



# **OUTCOME EVALUATION ON XIAOKANG/MDGS AND GENDER**

**BASED ON FIELD MISSION IN  
OCTOBER-NOVEMBER 2010**

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*BY*

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## LIST OF ABBREVIATIONS

ACWF	All China Women's Federation
ADR	Assessment of Development Results
CICETE	China International Center for Economic & Technical Exchanges
CSO	Civil Society Organization
DRC	Development Research Center of the State Council
FYP	Five-year Plan
HDR	Human Development Report
NEX	National Execution
MDGs	Millennium Development Goals
MOCA	Ministry of Civil Affairs
MOHRSS	Ministry of Human Resources and Social Security
NDRC	National Development and Reform Commission
SEAC	State Ethnic Affairs Commission
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
XK	Xiaokang

## EXECUTIVE SUMMARY

Based on a mission undertaken in October and November 2010, this report is an outcome evaluation of UNDP China's recent efforts in supporting Xiaokang and MDGs, and promoting gender equity. Fourteen programs, with budgets totaling approximately \$3.3 million, related to the Xiaokang-MDG objective, while two, with funding of about \$250,000, supported the objective of gender equity.

Programs associated with Xiaokang-MDGs fall under two intended outcomes, integrating Xiaokang-MDGs into policy (Outcome 1), and supporting Xiaokang-MDG implementation (Outcome 2). Through the four programs under Outcome 1, UNDP was highly successful in contributing to cross-fertilization between the MDG and Xiaokang visions and using the convergent Xiaokang-MDG platform to advocate pro-poor policies and enhanced focus on social services. Outcomes resulting from these programs were very strong, and illustrate the effective deployment of UNDP's core competencies. The ten programs under Outcome 2 represent a diverse group focusing on supporting different vulnerable groups through capacity building as well as technical and institutional innovation at both national and sub-national levels. Five strategies – participatory decision-making, data-driven needs assessment, partnerships with CSOs, capacity building and “soft assistance” – were shared by many of the ten programs and made an effective contribution to achieving intended outcomes.

Five key factors contributing to UNDP's commendable success in achieving strong Xiaokang-MDG outcomes were: (1) relevance and ownership, (2) credibility and neutrality, (3) good working relationships and communication with partners, (4) intellectual leadership, and (5) knowledge-sharing. The unique convergence of the UN's MDG and the Chinese government's Xiaokang visions provides a valuable platform for ongoing cooperation. UNDP China should make Xiaokang central to its core message. A critical mass of government officials and experts was drawn into the Xiaokang indicator and other Xiaokang projects. The development of this “community of Xiaokang practice” is a sustainable result of these programs, and an important asset that UNDP should continue to nurture.

Although Outcome 5, gender equity, was supported by only two small programs, positive results were achieved in mainstreaming gender across practice areas. However, mainstreaming could have been more effective if it had been backed by dedicated resources. Overall, outcomes in the area of gender equity have been weak. This is because gender equity is not a high national priority, UNDP lacks strong national partners, and reflecting these constraints, UNDP's own gender efforts have been very modest. Three measures should be taken to promote stronger gender outcomes: first, collecting disaggregated data to enable evidence-based discussion of the role of gender, second, identifying a gender-related issue where UNDP can win the support of government and using this to establish a standalone program enabling multiple government ministries to work together on gender issues, and third, reaching agreement with government to earmark a certain percentage of resources specifically for gender equity.

Partners saw knowledge-sharing as central to UNDP's value proposition. Knowledge-sharing has been emphasized by UNDP for a long time, but has proven difficult to implement in practice. China's rapid development and declining international support for assistance to China presents UNDP with an especially pressing challenge to innovate or risk irrelevance. UNDP's financial contribution to China's development is already insignificant, but three decades of experience, credibility and partnership building should not be. The report concludes by recommending concrete steps to promote knowledge-sharing by UNDP China.

## 1 INTRODUCTION

### 1.1 Context

Based on a mission undertaken in November 2010, this report is an outcome evaluation of UNDP China's recent efforts in supporting Xiaokang and Millennium Development Goals (MDGs), and promoting gender equity.

The Millennium Development Goals, put forward in 2000, are eight quantifiable objectives that all member states of the United Nations have committed to achieving by the year 2015. They focus on improving living conditions of the poor and disadvantaged in developing countries. Xiaokang is a term with a long history, used by Deng Xiaoping in 1979 to describe his vision for a China that strives for moderate economic prosperity and social harmony. Today, the term includes an emphasis on socially and environmentally sustainable development, and focuses on achieving "five balances" between urban and rural areas, regions, economic and social development, people and nature, and the domestic and international economies. There is a remarkable convergence between the MDG and Xiaokang visions, as both are centered on making a measurable difference in the lives of ordinary people.

The rapid development of the Chinese economy over the last thirty years, at the historically unprecedented rate of 9.8 per cent per year, has lifted some 500 million people out of poverty. China has achieved many of the MDGs years in advance of the 2015 deadline. At an aggregate global level, a disproportionate share of progress towards achieving MDGs has been contributed by China. Yet, as aptly summarized by the "five balances" of the Xiaokang vision, many challenges remain in terms of equitably and sustainably distributing the benefits of fast economic growth.

Promoting gender equity is the third of the eight MDGs. It is also an important means to realizing the other MDGs. As such, UNDP seeks to fully integrate gender into its five practice areas of democratic governance, poverty reduction, crisis prevention and recovery, environment and energy, and HIV/AIDS in all country programs.

China has many impressive achievements in the area of gender equality, including rates of women's participation in the labor force that are higher than those of developed East Asian countries such as Japan and South Korea. According to the 2009 edition of UNDP's *Human Development Report*, China ranks 75<sup>th</sup> among 155 countries in terms of gender-related development, and 72<sup>nd</sup> of 109 countries in terms of gender empowerment.<sup>1</sup> This is roughly in line with China's overall Human Development Index ranking for the year, indicating that Chinese women have generally kept pace with their nation as a whole. Nevertheless, as noted by the *2008 Millennium Development Goals Progress Report* authored by China's Ministry of Foreign Affairs, many obstacles remain in the pursuit of gender equality.

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<sup>1</sup> [http://hdr.undp.org/en/media/HDR\\_2009\\_EN\\_Complete.pdf](http://hdr.undp.org/en/media/HDR_2009_EN_Complete.pdf). See Annexes J and K.

For UNDP, both MDGs and gender are major themes that cut across all practice areas but do not themselves constitute dedicated practices. Likewise, for the government of China, multiple ministries are involved in addressing Xiaokang and gender issues, with no single ministry having primary responsibility for either.

## 1.2 The evaluation mission

The evaluation team consisted of Dinyar Lalkaka, international consultant, and Du Jie, national consultant. The Terms of Reference (TOR) for this final evaluation assignment are included as Annex 1: Terms of Reference.

The evaluation mission was conducted from Monday, 11 October, to Friday, 5 November 2010, for a total duration of 4 working weeks. The itinerary of the mission is included as Annex 2: Itinerary.

Briefings by UNDP and CICETE were conducted in the initial days of the mission. The first three weeks were dedicated to meeting with UNDP staff and ministerial partners. A list of key persons met is included as Annex 3: Persons Met. Gaps between scheduled meetings were used to review relevant documents. An exercise in identifying good practices in MDG-Xiaokang and gender was held with about ten UNDP staff on 26 October. Except for a brief one-day visit to the neighboring city of Tianjin, all activities were held in Beijing. The mission concluded with a presentation of preliminary findings on 4 November 2010.

## 1.3 Objectives of the evaluation

As noted in the Terms of Reference (see Annex 1):

The main purposes of the outcome evaluation are to (i) assess the key results that have been achieved with UNDP support in the past few years and (ii) summarize the best practices and lessons learned in achieving the results. Specifically, the following UNDP Country Programme (CP) outcomes will be covered by the evaluation:

<b>CP Outcome 1:</b>	Xiaokang/MDG concepts and indicators integrated into national and provincial development vision, policies and plans.
<b>CP Outcome 2:</b>	National efforts to lead and manage Xiaokang/MDG implementation supported through a variety of instruments and capacity building initiatives.
<b>CP Outcome 5:</b>	Capacities to pursue gender-equity efforts enhanced through advocacy, gender sensitive analysis and implementation.

