

# **AUSTRALIA CHINA ENVIRONMENT DEVELOPMENT PROGRAM**

## **WETLANDS MANAGEMENT POLICY, GUIDELINES AND CAPACITY BUILDING**

### **ACTIVITY DESIGN DOCUMENT**

**APRIL 2008**

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### **Preparation of Activity Design**

This Activity Design was prepared by a consulting team comprising Dr Shaun Meredith (Team Leader, Murray Darling Freshwater Research Centre, Australia), Professor Max Finlayson (Institute for Land, Water and Society, Charles Sturt University, Australia), Alison Curtin, NSW Department of Environment and Climate Change, Australia), Dr. Zhang MingXiang (Wetland Monitoring Centre, State Forestry Administration, China), Professor Cui Lijuan (Wetland Research Centre, State Forestry Administration, China).

The consultancy was ably supervised by the ACEDP Program Coordination Office led by Mr Gunther Mau, with much appreciated support from Julia Zhou and Mark Thomson (GHD).

While in China, the Activity Design Team undertook a field trip to Xixi National Wetland Park (NWP) in Hangzhou (Zhejiang province) and also to the Ramsar listed Dongzhaigang wetland in Haikou (Hainan Province). Persons engaged by the Design Team in meetings during these field trips are listed in Attachment 4.

A return Chinese delegation visiting Australia, comprising Mr Huang Xiaoguang (Department of International Co-operation, State Forestry Administration), Mr Bao Daming , and Madam Xiao Hong (both from the Ramsar Convention Implementing Office, State Forestry Administration) also provided valuable input to the project design.

Importantly, the Office of International Cooperation within the State Forestry Administration (SFA) did not submit final comments on this draft, instead they expressed a wish to discuss this document with ACEDP face-to-face. As a result, this Activity Design was submitted without the incorporation of final comments from the SFA and some of the detail around budgetary issues and the inclusion of the development of a fifth set of policy guidelines remains to be resolved. Detail of these 'to be resolved' issues is presented in Attachment 6.

## **List of Acronyms**

AAM	Australian Activity Manager
ACAMs	Australian and Chinese Activity Managers
ACEDP	Australia China Environment Development Program
ADD	Activity Design Document
CAM	Chinese Activity Manager
DECC	Department of Environment and Climate Change
DEWHA	Department of Environment, Water, Heritage and the Arts
DSE	Department of Sustainability and the Environment
EAT	Environmental Advisory Team
MDBC	Murray Darling Basin Commission
MOFCOM	Ministry of Commerce
MWR	Ministry of Water Resources
NRIC	National Ramsar Implementation Committee
NWP	National Wetland Park
OWCM	Office of Wetland Conservation and Management
PCO	Project Co-ordination Office
PRC	People's Republic of China
PSC	Project Steering Committee
SEPA	State Environment Protection Agency
SFA	State Forestry Administration
TOC	Theory of Change

## **Executive Summary**

This ADD addresses the need to develop an overarching Chinese National Wetland Policy to provide enforceable guidance for the management of China's wetlands. Specifically, this ADD focuses on two of China's wetland types: i) internationally important Ramsar wetlands, and ii) constructed National Wetland Parks (NWP).

The SFA is the State-nominated lead organisation for management of Ramsar wetlands and NWPs in China, and is tasked with co-ordinating the 16 agencies currently involved in wetland management at the National level. Discussion with a range of SFA officials revealed that the most significant barriers to the effective management of these systems is a) the need for greater co-operation between the 16 agencies currently involved in wetland management, and b) the need to develop and implement consistent and enforceable policy guidelines.

As a result, this draft ADD describes an Activity that initiates development of a Chinese National Wetland Policy by achieving 3 key objectives:

- i) **Capacity building in the area of institutional co-ordination:** inter-institutional co-operation/co-ordination is a key issue in wetland management internationally, and particularly so for Ramsar wetlands. Different countries approach this problem in unique ways and it is thought that by examining a range of international models/frameworks for inter-institutional co-ordination, the SFA will be better placed to determine an appropriate model for the co-ordinated management of Chinese wetlands. This component aims to garner significant benefit by being held in close conjunction with the Ramsar CoP10 workshop scheduled in nearby South Korea in October 2008, where international experts with extensive experience in this area will be gathered.
- ii) **Development of draft policy guidelines** (suitable for inclusion in the National Wetland Policy) in five priority areas: it is proposed that Chinese experts and managers work closely with Australian counterparts to develop policy guidelines in five priority areas outlined by the SFA; Monitoring, Construction, Assessment, Restoration and Management Plan Guidelines
- iii) **Implementation of the policy guidelines at key demonstration sites:** Chinese and Australian experts will work with individual wetland site officers to implement policy guidelines developed in objective ii). Implementation will have the three-fold impact of a) developing capacity to implement these policies at individual wetland sites, b) fine-tuning policy guidelines prior to their adoption at a national level, and c) building long-term meaningful relationships between Australian and Chinese wetland managers through initiatives such as the 'sister wetland' program.

Clearly, the development of an all encompassing National Wetland Policy, even for this sub-set of wetland types (Ramsar wetlands and NWPs), is beyond the financial and temporal scope of this relatively small Activity. It is therefore proposed that this ADD describes only Phase 1 of a multi-phase project that will be the subject of future funding bids through the ACEDP in coming years. It is important to stress, however, that this Activity is a stand alone Activity, and its success is independent of the need to secure funding for subsequent Phases.

