



Enabling poor rural people
to overcome poverty

Independent Office of Evaluation

Approach Paper

People's Republic of China

Country Programme Evaluation

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Contents

Abbreviations and acronyms	ii
Map of IFAD-supported operations	iii
I. Introduction	1
II. Country background	1
III. Overview of IFAD-supported operations and evolution of the country strategy	6
IV. Evaluation process, methodology and objectives	9
V. The core learning partnership	12
VI. Evaluation team	13
VII. Communication and dissemination	13
VIII. Evaluation road map	14
Annexes	
I. Evaluation Framework	15
II. IFAD-financed projects in China 1982-2012	27
III. IFAD-funded projects covered by the China CPE	29
IV. Bibliography and references	30

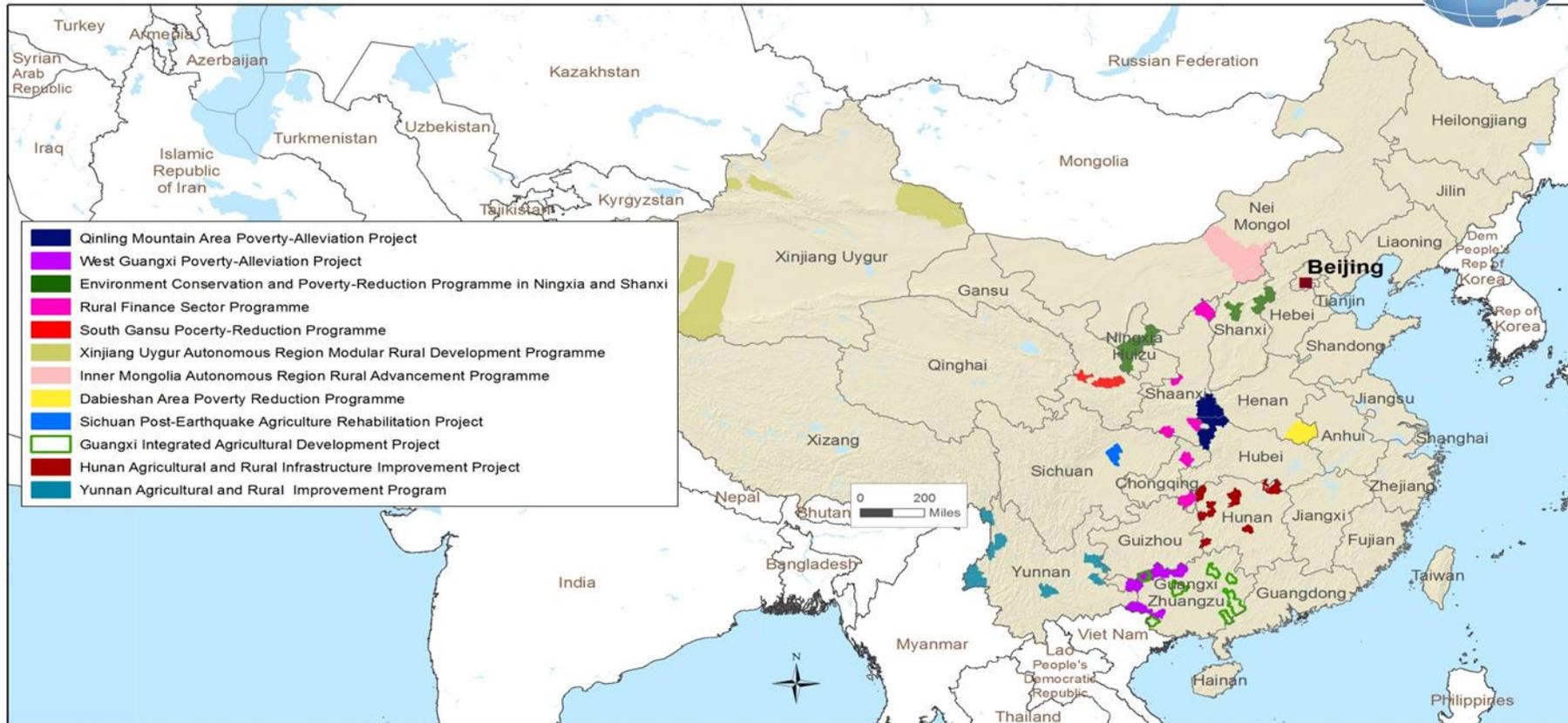
Abbreviations and acronyms

ACP	Agreement at Completion Point
ADB	Asian Development Bank
APR	Asia and the Pacific Division, IFAD
CI	Cooperating Institution
CLP	Core Learning Partnership
COSOP	Country Strategic Opportunities Paper/Programme
CPE	Country Programme Evaluation
FAO	Food and Agriculture Organization of the United Nations
IFI	international financial institution
IOE	Independent Office of Evaluation of IFAD
IPRCC	International Poverty Reduction Centre in China
LGOPAD	the State Council Leading Group Office of Poverty Alleviation and Development
M&E	Monitoring and Evaluation
MOA	Ministry of Agriculture
MOF	Ministry of Finance
NDRC	National Development and Reform Commission
NGO	Non-governmental organization
OECD	The Organisation for Economic Co-operation and Development
RCC	Rural Credit Cooperation
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services
WFP	World Food Programme

Map of IFAD-supported operations

People's Republic of China

IFAD-funded operations included in the Country Programme Evaluation



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

Map compiled by IFAD | 23-01- 2013

People's Republic of China

Country Programme Evaluation

I. Introduction

1. As approved by the Executive Board of IFAD in December 2012, the Independent Office of Evaluation of IFAD (IOE) will undertake the first Country Programme Evaluation (CPE) of the co-operation between IFAD and the Government of China in addressing rural poverty in China. This will be the first CPE undertaken by IOE in China since the inception of the Fund's operations in 1981. The CPE will be conducted in 2013 and completed in 2014.
2. Within the overall provisions contained in the IFAD Evaluation Policy,¹ the China CPE will follow IOE's methodology and processes for CPEs as indicated in the IOE Evaluation Manual.² A CPE is normally conducted prior to the preparation of a results-based Country Strategic Opportunities Programme (COSOP) for a concerned country, as it generates strategic findings and recommendations as building blocks for formulating new country strategies.
3. The China CPE will cover a time span from 1999 to the present, which is corresponding to the timeframe of IFAD's country strategies: the two previous COSOPs covered periods of 1999-2005 and 2006-2010, respectively; the current COSOP (2011 - 2015) will also be covered as part of this CPE.
4. Before this CPE, since 2000, IOE has conducted four project evaluations in China (see table 1 the list of previous evaluations). IFAD operations in China have also been covered as part of other evaluations by IOE, as shown in the table 1. In addition, in 2010 IFAD's Asia and the Pacific Division (APR) has conducted a Country Programme Review applying IOE's evaluation methodology, and this self-evaluation provided valuable complementary evaluation findings.

Table 1

Previous IOE Evaluations Relating to IFAD Operations in China

<i>Evaluation Type</i>	<i>Evaluations</i>
Project evaluations	Rural Finance Sector Programme, 2013 West Guangxi Poverty-Alleviation Project, 2010 Qinling mountain Area Poverty-Alleviation Project, 2010 Southwest Anhui Integrated Agricultural Project, 2006
Corporate-level evaluations including China	Evaluation of IFAD's Regional Strategy in Asia and the Pacific, 2006
Thematic Evaluations including China	Organic Agriculture and Poverty Reduction, 2005 Promotion of Local Knowledge and Innovations in Asia and the Pacific Region, 2004 Thematic Study on Rural Financial Services in China, 2001

II. Country background

5. **The Economy.** In the past three decades, China has witnessed two historic transformations: from a rural, agriculture society to an urban, industrial one, and from a command economy to a market-based one. Urbanisation and market reform have been the main drivers for China's economic growth. The GDP growth rate

¹ Approved by the Fund's Executive Board in May 2011. <http://www.ifad.org/pub/policy/oe.pdf>.

² Finalised in 2009. http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf.

averaged 9.9 per cent in the past 30 years, with a modest average inflation rate of 2.9 per cent.³ China has surpassed Japan to be the world's second largest economy since 2010, and the GNI per capita was estimated at 4 940 US\$ in 2011,⁴ categorizing China as an upper-middle-income country⁵ (Table 2 provides the main macroeconomic indicators.) Such rapid economic growth has been accompanied by many achievements in infrastructure, which created a good platform for economic development and poverty reduction. For example, now China is home to the world's largest high-speed railway network,⁶ second largest highway network, and 6 of 10 largest container ports.⁷

6. Yet China remains a developing country facing multiple social and economic challenges for future development, and its market reforms are still incomplete. In 2011, China ranked 114th among 213 countries in terms of GNI per capita,⁸ and China is still home to the second largest number of poor in the world; over 170 million people still live below the 1.25-a-day international poverty line. Among many other pressing issues, spurred by export-oriented policies, the rapid economic growth has been resource intensive and environmentally damaging, and China's growth has been uneven between urban and rural areas, and between different social groups. As a matter of fact, the emphasis on GDP growth has stunted investments in social services and human development, which exacerbates income inequality, and challenges further progress in poverty reduction. Since 2011, the Government gradually changed the course, on one side to sustain the economic growth, and on the other to address the pressing social development challenges such as income inequalities, low coverage of medical aid, and environmental damages.