Questions to be addressed by the evaluation include:

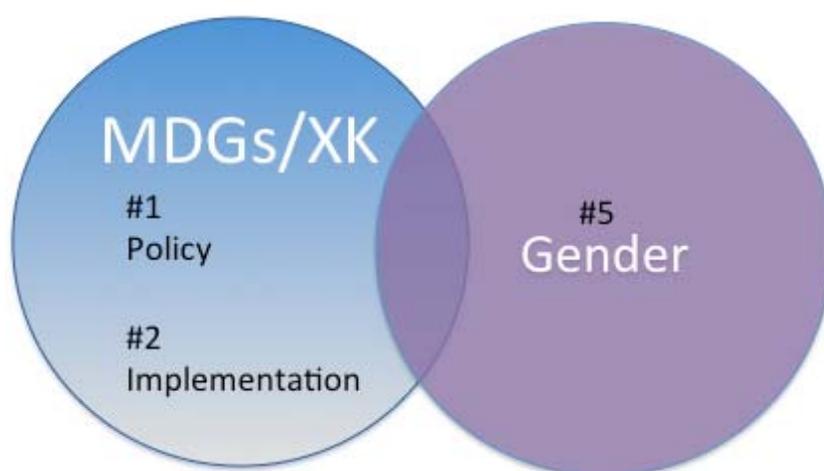
### General questions

- Were the intended outcomes achieved?
- What progress towards the outcomes has been made?
- What factors have contributed to achieving or not achieving intended outcomes?
- To what extent have UNDP's outputs and assistance contributed to the intended outcomes?
- Has the UNDP partnership strategy been appropriate and effective?

- What factors contributed to effectiveness or ineffectiveness?
  1. Gender-specific questions
    - What are the key contributions of UNDP towards gender mainstreaming and equality in China?
    - What are the main best practices and lessons learned in UNDP’s promoting gender mainstreaming and equality in China?

While Outcome 1, Xiaokang-MDG concepts and indicators, and Outcome 2, Xiaokang-MDG implementation support, are conceptually distinct, they are closely related and mutually supportive, and therefore form a single theme in this outcome evaluation. Outcome 5, gender equity, is a separate theme, though it overlaps with the Xiaokang-MDG theme, as illustrated in Figure 1 below.

*Figure 1: MDGs-Xiaokang and Gender are separate but overlapping themes*



This evaluation comes as the 2006-2010 United Nations Development Assistance Framework (UNDAF) and the 2006-2010 Country Programme for the People’s Republic of China have come to an end, and the 2011-2015 UNDAF and Country Programme are about to begin. An Assessment of Development Results (ADR) for China, which examines the relevance of UNDP contributions to China’s national development under the just-ended Country Programme, was completed in mid-2010. This outcome evaluation takes the ADR as its point to departure.

#### 1.4 Projects reviewed

Eighteen programs are listed in the mission’s Terms of Reference as contributing to the outcomes under review, as shown in Table 1 below.

*Table 1: Projects Relevant to the Outcomes*

Project Title	Duration	Out-come	Budget (US\$)
Supporting the “All-Round” Xiaokang Society	2005-2010	1	10,000,000
Capacity Building to Support Pro-Poor Fiscal Reform in China	2006-2010	1	10,300,000
Revitalizing Rural China through Land Policy Reform and	2006-2010	1	5,030,000

Project Title	Duration	Out- come	Budget (US\$)
Innovation in Rural Governance and Public Service Delivery			
Support Government in Promoting Social Inclusion for Migrant Workers and Their Families	2007-2010	1	4,231,410
Protecting and Promoting the Rights of China's Vulnerable Young Migrants (YEM)	2009-2011	2	1,180,000
Science and Technology Support to Poverty Reduction (TTF)	2006-2010	2	4,000,000
Green Poverty Alleviation for Poor Rural Areas in China	2006-2012	2	8,585,000
Poverty Reduction for Ethnic Minorities in China	2006-2011	2	7,000,000
UN Joint Programme on Culture and Development	2008-2011	2	936,485
Advanced Leadership Development Project to Promote the All-Round Xiaokang Society	2004-2010	2	7,063,618
HRD and Government Capacity Building to Achieve Xiaokang/MDG Targets	2006-2011	2	11,200,000
HRD in NE&W China	2006-2010	2	2,500,000
Mitigating the Negative Impacts of HIV and AIDS on Human Development	2007-2011	2	600,000
Addressing the Greater Involvement of People Living with HIV/AIDS and Furthering a Multi-Sector Response to HIV/AIDS	2007-2011	2	641,968
Promoting Women's Equal Rights and Participation in Local Governance	2007-2008	5	150,000
UN Joint Programme: Preventing and Responding to Domestic Violence in China through a Multi-sectoral Approach	2009-2011	5	97,569
Gender responsive budgeting seminar with ACWF, NWCCW, National Statistics Bureau and Ministry of Finance	Aug 2007	5	
Launch of the Asia-Pacific Human Development Report on Gender at the 100th International Women's Day with ACWF	Mar 2010	5	

Four programs, with budgets totaling about \$29.6 million, related to Outcome 1 (MDG-Xiaokang planning and policy), while another ten, with budgets totaling about \$43.7 million, related to Outcome 2 (Xiaokang-MDG implementation). Of the four items listed as contributing to Outcome 5, gender equity, two were one-time events. The two remaining gender equity-related programs commanded resources of approximately \$250,000. This disparity in funding – about \$73.3 million committed to Xiaokang-MDG programs as opposed to \$250,000 for gender equity programs (0.03 per cent of the Xiaokang-MDG total) – provides an important perspective on the scale of outcomes under these two themes. As aptly summarized by the Chinese proverb, “Even the cleverest woman cannot cook a meal without ingredients.”

Somewhat more than half the programs in the sample had already been completed by the time of the evaluation, with all but one of the remainder scheduled to conclude in 2011. As such, program outcomes should already be apparent. In keeping with the guidelines for outcome evaluations, we have tried to stay focused on overall outcomes, and refer to programs only to the extent that their outputs have a direct bearing on the outcomes under review, although this has not always been easy to do in practice.

## 2 XIAOKANG AND MDGS

This chapter examines programs and outcomes in the areas of integrating Xiaokang-MDGs into policy and supporting MDG-Xiaokang implementation. Despite the nominal differences between Outcomes 1 and 2 and the programs designed to support them, there is much in common between the factors that contributed to their successful achievement.

### 2.1 Integrating Xiaokang-MDGs into policy

The four programs under this rubric promoted the convergence between the UN's MDG vision and the Government of China's Xiaokang vision. The first of these four programs promoted this convergence explicitly, while the other three supported the convergence by advocating pro-poor policies and enhanced focus on social services.

The program "Supporting the 'All-Round' Xiaokang Society" contributed to the development of the Xiaokang planning framework by drawing on the UN systems extensive worldwide experience with MDGs. Program results were already reflected in the 11<sup>th</sup> Five-Year Plan (FYP), as the program was launched just as the 11<sup>th</sup> Five-Year Plan (FYP) was being drafted and major departments of the National Development and Reform Commission (NDRC) were closely involved with the planning and implementation of both. Issues such as gender disparities at birth and HIV/AIDS were addressed in the 11<sup>th</sup> FYP as a result of UNDP input.

Early contributions of the UNDP programme to the 11th FYP are summarized in the report by the UN China Country Team, entitled *Advancing Social Development in China: Contribution to the 11<sup>th</sup> Five Year Plan*<sup>2</sup>, which highlights rural development, establishment of an assessment system for social development, standards of social service delivery, and integration of environment, gender and HIV/AIDS into Xiaokang planning.

With the help of UN agencies, an MDG-plus system based on about 50 indicators was accepted by government and tested at the national level. Each of the 15 provinces participating on the program developed their own indicator systems. Provincial governments integrated lessons learned into their development plans. For example, Jiangsu, one of the pilot provinces, is using its localized Xiaokang indicators to monitor economic and social development, and the results of monitoring are used to formulate provincial development policies.

Positive lessons on pro-poor development from the UNDP program and the 11<sup>th</sup> FYP fed into the newly released 12<sup>th</sup> FYP proposal, which includes disaggregated milestones – regarding gender, minorities, HIV/AIDS and access to drinking water – on the road to the 2020 Xiaokang vision.

Overall, the UNDP program on "Supporting the 'All-Round' Xiaokang Society" has made an important contribution to the ongoing national discussion on transitioning from a development model focused primarily on GDP growth to one focused on comprehensive human development. According to Mr. Du Zunya of the National Development and

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<sup>2</sup> <http://www.un.org.cn/public/resource/708fa8da8e8917122538fffae62f166d.pdf>

Reform Commission (NDRC)<sup>3</sup>, MDG concepts and methodologies were well accepted by the central and provincial governments and are increasingly reflected in government policies. In his view, the contribution of the program was fourfold:

1. Giving operational meaning to the Xiaokang vision,
2. Developing the Xiaokang indicator framework,
3. Promoting strategic thinking on the linkages between social and environmental issues and economic development, and
4. Building capacity of high level decision-makers.