## **Section 1: Analysis and Scope**

### **1.1 Current Situation**

#### ***1.1.1 The AusAID Australia-China Environment Development Program***

The Activity proposed by this Activity Design Document (ADD) responds to the Australia-China Environment Development Program (ACEDP) for 2006-2010 of which water resources and river basin management are a key initial focus. The ACEDP aims to facilitate engagement between Australian and Chinese Agencies, institutions, and individuals engaged in national environmental policy development and implementation, through high level policy dialogue, capacity building and collaboration on discrete issues.

Specific targeted outcomes are identified as:

- enduring partnerships between Australian and Chinese agencies involved in policy development on the environment;
- strengthened policy development processes on environmental management; and,
- the successful implementation of pilot activities utilising good environmental governance and practices.

The Program marks a significant shift from the previous AusAID program approach and includes a number of key characteristics which guide the design of future projects. These include<sup>1</sup>:

- A move away from a small number of large projects towards a mix of smaller, more responsive activities
- Projects which will be primarily concerned with increasing knowledge to inform future policy making particularly at a national level and where results have a clear chance of being incorporated into national policy and planning
- Promoting closer relations and exchange of information between the Australian and Chinese governments and their policy initiatives and which build on Australia's international reputation in water management
- The fielding of senior and very competent technical and policy experts
- Provide technical assistance to selected agencies in China

Appropriate ACEDP activities are identified in Program documentation as:

- Small pilot studies and projects that demonstrate the integration of social, economic and environmental parameters to improve natural resources management,
- Study tours, training courses, conferences, work attachments, exchange programs and scientific cooperation to foster people to people linkages and understanding
- Policy dialogue mechanisms across jurisdictions to strengthen environmental policy formulation and implementation at all levels.

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<sup>1</sup> Australia China Environment Development Program. Draft Program Design Document 2006-2010. December 2005

### 1.1.2 Current Situation: Wetland Management in China

The Chinese State Forestry Administration (SFA), through its Office of Wetland Conservation and Management (OWCM), is the State-nominated lead organisation for wetland policy development management in China. OWCM is responsible for managing two principle wetland ‘types’ in China; internationally important ‘Ramsar’ wetlands (e.g. Dongzhaigang and Zhalong wetlands), and National Wetland Parks (e.g. Xixi and Yinchuan wetlands).

However, although OWCM is the designated lead agency, sixteen other national agencies also have a role in on-ground wetland policy implementation and enforcement throughout China (Table 1). As a result, inter-organisational communication over individual wetland management issues is complex and *ad hoc* implementation of sometimes inappropriate wetland management activities may result. The lack of a universally accepted inter-organisational management framework is widely recognised as the single most important barrier to effective wetland policy development and implementation at the National level.

**Table 1: Chinese Agencies (other than the SFA) currently involved in wetland management**

Ministry of Foreign Affairs of the PRC	Ministry of Communications of the PRC
State Development and Planning Commission of the PRC	Ministry of Water Resources of the PRC
Ministry of Education of the PRC	Ministry of Agriculture of the PRC
Ministry of Science and Technology of the PRC	Ministry of Environmental Protection of the PRC
Ministry of Public Security of the PRC	Chinese Academy of Sciences
Ministry of Finance of the PRC	State Administration of Light Industry
Ministry of Territory and Resources of the PRC	State Administration of Oceanography
Ministry of Construction of the PRC	China Petroleum and Natural Gas Co., Ltd.

Further, the SFA recognises that there is an urgent need to develop a range of national wetland policy guidelines covering a broad range of wetland management activities to be developed and implemented. These guidelines are intended to provide a more standardised and enforceable national policy framework for wetland management, but will also, as a result of their implementation, actively facilitate inter-organisational co-operation at the wetland scale.

### 1.2 Preferred Situation and Theory of Change (TOC)

The preferred Chinese wetland management model would follow an accepted and enforceable National Wetland Policy, which outlines a consistent and co-ordinated approach to wetland management issues applicable across a variety of designated wetland ‘types’ (ie. Ramsar sites, NWP) and jurisdictions. To achieve this, progress needs to be made in three key areas:

- 1) improved institutional co-ordination and co-operation at the National level,
- 2) development of new National policy guidelines (initially in priority areas), and
- 3) implementation and refinement of these new policy guidelines through an adaptively managed process at individual wetland ‘demonstration sites’.

It appears likely that the most effective way of achieving these outcomes is through a variety of capacity building exercises, with a focus on the establishment of meaningful long-term relationships between Australian and Chinese Managers/Experts. The TOC for this activity can thus be represented pictorially as in Figure 1. Activity based components of the TOC are discussed further below.

