FINAL REPORT

MID-TERM EVALUATION OF THE EUROPE-CHINA ECO CITIES LINK (EC-LINK) PROJECT
PEOPLE'S REPUBLIC OF CHINA
MARCH 2016

This evaluation is supported and guided by the European Commission and presented by the Particip-led Consortium. The report does not necessarily reflect the views and opinions of the European Commission.

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Table of Contents

Glossary

Item	Description
Acquis	The legislation, regulations and court decisions constituting the body of EU law (*acquis communautaire*)
AWP	Annual Work Plan
CAG	Chinese Academy of Governance
CAM	Chinese Association of Mayors
CBEEX	China Beijing Environment Exchange
CCCPC	Central Committee of the Communist Party of China
CCUD	Chinese Centre for Urban Development (at NDRC)
CDIA	Cities Development Initiative for Asia
CDRF	China Development Research Foundation
CE	Clean Energy
CECA	Chinese Eco City Academy
CNY	Chinese Yuan Renminbi
CSUS	Chinese Society for Urban Studies
DFR	Draft Final (Evaluation) Report
DMF	Design & Monitoring Framework
EC	European Commission
EC Link	Europe-China ECO Link Project
EU	European Union
EUCCC	European Union Chamber of Commerce in China
EUD	EU Delegation to China & Mongolia
EUR	Euro
FA	Financing Agreement
FDI	Foreign Direct Investment
FR	Final (Evaluation) Report
GB	Green Buildings
GHG	Green House Gases
GI	Green Industry
GIZ	*Gesellschaft für Internationale Zusammenarbeit GmbH*
GoPRC	Government of the PRC
GT	Green Transportation
ICL	Inter-City Lab
ICLEI	International Council for Local Environmental Initiatives
IE	Incidental Expenditure
IFI	International Financing Institutions
IPA	Initial Plan of Activities
IRE	Initial Report (Evaluation)
IT	Information Technology

Item	Description
ITAT	International Technical Assistance Team
KE	Key Expert
MEUR	Million Euro
MF	Municipal Finance
MoEP	Ministry for Environmental Protection
MoF	Ministry of Finance
MoFCOM	Ministry of Commerce
MoHURD	Ministry of Housing, Urban & Rural Development
NKE	Non-Key Expert
NRDC	National Development & Reform Commission
NSS	National Support Staff
OECD	Organisation for Economic Cooperation & Development
OO	Overall Objective
OWP	Overall Work Plan
PAG	Project Advisory Group
PCM	Project Cycle Management
pm	*pro memoria* (not to forget; not part of the Project's staffing or budget)
PP	Project Purpose [Specific Objective(s)]
PRC	People's Republic of China
PT	Project Team (TAT + PTF)
PTF	Project Task Force
R	Result
Rn	Recommendation
SMART	Specific, Measurable, Attainable, Relevant & Time-Bound (indicators)
STE	Short-Term Expert
SWM	Solid Waste Management
TAT	Technical Assistance Team
TBD	To be determined
ToR	Terms of Reference
UDIC	Urban Development & Investment Corporation
URR	Urban Renewal & Revitalisation
WD	Working Day
WM	Water Management

EUR-CNY exchange rate at the evaluation cut-off date (InforEuro, March 2016): EUR 1 = CNY 7.1954

Report Synopsis

This report relates to the mid-term evaluation (MTE) of the Europe-China Eco Cities Link Project which was carried out in March-April 2016, with 31 March 2016 as the evaluation cut-off date. The Project is being implemented by a consortium led by the *Gesellschaft für Internationale Zusammenarbeit* (GIZ) under the service contract DCI-ASIE/2013/329-453 with the Delegation of the EU to China & Mongolia (EUD), dated 31 October 2013. The total budget for the Project, which started on 17 November 2013 with a 48-months duration until 17 November 2017, amounts to 12 million euros (MEUR). The budget includes a 10 MEUR EU contribution and a 2 MEUR in-kind contribution by the Government of the People's Republic of China.