Table 2

Main economic indicators of china 2004 - 2011

Year	2004	2005	2006	2007	2008	2009	2010	2011
Real GDP growth (%)	10.1	11.3	12.7	14.2	9.6	9.2	10.3	-
GDP per capita (PPP, US\$)	3.614	4.102	4.748	5.554	6.188	6.785	7.518	-
Value added in agriculture hunting and forestry; fishing (%)	13.4	12.1	11.1	10.7	10.7	10.3	10	10.1
Consumer price inflation (annual %)	3.9	1.8	1.5	4.8	5.9	-0.7	3.3	5.4
Population, total, million	1,300.5	1,307.5	1,314.5	1,321.2	1,328.2	1,334.9	1,341.3	1,348

Source: OECD - Country Statistical Profiles.

7. **Social Development.** China's social development in the past decades has been equally impressive. Considerable progress has been made toward improving education and health services. China has achieved nearly universal coverage and gender parity in basic education and has rapidly expanded enrolment in senior high school and tertiary education institutions. Expected years of schooling of children, as a key indicator for education, has been improved from 8.3 in 1980 to 11.6 in 2011.⁹ With respect to health, China has sharply reduced the devastation of infectious diseases, and expanded coverage of health insurance to urban and rural citizens in recent years. Life expectancy at birth increased by more than 25 years

³ High-Speed Rail, Regional Economics, and Urban Development in China, World Bank, 2013.

⁴ World Bank Atlas method.

⁵ <http://data.worldbank.org/about/country-classifications>.

⁶ <http://www.uic.org/spip.php?article573>.

⁷ China 2030, the World Bank.

⁸ <http://databank.worldbank.org/databank/download/GNIPC.pdf>.

⁹ <http://hdrstats.undp.org/en/indicators/69706.html>.

since 1960 to reach 73.1 years in 2010.¹⁰ China's Human Development Index moved up from 0.404 in 1980 to the current 0.687, which gives the country a rank of 101 out of 187 countries.¹¹ However, this rank indicates space for future improvement. One example is that, in China, 53.6 per cent of health spending was funded by public sources in 2010, well below the average of 72.2 per cent across OECD countries.¹²

8. **Poverty.** Due to economic growth, the country's poverty rate has fallen from 84 per cent in 1981 to 13 per cent in 2008, about 600 million Chinese people were lifted out of absolute poverty during the past three decades.¹³ Extreme poverty, in the sense of not being able to meeting the most elementary food and clothing needs, has been almost eliminated in China, but many are "near poor"- just above the poverty line and very vulnerable to shocks.¹⁴ Given that over 170 million people still live below the US\$1.25 a day poverty line, poverty reduction however remains a fundamental challenge. Today, poverty is mainly a rural phenomenon and most severe in China's central and western regions, in upland villages, among ethnic minorities, and in households with low levels of educational attainment, and the remaining poor are more dispersed.
9. Increasing income disparities have contributed to poverty and social tensions. Inequalities in incomes are mirrored and exacerbated by large disparities in opportunities to access economic resources, quality social services and social protection. In recent years, the rise in income inequality may have slowed slightly, thanks in part to increased transfers of public resources to poor rural areas. However, other dimensions of inequality, such as asset ownership, particularly housing, have continued to rise.
10. **Agriculture and productivity.** Agriculture has been one of the key forces for steady growth and poverty reduction in China. Starting with the shift in 1978 from a planned agricultural economy to the household responsibility system, agricultural production has improved dramatically. Significant improvements in food security and nutrition have largely been attributed to increased agricultural productivity. China has in fact put much effort and investment into agricultural research and development, which has helped to develop new technologies and foster technical innovations. Productivity increase is also reflected in labour productivity as rural population decreased from 60 per cent in 2003 to 49 per cent of total population in 2011, while total production has been increasing.¹⁵
11. It is estimated that the growth of the agricultural sector in China between 1981 and 2004 had four times more impact on reducing poverty rates than growth in either the manufacturing or services sectors.¹⁶ In 2011, the value added by agriculture was 10 per cent of the GDP, compared with that by industry 47 per cent and by the tertiary sector 43 per cent.¹⁷ Agricultural growth is projected to slow down, reducing the weight of agriculture to 8.4 per cent between 2013 and 2015.¹⁸
12. **Government policies for agriculture and rural development.** In recent years the Government has increased public investment in agriculture and rural areas. Starting from 2004 the key priorities related to rural development have been the "three nongs": agriculture, rural areas and farmers. The objective of the 11th five-year plan (2006-2010) was to balance economic growth with a greater equality of opportunities and to improve basic social services (such as health, education and

¹⁰ <http://www.indexmundi.com/facts/china/life-expectancy-at-birth>.

¹¹ <http://hdrstats.undp.org/en/countries/profiles/CHN.html>.

¹² <http://www.oecd.org/china/BriefingNoteCHINA2012.pdf>.

¹³ World Development Indicators, the World Bank.

¹⁴ Country Partnership Strategy 2012, the World Bank.

¹⁵ <http://data.worldbank.org/indicator/SP.RUR.TOTL.ZS>.

¹⁶ <http://data.worldbank.org/indicator/SP.RUR.TOTL.ZS>.

¹⁷ <http://data.worldbank.org/indicator>.

¹⁸ <http://data.worldbank.org/indicator>.

social protection), energy efficiency, environmental protection and resource conservation.¹⁹ The rural economy is still at the centre of the 12th five-year plan (2011-2015), with the aim of a more balanced growth of economic development and social development. As a matter of fact, this aim is also to be reached by improving rural welfare and by boosting rural income in order to enhance domestic demand and therefore shift to a new growth model.

13. The Government has also accorded high priority to poverty reduction, implementing a series of clearly articulated rural poverty alleviation strategies. In 2011, the Government adjusted the official rural poverty line to be more in line with international standards, qualifying 100 million more people for a variety of benefits that will bring more resources to poor regions. The most recent is the Outline for Development-Oriented Poverty Reduction for China's Rural Areas (2011-2020).
14. **Gender equality.** Chinese government made commitments to gender empowerment. In 2011, China ranked 35th among 142 countries in the UNDP Gender Inequality Index, much higher than its HDI rank.²⁰ Gender parity has been achieved in education with the ratio of girls to boys in primary and second education being of 103:100 in 2011. The maternal mortality has declined dramatically from 110 in 1990 to 37 per 100 000 live births in 2010. Women representatives constituted 21.3 per cent of seats in national parliament, and about 67.4 per cent of women participated in the labour force .²¹
15. A new legal and organizational framework has been put in place for the period of 2011-2020 called "the Programme for the Development of Chinese Women". In line with such strategy, the 12th five-year plan emphasizes the protection of women's legal rights and the importance of ensuring them equal access to resources and services. In addition, the Programme also promotes the improvement of women's ability in economic development by encouraging female entrepreneurship and employment.
16. **Environment and natural resources.** China has experienced damages to the environment and depletion of natural resources in the process of rapid industrialisation and urbanisation, and the damages were often absorbed by rural areas. More than half of China's water is polluted, over 300 million people use contaminated water supplies, and about a fifth of China's farmland has been contaminated with heavy metals. As indicated in China's green growth strategies, China's future development and food security depends on reducing the environmental impact, and improving the sustainability of its land and water and other natural resources.²²
17. **South-South Co-operation.** China has been an active player in South-South co-operation through engaging in cultural exchange, joint technical development, trade, financing, investments, and multilateral commitments. IFAD's China COSOP 2011-2015 intends to leverage China's strength in South-South co-operation to involve China in knowledge networks and events.
18. For promoting poverty reduction experience, in 2004 China set up the International Poverty Reduction Centre in China (IPRCC), which assumes a prominent and influential role as a platform for exchanging information and encouraging international collaboration. On the research front, IPRCC has explored strategies, models and best practices from international experience, and provided technical support to policy makers in China and overseas.²³ IFAD has been in partnership with IPRCC in recent years. Since 2009, IFAD grant-financed IPRCC's annual

¹⁹ Country Partnership Strategy 2012, the World Bank.

²⁰ http://hdr.undp.org/en/media/HDR_2011_EN_Table4.pdf.

²¹ Compared to 79.7 per cent of men.

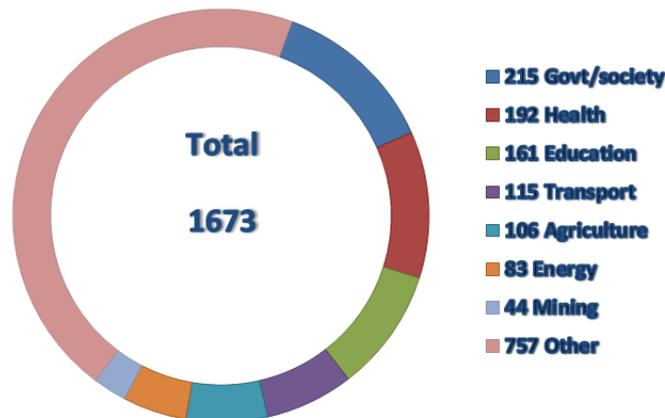
²² Country Partnership Strategy 2012, the World Bank.