The program on “Capacity Building to Support Pro-Poor Fiscal Reform in China” sought to strengthen the links between fiscal reform and poverty reduction by enhancing capacity building in the management of fiscal reform, especially at the local level. Program activities examined the sub-provincial fiscal system and proposed new options for pro-poor policies that would provide equal access to basic social services. Program outputs have been reflected in many of government’s fiscal policies and the revised draft of the basic tax law, which assigns more appropriate taxation powers to local governments, thereby strengthening their fiscal capacity to deliver basic public services.

Other program outputs include establishing a platform for debate on pro-poor fiscal policy, convening an international forum on pro-poor fiscal reform and local fiscal capacity building, capacity building activities such as international study tours, seminars and workshops. These outputs have contributed to strengthening the government’s fiscal management system, for example, through the setting-up of the Local Government Debt Management Division in the Ministry of Finance, and to promoting a greater orientation towards serving tax payers, for example, by the establishment of the Taxpayer Service Department in the State Administration of Taxation.

According to Mr. Jin Dongsheng, the Deputy Director General of the Taxation Institute of the State Administration of Taxation, “Overall, UNDP has had a definite impact on the government’s work in the area of public finance. The UNDP program introduced new concepts such as risk management in tax collection, strategic planning and serving tax payers.”<sup>4</sup>

There have been some notable developments in the area of pro-poor fiscal reform over the last five years, including the abolition of the agricultural land tax and obligatory rural labor, and the introduction of guaranteed minimum subsistence incomes for poor urban families. Government expenditures have been slowly shifting from investment in fixed assets towards social expenditures supporting disadvantaged communities. While these are major policy reforms that the government has introduced independently, in the view of Mr. Jin, UNDP inputs have contributed to their successful implementation.

In the program “Revitalizing Rural China through Land Policy Reform and Innovation in Rural Governance and Public Service Delivery”, UNDP collaborated with government agencies and think tanks on land reform, protecting farmers’ land rights and improving public services in rural areas. The project has three main components: (i) policy research

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<sup>3</sup> Director, Department of Laws & Regulations, NDRC, Meeting of 15 October 2010.

<sup>4</sup> Meeting of 14 October 2010.

and pilot projects to clarify rural land property rights and establish clear, equitable and efficient mechanisms for their registration, usage and transfer, (ii) research and pilot projects to identify structural obstacles to improving local governance, providing public services in rural areas and protecting farmers' rights, and (iii) knowledge sharing and policy dialogue to distill and disseminate project findings.

Significant results of the program include:

- Exemplary integration of gender into program activities, with issues of land rights, rural governance and public service delivery seen through a gender lens with the help of gender-disaggregated data, case studies and training. The central finding of this work was that existing land reform policies are not gender-neutral, and as such may have the unintended effect of exacerbating endemic poverty;
- Protecting peasant land rights through the development of clear guidelines for the transfer of built-up rural land, and training and advocacy at pilot sites.

The fourth and last program under the Xiaokang policies and plans rubric is “Support Government in Promoting Social Inclusion for Migrant Workers and Their Families”, which aims to enhance government capacity in both “receiving” and “sending” areas to promote social inclusion of migrant workers and their families by improving employment, social security, and access to public services. This was a multi-sectoral program involving cooperation with many ministries, anchored by the Ministry of Human Resources and Social Security (MoHRSS) and the NDRC.

In the view of MoHRSS, UNDP's participation enabled them to do better the work they were already planning to do by raising the profile of this agenda and providing a platform for knowledge sharing. Higher credibility improved their ability to win the cooperation of other government departments. The UNDP program's objectives and outputs promoted a more systematic approach than would otherwise have been adopted. Additional knowledge sharing took place through the recruitment of consultants, international study tours and conferences.

Through the four programs under this rubric, UNDP was highly successful in contributing to cross-fertilization between the MDG and Xiaokang visions and using the convergent Xiaokang-MDG platform to advocate pro-poor policies and enhanced focus on social services. Outcomes resulting from these programs were very strong, and illustrate the effective deployment of UNDP's core competencies.

## **2.2 Supporting Xiaokang-MDG implementation**

The ten programs under Outcome 2, supporting Xiaokang-MDG implementation, commanded resources of some \$43.7 million and represent a diverse group focusing on supporting different vulnerable groups through capacity building as well as technical and institutional innovation at both national and sub-national levels. Some are new programs that address emerging issues that are clearly aligned with Xiaokang and MDGs; others are iterations of old programs that link to Xiaokang and MDGs largely because Xiaokang and MDGs are pervasive themes in the work of the Chinese Government and UNDP respectively.

The number, size and diversity of these ten programs means that individual discussion of each program would lead us away from the purpose of this exercise, which is to evaluate *outcomes*. Instead, this section describes five strategies – participatory decision-making, data-driven needs assessment, partnerships with CSOs, capacity building and “soft assistance” – that were shared by many of the programs and made an effective contribution to achieving intended outcomes.

The impact of the *participatory approach* to decision-making was a highlight frequently mentioned by stakeholders of several programs. For example, the program on Promoting the Rights of Young Migrants organized a forum in which participants representing migrants, employers, landlords and government officials actively exchanged views on the inclusion of migrants in their adopted communities. This provided a rare opportunity for migrant workers to interact with and even criticize the local and central government officials who made policies that affect their daily lives. It was reported that despite initial apprehension that this kind of direct dialog between government, the local community and migrant workers could lead to discord, government officials instead found this to be a valuable means of understanding the needs and concerns of the migrant community and developing demand-based policies to serve them better. In the Chinese context, each event such as this represents a small but significant step forward, and the programs reviewed under this outcome collectively contributed to the makings of a journey.

*Data-driven needs assessment* has emerged as a signature UNDP methodology. In several programs this approach has helped to identify and enable evidence-based discussion of important, and sometimes sensitive, social issues. Good examples can be found in the YEM program, the TTF program, the ethnic minorities programs, the land reform and pro-poor fiscal reform programs discussed under Outcome 1, and the Wenchuan disaster relief program. To cite an example from the UNDP Post-Wenchuan Earthquake Early Recovery and Disaster Risk Management Programme, as part of its efforts to reintegrate vulnerable groups into post-disaster society, UNDP supported cooperation between the ACWF and Action Aid International in conducting a Participatory Vulnerability Analysis in thirteen pilot villages in Sichuan, Shaanxi, and Gansu provinces, targeted at women, children, the elderly and the disabled. Over 800 villagers participated in the exercise. Based on the findings of the vulnerability analysis, ACWF organized practical skills training sessions in piloted villages and provided 550 women with agricultural equipment and production material. Over a hundred women’s federation members also received training on post-disaster psychological support. By bridging government-led reconstruction with the needs of specific groups, this data-driven vulnerability analysis facilitated a more gender-responsive early recovery process that paved the way towards balanced community development.

*Partnerships with CSOs* represent a milestone. The question of what role CSOs should play in China’s development has been on the national agenda for many years, as has the question of how UNDP can constructively participate in this debate. UNDP activities over the last five years, especially through the programs under review in this outcome but also including programs in the Democratic Governance portfolio and non-program mechanisms, have taken UNDP’s engagement with CSOs to a new level. In the YEM project, five CSOs were selected through competitive bidding to help migrant communities

protect their rights, participate in policy consultations and enrich their social life in urban communities. In our interviews with government ministries, this approach was lauded as an innovative public service delivery modality that serves as a pilot for new thinking and policy making on government purchasing social services from CSOs. Likewise, the UN Joint Programme on AIDS in China and has successfully mobilized CSO involvement in the national AIDS response.

*Capacity building* is a feature of all UNDP projects and is the exclusive focus of the Advanced Leadership Development Project to Promote the All-round Xiaokang Society, the HRD and Government Capacity Building to Achieve Xiaokang/MDGs, and the HRD in NE&W China programs. These programs targeted not only high and mid-level officials but also institutional reform and strengthening of government departments, public institutions, and state-owned enterprises, addressing various key development challenges. In addition, many other sector-based programs have dealt with capacity building issues in specific areas, for instance, the fiscal program on fiscal policies and capacities, and the inclusive finance program on financial service policies and capacities.

*“Soft assistance”* – non-program activities – played an important role under this outcome of supporting Xiaokang implementation. Many instances could be cited from UNDP’s very active calendar of events and publications. An especially notable example is the annual China Human Development Report, modeled on UNDP’s highly influential Human Development Reports (HDR). The China HDRs are widely cited in the academic literature both nationally and internationally. Both the NDRC and the Central Party School have used the China HDRs as reference documents. The 2007-8 China HDR, coordinated by the China Institute for Reform and Development and entitled *Access For All: Basic Public Services For 1.3 Billion People*, analyzes China’s human development record since the start of China’s economic reforms three decades ago, and recommends measures to improve the public service delivery system. An annual forum on public service delivery has served to enhance the impact of the publication, related program activities and UNDP’s role in knowledge-sharing around the theme of inclusive public services. In the view of this evaluation, this convergence of soft assistance, program activities and networking is an example of the kind of knowledge-sharing that partners cite as being central to UNDP’s value proposition.