The Project is being implemented in the context of the 27.5 MEUR *EU-China Partnership on Sustainable Urbanisation* with the *EU-China Low Carbon, Urbanisation & Environmental Sustainability Programme*. The Project's overall objective is to *support China in meeting the environmental, energy and carbon-intensity targets defined in the 12th Five Year Development Plan*. The Project's purpose is *to assist Chinese cities in adopting energy and resource efficient ecological solutions by sharing experiences on sustainable urbanisation and other relevant policies*, through technical assistance to the counterpart institution, the Ministry of Housing, Urban & Rural Development (MoHURD)

The Project's terms of reference (ToR) elaborate seven 'expected results'. Summarised, these are:

R1: A support mechanism for networking between European and Chinese cities and advising the latter on urban ecological/low carbon planning & management;

R2: Tool boxes for MoHURD in respect of eco/low carbon city planning & management;

R3: One 'Europe-China pilot low carbon eco-city' supported with, *inter alia*, best approaches to eco/low carbon planning, and testing policy innovations and the support mechanism's functionality;

R4: Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities;

R5: Strengthened municipal capacity to plan, identify, implement and monitor eco/low carbon solutions;

R6: Improved potential on the part of municipalities for financing eco/low carbon-solutions, including knowledge on innovative financial schemes; and

R7: Ensured and maximised visibility and dissemination of project results within China, as well as regionally and internationally.

The ToR and other documentation group these results into three components:

- *Component 1*: Support Mechanism (focusing on R1, R4 & R7);
- *Component 2*: Urban Sustainability Lab (with reference to R2 & R3);
- *Component 3*: Urban Sustainability Help Desk (R5 & R6).

The evaluation has yielded a number of conclusions on the Project's implementation to date and the eventual achievement of its objectives and results.

At the midpoint of its duration, the Project rates 'unsatisfactory' overall. In terms of the main evaluation criteria, only its *relevance* is considered satisfactory. The evaluation assesses its *efficiency* of implementation to date, as well as its likely *effectiveness*, *impact* and *sustainability* as unsatisfactory. Early adoption of an agreed strategy document and a much increased pace of implementation may still improve the assessment of the last three criteria at the Project's end. The Project concept and intervention logic remain valid in terms of EU-China cooperation in the field of eco/low carbon urban development, but inadequate framing of the expected results and indicators hampers measuring results achievement and defining an appropriate Project strategy.

The Project has a well-structured management system. The Project Steering Committee (PSC), assisted by an active secretariat, meets once a year. The TAT mobilised quickly, but soon encountered problems with the selection of pilot cities, delayed reporting and staffing of key positions, which slowed down implementation. The resulting low uptake of available human resources and limited disbursement against the budget poses a threat to effectiveness and impact. A substantially higher pace of Project implementation is required but is linked to pending finalisation of work plans and progress reports, and – in particular – an appropriate Project strategy. The latter will be critical,

both for guiding future implementation and for maintaining a fertile working relationship between contractor and Contracting Authority.

The Project has not yet achieved its ambitious results and – with only 19 months of its duration remaining – may not be able to achieve all of them. One key output, i.e. the interactive Knowledge Platform (linked to results R1, R4 and R7) is only now assuming shape. The main output for results R2 and R3 – the toolboxes – present examples of European solutions to technical issues, but in their current form do not constitute toolboxes as defined in the proposal and will require revision. When combined with the delays encountered, this constitutes a risk for substantial and timely completion. The Knowledge Platform will be indispensable for achieving the Project's result related to 'matchmaking' between interested EU and Chinese cities. The adoption by stakeholders of the toolboxes produced by the Project will require a concerted public relations effort, as well as improving the toolboxes' legal underpinning and accessibility. The replicability of Project outputs and results beyond the 10 pilot cities is not yet within reach, also because Chinse legislation in this domain is not legally binding outside of municipal jurisdictions. It will require a large training-of-trainers' effort, with the toolboxes as input.

The Project's ultimate impact depends *inter alia* on the critical factor of its 'matchmaking' capabilities vis-à-vis EU and Chinese cities, as well as other stakeholders. Having concentrated its efforts on the toolboxes and the Knowledge Platform, the Project has so far downplayed this function, also because of a lack of effective demand for such 'matchmaking'. An operational Knowledge Platform would enable the Project to create more effective demand for its support by giving substance to the process of information exchange and know-how sharing between European and Chinese cities. The Project has the human resources to deal with the demanding networking involved.