²³ <http://www.iprcc.org.cn/front/article/article!getArticleContentBySpecial1.action?catalogId=596>.

consultation between China and various countries from Africa, Asia, and Latin America.²⁴

19. Based on a recent aid research conducted by the College of William and Mary,²⁵ China has committed US\$ 75bn on aid and development projects in Africa, including almost 1,700 projects in 50 countries between 2000 and 2011. Contrary to the general perception, there are few mining projects, while transport, storage and energy initiatives account for some of the largest sums; the research also reveals China has put hundreds of millions of dollars towards health, education and cultural projects. The composition of China-financed projects in Africa is seen in the figure below.²⁶

Figure 1
Composition of China Projects in African Countries 2001 - 2011



20. In recent years, some Chinese public financing institutions, such as the Export-Import Bank of China and the China Development Bank, have developed into one of the major international investors for investments in developing countries, which highlights a new dimension in the South-South co-operation.²⁷
21. South-South cooperation between China and other developing countries was highlighted by the Government and other multilaterals as a potential area where IFAD could develop a concrete action plan to facilitate exchange between southern nations and to support China in channelling development resources other countries. In particular, the Ministry of Finance suggested IFAD to consider the potential in designing China-IFAD co-financed projects in other countries where the Chinese financing could be outsourced to multilateral and other agencies.
22. **Official Development Assistance (ODA).** International donors have contributed to China's economic growth and poverty reduction through financial and technical co-operation. In the past decade, as China gradually increased domestic finances for public investments, ODA inflows decreased gradually (see figure 2). The net official development assistance and aid received in China was reported at US\$648 million in 2010.²⁸ However, the financial value of ODA to China is getting marginal in consideration of the growing domestic financial resources in China. The major multilateral agencies providing ODA are the World Bank, the Asian Development Bank, and the EU. Among the bilateral cooperation, Japan, Germany, France, and the United Kingdom are the major ODA providers.

²⁴ According to comments provided by APR.

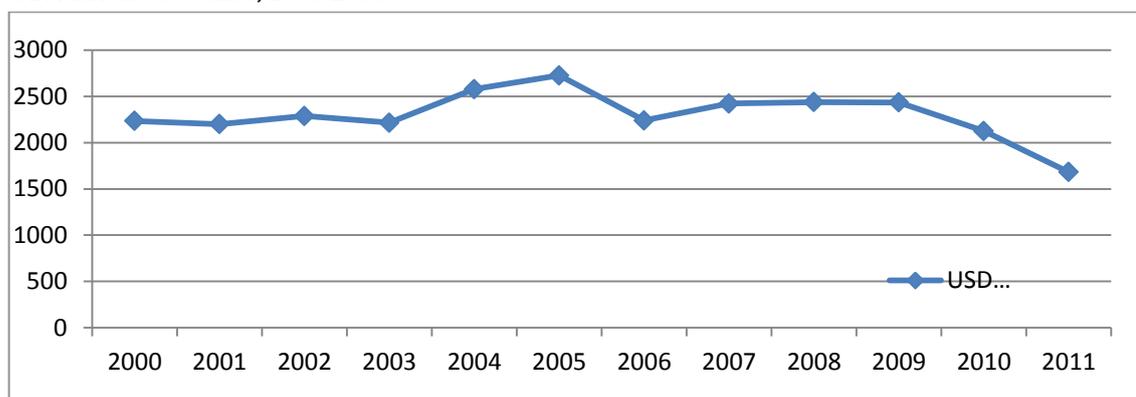
²⁵ AidData, College of William and Mary, US, <http://www.wm.edu/offices/tpir/aiddata/news/aiddata.cgd-project-sheds-light-on-chinas-foreign-aid.php>.

²⁶ <http://www.guardian.co.uk/global-development/interactive/2013/apr/29/china-commits-billions-aid-africa-interactive>.

²⁷ Emerging Actors in Development Finance with Potential Social and Environmental Risks: China & Brazil, World Resource Institute.

²⁸ Data source: world bank report 2012.

Figure 2
ODA inflows to China, 2000-2011



Source: OECD-DAC.

III. Overview of IFAD-supported operations and evolution of the country strategy

23. In 1981, at the starting point of China's unprecedented economic reforms, IFAD was the first internal financial institution to provide development assistance to China. Over the past years, China has been the second largest recipient country of IFAD's assistance, after India. Up to present, IFAD has approved 26 loans to China amounting to US\$731.3 million (nominal value). The total project costs are about US\$1.82 billion including the Government funding US\$888 million, which makes a ratio of IFAD leveraging government funding at 1:1.21. Except four on intermediate terms, the loans were provided on highly concessional terms till 2010; thereafter all loans are on ordinary terms. Table 3 provides a snapshot of IFAD operations in the country.
24. Of the 26 lending projects, five are on-going or in preparation for implementation. As represented in the intervention areas of individual projects, the sub-sectors included in IFAD operations in China are: rural finance, agriculture and small-scale infrastructure, enterprise development and marketing, environment and natural resources management, women's empowerment, and institution building.

Table 3
A Snapshot of IFAD Operations in China

IFAD operations start:	1981
Number of approved loans:	26
On-going projects:	5
Total amount of IFAD lending:	US\$ 731.3 million (nominal)
Lending terms:	Highly Concessional (1981- 2006, except 1982-1984), Intermediate (1982-84, 2007-09) and Ordinary Terms (since 2010)
Counterpart funding (Government):	US\$ 888 million (nominal)
Parallel financing and co-financing amount:	US\$ 101.4 million (nominal)
Total portfolio cost:	US\$ 1.82 billion (nominal)
Focus of operations:	Rural finance, agriculture, enterprise development, marketing, natural resources management, empowerment of woman, institution building, south-south cooperation
Main parallel financiers and co-financiers:	WFP, ACIAR, UNDP, UNDCP,GTZ (parallel financing)
Past cooperating Institutions:	World bank and UNOPS
Country Office in Beijing:	Since 2005, currently with 1 CPO and 2 Associate CPOs
Country programme managers:	8 CPMs since 1981, including the current CPM Mr Sana Jatta (since February 2011)
Main government partners:	Ministry of Finance (main government counterpart) Ministry of Agriculture

25. The non-lending activities, including knowledge management, policy dialogue and partnership building, are often funded through small-scale grants. One example is the aforementioned grant to IPRCC to support annual consultation between IFAD operations in China and other developing countries. Overall grant projects were marginal in IFAD's operations in China, and IFAD has been relying on loan projects as the main service to China.
26. **Evolution of the Country Strategy.** In the initial period from 1981 to 1987, the overarching theme of IFAD operations was food security for rural areas and poor households. Building on the experience of the five early projects, the first country strategy in China was developed based on ground experiences and was approved in 1987. Given the rapid changes in the economic environment, the country strategy was updated in 1989, emphasizing commercialization of agriculture including support for processing, diversification, and support services in agricultural development.
27. **The 1999 COSOP,** reflecting the government development strategies and the rapid changing economic reform contexts, gave emphasis on both agriculture and social development. It continued the multi-sectoral, area-based project approach and focused on targeting remote and marginal geographical areas and reforming rural finance in partnership with the Rural Credit Cooperation (RCC) network. Three mainstays were highlighted in designing and implementing projects under the 1999 COSOP: the WFP's Vulnerability Analysis and Mapping for selecting project areas and for identifying major issues; the Participatory Rural Appraisal methodology in

developing Village Development Plans; and RCCs introduced as rural finance providers instead of the previous project-managed credit revolving funds.²⁹ Under this COSOP, IFAD designed and approved four projects with total loans US\$325 million (the list of projects is seen in appendix II).

28. **The 2005 COSOP** made significant effort to align with the national 11th five-year plan (2006–2010) in terms of implementing period and strategic focus. It continuously placed great emphasis on targeting marginal areas and supporting rural finance reform, however it proposed new strategic thrusts: improving access and innovation. As stated in the Country Programme Review 2010 the COSOP identified a number of areas in which these twin thrusts would guide operations, particularly in rural microfinance and entrepreneurship development, organic farming, marketing, natural resources management, technology transfer and empowerment of woman. The need for replication and scaling up were highlighted. Under this COSOP, five projects have been designed and launched with a total loan amount of US\$ 354 million (see the list of projects in appendix II).
29. **The 2011 COSOP** supports the 12th five-year plan (2011-2015) to address the emerging development issues faced by the country such as sustainable use of natural resources, expanding rural cooperatives, and growing South-South co-operation, and to leverage government strength and policy support. The COSOP envisages an indicative lending of USD 281 million over 5 years. Three strategic objectives are outlined in this COSOP:
 - a) The rural poor in targeted areas sustainably use enhanced productive natural and economic assets, and improved technology and advisory services;
 - b) The rural poor and their organisations are enabled to take advantage of improved market access and financial services for increased income generation and enhanced resilience to risks; and
 - c) Enhanced South-South co-operation and knowledge management provide opportunities for sharing knowledge generated from innovations and scaling up good practices.
30. **Emerging issues.** As part of the preparation work of the CPE, in May 2013 IOE conducted a CPE preparatory mission to China to, inter alia, gain a better understanding of the Government's priorities regarding rural poverty reduction and agricultural development in the country. A number of critical issues raised by partners will need careful consideration during the evaluation. Among others, these include:
31. **IFAD's role in China.** One important point raised by most persons met relates to the Fund's role in China, taking into account the far-reaching socio-economic and financial advancements of the country since IFAD started its operations more than 30 years ago. In this context, the CPE can contribute to further articulating the focus of the IFAD-Government partnership moving forward. What is becoming more apparent is that IFAD will need to adapt its focus and development approaches to better fit the new reality of the China country context, including prioritizing activities such as knowledge sharing, south-south co-operation, and promotion of innovative solutions to small agriculture and rural development that can be scaled up by the Government and other partners. Finally, the CPE will reflect on two inter-related questions which are important for the IFAD-Government partnership: (i) why IFAD is important for China in the latter's own efforts to reduce rural poverty and what is IFAD's niche; and (ii) why China is important for IFAD, taking into account the Fund's global mandate for reducing rural poverty.