Overall, the ten programs under Outcome 2, supporting Xiaokang-MDG implementation, were well aligned with the intended outcome and made a valuable contribution towards pro-poor and human-centered development. Reflecting their high national ownership and relevance, they did so making extensive use of counterpart funding.

### **2.3 Factors contributing to outcomes**

The key to UNDP’s success in the area of Xiaokang-MDGs is *high relevance and strong ownership*. There was a convergence between the Government of China’s Xiaokang vision and the UN system’s MDG vision, both emphasizing comprehensive human development. Three decades of rapid economic development, starting in the early 1980s, made the strengths and weaknesses of a development model focused primarily on GDP growth apparent to the Chinese government and public. Recognizing the need to rebalance the economy, society and environment in order to promote more sustainable development,

government was seeking to infuse new and practical meaning into its existing Xiaokang vision. The UN system had also learned from the successes and failures of the development models it had advocated worldwide over six decades, and in consultation with its member states, had summarized its key lessons in 2000 as the Millennium Development Goals. This convergence of Chinese and UN visions provided a unique opportunity for UNDP to work with the Government of China to give the Xiaokang vision new substance. Cooperation between UNDP and the Government of China on the programs under this rubric show the National Execution (NEX) framework working as it is ideally intended to.

Themes such as promoting social inclusion of migrant workers, mitigating rural poverty, developing minority areas and training cadres are major priorities of government and figure prominently in the 11<sup>th</sup> and 12<sup>th</sup> FYPs. The programs under review were developed in close consultation with national partners and tie in closely with partners' existing work. In the words of Ms. Jia Li, Division Chief of the Department of Employment Promotion in the Ministry of Human Resources and Social Security, "With UNDP, our work promotes the projects and the projects promote our work, because the two are closely connected."<sup>5</sup>

A second success factor was the *strong credibility and honest-broker advantage* that the UN system has built up over the years in China. Perhaps more than any other development organization, the UN system is viewed in China as a trusted, neutral partner in development. Credibility, coupled with UNDP's policy experience and pilot results, allows it to bridge the often conflicting interests of government agencies and engage with civil society organizations (CSOs) and academia, thereby speeding up the change process. This honest broker role was clearly demonstrated in many of the programs supporting Xiaokang.

A third success factor was the *excellent working relationship and good communication* between partners and UNDP staff. As stated by Mr. Liu Yutong, Chief of the International Cooperation Department of the MOHRSS, "My main observations are, first, there's a tight fit between UNDP's programs and our own work. [...] Second, we cooperate and communicate very well together." His colleague, Ms. Jia Li, noted that "Compared to other development organizations, UNDP is more flexible, procedures are more streamlined and it is easier to communicate with its staff."<sup>6 7</sup>

According to Ms. Yang Fan, Deputy Director, Foreign Cooperation Management Office of the State Ethnic Affairs Commission, "UNDP respects our opinions and consults with us. In our meetings, UNDP staff try to understand our point of view. Sometimes, we contact them directly. Because of this, we are able to reach good consensus on the main points. For example, in the ethnic minorities project, we played a major role in drafting the project framework."<sup>8</sup> Similar views were expressed in most of our meetings and reflect the real success of UNDP China in building a genuine and constructive partnership with the government.

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<sup>5</sup> Meeting of 18 October 2010 with MOHRSS

<sup>6</sup> Meeting of 18 October 2010 with MOHRSS

<sup>7</sup> While partners generally commended UNDP procedures for their flexibility and efficiency, they were critical of procedures for joint UN programmes, which they perceived as cumbersome and unwieldy.

<sup>8</sup> Meeting of 15 October with the SEAC

A fourth success factor was UNDP's *strong intellectual leadership* on technical and policy issues related to developing the Xiaokang framework and supporting Xiaokang implementation. Over the course of three decades, UNDP China has acquired a comprehensive and high-level perspective on national socioeconomic development, for which it deserves considerable credit. In the case of Xiaokang indicators, UNDP China was able to mobilize sectoral UN agencies with valuable experience in MDG implementation worldwide.

Finally, *knowledge sharing* was the UNDP contribution most widely praised by partners. They reported that UNDP knowledge-sharing brought new perspectives, experience, methodologies, insight and information to their work. Knowledge-sharing took place through a variety of program and non-program activities, including workshops and seminars, program implementation and review meetings, training in-country and abroad, UNDP publications and its website. But most of all, knowledge was shared through informal meetings and communications between UNDP and partner staff.

In the view of Mr. Jin Dongsheng, the Deputy Director General of Taxation Institute of the State Administration of Taxation, "In China, UNDP's success is attributable to its introduction of new ideas [促进理念变化]. It exposes us to new concepts, and through us, influences decision-makers."<sup>9</sup> According to Mr. Du Zunya, Division Chief of the Department of Laws & Regulations, NDRC, "UNDP has a broad global vision, which is of great value to us in formulating policy. UNDP's program has helped us expand our horizons and benefit from international experience."<sup>10</sup>

Relevance and ownership, credibility, good working relationships and intellectual leadership serve as important prerequisites of successful knowledge-sharing. In the view of this evaluation, and also apparently, that of many partners, knowledge-sharing is a core UNDP China competence, and programs that gave full play to this strength seemed to be the ones that were the most likely to result in significant outcomes.

## 2.4 Recommendations

The unique convergence of the UN's MDG and the Chinese government's Xiaokang visions provides a valuable platform for ongoing cooperation. UNDP China should make Xiaokang central to its core message. A critical mass of government officials and experts was drawn into the Xiaokang indicator and other Xiaokang projects, and is a key reason why 11<sup>th</sup> FYP results were successfully fed into the 12<sup>th</sup> FYP. The development of this "community of Xiaokang practice" is a sustainable result of these programs, and an important asset that UNDP should continue to nurture.

Many partners urged UNDP to expand its knowledge-sharing role. They hoped that non-program partnerships could expand. Some expressed the wish that they could participate in program activities where they felt they had something to contribute, even if they were not direct program partners. It was suggested that UNDP establish an "alumni network" of people who had participated in past programs, and use this network as a platform for sharing the knowledge and experience of all. Partners reported that they often

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<sup>9</sup> Meeting of 14 October

<sup>10</sup> Meeting of 15 October

visited the UNDP website looking for information and new ideas, but found the documents available on the website limited and difficult to digest. Often the website was simply unavailable.

Partners expressed concern that as UNDP core resources diminish and government capacity increases, it becomes more difficult to see the value added by UNDP through traditional program approaches. If “making the good better”, in the words of the recent ADR, were simply to mean doing a little more of what government is already doing, UNDP’s value added risks become vanishingly small. This of course is a familiar challenge of national execution: how to contribute to government objectives while adding unique value? This challenge is especially acute in China, where UNDP resources are increasingly dwarfed by national resources.

Focusing on outcomes is an important part of the answer to this question. While many of the programs reviewed in this evaluation exercise have done so successfully, some, especially programs that have gone through multiple reincarnations, continue to be driven by outputs. While it may be impractical to establish quantifiable metrics for outcomes in the case of programs that target “upstream” policy impact, the lack of outcome-based metrics in “downstream” projects is more problematic. Apart from helping to answer the question of to what extent the programs contributed to their stated outcomes, more quantifiable metrics would also be of value in improving design of programs that go through multiple cycles, such as the Human Resource Development and Advanced Leadership Development programs. UNDP China may wish to consider the use of randomized evaluation techniques<sup>11</sup>, which have recently become increasingly popular in the evaluation of development programs. While not relevant to all UNDP China programs, randomized evaluation could potentially provide a more objective yardstick with which to evaluate achievement of outcomes.

A second approach to the question of how to contribute to government objectives while adding unique value is to find new ways of helping constructive but mature programs more quickly become institutionalized within government and civil society while UNDP targets its resources on forward-looking policy ideas and pilot projects. UNDP China often faces a painful choice between terminating a once-innovative and still-useful program, or extending it for another cycle. How can we better plan and manage the sustainable spin-off of mature programs? This is a broad question that can be approached from different angles. Is it possible to create a mechanism to allow mature programs to continue under the CICETE umbrella with advisory but not financial support from UNDP? Another strategy could be to build UNDP’s knowledge-sharing community so that the community serves as a platform and halfway house supporting programs progressively more independent of UNDP.