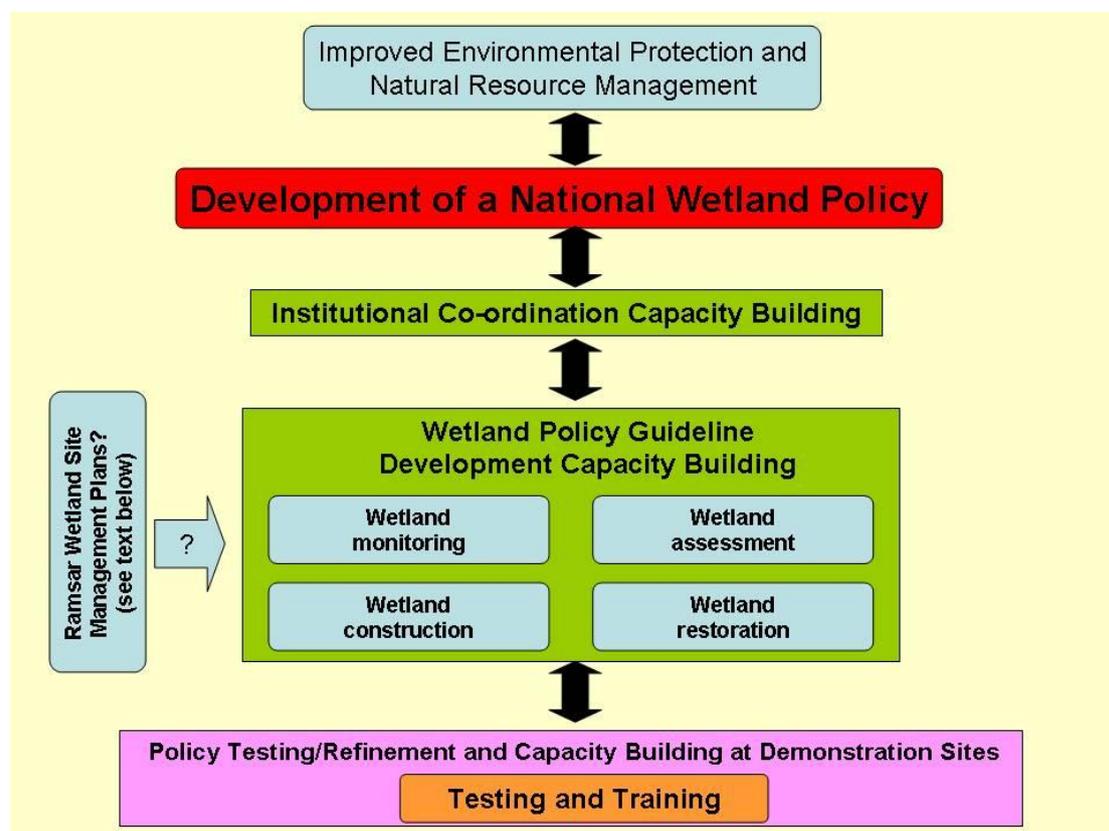


Figure 1: Theory of Change (ToC)

### 1.2.1 Institutional Co-ordination Capacity building.

There exists a variety of successful international models that facilitate a co-ordinated approach to wetland management through co-operation of a diversity of governmental institutions. In many cases, the framework for this co-operation is based on an individual countries implementation of Ramsar guidelines through national policy. China has put in place a National Ramsar Implementation Committee (NRIC) overseen by the SFA to coordinate government policy for implementing the Ramsar Convention. Due to its international importance, this committee has significant influence at the national level, however, the NRIC was established in 2007 and has only met once. As a result, the Chinese NRIC does not yet have an appropriate structure or mechanism to encourage institutional co-operation. It is proposed that building Chinese capacity in knowledge and understanding of how Australia and other countries successfully implement and enforce wetland management guidelines through their national Ramsar committees will facilitate the successful development of a suitable Chinese model for institutional co-operation based on international best practice. Importantly, it is the short term (ie. 2 year) goal of this project to build significant capacity in this area through an international workshop (to be held in South Korea prior to the Ramsar CoP10 meeting) and a study tour to Australia by high-level Chinese

managers and members of the NRIC, however the practical application of this capacity into a functioning Chinese wetland management model is likely to take longer, and may form part of a 'Phase 2' application to ACEDP in future years (see section 1.2.4 below).

### **1.2.2 Wetland Policy Guideline Development Capacity building**

The SFA currently recognises a need to urgently develop a series of National wetland policy guidelines. Specifically, the activity design team has been advised that guidelines in five key areas currently have the greatest priority:

**Monitoring Guidelines:** *define the spatial and temporal scale of monitoring and propose suitable and repeatable methods that may be standardised across a variety of wetland types. Although designed specifically with Ramsar wetland sites in mind, monitoring guidelines are applicable across all wetland types.*

**Construction Guidelines:** *define the principles underlying the construction of National Wetland Parks (NWP). Guidelines describe the necessary content of functional zones within a NWP, which may include, but are not limited to, wetland protection zones, wetland education/exhibition zones, wetland research zones and managed wetland functional zones.*

**Assessment Guidelines:** *define assessment and accreditation protocols for both Ramsar wetlands and NWPs.*

**Restoration Guidelines:** *define the principles and practices that form the basis of wetland restoration across a broad range of wetland types. This is currently an area of National priority, and as such, guidelines are currently being developed independently of this Activity.*

**Guidelines for Compiling Management Plans for Wetlands of International Importance:** *will build on the guidelines provided by the Ramsar Convention and provide guidance for managers regarding setting objectives for management, identifying factors that affect the wetland; resolving conflict; define monitoring requirements; identify and describe management needed to achieve objectives and establish affective, efficient adaptive management practices.*

This component of the ADD describes the development and/or implementation (see below) of these five guidelines. It is, however, important to note that the ultimate development of an over-arching National Wetland Policy requires subsequent development of future guidelines in areas such as Communication, Education and Public Awareness. The SFA has indicated that approximately 20 such guidelines exist and remain to be developed, and that their subsequent development is likely to form the basis of future 'Phase 2, Phase 3...' applications to the ACEDP (see section 1.2.4 below).

### **1.2.3 Policy Testing/Refinement and Capacity building at Demonstration Sites**

National policy guidelines must be applicable at a provincial and local level, and difficulties in their implementation should be adaptively managed to refine draft guidelines before they are finalised. Further, a key limitation to the utilisation and enactment of policy guidelines is the lack of capacity to interpret and implement those guidelines at individual wetland sites. A necessary component of this Activity therefore involves building capacity at selected 'demonstration sites' to develop and

report on site specific applications of the newly designed policy guidelines (e.g. develop a monitoring program through application of the monitoring guideline).

