Review of the project: Biodiversity and Climate Change, Peoples Republic of China

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Final Report

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Commissioned by Norad on behalf of the Norwegian Embassy in Beijing

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PREFACE

The report in hand covers review ("the Review") of the Sino-Norwegian Biodiversity and Climate Change Project CHN-2148 09/057, hereafter also referred to as "the Project".

The Review was undertaken in August-October 2013, by a Team Leader from Norad, one International Technical Expert and one Chinese Expert (jointly referred to as "the Review Team" or "the Team").

Such review is part of the normal project cycle in development cooperation projects supported by the Norwegian Government. The Project was assessed based on desk study of written documents and interviews with the Norwegian partner in Norway and Chinese project staff and other stakeholders in China. The field work in Beijing and Sichuan Province was undertaken during the period 9 – 18 September 2013 (see Figures 1.1, 1.2 and 1.3 in Appendix 1 for maps of Project areas).

Since no mid-term review has been carried out in this project and it is only three months left of the project period, the Review is envisaged by the Embassy to get an overview of the experiences of first phase and give more inputs to the potential second phase.

The report contains a short description of issue, covering the interaction of biodiversity and climate change and how the Project is embedded in Chinese plans and strategies. Based on an a assessment of the project design, achievements, effectiveness, efficiency and project sustainability, the review give recommendations for the finalization of the Project as well as for the changes deemed necessary for a potential new phase.

The Draft Report was submitted September 26th 2013, and the final version has to a large extent been revised based on comments from key project partners (enclosed in Appendix 6 to this report).

The Review Team comprised the following members:

- Bente Herstad, Team Leader, Policy Director, Norad
- Dianmo Li, National Expert, Institute of Zoology, Chinese Academy of Science
- Tore Laugerud, International Technical Expert, Nordic Consulting Group (NCG) Norway

The Team wants to thank all the involved project partners for their open and kind contribution during the work. In specific should be mentioned the Norwegian Embassy in Beijing, and FECO for having trust in the Team to undertake the Review of this relatively comprehensive Project.

Special thanks go to Ms Yinglang Liu at the Norwegian Embassy for preparing the fieldwork and meeting itinerary together with Mr Yun Jinqi and Ms Lv Jinping in FECO. The latter two also participated in the fieldwork in Sichuan with never-failing positive attitude and patience. Mr Ge Qiang was indispensable in providing excellent translations during the meetings.

October 17th 2013
Bente Herstad
Policy Director (Team Leader), Norad

The conclusions and recommendations in this report are clearly those of the Review Team, and do not necessarily reflect the opinion of the Royal Norwegian Embassy, Norad, DN, FECO or any of the persons and institutions consulted, and are thus not in any way binding for the Project.

LIST OF ACRONYMS AND ABBREVIATIONS

ADG	-	Assistant Director General
AGE	-	Advisory Group of Experts
AR	-	Annual Report
CAS	-	Chinese Academy of Science
CDB	-	Convention on Biodiversity
CRAES	.	Chinese Research Academy of Environmental Sciences
CTA	-	Chief Technical Advisor
CTE	-	Chief Technical Expert
DN	-	Norwegian Directorate for Nature Management ("Direktoratet for naturforvaltning")
EPB	-	Environmental Protection Bureau
EPD	-	Environmental Protection Department
EU	-	European Union
FECO	-	Foreign Economic Cooperation Office
ICIMOD	-	International Centre for Integrated Mountain Development
IBDCC	-	Interaction between biodiversity and climate change
IPCC	-	Intergovernmental Panel of Climate Change
IPR	-	Inception Phase Report
IUCN	-	International Union for Conservations of Nature
LFA	-	Logical Framework Approach
MEP	-	Ministry of Environmental Protection
MFA	-	Ministry of Foreign Affairs
NBSAP	-	National Biodiversity Strategies and Action Plan
NINA	-	Norwegian Institute for Nature Research
NOK	-	Norwegian kroner
Norad	-	Norwegian Agency for Development Assistance
NPMO	-	National Project Management Office
PCA	-	Priority Conservation Area
PD	-	Project Document
PMO	-	Project Management Office
PPMO	-	Provincial Project Management Office
PPSC	-	Provincial Steering Committee
PPT	-	PowerPoint presentation
RMB	-	Ren Min Bi (Chinese currency – "yuan")
SCP	-	Systematic conservation planning
TEEB	-	The Economics of Ecosystems and Biodiversity
TF	-	Task Force
TNC	-	The Nature Conservancy (an NGO)
ToR	-	Terms of reference
TWG	-	Technical Working Group
UNDP	-	United Nations Development Programme
UNEP	-	United National Environmental Programme
WCMC	-	World Conservation Monitoring Centre
WWF	-	World Wildlife Fund

EXECUTIVE SUMMARY

This Review of the *Sino-Norwegian Project on Biodiversity and Climate Change* ("the Project") has assessed performance, progress, effectiveness, efficiency and sustainability of the Project. It has also assessed the relevance and addressed possible gaps and future perspectives of the Project. An assessment of the scientific quality of the research undertaken is however not part of this Review.

The assessment of the Project has shown that progress on the 10 different work components (Outputs) is good and according to plan. The project funds have been spent according to the initial budget. Weaknesses in the results framework (logframe) makes it demanding for the project management, and the Review Team, to assess to which extent the Project is on track in terms of achieving desired outcomes.

The project relevance is good seen both from regional, national and international perspectives. It feeds directly into the *Chinese National Biodiversity Strategy and Action Plan (NBSAP)* that is focusing on the effects of climate change on biodiversity. As the Project also looks at the possible win-win scenarios; how biodiversity can be used in climate change mitigation and adaptation, the results may also be used in the implementation of the *Chinese Climate Change Strategy* and the *12th Five-Year Plan.*

The Chinese research teams seemed well qualified and are all in the final stages of their reporting. The Task Force for finalizing the *Strategy and Action Plan for the Biodiversity and Climate Change in Sichuan Province* is well established with representatives from both the research groups involved and the relevant provincial departments. It is, however, too early to assess if the working modalities in the Project and the strategy developed will be useful as a replicable model for other provinces in China. It is however assumed that several of the lessons learned from the Project could be of value for other provinces going forward to develop such strategy and action plans.

The satisfactory progress is indicating a strong ownership to the Project by key project staff in FECO and the other implementing institutions in China. The fact that Norwegian experts have not had the opportunity to read the draft reports before the joint technical workshops is considered the most serious shortcoming in the Project, and this has surely reduced the benefits from the cooperation efforts. The management on the Norwegian side has been rather top-heavy and is deemed unacceptably costly. On the Norwegian side, the Project is to a large extent hinged on a retiring expert. Younger professionals should have been engaged to secure continuity in the institutional cooperation efforts also post-Project.

Outcome results will depend on the achievements in the final stages of the Project. The Review Team gives concrete recommendations on changes needed in management and administration for the proper finalization of the Project, focusing on better direct interaction between experts.

It is the understanding of the Review Team that the issues of biodiversity and climate change will be high on the agenda in China in coming years. The potential of China developing new and innovative approaches on the issue is substantial, and further Norwegian engagement is deemed relevant, in one way or the other.

Given the strengths and weaknesses of the Project as identified by the Review Team, it is recommended to take a step back; learn from the experiences gained; and contact other actors

active on the issues in China, especially TNC and UNEP/WCMC; to ensure possible synergies and avoid overlapping efforts in a possible continuation of some of the efforts. It is recommended to take a closer look at both the future aspirations and the means of cooperation. A possible new project should prepare an appropriate and realistic logframe, properly defining the project outputs and outcomes, with the associated indicators and risks identified. The roles of the various partners, both at the Norwegian and the Chinese sides, should also be agreed to at the beginning of a new project.

From the information provided to the Review Team, it is recommended to define a possible new project rather than trying to formulate a Phase 2 of the Project under review. Substantial changes in the approach and working procedures will have to be instigated, including a more appropriate managerial and administrative set-up on the Norwegian side. This is deemed best done by defining a new project, which also could be seen in relation to a possible support from Norway to a Chinese national follow up of the international study of TEEB (The Economics of Ecosystems and Biodiversity).

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1. INTRODUCTION

1.1 Background of the Issue

The interaction between biodiversity and climate change (IBDCC) is well known in principle. Biodiversity changes will follow from climate change, and biodiversity is important for mitigation of and adaptation to climate change. The Intergovernmental Panel on Climate Change (IPCC) published a report on the issue in 2002 covering such interaction, including the need for safeguards to protect biodiversity in climate change mitigation and adaptation. The detailed science of how the interactions work and how they can be made more efficient is however still in its infancy. The two issues are still treated separately both at the local, national and international levels.

While the issue of climate change is at the centre of attention for energy, industry and economic development, biodiversity is still closely linked to the issue of environmental protection and the management of living natural resources. In spite of quite extensive focus on IBDCC in the Convention of Biodiversity (CBD) from 2001, with decisions on each conference of the parties (COP) since 2004, the six information needs and assessment gaps identified in the 2002 IPCC report are still not covered. In fact, the Sino–Norwegian IBDCC Project is touching upon them all:

1. Enhanced understanding of the relationship between biodiversity, ecosystem structure and function, and dispersal and/or migration through fragmented landscapes.
2. Improved understanding of the response of biodiversity to changes in climatic factors and other pressures.
3. Development of appropriate resolution transient climate change and ecosystems models especially for quantification of the impacts of climate change on biodiversity at all scales, taking into account feedbacks.
4. Improved understanding of the local to regional scale impacts of climate change adaptation and mitigation options on biodiversity.
5. Further development of assessment methodologies, criteria, and indicators to assess the impact of climate change mitigation and adaptation activities on biodiversity and other aspects of sustainable development.
6. Identification of biodiversity conservation and sustainable use activities and policies that would beneficially affect climate change adaptation and mitigation options.

China has developed national plans for both climate change and biodiversity. The two most relevant regulations reflecting the IBDCC are: 1) National Principal Functional Region Plan where the whole land space of China is divided into optimized development, key development, restricted development (including 25 national key ecological function areas) and prohibited development (including all protected areas); and 2) National Program on Climate Change, which also includes components of IBDCC. A list of the relevant Chinese regulations are given in *Table 1.1* in *Appendix 1*

While the selection of Priority Conservation Areas (PCA) in the Chinese National Biodiversity Strategies and Action Plan (NBSAP) 2011-2030 is based on biodiversity criteria only, the interaction with climate change is taken into account in Priority Domain 8 of the NBSAP "*To improve capacities to cope with climate change*". Two actions are prescribed:

Action 25 - Develop an action plan for biodiversity conservation and climate change:

- *Develop an action plan of biodiversity responding to climate change, and assess impacts of climate change on key ecosystems, species, genetic resources and related traditional knowledge and propose related measures.*
- *Develop technologies for monitoring impacts of climate change on biodiversity and establish a monitoring network to monitor major targets.*

- *Establish migration corridors and reduce negative impacts of climate change on biodiversity, cultivate excellent new varieties with improved ability to cope with climate change.*

Action 26 - Evaluate impacts of biological fuel production on biodiversity:

- *Assess impacts of energy crops plantation on biodiversity.*
- *Undertake research on, and establish environmental safety management system of, biological fuel production.*

The project under review (hereafter "the Project") is developing a strategy and action plan for the Sichuan province in Chinese, covering all the components listed in the two actions of the NBSAP, with the following exceptions: Improved agricultural methodologies, genetic resources and related traditional knowledge, and a safety management system of biological fuel production.

1.2 Relevant IBDCC Interventions in China

Given the long-standing interest on the issue, a large number of projects have been undertaken on IBDCC. Given the complexity of the issue, few have covered the whole and, to the knowledge of the Review Team, an integrated strategy for biodiversity and climate change has not been formulated before, neither in China nor in other countries.

The Review Team had no intention, nor the possibility, to make a comprehensive study of all the relevant IBDCC interventions in China. A list and brief description of easily detectable projects are given in *Appendix 2*. Of the projects screened, the Team found the following to be of most relevance to the Project as they aim at integrating biodiversity and climate change interventions:

The Nature Conservancy (TNC) cooperated with the Sino-Norwegian IBDCC Project during its formulation[1]. TNC shared data and experiences from their project on developing adaptation strategies for integrating the impact of climate change on conservation planning in Sichuan, Inner Mongolia and Yunnan. This 3-year project was closed down in 2012. Other relevant projects that TNC is implementing are:

1) The Carbon for Parks Project, including restoration of forests, improved park management benefiting species such as the Giant Panda and creating jobs for the Yi people living in the areas; and
2) Climate Action Project, Tengchong Forest, Yunnan Province, a small-scale reforestation project just south of the Gaoligongshan Nature Reserve, regarded as a key area for global biodiversity conservation.

UNEP-WCMC has three relevant projects of which Carbon, Biodiversity and Ecosystem Services, where exploring co-benefits Jingxi Province, and the spatial analyses of biodiversity and climate change in Guanxi province, are most relevant.

UNEP-GEF Peat land Biodiversity Conservation and Climate Change Integrated Management Project, focusing on peat land as an indispensable element for climate change mitigation.

ICIMOD, WWF, IUCN and UNDP all have other ongoing project activities on the issue.

EU-China Biodiversity Program has been used as one supplying element for the Sino - Norwegian IBDCC Project. It was closed down after 6 years in September 2011; just after the implementation of the Sino-Norwegian Program started.

The Review Team was not informed of any kind of regular consultations between the Project and the relevant initiatives to avoid double efforts and possibly obtain certain synergies in efforts.

1.3 Review Methodology

The methodology used in this Review is aligned with Norad's guidelines and practices for project reviews as outlined in the Development Cooperation Manual, following the Terms of Reference (ToR), see *Appendix 4*, that was prepared by the Norwegian Embassy in close consultation with the Chinese implementing partner

[1] According to DN it was decided not to include TNC in the implementation phase of the Project.

FECO and Norad, Oslo.

Since no mid-term review has been carried out in this Project, this review (hereafter "the Review") is envisaged to give an overview of the experiences gained from the project inception, amongst others to give more inputs to a possible second phase/new project. The Review is assessing the modes of cooperation, and achievements related to the goals, objectives and outputs as defined in main steering project document (the Inception Phase Report), with references to the Development Cooperation Manual, used in Norad and Ministry of Foreign Affairs (MFA) for such reviews. It does not assess the scientific quality of the research performed in the Project. The elements of the Result Chain in the Development Cooperation Manual and their causal relationship over time, is shown in *Figure 2.1* in *Appendix 1* for easy reference. Where relevant, the terms related to the Logical Framework Approach (LFA) is used, and defined in *Appendix 5* Glossary of Terminology.

The assessments are based on the documentation shared with the Review Team by the Project Team, as well as information obtained in interviews and discussions in Norway and China (see *Appendix 3* for list of meetings and people interviewed). Most of the Project documentation was submitted by FECO on the first day of the Team's visit to Beijing. The Team notes that all the Output reports translated into English were not perceived as giving a good representation of the Chinese versions and hence had not yet been shared with the Norwegian partners in the Project.

The Review Team visited the Sichuan Province and had meetings with the provincial Project partners, accompanied by representatives from the central FECO. The Environment Counsellor from the Norwegian Embassy in Beijing also accompanied the Team during parts of the visit. The requested field visit aiming to see some of the areas where IBDCC is studied in the Project was unfortunately cancelled, as was the meetings scheduled with MEP in Beijing.

In the following, the Project achievements are rated in three categories: Good, Satisfactory and Not satisfactory.

2. PROJECT DESIGN

2.1 Project Background

A Letter of Intent (LoI) for the Project was signed on 29 May 2010 between FECO and DN in Chengdu. DN and FECO cooperated closely in developing the Project Application, and were in close consultation with the Norwegian Embassy in Beijing, as well as with the Chinese and Norwegian Ministries of Environment.

The "Application for grants from the Ministry of Foreign Affairs (MFA)" (hereafter "the Application") for the Project, prepared by the Ministry of Environmental Protection (MEP) in China and DN, was submitted on 29 November 2010 by MOFCOM to the Norwegian Embassy. The Application is in a standardised format containing information about the applicant and a description of the Project; including implementation plan, goal hierarchy, sustainability and risk factors, budget and financing plan, etc. Enclosed to the Application were more detailed documents: budget breakdown, description of additional cooperating partners, implementation plan, and goal hierarchy.

In the opinion of the Review Team, the Application with enclosures gives a rather sketchy description of the Project elements. However, the Application states that in order to speed up the preparation and enhance the efficiency of future implementation of the proposed project, the Project should be further detailed in an Inception Phase, which is deemed as an acceptable and pragmatic approach.

Based on the Application, the Norwegian Embassy in Beijing prepared a "Decision Document" granting support to the Project. A bilateral agreement ("the Agreement") between the Norwegian Embassy and MEP was signed 30 November 2010, including a brief Agreed Project Summary and a Project Budget. On March 17th 2011, a contract was signed between the implementing partners on both sides, DN and FECO. Notably, paragraph 2 in the contract refers to the Application as the "Project Document (PD)".

It is noted that neither the Application nor the Decision Document is prepared according to the Development Cooperation Manual. The Project was never subject to an appraisal prior to start-up. This could have identified the shortcomings in the project design, and given the project partners the possibility to get it right in the Inception Report.

The agreed project logframe, as presented in the Inception Phase Report, is shown in *Figure 2.2* in *Appendix 1*, with all the activities under each Output listed.

2.2 Project Objectives/Goals

The **development goal** of the Project is in the Inception Phase Report defined as:
"*Biodiversity better conserved and managed and climate change better mitigated and its negative effects reduced for improved disaster prevention, human well-being and sustainable socio-economic development*".

It is noted that the same formulation is found in Attachment 4 to the Application. The formulation is rather generic and is as such not in compliance with requirements in the Development Cooperation Manual. This requests that the Project should *significantly* contribute to the fulfilment of the development goal. With such a generic formulation it is difficult to trace the results from the Project to the development goal. The positive effects on biodiversity and climate change might certainly lead to improved human well-being and sustainable socio-economic development. However, the point of interest here is that the Project then should take these socio-economic effects into account, which it at present seems to do to a very limited degree.

The **project goal**, more commonly in literature referred to as "the outcome"[2] or "purpose, is in the Inception Phase Report defined as:
"*Improved knowledge, awareness and capacity for a replicable model as an approach and basis for decisions for addressing mutually beneficial impacts for biodiversity and climate change*".

The formulation is unchanged from the formulation in Attachment 4 of the Application. It is noted that the formulation tries to capture several elements into one sentence, and as such is difficult to read:

- *Improved capacity* might, in addition to the use of acquired knowledge and awareness, also relate to the increased human and monetary resources to put the improved knowledge into practice, and this seems as such to be outside the scope of the Project.
- *Replicable model* clearly refers to the post-project roll-out of the methodology/contents used to other provinces, being a different issue from adopting the plan in the Sichuan Province itself and starting implementation of it there. The formulation of the project goal therefore lacks a geographical reference to Sichuan, where the plan should be adopted and implementation tried out in the first place, and it should ideally also have mentioned the target groups to benefit from the outcome.
- *Addressing mutually beneficial impacts for biodiversity and climate change* is not deemed to cover the full IBDCC outline in the Project. While identifying win-win opportunities were part of the preliminary objectives of the Project, the Review Team notes that this is not sufficiently well reflected in the project design.

The Review Team would have expected that as the final, and most important, output of the Project is a Provincial Strategy and Action Plan, the formulation of the outcome would contain elements of the strategy and plan being accepted, and adopted by the provincial government, and then initiate financing and implementation.

Project objectives in the Inception Phase Report are actually not the results following after the outputs have been delivered, but mere the actual outputs and activities to be carried out in the Project.

[2] It is noted that in the "Result Management in Norwegian Development Cooperation" the terminology used is "outcome", being a formulation representing the "purpose" of the project (with reference e.g. to the preciously valid "Logical framework Approach: handbook for object-oriented planning" developed by Norad, still used by many organisations). This is much more in line with the internationally commonly used terms, as the term "goal" in any form normally indicates an objective farther into the future.

2.3 Project Outputs and Activities

There are ten Outputs defined in the Project, with numerous activities listed under each of these. These Outputs are almost entirely defined as reports/documents. It would be preferable to instead have described the contents of the matters at stake, and the reports themselves be listed as indicators to prove that the Outputs had been delivered. However, this is merely semantics related to the guidelines for log frame formulations, and as mentioned earlier the project partners obviously did not have any extensive experience with such formulations beforehand. Hence, this has not been a question at stake in the implementation.

It is noted that in the Application, the list contained eight Outputs, where the first one ("*Output 1. Sichuan Provincial Biodiversity and Climate Change Strategy and Action Plan*") coincides with the Final Report (now Output 10) in the revised list. The two first Outputs in the revised list were missing in the initial list (Inception Phase Report and Climate Change Scenarios) otherwise the Outputs are identical (*see Figure 2.4 and Table 2.1 in Appendix 1*).

Three of the Outputs (*7-9 in Figure 2.4*) were intended to become implemented at national level, whereas the remaining should be implemented at provincial level. The list of implementing institutions also confirms that the three mentioned Outputs are implemented by central institutions located in Beijing.

It is noted that Output 10, the Final Report, is not the same as the *Final Project Report*, which contains description of the total project contents, activities, challenges, lessons learned, etc., from the project implementation itself, as referred to in the bilateral Agreement. This is the main Output of the Project, into which several of the other Outputs should be fed and provide contributions. As the substance of the Outputs is not described in detail, it is difficult for the Review Team to assess if these are of as good quality as expected.

2.4 Project Indicators and Risks

2.4.1 Project Indicators

The indicators for the outcome (project goal) and main outputs from Attachment 4 of the Application is given in *Table 2.1* in *Appendix 1*. It is noted that an updated list has *not* been presented in the Inception Phase Report (IPR); hence, the Review Team assumes that the initial one is still valid. The lack of updates to the log frame related to the new list of outputs in the Inception Phase is thus deemed a shortcoming. The list thus has the initial output numbers, with the revised numbers referred to in the IPR in brackets/*italics*, which is deemed a bit disorderly. The listing also includes comments to the indicator formulations by the Review Team.

The indicators formulated are deemed rather flawed, and seem difficult to apply for project management and outside evaluators for measure of Project progress and achievement of success. Proper indicators have in fact not been formulated for the Project, neither baseline values nor target values, which is deemed a serious shortcoming.

2.4.2 Project Risks

The risks identified in the Application, Section 6.2 and Attachment 4 covers changing currency rates, economic growth priorities, quality of maps and data from provincial authorities, scientific credibility, local government engagement, stability of personnel and limited proficiency in English. The Review Team finds the risks identified largely to be relevant. Risks are however not categorised according to the "normal" format with likeliness of them happening and impact/consequence if they materialise, with simple scores, e.g. high/medium/low, which is deemed a shortcoming.

