted inefficiencies), quality of programme management (including work planning, monitoring, reporting and accounting) remains a challenge.

Second, deficiencies in project design have contributed to delays. Some stakeholders pointed out that the design of certain projects was not suitable for the Chinese context, and adapting these standardized GEF-projects to China meant more time was required than originally planned. For instance, the mid-term evaluation of the project Wetland Biodiversity Conservation and Sustainable Use in China carried out between

October and December 2002 concluded that the original project design could not mobilize the participation of local sites and this adversely affected the achievement of the objectives. The project then made an adjustment, which meant a delay of 20 months.

Third, the priority assigned to major events in China such as the Sichuan earthquake and the Olympic Games meant that officials could not devote sufficient time to other projects and so activities could not be carried out on schedule. Finally, factors such as policy changes and insufficient understanding among Chinese partners as well as non-availability of shared funds have also contributed to project delays.

### **5.3.5 SUSTAINABILITY**

The results and benefits generated by energy efficiency projects are sustainable. However it is too early to comment on the sustainability of biodiversity conservation projects, as most of them are still ongoing. Nonetheless, stakeholders regard the results and benefits generated by biodiversity conservation projects as sustainable.

Several factors contribute to the sustainability of projects in this practice area. First is the close alignment of the projects with national priorities and policies that ensures effective integration into China's agenda. Second, most of the projects are executed by ministries, and this enhances the ownership. Such projects are more likely to be supported with follow-up actions. For example, the wetland conservation and recovery in the four project sites of Sanjiang Plain, Yancheng coastal marshes, Ruoergai Marshes and East Dongting National Nature Reserve carried out under the project Wetland Biodiversity Conservation and Sustainable Use in China has been incorporated into the National Plan of Wetland Conservation Implementation Programme (2005-2010).

Third, through capacity development activities of projects, stakeholders at various levels understand and grasp knowledge, technologies and international experience on energy efficiency and

biodiversity conservation. This enables them to improve implementation and continue with the project even after UNDP support ends. Fourth, adoption of market-based approaches has helped with the continuation by Chinese partners, as participating enterprises have benefited from the commercialization of new and renewable technologies in terms of increased market share and reduced costs of production. For example, 12 provincial Clean Development Mechanism Service Centres supported by the Carbon Finance for Achieving MDG Project have the potential to become financially sustainable by providing Clean Development Mechanism service. Fifth, inter-agency coordination mechanisms built for biodiversity conservation have helped sustain activities even after project closure as decision-making structures in the government have become institutionalized over the life of the project.

However, insufficient funding from national and sectoral budgets would adversely affect the sustainability of some projects, particularly in biodiversity conservation. Many of these initiatives need large domestic follow-up funds for implementation. Unless these are made available by UNDP and GoC at national and provincial levels before completion of the project, future sustainability remains in doubt. This will need to be sufficiently considered at the project design stage.

## **5.4 RESPONDING TO HIV/AIDS**

### **5.4.1 DEVELOPMENT CHALLENGES**

China's national HIV prevalence remains low, although prevalence rates are high among specific sub-populations in certain regions, such as sex workers and men who have sex with men. The most frequent modes of HIV transmission are through sharing contaminated needles among injecting drug users and unsafe practices related to blood and blood plasma collection. GoC has taken several measures to prevent and control HIV/AIDS. Several provinces have developed their own action plans to respond to the local situation. The 2004 Joint Assessment of HIV/AIDS Prevention, Treatment and Care in China and the 2005 Update on the HIV/AIDS



Epidemic and Response in China highlight a number of challenges in effective AIDS prevention, treatment and care in China. China has adopted a National Medium and Long-term Plan for AIDS Prevention and Control (1998-2010) and a Plan of Action (2001-2005). However several issues still need to be addressed. These include the need for strong leadership and political commitment at all levels of government, legislative reform, better information exchange and utilization, improved surveillance systems, stronger advocacy and education interventions, strengthened monitoring and evaluation, and enhanced financial support.

Greater attention also needs to be paid to shame, fear, stigma and discrimination associated with AIDS, low awareness of HIV within the general population, high labour mobility, migration, sex work and rural poverty.

#### 5.4.2 UNDP RESPONSE

The CPD has allocated USD 12 million to HIV/AIDS—with USD 2 million coming from regular resources and the rest from other resources. The UN Joint Programme (UNJP) on AIDS in China (2007-2010) sets the overall framework for guiding the work of the UN system in support of the government's response to HIV/AIDS in China. It has three focus areas: an enabling environment and multisector response; increased awareness and intensified prevention intervention; and improved treatment, care and support of people living with or affected by HIV. During 2007-2008, UNJP carried out 118 activities in these three focus areas.

UNDP plays the role of the convening agency and it is also the lead agency for the first focus area—enabling environment and multisector response to HIV. UNDP supports six projects in this area. The project Community Based HIV/AIDS Care, Prevention and Poverty Reduction aims to successfully build a local

coordination mechanism model to mainstream HIV/AIDS-related prevention and care with poverty alleviation activities. The project Programme Acceleration Funds III: Support to HIV/AIDS Prevention and Care in Guangdong Province aims at reinforcing the treatment component of 'China CARES'<sup>12</sup> and improving networking through greater involvement of people living with HIV/AIDS. The We Are Friends Anti-Stigma Campaign advocates for the reduction of stigma associated with HIV/AIDS among the general public and helps increase public understanding of HIV and people living with the virus. The project on Strengthening an Enabling Legislative Environment to Respond to HIV/AIDS in China seeks to strengthen legislators' capacity at provincial levels to enhance a supportive legal environment, improve local level implementation and contribute to cross-sector coordination. GIPA II attempts to raise awareness among the general public and reduce discrimination at community levels by training and supporting a group of people living with HIV to serve as effective policy advocates and educators. The project on Mitigating the Negative Impacts of HIV/AIDS on Human Development seeks to strengthen the local government and community's capacity to respond to the epidemic, and to mitigate negative impacts on human development.

UNDP has primarily supported projects aimed at capacity development and strengthening leadership at various levels for the prevention and control of HIV/AIDS. Projects have further strengthened UNDP partnerships with the NPC, especially in HIV-related legislative studies. For instance, an updated book titled *HIV and Law* published with UNDP support identifies key challenges and recommendations for further harmonization of the national legislation. At the local level, the Provincial People's Congress of Anhui Province has been supported to draft provincial AIDS regulations.

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<sup>12</sup> Global Fund for AIDS, Tuberculosis and Malaria, 'China Comprehensive AIDS Response', China.

### 5.4.3 EFFECTIVENESS

Outcome 8 in the CPD relates to HIV/AIDS:

- Leadership skills and legislation prepared to respond to HIV/AIDS<sup>13</sup>

UNDP implemented 11 out of the 118 activities undertaken during 2007-2008 under the joint programme and contributed USD 130,000—a little more than 1 percent—to the total UNJP budget for 2007-2008 of USD 12,783,990.

Stakeholders were of the opinion that UNDP programme effectiveness in responding to HIV/AIDS is 'partially satisfactory'. Planned outputs stated in the CPD have not been totally delivered, and Outcome 8 has only been partially achieved. Relatively limited—and almost no core funds—were allocated to this area. UNDP China has approved and been implementing three projects—HIV and Governance, HIV and Human Development, and GIPA—with a total budget of USD 1,566,000 (of which USD 920,000 million is from UNDP regular resources).

UNDP projects have been effective in supporting training; information, education and communication; home and community care; and workshops and seminars. Key officials from different departments (including health, public security, education, family planning, civil affairs, poverty alleviation, planning commission, finance, radio and TV media) at central, provincial and city levels have attended training workshops or seminars organized by UNDP. These training workshops have helped to strengthen the leadership skills among officials at the national and provincial levels. Participants in the focus group meetings felt that UNDP has played an important role in improving the government's capacity for planning and coordination and in promoting the work of AIDS prevention and control in China. In addition, UNDP interventions have contributed to the preparation of regulations relating to AIDS prevention and control.

However, in some instances, project outputs have only been partially achieved. For instance, the project Strengthening an Enabling Legislative Environment to Respond to HIV/AIDS in China has generated recommendations for drafting provincial HIV/AIDS laws and for improving harmonization and implementation in Gansu, Qinghai, Zhejiang, Shandong, Hebei and Anhui. A review of the project in 2008 points out that the project provinces have not yet promulgated provincial HIV/AIDS laws or regulations and the mechanisms of government guiding, responsibility sharing of departments, and society participation have not yet been established.

UNDP projects, in some instances, have played the role of catalysts. For example, the country consultation process and the regional MSM (Men Having Sex with Men) Conference have helped promote dialogue between GoC and NGOs and led to the hosting of a national MSM (Men Having Sex with Men) Seminar on HIV/AIDS. The Positive Talk Project has contributed to the absorption of people living with HIV in various activities and strengthened their capability for public communication. The project also included training of 7,500 Olympic Volunteers. The Anti-stigma Project has been expanded to accommodate other emerging needs, such as a campaign on the rights of people with disabilities during the Para-Olympics. UNDP support has further contributed to strengthening grass-roots HIV/AIDS organizations and to establishing management structures for the registration as a local NGO.

### 5.4.4 EFFICIENCY

Efficiency in terms of timeliness of project implementation is moderately satisfactory. Of the six projects in this practice area, three have been completed on schedule. Two are expected to be delayed by one year.

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<sup>13</sup> See Annex 5 on the results and resources framework of the country programme for more information.



Stakeholders identified factors that affect the timeliness of implementation. First, the cumbersome financial procedures of UNDP often caused considerable delays in the release of funds. Second, the project cycle was relatively tight. Sufficient time was not often budgeted for communicating with partners and taking joint decisions. Third, efficiency in project implementation was affected by the limited capacities of project managers.

A mid-term assessment of UNJP on AIDS<sup>14</sup> reported that the implementation efficiency of UNJP projects was relatively lower compared with that of other UN organizations in China. Compared with an average of 84 percent of all UN projects being on or nearly on schedule, UNDP fared poorly with only 40 percent of its projects being on or nearly on schedule.

#### 5.4.5 SUSTAINABILITY

Generally speaking, UNDP has ensured sustainability of projects dealing with legislation on HIV/AIDS prevention and control. This is because GoC assigns a high priority to HIV/AIDS and is keen to promulgate effective laws and regulations that guarantee and support HIV/AIDS prevention.