Further, and as stated above, the SFA is currently and independently developing policy guidelines in the National Priority area of wetland restoration. Chinese members of the design team have expressed a desire to engage Australian expertise during the on-site implementation of these guidelines in China. As a result, and in the interest of a fully integrated policy implementation process, we have included the implementation of wetland restoration

#### **1.2.4 Future Applications to AusAID: Phase 2 and Beyond...**

Importantly, and primarily due to budgetary and temporal constraints, it is beyond the scope of the current Activity to develop a complete National Wetland Policy for China. Instead it is proposed that this Activity represents “Phase 1” of a potentially much larger project aimed at the development of a much broader national Wetland Policy. Thus, although the Activity described in this ADD does stand alone and has been designed to deliver on key outcomes relating to capacity building, establishment of meaningful relationships, and improved wetland protection and management in nominated *priority* policy areas (monitoring, assessment etc), the Chinese Partners have made it clear that they will apply for similar levels of AusAID funding in future years for appropriately aligned Activities (Phase 2, Phase 3 etc..) such that when considered as a whole, these individual Activities might realistically achieve the development of an all-encompassing National Wetland Policy for China.

### **1.3 TOC Assumptions, Risks and Unexpected Consequences/Impacts**

TOC assumptions are presented in the Results Framework (Table 2). Risks to successful Activity execution are presented in Table 3.

The primary purpose of the ACEDP is to improve environmental protection and natural resource management in a way that balances the needs of environment and human development in China. Wetland protection and management throughout China currently represents a struggle between short-term economic development and long-term biodiversity and sustainability. It is therefore necessary that both policy formation by the decision-makers and the implementation of activities within the ACEDP program will always consider how to minimize the associated social risks while maximizing relevant social benefits, which will inevitably contribute to poverty alleviation. Although wetland management policies themselves are unlikely to have any direct impact on HIV/AIDS transmission, the resettlement/restoration activities during wetland management actions may well be associated with temporary construction of camps or importing of migrant labour, increasing the risk of HIV/AIDS transmission.

Similarly, gender equity and gender consideration is an explicit and an integral part of the ACEDP Program in accordance with the commitments of the GoPRC and AusAID on gender equity. Therefore, it is important to ensure that 1) men and women from both Chinese and Australian partner agencies or organizations participate equally in all training courses, study tours and etc., 2) gender equity is maintained in the opportunity to participate in decision-making in relation to the Program - e.g., steering committees and annual meetings.

**Table 2: Wetland Activity Results Framework**

Activity Description	Expected Performance Measures	Verification	Assumptions
<p><b>Goal:</b> Improved Environmental Protection and Natural Resource Management in China's Wetlands</p>	<ul style="list-style-type: none"> <li>• co-ordinated and consistent approach to wetland management across all 16 governmental agencies currently responsible for wetland management</li> <li>• National Ramsar Implementation Committee committed to further development and implementation of national policy guidelines</li> </ul>	<ul style="list-style-type: none"> <li>• Assessment by Project Steering Committee (PSC)</li> </ul>	<ul style="list-style-type: none"> <li>• Project is managed successfully</li> <li>• Agencies are prepared to communicate and participate in policy guideline development and implementation</li> <li>• Agencies are willing to promote findings to government leaders</li> </ul>
<p><b>Activity Purpose (outcome):</b> Development and successful implementation of three priority national policy guidelines (monitoring, construction, assessment).</p>	<ul style="list-style-type: none"> <li>• Final policy guidelines written</li> <li>• Sufficient capacity built at demonstration sites for successful development and implementation of monitoring, assessment and construction policy guidelines</li> <li>• Establishment of enduring Sino-Australian relationships</li> </ul>	<ul style="list-style-type: none"> <li>• PSC view evidence</li> </ul>	<ul style="list-style-type: none"> <li>• International and counterpart project teams have sufficient expertise, resources and times to undertake work successfully</li> <li>• Sufficient two-way communication between policy guideline writing 'experts' and higher level government officials responsible for policy acceptance and enforcement</li> </ul>
Component Objectives	Expected Performance Measures	Verification	Assumptions
<p>Institutional Co-ordination Capacity building</p>	<ul style="list-style-type: none"> <li>• Determination of a framework for institutional co-ordination and co-operation applicable to China and based on best international practices</li> </ul>	<ul style="list-style-type: none"> <li>• Assessment of reports by PSC</li> <li>• Development of a plan for implementation of framework for institutional co-ordination and co-operation</li> </ul>	<ul style="list-style-type: none"> <li>• International consulting team has sufficient seniority, expertise and experience of these matters both in Australia and in China</li> <li>• Counterpart staff are willing and able to fully participate in this activity</li> <li>• Sixteen Chinese agencies currently involved in wetland management are willing and able to fully participate in this activity</li> <li>• International NRIC delegates to CoP10 meeting are willing and able to participate in workshop in South Korea</li> </ul>