²⁹ China Country Programme Review 2010.

32. **Prioritizing innovation and scaling up.** One key area of interest expressed by partners relates to the piloting (through IFAD-funded operations) of innovative approaches in priority subsectors (such as building sustainable financial services to service small farmers in rural areas, supporting knowledge-sharing in agriculture technology among developing countries, monitoring and evaluation, etc.) and actively pursue a scaling up strategy. Moreover, there is also an interest by Government to learn from the systematic way in which IFAD conducts project design, implementation support, supervision, and evaluation, as a means for the Government to take on good practices in these areas in domestically funded projects and programmes. Past efforts and experiences in these areas will also be covered by the CPE.
33. **Enhancing knowledge and policy services.** The partners in the country expressed great interest in enhancing IFAD's knowledge services as an input in supporting policy-making and innovation and scaling up in China. The CPE will assess past experiences and propose the possible contribution of IFAD in promoting more systematic knowledge sharing in the future.
34. **Addressing disparities.** One particular challenge in poverty reduction in China is the increasing disparities between urban and rural areas as well as between households in rural areas. The CPE will assess whether and what IFAD can do to reduce income and social gaps, and how it can contribute to great equity among the rural population including between men and women.
35. **Supporting environment and natural disaster preparedness.** Poor rural areas in China are affected by challenges in natural resources and environmental management, including climate change, leading to frequent drought, flood, earthquake, landslide, soil degradation, etc. The CPE will analyse the experiences in promoting climate-smart technologies for greater food security, nutrition and incomes in rural areas.
36. **South-South cooperation** was one of the strategic objectives in the latest COSOP. Therefore, the CPE will assess the results in the past and offer suggestions for the future, taking into account there is a very strong interest by Government and others to work with multilaterals in expanding existing south-south exchanges. In particular, MOF suggested IFAD to consider the potential in designing China-IFAD co-financed projects in other countries.

IV. Evaluation process, methodology and objectives

37. **Objectives.** In line with IFAD's evaluation policy and IOE evaluation methodology, the objectives of the China CPE will be to:
 - (i) assess the performance and results of Government and IFAD co-operations; and
 - (ii) generate a series of findings and recommendations that will serve as building blocks for the formulation of the forthcoming China COSOP, which will be prepared by IFAD and the Government following the completion of the CPE.
38. **Methodology.** To achieve the objectives, the China CPE will analyse three mutually reinforcing pillars in the IFAD-Government partnership. These will include assessing the performance, and results of:
 - (i) The project portfolio, including all projects approved from 1999 to 2012;³⁰
 - (ii) Non-lending activities, including policy dialogue, knowledge management, partnership building, and grants; and
 - (iii) COSOPs in terms of relevance and effectiveness.

³⁰ The CPE will look at the relevance and innovativeness of design of the three most recent projects which are yet to be in full implementation.

39. These three pillars will be viewed individually, while the synergies between them will also be looked at, for example, to what extent IFAD's policy dialogue and knowledge management activities supported its project activities, and whether taken together these reflected the strategies outlined in the COSOP. The performance will be rated against IOE's evaluation criteria on a scale of 1 to 6 (with 1 being the lowest score, and 6 the highest). Based on these assessments, the CPE will generate an *overall achievement* rating for the IFAD-Government partnership. The sections below provide further details of how each of the assessments will be conducted.
40. The proposed evaluation framework is contained in appendix I. The evaluation framework describes the main questions the China CPE will have to ask so that to generate evaluation conclusions. The evaluation framework also include the sources of data and information that will be tapped to generate the required responses.
41. With regard to assessing the performance of the project portfolio, IOE will apply its standard evaluation methodology for each project included in the CPE cohort (appendix III shows the list of projects to be assessed by the CPE). This includes using the internationally-recognised evaluation criteria of: relevance, effectiveness, efficiency, impact, sustainability, innovation and scaling up, gender equality and women's empowerment, and performance of partners (IFAD and Government).
42. Ratings will be provided for individual projects, and on that basis, a rating for the performance of the project portfolio will be derived. The performance of project portfolio will be benchmarked with that of IFAD operations in other countries in the region and/or globally, as well as with the results of other donors working in agriculture and rural development in China (subject to availability of comparable data).
43. Considering the timeliness and the timeframe of COSOPs and the national development strategies, it is proposed that the CPE will include operations guided by COSOPs 1999-2005, 2006- 2010, and 2011-2015; therefore, a total of 12 projects will be included in the CPE. Depending on the implementation status of each project, the selected projects will be assessed according to different evaluation criteria and the data will be collected in different methods:
 - (a) There are six projects implemented and completed in the period of 2001 – 2012. The CPE will assess their performance across all evaluation criteria. For the four projects which IOE has conducted project evaluations, the CPE will rely on existing evaluative evidence, and no field visits would be conducted. For the two without evaluation evidences, the CPE will use data contained in project documents and conduct field visits to collect supplementary data.
 - (b) Three on-going projects have progressed up to or over mid-term review; the CPE will apply most evaluation criteria in assessments, except impact and sustainability. Field visits will be needed for full appreciation of the implementation progress and results.
 - (c) Two on-going projects were implemented from 2012, without significant progress on ground yet; and the latest project, approved in December 2012, has not been implemented yet, therefore the CPE would look at only the relevance and innovativeness of design of these three projects.
44. Assessment of non-lending activities will specifically entail an assessment of IFAD and Government's coordinated efforts in promoting policy dialogue, strengthening partnerships, and knowledge management. The CPE will also review the synergies between lending and non-lending activities. For example, it will assess knowledge management activities promoted by the projects, and whether they have provided the required basis to inform policy dialogue on specific operational issues.

45. The role grants in strengthening the country programme will be evaluated, including the synergies between grant funded and loan-financed activities. Besides, IFAD's grant support to South-South co-operation is an important issue to be looked at by the evaluation. The 2011 COSOP highlighted this issue as one of the three strategic objectives.
46. The assessment of the performance of the COSOPs is central to the CPE. This will include assessing the COSOPs with the relevance and effectiveness criteria in seven specific areas: (i) strategic objectives, (ii) geographic priority, (iii) sub-sector focus, (iv) main partner institutions, (v) targeting approach used, including emphasis on selected social groups, (vi) mix of instruments in the country programme (loans, grants and non-lending activities), and (vii) the provisions for country programme and COSOP management.
47. The role of the COSOP in framing IFAD-supported activities will also be reviewed. The CPE will review the results framework both at project and country programme level to assess whether these were realistic and lent themselves to effective M&E. An overall rating for the performance of the COSOP will be provided taking into account the assessments of relevance and effectiveness.
48. In the rapid changing contexts in China, the strategic positioning and added value of IFAD's services in China are evaluation questions that deserve particular attention. The CPE will assess how the IFAD-supported programme fits with the national development strategies and the work of other donors. It will also assess the value added role of IFAD in supporting the country in its own rural poverty reduction efforts. It is also critical for the CPE to provide inputs for determining IFAD's future role in China, taking into account the socio-economic, policy and institutional evolution of the country context in the past decade and more.
49. **Process.** The CPE entails five phases. These include the: (i) preparatory phase; (ii) desk review phase; (iii) country work phase; (iv) report writing; and (v) communication and dissemination.
50. The preparatory phase includes the development of the draft Approach Paper, which will be commented by APR and thereafter by the Government. IOE will undertake a one-week preparatory mission to China, in order to discuss the draft Approach Paper with the Government and other partners, and capture their priorities which will be used to develop the programme of the main CPE mission. In this phase, IOE will search for national consultants, who will work in the CPE team under the overall responsibility of IOE, to assess related disciplines and certain evaluation issues assigned by IOE.
51. The desk review phase involves with the preparation of short desk review notes of the projects and non-lending activities. Each desk review note will follow a standard format developed by IOE. Based on the findings of the desk review notes, a short Issues Paper will be prepared that will capture key findings based on the desk review. The Paper will also underline selected issues that will be validated during the main evaluation mission as well as hypothesis that will require the collection of further information and data during the main mission.
52. IOE also plans to prepare few thematic working papers on topics of importance to the China country programme, through a desk review of documents. The aim of these thematic papers is to strengthen the analytic underpinning for the main CPE report. Topics suggested may include: (i) agriculture and rural development; (ii) rural finance; (iii) commercial agriculture and agri-business development, (iv) social development and gender development; (v) environment and natural resources in rural development context; and (vi) the role of IFAD in promoting south-south cooperation in China.
53. In addition, during the desk work phase, APR and the Government will be asked to prepare their respective self-assessments. The self-assessments would be related to the key questions contained in the CPE framework, shown in appendix I. A

discussion on the APR self-assessment would be held with APR before the CPE mission. Among other issues, the preparatory mission will provide IOE with the opportunity to brief the Government on the objectives of and approach to the self-assessment.

54. The country work phase entails primarily the fielding of a multidisciplinary mission to China. The main mission will spend three weeks in the country. It will hold discussions in Beijing with the Government and other development partners, travel to selected project provinces for consultation with key stakeholders, and visit selected project areas to see activities on the ground and hold discussions with beneficiaries. At the end of the main mission, the evaluation team will organize a wrap up meeting to present emerging findings to the representatives of Government, APR and other development partners. The IFAD Country Programme Manager (CPM) for China will take part in the meeting.
55. The CPE report writing phase will follow the country work phase. During this phase, the CPE team will prepare the evaluation report based on the data collected and analysed throughout the evaluation process. The report will be exposed to a rigorous internal peer review within IOE,³¹ and another review by an Independent Senior Advisor for the China CPE contracted by IOE. Thereafter, it will be shared with APR for comments. Following the incorporation of APR's comments, the report will be sent to the Government for their feedback before being finalized.
56. The final phase, communication and dissemination, will involve with a range of activities including a National Roundtable Workshop to ensure timely and effective outreach of the findings, lessons learned and recommendations of the CPE. More details regarding communication and dissemination are presented in section VIII of the Approach Paper.

