

附件

通过森林景观规划和国有林场改革 增强中国人工林生态系统服务功能

Building Climate Resilient Green Infrastructure: Enhancing Ecosystem Services of Planted
Forests in China Through Forest Landscape Restoration and Governance Innovation

终期评估专家职责任务大纲

Terms of Reference For End Term Review

背景 BACKGROUND

“通过森林景观规划和国有林场改革，增强中国人工林生态系统服务功能”（简称“国有林场 GEF 项目”）是由全球环境基金资助的赠款项目，国家林业和草原局为国内执行机构，世界自然保护联盟（IUCN）为国际执行机构，实施区域包括河北省承德市、江西省赣州市、贵州省毕节市。项目主要以选定的 7 个试点国有林场为主体，利用国有林场改革的历史机遇，借鉴森林景观恢复等国际先进理念，编制新型森林经营方案，探索形成一套有效提高国有林场治理能力、精准提升中国人工林生态系统服务功能的机制体制；以选定的 2 县 1 市为单位，探索编制森林景观恢复规划（即以林为主的山水林田湖草沙规划）；开展生态系统服务监测，评估国有林场生态系统服务价值；加强宣传交流、能力建设和经验分享。Building Climate Resilient Green Infrastructure: enhancing ecosystem services of planted forests in China through forest landscape restoration and governance innovation project (PRC-GEF State Forest Farms Project, here after “the project”) is granted by the Global Environment Facility (GEF) in 2018, with the China National Forestry and Grassland Administration (NFGA) as executing agency, and the International Union for Conservation of Nature (IUCN) as implementing agency. Chengde in Hebei province, Ganzhou in Jiangxi province and Bijie in Guizhou province are pilots of the project. The project aims to enhance sustainable management for the State Forest Farms (SFFs) in China based on the Forest Landscape Restoration (FLR) and Sustainable Forest Management (SFM). The project will strengthen key ecosystem services of SFFs at geological landscape scale, and evaluate these services by way of ecological as well as economic and social benefits.

该项目于 2018 年 12 月正式启动。项目期为 2019-2023 年，在 2021 年对项目进行中期审查。根据协议完成所有计划活动后，将于 2023 年 9 月至 11 月对该项目进行终期评估。The project was officially launched in December 2018. The project period is 2019-2023, mid term review of the project conducted in the year 2021. With the completion of all the planned activities as per the agreement, the end term review for the project will be conducted in September to November of 2023.

ETR 目标是根据项目文本、结果框架的要求，评估项目启动至今的进展。ETR 尤其关注自项目启动至 2023 年 11 月 30 日止的工作计划和预算，以确保项目执行力度和财务进度符合项目要求 The goal of ETR is to evaluate the progress of the project since its inception based on the requirements of the project proposal document and outcome framework. Particular attention will be paid to work plans and budgets from project launch to November 30, 2023, to ensure attainment of the agreed implementation rate and disbursement targets.

终期评估将根据预期目标评估项目成果的实现情况，并吸取经验教训，来提高该项目效益的可持续性和全面加强实施项目。预计终期评估将确保问责制和透明度，并评估项目成就的程度。评估的目的是根据计划产出和可交付成果，对项目进展情况提供独立的外部看法，并向国家林草局和 IUCN 等利益相关方提供反馈和建议。The end term review is expected to assess the achievement of project results against what was expected, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of implementation. The end term review is expected to ensure accountability and transparency, and assess the extent of project accomplishments. The purpose of the evaluation is to provide an independent external view of the progress of the project against the planned output and deliverables, and to provide feedback and recommendations to NFGA/ IUCN and other stakeholders in China.

终期评估目标 OBJECTIVE OF THE ASSIGNMENT

终期评估报告的目标如下：The objectives of the end term review report are to:

- 评估迄今为止的工作成果 Assess progress toward achievement of expected project outputs and outcomes
- 评估项目在设计 and 执行阶段所遇到的问题和挑战，并就其对项目造成的影响进行评估，包括在项目的产出和项目成果的可持续性方面 Assess the issues and challenges project faced during its design phase as well as during implementation and assess their impact in terms of project's delivery and sustainability of project results
- 记录经验教训，以促进本项目产出和效益的可持续性 Document lessons learned to contribute to sustainability of outputs and benefits generated from this project
- 提出具体建议，以加强项目成果的可持续性 Make concrete recommendations to help consolidate and support sustainability of project results