Finally, we share the view of the 2010 ADR, that UNDP can continue to add unique value by focusing more strongly at the sub-national level, especially the provincial level. China’s high overall growth tends to mask stark regional disparities in development, and a stronger case can be made for UNDP assistance to China’s least developed provinces than to its most developed ones. Many China’s provinces are as big or bigger than many of the

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<sup>11</sup> For a good overview of randomized evaluation in international development programs, see <http://www.povertyactionlab.org/methodology>

countries to which UNDP provides assistance, but Chinese provincial governments, especially those in western and northeastern China, have limited opportunities to work directly with international organizations. UNDP's network at the provincial level is already extensive, and it should be well positioned to expand its partnerships and programs at the sub-national level. Xiaokang indicators and policy is one of the areas that could be fruitfully pursued at the sub-national level.

### **3 GENDER EQUITY**

Like Xiaokang-MDGs, gender equity is a cross-cutting theme intended to be mainstreamed across all practice areas; unlike Xiaokang-MDGs, UNDP has implemented only two modest programs targeting gender. Total funding for gender programs was less than one third of one per cent that of Xiaokang-MDG programs.

“Promoting Women’s Equal Rights and Participation in Local Governance” was a small project implemented in 2007-2008. The subject is an important and highly relevant one, as women in China experience low political participation at all levels, especially at the national and village levels. Despite the increasingly important role of elections to village committees in China’s ongoing experiments with participatory political reform, statistics indicate that only 1% of village committee chairs are women, and the level of participation at the village level actually seems to be declining. The program worked primarily through CSOs, thereby strengthening their capacity and bringing them into close cooperation with government agencies like the ACWF. A follow-on joint program with the same theme and a budget of about \$2 million has just been launched in January 2011. It aims to increase women’s representation in People’s Congresses at all levels, promote an equal retirement age for women and men and raise public awareness for equal political participation for women. UNDP is cooperating with ACWF and other key partners to conduct awareness raising publicity campaigns, build political participation by women leaders and civil servants and strengthen the dialogue between women’s CSOs and the government.

“Preventing and Responding to Domestic Violence in China”, the second of the two programs on gender, is both a UN joint program that is anchored by the ACWF and implemented by multiple UN agencies, and a regional program that is being concurrently undertaken in 6-7 Asian countries. It seeks to understand how domestic violence presents itself in China and what can be done to address its causes. The program appears to have had an impact in some areas such as attracting broader national research and media interest to the subject of domestic violence, including men in discussion of the issue, and devising policy and institutional mechanisms to assist battered women. Program activities hit some early obstacles, but consensus was reached by all parties involved in February 2011 with the convening of a Joint Program Management Committee meeting, and full implementation began thereafter.

UNDP sponsored two events related to gender in recent years, a seminar on Gender Responsive Budgeting, held in conjunction with ACWF, the National Working Committee on Children and Women, the National Statistics Bureau and the Ministry of Finance, and the launch of the Asia-Pacific Human Development Report on Gender at the 100th International Women's Day, with ACWF. Both were reportedly well received and

contributed incrementally to the acquisition and sharing of knowledge on the role of gender in development.

Unlike most UNDP country offices, UNDP China does not have a dedicated gender outcome. Partners recognize gender equity as one of the signature themes of UNDP China, although some appear to view it more as a minor idiosyncrasy than as a major principle. We have the sense that many partner representatives at line ministries, especially women who are numerous at middle-management levels, would respond enthusiastically to gender programs if they were empowered to do so.

An evaluation of UNDP's recent contributions to gender equity in China needs to go beyond standalone gender programs and look at UNDP's strategy of mainstreaming gender across all subject areas. Many good examples of gender mainstreaming can be cited. As mentioned in section 2.1, the "All-Round Xiaokang" program was directly instrumental in incorporating gender metrics into the Xiaokang indicator system, thus ensuring that gender is integral to the 12<sup>th</sup> FYP. The Land Reform program used a gender lens to focus on issues of land rights, rural governance and public service delivery, and showed that existing land reform policies had a selectively adverse impact on women. The program on social inclusion of migrant workers paid considerable attention to women's needs in terms of employment services, vocational training, occupational safety and child care. Gender was an important consideration in the design of drinking water hygiene, reduction of pesticide and coal mine safety programs. Further examples could be listed, but these should suffice to make the point that staff awareness of gender issues is high and UNDP China *has* made good progress in mainstreaming gender across practice areas and programs.

While recognizing these positive results, we should also acknowledge that in the absence of dedicated resources, mainstreaming in principle can lead to marginalization in practice. The challenge of mainstreaming is that if we don't communicate clearly *how* gender is to be mainstreamed and don't have a specific budget for mainstreaming, then mainstreaming can easily become a pro forma exercise. We can point to significant outcomes in the area of Xiaokang-MDGs because this theme was both mainstreamed *and* received lots of funding through standalone programs. Gender, by comparison, was a low priority which received almost no funding at all.

Benchmarks calling for minimum rates of women's participation in activities such as training are a common feature of UNDP programs and have had a positive impact. The TTF program enhanced the skills of more than 200,000 women through its training activities, thereby raising their average household incomes by some 13.8 per cent. Remote training via ICT models in three western provinces of China benefited over 50,000 primary school teachers in remote mountainous and rural areas, of whom more than 60 per cent were women. In the Advanced Leadership Program, UNDP and the Central Organization Department agreed that at least 25 per cent of all participants would be women. The risk with indicative quotas for women's participation is that in the absence of pro-active outreach and capacity building, they can become a formalism.

### **3.1 Factors contributing to outcomes**

Despite progress with mainstreaming and many good gender-related practices, outcomes in the area of gender equity have been weak. This is because gender equity is not

a high national priority, UNDP lacks strong national partners, and reflecting these constraints, UNDP's own gender efforts have been very modest.

In our interviews with government partners, the evaluation team was struck by how often we heard that the status of women in China is already very good. While Chinese society has indeed made considerable progress over the last century towards the goal of achieving gender equity, it is also true that there are still many obstacles to be overcome, not least of which is a sense of complacency. Except in some narrow areas, such as the sex ratio at birth, UNDP's government partners tend not to see lack of gender equity as a threat to social stability or a hindrance to economic growth.

Moreover, in the area of gender, UNDP lacks strong Chinese partners. Gender is not an explicit focus of any line ministry. ACWF is a committed champion of gender issues and has a long history of close cooperation with UNDP, but it is a "mass organization" that plays only an advocacy role and does not make or implement policy. At the grassroots level, UNDP programs can and do have a direct impact. It is in between ACWF and the grassroots, where women's CSOs would typically be active in other countries, that UNDP is most lacking in partners. CSOs focusing on women's issues are emerging in China, but are still in an early stage of development.

Finally, reflecting the government's low priority given to gender equity, UNDP China has not demonstrated a high degree of commitment to its own gender efforts. Reference to gender equity was apparently removed at the last moment from the current UNDAF, and there is only passing mention of it in the Country Programme Document. Despite many plans to establish a Gender Task Force, it has not yet been. Protocols for the operation of the Gender Focal Point are not yet in place.

### **3.2 Recommendations**

UNDP China should adopt a more pro-active position on gender. National execution does not mean that UNDP must be driven by the short-term, ad-hoc needs of government. UNDP needs to champion the case that continuing progress on gender equity is good for economic development and political stability in China.

We suggest three concrete steps towards promoting stronger gender outcomes: first, collecting disaggregated data to enable evidence-based discussion of the role of gender, second, identifying a gender-related issue where UNDP can win the support of government and using this to establish a standalone program enabling multiple government ministries and ACWF to work together, and third, reaching agreement with government to earmark a certain percentage of resources specifically for gender equity.

Government, with support from UNDP's Xiaokang indicator program, has already started to collect disaggregated data on gender. This effort needs to be taken to the next level in terms of evidence-based analysis and advocacy. One way to do this might be to make gender the theme of the next China Human Development Report. These reports have proven to be an effective means of using dispassionate discussion of national and international experience to promote convergence between UN and national visions on emerging issues, and that is exactly what is needed here.

A flagship standalone program on gender would send a strong signal that gender is a priority for UNDP China. Gender needs to be both mainstreamed and independent. One of the obstacles to action on gender is that while gender issues are relevant to the work of every ministry, there are no gender focal points in any ministry. A flagship program that promoted multi-ministerial, multi-sectoral cooperation on gender could leverage UNDP's honest-broker advantage to build exactly the kind of critical mass of government officials, experts and CSOs committed to promoting gender equity that UNDP China achieved as one of the sustainable outcomes of its Xiaokang indicator program. It may be advisable to combine both upstream and downstream interventions, as was the case with the Xiaokang program. Strong results at the local level may provide good arguments for wider replication, provincial and county governments may be more receptive to innovative approaches to gender equity, and building sub-national capacity may build a foundation for future efforts.