The Inception Phase Report makes no mentioning of anything related to risks. In the Review Team's opinion, it should been given an update and further refinement according to the risks initially identified in the Application. This is deemed a shortcoming, especially when the IPR is used as the main reference document through implementation. The changing risk situation is neither re-addressed in the annual reports[3].

[3] Risks were an issue on the table in each meeting according to DN. This fact is however not documented in any of the reports from these meetings.

2.5 Project Management and Partners

Figure 2.3 in *Appendix 1* illustrates the organisational set-up of the Project, and it is largely considered to be self-explanatory. Below follows a brief introduction to some elements shown in the figure, and in the next chapter the Review Team's assessment of the functions and managerial modality is presented. The figure is mainly based on the description in the Inception Phase Report (Section 5), which is considered comprehensive and thorough, blended with information in the annual reports and from the project team during the Review. The set-up is largely the same as similar Sino-Norwegian projects implemented during the last years, especially related to the role of the ministries in the two countries.

Whereas the bilateral Agreement was signed between the Norwegian Embassy and MOFCOM, the implementing partners are the Directorate for Nature Management (DN)[4] and Foreign Economic Cooperation Office (FECO). These two institutions have appointed one Project Coordinator each, being responsible for coordinating the day-to-day activities in the Project and one Chief Technical Expert (CTE) each with an overall responsibility for the quality of substance. Sub-consulting contracts on the Norwegian side have been signed with Fridtjof Nansen Institute (the Norwegian CTE), the Universities of Oslo and Bergen, and Norwegian Institute for Nature Research (NINA), each having contributed with one expert. On the Chinese side there are many sub-contracted partners on both the central and the provincial sides. Following a tendering process, some institutions have been, contracted to undertake work connected to the various outputs, and some institutions contribute with advisory services through individually identified well-reputed experts.

The Project Coordinators from DN and FECO and their respective directors, constitute the Project Management Group, the highest decision-making level within the Project. The Review Team noted that the two CTEs, not being formally members of the Management Group, took part in all the meetings and that they seem to have been the most influential participants, given their seniority and personal capacities.

A Technical Working Group (TWG), with six central and provincial representatives identified by the National Project Management Office (NPMO) in FECO and the Sichuan Environmental Protection Bureau (EPB), provides overall technical support to the central and provincial PMOs. The TWG is led by the Chinese CTE (also sometimes referred to as the "Chief Technical Advisor – CTA").

A Provincial Project Steering Committee (PPSC) has been established with wide participation of all relative departments in Sichuan Province (and the Chair coming from Sichuan General Office). The PPSC is responsible for guiding and monitoring the project implementation, ensuring the dedication and quality of the participation by the provincial departments, maintaining the relationship and good communication between the parties. This is a normal set-up in development cooperation projects in China, and normally proves to be useful to secure local ownership of any project, enhance horizontal communication and cooperation between departments, and be a forum where possible obstacles and problems in implementation can be discussed and resolved.

An Advisory Group of Experts (AGE) has been established at provincial level, comprising 24 experts from various relevant institutions. This group, led by a Chief Technical Expert (CTE) from the Institute of Mountain Hazards and Environment under the Chinese Academy of Science (CAS), is giving scientific advice to the Project contents under the various outputs at the provincial level. Also, a Task Force (TF) has been established, being responsible for preparing the Final Report from the Project (Output 10), namely "*The Strategy and Action Plan for the Biodiversity and Climate Change of Sichuan Province*". The TF, also lead by the same CTE as the AGE, comprises 15 experts from various fields (policy, climate, biodiversity, ecology, biological resources), where 7 are also member of the AGE. The experts in the Task Force, compiling the final report, are all paid by the Project based on contracts, while the experts in the Advisory Group are paid by their actual work. This means that if they have reviewed and advised on some outputs, they will be paid by the working hours. For the overlapping of some team members, it has been made sure that the experts in the Task Force working on some outputs are not involved in reviewing and advising on the same outputs.

[4] The name was changed to "Norwegian Environment Agency" in July 2013 as DN was merged with the Directorate for Climate and Pollution (Klif).

3. PROJECT ACHIEVEMENTS AND PERFORMANCE

3.1 Output 1: The Inception Phase Report

The Inception Phase Report (IPR) was submitted in May 2011, and contains a more detailed description of the Project, especially with regard to the activities and sub-activities. The report also contains a description of the methodologies to be applied and the availability of data. Additionally, the IPR contains sections on: analysis of stakeholders, suggested budget, project management, list of potential experts and the work plan and budget for 2011. The IPR is used as the main document of reference for the implementing parties, e.g. related to annual reporting; but the report has never formally been given this status by the Norwegian Embassy. In principle, it is still the rather sketchy Application document that in principle is the main reference document for the Project ("the Project Document"). This lack of formalising the main reference document (IPR) is an administrative shortcoming, but it has apparently not negatively influenced the implementation of the Project, as all parties have mutually managed the Project according to the IPR, formally accepted or not.

3.2 Output 2: Climate change scenarios in Sichuan Province

The Institute of Plateau Meteorology in Chengdu has assessed the historic climate change data, made future projections, and analysed the exposure to climate change in different regions in the Sichuan Province. The calculations were based on climate data from the past 50 years and the future climate change scenarios. The calculations were based on data from 126 metrological observation stations in Sichuan, the projection data of the China Climate Centre on the climate change of China, and the scenarios of IPPC4[5]. Well established climate models for dynamic and statistical downscaling and predictions were used to obtain the climate change projections of Sichuan in 2030, 2050 and 2100. The data will be used by Outputs 3, 5, 6 and 10.

The final output report was finished in March 2012 and submitted in both Chinese and English language, but had not yet been received by DN at the time of the Review. However, the Review Team deems that the final report is in line with most of the comments given by the Norwegian counterpart in March 2012 on a preliminary draft version. The projection results obtained by the comprehensive analysis of the two mentioned models are deemed reliable and scientific. Use of IPCC5 would, however, have given better and more reliable results. New calculations based on IPCC5 are therefore recommended if the Project is to be continued.

As the report does not reflect any ecological components, the Review Team is of the impression that the DN recommendation suggesting that both meteorological experts and ecological experts should work together, is not followed up in Output 2. As representatives of the seasonal and regional data, the observation and prediction data of 126 meteorological stations shall have been applied in Outputs 3 and 5 and included into the data base of Output 6. However this information is not readily available in the draft English versions of the reports. Besides, though unmentioned in the draft Chinese report, these data are also said to be applied in Output 10. The team is thus left with the impression that the interaction between Output 2 and the other outputs at the provincial level have room for improvement.

5

The IPCC 5 have given greater emphasis on assessing the socio-economic aspects of climate change and its implications for sustainable development. Some new features include:

- A new set of scenarios for analysis across Working Group contributions;
- Dedicated chapters on sea level change, carbon cycle and climate phenomena such as monsoon and El Niño;
- Much greater regional detail on climate change impacts, adaptation and mitigation interactions; inter- and intra- regional impacts; and a multi-sector synthesis;
- Risk management and the framing of a response (both adaptation and mitigation), including scientific information

3.3 Output 3: Report on the existing biodiversity and ecological infrastructure, including the Protected Areas, and the effects of climate changes in Sichuan Province

Chengdu Institute of Mountain Hazards and Environment under the Chinese Academy of Sciences has identified the status and the extent of ecological infrastructure, including natural and modified habitats, connectivity, corridors and buffer zones. A gap analysis[6] of the ecological infrastructure and biodiversity, sensitivity and vulnerability analyses of species and ecosystems under climate change, and impact of climate change on nature reserves, were performed as a basis for suggesting Priority Conservation Areas (PCA) for IBDCC. Data was provided by Outputs 2, 4 and 5, applying the method of systematic conservation planning (SCP), and well-known models. Three types of PCAs for IBDCC are proposed:

- PCA for Adaptation; to protect biodiversity under climate change;
- PCA for Mitigation; to protect areas that are important for both for carbon sequestration and storage, and for biodiversity;
- PCA for Ecosystem Service Based Adaptation; to protect areas that are important for ecosystem-based adaptation and for biodiversity.

The final report was published in Chinese in December 2012. A draft English version was ready by June 2013, but will not be submitted to DN before an improved version is ready by September 2013. The Review Team found the June version of the report comprehensive, informative and well written, and notes that the involved researchers would have liked DN to comment upon it.

The Review Team was informed that the introduction of the three types of PCAs, to reflect the IBDCC in designing the ecological infrastructure of a province, are both new and innovative, but has not had the time to verify this statement. It may offer a pragmatic practice for the management of IBDCC in other provinces, and even countries. If the combined PCAs suggested in this report were realized, the area under protection in the Sichuan province would increase to cover 18% more area than the current 15% being protected under the existing PCA system for conservation, raising the total area under protection to 33%. However, economic activities are not as restricted in these new kinds of PCAs for IBDCC as in the PCAs for conservation.

3.4 Output 4: Report on important areas for climate change mitigation, particularly carbon storage and sequestration in Sichuan Province.

Sichuan Academy of Forestry Sciences identified areas and activities for carbon sequestration and climate change mitigation, reviewed the current initiatives for climate change mitigation and the measures to strengthen both the mitigation potential, the biodiversity conservation and sustainable use of the area. Natural forests, grassland and wetlands were studied, as well as the impacts of biofuels development on biodiversity conservation and its sustainable utilization in Sichuan Province. Based on the research data on the forest and grassland in Sichuan, a geographical map of carbon storage and potential carbon sequestration in Sichuan was prepared. This output also evaluated and analysed the effects of the 10 big ecological restoration projects and biomass energy projects related to biodiversity in Sichuan. The experiences from the ecological restoration projects and the data of carbon storage and sequestration have been used by Output 3.

The final report in Chinese and English was finished in March 2013, but has not been submitted to DN. The English version will be improved and finished by the end of September 2013. The Review Team notes that the research results reported confirm internationally well-established principles of management of forests, grassland and wetlands and that the interaction with DN on Output 4 has been very limited.

3.5 Output 5: Report on adaptation, disaster prevention and reduction of

[6] Referring to the comparison of actual performance with potential performance.

negative impacts of climate change in Sichuan Province

Chengdu Institute of Biology under Chinese Academy of Sciences has analysed the changes in key areas under different climate change scenarios, identified appropriate management and restoration techniques for key areas and developed plans for monitoring the key factors and new management efforts. Based on Output 2 and Output 3, this report predicated the sensitive species and key species for protection, and includes geographical maps of ecological systems under different climate change scenarios in the future. It provides data for identifying PCAs in Output 3. With the projections of biodiversity, it also suggests the placing of monitoring stations and monitoring indexes for the protection of biodiversity under the influences of climate change, the protection measures for biodiversity under the threat of climate change, and gives input to Output 10.

The final report in Chinese was finished in June 2013 and English version will be finished in the end of October 2013. Valuable inputs from DN on the selection and evaluation of indexing species and data collection aspects in seminars were reported. A total of 60 animals and 30 plants had been selected for indexing. The Review Team finds it rather awkward that no contact has been made with Peking University on the subject of indicators (Output 7). Contact with the research group on Output 4 was also reported to be rather limited.

3.6 Output 6: Data management system for biodiversity and climate change in Sichuan Province

Sichuan Research Academy of Environmental Sciences has compiled a comprehensive information management system for biodiversity and climate change, established a public information exchange platform in China, and a draft for the information sharing on the IBDCC. It has provided data support for Outputs 2, 3, 4 and 5, and this will facilitate governmental policy-making and information sharing in the Sichuan Province in the field of biodiversity and climate change.

The final report in Chinese was finished in June 2013 and an English version will be finished by the end of October 2013. The Review Team was informed that the large amount of data that had been collected through the Project was stored in a database, and that the database and the user interface was constructed to enable large amounts of future data and the open sharing of data and information between different users and the public. Sharing of data is a problem however, both because of different formats in various existing databases, and because of exclusive ownership and limited legislation on the matter of data sharing. The Team noted valuable input from DN in seminars on hyperlinking web pages, but that DN has not given any concrete advice on the construction of databases or the user interface of the system[7].

3.7 Output 7: Sets of indicators for biodiversity and climate change at national level

Peking University started off with analysing progress in the studies of the assessment indices for biodiversity and climate change interaction. A report was published in English in September 2012 reviewing indexes used internationally for: 1) species diversity; 2) ecosystems and landscapes; 3) the carbon balance in terrestrial ecosystems; 4) ecosystem intrinsic adaptability and effects of human intervention; and 5) the sensitivity of communities and ecotones[8] to climate change. A preliminary framework structure for an index system of reciprocal interaction between biodiversity and climate change is presented in this report as a conceptual base of an index system.

[7] DN points out that their input on this issue was not on the design of the database, but on the importance of sharing of data between institutions and sectors.

[8] Ecotone is a transitional area of vegetation between two different plant communities, such as forest and grassland. It has some of the characteristics of each bordering biological community and often contains species not found in the overlapping communities. An ecotone may exist along a broad belt or in a small pocket, such as a forest clearing, where two local communities blend together. The influence of the two bordering communities on each other is known as the edge effect. An ecotonal area often has a higher density of organisms of one species and a greater number of species than are found in either flanking community. Some organisms need a transitional area for activities such as courtship, nesting, or foraging for food. (Wikipedia)

A draft final report that was published in May 2013 is to be finalized with just minor revisions in September 2013. In addition, the research team has published several articles on the issue in English. The research team showed that they were well updated on the international research on the issue. The level of knowledge prior to Project start is however not known to the Review Team. The indicator systems suggested is however rather complicated and most of the indicators are developed for research and not for monitoring the implementation of an action plan. The reports have not yet been reviewed by DN. The principles and framework have however been discussed with the Norwegian experts in several workshops. To the knowledge of the Review Team, no users have yet been involved in the development of the indicators. The research team referred to the Norwegian indicator system that was presented to them by their Norwegian counterparts as being far too advanced and detailed to apply in a country the size of China. Further contact between the experts and researchers on the Norwegian and Chinese side could likely have helped in making a simpler and more sufficient indicator system for monitoring. The Review Team is also rather surprised to learn that there has been no contact between Peking University researchers and the researchers developing Output 5 and the Sichuan Strategy and Action Plan. This would have given a good opportunity to test the theories in practice. According to FECO the transformation of the indexes into a more practical format is planned for an assumed next phase of the Project.

3.8 Output 8 Assessment of biofuel impacts on biodiversity and climate change in China.

The Chinese Research Academy of Environmental Sciences (CRAES) got the responsibility for reporting on the collection of data and information on biofuels, including natural conditions, development status, policies, laws and regulations, land use, social and economic situations, etc. On this basis, further research is undertaken for the identification of the constraints and opportunities for the development of biofuel; investigation of the impacts of biofuels on biodiversity conservation and its sustainable utilization, the contribution of biofuels to climate change mitigation and avoid planting species for biofuels where the impact on biodiversity is negative. Recommendations should then be formulated to governments and policy-makers on biofuel development.

A report on status and tendency of *Planting Industry of Biofuel Plants in China* was submitted in November 2012 in Chinese and English. The Review Team notes that DN had not received this report by September 2013, even though it was referred to in the 2012 Annual Report.

A review of the Norwegian presentation on the issue from 2010, before CRAES was subcontracted, is on a general level, presenting policies in EU and Norway. It also refers to the negative impacts of biofuel on biodiversity only, actually not reflecting the Norwegian policies on the issue, only addressing the matter from the perspective of nature conservation.

The report gives a comprehensive overview of pros and cons of biofuels, the role of biofuel in Chinese strategies and plans on renewable energy and technology development and the associated regulations. It touches upon all the other issues to be covered in the final report version and give some concluding recommendations on where to place biofuel plantations in China; in the tropical regions. The report stresses the importance of Chinese regulation aiming to avoid conflict with food security by not allowing biofuel plantations on agricultural lands. However, it does not give any information on the prospect of realizing 2nd generation biofuel technology in China that can use agricultural waste. The Review Team was informed of other studies that were underway, such as an assessment in Inner Mongolia that is finished but not yet published. Also, an on-going field survey in Guanxi Province, aimed to identify the energy efficiency ratio, areas for biofuel plantations and analyses carbon emissions, was mentioned. The Review Team however, did not get a proper understanding of how these studies were linked to the overall objective of Output 8. A draft final report on Output 8 is to be finished in October 2013.

3.9 Output 9: Training education and communication

FECO is the implementing agency of Output 9 and has subcontracted web design and film production to professional bodies. The project team has given presentations to provincial authorities during training sessions in 2012 and 2011. A preliminary Communication and Media Plan was drafted in 2012. A project logo was designed in 2011. A project folder, poster and calendar for 2013 were all produced in 2012. An

awareness raising video and a booklet on common knowledge are underway in 2013. Project web pages were established in 2012. FECO's web pages are also used for dissemination of project information. An article from the Chinese Journal of Environment reported the significance of the Sichuan Field Project. Study tours to Norway was planned in 2011 and 2012, but have been postponed. A high level meeting is planned for June 2014, being the end dissemination seminar of the Project.

The Review Team found the logo, folder, posters and web design nice to look at, but the Team had no possibility to assess the significance of this output from the limited information given. The Team noted however that MOFCOM was not fully satisfied with the outreach from the Project at national level, and wanted more experts/institutions to benefit from such.

3.10 Output 10: Strategy and Action Plan for the Biodiversity and Climate Change in Sichuan Province

A Task Force (TF) was established for the formulation of the Strategy and Action Plan. National and international consultants were consulted to guide and train the TF to develop this main document. The draft of "*Strategy and Action Plan for Biodiversity Response to Climate Change in Sichuan Province*" is formulated based on Outputs 2, 3, 4, 5 and 6 (see Figure 3.1 in Appendix 1 for the interactions between the ten Outputs); and has integrated the suggestions and advices from the Sichuan experts. The Strategy and Action Plan provides contents, ideas, ideologies, methodologies and process management experiences that may be useful for other provinces in the field of biodiversity and climate change. It also provides a good foundation for application in the 13th Five-Year Plan of Sichuan Province. The coordination mechanism for this is already established. All the relevant departments and units have participated in drafting it, and the SAP is well recognized by them.

The outline of this output was shared with DN. The final report in Chinese and English is to be finished in December 2013. The Review Team found the draft report in Chinese quite different from the English outline that was presented to them and concluded that it was too premature to be reviewed.

3.11 Project Relevance

The project relevance is deemed high seen both from regional, national and international perspectives. It feeds directly into the Chinese NBSAP that is focusing on the effects of climate change on biodiversity. However, the Project is also looking at the possible win-win scenarios; how biodiversity can be used in climate change mitigation and adaptation. Biodiversity protection and climate change mitigation were established as win-win objectives when the Project was designed. For instance Output 2 and Output 5 deals mainly with the adaptation and Output 4 are largely on mitigation. Based on the results of Output 2, Output 4 and Output 5, the Output 3 produce three types of PCA (for adaptation, for mitigation and for ecosystem based adaptation). These PCAs combined with the adaptation and mitigation actions supposed in Output 10, can well reach the win-win objectives.

The Chinese research teams seemed well qualified. They are all in the final stages of their reporting. The Task Force for finalizing the Sichuan strategy and action plan is well established with representatives from both the research groups involved and from the relevant ministries. It is too early to assess if the working modalities and the strategy will be useful as a model for other provinces in China. However, the lessons learned should be of value for other provinces going forward to develop such a strategy.

While Output 10 can be seen as the main output of the Project, as Outputs 2-9 are all feeding into it, all the Outputs also have their own significance and relevance. The ten Outputs in the Project can be seen to contribute to these NBSAP actions as follows:

25.1: Develop an action plan for biodiversity conservation and climate change
Output 10 is developing an action plan at the provincial level. The design is made in order to give the possibilities of using the Sichuan action plan as a model for other provinces and for the development of a plan at the national level. An assessment of the impact of climate change on key ecosystems, species, genetic resources, is covered in Output 3. Related measures are also included in Output 4 and 5. Costs and guidance on how to set priorities are however not included.

The related traditional knowledge is not included in any of the Outputs (2-6) feeding into the Sichuan strategy. The need to involve local stakeholders and traditional knowledge, outlined as major challenges for implementation in the Convention on Biological Diversity (CBD), is not taken into account. This is rather surprising, given the fact that Sichuan is one of the most diverse Chinese provinces when it comes to biodiversity, peoples and culture.

25.2: Develop technologies for monitoring impacts of climate change on biodiversity
Output 5 and 7 are developing sets of indicators for IBDCC at the regional and the national level respectively. The Review Team notes that there has been little information exchange between these two levels. Indicators are essential for monitoring impacts, but they have to be simple and based on available data to be used in practice. In that way the simple index developed under Output 5 might be more valuable than the ambitious and complex system developed in Output 7.

Output 6, developing a data management system for the Sichuan Province, can feed data into a monitoring system if such a system is developed, with major targets in Output 10. Output 6 includes a web site open for the public as well as for the researchers and managers involved, and will thus have the potential to become a useful instrument for increasing public awareness on biodiversity and climate change in the Sichuan Province. The system is however not yet been put to use and the Review Team does thus not have any information of how it will perform in practice.

25.3: Establish migration corridors and reduce negative impacts of climate change on biodiversity
Outputs 3 and 5 cover recommendations on the establishment of corridors between protected areas (PAs) and buffer zones in order to reduce the vulnerability of rare species and biotopes from climate change.

Cultivation of excellent new varieties of crops with improved ability to cope with climate change is not part of the Project.

26.1: Evaluate impacts of biological fuel production on biodiversity
Output 8 gives an assessment of biofuel impacts on biodiversity and climate change in China. Output 4 touches on the subject in the Sichuan province. The approaches to biofuel in the two Outputs are very different however. While Output 8 gives a comprehensive overview of the issue with reference to national policies and the pros and cons of biofuels, Output 4 only focus on the assumed direct negative impacts of biofuels on biodiversity. It does not look like the two groups have been in contact with each other.

26.2: Establish environmental safety management systems of biological fuel production
Developing safeguards for biodiversity in climate change mitigation and adaptation is not covered in the Project and Outputs 4 and 8 are no exception to this. They point to some of the challenges involved, but are not giving any recommendations on safeguards.