**Table 2: Wetland Activity Results Framework (cont'd)**

Component Objectives	Expected Performance Measures	Verification	Assumptions
<p>Develop Wetland Policy Guidelines for</p> <ul style="list-style-type: none"> <li>i) monitoring,</li> <li>ii) construction,</li> <li>iii) assessment</li> <li>iv) restoration</li> <li>v) management plans</li> </ul>	<ul style="list-style-type: none"> <li>• Development of draft policy guidelines for monitoring, construction and assessment</li> <li>• Sufficient capacity built to enable development of further policy guidelines</li> </ul>	<ul style="list-style-type: none"> <li>• Assessment of trip reports by PSC</li> <li>• PSC to view draft policy guidelines and workshop report/proceedings</li> </ul>	<ul style="list-style-type: none"> <li>• International consulting team has sufficient seniority, expertise and experience of these matters both in Australia and in China</li> <li>• Chinese agency managers and experts are willing and able to fully participate in the project</li> </ul>
<p>On-site Application of Wetland Policy Guidelines;</p> <ul style="list-style-type: none"> <li>i) monitoring,</li> <li>ii) construction,</li> <li>iii) assessment</li> <li>iv) restoration</li> <li>v) management plans</li> </ul>	<ul style="list-style-type: none"> <li>• Establishment of enduring Sino-Australian relationships between wetland managers (e.g. sister wetland program)</li> <li>• Development of site-specific monitoring, construction and assessment programs based on policy guidelines</li> <li>• Refinement of draft policy guidelines through adaptively managed implementation process</li> </ul>	<ul style="list-style-type: none"> <li>• PSC to review Activity reports (incl. final report)</li> <li>• PSC to view final policy guidelines</li> </ul>	<ul style="list-style-type: none"> <li>• International and Chinese project team members are sufficiently experienced in providing training and implementing monitoring, construction and assessment programs</li> <li>• There is sufficient will from Chinese agency staff and support from their agencies in implementing policy guidelines</li> <li>• Local government has a common understanding of the project and is willing to facilitate implementation of the guidelines on-site</li> <li>• Restoration guidelines have been successfully developed independent of this Activity</li> </ul>

**Table 3: Risks to Successful Project Execution**

<i>Risk / Event</i>	<i>Potential Impact</i>	<i>L</i>	<i>C</i>	<i>R</i>	<i>Risk Treatment</i>	<i>Responsibility</i>
Slow project mobilisation prohibits undertaking of NRIC institutional co-operation workshop prior to CoP10 in Sth Korea	International models for institutional co-operation under the NRIC are not considered as part of this activity	3	4	3	ADD needs to be approved and implemented ASAP. ACAMS needs to contact International CoP10 delegates and organise workshop ASAP	ACEDP/AusAID ACAMS
Appropriate Australian expertise for 1) monitoring, 2) construction and 3) assessment policy development and implementation cannot be engaged	Basis for capacity building undermined, Sino-Australian relationships not developed	2	5	2	ACAMS to identify multiple suitable Australian experts and introduce them to Chinese study tour participants	ACAMS, Chinese study tour participants
Low level of cooperation/input from sixteen Chinese national organisations currently involved in wetland management.	Institutional co-operation is a central requirement of successful project execution. Critical for policy guideline development and implementation.	3	5	3	ACAMS, SFA manager/experts and PSC to monitor. Delegates from non-SFA organisations to be involved in Australian study tours Focus on ACEDP China core partners	ACAMS, SFA manager/experts and PSC
One and half year execution timetable is too optimistic	Project not completed in the design timeframe	2	2	1	PSC monitor progress and in regular communication with ACAMS. PSC adopt a flexible approach to the project schedule	PSC ACAMS
<p><b>Key to Code:</b>  L= Likelihood                    5= almost certain, 4= likely, 3= possible, 2= unlikely, 1= rare  C = Consequences 5= severe, 4= major, 3= moderate, 2= minor, 1= negligible  R= Risk Level                    4= extreme, 3= high, 2= moderate, 1= low</p>						

## **Section 2: Work Plan**

The work plan for this project is presented as itemised and costed tasks in **Attachment 1: Costed Task Plan**. The timeline for completion of these tasks is presented in **Attachment 2: Project Time Line**.

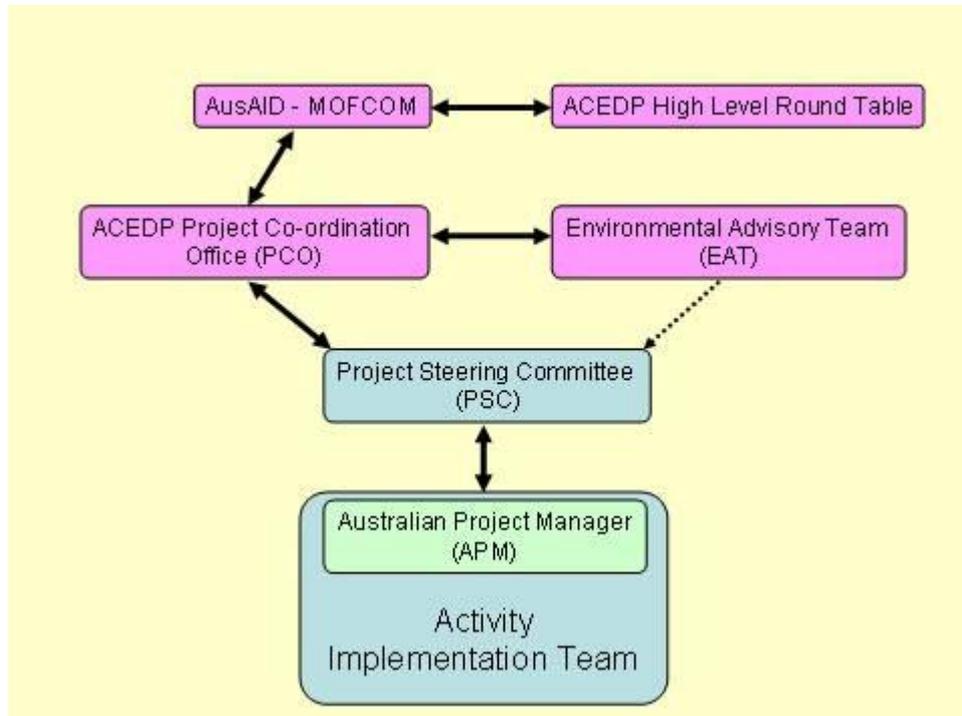
Importantly, Task 1.2 a) *National Ramsar Implementation Committee (NRIC) workshop: in conjunction with COP10* is designed to be held in conjunction with the Ramsar CoP10 meeting to be held in South Korea in October 2008. Taking advantage of this event will allow timely access to a broad base of international expertise that might otherwise be unavailable, and will also result in considerable cost savings to the project (as international delegates will already have costed their travel to CoP10).