Sustainability has not been given adequate attention in the selection and design of the activities supported by UN organizations in the current work plan. The above-mentioned assessment of the Joint Programme on AIDS in China reveals that sustaining prevention initiatives and gains remains a challenge. For instance, there has been little contact under a key project—GIPA II—with relevant government departments, and sustainable long-term cooperation with media

**Table 5. Comparison of project implementation timelines by organization**

Agency	Total activities	On schedule > 80%	Near schedule 50-80%	Behind schedule 30-50%	Not implemented > 30%
UNDP	5	1	1	2	1
UNICEF	5	3	1	1	-
WHO	5	5	-	-	-
UNAIDS	6	4	2	-	-
UNFPA	3	1	2	-	-
UNESCO	3	1	2	-	-
ILO	1	-	1	-	-
World Bank	1	-	-	-	1
UNIFEM	2	1	1		
<b>Total</b>	<b>31</b>	<b>16</b>	<b>10</b>	<b>3</b>	<b>2</b>

Note: The activities belong to Area 1: Enabling Environment and Multisector Response to HIV. UNDP indicates United Nations Development Programme; UNICEF, United Nations Children's Fund; WHO, World Health Organization; UNAIDS, Joint United Nations Programme on HIV/AIDS; UNFPA, United Nations Population Fund; UNESCO, United Nations Educational, Scientific and Cultural Organization; ILO, International Labour Organization; and UNIFEM, United Nations Development Fund for Women.

Source: UNAIDS, 'Mid-term Assessment of the UNJP on AIDS in China 2007-2010', Final Report, January 2009.

<sup>14</sup> UNAIDS, 'Mid-term Assessment of the UN Joint Programme on AIDS in China 2007-2010', final report, China Office, January 2009.

has not been established. Participants in the focus group felt that UNDP interventions were often costly and not easy to replicate. Also, many community-based practices were unsustainable unless more support was forthcoming from the partners.

## **5.5 GLOBAL PARTNERSHIPS**

### **5.5.1 DEVELOPMENT CHALLENGES**

This section focuses on two areas of engagement between GoC and UNDP: implementation of international environmental conventions and South-South cooperation.

#### **International environmental conventions**

In 1991, China ratified the Montreal Protocol on substances that deplete the ozone layer (London Amendment). China has set out a time schedule to eliminate the consumption and production of chlorofluorocarbons (CFCs) as well as other ODS including halons, carbon tetrachloride, methyl chloroform and methyl bromide. In 1997, ODS consumption in the solvent sector in China accounted for approximately 11,500 tonnes or 16 percent of the country's total level. Approximately 2,200 small consumer-enterprises account for 40 percent to 50 percent of the number of ODS-consuming enterprises.

In June 1992, GoC signed the UNFCCC, and subsequently ratified the convention, which obligates China to prepare the national communication to the Conference of Parties of the UNFCCC. In December 2004, China officially submitted its Initial National Communication to the 10<sup>th</sup> Session of the Conference of Parties. The Initial National Communication recognized the need for further capacity development efforts and identified areas that needed to be strengthened before the next national communication. These included: improvements to existing data systems; capability building for supporting national communications to better meet the requirements for the development of national GHG inventory; and strengthening of monitoring (including emission factors) capacities to better reflect China's national circumstances.

On 23 May 2001, China signed the Stockholm Convention on POPs. On 11 November 2004, the convention came into effect for China including Hong Kong Special Administrative Region and Macao Special Administrative Region. At that time, China faced several challenges relating to the reduction and elimination of POPs. One, the status of POPs was unclear and a monitoring and evaluation system was absent. Two, the time schedule for reduction and elimination of POPs was limited. The grace period of reduction and elimination of DDT was 5 to 10 years. The leakage and pollution spread of polychlorinated biphenyls was found at some storage sites. The number of new sources increased. The control on existing sources was inefficient. Three, the pollution of POPs was ulterior, persistent and difficult to detect. This made it more difficult to raise awareness and educate the public. Fourth, China had to deal with poor reduction and elimination technologies, lack of substitute techniques, insufficient finances, and the urgent demand for establishing normalized and coordinated management mechanisms.

#### **South-South cooperation**

China's rapid integration into the world economy presents an unprecedented opportunity to contribute to global development concerns and share experiences, especially in the area of poverty reduction and socio-economic development. However, the current level of dissemination of China's successful experience in international forums on poverty reduction remains low compared with the demand from other developing and transition countries. China is also becoming an important 'emerging' development aid provider. For example, China committed to support Africa's development at the Sino-Africa Beijing Summit and to assist after the Indian Ocean Tsunami (including through the United Nations and UNDP).

China is an active partner and player in the region. GoC is an active member of the Shanghai Cooperation Organization (which includes China, four countries in Central Asia, and Russia) and of the ASEAN Plus Three Group

(with Japan and the Republic of Korea). The government has also been strengthening links with neighbouring countries in the Tumen Area, Central Asia and the Mekong sub-region.

UNDP China has helped showcase China's achievements globally by encouraging and supporting many initiatives that promote South-South cooperation and global exchange. This has happened through several international conferences that UNDP has facilitated. Noteworthy is the UNDP contribution to the establishment and institutional capacity building of the International Poverty Reduction Centre in China, which facilitates the sharing of China's poverty alleviation experience with other developing countries, particularly those from Africa.

#### 5.5.2 UNDP RESPONSE

UNDP has been supporting China in meeting its obligations under multilateral environmental conventions by providing technical assistance for policy and legal reform, technology transfer and capacity development to address related issues. The CPD has allocated USD 11 million—of which USD 2 million is from regular resources and USD 9 million from other resources.

UNDP has carried out two projects relating to the phasing out of ODS. The Solvent Sector Plan for ODS Phase Out in China Project, designed to phase out all ODS used as solvents by Chinese industry, seeks to assist approximately 2,200 Chinese enterprises in converting their industrial cleaning processes to ozone friendly alternatives, to provide eligible ODS solvent to consumers with alternative equipment and alternative cleaning technologies, and to assist in building technical and managerial capacity to ensure an efficient and timely phase out at the national level. This project was selected as a key project by the ADR. The project on Institutional Strengthening for the Phase Out of ODS Phase VII aims at further enhancing the overall programme management capacity of the PMO for ozone layer protection in the Ministry of Environmental Protection, especially in the

areas of enforcing supervision and management of projects and controlling illegal production, illegal consumption and illegal trade.

Two projects relate to reduction and elimination of POPs. The Reduction and Elimination of POPs in China–Dicofol Project seeks to develop a national replication programme for the implementation of alternative products and strategies based on integrated pest management, in support of China's long-term goal of elimination of DDT for dicofol production, based on the experiences gained during the demonstration phase. The project on the Reduction and Elimination of POPs in China–Anti-fouling Paint seeks to support China's effort to eliminate the use of 250 tonnes per year of DDT as additives in the production of anti-fouling paint by conversion to non-toxic and environmentally friendly alternatives. This would establish a long-term mechanism to protect marine environment and human health from pollution of harmful anti-fouling systems based on the technologies, experience and instruments obtained from phase out of DDT-based anti-fouling paint.

UNDP has also implemented Enabling China to Prepare its Second National Communication to the UNFCCC, which aims to strengthen China's capacity to further integrate climate change concerns into national and sectoral development priorities while fulfilling obligations to the UNFCCC.

As part of South-South cooperation, UNDP is engaged in strengthening China's cooperation with Africa and its neighbours in central Asia, northeast Asia and the Mekong-Lancang area. Resources earmarked in the CPD total USD 8 million, of which USD 2 million are regular resources and USD 6 million are other resources.

Of the eight projects in this area, three were selected for an in-depth study. The Tumen River Area Development Programme Phase III, designed to create a regional policy framework for the Northeast Asia region, seeks to attract investment and foster sustainable socio-economic

development in the region. The Support to Establishing the China-Africa Business Council Project aims to create an enabling environment for China-Africa economic and technical cooperation through the establishment of a China-Africa Business Council in China and in five 'core' African countries. The support to the International Poverty Reduction Centre in China aims to strengthen national and international capacities to design and implement pro-poor policies and anti-poverty programme.

### 5.5.3 EFFECTIVENESS

Outcome 9 listed in the CPD relates to international environmental conventions.

- Outcome 9: Key UN conventions promoted through improved capacity to fulfil their obligations<sup>15</sup>

The effectiveness of UNDP projects in support of implementing international environmental conventions has been satisfactory. UNDP projects have helped to enhance China's capacity to fulfil the country's obligations to UN conventions, and support China in ODS phase out in the solvent sector and in reduction and elimination of POPs.

The Solvent Sector Plan for ODS Phase Out in China has successfully supported China in meeting the national target of ODS phase out and helped local enterprises in the solvent sector to phase out ODS (Box 8). Furthermore, through the local capacity development activities under the solvent sector, the capacity of local environmental protection bureaux on ozone layer protection has been greatly improved. Through the Institutional Strengthening for the Phase Out of Ozone Depleting Substances and Montreal Protocol Phase VII, the capacity of the PMOs was enhanced as well. This project also helped China publish a monthly newsletter, which greatly promoted public awareness.

### Box 8. Successful ODS phasing out

Through the Solvent Sector Plan for ODS Phase Out in China, China has made a great progress and achievement in ODS phase out in the solvent sector.

First, China has phased out the consumption of Carbon Tetrachloride (CTC) and Chlorofluorocarbon-113 (CFC-113), used as cleaning solvents, by 1 January of 2004 and 2006 respectively, which reached the phase out targets in the solvent sector. The target to phase out the consumption of TCA used as cleaning solvent by 1 January 2010 is also expected to be realized. During 2000-2008, the total phase out of CTC, CFC-113 and Methyl Chloroform (TCA) amounted to about 110 ODP<sup>16</sup> tonnes, 3,300 ODP tonnes and 536 ODP tonnes respectively.

Approximately 400 enterprises of all sizes participated in and benefited from the project. The enterprises received funds, equipment and technical support from the project. Their capacity and awareness of fulfilling the obligation under the convention have been strengthened and thus their competitiveness in the market has also been enhanced.

With successful implementation of the sub-project Provincial Capacity Building on Compliance with the Montreal Protocol, which was initiated in 2005 together with the effort of the World Bank, the capacity of 36 provincial bureaux of environmental protection on their compliance with the protocol has been strengthened, which is essential for ensuring long-term sustainability of the project and capacity and knowledge of local officials in implementing the protocol. Through the project, the coordination mechanism between the central and the local has been strengthened as well.