4. PROJECT EFFICIENCY, IMPACT, ADMINISTRATION AND SUSTAINABILITY

4.1 Project Efficiency

Project efficiency, being the comparison of outputs against inputs, is a difficult element to assess before the Project is wrapped up with a final report describing the process and outputs delivered, and the final audited financial reports have been submitted. Notwithstanding the fact that a couple of the Project Outputs have been delayed on the Chinese side, all Outputs are expected to be delivered as planned in December 2013 by the end of the Project. The reports have largely been delivered as planned in Chinese. However, the English versions have in fact been lacking at the time when they would have been most useful. This implies that the Norwegian expert have not had the opportunity to review the content of the reports before the joint technical workshops (Output 2 being the exception). The fact that the Norwegian side has not had the opportunity to prepare proper written comments to the reports, and thus properly provide input to the final content and quality of the reports, is deemed as one of the major shortcomings in the Project.

The Review Team observed that the project funds have been spent according to the initial budget. However, the outcome of the professional cooperation between experts has not been up to expectations. The efficiency of this component is thus deemed not satisfactory.

4.2 Possible Outcomes/Impact from the Project

At the time of the Review, three months were left of the Project period and the planned outcome had not yet been reached. The "*Strategy and Action Plan for Biodiversity and Climate Change in Sichuan Province*" was only presented in Chinese language. The Norwegian experts had only been given the chance to review different versions of the chapter outlines, as an English version of the draft report had not yet been prepared. The Team was informed that the Provincial Government most probably would accept the strategy and action plan, since they had shown great interest in its development, and since the relevant provincial authorities also had taken part in the Steering Committee and the Task Force. The contents of the report that was verbally translated from the Chinese version in the Review Team, was deemed broad and unfocused, did not bring any news of significance and did not follow the outline that was available in English. However, it should be noted that it is impossible to draw conclusions on what a final report will look like and how it will be received from the draft presented. What seems clear is though that the success of the Sichuan Strategy and Action Plan is less dependent on the input from DN than from the Chinese counterparts.

The draft final reports of most Outputs identify knowledge gaps and areas for further work. Consequently, the partners have already started to plan for a next phase of the Project. Such a second phase was not initially planned, and this might signal that the initial planning was too ambitious. The only impact of the Project clearly visible is the strengthened communication between a limited number of Norwegian and Chinese experts that were directly involved in the Project.

4.3 Project Administration and Management.

4.3.1 Administrative Communication and Collaboration.

An overview of the administrative set-up and inter-linkages between the parties in the Project are given in *Figure 2.3*, *Appendix I*. The Review Team noted that the administrative staff and experts on both sides, with no exception, praised the excellent cooperation in the Project. The Project Coordinators on both sides in specific also confirmed that the communication between the parties has been very good. The only problems reported were delays in the Chinese tendering process and in the translation of draft reports into English.

The Review Team notes that the implementing institutions, DN and FECO, have both been hiring the key experts from outside their own institutions. As such, both these institutions are working on a level playing field. FECO is normally operating this way in all cooperation projects with foreign partners. However, DN was chosen as the implementation partner for the Project due to their professional knowledge and involvement in biodiversity projects in Norway.

The modality of sub-contracting outside experts to a large degree undermines the idea of institutional cooperation. The Review Team therefore concludes that the professional interaction has mostly been between individual professionals on both sides, and not as much between institutions as would be expected. The institutional cooperation is thus deemed not satisfactory.

4.3.2 Administration and Management in Norway

The Review Team questions why that DN did not mobilise more experts from their own staff to participate in the Project. This would better anchored the activities in DN's own organisation and provided own staff with experience from China in order to be useful in future cooperation projects. With the exception of two senior experts participating at the 3 workshops in 2011[9], the Norwegian experts in the Project are coming from sub-contracted institutions. For easy reference, *Table 4.1* in *Appendix 1* gives an overview of the participation of Norwegian staff in events in China

Whereas on the Chinese side there is a high number of scientists and experts involved, the number on the Norwegian side is comparatively limited. It is noted that the professional input on the Norwegian side is very

[9] Notably, one of these discontinued her engagement in the Project due to maternity leave.

much hinged on one person only, namely the Chief Technical Expert (CTE), who retired from Fridtjof Nansen Institute in 2012. He was instrumental in initiating the Project, as he had extensive working experience from biodiversity cooperation in Sichuan Province and from China in general, had been a member of the China Council, and was a highly respected scholar amongst Norwegian and Chinese experts alike. This involvement is appreciated by the Review Team, as it really gave a flying start to the Project, guiding the professional work in the right direction from the very beginning. However, the project management on the Norwegian side seems to have done little to build up the expertise needed to prepare for a succession of the role as main Norwegian professional contact. This has indeed made the Project very vulnerable, with a high risk of discontinuity. The Review Team would have recommended that younger experts from DN should have been more involved in the Project[10].

It is noted that although the professional input from DN staff in the Project has been relatively small, the managerial input has been excessive. In total, by judging from the three annual budgets the following main characteristics of the manpower input are noted, calculated from man-weeks budgeted:

- DN professional staff has spent around 20% of the total number of man-weeks debited, and around 41% of the total professional input time, in the Project. The rest of the professional time has been spent by the sub-contracted institutions.
- Administration/management/coordination in DN constitutes around 50% of the total Norwegian manpower time input[11]. This is by all standards excessively high and not deemed acceptable.

The Review Team appreciates high-level ownership and dedication to the Project. It is essential on both sides, and might give the Project a flying start and open the required doors. However, the continued high level participation from DN in almost every Norwegian delegation to China is not understood by the Review Team[12]. It was confirmed that the Project Coordinator had little managerial experience to handle such a comprehensive project and thus had to be supported, and that the Assistant Director General (ADG) had the understanding that high-level participation was much appreciated by the Chinese counterparts. The Review Team notes however that as the ADG is part of the delegation on the Norwegian side, the Chinese side is obliged to have a delegation leader with the same institutional rank, ending up with having high-level managerial staff present in all the technical workshops. The top-heavy involvement has thus absorbed funds that otherwise could have been used for expert work and expanded the Norwegian project team with more professionals, including building up younger staff, especially in DN. It is for example noted that the responsible head of the International Section in DN has not even once been to China to meet her counterparts and get an understanding of the prevalent situation. This would indeed have been useful.

4.3.3 Administration and Management in China

The managerial set-up in China seems to follow a well-established modality that is used all through the country on similar projects with foreign involvement. FECO, being an affiliated institution under MEP (see *Figures 4.1* and *4.2* in *Appendix 1*) is representing MEP as the implementing body at the central level. At provincial level, the Environmental Protection Department (EPD[13]) maintains the responsibility of the Project, with its own FECO hosting the Provincial Project Management Office (PPMO). The set-up is well accepted and proven and, as far as the Review Team can see, works well under the present circumstances. A change of staff in June 2013 raised worries of discontinuity, but the Review Team notes that the new management team has indeed improved the ways of interaction, taken steps to open up for more direct contacts between the experts, thus reducing the rather bureaucratic modes of communication on the Chinese side.

[10] DN question this focus on the age of the professionals and points out that the Project Coordinator involved a number of DN staff in informal internal meetings both for securing proper input to the meetings in China and for debriefing and that they did not have enough funds available to engage more experts in the Project.

[11] The Project Coordinator's time also include around 6 man-weeks of direct scientific/professional work in the various Outputs and that they only registered the time used by internal experts to the Project when they were travelling to China.

[12] DN point out that high level participation on their side was cost effective and ensured that the Project Coordinator could engage a broad spectre of competence and resources from DN.

[13] In the large cities the new nomination is "Environmental Protection Department", whereas in the smaller cities and towns the name is still Environmental Protection Bureau – EPB.

The Review Team got the understanding that the communication and cooperation between the central and provincial level had been satisfactory. FECO staffs on both sides have been frequently communicating on issues regarding both logistical/practical issues (workshops, meetings, travels, etc.) and regarding Project reporting. Communication between the different research groups seems to have been weaker, especially between the groups at national and international level, as pointed out in Chapter 3.

4.3.4 Professional Cooperation and Communication

The Contract between DN and FECO uses the term "institutional cooperation" to describe the interaction in the Project, indicating that the interaction should be on somewhat equal terms with "working together" being the prevalent modality. However, based on the modality of the project input agreed to and the nature and magnitude of work, reality has simply been different. DN should have had professional cooperation with the hired experts in China (notably not coming from FECO), but in reality the Norwegian scientists and expert seem to have been purely advisors to their Chinese counterparts in the Project, rather than equal cooperating partners. Both the Chinese and Norwegian side confirms this understanding.

The presence of Norwegian experts in China is intermittent so the nature of the main cooperation must necessarily also follow this on-and-off modality. *Figure 4.3* gives, amongst others, an overview of the Project Working Meetings (dealing with administrative/managerial issues) and Technical Workshops (dealing with professional/scientific work) arranged in the Project. The normal joint working process has been as follows: In the workshops, the Chinese scientists present their main findings since last workshop in overhead presentations in Chinese (partly in English/Chinese). These are verbally translated to English in the workshop and the Chinese scientists get immediate verbal feedback from the Norwegian experts across the table.

This was clearly not the initially planned working modality, as the understanding was that the Norwegian side should receive the English translation of the reports well in advance of the workshops, being given ample time to review them and consult with other colleagues in Norway. Notably, the importance of English reporting input before the workshops has been mentioned in every minutes of meeting prepared by DN from the joint events, despite this, it has not been followed up in practice. As mentioned the translation of reports into English has been significantly delayed, and the workshop discussions have therefore been the main channel for experts to interact professionally in the Project. Surely, the fact that Norwegian experts have not had the opportunity to read the draft reports before the workshops is considered the most serious shortcoming in the Project, which is likely to have reduced the benefits from the efforts. The only exception is the workshop in March 2012, when the Norwegians received the draft version of the Output 2 report in advance and provided a joint PowerPoint presentation where the aggregated comments from the Norwegian side were presented.

In the workshops, the Norwegian experts and scientists have also showed PowerPoint presentations on various professional topics, in general related to the situation in Norway regarding handling of biodiversity and climate change issues (se listing in *Table 4.2* in *Appendix 1*). These PPTs have not necessarily been directly related to the project tasks on the Chinese agenda in the workshops, where the core was the last work and Chinese reporting on the outputs. Nevertheless, the Chinese partners claim that such presentations have been very useful, which is not doubted by the Review Team. These workshops have thus been the main arena for cooperation between experts from both sides, and the Norwegians have not participated in the professional detailed work in the smaller working groups related to each Project Output.

Besides the workshops, there has been some verbal communication by emails and telephone directly between the experts on each side, especially between the CTEs[14] on the Norwegian and Chinese side. All the written communication has gone via the project coordinators on each side. Reports in English had to be approved by the central Chinese CTE before being submitted by the coordinator to DN. The Review Team believes that this has been an unnecessary bureaucratic procedure, which has delayed and hampered an effective communication. The Review Team thus questions the mode of operation having complementary CTEs on each side as well as project coordinators.

[14] Also referred to as "Norwegian Expert", "Expert" in the minutes from the workshops.

4.4 Financial Issues

The total joint budget of the Projects is NOK 33,952.087 (the Decision Document refers), with the grant from Norway not exceeding NOK 19,425,600, having the following split on years: 2010/11 - NOK 8,551, 950; 2012 - NOK 6, 326,100; and 2013 - NOK 4,547,550. The Chinese co-financing should be RMB 4 million in direct financial contribution and RMB 10 million in in-kind contribution, covering the Chinese activities in the Project. The table enclosed to the Agreement split the budget on the various Outputs, study tours and management on both sides. Contingency is set as 6.1% of the Norwegian grant, which is considered reasonable and gives ample flexibility for the project management to take on board unforeseen expenses and needs.

The Contract between FECO and DN split the Norwegian grant: To Chinese project partners - NOK 12,855,600 (65.3%); and to Norwegian project partners – NOK 6,570,000 (34.7%), including NOK 350,000 for Chinese study tour to Norway[15]. This means that of the total project budget around 80% is spent by the Chinese side, and consequently 20% by the Norwegian side.

The Inception Phase Report (IPR) contains the same budget breakdown items as the Agreement, but it is noted that the Norwegian contribution to the FECO management has increased from 500,000 to 760,000 (52% increase), without any explanation. The other items are roughly the same, with more expenditure in the last two years of implementation than indicated in the Agreement. Although the budget in the IPR is named "*Proposed budget for the Project*", and has not been formally adopted, this has been construed as the final agreed budget, and the requests for payment has followed this.

In the 2011 Annual Report (AR), a couple of cost items have increased, this being international travel and local costs for FECO PMO. Both related to study tours, but the increase in done without any explanations. This AR contains a small table showing total receipt of funds, expenditures and balance only. The 2012 AR also contains a couple of tables on income and expenditure, but here some figures from DN are lacking. The Review Team received a separate table on the budget and expenditures for 2012, distributed on the various sub-activities. It shows under-expenditure on both the FECO and DN side.

In spite of having requested DN to submit aggregated account of the expenditures in the Project up to and including first half of 2013, the Review Team did not receive such accounts. The Review Team only received disbursement requests from DN up to December 2012, but this really did not help understanding the split of expenditure, rather than on the Outputs, as there are no timesheets or breakdown on main account items included. It is understood that such "normal" projects accounts are not kept, as the parties look upon the grant allocations from Norway as lump sums/fixed price and request payments accordingly. This is somewhat unusual and makes meaningful external reviews of financial issues and financial audits almost impossible.

As a proxy for expenditures on the various main account items, *Table 4.3* in *Appendix 1* could be used. It shows the budget figures of the Norwegian costs for the three years distributed on "Travel", "DN cost" (staff) and "Consultant costs" (staff), where cost are distributed as 22.5%, 46.2% and 25.8 respectively. Costs connected to management, coordination and administration in DN adds to more than 40% of the total cost, which is deemed unacceptably high[16].

Other issues noted by the Review Team that could be mentioned related to the budget and financial issues in the Project:

- The DN staff and consultants from Norway travel business class on international flights. The reasons is not known to the Review Team, but surely wastes a significant amount of the funds that otherwise could have been used for direct professional cooperation work, for example by introducing younger experts to the Project.
- The project staff informed the Review Team that the technical elaborations in the Project would be completed by December 2013, but the financial issues had a deadline of June 2014. The Project would

[15] The study tour has been postponed several times, but will hopefully be carried out in autumn 2013.

[16] DN points out that man-hours used in in-house meetings have been delivered as "in-kind" support by DN and have not been budgeted for in the Project.

pay a Project Assistant in FECO to follow the Project on to the end in 2014, but they also plan to finance the salary of the Chinese CTE at central level. DN explained that they wanted to continue the CTE's contract due to "delays", especially with the translation, and preparation of the high level seminar at the end of the Project. This is not understood by the Review Team, as there will, according to the Chinese, not be delays. Everything, except the final seminar, will be concluded within 2013. Paying the CTE salary for 6 months out of the budget contingency item might therefore be understood as a start of a second phase of the Project, without taking the necessary step back to learn from the first phase and without such second phase (contents and scope) having been properly discussed and approved.

4.5 Project Reporting

The following main reports have been produced in relation to the Project:

- Following each Annual Consultation Meeting between the Norwegian Embassy and MOFCOM, **Agreed Minutes** is prepared and signed, as a normal procedure. These merely contain overall issues related to this Project, in addition to other cooperation projects between the two countries.

- Following each Project Working Meeting (administrative/managerial) and Technical Workshop, the Norwegian Project Coordinator prepared **Minutes of Meeting**, which are reviewed and approved in the next meeting (but not signed as "agreed minutes" per se). These minutes briefly summarises the progress since last time and list some of the main events undertaken (Annual Consultation Meetings, workshops, study tours) and the events to follow in the next period. The minutes do not contain any professional or scientific issues, and do not mention the agenda in the workshops, or who held presentation about which topic.

  The Review Team was informed that DN did not produce any written travel reports or memos documenting the experiences of the travels, field visits or any of the internal meetings and consultations they convened as part of the Project. Notably, the Review Team received some copies of the PowerPoint presentations held by the Norwegian expert during the workshops. However, most of the presentations were not dated, so it was impossible to see in which workshop it had been presented (before asking the project coordinator directly). This is a deemed shortcoming in the document management.

- **Annual Reports** have been prepared for 2010 and 2012. These reports have largely been prepared by the Chinese side with input from the Norwegians. The reports contain a good overview of the consultation meetings, working meetings and technical workshops held. They list the *topics* presented in the workshops (and the 2011 report also lists the names of the Norwegian experts that held PTT presentations and titles of these, but not so in the 2012 report). The reports contain several photos of workshop, seminar and meeting venues, which is not very enlightening (unless for the members that can recognise themselves and their colleagues in the photos). The 2012 report includes an appendix with photos from field visits with examples of biodiversity species, which is much more interesting to outside readers.

  It is noted that in the Contract it is stated that Progress Reports should be prepared every sixth months, but such reports were never produced and this has obviously not been an issue for discussion or concern amongst the project partners. The Review Team could not off-hand say if such half-yearly reporting would have been useful or really required. Probably not, but as it is a contractual obligation, the mutual understanding of dropping this report should preferably have been mentioned in e.g. the minutes from the Annual Consultation Meeting.

- **Output reports.** The main outputs from the Project are simply defined as reports. The Chinese side is responsible for preparing the Output reports, and the Chinese versions have to most extent, and to the understanding of the Review Team, been prepared roughly according to the agreed time schedule. However, as mentioned above, the translation into English versions has been significantly delayed, which is a serious shortcoming in the Project. The Contract specifically states: "*relevant data and information available only in Chinese shall be translated into English*".

  When the Review Team started its fieldwork in China in September 2013, only the first draft report of

Output 2 had been presented to the Norwegian experts. The Review Team received across the table the draft English versions reports to Outputs 3, 4, 7 and 8. These reports had not even been sent to the Norwegian experts at the time. The Review team found these reports to be both comprehensive and well written. The Review Team thus questioned that, contrary to what was understood by the Norwegian side, the Chinese side did not intend to let the Norwegian side review the full reports for comments and incorporate such comments in the a final version. It seemed like the Chinese side reported according to their own procedures, not following the modality that had been agreed with the Norwegians in the beginning. The input from the Norwegians in the reports has, as mentioned, only been verbal comments on PowerPoint presentations in workshops (except for Output 2).

Output 10, the Final Report ("*Strategy and Action Plan for the Biodiversity and Climate Change in Sichuan Province*") will be prepared in three versions:

- **Full scientific and Data version** in Chinese (several hundred pages), including all graphs, data tables, methodology description, indicators, etc., not intended for wider distribution outside the scientific groups.
- **Full Scientific version** in Chinese (150 pages), including necessary graphs, data tables, methodology description, indicators, etc., for dissemination to other provinces.
- **Government version** (*50-60 pages*) without all the graphs and data, but with most of the concluding text included, to be distributed to Chinese decision-makers and other interested stakeholders at provincial and central level. This version will be translated to English and submitted to the Norwegian counterparts with some text adjusted and some figures taken out (the State Secrecy Act applies). An executive summary will also be included in this version.

The Draft Government versions of Outputs 2 - 4, 7 and 8 in English received by the Review Team, was assumed to be the final ones, while the draft Chinese version of Output 10 was still in process and due to be reviewed by the provincial departments. Following the discussion with the Review Team, the Chinese project management agreed to send the a draft translated into English to the Norwegian experts at the same time as sending it to the provincial departments, and starting to prepare the final version simultaneously. In any case it means that the Norwegian side will have very little opportunity to give comments and input to the contents of the final versions, especially as time will run out towards the end of the year. The only comments from the Norwegian side to the Final Report have been a couple of rounds on the report *outline* (showing the headings and the main scope of the contents to be inserted). As this is the main report from the Project, the procedure revealed by the Review Team is indeed not satisfactory.

The process of reporting on the Chinese side has been rather rigid, because the National CTE in FECO took on the role of quality assuring all the reports by the Chinese experts before even the drafts were sent to the Norwegian Project Coordinator, who should forward them to the Norwegian experts. This is one of the reasons why the translation process has been so delayed. It has simply leaded to reports being sent back to the Output working groups for improvements and revisions, even a couple of times, on the Chinese side. It is considered that the Chinese side has not given enough priority of getting the reports translated and sent to the Norwegian side for comments in advance of the workshops.

The Chinese Project Coordinator taking over in June 2013 obviously quickly detected this bottleneck and opened for more direct communication between the scientists in the different Output groups in the last stage of the Project. However, the serious delays in submission of English reports accumulated previously could not be remedied at this late stage.

It is also noted that this lack of English translation of the reports were not reported upon. According to the written documentation from the Project, no delays were reported even though reports that were delivered in Chinese in the fall of 2012 had not been submitted in English to the Norwegian partners by September 2013. The Review Team was informed than that the Chinese and Norwegian CTEs had agreed that only reports that reflected the Chinese versions well should be submitted and noted that none of the reports the Review Team received in China was approved by the CTE. However, both the Chinese and English speaking members of the Review Team found these reports both good and relevant. In case DN had reported the delays in English translations to the Norwegian Embassy, the process could may be have been speeded up by the Embassy "pushing" MOFCOM, who again would have put pressure on FECO to give more priority to

the translations.

4.6 Sustainability

Sustainability in the Project relates to two issues: 1) the question of whether the cooperation between the partners will continue when the Project is completed; and 2) whether the positive effects of the Project are likely to continue; both issues without continued external financial support. Regarding the first issue, it is clear that the cooperation between the partners will not continue following Project completion, unless additional financial resources are available. Neither could such continued cooperation be anticipated. DN and the Chinese experts could not be expected to pay for extensive international travelling, meeting and workshop activities out of own pockets. Such funds are simply not available in the institutions. May be communication on email, Skype and telephone could be upheld to a minimum degree, but without external financing the incentive to continue proper cooperation is largely lost. However, a few of the more senior staff involved knew each other from other projects, visits and international meetings and it is expected that they would be able to keep up this contact through a variety of channels even after being retired.

Most of the experts met on the Chinese side were young and aspiring professionals. In this respect the lack of bringing in younger experts on the Norwegian side shows that the project management has not been very much concerned about sustainability of the Project. Thus, as financial and human resources are concerned, in short jointly being "institutional cooperation", the Project is in principle not sustainable. This is, however, notwithstanding the fact that continued cooperation is already planned for. The lack of human resources to secure continuity on the Norwegian side still prevails, contrary to the Chinese side.

Regarding the second issue, it is clear that the findings and deliverables of the Project, namely the reports produced, and especially the "*Strategy and Action Plan for Biodiversity and Climate Change Sichuan Province*", will live on, which is also the main outcome of the Project. If the Sichuan Provincial Government wants to use the Strategy and Action Plan as basis for IBDCC interventions and development, they can do so without any support from outside. Political dedication and will to implement the suggested efforts is all it takes, and own financial resources to do so. As the Steering Committee of the Project involves all relevant departments of the Provincial Government, and the Governor himself has taken a keen interest in initiating and pursuing the Project, there are some hopes that the Plan (or at least parts of it) will be implemented.