In terms of thematic options for a new standalone gender program, Xiaokang and pro-poor growth already represents a theme where UN and Government of China visions have converged, and seems to us to be the best point of entry. It would be natural to extend the theme of pro-poor growth to give greater emphasis to gender equity. This linkage has the advantage of being cross-cutting (thus allowing for inter-ministry cooperation) but rooted firmly in poverty reduction and social development. Alternatively, climate change is another theme where there is a good convergence of UN and national visions, with considerable potential for an innovative focus on gender. Finally, women's political participation has already been the subject of a previous project and is now the theme of a new joint program, which could be given a higher profile.

Finally, UNDP should consider seeking to develop an understanding with government to earmark a certain percentage of resources for gender. Doing so at the country program level would clearly signal both UNDP's and the government's renewed focus on gender equity. At a minimum, we need dedicated funding at the program level so that mainstreaming can be backed up by more than just good intentions. We recognize that earmarking resources for gender may not be easy, given shrinking core resources and the low national priority accorded to gender issues. As such, it may be advisable to first lay the groundwork through evidence-based discussion, for example, through a gender-themed China Human Development Report.

#### **4 UNDP CHINA'S UNIQUE VALUE**

As discussed [earlier in this report](#), partners gave UNDP high marks for:

1. the relevance of its interventions
2. the local ownership it promoted
3. UNDP's credibility and honest-broker advantage
4. the excellent working relationship between partners and UNDP staff
5. intellectual leadership

These factors in turn enabled UNDP to establish a valuable platform for cooperation and knowledge-sharing, which partners widely viewed as central to UNDP's value proposition. This platform facilitated the exchange of experience and insight between

government organizations, between government and civil society, and with other countries. Programs served as an important foundation for this platform, but the platform was also built with the help of soft assistance – events and publications, and importantly, through informal communication between UNDP and partner staff. Several partners expressed the view that expanding UNDP’s networking and knowledge-sharing role may be an effective means of maximizing UNDP’s value added in the face of diminishing resources.

The central role of knowledge management has been emphasized in UNDP global business plans for close to a decade, so this evaluation is not advocating something new. Of course, there are many reasons why it is extremely difficult to transition from managing projects to managing knowledge networks. For most developing countries, the financial aspects of international development assistance are still of great practical and ideological significance, although China is increasingly an exception to this generalization. There is a widespread perception – pervasive also in China – that development assistance should be focused exclusively on tangible activities rather than on intangibles such as “knowledge”.

The institutional inertia of many decades of UN assistance is also an intractable obstacle to change. UNDP management processes, like those of administrative institutions everywhere, have evolved over time to account for inputs and outputs; they provide no structural incentives to catalyze development results through relatively new processes such as knowledge networking. Implementing partners have become dependent on conventional project management approaches, and would perceive a de-emphasis of these as a challenge to their institutional interests. Although partners *say* they want UNDP to give greater prominence to non-program activities, it is likely that there would be considerable resistance to actually following through and dedicating a greater share of core resources to non-program activities.

Despite the many impediments to de-emphasizing UNDP’s traditional business model of managing projects towards a new model of giving greater priority to managing knowledge networks, for UNDP China, perhaps more than any other Country Office, business as usual is not a viable option. China’s rapid development and declining international support for assistance to China presents UNDP with an especially pressing challenge to innovate or risk irrelevance. UNDP’s financial contribution to China’s development is already insignificant, but three decades of experience, credibility and partnership building should not be.

#### **4.1 Practical steps towards enhancing knowledge sharing**

What practical steps can UNDP China take towards enhancing its role as a knowledge sharing platform?

*Strive for joint ownership of knowledge outcomes*

National ownership is a must, but UNDP should strive for *joint ownership* of knowledge outcomes. By this we mean simply that UNDP China should strive to actively retain and analyze its own experience. Efforts to distill good practices and lessons learned across activities already exist, but do not appear to have been very successful. These need to be given new impetus. The institutional knowledge and networks acquired through

program activities are major assets that in the present transactional management model tend to be forgotten once programs are closed out.

*Stay focused on UNDP's core message*

It would be easy for an unstructured emphasis on enhancing non-program activities to lead to lots of busy work that does not synchronize with UNDP's core message. UNDP China has evolved from many ad hoc projects to a few flagship programs; its non-program activities likewise need to stick tightly to a clear core message. UNDP China's core message is not clear to this evaluation team, but that may simply reflect our lack of immersion in the organization.

*Devote a fixed percentage of resources to knowledge management*

Knowledge-sharing is a resource-intensive activity. UNDP should seek to obtain CICETE's approval for dedicating a fixed percentage of core funding explicitly for knowledge sharing and social network building.

*Designate a focal point for knowledge-sharing*

A champion needs to drive the knowledge-sharing process. Since knowledge-sharing is an extension of the evaluation process, it would be logical for responsibility for promoting knowledge-sharing to be vested in the Evaluation Team. It may also be appropriate for the team to be expanded to include a new hire with specific experience in knowledge management and social networking.

*Establish indicators for knowledge-sharing by staff*

There are currently no structural incentives for knowledge-sharing by program staff. Program managers probably spend 99 per cent of their time managing project outputs and events. The amount of staff time dedicated to knowledge-sharing and network-building should gradually increase. Hard targets are premature at this stage, but we think two-thirds of staff time dedicated to project and event management, and one-third to knowledge and network management may be an appropriate medium-term objective.

*Break down silos between practice areas*

At present, each practice area operates within its own silo, because that is the existing mandate. Knowledge-sharing should begin by more brainstorming between staff and across teams to identify good practices, lessons learned and synergies. Among other things, this would also serve to build team spirit.

*Lead communities of practice*

Motivated program managers should be encouraged to bring government partners, representatives from academia, CSOs, the donor community, etc., together for informal dialog on forward-looking policy issues in select areas. These communities of practice should focus on broad thematic issues rather than being linked directly to programs. It would be advisable to start small and grow organically in order to build rapport and trust between members of the community. Physical meetings could be complemented by web-based social networking and collaborative tools. There are precedents in UNDP China's

recent history for the successful development of such communities, e.g., the UN Extended Theme Group on HIV/AIDS, which two years ago regularly brought several hundred people together in the UN Large Conference Room.

Where appropriate, umbrella programs could be used to provide small grants to fund ideas arising from the communities of practice. This would serve as an incentive to participation and a means of turning new ideas into practice.

*Make more effective use of information technology*

Although China is increasingly a wired society, with the world's largest base of internet and mobile phone users, UNDP China remains a laggard in the effective use of information technology. Presently only one person looks after UNDP's and the UN system's internet presence and intranet. Partners mentioned that they frequently visited the UNDP web site looking for ideas and information, but did not find it easy to use because information was limited and poorly presented. They also reported that the website was often unresponsive or simply unavailable. Greater technical and editorial resources should be committed to UNDP's web presence, which serves as its public face. All UNDP knowledge products should be available online.

Better use should also be made of Teamworks, UNDP's existing knowledge-sharing platform. Partners, both current and past, should be invited to sign on to and make active use of Teamworks.

Worldwide, it is young people who make the most active use of information technology. At UNDP China also, there appears to be no lack of "early adopters" among the younger and more junior staff. They should be empowered to champion the wider and more effective use of information technology within the organization.

## **ANNEX 1: TERMS OF REFERENCE**

### **Terms of Reference for Outcome Evaluation on Xiaokang/MDGs and Gender**

*(Draft)*

#### **A. BACKGROUND AND CONTEXT**

Since 1979, with the introduction of reforms and open-up policies, China's GDP has grown at an average of 9.8 percent per annum, per capita income has increased fifty-fold and some 500 million people have been lifted out of poverty. As highlighted by the 2008 MDG progress report, many targets have been achieved seven years in advance of 2015, including those relating to the eradication of poverty and hunger, achieving universal primary education and reducing under-five mortality rates. China is also on track to reduce maternal mortality and control HIV/AIDS and tuberculosis, with good hopes of achieving these MDG targets by 2015. China's Human Development Index (HDI) has improved twice as fast as other countries at the same level of development in 1980, increasing from 0.553 to 0.763 in 2007. And since 1980, the per capita GDP (PPP value) has increased tenfold from US\$ 312 to US\$ 3,266. Yet, as pointed out by the UN China Common Country Assessment (CCA), and as detailed in the MDG progress report, there remain a number of significant national development challenges that need to be addressed for China to meet its MDG targets and retain and equitably distribute the benefits of the remarkable gains achieved in recent years.

In recognition of the development challenges, in 2003 the Government of China redefined its national development vision to 'Xiaokang', or an all-round, balanced and good society for all by 2020. In addition to the quadrupling of per capita incomes, Xiaokang advocates for the 'scientific outlook on development' focusing on achieving 'five balances' - between urban and rural areas; regions; economic and social development; people and nature; and between domestic development and 'opening up'. China's strong political commitment to focus on human-centered development presents a unique opportunity for the United Nations Development Programme (UNDP) to support the country's long-term reform efforts through a range of knowledge-based interventions throughout the 11<sup>th</sup> Five Year Plan period (2006-2010).