工作流程 PROCESS

1. 对项目文本进行案头审查，根据项目的计划、能力建设活动、项目报告(审查前的)、项目文件、合同和相关的协议等来汇编项目成果表。包括Desk based review of project documents, including preparing an updated table of project achievements against the planned activities, achievement on capacity building activities and any relevant output reports (done before the review), the project document, contracts and related agreements.
 - 项目文本 Project Identification Form (PIF) and approved Proposal Document (ProDoc)
 - 年度工作计划和预算，包括中间进行修改和调整的版本。Annual workplans and budgets including revisions and amendments during the project period
 - 项目进展报告 Progress Reports
 - 项目技术报告 Technical reports
 - 项目年度检查的结果和反馈 Project supervision reports and its recommendations
 - 中期评估报告和它提出的建议 Mid term review report and its recommendations
2. 对利益相关者进行咨询，包括关键合作伙伴和个人（如项目指导委员会）； Consultations with stakeholders including key partners and personnel (such as PSC)；
3. 举行项目终期评估研讨会。重点讨论项目成果、产出和影响三个部分。介绍项目活动、成果和影响，进行讨论，并给出初步建议； Final project end term review workshop. The workshop will focus on project achievements, outputs and impact pathway. The

workshop will involve presentations of activities, results and impacts, and identify preliminary recommendations

4. 进行现场考察,了解项目试点实施情况和项目区域的利益相关者; Field visit to project districts to gain understanding of the implementation of project field pilot activities, and district stakeholders
5. 编制终期评估报告.Preparation of a end term review report

评估过程应确保各方积极参与,包括项目执行团队、GEF 项目管理人员、相关人员、IUCN 国家办公室和其他利益相关方。The review process will ensure meaningful participation of all parties involved, focal execution unit, GEF operational focal point, relevant thematic agencies, IUCN country office and other key stakeholders

终期评估整个过程必须是独立的,因此必须由独立专家来承担此项任务。The process of end term review must be independent, thus will be conducted by independent experts.

关注的~~关键~~问题 **Key Focus Areas**

相关性 **Relevance**

1. 该项目在战略政策和方案方面的贡献是多少 To what extent had the project contributed to the strategic policies and programmes?
2. 未来前景如何 What is the way forward?
3. 评估项目对于国家目标的贡献 Assess the contribution of the project towards the achievement of national objectives
4. 分析项目是否已经解决了利益相关者的关切 Analyse whether the project's approach addressed the needs and demands of the stakeholders.

有效性 *Effectiveness*

1. 哪些工作做得好,哪些需要改进? What has worked well and not worked well as expected?
2. 活动是否按照项目计划执行?如果没有,为什么? Are the activities implemented in accordance with the project plans? If not, why?

3. 取得了哪些成果？它们在多大程度上有助于实现项目目标？ What outputs have been achieved? To what extent do they contribute to the objectives?
4. 实现预期产出的方法和机制结构是否有效？如何改进？ How effective are the approaches and structures in delivering the desired outputs? How can they be improved?
5. 相关方是否有效地协同工作？管理机制是否有效地推动了预期产出的实现？ Do the collaborative organizations work together effectively? Is the structure effective in achieving the desired outputs?
 - 审查项目是否完成了其产出； Review whether the project has accomplished its outputs;
 - 评估项目迄今为止的业绩，特别是参照项目文件和工作计划中所规定的质量指标和数量指标； Assess the performance of the project so far with particular reference to qualitative and quantitative achievements of outputs and targets as defined in the project documents and work-plans and with reference to the project baseline
 - 评估配资的有效性； Assess the effectiveness of the co-funding arrangements:

效率 Efficiency

1. 项目技术和资金是否足以完成项目计划？评估项目是否按照工作计划利用项目资金来实现预期目标 Are the available technical and financial resources adequate to fulfill the project plans? Assess whether the project has utilized project funding as per the agreed work plan to achieve the projected targets.
2. 是否有任何不可预见的问题？处理得如何？ Have there been any unforeseen problems? How well were they dealt with?
3. 管理结构中是否有一个有效的流程，用于自我监督和评估、报告和反思？ Is there an effective process, built into the management structure for self-monitoring and assessment, reporting and reflection?
 - 分析项目指导委员会（PSC）的作用，以及该机制是否被最佳地用于决策 Analyse the role of the Project Steering Committee (PSC) and whether this forum is optimally being used for decision making.
 - 报告的时间表和质量要求 Assess the timeline and quality of the reporting
 - 从数量和质量方面评估项目提供的管理和其他投入（如设备、技术援助和预算投入）的情况 Assess the qualitative and quantitative aspects of management

and other inputs (such as equipment, technical assistance and budgetary inputs) provided by the project.