Likewise, MEP and FECO are the proper institutions to roll out the methodology and lessons learned in Sichuan to other provinces. Such a follow up is deemed independent of external financing, as this is a national concern, depending on the political dedication, will and priority to do so. The Project is so well aligned with Government priorities and the central level is so heavily involved in the Project. , Giving the Chinese side the benefit of the doubt, the Review Team concludes that there is a fair probability that the Project, in this respect, will be sustainable.

4.6 Other Relevant Issues

4.6.1 Gender Issues

The Inception Phase Report is not at all mentioning gender issues. The standard format of the Application has a box on gender, mentioning the importance of an open recruitment processes, and further states: *"Gender, local communities and minorities concerns will be incorporated into stakeholder consultations for development of the Strategy and Action Plan, and specific activities will target gender-disadvantaged groups, such as women involved in water and fuel wood collection*". Gender issues are as such not at all mentioned in the outline of the Final Report (Output 10) has, to the knowledge of the Review Team, not been reported upon. As neither any reference given to gender issues in the presentations and discussions with the Review Team, the treatment of the gender issues in the Project is deemed Not satisfactory.

4.6.2 Anti-Corruption Work

Anti-corruption work has not at all been mentioned in the Inception Phase Report, and neither in the Application. The bilateral Agreement and the Contract include the standard clauses regarding corrupt practices and proper procurement practices. Corruption has not been mentioned in any of the reports reviewed by the Review Team, so obviously this has not at all been an issue in the Project. FECO has carried out procurement on the Chinese side according to their normal regulations, which seems to be appropriate (the Review Team has not had the opportunity to review the procedures in detail). On the Norwegian side no

procurement has been carried out, as the experts from outside DN have been subjectively identified as individual well-reputed scholars in their fields and hired through their respective institution.

5. FUTURE PERSPECTIVES

5.1 Finalization of the Project 2013-2014

The Review Team has interpreted the outcomes of the Project as developing a well formulated strategy and action plan in Sichuan, and the process of making it; involving both the best experts and scientists as well as the most relevant stakeholders and decision makers, data sharing, an efficient indicator system and a good monitoring system. The strategy is to be finalized within the last three months of 2013. If the Project continues in its current modalities the Norwegian input to the strategy will be given in the technical workshop that is planned for November 2013. Given the status of the current draft strategy, the Review Team is of the impression that the Chinese side would benefit from more direct and comprehensive inputs from the Norwegian side. We would therefore recommend the partners to go into a closer mode of cooperation, notably:

1. Submit the current English draft reports of the Outputs 3-5 and 8-9 for review to DN with a deadline of say two weeks for comments and suggestions.
2. Get the draft Chinese report of Output 10 translated into English and submitted to DN for review with a deadline of say two weeks for comments and suggestions.
3. Transform the planned technical workshop into an event with a number of small working groups of maximum 5-7 experts each that goes through each Output. Each working group reports back to a plenary and a substantial report from the event is produced in Chinese and English, summarizing the main conclusions of each working group, the changes made, strengths and weaknesses of the Outputs and how these changes impact on Output 10.
4. Re-draft the reports of the all the Outputs on the basis of these working meetings.
5. Re-draft the report of Output 10, get it translated into English and submitted to DN for review with a deadline of say two weeks for comments and suggestions.
6. Submit the new draft report of Output 10 in Chinese to the stakeholders for review with a deadline of say four weeks for comments.
7. Finalize the reports in Chinese and English.
8. Conduct a final technical workshop endorsing the final reports of all Outputs, reviewing the gaps and any need for possible further cooperation.

Given the challenges of working in two different languages (Chinese and English), the delays following the time needed for translation and the challenge of different use of terms and concepts in this rather specialized and multi-faceted field, the Review Team would recommend that priority is given to the use of small working groups. Good discussions can be enabled with good simultaneous translation.

5.2 Continuation of Sino-Norwegian Cooperation on Biodiversity and Climate Change

The Review Team got the understanding that the project partners are interested in continuing their cooperation on IBDCC. Given the strengths and weaknesses of the Project as identified by the Review Team, it is recommended to take a step back; learn from the experiences gained; contact other actors active on the issues in China, especially TNC and UNEP/WCMC; and consider to restructure the Norwegian institutional set-up. It is recommended to take a closer look at both the aspirations and the means of cooperation. A possible new project should define a realistic log frame defining the project outcomes and the associated indicators. Given that the outcome of the Project under review is a well formulated strategy and action plan and the process of making it, its final impact on the provincial as well as on the national level is out of the hands of the Project itself.

Institutional building and cooperation should have been a key element in the Project. As pointed out in *Chapter 4*, the two contracting partners in the Project under review have both merely fulfilled the roles of

human management institutions rather than of agencies learning from each other's professional experiences as is the common mode of institution cooperation. On the Norwegian side, where most of the weaknesses have been disclosed, the new institutional set-up following the establishment of the Environment Agency, by merging DN with Klif (The Norwegian Climate and Pollution Directorate), opens new avenues for improvements both at the managerial and the technical levels.

While the Norwegian Environment Agency have technical experts in both biodiversity and climate change, it is the tradition in Norway to use various research institutes to build new knowledge and knowledge platforms on which to formulate policy recommendations as well as implementation of rules and regulations. The Review Team would suggest that both experts from the Environment Agency and other relevant associated research institutions should be involved, if a new project is to be developed on the issue. The Team would however recommend the researchers to be given well-defined roles and to be identified through a transparent bidding process. In such a set-up the various Norwegian research institutions should preferably have direct cooperation contracts with similar counterparts in China, with their mandates and themes well defined. The Environment Agency could maintain an overall coordinating role; preferably with much less management time that in the previous phase. The Agency could also involve appropriate experts from own staff to undertake specifically identified tasks in the new cooperation project.

The mode of cooperation thus has to be changed, opening up for more direct contact between the experts and scientists and with similar institutions on both sides. Use of translation tools like e.g. Google Translate, that may not be very accurate but still adequate to serve the purpose, and could give a common basis for discussion without delay, opening up for quick responses and dialogue.

Different languages reflect different approaches, conceptualization and ways of thinking. Close cooperation and dialogue is needed to ensure the mutual understanding needed for the kind of interaction aimed at in institutional cooperation projects. Two important Chinese concepts that should be looked into are the terms: 1) ecological civilization, that do not have its counterpart in Western policies and sciences; and 2) ecological engineering, or ecological construction, having different meaning in China and in the Western countries. Ecological Functional Areas were defined in China after the devastating floods of the Yangtze River in 1998. The equivalent English term is the definition of "buffer zones" and the application of a "landscape approach" in environmental management.

The thematic focus of a possible new project should be identified with a clear reference to the outputs delivered and finalization of the Project under review. It is therefore important to first finalize the ongoing Project in good style, including complete reporting in both Chinese and English, and then, if desired, formulate a new project. The driving force behind a new project should clearly not be a wish of the cooperating partners to continued cooperation and "business as usual", but having a clear professional view based on the real needs of China[17].

From the information provided to the Review Team, it is recommended to define a new project rather than trying to formulate a Phase 2 of the Project under review. In the latter case, it is a risk of pulling shortcomings from the previous phase into the next one, with the same persons filling the same roles, working according to the same modalities, etc. In this case, substantial changes in the approach and working procedures will have to be instigated, including a more appropriate managerial and administrative set-up. This is assumed best done by defining a new project, which also could be seen in relation to a possible support from Norway to the planned national follow-up of TEEB (The Economics of Ecosystems and Biodiversity) in China. As such, a new project, which also might incorporate some "hanging" elements from the Project under review, may be best defined with assistance of "new eyes" that are not hampered by "history".

It is clearly not the role of an institutional cooperation project to assist governments in rolling out the model as developed in Sichuan. What can be a relevant issue is to assess which parts of the model that will need to be revised to adapt it to the ecosystems of other provinces and to review and improve the current model after it has been tested out in practice in Sichuan.

[17] It is clearly considered to be outside the scope of this Review to elaborate more on possible future managerial and administrative models, as such discussion will be an important part of the appraisal for any such new project.

As pointed out in the introduction chapter, the gaps and challenges of the interaction between biodiversity and climate change have remained more or less the same for the last decade, although the models of predicting climate change are improving. As the IPCC5 is being published while the report in hand is written, the Review Team knows that the Project input and estimates made on the basis of IPCC4 need to be revised. This could be done by the Chinese scientists alone, without any major assistance from Norway. The studying of carbon capture abilities of different plants and ecosystems are still in its infancy, even though the principles at hand are part of basic biology. Such elements might more clearly be taken up in a new project, if time is ripe to look deeper into this in China.

6. CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

The overall assessment of the Project is that its relevance is good; the project design is weak; the management on the Chinese side largely satisfactory, but weak on the Norwegian side; and the scientific outputs are overall good. The Project has not fulfilled all its aspirations as an institutional cooperation project. The experiences are only institutionalized on the Chinese side, and the reporting and working modality has not sufficiently opened for detailed input from the Norwegians experts. This is a missed opportunity for Norwegian development cooperation, as lessons learned from the Project could have been used in other cooperation projects on the issue in other developing countries. The management on the Norwegian side has been top-heavy, and the professional input is deemed to hinge too much on one Norwegian retiring expert, failing to involve younger professionals needed to ensure sustainability. Although effectiveness is satisfactory, especially on the Chinese side, information sharing has not been optimal and overall project efficiency is deemed not satisfactory.

6.2 Recommendations

The Review Team has the following recommendations:

Short term:

- Adjust the mode of cooperation in the last remaining months of the Project to ensure that Norwegian competence is available for the Chinese counterparts. Work in smaller groups rather than large formal workshops.
- Review the experiences, lessons learned and identify gaps in the Project before designing, and entering into an agreement for, a possible new project.

Long term:

- Give more focus to the use and development of new and different concepts embedded in language differences.
- Invite new partners, both international institutions and experts in the preparation and implementation of a new project to ensure synergies and avoid overlaps.
- Revise the Norwegian management by significantly reducing the high-level management involvement and increase the level of technical inputs, also with younger staff.
- Revise the mode of cooperation, avoid administrative bottlenecks and facilitate frequent direct contact between researchers.
- Let the new Norwegian Environment Agency maintain an overall limited coordination role (with much reduced funds for administration/management), and involve more directly other Norwegian research institutions (which could be identified through open bidding) in one-to-one bilateral cooperation with Chinese counterpart institutions.
- Ensure that the mandate and roles of the different partners/institutions in a possible new project must be properly defined from the beginning, and directly related to the needs on the Chinese side.
- Look at the feasibility of a possible new project to encompass other related issues that the two countries would like to pursue jointly; one larger project instead of many smaller ones. Support to a Chinese TEEB process (The Economics of Ecosystems and Biodiversity) could be embedded in a new biodiversity and climate change project.

Appendix 1:
Maps, figures and tables

Figure 1.1: Provincial map of PR China

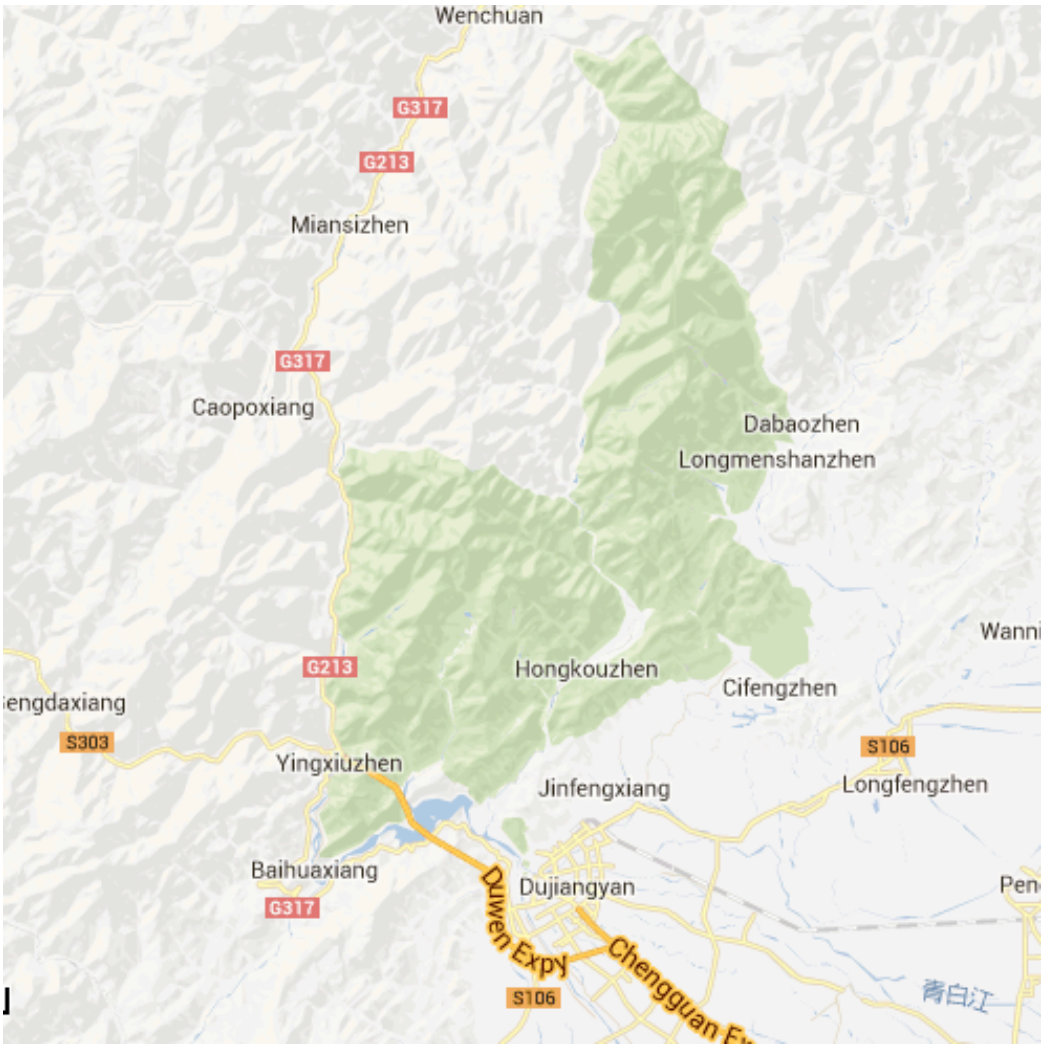

Figure 1.2: Project area in the Sichuan Province (visited by the Review Team)

Table 1.1: Relevant laws and regulations on Biodiversity and Climate Change

1	Environmental protection law of the People's Republic of China
2	Law of Wild Animal Protection of the People's Republic of China
3	Regulation of Wild Plant Protection of the People's Republic of China
4	Measures for Nature Reserve Land Management
5	Regulations of the People's Republic of China for the implementation of wild aquatic animal protection
6	Fisheries Law of the People's Republic of China
7	Forest Law of the People's Republic of China
8	Grassland Law of the People's Republic of China
9	Regulations of Nature Reserve of the People's Republic of China
10	Law of the People's Republic of China on climate change
11	National Program on Climate Change
12	China's Policies and Actions for Addressing Climate Change

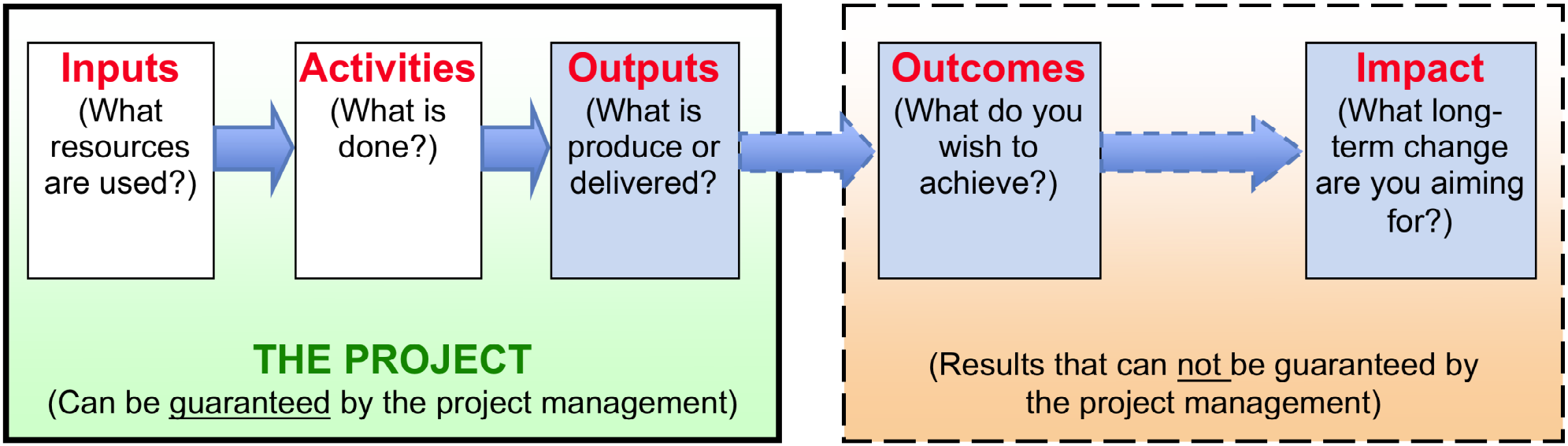

Figure 2.1: The Result Chain (reference to Result Management in Norwegian development cooperation). The blue boxes represent different levels of results

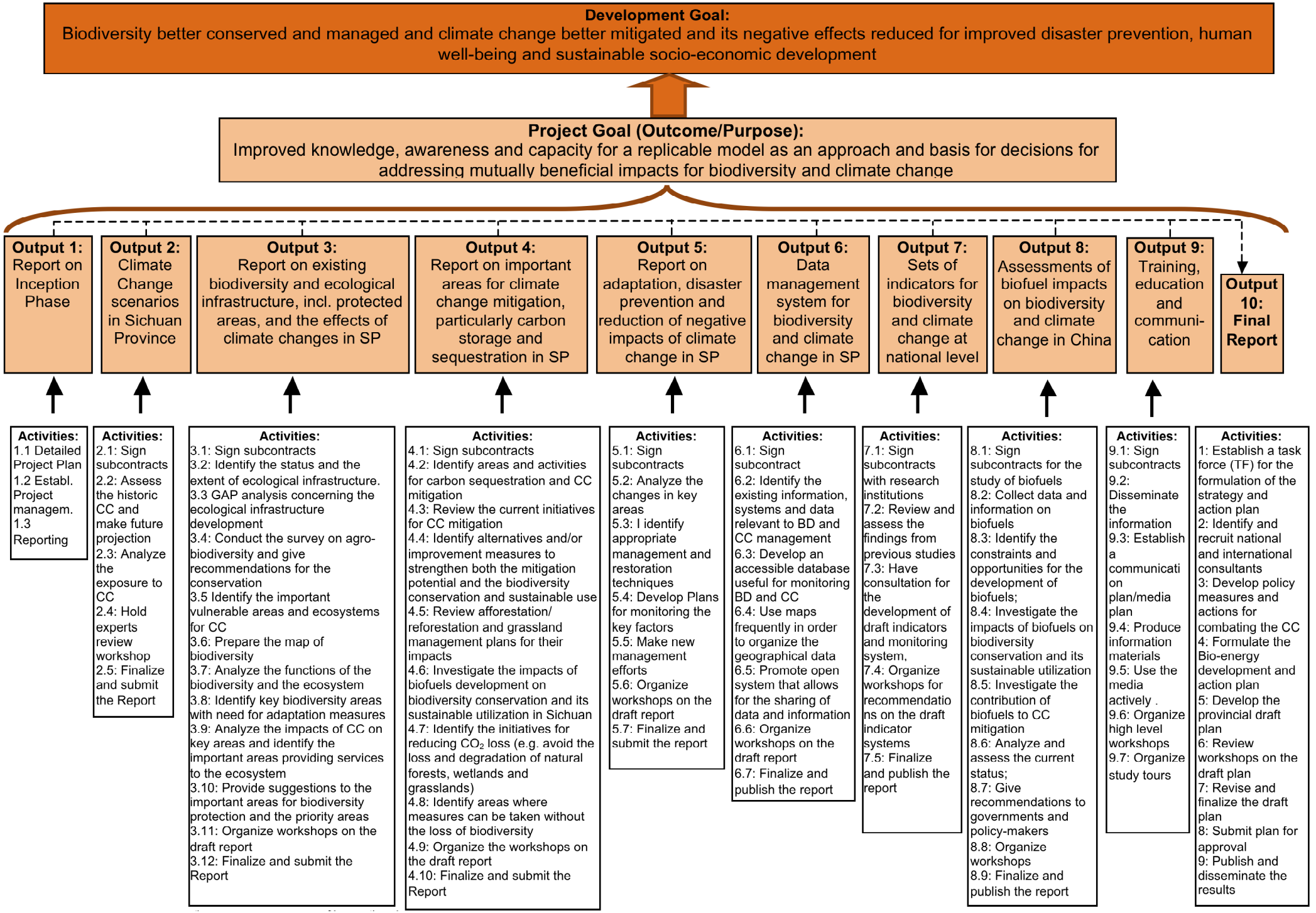

Figure 2.2: The Project logframe

Table 2.1 Overview of project log frame with indicators (from the application)
(The output numbers in brackets are the ones from the Inception Phase Report, used as the main reference during implementation)