In the UNDP Country Programme Document (CPD) for China (2006-2010), UNDP and the Government of China agreed to work together to achieve ten development outcomes in China during the Country Programme (CP) cycle (2006-2010). 2010 is the last year of the current UNDP Country Programme in China. It is therefore good time to look back vis-à-vis what results have been achieved, including best practices and lessons learned. In this connection, UNDP and the government have decided to conduct an outcome evaluation on UNDP's efforts in areas of supporting to Xiaokang/MDGs and promoting gender equality.

#### **B. EVALUATION PURPOSE**

The main purposes of the outcome evaluation are to (i) assess the key results that have been achieved with UNDP support in the past few years and (ii) summarize the best practices and

lessons learned in achieving the results. Specifically, the following UNDP Country Programme (CP) outcomes will be covered by the evaluation:

<b>CP Outcome 1:</b>	Xiaokang/MDG concepts and indicators integrated into national and provincial development vision, policies and plans.
<b>CP Outcome 2:</b>	National efforts to lead and manage Xiaokang/MDG implementation supported through a variety of instruments and capacity building initiatives.
<b>CP Outcome 5:</b>	Capacities to pursue gender-equity efforts enhanced through advocacy, gender sensitive analysis and implementation.

### C. EVALUATION SCOPE AND OBJECTIVES

In late 2009 and early 2010, the UNDP Evaluation Office (EO) commissioned an Assessment of Development Results (ADR) in China. Since the ADR assessment has already covered several important dimensions of the UNDP Country Programme in China from a results perspective, the outcome evaluation will use the ADR as the foundation.

During the outcome evaluation, the evaluation team will look at the following key projects that are expected to contribute to the above-mentioned outcomes.

Project title	Award ID	Project ID	Project Duration	Implementing Partner (IP)/Cooperating agency(ies)
All-round Xiaokang	32759	33756	2005-2010	CICETE/NDRC
Fiscal Reform	36548	39815	2006-2010	CICETE/MOF, SAT
Land Reform	45813	54218	2006-2010	CICETE/MOLR, China Institute of Reform and Development
Migrant Workers	47308	56779	2007-2010	CICETE/MOLSS, NDRC
YEM	56970	70148	2009-2011	CICETE/NDRC, Ministry of Civil Affairs
Advanced Leadership	34876	37316	2008-2010	CICETE/Organizational Department of the Central Committee of the Communist Party of China
Science and Technology Support to Poverty Reduction (TTF)	43420	50692	2006-2010	MOST
UN Joint Programme on Culture and Development	51447	64069	2009-2011	SEAC
Ethnic Minority Poverty Reduction	44494	52371	2006-2010	SEAC
Green Poverty Reduction	44274	51952	2006-2012	CICETE/Hainan, Shanxi, Xinjiang, Mentougou
HRD and Gov't Capacity Building	44659	52605	2006-2011	CICETE

Project title	Award ID	Project ID	Project Duration	Implementing Partner (IP)/Cooperating agency(ies)
HRD in NE&W China	44660	52606	2006-2010	CICETE/MOHRSS
Promoting Women's Equal Rights and Participation in Local Governance		00054242	2007-2008	Civil Society Organizations, National Institutions
UN Joint Programme: Preventing and Responding to Domestic Violence in China through a Multi-sectoral Approach	00058301	00072377	2009-2011	All China Women's Federation, Ministry of Justice
Gender responsive budgeting seminar with ACWF, NWCCW, National Statistics Bureau and Ministry of Finance			August 2007	
Launch of the 'Asia-Pacific Human Development Report on Gender: Power, Voice and Rights' at the 100 <sup>th</sup> International Women's Day with ACWF			March 2010	
Mitigating the Negative Impacts of HIV and AIDS on Human Development	00048790	00059074	2007-2011	National Population and Family Planning Commission
Addressing the Greater Involvement of People Living with HIV/AIDS and Furthering a Multi Sector Response to HIV/AIDS in China	00048684	00058943	2007-2011	Multi-IP

Moreover, the evaluation team will also look at some key non-project activities, such as policy advice and dialogues, knowledge building and sharing initiatives, etc.

#### **D. EVALUATION QUESTIONS**

During the outcome evaluation, the evaluation team is expected to answer the following questions:

##### General questions

- Were the intended outcomes achieved?
- What progress towards the outcomes has been made?
- What factors have contributed to achieving or not achieving intended outcomes?
- To what extent have UNDP's outputs and assistance contributed to the intended outcomes?
- Has the UNDP partnership strategy been appropriate and effective?
- What factors contributed to effectiveness or ineffectiveness?

### Gender-specific questions

- What are the key contributions of UNDP towards gender mainstreaming and equality in China?
- What are the main best practices and lessons learned in UNDP's promoting gender mainstreaming and equality in China?

### **E. METHODOLOGY**

- During the outcome evaluation, the evaluation team may use the following approaches for collecting data and information:
  - Desk review of related documents
  - Interviews/meetings with concerned managers, staff, partners, stakeholders, beneficiaries, etc.
  - Field visits
  - Briefing and debriefing with UNDP China and the government

### **F. EVALUATION PRODUCTS (DELIVERABLES)**

The evaluation team is expected to produce the following products (deliverables) during/after the evaluation mission.

Evaluation inception report - An inception report shall be prepared by the evaluators before going into the full-fledged data collection exercise. It should detail the evaluators' understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product. The inception report provides UNDP China and the evaluators with an opportunity to verify that they share the same understanding about the evaluation and clarify any misunderstanding at the outset.

Draft evaluation report - UNDP China and the key partners and stakeholders in the evaluation will review the draft evaluation report to ensure that the evaluation meets the required quality criteria (see Annex 1).

Final evaluation report - The team leader of the evaluation is responsible for producing the final evaluation report and submitting it to UNDP China on a timely basis (as per the standard format in Annex 2).

### **G. EVALUATION TEAM COMPOSITION AND REQUIRED COMPETENCIES**

The evaluation team will consist of two consultants: one international consultant (as team leader) and one national consultant (as team member). The international consultant should have an advanced university degree and at least ten years of work experience in the field of development. The team leader will take the overall responsibility for the quality and duly submission of the evaluation report in English.

Specifically, the international consultant (team leader) will perform the following tasks:

- Lead and manage the evaluation mission;

- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Decide the division of labor within the evaluation team;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and
- Finalize the whole evaluation report and submit it to UNDP.

The national consultant will perform the following tasks with a focus on China-specific analysis:

- Liaise with Chinese project authorities; collect and translate, when necessary, project materials;
- Introduce Chinese background information to the international consultant;
- Review project documents particularly including those in Chinese;
- Participate in the design of the evaluation methodology;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above); and
- Draft related parts of the evaluation report.

## H. EVALUATION ETHICS

The evaluation will be conducted in accordance with the principles outlined in the UNEG Ethical Guidelines for Evaluation, the UNEG Norms for Evaluation in the UN System, and the UNEG Standards for Evaluation in the UN System. The evaluation team must get permission from UNDP China and the government if it would like to collect and disclose sensitive data and information.

## I. IMPLEMENTATION ARRANGEMENTS

To facilitate the outcome evaluation, UNDP China will set up an Evaluation Focal Team (EFT), which will provide both substantive and logistical support to the evaluation team.

During the evaluation, UNDP China will help identify the key partners for interviews by the evaluation team. The international consultant (team leader) and the national consultant (team member) will each work for four weeks for the evaluation

## J. TIMEFRAME FOR THE EVALUATION PROCESS

The timeframe for the specific tasks/activities is as follows:

Task/Activity	Timeframe
Evaluation design	Week 1
Desk review of existing documents	Week 1
Briefing with UNDP China	Week 1
Evaluation inception report	Week 1
Interviews with UNDP and partners	Week 2-3
Field visit	Week 2-3
Drafting of the evaluation report	Week 3
Debriefing with UNDP China	Week 3
Finalization of the evaluation report	Week 4

## **K. COST**

The costs to be incurred by the evaluation will be borne by the projects concerned.

## **L. ANNEXES**

Annex 1: UNDP Handbook on Planning, Monitoring and Evaluating for Development Results (2009) – Annex 7. Evaluation Report Template and Quality Standards

Annex 2: Documents to be reviewed by the evaluators

- UNDP Guidelines for Outcome Evaluators
- UNEG Norms for Evaluation in the UN System
- UNEG Standards for Evaluation in the UN System
- UNDP Country Programme Document for China (2006-2010)
- Assessment of Development Results (ADR) for UNDP in China (2010)
- Project Documents, briefs, reports, etc.