From 2006, many studies on substitute technologies have been implemented on a large scale and the book *Brochure of ODS Phase Out in Solvent Sector in China* has been published. In addition, the project carried out much awareness raising and advocacy activities that significantly improved the awareness of ozone protection in the general public.

*Source: Interviews; 2006 Brochure of ODS Phase Out in China's Solvent Sector; and website on Ozone Action in China available online at: [www.ozone.org.cn/hytt/qxhy](http://www.ozone.org.cn/hytt/qxhy), accessed 21 September 2009.*

<sup>15</sup> See Annex 5 on the results and resources framework of the country programme for more information.

<sup>16</sup> The units of measurement are metric tonnes of ODS weighted by their Ozone Depletion Potential (ODP), otherwise referred to as ODP tonnes.



Activities successfully completed under the Reduction and Elimination of POPs in China—Dicofol Project during the Preparatory Phase in 2006 and 2007 included preparation of an implementation plan to improve dicofol production technology; selection of demonstration areas and information collection in these areas; assessment of a management framework and preliminary assessment of social, economic and environmental impacts; and development of financing and operation mechanisms and a monitoring and evaluation plan.

Over the years, implementation of the project on the Reduction and Elimination of POPs in China—Alternatives to DDT Usage in the Production of Anti-fouling Paint has contributed to the formulation of national policies and regulations in the sector. Under the project framework, regulations and standards of anti-fouling paints have been drafted and agreed among stakeholders, and the green-labelling activity has been initiated. There have been two rounds of selection on alternatives to DDT-based anti-fouling paints. China has been able to build up its knowledge base for further magnification of the introduced methodology, and suggests 20 kinds of alternatives for testing in 2009.

All the 10 sub-projects under the project Enabling China to prepare its Second National Communication to the UNFCCC were contracted and launched in March 2009. The outputs of the project are expected to improve the capacity of China to fulfil the obligation to the UNFCCC.

Outcome 10 listed in the CPD relates to South-South cooperation:

- Outcome 10: Global partnership promoted for effective results<sup>17</sup>

Few documents record the results of South-South cooperation. According to an outcome evaluation completed in August 2008<sup>18</sup>, partnerships formed by UNDP China in project and non-project activities have effectively increased China's international participation and cooperation. However, that report was an assessment of the process rather than definitive results. Interviews and focus groups point to several results produced by UNDP-supported projects. The International Poverty Reduction Centre in China has been established. GoC has contributed more than USD 100 million to build a new training building for the centre. To date, the International Poverty Reduction Centre in China has trained more than 400 participants from approximately 80 countries. It has held 7 ministerial workshops and more than 20 workshops on special themes.

China's development experience and lessons learned are shared by other development countries. The China-Africa Business Council is steadily moving towards establishing itself as a reference centre to promote and facilitate trade and investment relations between China and Africa. So far, the project has implemented 32 exchange activities with African countries, which included approximately 600 people from Chinese private enterprises. The China-Africa Business Council has facilitated many investment projects in Africa by Chinese enterprises, such as a textile industry park established in Nigeria, a renewable energy project in Ghana, and a rose oil project in Uganda. The textile industry park in Nigeria has attracted investment from both the government and enterprise—the Zhejiang provincial government provided a subsidy of 30 million RMB and enterprises invested 50 million RMB. The project has further improved the databases and website. The Tumen River Area Development Programme Phase III—The Great Tumen Initiative provides a unique multilateral forum for the member countries to identify and

<sup>17</sup> See Annex 5 on the results and resources framework of the country programme for more information.

<sup>18</sup> Weeks and Ronglin, 'Outcome Evaluation on Partnerships (Global Partnerships Promoted for Effective Results)', Commissioned by UNDP China Office, August 2008.



implement regional initiatives that encourage economic growth, improve living standards and contribute to peace and stability in Northeast Asia. The project has carried out a series of activities in the sectors of energy, trade, investment, transportation and tourism, which facilitated the cooperation between Great Tumen Initiative countries in these sectors.

#### 5.5.4 EFFICIENCY

The efficiency of global partnership projects was 'moderately satisfactory' in terms of timeliness of project implementation. Stakeholders participating in the focus groups pointed out that five projects linked to Outcome 9 are expected to be implemented on schedule because GoC is committed to fulfilling its obligations under these conventions. Of the eight projects linked to Outcome 10, only three projects are expected to finish on time. Evidence from an audit report of the National Audit Office<sup>19</sup> indicates that Capacity Building and Human Resource Development for Provinces along the Chinese New Silk Road Phase II had only completed 42 percent of planned activities in 2006 and the International Poverty Reduction Centre in China had only completed 57 percent of planned activities in 2006.

#### 5.5.5 SUSTAINABILITY

The sustainability of the global partnership projects is satisfactory. GoC is committed to fulfilling the obligations under the international environmental conventions. The outcomes of ODS phase out in the solvent sector and reduction and elimination of POPs are highly sustainable. Related regulations and policies have been published to ensure fulfilment of this commitment. For example, the Ministry of Environmental Protection has issued three announcements on banning the use of CTC, CFC-113 and TCA as cleaning solvents and the import and production have also been banned. Moreover, the ODS regulation in China will soon come into effect,

which will be a powerful tool to supervise the markets and control illegal activities. Again, the development of substitute technologies by improving the profitability of enterprises provides the necessary incentives for them to adopt the new technologies. For example, a recently published book *TCA Alternative Technologies in Solvent Sector* has comprehensively introduced TCA alternative technologies so that other enterprises can adopt the measures.

The partnership between China and its neighbouring countries as well as between China and Africa appears to be sustainable. The PMOs of the International Poverty Reduction Centre Project and China-Africa Business Council Project mentioned that they have started follow-up activities (Phase II, supported by UNDP). These projects are regarded as sustainable because of GoC's strong commitment to the cooperation framework and to funding. However, the future sustainability of some projects is not certain. For example, the 2008 Outcome Evaluation on Partnership concluded that the Great Tumen Initiative is not sustainable because of the limited funds and difficulties of coordination between partner countries. However, an interview with the PMO revealed that although coordination issues remained, the project has received follow-up funds from partner countries and it will be implemented as planned.

### 5.6 ORGANIZATIONAL ISSUES

This section discusses certain organizational issues affecting programme effectiveness.

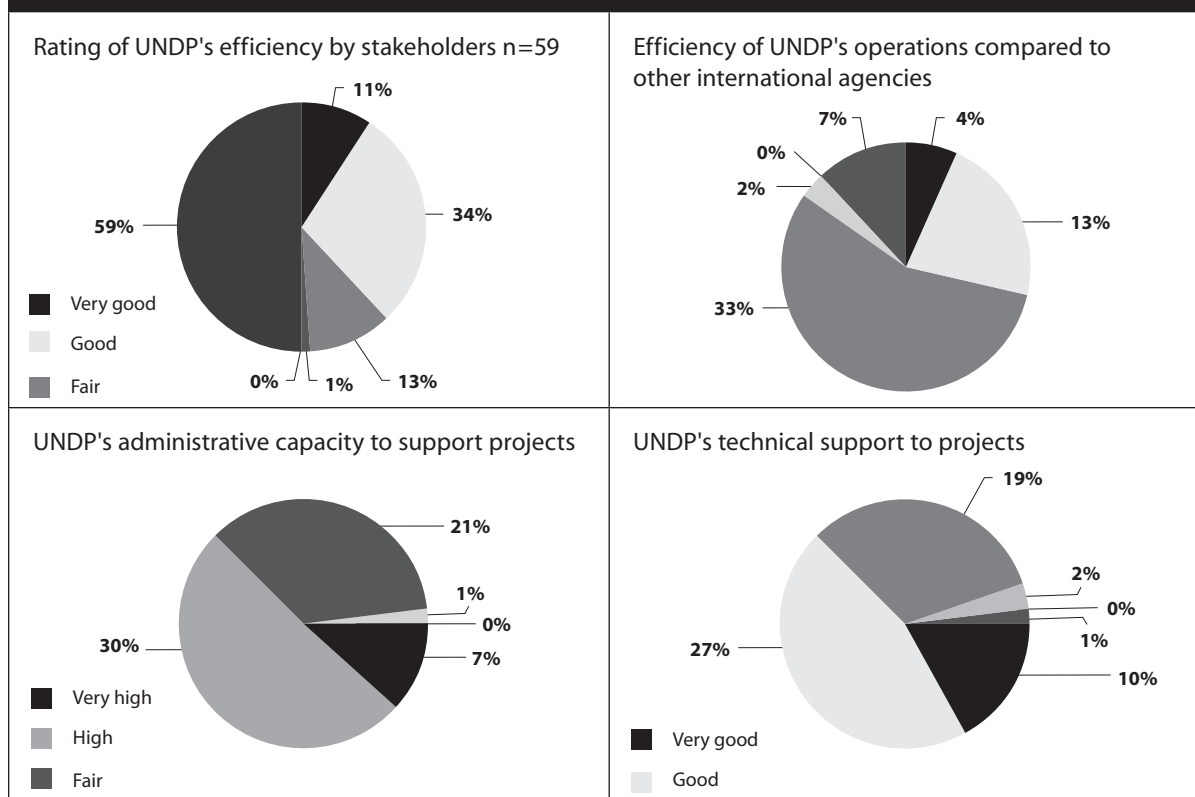
#### 5.6.1 PROJECT MANAGEMENT

A majority of stakeholders were satisfied with project management by the UNDP China Country Office. Out of 59 respondents, 45 (or 76 percent) considered UNDP efficiency in extending support to their project as 'good' or 'very good'. Almost 30 percent rated UNDP to be more efficient than other international

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<sup>19</sup> Chinese National Audit Office, 'Audit Report on Foreign Grant/Loan Projects', 2008.

**Figure 3. Responses to ADR survey**



agencies, and 63 percent considered the administrative capacity of UNDP to support their project as 'high' or 'very high'. An equal proportion rate the technical support from UNDP for their project as 'good' or 'very good'.

Stakeholders raised certain concerns about UNDP project management. They referred particularly to UNDP reporting requirements that are sometimes cumbersome and bureaucratic, and in some instances, as with GEF, even duplicative. These bureaucratic procedures tend to delay disbursement of funds, which in turn adversely affects implementation. Some referred to the limited knowledge and competencies of UNDP personnel to address many of the complex issues in some of the practice areas. Stakeholders specifically referred to the need for enhancing the capacity of UNDP project managers. There are also times when a project manager is in charge of too many projects, and this severely limits the time he or she can devote to managing any project. In some cases, the project manager has been

shifted several times during the course of the project cycle. Stakeholders also mentioned that some professional Chinese programme managers had also left UNDP China Country Office during the project cycle.