V. The core learning partnership

57. The core learning partnership (CLP) consists of the main clients and stakeholders of the evaluation, and as per the Evaluation Policy, it is mandated to provide guidance to IOE at critical stages in the evaluation process. The CLP will be involved, in particular, in:
 - i. reviewing the draft Approach Paper;
 - ii. reviewing the draft CPE report;
 - iii. reviewing the draft Issues Paper to be discussed at the National Roundtable Workshop; and
 - iv. participating in the workshop above-mentioned, which will provide an opportunity to discuss the main findings, conclusions and recommendations of the evaluation.
58. The following persons are proposed as part of the CLP for the China CPE. The composition of the CLP will be finalised following the preparatory mission in 20 – 25 May 2013.
 - i. Representative(s) of the National Development and Reform Commission
 - ii. Representative(s) of the State Council Leading Group Office of Poverty Alleviation and Development
 - iii. Representative(s) of the Ministry of Finance
 - iv. Representative(s) of the Ministry of Agriculture
 - v. Representative(s) of the Ministry of Science and Technology

³¹ This will include the Director of IOE and the senior evaluation officers.

- vi. Representative(s) other partners in China, including CAAS, RCC, Agricultural Development Bank, provincial and local authorities, and others
- vii. Representative(s) of IFAD management
- viii. Director, IOE
- ix. Director, APR, IFAD
- x. IFAD's Country Programme Manager for China
- xi. IFAD's Country Programme Officer, China
- xii. Directors, on-going and recently closed projects in China
- xiii. Representative(s) of bilateral and multilateral development partners, including the World Bank, WFP, FAO, UNDP and others

VI. Evaluation team

- 59. The Director of IOE will have the overall responsibility for the China CPE. He will be supported by Mr Jicheng Zhang, Evaluation Research Analyst, in evaluation practice, and assisted by Ms Linda Danielsson, Assistant to the Deputy Director, in research and administrative issues.
- 60. The CPE consultants' team will include a team leader, Mr Jakob Grosen, who will be supported by specialists in the following fields: (i) agriculture, livestock, and rural small infrastructure; (ii) rural finance; (iii) market and enterprise development; (iv) social development and gender equality; (v) environment and natural resources; (vi) institutions and community organizations, and project management, etc.
- 61. IOE will contract a Senior Independent Adviser who will provide independent views in a report (2-3 pages) on the rigor of the evaluation methodology and process and the quality of the evaluation report.

VII. Communication and dissemination

- 62. A National Roundtable Workshop will be organised in Beijing by IOE in close collaboration with the Government and APR towards the end of the evaluation process. This workshop will focus on learning and allow stakeholders to exchange views on key evaluation issues and lessons. The Associate Vice President, Programmes, Director of IOE, Director of APR, and other IFAD staff are expected to take part in the workshop.
- 63. The final CPE report will thereafter be widely distributed in print and electronic versions and published on IFAD's website. The main text of the report should not exceed 50 pages, written in English. To highlight the significant learning issues, an evaluation Profile (2 pages) and an Insight (2 pages)³² will be prepared, and distributed along with the evaluation report. The CPE report, Profile and Insight will also be disseminated through selected networks such as the Evaluation Cooperation Group of the international financial institutions, and the United Nations Evaluation Network.
- 64. It is important to note that written comments of the Government and APR on key CPE deliverables will be treated with utmost consideration by IOE, in line with the provisions contained in the IFAD Evaluation Policy. This requires IOE to: (i) rectify factual inaccuracies that may be present in the report; and (ii) carefully assess the comments on substantive issues, and decide whether they should be included in the report. Comments of a substantive nature that, according to IOE, would not

³² The Profile is a 800 word brochure capturing the main findings and recommendations from the CPE. The Insight will focus on one key learning issue emerging from the CPE, with the intention of raising further attention and debate around the topic among development practitioners.

lead to changes in the evaluation’s overall findings may be flagged in the CPE report as dissenting views in the form of footnote, clearly indicating the issue at hand and source of comment. Finally, IOE will prepare and share “audit trails” explaining how IOE has treated the comments of the Government and APR, respectively, in finalising the CPE report.

VIII. Evaluation road map

65. The provisional timetable for the CPE is given below. It is of utmost importance that the APR and the Government carefully review the various activities and proposed timeframes, given that their inputs and participation will be essential at key steps to ensure the success of the CPE.

<i>Date</i>	<i>Activities</i>
April – May 2013	Preparation and desk review phase
15 April	Send draft Approach Paper to IFAD’s PMD for comments
26 April	Comments from PMD on draft Approach Paper
2 May	Share draft Approach Paper with Government
16 May	Written comments of the Government on the draft Approach Paper
20 – 24 May	Preparatory CPE mission to Beijing
21 June	Finalization of Approach Paper
19 July	Send the self-assessment requests to PMD and Government
16 August	Completed self-assessments received from PMD and Government
26 August–13 September	CPE main mission to Beijing and provinces
13 September	Main mission wrap-up meeting in Beijing, to discuss Aide Memoire with Government and other partners
31 October	CPE team deliver the first draft CPE report to IOE
9 December	IOE internal peer review
20 December	Draft report to PMD
20 January 2014	PMD comments to IOE on draft report
10 February	Revised draft report to Government, copy to PMD (with audit trail to PMD)
10 March	Government comments to IOE on draft report
24 March	Finalise evaluation report, and send audit trail to the Government
May	CPE National Roundtable Workshop in Beijing
July	Finalise CPE Agreement at Completion Point, publish report, Profile and Insight
September 2014	IFAD Evaluation Committee / Executive Board discussion on the CPE

Evaluation Framework^a

	<i>Key Questions</i>	<i>Main sources of data and information</i>
Portfolio Performance	<p><u>Project Relevance</u></p> <ul style="list-style-type: none"> • Are project objectives realistic and consistent with China's national development plan (e.g five-year plans), national agriculture, rural development and rural poverty reduction strategies and policies, the COSOP and relevant IFAD sector and sub sector policies, as well as the needs of the rural poor? Were opportunities missed in project design to support better the COSOP objectives? • Particularly, are the project objectives consistent with the rapid changing macroeconomic context in China, and factored in the pressing developing issues, such as regional disparities, income inequalities, and damaging environment, etc? • Was the project design (including synergies among activities and services, financial allocations, project management and execution, supervision and implementation support, and monitoring and evaluation arrangements) appropriate for achieving the project's core objectives? • How coherent was the project in terms of its fit with the policies, programmes and projects undertaken by the Government and other development partners in China? • Was the project design participatory in the sense that it took into consideration the inputs and needs of key stakeholders, including the Government, executing agencies, co-financiers and the expected beneficiaries and their grassroots organizations? • Did the project benefit from available knowledge (for example, the experience of other similar projects in the area or in the country) during its design and implementation? Were lessons learnt from the previous IOE evaluations and APR country programme review 2010 reflected in the design of the new projects? • Did project objectives remain relevant over the period of time required for implementation? In the event of significant changes in the project context or in IFAD policies, has design been retrofitted? • What are the main factors that contributed to a positive or less positive assessment of relevance? <p><u>Project Effectiveness</u></p> <ul style="list-style-type: none"> • To what extent have the objectives of the project and its components been attained both in quantitative and qualitative terms? • If the project is not yet complete, is it likely that unattained objectives may be accomplished in full/in part before its closure? 	<p>Government's related policies and strategies;</p> <p>IFAD policy statements;</p> <p>IFAD's three China COSOPs;</p> <p>IFAD operational documents;</p> <p>APR country programme review 2010;</p> <p>Interviews with IFAD's management, CPM, CPO;</p> <p>Interviews with Government and project officials.</p> <p>IOE Evaluations;</p> <p>APR country programme review 2010;</p> <p>Project documents including PCRs, Mid-term reviews and supervision reports;</p>

^a The questions in the appendix are essentially a generic list developed for all IFAD CPEs. While they are not all equally relevant in the China case they provide a useful ex ante check-list and have therefore been included. In addition a number of specific issues that are of concern in the China context have been added to the framework.