The sustainability of the results of the Project, which maintains links with interventions funded by some EU Member States, will depend largely on the availability and use by beneficiaries of the two key outputs, i.e. the Knowledge Platform and the toolboxes, with the Project's counterparts (CSUS & MoHURD) assuming administrative, financial and technical responsibility for the maintenance and updating of these outputs. The intensification of shared Chinese, EU and international interest in eco/low carbon urbanisation creates fertile ground for 'technical partnering' at city level, which should be the focus of the Project's strategy. However, as long as the Project – and any other EU-funded project in the same sphere – is linked to a single Chinese ministry with an environmental mandate, this goal may not be sustainable after EU-funding ceases. The 13th Five-Year Plan (2016-20) provides the Project with an opportunity to give increased exposure to best practice in green urban development at municipal level in China, whilst heeding certain concepts and aspects of the *acquis communautaire* would help the Project to move from a 'technical' towards a more 'policy-oriented' approach.

These conclusions suggest the following main recommendations.

A properly constructed logframe with SMART-indicators will help to formulate the concise and comprehensive strategy essential for the Project's success and desired by the Contracting Authority. The TAT would benefit from high-level backstopping in the matter of strategy formulation, as well as EUD's precise instructions on the strategy's parameters and format.

Urgent action is needed to speed up the implementation of project activities in the interest of achieving key Project results, especially with regard to the articulation of the above strategy by the contractor, the approval of AWP2 by EUD and finalisation of outstanding project reporting by the TAT.

It is a matter of urgency to investigate and agree on what can be done to utilise the available working days and other budget items by November 2017, *inter alia* through intensifying work on a limited number of activities/outputs related to key results (Knowledge Platform, and related 'matchmaking' networking, as well as training and mentoring in support of toolbox introduction and dissemination).

The practices identified in the toolboxes need to be placed in a European and national policy & legislation context, to allow for an accurate evaluation of the suitability of these practices for China. They need evaluation in terms of impact, cost, scalability, applicability and adaptability to Chinese conditions, through more consultation with MoHURD and city-level stakeholders. The toolboxes need to refer to the overarching approach tested and established in Europe *inter alia* through the Covenant of Mayors. The notion of Zhuhai and Luoyang as pilot cities should be replaced with full implementation of all toolboxes.

The Project's effectiveness, impact and sustainability depend on its ability to provide beneficiaries with wide-ranging 'matchmaking' for creating 'technical partnering' between EU and Chinese cities. For this, two sets of activities merit the maximum of remaining Project resources: (i) finalisation of the Knowledge Platform – taking heed of the urbanisation objectives of the *EU-China Strategic 2020 Agenda for Cooperation* (2013) – and (ii) finalisation, dissemination & training in support of toolbox introduction.

EUD could help to secure the sustainability of the results of the Project, as well as any other EU-funded programmes in the environmental sphere in China, through pursuing wider dialogue and cooperation with – and more coordination amongst – Ministries with an environmental mandate, as well as more coordination amongst EU-funded projects in this sphere.

Executive Summary

Introduction

The Evaluation

This report describes the findings, conclusions and recommendations of a mid-term evaluation[1] (MTE) of the *Europe-China ECO Cities Link* (EC Link) project. The evaluation assignment was carried out in March-April 2016. The field work for the summative evaluation, involving a review of the extensive project documentation and conducting semi-structured interviews with representatives of Project beneficiaries and stakeholders, was carried out in the period 13-29 March 2016. The cut-off date of the evaluation – designed to answer a total of 15 evaluation questions related to the five evaluation criteria (relevance, efficiency, effectiveness, impact & sustainability), as well as five main questions constituting the purpose of the evaluation and forming the basis of its overall assessment – was 31 March 2016.

The Project

The EU supports the Government of the People's Republic of China (PRC) in the context of the *EU-China Partnership on Sustainable Urbanisation* with the *EU-China Low Carbon, Urbanisation & Environmental Sustainability Programme* (DCI-ASIE/2011/023-093). The Project, which started on 17 November 2013 with a duration of 48 months until 17 November 2017, is one of three projects that make up the Programme. The total Project budget is 12 million euros (MEUR), including an EU contribution in the amount of 10 MEUR and a Chinese in-kind contribution of 2 MEUR.

The Project's ToR identify its overall objective (OO) as follows: to *support China in meeting the environmental, energy and carbon-intensity targets defined in the 12th Five Year Development Plan*. The Project's purpose is to *provide technical assistance to the Chinese Ministry of Housing, Urban & Rural Development (MoHURD)* **[and through this]** *assist Chinese cities in adopting energy and resource efficient ecological solutions by sharing experiences on sustainable urbanisation and other relevant policies between Europe and China*. The Project's seven expected results are:

R1: An appropriate support mechanism enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management is implemented.