### 5.6.2 INSTITUTIONAL ARRANGEMENTS

NEX as a project implementation modality ensures the success and sustainability of UNDP projects by enhancing government ownership and commitment to project implementation. Out of 70 projects, 56 adopted the NEX modality with CICETE being the main executing agency. Most stakeholders were satisfied with the NEX modality. However, some were also quite critical. Some were not even aware of the 1998 NEX Guidelines. Others pointed out that these guidelines are outdated and need to be revised to suit the changing Chinese context.

UNDP reporting and coordinating arrangements have undergone a change. Until 2008, CICETE was responsible for both programme priority

setting as well as for implementation of UNDP programmes. Today, while CICETE continues to be the implementing agency for most UNDP projects, the Ministry of Commerce is responsible for priority setting and finalization of the UNDP country programme. This division of responsibility is a recognition by GoC of the increasing potential for UNDP to contribute to China's development as well a move to enhance the policy relevance of the UNDP contribution.

Stakeholders identified several advantages of the new institutional arrangement with the Ministry of Commerce setting UNDP priorities and CICETE being responsible for implementation. CICETE offered valuable interface with GoC as the context in China was too complex for UNDP to be dealing with a large number of implementing agencies. It has played an important role in mobilizing resources from the private sector for projects involving partnerships between the private sector, UNDP and GoC. CICETE has also been instrumental in enabling projects to be scaled up nationally and building the UNDP brand within China. Stakeholders pointed to the useful and efficient role played by CICETE in coordination and financial support to the implementation of projects. However, they also felt that improved capacities of both CICETE and UNDP could further enhance the effectiveness of GoC-UNDP programmes. There is a need for capacity development in both programme management as well as in the substantive content areas of joint programming. At the same time, clear cut criteria and mechanisms need to be jointly formulated for identification and selection of projects that are in line with development priorities as agreed and outlined in the CPD.

### 5.6.3 SYSTEMIC CONSTRAINTS

Like other independent evaluations, the ADR found systemic weaknesses in UNDP programme management that are not specific to UNDP China but applicable to most country offices.

The capacities of UNDP China and the regional service centres are not well matched with the requirements of delivering results. Top-level expertise to advise on policy matters in many development areas was often missing. The knowledge deficiency was apparent, for instance, in the area of developing and implementing programmes under the subject of China and the world. Other independent evaluations have also pointed to such weaknesses in the capacity of the UNDP China Country Office. For example, the case study on China prepared for China as part of an independent evaluation report published in August 2008 on the Role and Contribution of UNDP in Environment and Energy<sup>20</sup> highlights the absence of truly high-level expertise in the UNDP country office to enable UNDP to effectively engage in policy dialogue with the Chinese government and other international partners on key environment and energy issues. It also points out that the absence of this capacity in the country office is recognized as a weakness by both the government and by UNDP. Stakeholders also raised the issue of the capacity of the UNDP regional service centres. In some areas such as energy and environment, technical assistance was quite valuable. However in other areas, much of the expertise available was in writing project documents and not in advising UNDP on how best to deliver on results.

UNDP China has attempted to address the capacity constraints. The recruitment of two foreign climate change advisers was appreciated by GoC. The country office has also initiated staff training for programme managers in order to help them shift from being process-oriented to becoming results-oriented. Staff members pointed out that the UNDP ATLAS system<sup>21</sup> is still very much geared toward reporting and monitoring activities, not results. For example, whereas deficiencies in funds management are picked up by the 'dashboard' and signalled in red, there is no reporting of the outcomes and impact of UNDP interventions.

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<sup>20</sup> UNDP, 'Evaluation of the Role and Contribution of UNDP in Environment and Energy', Evaluation Office, 2008.

<sup>21</sup> ATLAS is the UNDP enterprise resource management programme.

UNDP monitoring and evaluation activities are not standardized; the status of existing documents is not satisfactory; the quality of monitoring and evaluation reports varies greatly; and there are few checks to control quality. Project-related monitoring and evaluation activities are better if funding comes from GEF than when they are purely UNDP-funded projects. There are frequent changes to the reporting formats required by UNDP Headquarters and this adds to the workload of the staff. Also, many of the annual project reviews carried out by the project describe activities, but there is little discussion about the outcomes or impact resulting from the activities.

Scope exists for improving the project information system within UNDP. UNDP China does not have a unified information management system for project management. It was not easy to get systematic information about the status of projects. For example, it is often not clear whether the project has been completed or not, whether its implementation is on schedule or not, and whether evaluations have been done or not. The information of project fund allocation from multiple sources of funds is often not complete.

Stakeholders also raised concerns over UNDP practices relating to selection, recruitment and performance appraisal of consultants and

experts. This issue is not unique to China but concerns many countries where UNDP operates. First, the remuneration for domestic experts is much lower than international experts and this makes it difficult to contract competent domestic experts. Second, it was UNDP policy in the past that the chief technical adviser should be a foreigner. This sometimes created difficulties in implementing the project. However, more recently this policy has been modified. UNDP has clarified to CICETE that as long as the chief technical advisers are competent and capable, it does not matter whether they are national or foreign experts. As a consequence, the use of foreign chief technical advisers has been decreasing. It is often difficult to find a competent foreign chief technical adviser. Also, the recruitment of a foreign expert who is familiar with China is not only costly and difficult, it also delays projects considerably.

Stakeholders acknowledge the positive contribution of GEF funding to China but are critical of the long gestation period (almost two years) to launch a GEF programme. Similarly, the role of the Special Unit located within UNDP Headquarters needs to be clarified, especially as UNDP China embarks on a more ambitious programme of cooperation with GoC in the area of South-South cooperation.





## CHAPTER 6

# CONCLUSIONS AND RECOMMENDATIONS

### 6.1 CONCLUSIONS

**1. The UNDP country programme is well aligned with and highly relevant to national development priorities outlined in China's 11<sup>th</sup> Five-Year Plan. UNDP has been particularly responsive to emerging needs and new opportunities that have arisen during the past five years.**

The ongoing UNDP country programme is fully consistent with national priorities and overlaps significantly with objectives outlined in China's 11<sup>th</sup> Five-Year Plan (2006-2010). UNDP support for capacity development in the area of pro-poor fiscal reform and for promoting China's vision of a *Xiaokang* society has been much appreciated. UNDP has also been proactive in responding to new opportunities that have arisen during the past five years. Although core funds are limited, UNDP has displayed considerable flexibility and willingness to respond promptly and effectively to important development in China. Illustrative examples are UNDP efforts at resource mobilization during the Sichuan earthquake and mobilizing volunteers and CSOs during the 2008 Beijing Olympic Games.

**2. The country programme has added value and contributed to China's development results.**

UNDP has partnered with GoC to pilot a variety of successful and innovative interventions ranging from piloting local community-based projects that can be scaled up to strengthening capacity at all levels of government, mobilizing resources, undertaking advocacy, sponsoring research, and generating options for policy. A majority of stakeholders also express the opinion that most of the projects are on track and will meet their stated objectives. The precise attribution

of outcomes to UNDP is both difficult and unnecessary as the programme itself is one of cooperation between UNDP and China, with significant resource contribution (both financial and human) by GoC. However, the nature of the UNDP value addition is often characterized as 'making the good better'.

**3. UNDP China has reoriented its project portfolio to increase effectiveness in China.**

Several changes have been introduced by UNDP China to make its project portfolio more relevant and effective to China's development needs. These include greater emphasis on upstream policy level support, capacity development of senior leaders, generation of key knowledge products such as the national human development reports, a rationalization of projects, concentration on key flagship projects for results, stronger advocacy, and more effective promotion of South-South cooperation and international exchange through global forums. Many of these initiatives have contributed to improving the image of UNDP and the United Nations in China. The new institutional arrangement has also been enabled by GoC's move to make the Ministry of Commerce responsible for setting policy guidelines and priorities and CICETE for executing and implementing projects.

**4. UNDP has extended its partnership beyond the central government to some provincial governments as well, but its engagement with provincial governments remains relatively weak. Efforts have been made during the past five years to forge stronger partnerships with the private sector and with CSOs.**

Central government ministries and departments have been traditional UNDP partners during the past 30 years. In this programme cycle,

47 projects have established partnerships with central governmental departments and ministries as well as many organizations directly under the State Council. UNDP has also built partnerships with the NPC, the SPC and organizations directly under the Central Committee of the Communist Party of China, such as the State Commission Office for Public Sector Reform.

However, recognizing the importance of partnerships with provincial and local governments in the years to come, UNDP China has extended its programme of cooperation to 16 projects that partner with local governments. Similarly, UNDP has proactively reached out to the private sector and CSOs in an effort to create new partnerships for development.

**5. There is strong government ownership, guaranteed by the NEX modality. However concerns of sustainability have not always been adequately addressed in UNDP-supported interventions.**

Since most UNDP-supported projects are implemented by different ministries, results of projects are typically owned by the government and used as inputs into plan preparation and decision making. To the extent that many of the UNDP-supported interventions are relevant to China's development and aligned with national priorities, their sustainability is assured. However, this is not always the case. In some instances, issues of sustainability have been more directly addressed at the programme design stage. In others, this has not been done explicitly. Issues of sustainability also arise even after a UNDP-supported intervention has been accepted for scaling up. In these cases, some stakeholders pointed out that sustainability would depend upon reforms in China's public administration and personnel systems. In other cases, as with some UNDP interventions, high costs also affect sustainability. All in all, issues of sustainability need to be addressed more systematically.

**6. There is considerable scope for improving programme management in UNDP China.**

Although UNDP is a strong advocate of

results-based management, its own efforts to move away from managing activities and inputs to managing for results have not been satisfactory. Nor has the culture been effectively transferred to partners with whom UNDP works in China. Much of the reporting requirements within UNDP still focus on activities and processes, not on outcomes and results. In the frequent absence of baseline data, it is difficult to make evidence-based assessments of planned results. This is reflected in the often varying and poor quality of project status and monitoring and evaluation reports.

There were some constraints in UNDP programme management. The capacities of UNDP China as well as the regional service centres are not well matched with the requirements of delivering results. UNDP China does not have a unified information management system for project management. The remuneration for domestic experts is much lower than international experts, and this makes it difficult to contract competent domestic experts.