Key Questions	Main sources of data and information
<ul style="list-style-type: none"> • What factors in project design and implementation account for the estimated results in terms of effectiveness? • Were project risks and their mitigation adequately handled in project design? • Was the results framework useful in monitoring the project towards achievement of project objectives? • In particular, what changes in the overall context (e.g., policy framework, political situation, institutional set-up, economic shocks, civil unrest, etc.) have affected or are likely to affect project implementation and overall results? 	<p>Surveys of project beneficiaries; IFAD RIMS.</p>
<p><u>Project Efficiency</u></p>	<p>IOE Evaluations;</p>
<ul style="list-style-type: none"> • What are the costs of investments to develop specific project outputs (e.g., what is the cost of constructing one kilometre of rural road)? The quality of works/supplies needs to be fully (and explicitly) recognized for such input/output comparisons. 	<p>Project documents including PCRs, Mid-term reviews and supervision reports;</p>
<ul style="list-style-type: none"> • Is the cost ratio of inputs to outputs comparable to local, national or regional benchmarks? 	<p>Surveys of project beneficiaries; IFAD RIMS</p>
<ul style="list-style-type: none"> • What are the loan costs per beneficiary (both at the time of appraisal and at the time of evaluation) and how do they compare to other IFAD-funded operations (or those of other donors) in the same country and/or other countries? 	<p>Interviews with project managers.</p>
<ul style="list-style-type: none"> • How does the economic rate of return at evaluation compare with project design? 	
<ul style="list-style-type: none"> • What are the government and IFAD administrative costs per beneficiary and how do they compare to other IFAD-funded operations (or those of other donors) in China or other countries, especially in Asia? 	
<ul style="list-style-type: none"> • A number of IFAD projects have had substantial delays in effectiveness? What has been the cause of these delays and how costly have these delays been? 	
<ul style="list-style-type: none"> • By how much was the original closing date extended, and what were the additional administrative costs that were incurred during the extension period? 	
<ul style="list-style-type: none"> • What factors helped account for project efficiency performance? 	<p>IOE Evaluations;</p>
<p><u>Rural Poverty Impact</u></p>	<p>APR country programme review 2010;</p>
<p>I. Household income and assets</p>	<p>Project documents including PCRs, Mid-term reviews and supervision reports;</p>
<ul style="list-style-type: none"> • Did the composition and level of household incomes change (more income sources, more diversification, higher income)? 	<p>Surveys of project beneficiaries;</p>
<ul style="list-style-type: none"> • What changes are apparent in intra-household incomes and assets? 	<p>IFAD RIMS;</p>
<ul style="list-style-type: none"> • Did farm households' physical assets change (farmland, water, livestock, trees, equipment, etc.)? Did other household assets change (houses, bicycles, radios, television sets, telephones, etc.)? 	<p>Surveys of project beneficiaries; Interviews with beneficiaries and project managers.</p>
<ul style="list-style-type: none"> • Did households' financial assets change (savings, debt, borrowing, insurance)? 	

*Key Questions**Main sources of data and information*

- Were the rural poor able to access financial markets more easily?
- Did the rural poor have better access to input and output markets?
- Do the better health and education promoted by the programme allow the rural poor to obtain higher incomes and more assets?

II. Human and social capital and empowerment

- Did rural people's organizations and grassroots institutions (such as village associations) benefit from the project?
 - How viable are grassroots organizations (groups, cooperatives, associations) with regard to good governance structures, strong membership base, representation and financial sustainability?
- Were the community groups established under the project effective in empowering women in the community and promoting gender equity? Are changes in the social cohesion and local self-help capacities of rural communities evident?
- To what extent did the project empower the rural poor vis-à-vis development actors and local and national public authorities? Do they play more effective roles in decision-making? Was the decentralization process facilitated by the project?
- Were the rural poor empowered to gain better access to the information and knowledge needed to improve incomes and the quality of their lives?
- Did the rural poor gain access to better health and education facilities?
- Have the business registration and start-up processes for small rural businesses improved??
- Do farmers and producers participate in policy making and shape the agricultural research agenda?
- Do formal financial organizations provide lending to poor rural people, including women and youth?
- how is the effectiveness of women's participation, representation and leadership in decision making processes of local organizations?

III. Food security and agricultural productivity

- Did cropping intensity change? Was there an improvement in land productivity and, if so, to what extent? Did the returns to labour change?
- Did children's nutritional status change (e.g. stunting, wasting, underweight)?
- Did household food security change?
- To what extent did the rural poor improve their access to input and output markets that could help them enhance their productivity and access to food?

IV. Natural resources and the environment (including climate change)

- Did the status of the natural resources base change (land, water, forest, pasture, fish stocks, etc.)?
- Did local communities' access to natural resources change (in general and specifically for the poor)?
- Did IFAD's response to natural disasters (e.g Sichuan Earthquake rehabilitation) and environmental issues contribute to enhancing resilience of local communities to natural disasters and climate changes?
- Has the degree of environmental vulnerability changed (e.g., exposure to pollutants, climate change effects, volatility in resources, potential natural disasters)?
- Have the projects facilitated the implementation of policies and legislation such as those relating to the access of the poor to natural resources, adaptation to climate change, and the protection of biodiversity?

V. Institutions and policies

- Were there any changes in rural financial institutions (e.g., in facilitating access for the rural poor)?
- How did public institutions and service delivery for the rural poor change?
- What improvements were discernable in local governance, including the capacity and role of government departments, NGOs, and elected bodies and officials?
- Were linkages between rural communities and the private sector enhanced by the project?
- Were there any changes in national/sectoral policies affecting the rural poor?
- Did the regulatory framework change insofar as its impact on the rural poor?
- Did market structures and other institutional factors affecting poor producers' access to markets change?
 - Has the legal/policy framework reduced barriers (financial, logistical, etc.) for poor rural people or producers to register/formalise their associations?
 - Do the government's legal requirements in terms of membership in a formal group/organization/committee allow them to become more inclusive (e.g. admitting women, the poor, youth etc.)?
 - Are fiscal policies attractive for investments of the private sector in rural areas.

IOE Evaluations;

APR country programme review 2010;

Project documents including PCRs, Mid-term reviews and supervision reports;

Surveys of project beneficiaries;

IFAD RIMS;

Visits to sites of completed projects and interviews with beneficiaries and project managers;

In selected cases consideration will be given to commissioning new surveys.

Interviews with GOC and other partners;

In depth reviews of project documents.;

Discussions with IFAD managers.

Note: For each domain, the evaluation should describe the impact achieved and also the underlying reasons (i.e., the "why" factor) behind the observed or expected changes.

Sustainability

- Was a specific *exit strategy* or approach prepared and agreed upon by key partners to ensure post project sustainability?
- What are the chances that benefits generated by the project will continue after project closure, and what factors militate in favour of or against maintaining benefits? What is the likely resilience of economic activities to shocks or progressive exposure to competition and reduction of subsidies?
- How robust are the institutions that have been supported under IFAD projects, and are they likely to be able to ensure the continuation of benefits to the rural poor?
- Is there a clear indication of government commitment after the loan closing date, for example, in terms of provision of funds for selected activities, human resources availability, continuity of pro-poor policies and participatory development approaches, and institutional support? Did the IFAD project design anticipate that such support would be needed after loan closure?
- Do project activities benefit from the engagement, participation and ownership of local communities, grassroots organizations, and the rural poor?
- Did the NGOs involved continue their support to village organizations after project closure?
- Are adopted approaches technically viable? Do project users have access to adequate training for maintenance and to spare parts and repairs?
- Are the ecosystem and environmental resources (e.g. fresh water availability, soil fertility, vegetative cover) likely to contribute to project benefits or is there a depletion process taking place?

Interviews with Government, partner agencies, NGOs and IFAD managers.

Innovations and Scaling up

- What are the characteristics of innovation(s) promoted by the project or programme? Are the innovations consistent with the IFAD definition of this concept?
- How did the innovation originate (e.g., through the beneficiaries, Government of China, IFAD, NGOs, research institution, etc.) and was it adapted in any particular way during project/programme design?
- Are the actions in question truly innovative or are they well-established elsewhere but new to the country or project area?
- Were successfully promoted innovations documented and shared? Were other specific activities (e.g., workshops, exchange visits, etc.) undertaken to disseminate the innovative experiences?
- Have these innovations been scaled up and, if so, by whom? If not, what are the realistic prospects that they can and will be scaled up by the Government, other donors and/or the private sector?

*Key Questions**Main sources of data and information***Performance of Partners****IFAD**

- Did IFAD mobilize adequate technical expertise in the project design?
- Was the design process participatory (with national and local agencies, grassroots organizations) and did it promote ownership by the borrower?
- Were specific efforts made to incorporate the lessons and recommendations from previous independent evaluations in project design and implementation?
- Did IFAD adequately integrate comments made by its quality enhancement and quality assurance processes?
- Did IFAD (and the Government) take the initiative to suitably modify project design (if required) during implementation in response to any major changes in the context, especially during the MTR?
- What was the performance of IFAD in projects that are under direct supervision and implementation support? In the case of the supervision of a cooperating institution, how effective was IFAD in working with the institution to carry out the mandated task? In both cases, has IFAD exercised its developmental and fiduciary responsibilities, including compliance with loan and grant agreements?
- Was prompt action taken to ensure the timely implementation of recommendations stemming from the supervision and implementation support missions, including the MTR?
- Did IFAD undertake the necessary follow-up to resolve any implementation bottlenecks?
- Where applicable, what is the role and performance of IFAD's country presence team in China? Did IFAD headquarters provide the necessary support to its country presence team, for example, in terms of resources, follow-up and guidance, adequate delegation of authority, and so on?
- Has IFAD made proactive efforts to be engaged in policy dialogue activities at different levels in order to ensure, inter alia, the scaling up of pro-poor innovations?
- Has IFAD been active in creating an effective partnership and maintaining coordination among key partners to ensure the achievement of project objectives, including the scaling up of pro-poor innovations?
- Has IFAD, together with the Government, contributed to planning an exit strategy?

Government of China

- Has the Government (central government and local governments) assumed ownership and responsibility for the project? Judging by its actions and policies, has the Government been fully supportive of project goals?
- Has adequate staffing and project management been assured? Have appropriate levels of counterpart funding been provided on time?
- Has project management discharged its functions adequately, and has the Government provided policy guidance

Interviews with GOC officials and IFAD managers.