- 确定影响项目执行的因素，包括与政策、技术、管理、机制体制和社会经济有关的问题，以及项目设计期没有能够提前预见的其他外部因素。Identify factors and constraints which have affected project implementation including policy related, technical, managerial, organizational, institutional and socio-economic issues in addition to other external factors unforeseen during the project design.

可持续性影响 Sustainability and Impact

1. 项目路径是否确保了项目结束后的持续效益？ Was the approach used likely to ensure a continued benefit after the end of the project?
2. 所有关键利益相关者是否充分有效地参与？ 他们的期望是否得到满足，参与程度是否满意？ Were all key stakeholders sufficiently and effectively involved? Were their expectations met and are they satisfied with their level of participation?
3. 所使用的方法是否全面？ 是否具有性别敏感性？ Was the approach inclusive and gender responsive?
4. 是否需要其他或额外的措施，如果需要，需要什么来确保持续的可持续性和积极的影响 Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and a positive impact?
 - 形成在项目结束后项目成果发挥可持续作用（在基层和政府层面）的初步判断 Assess preliminary indications of the degree to which the project results are likely to be sustainable beyond the project's lifetime (both at the community and government level), and provide recommendations for strengthening sustainability.
 - 评估项目干预措施对政策、能力和意识的影响的可持续性 Assess the sustainability of the project interventions in terms of its effect on policy, capacities and awareness

网络/链接 Network /linkages

- 评估利益相关者（政府和民间社会、少数民族、当地社区、学术和研究机构等）在项目执行中的水平、程度和代表性 Evaluate the level, degree and

representation by the stakeholders, (government and civil societies, indigenous groups and local communities, academic and research institutions etc.) in the execution of the project

- 评估项目与其他项目的一致性，确定实现目标/指标的联系和机会；Assess the alignment of the project with the other projects and identifying linkages and opportunities for achievement of objectives/targets;

经验教训/结论 Lessons learnt/ Conclusions

- 确定从项目的有效性、效率、可持续性和网络方面可以得出的重要经验教训或结论 Identify significant lessons or conclusions which can be drawn from the project in terms of effectiveness, efficiency, sustainability and networking

评估专家 Reviewers

ETR 将由一个由两名专家组成的联合小组开展评估。The review will be conducted jointly by a two member team of consultants .

评估专家 A 将负责以下任务 The reviewer A will be responsible for the following tasks:

- 领导 ETR 确保任务按要求完成，Lead ETR and be responsible for final report;
- 分析项目的报告和产出 Review and analysis of project reports and papers
- 确定关键经验教训； Identification of key lessons learned;
- 确定本项目中可能具有未来影响的方法和机制 Identification of approaches and systems used in this project that might have future implications
- 终期评估的总体结果； Overall findings from the End-Term Review;
- 终期评估建议的阐述。 Articulation of the recommendations from the End-Term Review.

评估专家 B 将负责以下任务 The Reviewer B will be responsible for the following tasks:

- 审查和分析迄今为止完成的项目报告和文件 Review and analysis of project reports and papers completed to date;
- 对原项目设计和方法适宜性的思考 Reflections on the appropriateness of the original project design and approaches;
- 审议项目方法 Consideration of the project methodologies ;

- 合作伙伴和关键利益相关者参与项目活动，包括 IUCN、国家林草局等关键相关方的参与情况 Engagement of partners and key stakeholders in project activities, especially IUCN, NFGA and so on;
- 阐明具体建议，以帮助巩固和支持项目成果的可持续性 Articulate concrete recommendations to help consolidate and support sustainability of the project results

预期产出 Outputs

最终产出为完成终期评估报告（中文版，需提交纸质和电子版）The mission will complete and submit a final report in both hard and soft copy at the end of the mission.

终期评估的初稿和最终报告，报告的结构应合乎逻辑，应载有循证调查结果、结论、经验教训和建议，不应提供与总体分析无关的资料。报告应详细回应上述关键重点领域。它应包括为项目制定的一套具体建议，并确定需要采取的 necessary 行动、谁应采取这些行动以及可能的时间表（如有）。在初稿基础上，由国际和国内执行机构在终期评估汇报会中提出相关反馈，会后一周内形成最终报告。报告为中文，由国家执行办公室组织翻译成英文版。The MTR Draft and Final Report: The report should be logically structured, contain evidence-based findings, conclusions, lessons and recommendations, and should be free of information that is not relevant to the overall analysis. The report should respond in detail to the key focus areas described above. It should include a set of specific recommendations formulated for the project, and identify the necessary actions required to be undertaken, who should undertake those and possible time-lines (if any). Both national and international implementation agency will provide feedback to draft report on MTR wrap-up workshop, and a final report (Chinese version) should be accomplished within a week after wrap-up workshop. Project management office will translate final report into English.