## **6.2 RECOMMENDATIONS**

The ADR has identified two broad sets of recommendations. The first set of recommendations is strategic—intended to enhance the relevance and strategic nature of UNDP's interventions in China. The second set of recommendations is operational—intended to improve the effectiveness, efficiency and sustainability of UNDP management and project implementation in China.

### **6.2.1 STRATEGIC SET**

**1. Refine the strategic vision that UNDP China has articulated for China's development.**

The financial contribution of UNDP is small compared to China's overall development budget and is likely to shrink further in the coming years. However, it does not follow that UNDP will become irrelevant in China. On the contrary, almost all stakeholders agree that UNDP, as a leading development agency that enjoys the

credibility of both GoC and other development partners, shall continue to play a valued role in China's development. Most of the implementing agencies look forward to continuing their cooperation with UNDP. The challenge is to ensure that the limited resources of UNDP are used much more strategically to address China's development challenges, catalyze public action in areas where need is the greatest, and mobilize additional resources for a country of such enormous size and diversity.

Developing a strategic vision for UNDP in China is not a simple task. UNDP's own global experience of addressing the needs of rapidly developing middle-income countries is limited. At the same time, China is undergoing unprecedented changes at a rapid pace that call for unusual dynamism within UNDP to respond continuously to new challenges.

When redefining the nature of the strategic role of UNDP, it is important to factor in the reality that UNDP country programmes are generally acknowledged to be demand driven by GoC. This means that any strategic vision will have to be developed in close consultation with GoC—based on a joint review and careful identification of priority areas.

## **2. Make the next country programme more focused and concentrate on a few flagship interventions.**

A major advantage that UNDP enjoys is its partnership with almost all the ministries in China. However, this also makes it harder for UNDP to stay focused in its interventions and not get pulled in different directions. A shift towards rationalizing projects has been made, but there is room for further improvements although it is likely to entail hard negotiation and trade-offs. While the ADR team did not attempt to systematically arrive at a set of priority areas for UNDP, stakeholders suggested the following:

- Critical international issues—such as climate change, food security and low carbon economy

- Critical domestic issues—such as human development, livelihood, urbanization, migration and aging
- China's further integration with the world

A distinctively positive feature of the ongoing country programme is its focus on a number of flagship projects. This should be continued. However, principles, criteria and procedures for selecting flagship projects and the corresponding management requirements need further clarification.

## **3. Ensure balance between upstream and downstream initiatives.**

The last ADR recommended a shift of emphasis in the country programme to upstream activities centred on creating knowledge, improving policy analysis and policy advocacy. It is important to find a proper balance between upstream and downstream initiatives. At one level, a shift to upstream activities has been necessitated by the relatively small and shrinking share of UNDP resources compared to national development expenditures incurred by GoC. This is because downstream projects typically require much more resources than UNDP can practically mobilize, especially if projects have to be piloted and tested to be cleared for scaling up. At the same time, the possibilities of undertaking either upstream or downstream activities depend to a large extent on the operational environment in each practice area. Thus opportunities for downstream work may be better in the area of democratic governance than they are in the other areas. Conversely, it might be easier for UNDP to engage in upstream work in the area of poverty reduction than to plan downstream activities.

A systematic review of the experience, context and opportunities in each practice area should be conducted as the basis for arriving at a right balance between upstream and downstream activities. It must also be emphasized that when engaged in upstream work, UNDP contribution should be to facilitate mainstreaming of the best practices of local projects and replicate its innovative approaches.

#### **4. Further expand and strengthen partnerships.**

UNDP's long-term partnership with GoC, especially with the central government, is a real advantage. The following should be done to further strengthen the partnership:

- Further strengthen and enrich cooperation with key ministries in the central government
- Actively involve local governments in the design and implementation of UNDP projects in order to promote ownership and effectiveness
- Extend partnerships to CSOs and the private sector in a strategic and systematic manner

Careful thought needs to go into developing a partnership strategy with local and provincial governments. At the same time, UNDP needs to evolve a more proactive partnership approach towards NGOs and CSOs as well as with research and other policy think tanks that are beginning to expand in China.

UNDP should also strengthen partnerships with the Chinese private sector. Many more private enterprises have the financial resources and the willingness to participate in social development. UNDP China has the opportunity to play a constructive role in enabling the private sector to get meaningfully involved in China's human development.

#### **5. Further mobilize additional financial resources to maintain UNDP funding level to projects.**

UNDP has used its core funds to catalyze projects, support capacity development, undertake policy research and support China's overall development. Although the core funds of UNDP are decreasing, Chinese stakeholders think that UNDP maintaining a certain funding level to projects is important. The UNDP China Country Office should further mobilize additional financial resources from bilateral and multilateral agencies, NGOs, the private sector, etc., to support its strategic goals and maintain a certain funding level to projects.

### **6.2.2 OPERATIONAL SET**

#### **1. Enhance capacity within the UNDP country office and among PMOs to augment UNDP contributions to China's development.**

- UNDP China must invest in augmenting its own capacities to match China's needs and to bridge the knowledge and information gap between international organizations and local partners. In the initial years of cooperation between UNDP and GoC, officials of UNDP China had an advantage in terms of knowledge and information compared to their Chinese cooperation partners. However, with China becoming more open over the years, the capacity of Chinese cooperation partners has continuously improved and the knowledge gap between them and the officials of UNDP China has narrowed. Keeping this in mind, it is necessary for UNDP China to enhance its own staff capacities.
- The NEX Guidelines of 1998 should be updated. Systematic training should be held for UNDP country office project managers and PMOs in China on NEX.
- UNDP should review its policies for recruitment of national and international experts and consultants as well as hiring of chief technical advisers.
- UNDP should plan for and initiate a transformation of UNDP staff members in China from being traditional project managers to becoming managers of development results. The latter will require, for instance, better domain knowledge and expertise to be able to engage in policy dialogue and an ability to initiate and follow through systemic changes.

#### **2. Establish a unified programme information system.**

UNDP should set up a unified programme and project information system, especially to manage projects with different funding sources. The system should be able to provide convenient and quick service for project management, evaluation and strategic studies.

### **3. Strengthen monitoring and evaluation of the country programme.**

- Set up outcome, indicators and baselines at the country programme level. Clarify linkages between outputs and intended outcomes.
- Improve evaluation at the project level, especially for flagship projects. Monitoring and evaluation should not be seen as an extra load on project managers, but as a regulated and institutional activity that is built into different stages of the project cycle.
- Develop an outcome evaluation plan for the next country programme. This will strengthen the practice of results-based management, improve accountability, facilitate performance monitoring and above all contribute to strategy formulation.
- Develop new methodologies and approaches to evaluate ‘soft interventions’. Many UNDP contributions result from what some have called soft interventions—advocacy, policy advice, dialogue, coordination and so on. The impact of such interventions is usually more difficult to measure. The relation between soft interventions and hard outcomes is often not clear.





# TERMS OF REFERENCE

## ASSESSMENT OF DEVELOPMENT RESULTS IN CHINA

### 1. INTRODUCTION

The Evaluation Office of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.<sup>22</sup> The overall goals of an ADR are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board
- Support greater UNDP accountability to national stakeholders and partners in the programme country
- Serve as a means of quality assurance for UNDP interventions at the country level
- Contribute to learning at corporate, regional and country levels

The Evaluation Office plans to conduct an ADR in China beginning in May 2009. The ADR will focus on the results achieved during the ongoing country programme (2006-2010), while the previous country programme (2001-2005) will be assessed building upon the first ADR that was completed in 2005. The ADR will contribute to the preparation of the forthcoming United Nations Development Assistance Framework (UNDAF) and country programme.

### 2. BACKGROUND

China is a major developing country, home to more than 1.3 billion inhabitants, one-fifth of the world's population. During the period covered by this evaluation, China has made unprecedented progress towards the achievement of general economic and social development and improvement in the quality of people's lives. China is a one-party state ruled by the Chinese Communist Party and for administrative purposes the country is divided into 22 provinces, 5 autonomous regions and 4 municipalities.

The government's long-term commitment to reform and development has been key to China's transformation into one of the fastest growing and the fourth largest economy in the world—averaging 9.4 percent annually over the past two decades. Despite this, China remains a relatively low-income country with an unbalanced economic structure that has experienced volatile growth. Although China is well equipped to deal with the current global economic downturn, the immediate priority for the government is to support economic growth amid growing concerns for the health of the country's trade-dependent economy and the implications of rising unemployment on social stability. China's economic growth has also come with serious environmental costs, both at the local level and through the country's contributions to global greenhouse gas emissions. There is concern that environmental factors will pose constraints on development unless they are addressed.

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<sup>22</sup> Available online at: [www.undp.org/eo/documents/Evaluation-Policy.pdf](http://www.undp.org/eo/documents/Evaluation-Policy.pdf).

Therefore, sustainable development and management of natural resources will be crucial.

In 2008, China ranked 81 on the human development index and is expected to meet all of the MDGs by 2015. Multi-dimensional inequalities have increased, although China has rapidly achieved huge progress across a range of socio-economic indicators, such as income poverty, life expectancy, child mortality and illiteracy. Primary concern is to balance regional economic growth with social and sustainable development, which will be more concretely pursued during the government's 11<sup>th</sup> Five-Year Plan period (2006-2010). In light of these imbalances the Chinese government is shifting the focus of development beyond purely economic and material wellbeing to putting high priority and renewed emphasis on its sustainable development goals, represented by the national vision of achieving *Xiaokang* (all round, balanced and harmonious society) by 2020. In 2003, the *Xiaokang* vision was redefined to emphasize a 'Scientific Concept of Development' that focuses on 'five balances'—between urban and rural, between different geographical regions, between economic and social, between people and nature, and between domestic development and opening-up beyond China's borders.

The *Xiaokang* vision and the MDGs are closely linked by their clear focus on human-centred development, which presents a rare and considerable opportunity for the UN system in helping the government meet its goals. UNDP started its operations in China in 1979 and is in a unique position to use its crosscutting role to contribute to China's development goals. The second country cooperation framework (2001-2005) was based on the national priorities expressed in China's 10<sup>th</sup> Five-Year Plan

for the same period and was aimed at forming partnerships and mobilizing resources around limited but well defined objectives. The previous ADR completed during the above period found that, although from a Chinese perspective UNDP assistance is small, by UNDP standards the programme in China is very large.<sup>23</sup> While the evaluation concluded that UNDP continued to have a valued role to play in China, the challenge for UNDP was to stay focused at the upstream level where its comparative advantage would be higher to most effectively contribute to the national debate on a range of policies that influence sustainable human development, and avoid becoming diverted into a large number of direct implementation activities.