## ANNEX 2: ITINERARY

Date	Activity
11 October 2010 (Monday)	10:00 hrs – Meeting with Mr. Lu Lei, Team Leader for Planning and Management Support, focal point for the evaluation, UNDP China 11:00 hrs – Meeting with Mr. Sun Xuebing, Team Leader for Energy and Environment, UNDP China
12 October 2010 (Tuesday)	10:00 hrs – Meeting with Ms. Yang Fang, Disaster Risk Management Programme Coordinator, Democratic Governance and HIV/AIDS Team, UNDP China 14:00 hrs – Meeting with Ms. Wang Jing (王静), Assistant Director-General of CICETE
13 October 2010 (Wednesday)	11:00 hrs – Meeting with Ms. Hou Xin'an, Team Leader for Socio-Economic Development and South-South Cooperation, UNDP China 14:00 hrs – Meeting with Mr. Jiang Xiaopeng and Ms. Gu Qing, Programme Managers and gender focal points, UNDP China 16:00 hrs – Meeting Mr. Napoleon Navarro, Deputy Country Director (Programme), UNDP China
14 October 2010 (Thursday)	9:00 hrs – Meeting with Mr. Jin Dongsheng (靳东升), Deputy Director-General, State Administration of Taxation
15 October 2010 (Friday)	9:00 hrs – Meeting with Ms. Yang Fan (杨帆), Executive Director of International Cooperation PMO, State Ethnic Affairs Commission 14:00 hrs – Meeting with Mr. Du Zunya (杜尊亚), Director, Department of Laws and Regulations of NDRC
18 October 2010 (Monday)	09:00 hrs – Meeting with Ministry of Human Resources and Social Security 14:30 hrs – Meeting with Ms. Qiu Aijun (邱爱军), Deputy Director-General, Center for Urban Development of NDRC
19 October 2010 (Tuesday)	9:00 hrs – Meeting with Mr. Chen Lei (陈磊), Deputy Director, Department of Social Development of NDRC 16:00 hrs – Meeting with Ms. Julia Broussard, Country Programme Manager, UNIFEM China
20 October 2010 (Wednesday)	14:00 hrs – Meeting with Mr. Zhang Jianjun (张建军), China Land Consolidation and Rehabilitation, Ministry of Land and Resources
21 October 2010 (Thursday)	10:00 hrs – Meeting with Mr. Zhang Ning (张宁), Deputy Division Chief of CICETE, Ms. Kang Li (康丽), Programme Officer, and Ms. Tao Ran (陶然), Programme Manager of Beijing Institute of Environment Exchange (at CICETE) 13:15 depart from CICETE to Mentougou for field visit and meeting with Mr. Liu Yongqiang (刘永强), Division Chief, Agriculture Committee of Mentougou District, accompanied by Ms. Kang Li
22 October 2010 (Friday)	Project field visit to Tianjin, project on migrant workers (YEM)
25 October 2010	09:30-11:30 – Meeting with Ms. Hou Xin'an, Team Leader for Socio-Economic

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(Monday)	Development and South-South Cooperation, UNDP China
26 October 2010 (Tuesday)	11:30-13:30 - Meeting with Ms. Duan Guohui (段国辉) and Ms. Zhang Ying (张颖), All-China Women's Federation (ACWF) 14:00 hrs - Discussion with the programme staff (at the UNDP small meeting room)
27 October 2010 (Wednesday)	11:00 hrs – Meeting with Mr. Subinay Nandy, Country Director, UNDP China
28 October 2010 (Thursday)	Preparation of debriefing report
29 October 2010 (Friday)	Preparation of debriefing report
1 November 2010 (Monday)	Preparation of debriefing report
2 November 2010 (Tuesday)	Preparation of debriefing report
3 November 2010 (Wednesday)	Review of debriefing report
4 November 2010 (Thursday)	10:00 hrs – Debriefing Meeting with key UNDP staff, led by Mr. Napoleon Navarro, Deputy Country Director (Programme)
5 November 2010 (Friday)	Meeting with Wang Dong 王东, Economist Team Wrap-up meetings with UNDP staff

### **ANNEX 3: PERSONS MET**

#### **UNDP**

- Subinay Nandy, Country Director
- Napoleon Navarro, Deputy Country Director
- Lu Lei 路磊, Assistant Country Director, Team Leader, Strategic Planning
- Hou Xin'an 侯新岸, Assistant Country Director, Team Leader, Social & Economic Development and South-South Cooperation Team
- Gu Qing 谷青, Programme Manager, Democratic Governance and HIV/AIDS
- Jiang Xiaopeng 姜晓朋, Programme Manager, Democratic Governance and HIV/AIDS
- Sun Xuebing 孙学兵, Assistant Country Director, Team Leader, Environment & Energy Team
- Wang Dong 王东, Programme Assistant, Economist Team
- Wu, Bert Peng 吴鹏, Programme Manager, Social & Economic Development Team
- Yang Fang 杨方, Programme Coordinator, Early Recovery & Disaster Risk Manage Programme Democratic Governance and HIV/AIDS Team
- Yu Hua 余华, Programme Manager, Social-Economic Development and South-South Cooperation Team

#### **UNFEM**

- Julie Broussard, Country Programme Manager

#### **China International Center for Economic & Technical Exchanges (CICETE), Ministry of Commerce**

- Kang Li 康丽, Programme Officer, Division III
- Wang Jing 王静, Director, Division I
- Zhang Ning 张宁, Deputy Director, Division III

#### **National Development and Reform Commission (NRDC)**

- Du Zunya 杜尊亚, Director, Department of Laws & Regulations, NDRC.
- Chen Lei 陈磊, Deputy Director, Department of Social Development, NDRC

#### **Development Research Center of the State Council of China (DRC)**

- Wang Xiongjun 王雄军, Assistant Research Fellow, Research Department of Social Development, DRC

#### **Ministry of Human Resources and Social Security (MOHRSS)**

- Liu Yutong 刘宇彤, Section Chief, Technical Cooperation Division, Department of International Cooperation
- Qian Xiaoyan 钱晓燕, Deputy Chief, Technical Cooperation Division, Department of International Cooperation

- Jia Li 贾丽, Section Chief, General Office, Department of Employment Promotion
- Zhang Han 张涵, Section Chief, Programme Manager, Occupational Safety Insurance Project

#### **State Ethnic Affairs Commission**

- Yang Fan 杨帆, Deputy Director, Foreign Cooperation Management Office

#### **State Administration of Taxation**

- Jin Dongsheng 靳东升, Deputy Director General, Taxation Institute, State Administration of Taxation

#### **China Center for Urban Development**

- Qiu Aijun 邱爱军, Deputy Director General, China Center for Urban Development
- Yu Rong 余蓉, Deputy Director, International Cooperation Division, China Center for Urban Development

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

- Wang Shihao 王时浩, Section Chief, Grassroots Political Rights and Community Development Department

#### **Local Government Departments**

- Liu Yongqiang 刘永强, Division Chief, Agriculture Committee of Mentougou District, Beijing
- Li Xu 李绪, Cadre, Urban Management Bureau, Administrative Commission, Tianjin Economic Technological Development Area
- Wang Anbo 王安波, Cadre, Urban Management Bureau, Administrative Commission, Tianjin Economic Technological Development Area
- Zhang Guosheng 张国盛, Director, Urban Management Bureau, Administrative Commission, Tianjin Economic Technological Development Area

#### **Women's Federations**

- Duan Guohui 段国辉, Deputy Director, International Liaison Department
- Zhang Ying 张颖, Deputy Chief, Section for Cooperative Projects
- Liu Haiyan 刘海燕, Deputy Director, Department of Enterprise, Tianjin Women's Federation
- Liu Shengdi 刘胜地, Director, Tianjin Women's Business Incubator
- Li Jing 李静, Manager of Enterprise Development Department, Tianjin Women's Business Incubator

#### **Private, Non-Profit & Academic Sector**

- Zhang Jinjun 张建军, Ph.D., School of Land Science and Technology, China University of Geosciences Beijing
- Wang, Richard 王辉军, Assistant General Manager, China Beijing Environment Exchange

- Ge Xing'an 葛兴安, Deputy Director, Project Department, China Beijing Environment Exchange
- Tao Lan 陶岚, Senior Manager, Emission Trading Transaction Center, China Beijing Environment Exchange
- Yu Ergui 余尔桂, General Manager, Verdure Agricultural Company, Mentougou District, Beijing
- Wang Ruiqing 王瑞卿, Director of Publishing & Distribution, Project Monitoring & Evaluation, Shining Stone Community Action
- Chen Yan 陈燕, Beijing Yan Yang Chu Citizen Education Center
- He Zhixiong 何志雄, Beijing Yan Yang Chu Citizen Education Center
- Li Guihuan 李桂环, Director, YWCA of Tianjin