R2: The Ministry of Housing, Urban & Rural Development is supported in preparing low carbon eco-city management tool boxes for local governments. Tool boxes could include guidelines, standards, lessons learned from low carbon eco-city pilots, including examples and models of action plans from the EU.

R3: One 'Europe-China pilot low carbon eco-city' supported in China (the city will be identified according to the criteria indicated by MoHURD and EU). The pilot could: (i) demonstrate best approaches to low carbon eco planning, (ii) serve as testing ground for policy innovations (e.g. energy performance labelling for buildings); and (iii) test the functionality of the support mechanism.

R4: Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and between different actors/donors). This will also include the set-up of cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chinese cities to have first-hand access to know-how and operational methods of clean urban development initiatives undertaken in Europe.

R5: Strengthened capacities of municipalities to plan, identify, implement and monitor low carbon and ecological solutions (sectorial and integrated solutions).

R6: Municipalities potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.

R7: Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximised.

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[1] Carried out under the EUD's Request for Services (RfS) N° 2015/370654/1 by the Particip-led consortium in the context of FWC Beneficiaries 2013, Lot 6 – Environment (EuropeAid/132633/C/SER/Multi).

In the Project ToR, and in the technical proposal put forward by the GIZ-led consortium, these seven results were grouped into 3 Project components:

- *Component 1*: Support Mechanism (focusing on R1, R4 & R7);
- *Component 2*: Urban Sustainability Lab (with reference to R2 & R3);
- *Component 3*: Urban Sustainability Help Desk (R5 & R6).

After the inception phase and in particular in the second Annual Work Plan (Jun 2015-Jun 2016), this grouping was amended, but without having achieved solidity at the MTE cut-off date[2].

The findings in relation to the achievement to-date, the likely achievement of the Project's objectives in the future and expected results are summarised in the following conclusions.

Conclusions

Relevance

C1   Both the original project concept, dating from 2012, and the intervention logic set out in successive logical framework matrices (logframes) remain valid in terms of EU-China cooperation in the field of eco/low carbon urban development.

C2   Inadequate framing of the Project's seven results (R1-R7) and the accompanying indicators, whilst not invalidating the Project's intervention logic as laid down in the logframes, hampers objective measurement of the degree of their achievement and defining an appropriate Project strategy.

C3   The ambitiousness of the Project's expected results may not fit the Project's linkage to a centre-of-government ministry with a narrow, implementation-oriented mandate.

C4   Overall, the Project's relevance is assessed as satisfactory.

Efficiency

C5   The Project has a well-structured management system with an established Project Steering Committee (PSC), assisted by an active secretariat, made up of the Technical Assistance Team (TAT) and the Project Task Force (PTF). The PSC meets once a year.

C6   The TAT mobilised quickly and commenced work energetically, but encountered problems early-on with the selection of pilot cities, delayed reporting and staffing of key positions, which caused delays in implementation.

C7   Slowed down implementation, causing a low uptake of non-key expert (NKE) working days and limited disbursements against the project budget, poses a threat to effectiveness and impact. A substantially higher pace of Project implementation is required, but may not be sufficient to use up all the available working days without an extension of the contract ruling the Project.

C8   Improved Project momentum appears to be linked to the finalisation of the 2nd Annual Work Plan and two pending progress reports, as well as agreement on an appropriate strategy. The latter, in the form of an improved version of the Design & Monitoring Framework (April 2016), will be critical for guiding future Project implementation and maintaining an effective working relationship between contractor and Contracting Authority.

C9   Overall, the Project's efficiency to-date must be considered unsatisfactory.

Effectiveness

C10 The Project has not yet achieved its expected results. The key output in respect of results R1, R4 & R7, i.e. the Knowledge Platform, is only now assuming shape. With regard to the main output for results R2 & R3, i.e. toolboxes, it is clear that, although they present examples of European solutions to technical issues, in their present form they do not constitute toolboxes as defined in the proposal and will require revision. When combined with the delays encountered thus far – more than two years into the project duration – this constitutes a significant risk for substantial and timely completion. There is very little coherence between R2 and R3. The lack of a link between policy (top down) and the technical solutions (bottom up) means that it is