Logframe Element	***Indicators***	***Review Team's Comment***
Project Goal: *Improved knowledge, awareness and capacity for a replicable model as an approach and basis for decisions for addressing mutually beneficial impacts for biodiversity and climate change*	*1) Sichuan Biodiversity and Climate Change Strategy and Action Plan (SCBCSAP) is formulated*	*This is not an indicator connected to the outcome, but is a final output of the project (Output 10). Should read "Draft"?*
	2) SCBDAP is reviewed and comments are made by all of the related depart-ments in the province.	*Should read SCBCSAP (misprint)? Indicator not well formulated when related to the formulation of the outcome*
	3) Finalization of the draft SCBCSAP	*Draft or final? (It was "formulated" in 1))*
	4) SCBDAP is approved and released by SC EPB	*Should read SCBCSAP (misprint)? (Should read "EPD")*
	5) Approved acceptance is sent to the government for integration	*Approved by the Provincial Government, not only EPD (not EPB)?*
Output 1: (Output 10) Sichuan Provincial Biodiversity and Climate Change Strategy and Action Plan	*Strategy & Action Plan accepted*	*Project management cannot guarantee that the plan is accepted (meaning "approved"?) by EPD (?) within the project period. This will happen some time afterwards (see indicator under Project Goal).*
Output 2 (Output 3) Report on existing biodiversity and ecological infrastructure, including Protected Areas, in Sichuan Province	*No indicator*	*The output is an indicator in itself.*
Output 3: (Output 4) Report on important areas for climate change mitigation, particularly carbon storage and sequestration in Sichuan Province	*No indicator*	*The output is an indicator in itself.*
Output 4: (Outputs 5) Report on adaptation, disaster prevention and reduction of negative effects of climate change in Sichuan Province	*No indicator*	*The output is an indicator in itself.*
Output 5: (Output 6) Data management system for Sichuan Provincial biodiversity and climate change	*No indicator*	*Established by whom where, containing what. Computer programme?*
Output 6: (Output 7) Sets of indicators for biodiversity and climate change at national level	*Indicator Set adopted by national (and provincial) government*	*The Project can only guarantee to prepare a draft set of indicators. Approval by national government is assumed time-consuming and will happen /long) after the Project has finished.*
Output 7: (Output 8) Assessments of biofuel impacts on biodiversity and climate change in China	*Report on biofuel impacts*	*OK*
Output 8: (Output 9) Training, education and communication	*Increased Knowledge and Awareness by key groups (through surveys)*	*The indicators should specify how this is measured*

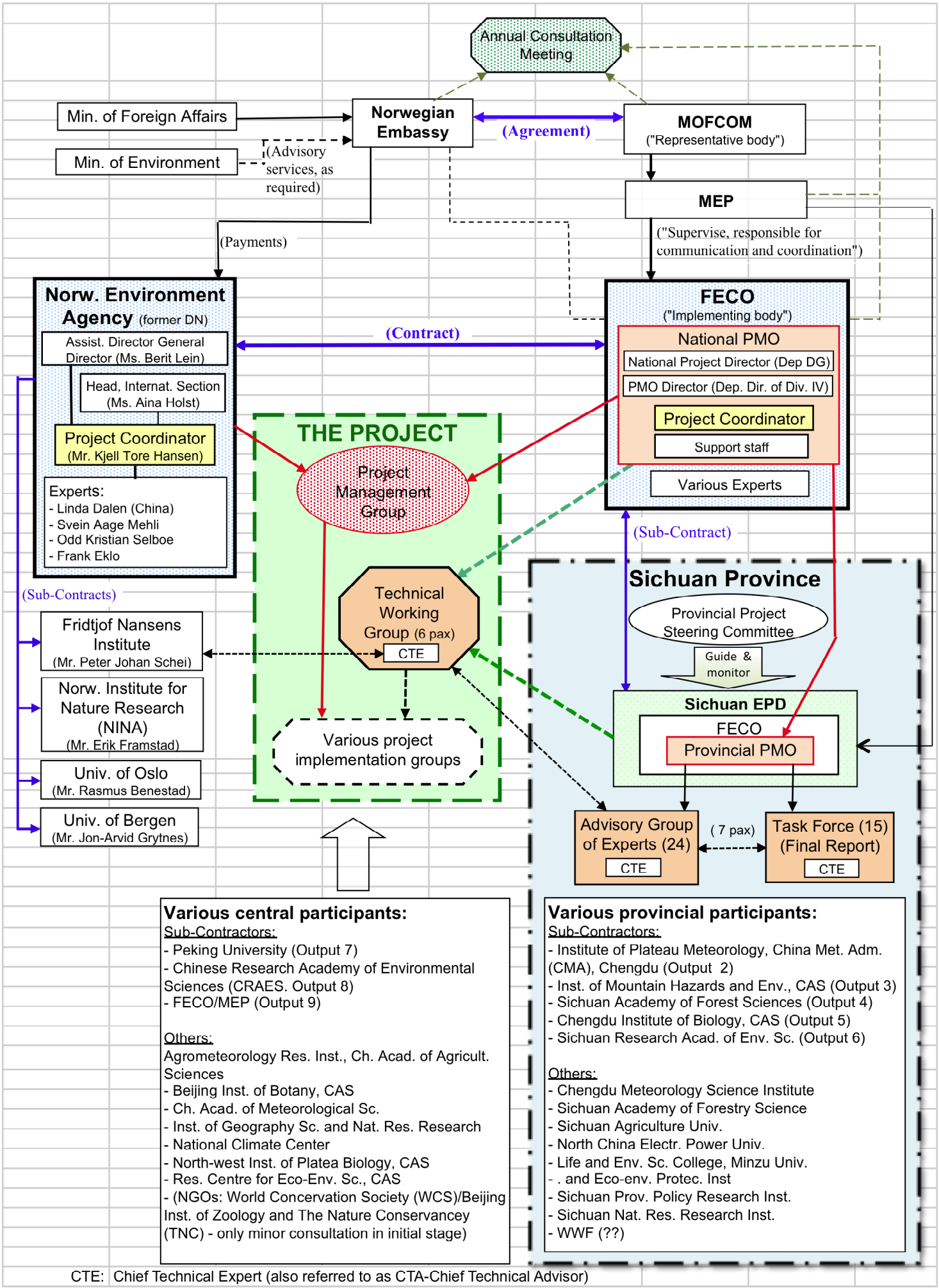

Figure 2.3: Organisational set-up of the Project

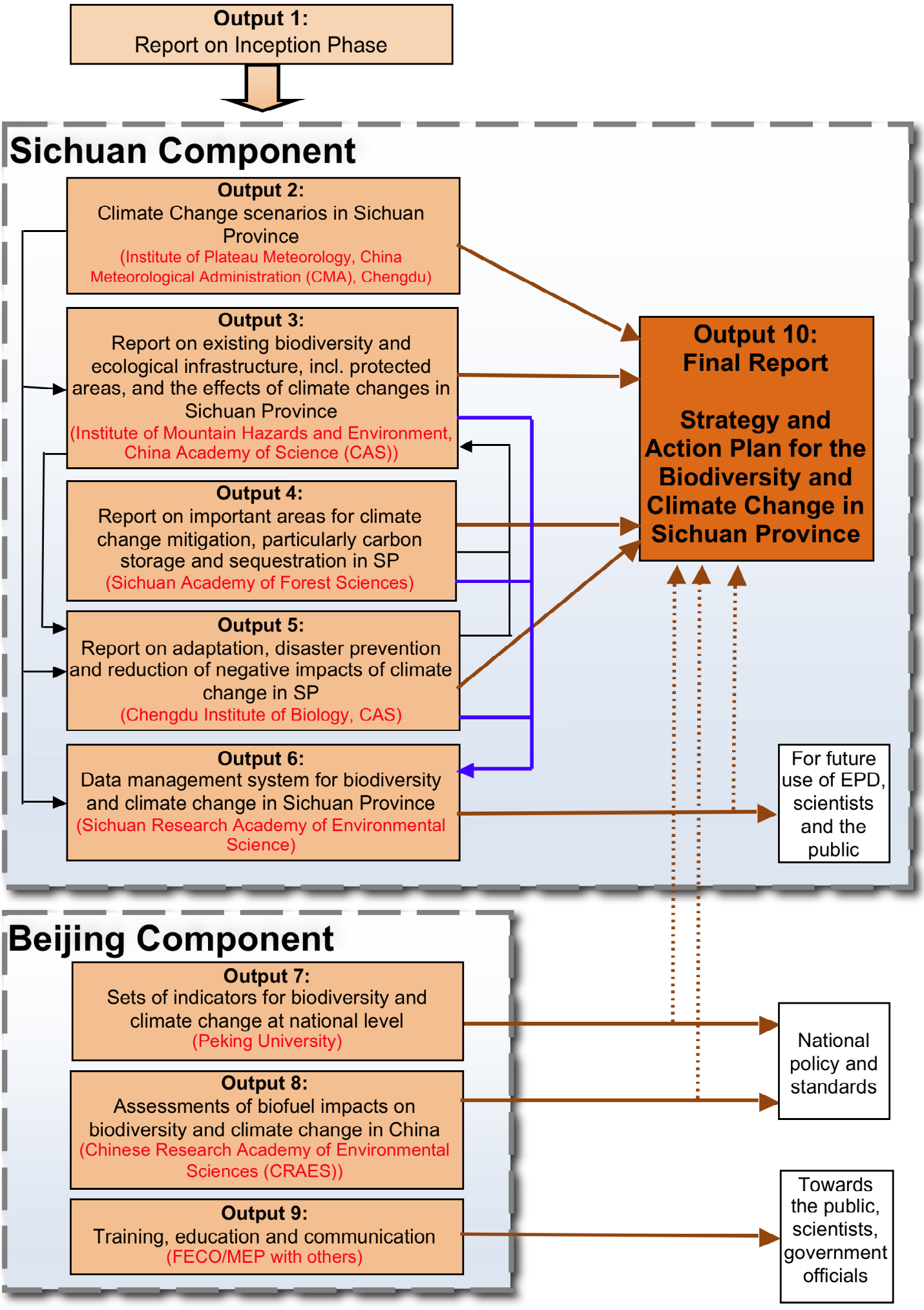

Figure 3.1: The various project outputs' contribution to the Final Report

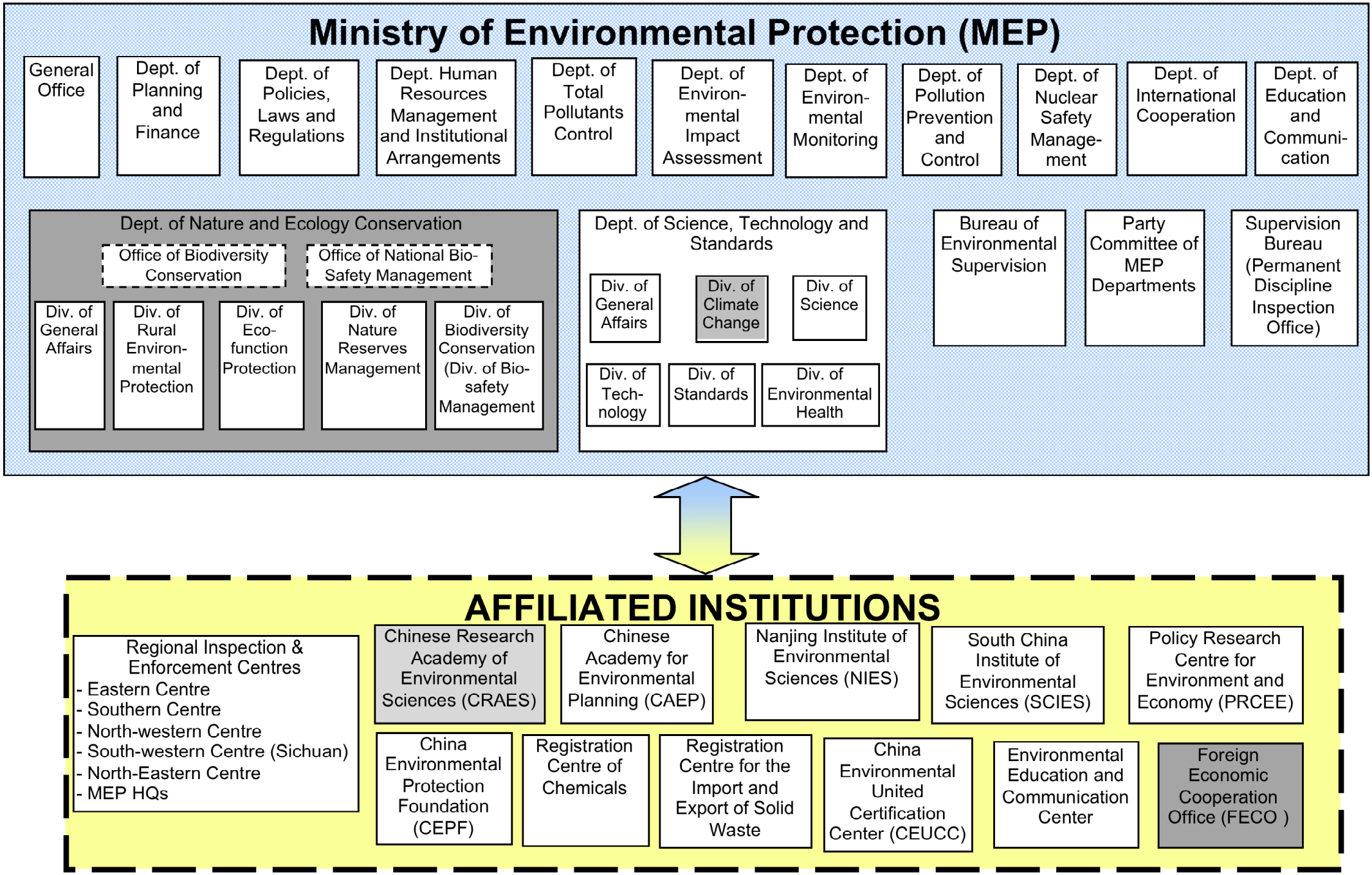

Figure 4.1: Organisational set-up of Min. of Environmental Protection (MEP) in China (September 2013)

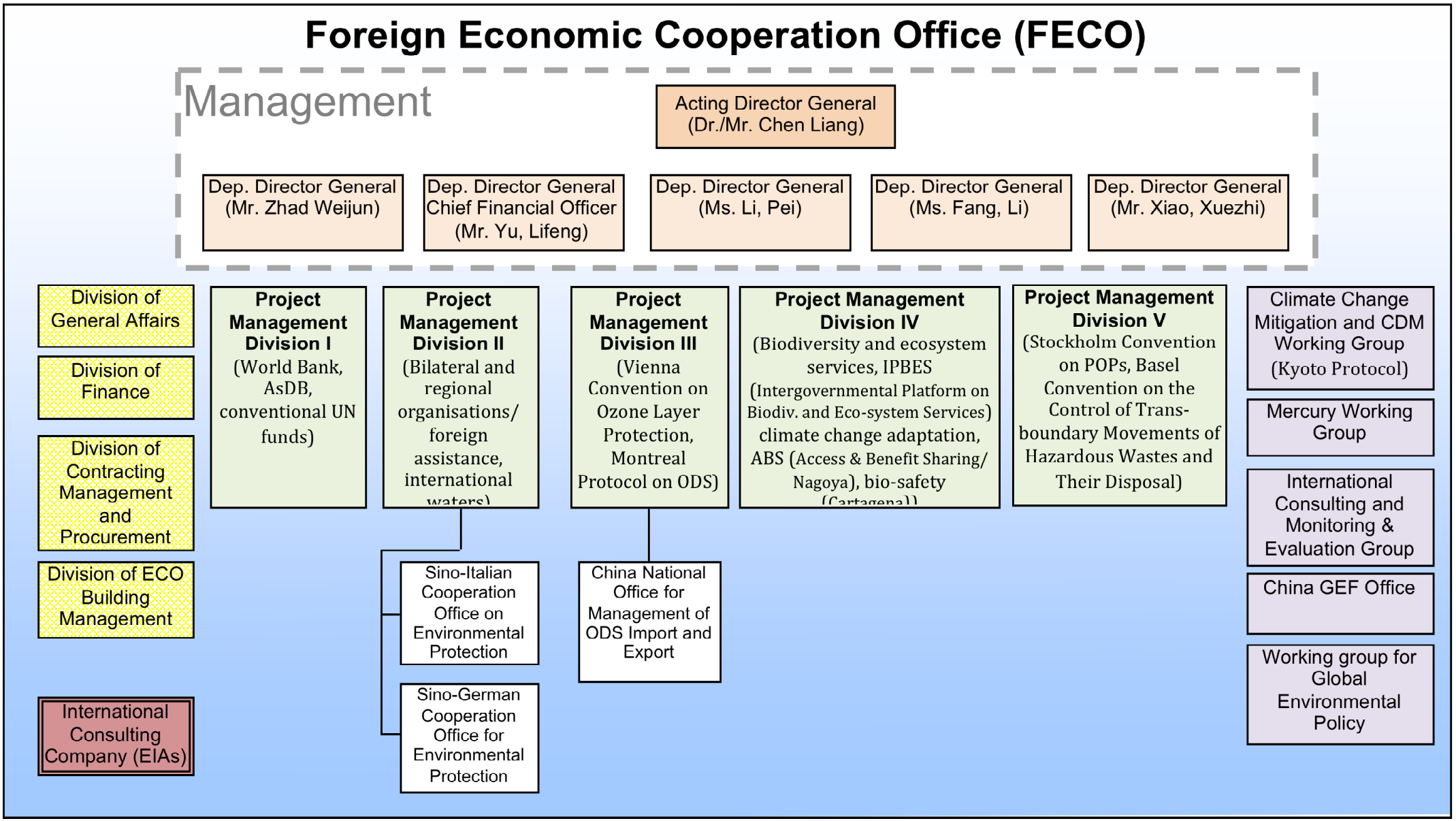

Figure 4.2: Organisational set-up of FECO (September 2013)

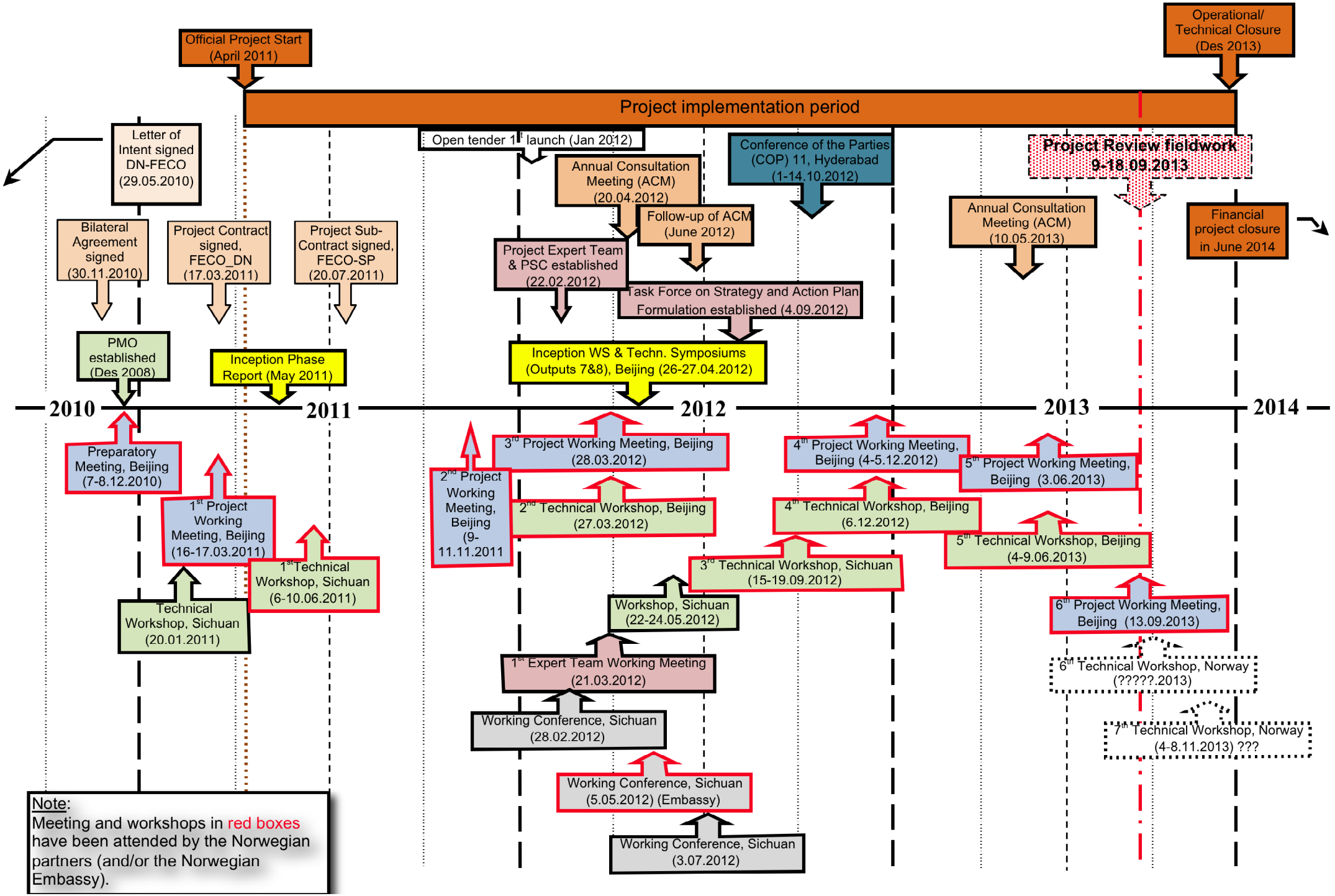

Figure 4.3: Various important milestones in the Project

Table 4.1: Overview of the Norwegian project staff's participation in events in China

Date	Event	Place	Staff								Comment
			KTH	PJS	BL	FE	LD	EF	JAG	Others	
7.-8.12.2010	Preparatory meeting	Beijing	✓		✓		✓	✓			
16-17.03.2011	1st Project working meeting	Beijing	✓	✓	✓						
6.-10.6.2011	1st technical workshop	Sichuan			✓		✓	✓		Norw. Embassy	Included a study tour. Ms Liu Yinglan, Project officer at the Norwegian embassy attended.
9.-11.11.2011	2nd Project working meeting	Beijing	✓	✓	✓	✓				Ministry of Environment	Mr Gard Lindseth from Ministry of Environment, Norway, attended
27.3.2012	2nd Technical workshop	Beijing	✓	✓	✓					Norw. Embassy Mr Rasmus Benestad, Met. Inst. UiO.	Environmental counseller attended, and Rasmus Benestad gave a "long distance" speech using Skype and Internet.
28.3.2012	3rd working meeting	Beijing	✓	✓	✓						
05.05.2012	Working Conference	Sichuan								Norw. Embassy	Outgoing and incoming Environmental Counsellor
15-19.9.2012	3rd technical workshop	Sichuan	✓	✓							Included a study tour to the mountainous areas in Ruoergai
4.-5,12.2012	4th Technical workshop	Beijing	✓	✓	✓				✓	Norw. Embassy	Tor Skudal, Environmental counsellor attended
6.12.2012	4th working meeting	Beijing	✓	✓	✓						
3.6.2013	5th working meeting	Beijing	✓	✓	✓						
4-7.6.2013	5th Technical workshop	Sichuan	✓	✓				(✓)	(✓)		Both JAG and EF should join, but due to visa problems (late invitations) they were not able to join. Included a study tour to E'mei mountains.
13.9.13	6th Working meeting	Beijing	✓	✓							
4.-8.9.2013	Working meeting and workshop planned	Beijing	✓	✓	✓			✓	✓		Still under planning