Interviews with representatives of cooperating institutions;

Review of supervision reports, Mid-term Reviews and PCRs.

to project management staff when required?

- Did the Government ensure suitable coordination of the various departments involved in execution?
- Has auditing been undertaken in a timely manner and have reports been submitted as required?
- Did the Government (and IFAD) take the initiative to suitably modify the project design (if required) during implementation in response to any major changes in the context?
- Was prompt action taken to ensure the timely implementation of recommendations from supervision and implementation support missions, including the MTR?
- Has an effective M&E system been put in place and does it generate information on performance and impact which is useful for project managers when they are called upon to take critical decisions?
- Has the Government (and IFAD) contributed to planning an exit strategy and/or making arrangements for continued funding of certain activities?
- Have loan covenants and the spirit of the loan agreement been observed?
- Has the Government facilitated the participation of NGOs and civil society where appropriate?
- Have the flow of funds and procurement procedures been suitable for ensuring timely implementation?
- Has the Government engaged in a policy dialogue with IFAD concerning the promotion of pro-poor innovations?
 - How effective is the monitoring and evaluation system and do managers and senior executives use M&E information to inform decision-making?
 - How conducive are the staff support systems to enable them perform their tasks.
 - How adequate are the staff support systems - hardware support (e.g. office space, equipment, vehicles, etc.) or software support (training provision to enhance staff skills)?

Cooperating Institution

- Should there have been greater involvement of partners such as the UN agencies and other development agencies in the design, financing and implementation of the programme?
- Has the supervision and implementation support programme been properly managed (frequency, composition, continuity)?
- Has the cooperating institution complied with loan covenants?
- Has the cooperating institution been effective in financial management?
- Has the cooperating institution sought to monitor project impacts and IFAD concerns (e.g., targeting, participation, empowerment of the poor and gender aspects)?

	<i>Key Questions</i>	<i>Main sources of data and information</i>
	<ul style="list-style-type: none"> • Have implementation problems been highlighted and appropriate remedies suggested? Have the suggestions and related actions been followed in the next supervisions? • Were there any missed opportunities to secure partners who could have enhanced outcomes of the project? • Has the supervision process enhanced implementation and poverty impacts? • Has the cooperating institution been responsive to requests and advice from IFAD when carrying out its supervision and project implementation responsibilities? 	
Non-lending activities	<p><u>Relevance</u></p> <ul style="list-style-type: none"> • Are policy dialogue, partnership-building, and knowledge management objectives clearly outlined in the COSOPs? Are they in line with the needs of the rural poor and are they consistent with the strategic objectives of the COSOPs and lending operations, as well as with the Government's priorities? • Do the selected non-lending activities provide sufficient support for country programme objectives as per COSOPs, as well as the loan portfolio in the country? • The relevance of IFAD's support in South-South cooperation between China and other partner countries? There are indications that China has supported almost all African countries in various areas through that cooperation, and south-south cooperation has been a priority of COSOP 2010 – 2015. • Were resources earmarked for non-lending activities and explicitly outlined in the COSOPs (e.g., in the form of grants and/or the IFAD administrative budget)? • Was the selected mix of policy dialogue, partnership-building and knowledge management appropriate and relevant? • Were the advisory services delivered by other partners taken into account in selecting the focus of non-lending work? <p><u>Effectiveness</u></p> <ul style="list-style-type: none"> • Describe the extent to which non-lending activities achieved their objectives if they were explicitly articulated. • Did the non-lending program and the lending program mutually reinforce IFAD's strategic goals for the country or was there divergence? Were opportunities missed to define and target more effectively the outcome of non-lending activities to the resolution of priority issues emerging from the portfolio? • What benefits have been generated through IFAD's supports to South-South Cooperation between China and other developing countries, particularly, African countries, in terms of policy, technology, innovations, and economic development? • How did non-lending activities contribute to the replication and scaling up of innovation promoted by IFAD? • Has IFAD systematically engaged in and contributed to the deliberations of donor working groups related to 	Review of IFAD documentation on non-lending activities. Discussions with counterparts responsible for implementing these activities.

<i>Key Questions</i>	<i>Main sources of data and information</i>
<p>agriculture, food issues and rural development?</p> <ul style="list-style-type: none"> • How much progress has been made as a result of non-lending activities in furthering the application of the provisions contained in the Paris Declaration on Aid Effectiveness in terms of ownership, alignment, donor coordination and harmonization, managing for results and mutual accountability? • With regard to knowledge management, were the COSOPs' strategic objectives and project design and implementation properly informed by IFAD experiences in China and elsewhere? • Were the most appropriate approaches deployed to achieve the desired results? • What have been the roles of the IFAD country representative, where applicable, and of the main government institutions in making non-lending services effective? <p><u>Efficiency</u></p> <ul style="list-style-type: none"> • Could alternative instruments and activities be implemented to increase the cost-effectiveness of non-lending activities? • What were the costs of the different types of non-lending activities and how do they compare to IFAD benchmarks (where available)? • Was the administrative burden on country officials minimized? 	
<p>COSOP Performance</p> <p>Relevance</p> <p>Assessment of the alignment of strategic objectives</p> <ul style="list-style-type: none"> • Were the objectives set out in the COSOPs consistent with the overarching objectives of the prevailing IFAD strategic framework and relevant corporate policies? • Were the strategic objectives identified in the COSOPs consistent with the Government's strategies and policies for agriculture and rural development, alleviation of rural poverty and decentralization as well as the economic and social development framework more broadly and clearly defined for achieving sustainable rural poverty reduction? • Were the strategic objectives flexible enough to be adjusted during implementation to reflect realities on the ground? Was the basic approach adopted by IFAD, focused on support for women and socially excluded groups, too narrowly defined in terms of a broad strategy for rural poverty reduction? Should there have been an attempt to encompass issues such as environment, youth, migration and addressing conflict in the rural areas? Should there have been a more cohesive approach to balancing empowerment of rural communities with improving access to agricultural technology and related services, provision of social services and credit, private sector opportunities, marketing and market services? • Did the poverty analysis (economic and sector work) provide an adequate basis for the development of overall strategy, including the selection of the main elements of the COSOPs (refer to Evaluation Manual)? 	<p>Review of COSOPs; Interviews with Government and IFAD managers.</p>

- Are the strategic objectives aligned with the priorities of other bilateral and multilateral donors working in agriculture and rural development in the same country? If other donors pursued other priorities, should they have been convinced to align with IFAD?

- Were the risks involved in pursuing the strategic objectives properly identified and the objectives aligned to mitigate risks?

Evaluating the coherence of the main elements of the COSOPs

- Did the strategy succinctly articulate IFAD's comparative advantage and competencies in the country (i.e., country positioning)? Did the COSOPs position IFAD optimally in this regard?

- Were the target groups clearly identified in terms of the nature of the assistance that IFAD would provide?

- Did IFAD select the most appropriate subsectors for investments?

- Were the geographic priorities defined in the strategy consistent with the definition of the target groups?

- Were the main partner institutions (e.g., for project execution, supervision and implementation support, community mobilization, co-financing) the correct ones for meeting the country strategy objectives?

- Were specific objectives defined and resources allocated for non-lending activities, including policy dialogue, partnership-building and knowledge management?

- Were appropriate synergies foreseen within and among investment activities and between lending and non-lending activities? That is, did IFAD's overall assistance constitute a coherent country programme? For example, in terms of supervision and implementation support, the roles of the country programme management team and country presence arrangements. Country positioning is a measure of how well the organization responded to (or even anticipated) the evolving development challenges and priorities of the Government, built on the organization's comparative advantages, and designed its country strategies and programmes in a manner that took into consideration the support available from other development partners.

- Did interventions proposed and developed on: (a) agriculture technology transfer to rural communities; (b) improving access to agricultural markets; (c) improving agriculture input services and making subsidies smarter and cost-effective for such communities; (d) nutrition interventions; (e) health services; and (f) education opportunities reflect selectivity, doability and steps towards achievement of the COSOP strategic goals?

- Did interventions proposed and developed on (a) capacity building for rural communities; (b) internet and IT connectivity and access to knowledge; (c) special attention to women and backward regions; (d) capacity building for local, district and provincial governments for services and infrastructure provided to rural communities; (e) development of mechanisms to strengthen the interface between communities and local governments and (f) support to introduction of e-government to facilitate interactions between governments and rural communities reflect selectivity, doability and steps towards achievement of the COSOP's strategic objectives?

- Were appropriate interventions proposed and developed on : (a) finding niches for IFAD where a chain of interventions from grass-roots upward would significantly strengthen the ongoing nationwide empowerment

programs; (b) targeting expansion of the coverage of the ongoing program with women, children and backward regions in view; (c) capacity building for empowering and providing information and knowledge to the rural community groups to engage in the local policy and programming process and (d) tapping better the potential of IT to strengthen the interface between these groups and the supply side players

- How could the strategic objectives have been translated into a viable and doable program, through selectivity, sharpening of program and project objectives, promoting coherence between non-lending work and projects, retrofitting where possible the existing portfolio and non-lending work, building greater synergy with other donors and establishing better rapport as well as operational cooperation with counterparts in government, inter alia by focussing on a few counterpart agencies. Were any important opportunities missed in this regard?
- Did IFAD assess the extent to which the global policy environment (trade, migration, etc.) and exogenous factors (e.g., climate change, exposure to natural disasters) should guide the choice of lending and non-lending instruments and the priorities for IFAD engagement through lending and non-lending services?