Linking this Task with the CoP10 workshop does, however, impose an important early time restriction. It is therefore critical to the success of this Activity that approval processes and appointment of a project manager are expedited, where possible.

## **Section 3: Activity Management**

### **3.1 Activity management and co-ordination hierarchy**

The Activity management and co-ordination hierarchy is displayed in Figure 2, with individual components specific to this Activity described below.



**Figure 2: Activity management and co-ordination hierarchy**

#### **3.1.1 Project Steering Committee (PSC)**

It is recommended that the Project Steering Committee (PSC) comprise delegates from (but is not limited to):

- The State Forestry Administration (SFA; chair),
- The Australian Project/Activity manager
- Representatives of local governments with jurisdiction over demonstration sites
- Representatives of a relevant Australian partner organisation (e.g. DEWHA, MDBC)

Importantly, advice suggests that it is not the role of the PSC to act as an independent assessor of Activity outputs/outcomes, rather the PSC is considered to be an activity Management tool. Independent Monitoring and Evaluation of the project will be done via the ACEDP 'Monitoring and Evaluation Framework'. As such, MOFCOM, AusAID and the PCO are not required on the PSC, but are welcome to attend.

*The role of the Steering Committee is to:*

- Work closely with the ACAMS to monitor and advise on project progress (in accordance with the Results Framework: Table 2)
- Provide overall guidance to the project direction
- Use contacts to facilitate the Australian and Chinese study tours/site visits

- Oversee and monitor project outputs and review project reports from technical quality and adoption perspectives
- Advise on directions for extending project findings into initiatives of national significance

Note that advice

### **3.1.2 Australian and Chinese Activity Managers (ACAMs)**

The Australian and Chinese Activity Managers (ACAMs) will have:

- a broad range of international wetland management experience,
- broad knowledge of wetland managers, policy developers, and organisations involved in wetland management within Australia/China and internationally,
- a sound understanding of the Ramsar convention and its practical application.
- access to suitably experienced staff to act as guides for delegations during Australian and Chinese study tours.

### **3.1.3 Activity Implementation Team**

The implementation team will comprise:

- Six Chinese managers (high level National government officials) responsible for introducing and guiding approval/acceptance of National wetland policy. In the interest of facilitating inter-institutional co-operation, Chinese managers should not be limited to officials from within the SFA, but should also include managers from other organisations currently responsible for wetland management in China.
- Numerous Australian 'managers' (high level National government officials) with a similar list of skills as above.
- Three Chinese technical experts with a high level of knowledge of existing Chinese wetland monitoring, construction and assessment protocols, respectively. Technical experts should also have previous experience in the drafting of policy guidelines. It is desirable also that Chinese technical experts have an understanding of the Ramsar convention and its practical application.
- Three Australian technical experts with a high level of knowledge in Australian and International monitoring, construction and assessment protocols. It is desirable that Australian technical experts have experience in policy development and have an understanding of the Ramsar convention and its practical application
- Four Chinese wetland officers, whose role it is to implement policy guidelines at their wetlands, and also to establish meaningful ongoing working relationships with relevant Australian wetland officers (possibly through a 'sister wetland' program). Chinese wetland officers will have a sound knowledge of the day-to-day operation of their wetland site, and will have the educational and technical capacity to interpret and help implement policy guidelines in conjunction with Australian technical experts and wetland officers.
- At least four Australian wetland officers with a willingness to communicate and interact with Chinese wetland officers at a meaningful level. Australian

wetland officers may be called upon to aid in capacity building exercises on-site in China.

### **3.2 Procurement and Contractual Arrangements**

Procurement procedures will follow the ACEDP operations manual consistent with Australian Commonwealth government procurement guidelines. There are no capital items of procurement envisaged at this stage.

### **3.3 Partnership Arrangements**

Proposals should demonstrate consistency and strengths in regard to the specific outcomes sought by the ACEDP of enduring partnerships between Australian and Chinese agencies involved in policy development on environment; strengthened policy development processes on environmental management; and the successful implementation of pilot activities utilising good environmental governance and practices.

### **3.4 Quality Management System and Activity Verification**

Quality management will be addressed by the Facility Manager (PCO) accepting project reports and milestone reports as indicated in Attachment 3. Project reports should be reviewed by the Project Steering Committee, who will advise the PCO of Activity progress according to the schedule agreed with the ACAMS.

### **3.5 Communication Plan**

A specific communication plan is to be developed by the ACAMS and the implementation team at the start of the project. Considerable development of this communication plan should be undertaken during the Implementation Team Workshop to be held in conjunction with the Australian study tours being conducted in January and February 2009.

## **Section 4: Activity Control**

In accordance with the guidelines used to construct this ADD (Attachment 4), much of the documentation required in Section 4: Activity Control has largely been provided in Section 3: Activity Management. For this reason, this section describes only the steps involved in the Monitoring and Evaluation of the project.

### **4.1 Monitoring and Evaluation**

The Activity Response Framework which links objectives to expected performance measures, means of verification, and assumptions is shown in Table 2. Outputs from individual Tasks are shown in the costed task plan (Attachment 1). The outputs and processes outlined in these two documents will form the basis of monitoring and evaluation for project progress and milestone payments by the PSC.

Importantly, the ACAMS and the PCO should agree on the outlined performance measures, their timing and payment scheduling during contract negotiations.

The project should also be subject to independent evaluation prior to any decision to approve a follow-up or extension phase beyond the immediate objectives.