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[2] In April 2016 (i.e. after the evaluation cut-off date), the TAT submitted a strategic *Design & Monitoring Framework*, with the seven results reformulated and again grouped in three sets of outcomes: (i) Solutions of Sustainable Low Carbon City Development (Results 2 & 3); (ii) Sharing Solutions: The Support Mechanism (Results 1, 4 & 7); and (iii) The Sustainability Compact: Leveraging Solutions (Results 5 & 6). The reformulated strategic framework constitutes an improvement over the strategic sections of the earlier reporting and planning documents in terms of length, coherence and ease of access, but it lacks a set of performance indicators.

difficult to apply the toolboxes in a useful, quantifiable and replicable way in the pilot or partner cities. The status of the pilot cities (Zhuhai and Luoyang) and their role when compared with the partner cities is incoherent and should be reconsidered. The main output for results R5 & R6, i.e. training on selected topics including municipal finance, has not materialised, with an uncertain outlook.

C11 The inter-active Knowledge Platform will be indispensable for achieving the Project's result related to 'matchmaking' between interest EU and Chinese cities, as well as other stakeholders.

C12 The toolboxes produced by the Project require revision before they can be regarded as offering practical tools to support municipal decision-makers in addressing their low-carbon strategies and targets. Their legal underpinning could be improved and their content easier to digest and utilise. Adoption of the toolboxes by the Project's beneficiaries and municipal stakeholders will require a concerted effort by the Project.

C13 The replicability of the Project's outputs and results beyond its 10 pilot cities is an important intermediate goal, which is not yet within reach of the Project. The toolboxes will require revision, particularly in terms of their impact, cost, scalability, applicability & adaptability to the Chinese urban environment. A sizeable training effort based on training-of-trainers, will be necessary to achieve replicability.

C14 The Project's ultimate effectiveness depends on the speed with which it can compensate for the loss in momentum encountered in the first half of the project duration. With 19.5 months remaining on its duration, the Project may not be able to achieve all of its ambitious results.

C15 Overall, the Project's likely effectiveness at mid-point of its duration is rated as unsatisfactory, Early adoption of an agreed strategy document and a much faster pace of implementation may still improve this assessment at Project's end.

Impact

C16 The Project's ultimate impact will depend on a number of factors, amongst which its 'matchmaking' capabilities vis-à-vis EU and Chinese cities and other stakeholders is critical.

C17 The Project having concentrated effort on the toolboxes and setting up the Knowledge Platform (fundamental for its effectiveness and longer term impact), it downplayed its 'matchmaking' function in recent months. The TAT did not receive requests from the pilot cities for support in respect of 'technical partnering' with EU cities and stakeholders.

C18 Once operational, the Knowledge Platform will enable the Project to create more effective demand for its support by giving substance to the process of information exchange information and know-how sharing between EU and Chinese cities. It has the human resources available to deal with the demanding networking involved and operates in a receptive environment.

C19 Overall, the Project's likely impact at mid-point of its duration is rated unsatisfactory. Again, early adoption of an agreed strategy document and a much increased pace of implementation may still improve this assessment at the Project's end.

Sustainability

C20 The sustainability of Project results will depend largely on the availability and use by beneficiaries and counterparts of the two key outputs, i.e. the Knowledge Platform and the toolboxes, with CSUS and MoHURD assuming administrative, financial and technical responsibility for maintaining and updating these outputs.

C21 Contact between most of the EU-funded projects in the sphere of environmental protection appears limited, although it cooperates with the EU-funded CETREGIO project. The Project maintains links with projects and initiatives funded by some EU Member States.

C22 The intensification of shared Chinese, EU and international interest in eco/low carbon urbanisation creates fertile ground for the 'technical partnering' at city level, which should be the focus of the Project's strategy. As long as the Project, and any EU-funded project in the same sphere, is linked to a single Chinese ministry with an environmental mandate, this goal may not be sustainable after EU-funding ceases.

C23 Replicability of the Project's results in cities outside the limited circle of pilot cities also links to the extent to which legislation in this domain is legally binding outside of municipal jurisdictions. The binding force in this sphere within the EU applies nation-wide, unlike in China.

C24 The 13th Five-Year Plan provides the Project with the opportunity to give increased exposure to best practice in green, urban economic development at municipal level in China, as also advocated by the *Organisation for Economic Cooperation & Development*.

C25 Heeding certain concepts and aspects of the *acquis communautaire* might help the Project to adopt a more policy and strategy oriented approach and move beyond a merely 'technical' approach.