KTH -Kjell Tore Hansen
PJS -Peter Johan Schei
BL -Berit Lein
FE -Frank Eklo
LD -Linda Dalen
EF -Erik Framstad
JAG -John Arvid Grytnes

Table 4.2: Overview of the Norwegian project staff's workshop presentations in China

Date	Event	Place	Contribution	Copy with Review Team
2009			Peter Johan Schei, PPT: "Climate change, biod iversity and ecosystem services" (2.12.2009) Peter Johan Schei, memo: "Biodiversity and climate change strategy and action plan." (Not dated, but presented in March 2009)	Yes (2 pages) Yes
7-8.12.2010	Preparatory meeting	Beijing	Erik Framstad, PPT: "Monitoring of effects of climate change on biodiversity in Norway" . (Not dated, but should be Des 2010). Kjell Tore Hansen, PPT: "Biofuel – some elements from the Norwegian approach" (Dated 9.12.2010) Erik Framstad, PPT: "Conserving biodiversity and handling climate change – a case for adaptive nature management". (Not dated, but should be Des. 2010 and June 2011) Linda Dalen, PTT: "Challenges, plans and actions considering climate change issues in Norway". Linda Dalen, PTT: "Indicators of effects of climate change, adaptation measures and important nature types for mitigation in Norway".	Yes Yes Yes No No
16-17.03.2011	1st Project working meeting	Beijing		
6-10.6.2011	1st technical workshop	Sichuan	Erik Framstad, PPT: "Conserving biodiversity and handling climate change – a case for adaptive nature management". (Not dated, but should be Des. 2010 and June 2011) Linda Dalen, PTT: "Effects of climate change on biodiversity with reference to the Norwegian ecosystems". Linda Dalen, PTT: "Carbon storage and sequestration in different Norwegian ecosystems". Linda Dalen, PTT: "Norwegian nature management measures concerning climate change". Erik Framstad, PTT: "How we monitor effects of climate change in the Norwegian monitoring program". Erik Framstad, PTT: "Conserving biodiversity and handle climate change" On behalf of Mr. Kjell Tore Hansen, Linda Dalen, PTT: "Data management of environmental data".	Yes No No No No No No
9.-11.11.2011	2nd Project working	Beijing		

	meeting			
27.3.2012	2nd Technical workshop	Beijing	Several experts, PPT: "Climate scenarios – Comments from the Norwegian partners". (27.03.2012) Rasmus Benestad gave a "long distance" speech using Skype and Internet.	Yes No
28.3.2012	3rd working meeting	Beijing		
05.05.2012	Working Conference	Sichuan		
15-19.9.2012	3rd Technical workshop	Sichuan		
4-5,12.2012	4th Technical workshop	Beijing	John Arvid Grytnes, PPT: "Climate change and recent altitudinal range shifts in Norwegian and European mountains" (Not dated, but should be Des. 2012) Peter Johan Schei, PPT: "Norwegian Climate policy and Actions" (Not dated, but should be Des. 2012) From 2012 Annual Report*"…listened to the reports on Norwegian Climate Policy and Actions, Climate change effects on biodiversity: lessons from Norway made by Norwegian side*".	Yes Yes No (but not known which they mean)
6.12.2012	4th working meeting	Beijing		
3.6.2013	5th working meeting	Beijing		
4-7.6.2013	5th Technical workshop	Sichuan		Any?
13.9.13	6th Working meeting	Beijing		
4.-8.9.2013	Working meeting and workshop planned	Beijing		Any?

KTH -Kjell Tore Hansen
PJS -Peter Johan Schei
BL -Berit Lein
FE -Frank Eklo
LD -Linda Dalen
EF -Erik Framstad
JAG -John Arvid Grytnes

Table 4.3: Annual budget figures of the Norwegian costs

Calculation of estimated costs (info from DN)

Budget figures, Norwegian cost : Managment, coordination and administation

	2011			2012			2013			Sum travels	Costs
Travel	**#**	**unit cost**	**∑**	**#**	**unit cost**	**∑**	**#**	**unit cost**	**∑**		
Hansen	2	35000	70,000	4	35000	140,000	3	**35000**	105,000	9	**315,000**
Lein	3	35000	105,000	2	35000	70,000	2	35000	70,000	7	**245,000**
Schei	2	35000	70,000	4	35000	140,000	3	35000	105,000	9	**315,000**
Eklo	1	35000	35,000	0	35000	35,000	0	35000	35,000	1	**105,000**
Dalen	1	35000	35,000	2	35000	70,000				3	**105,000**
Framstad	1	35000	35,000	1	35000	35,000	1	35000	35,000	3	**105,000**
Grytnes							1	35000	35,000	1	**35,000**
		Total	**350,000**		**Total**	**490,000**		**Total**	**385,000**	**33**	**1,225,000**
										Sum weeks	
DN cost	**# weeks**	**Unit cost**	**∑**	**# weeks**	**Unit cost**	**∑**	**# weeks**	**Unit cost**	**∑**		
Hansen	20	27960	559,200	20	27960	559,200	20	27960	559,200	60	**1,677,600**
Lein	4	27960	111,840	3	27960	83,880	4	27960	111,840	11	**307,560**
Dalen	3	27960	83,880	4	27960	111,840		27960	0	7	**195,720**
DN staff	4	27960	111,840	2	27960	55,920	4	27960	111,840	10	**279,600**
Energi&samf.			0	2	27960	55,920				2	**55,920**
		Total	**866,760**		**Total**	**866,760**		**Total**	**782,880**	**90**	**2,516,400**
Consultant cost			**∑**			**∑**			**∑**		
Framstad	0	48000	0	2	48000	96,000	2	48000	96,000	4	**192,000**
Schei	3	48000	144,000	11	28000	308,000	10	48000	480,000	24	**932,000**
Stensdal	5	28000	140,000			0	0	0	0	5	**140,000**
Benestad			0	2	48000	96,000			0	2	**96,000**
Grytnes			0				1	48000	48,000	1	**48,000**
		Total	**284,000**		**Total**	**500,000**		**Total**	**624,000**	**36**	**1,408,000**
High level meeting			0	0		0	1	300000	300,000		**300,000**
		Grand total	**1,500,760**		**Grand total**	**1,856,760**		**Grand total**	**2,091,880**		**5,449,400**

Appendix 2:
Other easily detectable interventions in China on IBDCC

List of easily detectable interventions in China related to biodiversity and climate change

1	EU-China Biodiversity Programme (ECBP). Large programme with several projects. (IUCN China, WWF, TRAFFIC International, the Sichuan Forestry Department, the Gansu Forestry Department, the Shaanxi Forestry Department, and the Sichuan Administration Bureau of Traditional Chinese Medicine). Objective: 1. Strengthen cooperation among agencies responsible for implementing environment-related international conventions; 2. Identify actions to operationalise China's national climate change programme to improve management and restoration of ecological systems; 3. Support China in revising and updating its national biodiversity strategy and action plan to reflect the role of biodiversity in mitigating and adapting to climate change. Sustainable peatland management: ECBP supports conservation and sustainable management of peatlands in two critical areas of China, the Altai region of Xinjiang and the high-altitude peatlands of Sichuan/Gansu. The **Sichuan**/Gansu peatlands support an important population of the endangered Black-necked Crane and provide a critical role in regulating water supplies to the densely-populated Yellow River basin.
2	China Ecosystem Services and Poverty Alleviation Situation Analysis and Research Strategy. (UNEP-WCMC. Supported by DFID. Final (ESPA) Report May 2008). Dealing with research needs for reducing poverty through better ecosystem management in China, with aims of conducting a situation analysis on the knowledge of China's ecosystem services and their importance to the poor, identify and address challenges to the sustainable management of ecosystems for poverty alleviation, and propose a research strategy to inform the design of a five-year, multi-disciplinary ESPA research programme.
3	CC and BD in Guangxi Province. (UNEP-WCMC. Newly started?). Working through the REDD-PAC Project (Policy Assessment Centre) on spatial analysis to investigate opportunities for using climate change mitigation and adaptation to make progress towards the Aichi Targets of the Convention on Biological Diversity.
4	Carbon, Biodiversity & Ecosystem Services: Exploring Co-benefits. Jiangxi Province, China. (UNEP-WCMC and CRAES. Reports in 2009 and 2010, Supported e.g. by Germany). Use of simple mapping tools to identify how carbon, biodiversity and other ecosystem services are distributed across the landscape and relate to each other. This report presents data and analyses on areas of high carbon density and high priority for biodiversity in Jiangxi Province. The degree of their overlap with protected areas is assessed, and their relationship to the distribution of human population. The 2010 report presented new analyses showing that the different values and services under consideration all have different relationships with the distribution of current carbon stocks, and that some areas or counties are especially important for the provision of particular services that are likely to be affected by carbon management decisions. The work provides a baseline for discussion among stakeholders and planning for co-benefits from carbon management in Jiangxi Province and highlights the complexity of the issues involved. Carbon calculator available on the web
5	Integrated Management of Peatlands for Biodiversity and Climate Change: The Potential of Managing Peatlands for Carbon Accumulation While Protecting Biodiversity. (GEF, UNEP with partners. May 2003 – June 2007. In China, Russia and Indonesia). The project raised worldwide awareness about the biodiversity of peatlands and their importance in climate regulation. The project helped rehabilitate more than 30,000 hectares of peatlands and inspired national and regional initiatives aimed at protecting hundreds of thousands of hectares.
6	Restoring crucial Chinese wetlands will help preserve livelihoods. (UNDP). (2007-2010) on ditches in the Ruoergai wetlands nature reserve, Sichuan Province, China. In an effort to prevent peat-land loss, the UNDP has been working with China's Wetland Management Bureau and an organization called Wetlands International to restore and conserve the ecologically precious wetlands. The UNDP project has introduced innovative techniques and methodologies to Ruoergai County to help combat such drainage. Some of the techniques include strictly controlling wetland use, placing

	moratoriums on animal grazing and seeding to restore grasslands. The programme has installed solar energy water heaters in wetland communities to cut down on the amount of peat being used as fuel. Public awareness about the importance of wetlands. The programme provides trial demonstrations of how conservation can work for the herdsmen and other people who use the wetlands.
7	Piloting climate change adaptation to protect human health in China. Adaptation Learning Mechanis (ALM). (UNDP, GEF and WHO). Harbin, Nanjing, Guangzhou, 2010-14. Under Green LECRDS (low-emission and climate-resilient development strategy). The objective is to strengthen the national capacity to respond to the increased health risks due to heat waves in China. This novel project, seeks to identify and share solutions to address health risks caused and exacerbated by climate change. The most significant benefit will be the reduction of the incidence and mortality of the cerebro-cardiovascular diseases, thus improving people's quality of life and greatly reducing the social-economic burden. Other benefits include: Facilitating the harmonization of health issues with economic development; Strengthening health education and training on the impacts of climatic change on the environment and human health, and Increase awareness of the potential impacts climatic change across various media.
8	Projects in mountain landscape in the Upper Yangze River. (UNDP and WWF, Partly funded by EU-China Biodiversity Programme)). 18 villages in the area to carry out community-based projects aimed at conserving biodiversity and improving local people's livelihoods. Notably, an estimated 75% of commercially harvested traditional Chinese medicinal plants are found in the mountain landscapes of the upper Yangtze River basin. UNDP organized workshops and lectures to promote sustainable harvesting and management of the crops among the villagers and local government officials, and, with the support of WWF, helped set up a community conservation committee.
9	Supporting low-carbon and sustainable development in China. (DFID, ongoing) Support to the Chinese Government's moves towards a low-carbon economy and working together to increase agreement for an ambitious new international climate change treaty. For example, DFID work with Department of Energy & Climate Change (DECC) experts and China's Energy Research Institute to create a Chinese version of DECC's "2050 calculator". This is a tool for modeling a country's energy supply and demand choices and emissions trajectory to 2050.
10	UK, China and Switzerland collaborate on climate change project. (DFID and others. Ongoing or completed in 2013???). The Adapting to Climate Change in China (ACCC) project brings policymakers, legislators and experts together. ACCC is an innovative, 4-year policy research initiative, investigated ways China could better understand climate change risks and response options. The project comprised interdisciplinary teams to develop and share ways that China can make climate change adaptation a mainstreamed part of the development process. As well as working at the national level, the project identified and analysed the most important climate change impacts in three pilot provinces - Inner Mongolia, Ningxia and Guangdong - and how they will interact with provincial development priorities
11	The China Advanced Power Plant Carbon Capture Options (CAPPCCO) project. (Started 2007. UK and Dept. of Energy and Climate Change/MOST, English and Chinese universities). Assessment and development of carbon capture options for pulverized coal power plants in China. Project objectives included creating a carbon capture characteristics database for existing and planned plants; developing options to enable rapid carbon capture retrofit of existing coal plants as well as capture options for planned plants; assessing performance of carbon capture on Chinese coals; stakeholder engagement and knowledge transfer and; investigating options for financing capture ready and capture retrofit, including private finance.
12	Pingwu County protected areas project. TNC, Chinese Government. Ongoing). Putting more than 27,000 acres of Pingwu County under protected area status. The resulting Laohegou Nature Reserve is hopefully the first of many to employ the land trust reserve model of conservation. It is a replicable model for expanding conservation across China,

	and it's the ideal tool for creating new, fully funded, well-planned and adequately staffed reserves. Will also include microfinance projects and eco-tourism.
13	The Carbon for Parks project (TNC, Novartis, the Chinese government and Liangshan Prefecture, Sichuan Province. Ongoing, 30 years lifespan). Aim: to restore nearly 3,900 hectares of the lush forests/deforested areas that used to define this region, reducing CO2 emissions with 40,000 tonnes/yr. The region is crisscrossed by a network of nature reserves, but those reserves need increased management if they are to yield the intended conservation effects. It is expected to have significant and measurable benefits for the climate, for species like the giant panda and for the Yi people. The project is helping to offer Liangshan's people a sustainable alternative that can balance their needs with those of the forests around them. The people carrying out reforestation efforts on the ground will be recruited from local villages. These positions will create employment opportunities and income for people, and long-term forest patrol and management positions will create 40 long-term jobs in the region.
14	Livelihoods and Landscapes Strategy (LLS). (IUCN) A global initiative that examines the rights and access of the rural poor to forest products in the context of the entire landscape in which people and forests interact. By using Forest Landscape Restoration (FLR) measures, LLS will demonstrate approaches that would optimize the biodiversity and productivity of forest landscapes, and deliver livelihood benefits to the rural poor in China. LLS in China will also seek to improve the broader context of forest governance. In addition to attempting to influence China's domestic logging ban, LLS will encourage the Chinese government to join the Global Partnership on FLR, and to incorporate FLR approaches to national reforestation policies and programmes. The project will engage with the Chinese government on the management of Chinese companies carrying out logging and forestry activities in Russia and Africa.
15	Forest Law Enforcement and Governance (FLEG). IUCN China is partnering with Chatham House and Forest Trends to present a series of multi-stakeholder dialogues on illegal logging and associated trade. An extended initiative on Further Forest Law Enforcement, Governance and Trade (FLEGT) is linking China and West and Central Africa in support of improved forest governance and FLEGT initiatives. FLEGT, and more specifically to the European Union's FLEGT Action Plan, is a process to combat illegal logging and the trade of timber and timber products.
16	Countdown 2010 in China. (IUCN. 2007-2010). This is a network of partners working together to reach the international target to halt the loss of biodiversity by 2010.China, like many other governments, has themselves to save biodiversity by 2010. The conservation community, in China and around the world, can help them succeed. IUCN's Countdown 2010 initiative has been an important tool to show that conservation and development are inherently linked. It provides a platform for organisations — governments, non-government organisations, and businesses – to join together to communicate the importance of biodiversity and to share ways to conserve it.
17	Huaxin on Biodiversity assessment. (IUCN China and Huaxin Cement Co., Ltd. (Huaxin) 2010). This four-month agreement is within the framework of the global cooperation between Holcim Group of Companies (a major shareholder of Huaxin Cement) and IUCN, which is aimed at development robust ecosystem conservation standards for the Holcim Group, contributing to sector-wide improvements. The project objective is to provide Huaxin with data on the plant species and vegetation types at its two sites (Huangshi and Chibi) and preliminary recommendations for management of these resources.
18	Central Yangtze – Partnership for a Living River. (WWF). This WWF programme aims to lay the foundation for a long-term 'Living Yangtze' campaign by providing a new approach to conservation. Work will focus on policy changes, communication and education which address the numerous threats facing the Yangtze, and deal with opposition and barriers to change from both local communities and government. Objectives: 1. Facilitate alternative decision-making based on integration of environmental factors and human development needs. 2. Assist in resolving structural conflicts within government. 3. Restore the links between lake and river. 4. Demonstrate alternative resource-

	management regimes. 5. Build the institutional capacity of government counterpart institutions. 6. Publicize these efforts.
19	Climate Action Project: Tengchong Forest, Yunnan Province. (Conservation International – (CI)). A joint project between the TCN and CI. China recently became the first project to be certified under the comprehensive CCB standards. And the project represents a significant step forward for the Chinese government in the area of climate-change mitigation. The Tengchong project is a small-scale reforestation project just south of the Gaoligongshan Nature Reserve, regarded as a key area for global biodiversity conservation. The project will reforest close to 1,200 acres of degraded land in Tengchong with native tree species. Over 30 years, these trees will remove nearly 160,000 tons of carbon dioxide from the atmosphere.
20	Preserving biodiversity in the Kailash Regio. Himalaya, China, India, Nepal). (International Centre for Integrated Mountain Development (ICIMOD), financed by Germanyt (BMZ). 2012-2015). At the heart of this landscape is Mount Kailash (6,738 metres), a revered spiritual place which attracts many pilgrims. Climate change and overuse pose an increasing threat not only to the biodiversity and ecosystems of the Kailash Landscape but also to the livelihood of the region's predominantly poor population. Kailash Sacred Landscape Initiative. Objective**:** In selected ecosystems of the Kailash Sacred Landscape, the conditions for the transboundary protection of biodiversity have been put in place.
21	Environmental Policy Programme. (Germany (BMZ)). Department of Environment and Resources Conservation of the National Development and Reform Commission (NDRC), Ministry of Environmental Protection (MEP), China Council for International Cooperation on Environment and Development (2007-2011). Objective: National and local key institutions have gained appropriate capacities for developing the necessary environmental policy regulations, and for implementing them. Components: Environmental policy development; Environmental legislation and implementation; International dialogue on environmental policy.
22	Protection of Sustainable Policy Initiatives in the Management of Natural Resources in the Hindu Kush Himalayas. (Germany (BMZ) and ICIMOD. 2008-2012, Also Afghanistan, Bangladesh, Bhutan, India, Myanmar, Nepal, Pakistan). Objective**:** ICIMOD and its partner organisations develop and implement regionally agreed concepts and strategies to facilitate adaptation to climate change and sustainable resource management. The programme strengthens the role of ICIMOD as an organisation and service provider in the region and increases the accountability of the eight member countries. It also helps ICIMOD to vocalise the needs of the Hindu Kush Himalayas region in global negotiations on natural resources and climate change. Results: Improved management of natural resources (ECES); Improved organisation (ICIMOD); Greater relevance in the region; Heightened global relevance.
23	China-US Agreement to combat climate change. (2013 onwards). Dealing with the production and consumption of hydrofluorocarbons (HFCs) to combat climate change. China and the United States are important partners of UNDP in programmes to protect the ozone layer and the climate system. With this new agreement, UNDP looks forward to strengthening and expanding these partnerships.
24	Greening China's Competitiveness: Advancing low-carbon competitiveness in Economic and Technological Zones Phase II. (International Institute for Sustainable Development (IISD)., with the Low Carbon Promotion Center of the Tianjin Economic-Technological Development Area (TEDA). Supported by Switzerland. August 2013 onwards). How low-carbon standards can be used as a policy instrument to accelerate the development of competitive green enterprises in economic and technological development zones administered by the Chinese Ministry of Commerce.
25	Various initiatives. (Conservation International (CI)). In Guangzhou, Beijing and other prosperous large urban centers, CI educates consumers to reduce use of threatened wildlife. In Yunnan, CI supports the world's first small-scale forestry project to meet strict

	Kyoto Protocol requirements. Other projects: Saving the Giant Panda; working with the Reserve at Lashi Lake, saving the tiger.
26	Various initiatives. (UNESCO). Cultural landscape (Luchan National Park, Mount Vutai, West Lanke Cultural landscape of Hangzhou, Cultural landscape of Hinghe Hani Rice Terraces), forest programme (Xinjiang Tianshan).
27	Various initiatives. (FAO) Amongst others: Strengthening Capability of Risk Management of the Animal Husbandry Sector and Promoting Sustainable Development in the Grazing Area of Qinghai Province (2004-2005); China Climate Change Partnership Framework--Component 3.4 Enhanced strategies for climate-proofed and environmentally sound agricultural production (C-PESAP): Agricultural development in selected agro-ecosystems of the Yellow River Basin (MDGF-1654) (2008-2011); Enhance Disaster Preparedness of Agricultural Sector in Juye County (2007-2009).
28	Various initiatives: (UNDP) Amongst other participating in the restoration of wetlands and peatlands in e.g. Sichuan and Gansu Provinces.
29	Various initiatives. (Global Environmental Institute (GEI), Chinese NGO). Various previous and ongoing programmes within: energy and climate change; biodiversity conservation; investment, trade and environment; and capacity building.
30	Various initiatives. (Climate Change Resource Centre (CCRC)).

Appendix 3:
List of persons met and consulted. Team's itinerary.