Country programme management and COSOP management

- Did the Fund and Government of China select appropriate supervision and implementation support arrangements?
- How did country presence support the COSOP strategic objectives? Was the most suitable country presence arrangement established in the country?
- Were lessons learned and recommendations set forth in independent evaluations properly reflected in the country strategy?
- Were sufficient administrative and human resources made available for the implementation of the country strategy by both IFAD and the Government?
- Did the CPM and country presence officer have appropriate skills and competencies to promote the policy dialogue and partnership-building objectives identified in the COSOPs?
- What is the quality of the COSOP results management frameworks, project status reports, and aggregated RIMS reports and country programme sheets? Were Management actions in connection with this information system appropriate?
- Was the COSOP monitoring and evaluation performed properly? Were annual country programme reviews undertaken in a timely manner and were the corresponding recommendations implemented within the required time frames?
- As the COSOP is dynamic, was it modified to reflect changes at the country level?
- Did the CPMT concept function appropriately and make the required contribution to country programme management?

Effectiveness

- To what extent were the main strategic objectives included in the COSOPs achieved?
 - Is it likely that so far unattained objectives may be achieved in full or in part?
 - What changes in the context have influenced or are likely to influence the fulfilment of the strategic objectives?
Were the COSOPs properly adapted mid-course to reflect changes in the context?
 - How could the positioning been better, given the advantage of hindsight? Did the positioning deprive IFAD of opportunities as they arose or were the objectives continuously adjusted to match emerging ground realities?
 - Were the risks involved in pursuing the strategic objectives properly identified and the objectives aligned to mitigate risks?
 - Did the Fund devote sufficient attention and resources to promoting effectiveness?
-

IFAD-financed projects in China 1982-2012

<i>Project Name</i>	<i>Project Cost US\$ mil</i>	<i>Lending Terms</i>	<i>IFAD Financing US\$ mil</i>	<i>Counterpart Amount US\$ mil</i>	<i>Board Approval</i>	<i>Loan Effectiveness</i>	<i>Project Completion Date</i>	<i>Cooperating Institution</i>	<i>Project Status</i>
1. Northern Pasture and Livestock Development Project	112.3	HC	35	77.3	22-Apr-81	20-Jul-81	30-Jun-88	UNOPS	Closed
2. Hebei Agricultural Development Project	51.5	I	25	26.5	15-Sep-82	14-Jan-83	30-Jun-88	Word Bank: IBRD	Closed
3. Rural Credit Project	71.4	HC	25	46.4	11-Sep-84	22-Jan-85	30-Jun-88	Word Bank: IDA	Closed
4. Guangdong Integrated Freshwater Fish Farming Project	31.4	I	12	19.4	3-Dec-86	24-Mar-87	30-Jun-92	Word Bank: IBRD	Closed
5. Sichuan Livestock Development Project	34.6	HC	17.3	17.3	30-Nov-88	16-May-89	30-Jun-94	UNOPS	Closed
6. Shandong/Yantai Agricultural Development Project	42.9	HC	21.5	9.8	7-Dec-89	10-Jul-90	30-Jun-96	UNOPS	Closed
7. Shanxi Integrated Agricultural Development Project	50.5	HC	25.3	18.2	4-Apr-91	26-Jul-91	31-Dec-97	UNOPS	Closed
8. Jilin Low-lying Land Development Project	55.3	HC	27.6	19.2	14-Apr-92	15-Jun-92	30-Jun-97	UNOPS	Closed
9. Yunnan-Simao Minorities Area Agricultural Development Project	50.6	HC	25.8	15.8	15-Sep-93	10-Dec-93	30-Jun-00	UNOPS	Closed
10. Qinghai/Hainan Prefecture Agricultural Development Project	40.3	HC	20	15.6	5-Dec-94	8-Jun-95	30-Jun-01	UNOPS	Closed
11. Jiangxi/Ganzhou Integrated Agricultural Development Project	48.8	HC	23.8	15.4	6-Dec-95	10-May-96	2001/6/30	UNOPS	Closed
12. Northeast Sichuan and Qinghai/Haidong Integrated Agricultural Development Project	108.08	HC	27.86	48.1	11-Sep-96	14-May-97	31-Dec-02	UNOPS	Closed
13. Southwest Anhui Integrated Agricultural Development Project	55.6	HC	26.5	21.6	11-Sep-97	12-Dec-97	31-Dec-03	UNOPS	Closed
14. Wulin Mountains Minority-Areas Development Project	107.1	HC	28	55.8	10-Sep-98	21-Apr-99	31-Dec-07	UNOPS	Closed
15. Qinling Mountain Area Poverty-Alleviation Project	106.3	HC	29	62.8	8-Dec-99	14-Aug-01	30-Sep-07	IFAD	Closed
16. West Guangxi Poverty-Alleviation Project	107.2	HC	30.4	54	7-Dec-00	21-Mar-02	31-Mar-08	IFAD	Closed

<i>Project Name</i>	<i>Project Cost US\$ mil</i>	<i>Lending Terms</i>	<i>IFAD Financing US\$ mil</i>	<i>Counterpart Amount US\$ mil</i>	<i>Board Approval</i>	<i>Loan Effectiveness</i>	<i>Project Completion Date</i>	<i>Cooperating Institution</i>	<i>Project Status</i>
17. Environment Conservation and Poverty-Reduction Programme in Ningxia and Shanxi	90.25	HC	28.97	46.9	11-Dec-02	11-Feb-05	31-Dec-11	IFAD	Completed
18. Rural Finance Sector Programme	21.277	HC	14.7	0.4	21-Apr-04	13-Sep-05	31-Mar-10	IFAD	Closed
19. South Gansu Poverty-Reduction Programme	80.5	HC	29.3	31.8	8-Sep-05	22-Aug-06	30-Sep-12	IFAD	Completed
21. Xinjiang Uygur Autonomous Region Modular Rural Development Programme	55	HC	25.1	29.9	14-Dec-06	29-Apr-08	30-Jun-14	IFAD	Ongoing
22. Inner Mongolia Autonomous Region Rural Advancement Programme	70.9	HC	30	31.1	13-Dec-07	12-Nov-09	31-Dec-14	IFAD	Ongoing
23. Dabieshan Area Poverty Reduction Programme	70.8	I	31.9	38.9	17-Dec-08	19-Aug-09	30-Sep-15	IFAD	Ongoing
20. Sichuan Post-Earthquake Agriculture Rehabilitation Project	76.97	I	30.47	46.5	30-Apr-09	30-Sep-09	30-Sep-12	IFAD	Completed
24. Guangxi Integrated Agricultural Development Project	96.8	O	47	46.4	13-Dec-11	20-Jan-12	31-Mar-17	IFAD	Ongoing
25. Hunan Agricultural and Rural Infrastructure Improvement Project	93.2	O	47	45.6	21-Sep-12	21-Sep-12	30-Sep-17	IFAD	Ongoing
26. Yunnan Agricultural and Rural Improvement Project	94	O	46.7	47.3	11-Dec-12			IFAD	Ongoing

IFAD-funded projects covered by the China CPE

<i>Project Name</i>	<i>Evaluated by IOE</i>	<i>Total Project Cost US\$ million</i>	<i>Lending Terms</i>	<i>IFAD Approved Financing US\$ million*</i>	<i>Counterpart Amount US\$ million</i>	<i>Board Approval</i>	<i>Loan Effectiveness</i>	<i>Project Completion Date</i>	<i>Project Status</i>
1. Qinling Mountain Area Poverty-Alleviation Project	Evaluated, PE	106.3	HC	29	62.8	8-Dec-99	14-Aug-01	30-Sep-07	Closed
2. West Guangxi Poverty-Alleviation Project	Evaluated, PPA	107.2	HC	30.4	54	7-Dec-00	21-Mar-02	31-Mar-08	Closed
3. Environment Conservation and Poverty-Reduction Programme in Ningxia and Shanxi	PCRV to be prepared	90.25	HC	28.97	46.9	11-Dec-02	11-Feb-05	31-Dec-11	Completed
4. Rural Finance Sector Programme	Evaluated, PPA to be completed	21.277	HC	14.7	0.4	21-Apr-04	13-Sep-05	31-Mar-10	Closed
5. South Gansu Poverty-Reduction Programme		80.5	HC	29.3	31.8	8-Sep-05	22-Aug-06	30-Sep-12	Completed
6. Xinjiang Uygur Autonomous Region Modular Rural Development Programme		55	HC	25.1	29.9	14-Dec-06	29-Apr-08	30-Jun-14	Ongoing
7. Inner Mongolia Autonomous Region Rural Advancement Programme		70.9	HC	30	31.1	13-Dec-07	12-Nov-09	31-Dec-14	Ongoing
8. Dabieshan Area Poverty Reduction Programme		70.8	I	31.9	38.9	17-Dec-08	19-Aug-09	30-Sep-15	Ongoing
9. Sichuan Post-Earthquake Agriculture Rehabilitation Project		76.97	I	30.47	46.5	30-Apr-09	30-Sep-09	30-Sep-12	Completed
10. Guangxi Integrated Agricultural Development Project		96.8	O	47	46.4	13-Dec-11	20-Jan-12	31-Mar-17	Ongoing
11. Hunan Agricultural and Rural Infrastructure Improvement Project		93.2	O	47	45.6	21-Sep-12	21-Sep-12	30-Sep-17	Ongoing
12. Yunnan Agricultural and Rural Improvement Project		94	O	46.7	47.3	11-Dec-12			Ongoing

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