**Attachment 1: Costed Task Plan**

See attached Excel file: ADD – final costing April 20 2008.xls

## Attachment 2: Activity Timeline

no.	Description	2008							2009												2010		
		Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	
1.1	<b>Appoint Activity Managers</b>																						
1.1a	Appoint Managers			Project Management																			
1.2	<b>Institutional Co-ordination Capacity Building</b>																						
1.2a	National Ramsar Implementation workshop: COP10																						
1.2b	NRIC study tour to Australia (10d)																						
1.2c	NRIC meeting (in China)																						
1.3	<b>Develop Wetland Policy Guidelines for i) monitoring, ii) construction, iii) assessment</b>																						
1.3a	SFA Manager Study tour to Australia (10d)																						
1.3b	Detailed field investigations/study tour to Australia for experts (30d)																						
1.3c	Study tour for Chinese Wetland Site Officers to Australia (10d)																						
1.3d	Guideline Development Workshop																						
1.4	<b>Guideline Application at Demonstration Sites</b>																						
1.4a	Monitoring Workshop i) Dongzhaigang																						
1.4b	Monitoring Workshop ii) Zhangjiangkou																						
1.4c	Construction and Assessment Workshop i) Xixi																						
1.4d	Restoration Workshop i) Upper reaches of Daguhe River and its estuary (Jiaozhou Bay)																						
1.4e	Restoration Workshop ii) Binhe River Wetland Natural Reserve																						
1.4f	Management Plan workshop i) Zhangjiangkou																						
1.5	<b>Final Reporting</b>																						
1.5a	Submission of Final Report																						

### **Attachment 3: Budget**

See attached Excel file: ADD – final costing April 20 2008.xls  
(see 'summary' tab)

**Attachment 4: Attendees at Provincial Meetings held during Activity Design Phase**

**Attendees for Haikou Field Investigation (22<sup>nd</sup> Jan. am)**

<b>Name</b>	<b>Department</b>	<b>Position</b>
Lin Jin	Forestry Bureau of Haikou	Director general
Guo Jian	Forestry Bureau of Haikou	Director
Wang Chundong	Wildlife Nature Reserve Protection Centre of Hainan Province	Chief
Huang Zhongqi	Dong Zhaigang National Nature Reserve Management Agency of Hainan Province	
Chen Wei	Dong Zhaigang National Nature Reserve Management Agency of Hainan Province	
Zhong Wanrong	Dong Zhaigang National Nature Reserve Management Agency of Hainan Province	
Wang Liangxiu	Dong Zhaigang National Nature Reserve Management Agency of Hainan Province	
Liang Zhenhui	Dong Zhaigang National Nature Reserve Management Agency of Hainan Province	
Su Jianqiang	Hainan Daily Newspaper	Journalist
Li Shaorong	Haikou Evening Newspaper	Journalist

**Attendees of ACEDP-Wetland Feasibility Design Seminar (22<sup>nd</sup> Jan. pm)**

<b>Name</b>	<b>Department</b>	<b>Position</b>
Li Weichun	Haikou Municipal Government	Deputy secretary-general
He Guoying	Meilan Municipal Government	Deputy warden
Lin Jin	Forestry Department of Haikou	Director general
Guo Jian	Forestry Department of Haikou	Director
Lv Yongliang	Haikou Ocean and Fisheries Bureau	Assistant researcher
Liu Weihua	Haikou Water Service Bureau	Deputy director general
Zhang Faguang	Haikou Travel Bureau	Deputy director general
Li Zhongbiao	Haikou Development and Reform Bureau	Chief general
Lin	Haikou Finance Bureau	Chief general
Huang Cibo	Haikou Land and Resources Bureau	Deputy Chief

**Attendees for Hangzhou Field Investigation (21<sup>st</sup> Feb. 2008)**

<b>Name</b>	<b>Department</b>	<b>Position</b>
Shan Jinhua	Xixi Wetland Management Committee	Deputy chief
Zhao Yueping	Protection Office of Forestry Department, Zhejiang Province	Deputy director-general
Yu Xiaojian	Protection Office of Forestry Department, Zhejiang Province	Assistant researcher
Chen Qinjuan	Hangzhou Forestry and Water Bureau	Deputy director general
Liu Xiang	General Office of Xixi Wetland Management Committee	Deputy chief
Chen Jie	General Office of Xixi Wetland Management Committee	Engineer
Sun Weiming	Xihu Municipal Government of Hangzhou	Deputy warden (fish specialist)
Xue Mei	Office of Resources, Hangzhou Forestry and Water Bureau	Fish specialist
Song Miaofang	Forestry Department of Zhejiang Province	Translator

## **Attachment 5: Activity Design Document - Preparation Guidelines**

### **Introduction**

This guideline describes a design method and resulting documentation for activities to be included in the Australia China Environment Development Program (ACEDP). The Program has been designed in accordance with AusAID's AusGUIDELINES and this guideline incorporates AusAID's project requirements, either explicitly or through reference to the Program.

The document prepared as a result of applying these guidelines is called an Activity Design Document (ADD). A number of ADDs will be prepared each year as part of ACEDP. Each ADD will consist of four parts, which will cover activity analysis, planning, management and control. These are described in detail in the sections that follow. Figures 1 and 2 show the core activity processes that need to be designed and described.

An ADD should be a concise summary of the activity design process. It is anticipated that an ADD would be around 5 pages plus attachments for an activity with a budget of less than A\$100 000, and around 10 pages for an activity with a budget of more than A\$100 000. An ADD must have an Executive Summary of not more than 1 page

### **PART 1 – Analysis and Scope**

The first section of Part 1 describes the analysis of the development assistance issue under consideration. Analysis is the process that identifies the reason for an activity and indicates that the activity is feasible. Analysis should follow the following sequential logic:

- A description of the current situation in the area of concern, which should include physical, legal, institutional, economic, social, and cultural aspects as appropriate;
- A description of a preferred future situation;
- A “theory of change” (TOC) that describes how the preferred future situation could be achieved
- An explicit description of any assumptions made in the TOC
- A description of the potential for unintended consequences or impacts
- A description of risks arising from assumptions or possible impacts
- A discussion of the feasibility of the TOC producing the intended outcomes, and an assessment of whether the predicted costs and identified risks are acceptable if the outcomes are achieved.