List of persons met and consulted by the Review Team:

(listed mostly in the sequence of appearance)

Name	Position	Institution
In Norway:		
Mr. Peter Johan Schei	Senior Project Advisor	Freelance, previous Fridtjof Nansen's Institute
Ms. Nina Christine Rør	Dep. Director General	Section for Environment and Development, Min. of Environment
Mr. Gard Lindseth	Senior Advisor	Min. of Environment
Ms. Berit Lein	Director	Dep. for Nature Protection, Environment Agency, Trondheim (former DN)
Ms. Aina Holst	Section Head	Section for International Cooperation, Dep. for Nature Protection, Environment Agency, Trondheim (former DN)
Ms. Linda Dalen	Senior Advisor	Section for Biodiversity and Climate, Dep. of Natural Resources and Climate, Environment Agency, Trondheim (former DN)
Mr. Kjell Tore Hansen	Project Manager	Section for Protected Areas, Dep. for Nature Protection, Environment Agency, Trondheim (former DN)
In China:		
Ms. Kristin Iglum	Counsellor (Development)	Norwegian Embassy in Beijing
Mr. Tor Skudal	Counsellor (Environment)	---"---
Ms. Yinglang Liu	Project Officer (Development)	---"---
Mr. Zhu Liucai	Director of Division IV, Sen. Research Fellow	Foreign Economic Cooperation Office (FECO), Beijing
Mr. Yun Jinqi	Project Coordinator	FECO
Ms. Lv Jinping	Project Assistant	FECO
Mr. Wang Guang	Project Officer	Department of Science, Technology and Standards, Min. of Environmental Protection (MEP)
Mr. Zhang Fengchun	Project Chief Technical Expert	Freelance
Mr. Kang Bingjian	Division Director	Department of International Trade and Economic Affairs, Min. of Commerce (MOFCOM)
Mr. Wei Liang	Secretary	---"---
Mr. Shen Zehao	Professor	Peking University
Mr. Liu Hongyan	Professor	---"---
Mr. Wen Cheng	Ph.D.	---"---
Ms. Liu Ye	Ph.D.	---"---
Ms. XuYue	Assistant	---"---
Mr. Li Junsheng	Deputy Director/Director	Institute of Ecology/Biodiversity Study Centre, Chinese Academy of Environmental Sciences (CRAES)
Mr. Wang Wei	Research Assistance	CRAES
Mr. Zhai Shengqiang	Research Assistance	---"_--
Ms. Lou XueDong	Research Assistance	---"---
Mr. Shao Zhijun	Deputy Director	Sichuan Environment Protection Department (Sichuan EPD)
Ms. Wan Ping	Division Director	Division of Nature and Ecology Conservation, Sichuan EPD
Mr. Mao Shuang	Division Director	Division of Education, Communication and Foreign Cooperation, Sichuan EPD

Mr. Wang Zhong	Deputy Division Director	Division of Policies, Laws and Regulations, Sichuan EPD
Mr. Li Lin	Director	Department of Foreign Economic Cooperation, Sichuan EPD
Mr. He Jianhua	Deputy Director	---"---
Mr. Wang Yukuan	Provincial Project Chief Technical Expert /Professor	Chengdu Institute of Mountain Hazards and Environment, Chinese Academy of Sciences
Mr. Fu Bin	Ph.D	---"---
Ms. Ling Juan	Project Manager	Department of Foreign Economic Cooperation, Sichuan EPD
Mr. Jiang Chengming	Project Assistant	---"---
Ms. Miao Baiyu	Project Assistant	---"---
Mr. Shu Changbin	Secretary General	Sichuan Provincial Agricultural Department
Ms. Zhang Fu	Division Director	Sichuan Provincial Department of Commerce
Mr. Chen Xiaojun	Professor	Policy Research Office of Sichuan Provincial Committee of CPC
Mr. Ma Zhenfeng	Professor	Sichuan Provincial Climate Center
Mr. Lu Yafeng	Ph.D	---"---
Mr. Jiang Xingwen	Ph.D	Institute of Plateau Meteorology, CMA, Chengdu
Ms. Yu Lian	Ph.D	---"---
Mr. Hu Junhua	Ph.D	Chengdu Institute of Biology, Chinese Academy of Sciences
Mr. Liu Shaoying	Vice President	Sichuan Academy of Forestry Sciences
Mr. Wang Meng	Deputy Director	Sichuan Research Academy of Environmental Sciences
Mr. Tao Huosheng	Engineer	---"---
Mr. Lars Grønvald	EU Representative	Delegation of the European Union, Beijing
Ms. Maria Chiara Femiano	Project Officer, Development and Cooperation	---"---
Ms. Huang Xueju	Project Officer, Develpmet and Cooperation	---"---
Ms. Chen Ai	Climate Change Adaptation Project Manager	The Nature Conservancy (TNC), Beijing
Ms. Jin Tong	Conservation Scientist	---"---
Ms. Robert Tansey	Sen. Advisor, External Affairs and Policy, Greater China	---"---

Review itinerary in China

Time	Activities	Participants	Address
	Sept. 8, Sunday		
11:55-13:00	Arrival of the Review Experts of Norway and travel by Embassy car to Zhaolong Hotel (Embassy car 186-003 driver does the pick-up and transportation to the hotel)		
15:00-16:30	Meeting between the Review Experts of Norway with the Chinese Expert		Zhaolong Hotel
	Sept. 9, Monday		
08:00-08:30	Breakfast Meeting	1. The Review Experts of Norway 2. Development Counselor of Norwegian Embassy 3. Environment Counselor of Norwegian Embassy	Zhaolong Hotel
08:30-09:30	Travel by car from Zhaolong Hotel to FECO	The Review Experts of Norway	
09:30-10:50	The Inception Meeting for REVIEW of the Project 1. Introduction of the project progress 2. Experts' discussion	1. The Review Experts of Norway and China 2. Foreign Economic Cooperation Office, MEP (FECO/MEP) 3. Translator	**Room 215, ECO Building, FECO, MEP, Beijing**
10:50-12:00	1. Experts interview 2. Summary	1. The Review Experts of Norway and China 2. Department of Science & Technology, MEP 3. Translator	
12:00-14:30	Travel by car from MEP back to Zhaolong Hotel and lunch break	The Review Experts of Norway	
14:30-15:00	Travel by car from Zhaolong Hotel to MOFCOM	The Review Experts of Norway	
15:00-16:30	Experts interview	1. The Review Experts of Norway and China 2. Department of International Trade and Economic Affairs, MOFCOM 3. FECO/MEP	MOFCOM

16:30-17:00	Travel by car from MOFCOM to Zhaolong Hotel	The Review Experts of Norway	
	Sept. 10, Tuesday		
09:00-10:00	Travel by car from Zhaolong Hotel to Peking University	The Review Experts of Norway	
10:00-12:00	**Meeting with subcontractor** Peking University on Projects' **Output 7**-Sets of indicators for biodiversity and climate change at national level 1. Introduction of the project progress 2. Experts' Discussion	1. The Review Experts of Norway and China 2. FECO/MEP 3. Peking University 4. Translator	Peking University
12:00 – 13:30	Lunch break and travel from Peking University to Chinese Research Academy of Environmental Sciences		
13:30-15:30	**Meeting with subcontractor** Peking University on Projects' **Output 8**-Assessments of biofuel plantation impacts on biodiversity and climate change in China 1. Introduction of the project progress 2. Experts' Discussion	1. The Review Experts of Norway and China 2. FECO/MEP 3. Chinese Research Academy of Environmental Sciences 4. Translator	Chinese Research Academy of Environmental Sciences (CRAES)
15:30-17:00	Travel by car from CRAES to Beijing Capital Airport		
18:00-20:50	Take Flight to Chengdu: CA4104		
21:30	Check in hotel		
	Sept. 11, Wednesday		
09:00-09:40	**Meeting with commissioned practitioner** Department of Foreign Economic Cooperation, Sichuan EPD on Projects' **Output 2,3,4,5,6,10** Introduction of the project overall progress in Sichuan	1. The Review Experts of Norway and China 2. Royal Norwegian Embassy 3. FECO/MEP 4. The Provincial Project Coordination Office 5. **Department of Foreign Economic Cooperation**, Sichuan EPD	Chengdu Wangjiang Hotel
09:40-10:00	Introduction of the project technical progress in Sichuan		

10:00-12:00	Experts' Discussion		
14:00-17:30	**Meeting with each subcontractor on Output 2-6** *(In separate meetings with each research institute, about 30' each)* 1. Introduction of the project progress 2. Experts' Discussion	1. The Review Experts of Norway and China 2. Institute of Plateau Meteorology, CMA, Chengdu 3. Chinese Academy of Sciences, Chengdu Institute of Mountain 4. Sichuan Academy of Forestry Sciences 5. Chinese Academy of Sciences, Chengdu institute of biology 6. Sichuan Research Academy of Environmental Sciences 7. Translator	
Sept. 12, Thursday			
08:00-10:00	Travel by car from Chengdu to Longchihongkou National Natural Reserve	1. The Review Experts of Norway and China 2. Royal Norwegian Embassy 3. FECO/MEP 4. Department of Foreign Economic Cooperation, Sichuan EPD 5. Translator	
10:00-19:00	Field survey: investigation of typical alpine ecosystem, learn the change of the climate perpendicular band spectrum and wildlife affected by climate change **(This programme cancelled and significantly changed!)**	1. The Review Experts of Norway and China 2. Royal Norwegian Embassy 3. FECO/MEP 4. Department of Foreign Economic Cooperation, Sichuan EPD 5. Translator	Longchihongkou National Natural Reserve
19:00-20:00	Check in hotel and dinner		

		Sept. 13, Friday		
9:00 -12:30	Field survey resumes (**Programme changed**)			
13:30 – 15:30	Travelling back to Chengdu after lunch	1. The Review Experts of Norway and China 2. Royal Norwegian Embassy 3. FECO/MEP 4. Department of Foreign Economic Cooperation, Sichuan EPD 5. Translator		Sichuan
16:00-18:30	Check in hotel			
		Sept. 15, Sunday		
14:00-16:30	The Norwegian experts take flight CA4103 from Chengdu to Beijing			
16:30-17:10	Embassy car 186-003 driver does the pick-up at the airport and transportation to the Zhaolong Hotel			
		Sept. 16, Monday		
8: 15-09:00	Norwegian experts to travel by car from Zhaolong Hotel to MEP			
9:00-10:30	Experts interview	1. Department of International Cooperation, MEP, **Cancelled**!	**The REVIEW Experts of** Norway and China FECO/MEP Translator	**207 Meeting** Room in MEP, Beijing
10:30-12:00		2. Department of Nature and Ecology Conservation, MEP **Cancelled**!		
12:00-13:30	Lunch and travel by car from MEP to TNC office			
13:30 -15:00	The Review Team to meet with TNC			

15:00 – 15:30	Travel by car from TNC Office to EU Office	
15:30 – 17:00	The Review Team to meet with EU	
17:00-17:15	The Review Team to travel by car from EU Office back to Zhaolong Hotel	
Sept. 17, Tuesday		
9:00-15:00	Internal teamwork	Norwegian Embassy in Beijing
15:00-16:30	Debriefing by the Review Team	Norwegian Embassy in Beijing
Sept. 18, Wednesday		
	Departure of the Norwegian Review experts	

Please note:

1. The rented car's plate number is **NM4X22**.
2. Yinglang LIU's mobile number is 18612861726.

Appendix 4:
The Terms of Reference for the Review

TERMS OF REFERENCE FOR REVIEW
OF THE PROJECT

BIODIVERSITY AND CLIMATE CHANGE
PTA Programme/project CHN-2148 09/057

BACKGROUND FOR THE REVIEW

According to the agreement (Article X) of the project *Biodiversity and Climate Change, the Parties may agree to carry out a review, an inspection and/or an evaluation of the Project*.

Since no mid-term review has been carried out in this project, a review is envisaged by the Embassy to get an overview of the experiences of first phase and give more inputs to the potential second phase. A four-page concept proposal of the project's second phase was presented to the Embassy in January of 2013. Based on the discussions between the Embassy and FECO (the main project implementing partner), the review is suggested to take place in the fall of 2013. The review will focus on the experiences gained in the project area in the Sichuan province where the first phase of the project has taken place.

DESCRIPTION OF THE PROJECT TO BE REVIEWED

Goal

The Development Goal of the Project is: Biodiversity better conserved and managed and climate change better mitigated and its negative effects reduced for improved disaster prevention, human well-being and sustainable socio-economic development.

Purpose

The Purpose of the Project is: Improved knowledge, awareness and capacity for a replicable model as an approach and basis for decisions for addressing mutually beneficial impacts for biodiversity and climate change.

Outputs as Revised in the Inception Report (the revised Project Document)

- *Output 1. Report on Inception Phase*
- *Output 2. Climate change scenarios in Sichuan Province*
- *Output 3. Report on the existing biodiversity and ecological infrastructure, including the Protected Areas, and the effects of climate changes*
- *Output 4. Report on important areas for climate change mitigation, particularly carbon storage and sequestration in Sichuan Province*
- *Output 5. Report on adaptation, disaster prevention and reduction of negative impacts of climate change in Sichuan Province*
- *Output 6. Data management system for biodiversity and climate change in Sichuan Province*
- *Output 7. Sets of indicators for biodiversity and climate change at national level*
- *Output 8. Assessments of biofuel impacts on biodiversity and climate change in China*
- *Output 9. Training, education and communication*

Final Report: Strategy and Action Plan for the Biodiversity and Climate Change in Sichuan Province

The Norwegian grant for this project is NOK 19.43 mill. The Chinese side provides a financial contribution of RMB 4 000 000 and an in-kind contribution of RMB 10 000 000 to the Project from the Chinese side.

The time-frame for the project in the signed agreement is Dec. 2010 – Dec. 2013. The finalizing workshop can be held in 2014, pending further discussions between the Embassy and FECO in the spring of 2013. The other main activities of the project will be finalized by the end of 2013.

MOFCOM has the overall responsibility for the Project and MEP supervises the implementation of the Project. The main project implementing partners consist of the Norwegian Directorate for Nature Management (DN) and The Ministry of Environmental Protection (MEP)'s Foreign Economic Cooperation Office (FECO).

PURPOSE OF THE REVIEW

The purpose of the review is to assess the extent, to which the goal and purpose are being achieved, if the progress has been made in accordance with the work plan and budget, as well as document the experience gained and lessons learned in the project implementation. Based on this the review shall provide recommendations on what can be continued, focused, strengthened or changed in a possible second phase of the project. Results should also be reviewed as far as possible depending on documentation relevant for the indicators in the result framework.

SCOPE OF WORK

The timeframe for the review will be limited to three weeks (four to five weeks for the team leader). Fieldwork and interviews will take approximately six days. The following questions will be indicative for the work of the review team:

- This project explores a new area in the environmental field in China, the interface between biological diversity and climate change. The review shall focus on assessing the experiences gained in the project that is implemented at the provincial level.
- Since the review will take place in the finalizing stage of the project, it shall assess if the reports, data and indicators from Outputs 2-7 have been produced according to the work plan and if they can provide a sound basis for preparing the Strategy and Action Plan for the Biodiversity and Climate Change in Sichuan Province.
- The main product from this project is the Strategy and Action Plan for the Biodiversity and Climate Change in Sichuan Province. The review can look into that if the preparatory/formulation process has taken into consideration other relevant strategies and plans at the provincial level, and if measures have been taken to ensure the strategy and action plan's implementability in Sichuan and replicability in other provinces.
- For Output 8, assessment on the biofuel's impact on biodiversity and climate change, has this output been integrated in the project implementation or treated as a separate element? Have the right institutions been involved?
- The review shall assess the communication and collaboration between the pilot province and the central level in the project implementation. This has been listed as a risk/an uncertainty in the Decision Document of the Embassy.
- Have the project participants found any changes in their own and their colleagues' awareness or views of interlink between biodiversity and climate change through the project activities?
- Has the Norwegian expertise, which is being shared through the project activities, been found relevant and useful for the project? Are the Norwegian expertise and experience considered useful scientific references for analysing the Chinese situation?
- To what extent is the project addressing current needs (i.e. relevance of project) in China regarding biodiversity and climate change inter-linkages and what are the expected gaps/future needs at the end of the project?
- The review shall also check the financial status of the project and some cross-cutting issues like gender and anti-corruption.
- The review should be able to map needs/priorities/potential for a new phase, if there is a new phase in plan for continuation.

APPROACH, TIMING AND PLANNED RESULTS OF THE PROJECT REVIEW

The review will take place in the fall of 2013. Interviews with relevant stakeholders at central and local level, field visit to the project sites, and archive material will form the basis for the review. The draft report will be sent out by 26 September 2013, the commenting period can be through 11 October 2013,

and the final report will be finalized by 15 October 2013. The report shall not exceed 20 pages (excluding annexes).

REVIEW TEAM COMPOSITION AND LEADERSHIP
Astri Toril Bente Herstad, NORAD, Team Leader
Tore Laugerud, Technical Expert from NCG
Li Dianmo, Chinese Expert from CAS

NORAD will take on the responsibility as team leader, and prepare the draft and final report in consultation with the other team members.

The Embassy, DN, China's Ministry of Commerce (MOFCOM), MEP and FECO, can be invited to provide comments to the draft ToR and participate as observers in the review.

Review schedule
April-May 2013: TOR finalization, Team establishment and preparation
August/September: Interviews in Norway and in China (including field visits).
26 September 2013: Draft report is to be finalized and circulated to Embassy, MOFCOM, and MEP for further distribution among partners
11 October 2013: Deadline for sending in comments to the draft report
15 October 2013: Finalization of final report

Review methodology
The end review will base itself on interviews with relevant partners in Norway and in China, and stakeholders taking part in the project, as well as existing written documentation. Interviews and documentation will form the basis for the review report.

Expected results from the review
- A debriefing at the Norwegian Embassy when fieldwork in China is completed
- A draft report
- A final report that shall be kept within the limit of 20 pages (excluding annexes).

ANNEX I. REVIEW REPORT

The review report should contain the following information:

LIST OF ACRONYMS AND ABBREVIATIONS
ABSTRACT
1. INTRODUCTION
2. PROJECT DESCRIPTION
3. PROJECT STATUS ASSESSMENT
   (Focus on progress on outputs, and efficiency,effectiveness)
4. FUTURE PERSPECTIVES
   (Assessment of potential impact, relevance, sustainability, focus for a possible second phase)
5. LESSONS LEARNT
6. CONCLUSIONS AND RECOMMENDATIONS

ANNEXES
ANNEX II: Terms of Reference
ANNEX III: List of people met

Appendix 5:
Glossary of Terminology

GLOSSARY OF TERMINOLOGY

Ecological construction (eco-construction)	:	In Chinese terms this means man-made planning, building of physical infrastructure and other interventions that are intended to protect nature, natural habitats and landscapes, and enhance its value to human beings and for improved sustainable ecosystem services. Such infrastructure could include ie.: establishment of natural reserve areas/protected areas (natural forest protection project, natural reserve project, wetland protection project); returning farmland to forest (grassland) projects; post-disaster ecological restoration projects; desertification control projects, stony desertification control projects, returning grazing land to grassland projects; poat-disaster restoration projects; establishment of corridors and buffer zones/barriers; erosion- and landslide-prevention structures to protect nature; etc. (This is different from the well-accepted international terms "ecological construction", being a process, which objective is to assure, from planning to its actual use, minimal environmental impact to the environment. It is focused on the use of local and renewable materials (such as stone, wood and soil). For example new environmentally friendly buildings assure low energy consumption, and favorites the use of natural elements and energy.) (Related term: ecological engineering, ecological infrastructure)
Logframe	:	Management tool used to improve the planning and design of interventions, most often at the project level, also in literature referred to as LFA – Logical Framework Approach. It involves identifying strategic elements (inputs, activities, outputs (expected results), specific objective (project goal/ purpose/outcome) and overall objective (development goal)) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention. (Related terms to logframe is Results-Based Management (RBM) and Result Chain)
Development Goal	:	In a logframe context, the development goal (also referred to as "impact", only "the goal", "development objective" or "overall objective") of any project is defined to be the long-term objective to which the project will *significantly* contribute. The achievement of the goal will, however, also depend on other factors and projects beyond this particular project. Formulation of the goal should ideally be clearly defined and used as a main point of reference by all involved parties during project implementation. This means that a *narrow, specific* goal normally should be formulated (close to the purpose), which also increases the probability of "success" when evaluating the project achievements against the goal later on. The goal must represent a *sufficient justification* for the Project, should be formulated as a desired state (not as an activity), it must not be too ambitious, it should preferably mention the target groups, and should ideally be expressed in verifiable terms
Project Goal	:	Most commonly referred to as "outcome" or "purpose" (older LFA term). According to the logframe methodology, the outcome should be the state (or situation/short-term effect) that is expected to prevail as a direct consequence of the project, also meaning the *intended impact* of the project. The achievement of the outcome will materialise after the outputs of the Project have been delivered, is clearly *outside* the project and *cannot* be guaranteed by the project management. However, when the outputs (results) are delivered as planned, there is a high probability that the outcome will prevail. Any project should ideally have *only one* outcome, which ideally should specify the target groups, should be formulated as a desired state (not as an activity), should be precise and verifiable, and should be realistic. The outcome should be as "close" as possible to the guaranteed outputs.
Outputs	:	Outputs are the direct deliverables (results, being products, capital goods

		and services) of the Project. The results are following from the successful implementation of the *activities,* and these are fully *within* the responsibility and control the project management
Project Indicators	:	In a Result Chain/LFA modality the indicators define the performance standard to be reached in order to achieve the objectives or outputs. By verifying change (from a defined baseline state), indicators will demonstrate progress when things are on track and provide early signals when things are heading in the wrong direction. Indicators may be qualitative or quantitative. Indicators should be SMART (Specific, Measurable, Achievable, Relevant and Time-bound).
Project Risks	:	In a Result Chain/LFA modality, risks are events and conditions that may occur, and whose occurrence, if it does take place, has a harmful or negative effect on the Project. It normally pertains to possible impacts on the Project from actions/happenings *outside* the control of the Project Management, being "external risks" (in previous LFA modality these were the "real" risks). There might also be "internal risks" *within* the Project itself, but these should merely be looked upon as "managerial challenges" that a competent management will be able to tackle
Effectiveness	:	The effectiveness largely describes the project progress, as compared to the work plans and budgets, and the extent to which the results (outputs) and objectives have been achieved so far, or are expected to be achieved.
Efficiency	:	Efficiency is a measure of productivity, meaning comparing inputs against outputs. A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results/outputs.
Impacts	:	Impact is a measure of all positive and negative consequences/effects/ results of the Project, whether planned for and expected, foreseen or not foreseen, direct or indirect. Such effects could be economic, political, social, technical or environmental, both on local and national level, primary and secondary. (Related term is "outcome", but this is normally used directly related to the *planned* effect of the project outputs).
Relevance	:	The extent to which the objectives (goals) of a development intervention are consistent with beneficiaries' requirements, country and provincial needs, global priorities, and partners' and donors' policies. Note: Retrospectively, in e.g. reviews and evaluations, the question of relevance often becomes a question of whether the original rational behind the Project and the objectives still are in keeping with the priorities and requirements of the national and local policy, priorities and needs, and the usefulness of the Project in this respect. as to whether the objectives of an intervention or its design are still appropriate given changed circumstances and framework conditions.
Indicator	:	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. Indicators should preferably be measured in quantitative terms, but also qualitative indicators are used.
Institutional development impact	:	The extent to which an intervention improves or weakens the ability of an institution/organisation, community, sector, country or region to make more efficient, equitable, and sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements; (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements; and/or (c) better alignment and cooperation with partners and external stakeholders. Such impacts can include intended and unintended effects of an action.
Lessons	:	Generalizations based on evaluation experiences with projects, programs,

learned		or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome and impact.
Results	:	The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention at various levels and points in time. (Related terms are: outcome, effect, impacts (the Result Chain refers)).
Sustainability	:	Sustainability is a measure of whether the positive effects (or assumed measurable effects) of the Project is likely to continue *after* the external support and funding is concluded, meaning: will the Project process lead to long-term benefits and can they be sustained? The sustainability of a project is a measure of how the partner country will continue to pursue the objectives following termination of the project assistance, and the *probability* of continued long-term benefits.