Assisting the Chinese government in realizing its *Xiaokang* vision is the ultimate goal of the UNDAF and the country programme. The current country programme (2006-2010) is based on the MDG and *Xiaokang* reform agenda, and specifies 10 concrete development outcomes to be achieved, which are closely linked to China's development priorities and strategies laid out in its 11<sup>th</sup> Five-Year Development Programme (2006-2010) and in support of UNDAF outcomes.<sup>24</sup> The programme is designed around three key issues: halting and reversing HIV/AIDS and tuberculosis; promoting gender equality; and reversing the loss of environmental resources.

Annex 1 to this terms of reference<sup>25</sup> presents a map of the outcomes, results areas, projects and non-project activities of the current country programme.

The completion of the UNDAF and 2006-2010 Country Programme in China presents an opportunity to evaluate the contribution of UNDP to national development results. This is also the first

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<sup>23</sup> UNDP, 'Assessment of Development Results—China', Evaluation Office, 2005.

<sup>24</sup> National Development and Reform Commission, '11th Five-Year Plan—For National Economic and Social Development of the People's Republic of China, 2006-2010', available online at: [http://en.ndrc.gov.cn/hot/t20060529\\_71334.htm](http://en.ndrc.gov.cn/hot/t20060529_71334.htm).

<sup>25</sup> Contained in Annex 5 of this report.

time that a second ADR is organized in the same country thereby giving a unique opportunity to update the findings of the previous evaluation. The ADR findings will be used as inputs to the preparation of 2011-2015 Country Programme and the UNDAF for the same period.

### **3. OBJECTIVES, SCOPE AND METHODOLOGY**

The objectives of the ADR in China include:

- To provide an independent assessment of the progress, or lack of, towards the expected outcomes envisaged in the UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.
- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- To present key findings, draw key lessons, and provide a set of clear and forward-looking options for the Regional Bureau for Asia and the Pacific and country office management to make adjustments in the current strategy and next country programme.

The ADR will review the UNDP experience in China and its contribution to the solution of social, economic and environmental challenges. The evaluation will cover the ongoing and previous country programmes, especially since the completion of the previous ADR in 2005. Although greater emphasis will be placed on more recent interventions, efforts will be made to examine the development and implementation of UNDP programmes during the entire period.

The overall methodology will be consistent with the ADR Guidelines prepared by the Evaluation Office.<sup>26</sup> The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review, specifically examining UNDP contribution to national development results. It will assess key results, specifically outcomes—anticipated and unanticipated, positive and negative, intentional and unintentional—and will cover UNDP assistance funded from both core and non-core resources.

The evaluation has two main components, the analysis of development outcomes and the strategic positioning of UNDP.

#### **Development results**

The assessment of the development outcomes will entail a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. This includes an assessment of development results achieved and the contribution of UNDP in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP positioning and capacities, partnerships, policy support); achievements, progress and contribution of UNDP in practice areas (both in policy and advocacy); and analysing the crosscutting linkages and their relationship to MDGs and UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using the available information, the evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP contribution to outcomes with a reasonable degree of plausibility. A core set of criteria related to the design, management and implementation of its interventions in the country will be used:

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<sup>26</sup> Available online at: [www.undp.org/eo/documents/ADR/framework/ADR-Guide-2009.pdf](http://www.undp.org/eo/documents/ADR/framework/ADR-Guide-2009.pdf), dated January 2009.

- **Effectiveness:** Did the UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?
- **Efficiency:** How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country/sub-regional context?
- **Sustainability:** Is the UNDP contribution sustainable? Are the development results achieved through UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

The ADR should also assess whether the country office has been able to leverage the regional programme and the services of the UNDP Regional Service Centre in Bangkok for the country programme.

Special efforts will be made to examine the UNDP contribution to advocacy, capacity development, knowledge management and gender equality. Principles such as rights-based approaches, environmental sustainability and South-South cooperation will be assessed.

### **Strategic positioning**

The evaluation will assess the strategic positioning of UNDP both from the perspective of organization and the development priorities in the country. This entails: a systematic analysis of the UNDP place and niche within the development and policy space in China; the strategies used by UNDP China to strengthen the position of UNDP in the development space and create a position for the organization in the core practice areas; and from the perspective of the development results for the country, the assessment

will evaluate the policy support and advocacy initiatives of the UNDP programme *vis-à-vis* other stakeholders. In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP. This includes:

- **Relevance of UNDP programmes:** How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were critical gaps in UNDP programming?
- **Responsiveness:** How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?
- **Social equality:** Did the programmes and interventions of UNDP contribute to reduced vulnerabilities in the country (regarding vulnerable groups, gender equality and regional disparities)? Did UNDP intervention in any way influence the existing inequities in the society? Was the selection of geographical areas of intervention guided by need?
- **Partnerships:** How has UNDP leveraged partnerships within the government and UN system as well as with national civil society and the private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme and specifically UNDP contribution (including issues related to the relevance and effectiveness of the monitoring and evaluation system). The UNDP role as the UN Resident Coordinator will also be assessed. Within the context of partnerships with the UN system and overall UN coordination, the specific issue of the development of joint programmes will be highlighted.



#### **4. EVALUATION METHODS AND APPROACHES**

The ADR is intended to promote participation of stakeholders and enhance the national ownership of the UNDP country programme. A wide range of stakeholders will be contacted, including government officials, partners involved in UNDP programmes and projects, civil society, international agencies and the public who are direct stakeholders of the programme. The assessment will also gauge the perceptions of key informants, including those not directly involved with UNDP.

##### **Data collection**

The evaluation will use a multiple method approach for data collection that includes desk reviews, workshops, group and individual interviews (at Headquarters, regional and the country level), project and field visits, and surveys. The ADR will use triangulation as a central method, drawing information from multiple sources.

The information collected from primary sources (such as field visits, interviews, focus group discussions) will be verified and validated with information from other sources, such as quantitative data on development indicators, documents and evaluation reports. A wide range of documents will be consulted, including but not limited to:

- UNDP corporate documents (strategic plan, multi-year funding frameworks, policy papers, etc.)
- Country programming documents
- UNDP corporate reporting (results-oriented annual report, etc.)
- UNDP and GoC project/programme documents and reports
- Evaluation reports at programmatic and project level
- Research and analytical papers and publications

The Evaluation Office research assistant has undertaken a systematic compilation of the documents, which will be made available to the evaluation team through a password protected internal website maintained by the Evaluation Office. A preliminary programme map is presented in Annex 1 to this terms of reference.<sup>27</sup>

##### **Validation**

Data analysis will follow objective, verifiable methods. All information will be triangulated and validated to the greatest possible extent.

##### **Stakeholder participation**

A strong participatory approach, involving concerned stakeholders is envisaged. The identification of the stakeholders, including government representatives of ministries and agencies, CSOs, private sector representatives, UN organizations, multilateral organizations, bilateral donors, and beneficiaries will be carried out. To facilitate this approach the ADR will include a process of stakeholder mapping that would include both UNDP direct partners as well as stakeholders who do not work directly with UNDP.

##### **Evaluation questions**

The analysis of the UNDP contribution to development results and the organization's strategic positioning in China will be based on the objectives and scope of the evaluation outlined in section 3. The detailed evaluation questions should be completed by the evaluation team in consultation with the Evaluation Office.

The evaluation criteria and questions will guide the data collection and analysis. The evaluation team will prepare an interview protocol with different stakeholders. The review of the documented information, as well as the interviews and consultations will focus on evaluative evidence (data, information, perceptions) that enable answering the questions.

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<sup>27</sup> See Annex 5 of this document.

## 5. EVALUATION PROCESS

The ADR process will follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

### PHASE 1: PREPARATION

**Desk review:** Initially carried out by the Evaluation Office (identification, collection and mapping of relevant documentation and other data) and continued by the evaluation team. This will include general development-related documentation related to China as well as a comprehensive overview of the UNDP programme over the period being examined.

**Stakeholder mapping:** A basic mapping of stakeholders relevant to the evaluation in the country will be carried out. These will include state and civil society stakeholders and go beyond UNDP partners. The mapping exercise will also indicate the relationships between different sets of stakeholders.

**Inception meetings:** Interviews and discussions in UNDP Headquarters with the Evaluation Office (process and methodology), Regional Bureau for Asia and the Pacific (context and county programme), as well as with other relevant bureaux, including the Bureau for Development Policy.

**Scoping mission and initial workshop:** A mission to China will be carried out early in the process by the international team leader and Evaluation Office task manager in order to:

- Identify and collect further documentation
- Assess the availability of evaluative evidence, including outcome, programme and project evaluations
- Validate the mapping of the country programmes
- Get key stakeholder perspectives on key issues that should be examined

- Identify the appropriate set of data collection and analysis methods
- Address management and timing issues related to the rest of the evaluation process
- Ensure the country office and key stakeholders understand the ADR objectives, methodology and process

Importantly, the scoping mission will work with the identified national institution to provide guidance and to work out a detailed work plan for the evaluation. An important part of this process will be an entry workshop where the ADR objectives, methods and process will be clarified. During the scoping mission, the universe of projects and programmes to be visited by the evaluators will be identified.

**Inception report:** An inception report will be prepared by the Chinese team leader in consultation with the international team leader and Evaluation Office task manager. The report will include the evaluation design and plan, background to the evaluation, key evaluation questions, detailed methods, information sources, instruments and tools for data collection and analysis, and the format for reporting.

### PHASE 2: CONDUCTING THE ADR AND DRAFTING THE EVALUATION REPORT

**Research and data collection:** The research and data collection phase will be carried out by an independent team sub-contracted from a Chinese national institution and will focus on data collection and validation. The evaluation team will visit significant project and field sites as identified during the scoping mission. The research and data collection phase will be supported by the international team leader and Evaluation Office task manager. A mid-term workshop will be organized in China to review progress and to resolve any pending issues pertaining to the evaluation.

**Analysis and reporting:** The information collected will be analysed by the national

evaluation team and will be submitted to the Evaluation Office in the form of a draft ADR report. This may also include separate reports containing evaluation findings on specific topics pertaining to the UNDP programme and performance. The report(s) prepared by the Chinese national institution will be reviewed by the international team leader in close collaboration with the Evaluation Office task manager.

**Quality assurance:** Prior to the submission of the draft final ADR report to the country office and the regional bureau, the draft report will be reviewed by two external development professionals familiar with the Chinese context and evaluation methods and by select Evaluation Office staff. The report will be appropriately revised by the co-team leaders after the review process.