Analysis must include a description of the nature and outcomes of discussions with likely Chinese partners, and needs to show that potential partners have the same view of the current and desired situations, and the TOC that will be used to define the project scope.

The second section of Part 1 defines the scope of the project. The ADD needs to clearly show how the results of analysis have been used to define the project scope, which includes the description of the activity's desired objectives and outcomes, the model underlying the activity design, the assumptions inherent in the model and the feasibility of the activity achieving its intended outcomes. An activity's scope will be summarised in a Results Frame compatible with the ACEDP Monitoring & Evaluation Framework. The key outputs of the analysis are thus:

- Part 1 documentation in the ADD
- The Results Frame

## **PART 2 – Work Plan**

The next step of activity design requires conversion of the project scope to a Work Plan. This requires breaking down the theory of change into work elements (tasks), and identification of the resources required to carry out the tasks. Figure 1 shows how this then leads to task sequencing, task duration estimation, resource cost estimation, task scheduling and cost budget preparation. Together, the output from these processes will form the basis of the Work Plan, and defines the relationship between resources, inputs, and outputs shown in the Results Frame. The key outputs from the core planning processes will be:

- Part 2 of the ADD, describing the tasks, resources and budget required for the project, and summary descriptions of the quality, communication, organisation and staffing, risk response and procurement plans
- A schedule of tasks
- A schedule of resource inputs
- A cost budget.

## **PART 3 – Activity Management**

Activity management is concerned with project execution. The ADD should describe the organisational structure and processes required to implement the Work Plan. This will include:

- Description of the activity implementation team
- The contractual arrangement between the activity manager and the program
- The partnership arrangements between the activity team and other agencies and organisations, and a description of the form of agreement that establishes these arrangements
- The quality management system required
- Arrangements for procurement
- How the scope will be verified throughout the activity by reviewing the analysis described in the ADD and testing any assumptions made
- How the activity team will communicate internally and with stakeholders.

The key outcomes related to activity management will be

- Part 3 of the ADD, which describes activity management arrangements.

## **PART 4 – Activity Control**

Activity control covers monitoring and evaluation and overall change control. This section should describe a performance reporting regime and the process that will respond to identified issues and make changes to the scope, plan or management as required. Change control will be based on consideration of project performance against:

- Scope
- Schedule
- Cost
- Risk
- Quality

The outcomes of the design process will be:

- Part 4 of the ADD, which will include a description of the processes involved in performance reporting and overall change control.

## Attachments

In support of the core planning processes described above, the Annual Plan documentation should include:

- A communication and engagement plan, which describes how activity partnerships will work, how often and in what manner the partners will meet and agree on issues, and who will reports on various matters. (summarised in Part 3)
- An organisation plan and staffing requirements (summarised in Part 3)
- Procurement requirements (summarised in Part 3)
- A quality plan, which describes implementation processes and in particular the monitoring and evaluation processes (also summarised in Part 4)
- A risk response plan, (summarised in Part 4).

## **Attachment 6: Items to be resolved in future discussions**

1. Despite requests at the meeting with SFA delegates in Melbourne on March 18, the number of visits to China by the Australian Experts and Australian Activity Manager has not been reduced in this draft ADD. The rationale for inaction in this area comes from the over-arching project objectives outlined by the ACEDP, that all projects are recognised as 'joint learning' exercises. Visits to China by Australian 'experts' are therefore seen as a critical component of this ADD, and although not reduced, have been kept to a minimum required to successfully implement the Activity.
2. In line with comments also received at the March 18 meeting with Chinese SFA delegates, this draft ADD includes a field implementation component for the 'restoration' policy guidelines that are currently being developed independently of this ACEDP project. Currently two demonstration sites for the implementation of these guidelines have not been named, and will need to be decided upon prior to the inception of this project.
3. As a result of the Chinese delegation's visit to Australia, a desire to formally develop and implement guidelines for Ramsar Site Management plans (similar to that done by the Australian DEWHA) as part of this Activity has also been expressed. See section 1.2.2 (page 9) for further clarification. To develop this fifth set of policy guidelines in this Activity would require a fourth 'expert' be included as part of the 30 day Australian study tour (item 1.3b in the budget) and possibly also further budgetary allowances for the implementation of these guidelines at Ramsar sites (item 1.4 in the budget). It remains a topic for future discussion whether or not the development of this fifth set of policy guidelines can be included as part of the current Phase 1 Activity, or if it is part of subsequent phases.
4. The Chinese delegation in Melbourne also expressed a wish to establish an office within the SFA to manage this Activity. The details as to how this office might be funded are an important topic for future discussion between ACEDP and SFA.
5. Also raised by the Chinese delegates at the March 18 meeting in Melbourne was the wish that SFA should be involved in formulation of costs for the project. Again, the details of how this may (or may not) be possible is an important topic for future discussion between ACEDP and SFA.
6. The Chinese delegation in Melbourne also expressed a desire to reduce the number of organisations and individuals on the project steering committee (PSC; see section 3.1.1, p.15). An important balance needs to be struck here to allow an *independent but not overly complicated* PSC to adjudicate on the progress of this activity. The final composition of the PSC is thus also an important topic for future discussion between ACEDP and SFA.