Appendix 6:
Comments to the Draft Report

Comments from FECO

The project evaluation process is completed so smoothly, and our team also sincerely thank you for your thoughtful arrangements and support.
So far, after reviewing the draft review report, we have no objection opinion to it and agree it. Also there are many thanks for the review team's responsible hard working.

Comments from the Norwegian Embassy, Beijing

(Partly in Norwegian)

FECO, og kanskje formelt ha informert ambassaden om denne manglende oppfølgingen fra FECOs side, slik at vi kunne ha fulgt opp overfor MEP, men ansvaret må vel til syvende og sist ligge hos FECO?Vi har ikke oppdaget noen faktiske feil eller misforståelser, bortsett fra en liten en på s20 hvor dere skriver «When the review team started its fieldwork in China in september **2012**». Her skal det vel være **2013**.

Noen bemerkninger utover det rent faktiske/misforståelser:
- I overall conclusions skriver dere at "the management on the Chinese side is largely satisfactory, but weak on the Norwegian side." Tidligere i dokumentet skriver dere at:

The fact that Norwegian experts have not had the opportunity to read the draft reports before the joint technical workshops is considered **the most serious shortcoming** in the Project, and this has surely reduced the scientific benefits from the cooperation efforts

Er ikke ovennevnte først og fremst FECO sitt ansvar? Er det i så fall en motsetning mellom konklusjonen i kapittel 6 og denne observasjonen. Mao. bør det komme klarere frem at FECO ikke har gjort en god nok jobb for å sørge for at DN et.al. fikk mulighet til å utføre sin ekspertrolle i prosjektet? DN burde kanskje i sterkere grad har stilt krav overfor

- Dette med business class billetter er noe vi har forsøkt å sjekke opp uten å finne ut hva som er gjeldene regler. Er dette noe Norad kan bistå oss med?

- The review report's assessment of that DN's interaction with the Chinese subcontractors for certain outputs like Output 4 can be put in the big picture of the project communications and interaction among/between the Chinese subcontractors and FECO. DN's main contact point is FECO and Chinese CTE, therefore, it is natural that the communications and interaction take place the most between them. Certainly there would be more interactions if the reports are available in English in time before the workshops. Anyway, the reports' singling out the poor interaction between DN and Chinese subcontractors looks not so logical by not taking the project organization structure into view.

The overall communications among the output subcontractors and that between them and FECO shall be mentioned or analyzed a bit more since there lacked linkages between the main outputs, according to the report.

- The efficiency of the set-up of the Advisory Group and Task force for the final report shall also be analyzed, as some people are in both groups. Does it mean that they are double-paid by the project?

- Suggestions on more efficient project management are needed for such a project with so many subcontractors, diverse working set-ups (technical working group, advisory group, task force, etc.) and different levels of project implementation, e.g. provincial and central. In the new phase, we might expect another level, county level for the pilot implementation. So suggestions are needed on this aspect. Shall we adopt the same project management and implementation structure in the new phase?

- As the EU-China Biodiversity Program has been used as one supporting element for applying for this Sino-Norwegian BD&CC project, and the review team has met with the EU China office, the analyses of the synergies between the two projects and any compounding effect out of them are not there in this report.

Comments from the Norwegian Environment Agency (former DN)

(In Norwegian)

Her er Miljødirektoratets kommentarer til forslag til rapport av 26. september 2013 fra Norads review team vedrørende samarbeidsprosjektet Biodiversity and Climate Change med Kina.

Innledning

Miljødirektoratet takker for rapporten og for teamets innsats til å klarlegge flest mulige forhold av betydning for gjennomføringen og sluttføringen av prosjektet. I Miljødirektoratet har en rekke personer lagt ned en betydelig innsats i prosjektet og vi er selvsagt svært interessert i å få klarlagt alle elementer og forhold som har hatt negativ eller positiv betydning for gjennomføringen og for resultatene. Vi har lest rapporten med interesse og vurdert de forhold som er omtalt opp mot de forutsetninger for prosjektet vi mener er formulert i søknaden og senere videreutviklet i samtaler med ambassaden og med FECO og andre samarbeidspartnere på kinesisk side. På dette grunnlaget registrerer vi at det er en rekke kommentarer fra teamets side som etter Miljødirektoratets oppfatning må skyldes feil i bakgrunnsinformasjonen eller misforståelser under arbeidet med rapporten. Disse forholdene blir kommentert nedenfor.

Ellers finner vi det bemerkelsesverdig at teamet ved en rekke anledninger i rapporten har vært opptatt av alder for deltagerne i prosjektarbeidet og særlig «de gamle» på norsk side, bla er ordet «elderly» benyttet om den mest framstående internasjonale norske ekspert med erfaring på forvaltningsrettet miljøarbeid innen det saksområde prosjektet omfatter. Omtalen står i klar motsetning til teamets møte med involverte på kinesisk side hvor det heter; « Most of the experts met on the Chinese side were young and aspiring professionals». Nå er vel erfaring på et så viktig og komplisert saksområde som dette prosjektet omfatter, etter Miljødirektoratets syn ikke noen ulempe å ta med seg inn i diskusjonene med kinesisk side noe som også ble tydelig i de mange møter som ble holdt med kinesiske samarbeidspartnere. Når det gjelder kontinuiteten og oppbyggingen av kunnskap vil vi kommentere dette senere.

Prosjektet er et samarbeidsprosjekt mellom Norge og Kina med tidligere Direktoratet for naturforvaltning, nå slått sammen med Klima og forurensningsdirektoratet til et felles Miljødirektorat, og Foreign Economic Cooperation Office (FECO) som implementerende institusjoner. En samarbeidskontrakt mellom de implementerende institusjonene ble undertegnet 17. mars 2011. Dette representerer tidspunktet for oppstarten av prosjektet. Prosjektet har 3-års varighet og avsluttes med en endelig rapportering våren 2014. Prosjektet har en økonomisk ramme på ca. NOK 34 mill. hvorav det kontante norske bidraget er NOK 19.4 mill. Resten utgjøres av kontante bidrag og beregnet ressursbruk som i sin helhet utredes av og benyttes på kinesisk side. Av det norske bidraget benyttes 65,3 % (NOK 12,8 mill.) av kinesiske prosjektpartnere og 34,7% (NOK 6,6 mill.) av de norske prosjektpartnerne. I sum betyr dette at ca NOK 27 mill. av totalbudsjettet er benyttet på kinesisk side og NOK 6.6 på norsk side. Av budsjettfordelingen går det klart fram at hovedparten av aktivitetene og bruken av fagkompetanse i utgangspunktet er forutsatt å bli gjennomført på kinesisk side.

Nasjonalt og internasjonalt, og både innen forskning og forvaltning, er det stor aktivitet innen områdene biodiversitet og klima hver for seg. Innsatsen for å øke forståelsen for sammenhengen mellom disse to områdene og mulige tiltak som kan gjennomføres for å bedre tilpasningen, har imidlertid vært begrenset av ulike årsaker. Det har vært gjennomført få undersøkelser og dermed begrenset kunnskap og erfaring i dette arbeidet. Men noe har vært gjort på biodiversitet og klima både i Norge og internasjonalt, men samlet sett må dette arbeidet karakteriseres å være i en tidlig fase. Dels har imidlertid norske forvaltningsmyndigheter vært i

forkant på dette feltet og initiert aktiviteter på biodiversitet og klima og dels er kunnskap fanget opp i forvaltning og i institusjoner gjennom kontakter med internasjonale nettverk. Denne kunnskapen som er bygget opp i Miljødirektoratet og i norsk miljøforvaltning og andre norske institusjoner har vært registrert på kinesisk side og har dannet grunnlaget for et ønske om nærmere samarbeid fra kinesisk side innen biodiversitet og klima. I denne situasjonen er det svært viktig å være oppmerksom på at vedkommende ekspert som ble engasjert som hovedrådgiver for direktoratet i prosjektsamarbeidet, faktisk ble ønsket av MEP og FECO som deltager i samarbeidet. Ikke minst skyldes dette ekspertens bakgrunn som deltager i et tidligere flerårig prosjektsamarbeid mellom direktoratet og FECO på relevante fagfelter, annet prosjektsamarbeid med kinesiske miljøvernmyndigheter og ekspertens tidligere deltagelse i prestisjeforumet China Council.

Ved siden av mulighetene på kinesisk side til å få ta del i norsk kompetanse på biodiversitet og klima, er det også viktig å nevne at en økt internasjonal fokusering på biodiversitet og klima gjennom bla vedtak i internasjonale miljøkonvensjoner, ligger i bunnen av dette prosjektet. Norge og representanter fra Miljødirektoratet har fra etableringen av Konvensjonen for biologisk mangfold vært aktive og synlige i partsmøter for konvensjonen og i andre internasjonale møter og det er også bidratt betydelig internasjonalt fra norsk side gjennom etableringen av Trondheimskonferansene for biologisk mangfold. Dette har vært registrert av land med megabiodiversitet. Det er også etter hvert både fra norsk og disse landenes side etablert et faglig og politisk ønske om å etablere særskilte miljøavtaler, slik det i dag er etablert med Kina, Brasil og Sør-Afrika. En satsing på prosjektsamarbeid innen biodiversitet og klima synes derfor tidsmessig riktig både faglig og strategisk.

Det er viktig for forståelsen av samarbeidet å være klar over den ulike rollen og forskjell i status for de implementerende institusjonene FECO og Miljødirektoratet. FECO er en ren prosjektorganisasjon som tar seg av internasjonalt prosjektsamarbeid for det kinesiske miljøverndepartementet¨. FECO er derfor administrativt tilknyttet det kinesiske miljøverndepartementet (MEP), men er ikke en del av departementet. Som prosjektorganisasjon er FECO fleksible, men de har ingen nasjonale eller internasjonale forvaltningsoppgaver eller ansvar i tilknytning til internasjonale miljøkonvensjoner utover prosjektsamarbeidet. Miljødirektoratet er imidlertid en forvaltningsorganisasjon med nasjonale oppgaver og bredt ansvar knyttet til biodiversitet og miljøoppgaver mer generelt og med internasjonale oppgaver og ansvar for miljøkonvensjoner i tillegg. Hovedfokus for Miljødirektoratet er derfor faglige resultater som kan bedre forvaltningen og sikre miljøverdiene både på kort og lang sikt.

I diskusjonene med FECO har vi forstått at det er de faglige forvaltningsmessige aspektene og Miljødirektoratets brede erfaring fra nasjonal forvaltning og internasjonalt arbeid som har vært særlig interessante sett fra kinesisk side som bidrag inn i det eksisterende prosjektet. Denne ulike organiseringen synes også å ha personalmessige konsekvenser ettersom Miljødirektoratet erfarer stor stabilitet i organisasjonen, mens det er Miljødirektoratets erfaring med FECO at det skjer hyppige skifter i personale tilknyttet prosjektarbeidet. Vi må vel også i en slik sammenheng se episoden hvor FECOs seniorforsker og bærende faglige kraft på prosjektet var i ferd med å bli tatt ut av prosjektet i en kritisk periode på grunn av mangel på midler og hvor Miljødirektoratet ga klare råd om å bruk av ekstramidler for å sikre den faglige kompetansen i FECO. Det er også greit å være oppmerksom på de mulige begrensninger som ligger i prosjektaktivitet i Kina ved at FECOs instruksjonsmyndighet overfor institusjoner på miljøsiden i provinsene er svært begrenset.

Kommentarer til forhold omtalt i rapporten

1. **Utveksling og dialog mellom forskere.** I samsvar med beskrivelsene av de implementerende institusjonene gitt ovenfor og de mål som er satt for samarbeidet, representerer det aktuelle prosjektet et forvaltningsmessig samarbeid. Forutsetningen for prosjektet var å basere seg på eksiterende materiale og prosjektet var aldri ment å være et samarbeid som inkluderte en utveksling av og direkte dialog mellom forskere slik det synes å framgå av reviewteamets rapport. Miljødirektoratet registrerte imidlertid ved flere anledninger i

prosjektperioden generelle forespørsler fra kinesiske forskere om kontakt med norske forskere. Fra norsk side ble det gitt positiv tilbakemelding på slike forespørsler, men at slike forespørsler måtte konkretiseres og at kostnadene eventuelt måtte belastes prosjektet. Direktoratet har innen rammen av prosjektet ikke mottatt konkrete forespørsler om forskerutveksling eller etablering av forskerdialog fra kinesisk side.

2. **Forvaltningsrettet prosjekt.** Prosjektet er sterkt relatert til forvaltning og tiltak og det er derfor naturlig at rådgivningen fra direktoratets side i prosjektet er konsentrert til forvaltning og forvaltningsmessige tiltak innen biodiversitet og klima. Forvaltning er direktoratets hovedprofesjon og vi går ut fra at valg av direktoratet som samarbeidspartner i prosjektet nettopp er knyttet til Miljødirektoratets brede nasjonale og internasjonale erfaring og forvaltningskompetanse inklusive tiltak innen det aktuelle feltet. Gjennom tidligere prosjektsamarbeid med FECO har direktoratet også vist at vi er innstilt på å benytte bredden i direktoratets kompetanse i samarbeidet. Denne linjen er fulgt opp også innen rammen av dette samarbeidet.

3. **Project Management Group i Miljødirektoratet**. En slik gruppe er ikke formalisert i Miljødirektoratet og den er heller ikke begrenset til to personer slik det er angitt av review-teamet. Den interne samordningsfunksjonen i direktoratet er likevel ivaretatt på en måte som har gitt tilfredsstillende oppfølging og tilbakemeldinger til kinesisk side. Ikke minst på grunn av lederforankringen av prosjektet har prosjektleder hatt fullmakt til å involvere ressurspersoner fra både egen seksjon og andre seksjoner og avdelinger innen direktoratet for å drøfte aktuelle problemstillinger. I den praktiske gjennomføringen er dette fulgt opp nærmest rutinemessig av prosjektleder i forhold til ulike personer med erfaring bla fra tidligere prosjektarbeid i Kina. Disse er ved behov også kalt inn til uformelle møter. Dette har gitt prosjektet en solid og sterk faglig forankring i egen organisasjon med bred kunnskap omkring sentrale problemstillinger i prosjektet.

4. **Profesjonelt bidrag fra Miljødirektoratet.** Etter direktoratets oppfatning har det profesjonelle bidraget fra direktoratet i dette prosjektet har vært høyt. Dette begrunnes ut fra direktoratets bruk av; a) Miljødirektoratets egen ledelse og eksperter med bred erfaring fra internasjonalt prosjektarbeid inklusive Kina, b) Engasjement i prosjektperioden av en frittstående norsk internasjonal kapasitet med erfaring direkte på de områdene prosjektet omfatter og med særlig erfaring fra prosjektsamarbeid med Kina og c) Bruk av eksperter fra andre norske institusjoner i de tilfeller hvor egen og annen innleid kompetanse ikke har vært vurdert som tilstrekkelig for å sikre god faglig tilbakemelding på de problemstillinger som skulle diskuteres. Slik engasjement av ekstra kompetanse har skjedd etter behov og da spesielt i forbindelse med deltagelse i seminarer og workshops. Som forvaltningsorgan er det vanlig praksis at Miljødirektoratet benytter ekstern kompetanse til å løse oppgaver på felter Miljødirektoratet vurderer ikke å ha tilstrekkelig egen kompetanse eller kapasitet tilgjengelig. For teamet å karakterisere dette som at Miljødirektoratet opererer som et «manpower company» er vel etter vår oppfatning å være en klar feilvurdering, særlig også når vi viser til pkt. 5 og 6 nedenfor

5. **Prosjektleder.** Det er også greit å klargjøre overfor review-teamet at Miljødirektoratets prosjektleder på biodiversitet og klimaprosjektet har bred kompetanse innen naturforvaltning med særlig kompetanse innen arktisk biodiversitet og klima. Selv om prosjektleder i utgangspunktet ikke har erfaring og kompetanse spesielt rettet mot Kina, vurderer Miljødirektoratet likevel vedkommende som en faglig kompetent person til å ta ansvar for og koordinere prosjektet på norsk side. Det må bero på en misforståelse når review-teamet formulerer seg på annen måte om kompetansen til prosjektleder.

6. **Engasjement og opplæring av kompetanse i Miljødirektoratet.** Teamet har i rapporten etterlyst bredden og en mer ungdommelig medvirkning i direktoratets engasjement i prosjektet. Direktoratet er i denne sammenheng særlig fornøyd med å kunne rapportere at en rekke personer har vært involvert i prosjektet fra direktoratets side. Noen med bred erfaring fra

tidligere prosjekter i Kina og andre med kompetanse på de aktuelle fagfeltene biodiversitet og klima. Prosjektleder har rutinemessig og ved behov innkalt til møter eller kontaktet relevante ressurspersoner internt for innkalling til uformelle forberedelses- og oppfølgingsmøter i direktoratet om prosjektet. Dette har sikret den faglige kontinuiteten i kinasamarbeidet internt og gitt grunnlag for en bred involvering av personer og kontinuerlig oppgradering av generell kunnskap i direktoratet om Kina og de faglige problemstillinger knyttet til biodiversitet og klima. Mye av denne tidsbruken på interne møter har imidlertid blitt ført som «in-kind» bidrag fra DNs side og dermed ikke blitt tatt inn i regnskapsoversiktene for prosjektet. I prosjektperioden har også enkelte involverte medarbeidere hatt lengre fravær som følge av graviditet og fødselspermisjon uten at det har gitt problemer for gjennomføringen.

7. Internasjonal seksjon. Det er formulert en kommentar vedrørende seksjonens ansvar og oppfølging av prosjektet. Dette er en intern sak av begrenset betydning, men situasjonen i dag er at seksjonen er tillagt ansvaret for koordineringsansvaret for Kina-prosjektet ut fra sitt generelle koordineringsansvar, men at prosjektleder er hentet fra en annen seksjon, men samme avdeling.

8. **Sektorenes og NGOenes medvirkning.** Det var bred enighet i prosjektet om at det var nødvendig å få med de viktige sektorene i samarbeidet, noe som også lyktes. NGOene som TNC og WCS var med i forberedelsene, men i samråd med ambassaden ble det besluttet å ikke ta med de NGOene som ikke hadde tilstrekkelig faglig forankring eller arbeidet mindre forvaltningsmessig relevant.

9. **Output/outcome.** Etter samråd med FECO ble det gjort klart at prosjektet kan besvare prosjektresultater til og med output. Prosjektet har imidlertid ikke kontroll og styring på faktorene i forhold til outcome som representerer ønskede endringer i forvaltningen, og kan derfor ikke være ansvarlig for dette. Det var også forutsatt at outcome skulle følges opp fra kinesisk side.

10. Risikovurderinger. Risikovurderinger i forbindelse med prosjektet var gjenstand for meningsutveksling på hvert møte bla også i forbindelse med Nobelprisutdelingen i 2010.

11. Deling av miljøinformasjon. Det har aldri vært direktoratets forståelse at Miljødirektoratet skulle lage en databaseløsning i forbindelse med prosjektet. Betydningen av at miljøinformasjon blir delt mellom institusjoner og sektorer har imidlertid gjentatte ganger blitt framhevet og påpekt av direktoratet.

12. Biofuel. Biofuel var i utgangspunktet ikke med i prosjektforslaget, men ble tatt inn på grunnlag av et kinesisk initiativ. Etter Miljødirektoratets syn var ikke dette et tema som passet inn i prosjektet, men burde vært gjennomført som et separat prosjekt.

Ved beskrivelsene av engasjementet på norsk og kinesisk side er det viktig å være klar over ressursfordelingen mellom Norge og Kina. Ressursmessig er Norge tildelt 6/34 og Kina 28/34 noe som gjør at Kina har helt andre rammer å vurdere sitt engasjement ut fra sammenlignet med Norge. Faktisk er det enda større forskjell i aktivitet regnet i persontimer ut fra høyere norsk kostnadsnivå og at det fra norsk side har vært nødvendig å benytte en større del av budsjettet til å dekke reisekostnader. Rammen som er allokert på norsk side har derfor gitt lite rom for den omfattende dialogen mellom forskningsinstitusjoner fra de to landene som teamet synes å ha ønsket seg, men som kineserne ikke har ønsket seg på tross av påminnelser fra norsk side.

En annen sak som åpenbart teamet må ha oversett er at dette har vært et prosjekt hovedsakelig knyttet til forvaltning og tiltak og hvor det i utgangspunktet bare i mindre grad var lagt opp til en forskningsmessig medvirkning fra norsk side.

Når det gjelder direktoratets forankring av prosjektet i organisasjonen gjennom deltagelse av en avdelingsdirektør i møter, seminarer, interne prosjektmøter og ledelsesmøtene, er det vår

oppfatning at det har vært viktig for oppstarten og gitt prosjektet et avgjørende grunnlag for det videre arbeid. Ledelsens engasjement og arbeid for prosjektet både administrativt og faglig har etter direktoratets oppfatning mer enn veid opp for eventuelle andre forhold som eksempelvis mulige økte kostnader. Ledelsens engasjement har i tillegg medført at prosjektleder har kunnet trekke på bred kompetanse og personalressurser. Diskusjon og møter med andre internt i prosjektsammenheng har således blitt gjennomført bredt og i nødvendig utstrekning og inkluderer også leder av internasjonal seksjon. Beskrivelsen av det aktuelle engasjementet internt i Miljødirektoratet i rapporten av gjennomgangsteamet står derfor i klar kontrast til det som reelt er gjennomført når det gjelder involvering og kompetanseoverføring til kompetente yngre ansatte i Miljødirektoratet.

Avslutningsvis er vi av den oppfatning at hoveddelen av rapporten representerer en god saklig gjennomgang av prosjektet med balanserte formuleringer, mens de formuleringer som er benyttet i sammendraget og i konklusjoner og anbefalinger ser ut til å være strukket litt langt i forhold til hva hoveddelen av rapporten gir grunnlag for.

Mvh
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