**Review by the key stakeholders:** The draft report will be subject to factual corrections and views on interpretation by key clients (including the government, UNDP country office and the regional bureau). The Evaluation Office will prepare an audit trail to show how these comments were taken into account. The co-team leaders in close consultation with the Evaluation Office task manager shall finalize the ADR report based on these final reviews.

**Stakeholder meeting:** A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in China prior to finalizing the

report. The main purpose of the meeting is to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at country level. It may be necessary to incorporate some significant comments into the final evaluation report.

### PHASE 3: FOLLOW-UP

**Management response:** UNDP management will request relevant units (in the case of ADR, usually the relevant country office and regional bureau) to jointly prepare a management response to the ADR. As a unit exercising oversight, the Regional Bureau for Asia and the Pacific will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

**Communication:** The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to the UNDP Executive Board by the time of approving a new country programme document.<sup>28</sup> It will be widely distributed in China and at UNDP Headquarters and copies will be sent to evaluation units of other international organizations as well as to evaluation societies and research institutions in the region. Furthermore, the evaluation report and the management response will be published on the UNDP website.<sup>29</sup>

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<sup>28</sup> Planned for June 2010.

<sup>29</sup> Online at: [www.undp.org/eo](http://www.undp.org/eo).

The time-frame and responsibilities for the evaluation process are tentatively as follows:

Activity	Estimated date
Collection and mapping of documentation by the research assistant	March-May 2009
Scoping mission to Beijing by co-team leader and Evaluation Office task manager	May 2009
Inception report	June 2009
Research and data collection by Chinese national institution	June-August 2009
Mid-term review workshop	July 2009
First draft report submitted by national institution	September 2009
Revised draft report submitted to the Evaluation Office	October 2009
Comments from the Evaluation Office and Advisory Panel	November 2009
Submission of second draft report	January 2010
Factual corrections from country office, Regional Bureau Asia Pacific and government	February 2010
Stakeholder workshop	March 2010
Issuance of final report	May 2010

## 6. MANAGEMENT ARRANGEMENTS

### UNDP

The Evaluation Office task manager will manage the evaluation and ensure coordination and liaison with the regional bureau, other concerned units at Headquarters level and at the China Country Office. The Evaluation Office will also contract a research assistant to facilitate the initial desk review and a programme assistant to support logistical and administrative matters. The Evaluation Office will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the evaluation team, as well as the preliminary research and the issuance of the final ADR report. The Evaluation Office will cover costs of any stakeholder workshops as part of the evaluation.

### Evaluation team

The Evaluation Office will engage an international team leader with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report. The international team leader will work with the evaluation team to ensure that appropriate

approaches and methods are followed in carrying out the evaluation. He or she will participate in the scoping mission, the mid-term review workshop and the final stakeholder workshop. He or she will also be in charge of drafting the final ADR report and brief based on research and evaluative inputs from the field.

A Chinese research institute with evaluation competence will be contracted by the Evaluation Office to undertake the data collection and evaluation research in China, including carrying out specific studies and programme and project field visits as agreed during the scoping mission. The team is expected to contain:

- A national team leader, with responsibility for planning and coordinating the overall evaluation work in China, including bringing together the draft report and its constituent analytical parts, and communications with the international team leader regarding the work plan and evaluation progress.
- Team specialists, who will provide the expertise in the core subject areas of the evaluation, undertake data collection and analyses at the country, programme and

project levels, and be responsible for drafting key parts of the report under the supervision of the national team leader.

The international team leader must have a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programmes in the field. The national team leader and all team members should have in-depth knowledge of development issues in China. The team in China must also include expertise in evaluation approaches and methods. Familiarity with UN and UNDP programme priorities and procedures will be advantageous.

The task manager at the Evaluation Office will support the team in designing the evaluation, participate in the scoping mission, and provide ongoing feedback for quality assurance during the preparation of the inception report, the mid-term review workshop and the final report.

The evaluation team will orient its work by United Nations Evaluation Group norms and standards for evaluation and will adhere to the ethical code of conduct.<sup>30</sup>

### **China Country Office**

The China Country Office will make available to the team all necessary information regarding UNDP activities in the country and support the evaluation team in liaison with the key partners, as necessary. The country office will also review the draft report for factual corrections and errors of interpretation or omission. Any costs pertaining to the evaluation will be covered by the Evaluation Office.

## **7. EXPECTED OUTPUTS**

The expected outputs from the evaluation team are:

- An inception report (maximum 20 pages)
- A comprehensive final report on the China Assessment of Development Results (maximum 50 pages plus annexes)
- A two-page evaluation brief
- A presentation for the stakeholder workshop

The final report of the ADR to be produced in English by the evaluation team will follow the following format:

- Executive Summary
- Chapter 1: Introduction
- Chapter 2: National context
- Chapter 3: The UN and UNDP in the country
- Chapter 4: UNDP contribution to national development results
- Chapter 5: Crosscutting issues
- Chapter 6: Strategic positioning of the UNDP country programme
- Chapter 7: Conclusions and recommendations
- Annex 1: Terms of reference
- Annex 2: List of persons consulted
- Annex 3: List of documents consulted

Detailed outlines for the inception report, main ADR report and evaluation brief will be provided to the evaluation team by the task manager.

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<sup>30</sup> UN Evaluation Group, 'Norms for Evaluation in the UN System' and 'Standards for Evaluation in the UN System', April 2005.





## Annex II

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In addition, the evaluation team reviewed the majority of available documents of projects covered in the ADR, including project documents, annual project reports, mid-term review reports, final evaluation reports and other project related documents. Many related organizations' websites were also searched, including those of UN organizations, Chinese governmental departments, project management offices and others.

## Annex III

# EVALUATION MATRIX

Evaluation criteria	Evaluation question from the terms of reference	Detailed evaluation questions
<b>Effectiveness</b>	<ul style="list-style-type: none"> <li>▪ Did the UNDP programme accomplish its intended objectives and planned results?</li> <li>▪ What are the strengths and weaknesses of the programme?</li> <li>▪ What are the unexpected results it yielded?</li> <li>▪ Should it continue in the same direction or should its main tenets be reviewed for the new cycle?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Did UNDP projects accomplish their intended objectives and planned results in the practice areas in China?</li> <li>▪ Among the given 10 outcomes, which are more influential than the others?</li> <li>▪ With which outcomes are the Chinese stakeholders most satisfied? And with which outcomes are they not so satisfied? Why?</li> <li>▪ Are there some unexpected results produced by implementing the UNDP programme in China? If yes, what are the results? What evidence has been obtained?</li> <li>▪ Has nationwide replication of UNDP projects taken place in China?</li> <li>▪ Does UNDP play a 'catalytic role' in environment and energy area?</li> </ul>
<b>Efficiency</b>	<ul style="list-style-type: none"> <li>▪ How well did UNDP use its resources (human and financial) in achieving its contribution?</li> <li>▪ What could be done to ensure a more efficient use of resources in the country/sub-regional context?</li> </ul>	<ul style="list-style-type: none"> <li>▪ How well did UNDP use its resources (human and financial) in achieving its contribution?</li> <li>▪ In the opinions of the Chinese stakeholders, how efficient is UNDP project management, including justifying, defining, initiating, running and closing projects, and monitoring and evaluation of projects, compared with other partners?</li> <li>▪ What could be done to ensure a more efficient use of UNDP resources in the China context?</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>▪ Is the UNDP contribution sustainable?</li> <li>▪ Are the development results achieved through the UNDP contribution sustainable?</li> <li>▪ Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Are UNDP contributions from the related activities likely to continue? Who implements or supports these activities?</li> <li>▪ Do the human resources and funds meet the needs of sustainable operation of the activities?</li> <li>▪ Are various implementing agencies and beneficiaries willing to continue their cooperation with the UNDP? If yes, what do they think the most important attraction of UNDP cooperation?</li> <li>▪ Are the benefits of UNDP interventions owned by national stakeholders and integrated into the national development strategy of China after the intervention is completed?</li> </ul>

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Evaluation criteria	Evaluation question from the terms of reference	Detailed evaluation questions
<b>Relevance</b>	<ul style="list-style-type: none"> <li>▪ How relevant are UNDP programmes to the priority needs of the country?</li> <li>▪ Did UNDP apply the right strategy within the specific political, economic and social context of the region?</li> <li>▪ To what extent are long-term development needs likely to be met across the practice areas?</li> <li>▪ What were critical gaps in UNDP programming?</li> </ul>	<ul style="list-style-type: none"> <li>▪ How relevant is the UNDP programme to the priority needs of China? (judging from the specific situation when the programme was launched and the current situation)</li> <li>▪ Did UNDP apply the right strategy within the specific political, economic and social context of the less developed Western region in China?</li> <li>▪ To what extent are China's long-term development needs of achieving an all-around <i>Xiaokang</i> society by the year 2020 likely to be met across the practice areas?</li> <li>▪ What were critical gaps in UNDP programming?</li> </ul>
<b>Responsiveness</b>	<ul style="list-style-type: none"> <li>▪ How did UNDP anticipate and respond to significant changes in the national development context?</li> <li>▪ How did UNDP respond to national long-term development needs?</li> <li>▪ What were the missed opportunities in UNDP programming?</li> </ul>	<ul style="list-style-type: none"> <li>▪ How did UNDP anticipate and respond to the significant changes in the development strategy of China during the 11th Five-Year Plan?</li> <li>▪ How did UNDP respond to the challenges that China is faced with, such as widening internal inequalities, insufficient progress on energy intensity and environmental quality?</li> <li>▪ What were the missed opportunities in UNDP programming?</li> <li>▪ Should UNDP interventions continue in the same direction or should its main tenets be reviewed for the new cycle?</li> </ul>
<b>Equity</b>	<ul style="list-style-type: none"> <li>▪ Did the programmes and interventions of UNDP lead to reduce vulnerabilities in the country?</li> <li>▪ Did UNDP intervention in any way influence the existing inequities (exclusion/inclusion) in the society?</li> <li>▪ Has the selection of geographical areas of intervention guided by need?</li> </ul>	<ul style="list-style-type: none"> <li>▪ As China is facing the challenge of how to distribute the benefits of rapid economic development more equitably, did the interventions of UNDP contribute to dealing with the issues?</li> <li>▪ Did UNDP intervention in any way influence the existing inequities in the society? (for example, continuously growing gaps in income and quality of life between the urban and rural areas)</li> <li>▪ Is the selection of geographical areas of interventions responsive to China's special development strategy for the less developed western region?</li> </ul>
<b>Partnerships</b>	<ul style="list-style-type: none"> <li>▪ How has UNDP leveraged partnerships within the UN system as well as with national civil society and the private sector?</li> </ul>	<ul style="list-style-type: none"> <li>▪ How has UNDP leveraged partnerships within the UN system as well as with other development partners?</li> <li>▪ How has UNDP built cooperation relationship with the line ministries, local authorities and NGOs in China?</li> </ul>



## Annex IV

# PERSONS CONSULTED

### **GOVERNMENT OF CHINA**

#### **CENTRAL GOVERNMENT**

##### **Central Compilation & Translation Bureau**

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China Centre for Comparative Politics  
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##### **China Development Bank**

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##### **General Administration of Customs**

ZHOU Jianzhong

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##### **Ministry of Civil Affairs (MOCA)**

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**Ministry of Finance**

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MA Chongyu, Director-General

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TAO Ye, Section Chief

WANG Tianyu, Section Member

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ZHAO Fa, Deputy Director-General

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WANG Lei, UNNV, GEF Wetland Project Management Office in Gansu

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### **Beijing Workstation of Rights Protection for Rural Migrant Workers**

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### **China-Africa Business Council**

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### **China Agricultural University**

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ZHAO Meiyun, Programme Officer

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**Peking University**

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GAN Yonghe, Vice President

LI Juying, Engineer

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PAN Jian, Engineer

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**Others**

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LI Yong, Director-General

ZHANG Xuejun, Deputy Director-General





# RESULTS AND RESOURCES FRAMEWORK FOR THE PEOPLE'S REPUBLIC OF CHINA, 2006-2010

Programme component	Programme outcomes	Programme outputs	Output indicators, baselines and targets	Resources by goal
<b>Achieving the MDGs and reducing human poverty</b>	<p>1. <i>Xiaokang</i>/MDG concepts and indicators integrated into national and provincial development vision, policies and plans.</p>	<p>1.1 National <i>Xiaokang</i> Vision and MDG goals and indicators localized and integrated into the development plan.</p> <p>1.2 Five provincial plans developed in tune with <i>Xiaokang</i>/MDG vision and indicators.</p> <p>1.3 Improved tax legislation and strengthened capacities in tax administration enable the development of pro-poor initiation.</p> <p>1.4 Poverty reduction approach piloted on target population.</p>	<p>1.1 Mid/long-term national plan influenced by the <i>Xiaokang</i>/MDG concepts.</p> <p>1.2 Five provinces plans influenced by <i>Xiaokang</i>/MDG concept.</p> <p>1.3 Poverty reduction strategy, linked to macro-economic framework through pro-poor fiscal reforms, micro-finance and trade policies, developed and piloted.</p>	<p>Regular resources: USD 11 million</p> <p>Other resources: USD 35 million</p>
	<p>2. National efforts to lead and manage <i>Xiaokang</i>/MDG implementation supported through a variety of instruments and capacity building.</p>	<p>2.1 900 senior leaders trained/exposed to international best practices on sustainable and human centred developments.</p> <p>2.2 Awareness created civil society on the broader definition of an all round <i>Xiaokang</i> society.</p>	<p>2.1 Increased leadership capacity to apply <i>Xiaokang</i> concepts.</p> <p>2.2 <i>Xiaokang</i>/MDG indicators developed.</p> <p>2.3 Awareness on <i>Xiaokang</i>/MDGs increased among key stakeholders (national and provincial).</p> <p>2.4 One national and five provincial <i>Xiaokang</i> reports.</p> <p>2.5 International Poverty Centre established to provide policy oriented research and training.</p> <p>2.6 Chinese Association of Micro-finance established.</p> <p>2.7 Human Development Fund established to facilitate private sector support to poverty reduction efforts.</p>	<p>Regular resources: USD 12 million</p> <p>Other resources: USD 65 million</p>

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Programme component	Programme outcomes	Programme outputs	Output indicators, baselines and targets	Resources by goal
	<p>3. Enabling environment for civil society participation and its effective engagement in <i>Xiaokang</i> priority issue supported.</p>	<p>3.1 Relevant laws and regulations for registration, funding and participation in consultations revised.</p> <p>3.2 Increased participation of civil society in the design and implementation of development policies/programmes.</p>	<p>3.1 Policies and regulatory framework improved to form an enabling environment for civil society development.</p> <p>3.2 Enhanced capacity of state institutions to engage civil society in the development process.</p> <p>3.3 Civil society organizations' capacities strengthened to more effectively participate in the development of <i>Xiaokang</i> society.</p> <p>3.4 Environment awareness and capacity to address environmental issues raised through visible high-profile campaign, strategy and training.</p>	<p>Regular resources: USD 3 million</p> <p>Other resources: USD 7 million</p>
	<p>4. Rule of law strengthened to protect human rights of all, especially the poor and the disadvantaged groups.</p>	<p>4.1 Poor and disadvantaged groups empowered to seek remedies for injustices, and justice institutions enabled to be responsive to claims, consistent with international human rights norms.</p> <p>4.2 Transparency and accountability within the civil service increased to promote efficient delivery of services.</p>	<p>4.1 Legal system reforms to strengthen rule of law.</p> <p>4.2 Capacity of legal institutions and personnel, particularly those in the Western Region, enhanced to better protect human rights in line with key United Nations human rights conventions.</p> <p>4.3 Legislative and oversight capacity of people's congresses strengthened to manage the demands of different groups in society.</p> <p>4.4 Increased access to justice for the poor and disadvantaged groups; improved capacity of rights-holders (in particular the disadvantaged and the migrants) to claim their rights.</p> <p>4.5 Development of anti-corruption legislations and codes of conduct to strengthen transparency and accountability within the civil services.</p>	<p>Regular resources: USD 3 million</p> <p>Other resources: USD 13 million</p>

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Programme component	Programme outcomes	Programme outputs	Output indicators, baselines and targets	Resources by goal
	5. Capacities to pursue gender-equality efforts enhanced through advocacy, gender sensitive analysis and implementation.	5.1 Capacity for gender responsive analysis created. 5.2 Pilot interventions to benefit women and their livelihoods modelled.	5.1 MDG/gender assessment conducted and report released. 5.2 Micro-finance services and training for poor women in rural area provided. 5.3 Institution building initiatives undertaken to enhance women's participation in the productive sectors.	Regular resources: USD 2 million Other resources: USD 2 million
<b>UNDAF Outcome 3:</b> By the end of 2010, more efficient management of natural resources and development of environmentally-friendly behaviour in order to ensure environmental sustainability (with special focus on water, energy and land biodiversity).				
Energy and environment for sustainable human development	6. End-use energy efficiency and application of new and renewable energy technologies improved.	6.1 Energy consumption per unit of gross domestic product decreased. 6.2 Strategies and favourable policies for China's 2010 and 2020 renewable and new energy targets developed, notably a roadmap for new and renewable energy industry and technologies.	6.1 Voluntary agreements implemented by a dozen pilot enterprises to improve energy efficiency and reduce CO2 emissions. 6.2 Regulations, codes, guidelines, standards, and labels for energy efficiency and conservation developed, improved, and widely applied to residential and commercial buildings, as well as to industrial, residential and service equipment. 6.3 The capacity of energy conservation centres strengthened to provide energy efficient services and information, and implement the Energy Conservation Law. 6.4 Commercialization of new and renewable energy technologies promoted.	Regular resources: USD 1 million Other resources: USD 42 million

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Programme component	Programme outcomes	Programme outputs	Output indicators, baselines and targets	Resources by goal
	7. Conservation and sustainable use of biodiversity is more effective.	<p>7.1 Joint China Biodiversity Partnership Framework Group established, including key international and national partners; Joint Results Framework agreed upon.</p> <p>7.2 National and Local Biodiversity Action Plans updated and mainstreamed into the national and local Five-Year Plan.</p> <p>7.3 Capacity of CSOs and communities to participate in biodiversity conservation activities strengthened.</p> <p>7.4 National coordination mechanism established.</p> <p>7.5 Capacity to analyse and manage risks at the national and selected communities strengthened.</p>	<p>Strengthened coordination mechanism set up among national and international partners for effective management of biodiversity along the following four themes:</p> <p>7.1 Enabling environment for biodiversity conservation.</p> <p>7.2 Mainstreaming biodiversity into planning and investment process.</p> <p>7.3 Biodiversity conservation in protected areas.</p> <p>7.4 Biodiversity conservation in production landscape.</p> <p>7.5 Natural disaster risk reduction action plans formulated.</p>	<p>Regular resources: USD 2 million</p> <p>Other resources: USD 51 million</p>
<b>UNDAF Outcome 4:</b> By 2010, increased access and utilization of information, skills and services to: 1) reduce and discrimination, 2) prevent new HIV infections, and 3) support provision of treatment, care and support to those infected and affected by HIV/AIDS, with particular focus on women and vulnerable population groups.				
Responding to HIV/AIDS	8. Leadership skills and legislation prepared to respond to HIV/AIDS.	8.1 Provincial plans include specific ideas to respond to HIV/AIDS.	<p>8.1 Leadership planning and coordination capacities built among officials at the national level and in the 20 piloted provinces.</p> <p>8.2 National/provincial key legislation revised.</p>	<p>Regular resources: USD 2 million</p> <p>Other resources: USD 10 million</p>

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Programme component	Programme outcomes	Programme outputs	Output indicators, baselines and targets	Resources by goal
<b>UNDAF Outcome 5:</b> Increased role and participation in international arena and international cooperation.				
	9. Key United Nations conventions promoted through improved capacity to fulfil their obligations.	9.1 Policy makers and general public engaged to support United Nations conventions implementation.	9.1 Ratifications and implementation of key United Nations conventions promoted to fulfil international responsibility. 9.2 Improved capacity to prepare the Second National Communication on Climate Change with special attention to vulnerability and adaptation. 9.3 Implementation of the Persistent Organic Pollutants (POPs) convention supported through strengthened capacities and policies, especially in the area of reduction of pesticides.	Regular resources: USD 2 million Other resources: USD 9 million
	10. Global partnerships promoted for effective results.	10.1 China-Africa Business Council effectively promoting trade and investment.	10.1 Public-private partnership enhanced in South-South cooperation initiatives. 10.2 China's cooperation with neighbouring countries in Tumen area Central Asia and Mekong sub-region increased, especially in fields of trade, investment, tourism and transport.	Regular resources: USD 2 million Other resources: USD 6 million

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