C26 Overall, the sustainability of the Project's results is likely to be unsatisfactory, unless countered in the remainder of the project duration by an operational and used Knowledge Platform, the adoption of the toolboxes by beneficiaries and a Project strategy also looking beyond the Project's end.

Recommendations

Rn1 The practices identified in the toolboxes need to be placed in a European/National policy/legislative context, to allow those analysing them to understand the framework within which they were developed and successfully applied. This policy background is essential to allow for an accurate evaluation of the suitability of the practices to China. Without the implementation of the appropriate policy supporting the uptake of the solution, its sustainability and long-term impact in China will be limited **[C10, C12, C13]**.

Rn2 The practices contained in the toolboxes need an explanation of why they are considered to be examples of good practice (delivering above average results) or best practice (delivering the best results in Europe). Presently, there are no baseline or evaluation criteria presented to justify their classification as best practice. The project needs to show its workings, how it reached the conclusion that a particular practice can be defined as a European best practice **[C10, C12, C13]**.

Rn3 The practices contained in the toolboxes need to be evaluated in terms of impact, cost, scalability, applicability & adaptability to Chinese conditions to ensure their long-term sustainability in the Chinese urban environment. This can only be achieved through additional consultation with MoHURD and importantly, the relevant stakeholders (local government representatives) in the Chinese pilot and partner cities **[C10, C12, C13]**.

Rn4 The toolbox practices should contain methodologies for monitoring and evaluating impact in China **[C10, C12, C13]**.

Rn5 The toolboxes need to provide methodologies and approaches to help Chinese cities develop and implement sustainable carbon reduction strategies. Methodologies for analysing a city's carbon footprint – development of a baseline from which an objective can be set and an action plan (with targets and milestones) put in place to achieve that objective. The practices already included in the toolboxes would provide the solutions to achieve the desired objective. Such a broad and overarching approach to urban centres has already been tested and established in Europe through a number of other European projects and networks including the Covenant of Mayors. These should be included in the toolboxes to give the focus that is lacking **[C10, C12, C13]**.

Rn6 With the limited time left, the original approach of using Zhuhai and Luoyang as pilot cities for the partners should be revised. This approach should be replaced with the comprehensive implementation of all the toolboxes, in conjunction with complete analysis of pilot cities' carbon footprint and accompanying strategy with targets, activities and monitoring of GHG reduction. This should be based on additional expertise and best practices identified in the toolboxes. The initial outcomes should then be used to develop Chinese policies/strategies and applied to other cities, initially the EC Link partners **[C10, C12, C13]**.

Rn7 The remaining element, the partner cities, could continue as a secondary element, with the improved toolboxes delivering technical solutions that can be properly evaluated for impact and transferability **[C10, C12, C13]**.

Rn8 The contractor and the TAT are advised that a properly constructed logframe with SMART-indicators will be helpful in formulating the concise and comprehensive strategy essential for the Project's success [**C1**, **C2** & **C8**].

Rn9 EUD is advised to pursue, in the interest of securing sustainability of the results of the Project, as well as any other EU-funded programmes in the environmental sphere in China, wider dialogue and cooperation with Ministries with an environmental mandate, as well as more coordination amongst EU-funded projects in this sphere [**C3**, **C22** & **C23**].

Rn10 EUD, MoFCOM and MoHURD are advised to consider increasing the frequency of PSC meetings to at least two, and if possible, four times a year [**C5**].

Rn11 EUD, the contractor and the TAT are advised that urgent action is required to speed up the implementation of project activities in the interest of achieving key Project results. This concerns, first and foremost, the articulation of the above strategy by the contractor, the approval of AWP2 by EUD and the finalisation of outstanding project reporting by the TAT [**C7**].

Rn12 The contractor is advised that the TAT would benefit from high-level backstopping in the matter of strategy formulation [**C2**, **C7** & **C8**].

Rn13 EUD is advised to formulate with precision – for the benefit of the contractor's backstopping – the parameters of the strategy, in order to forestall a time-consuming 'trial & error' approach to further strategy formulation [**C2**, **C7** & **C8**].

Rn14 EUD, the contractor and the TAT are advised to investigate and agree as a matter of urgency what can be done to utilise the available working days and other budget items by November 2017. This could be done by intensifying work on a limited number of activities and outputs related to key results (Knowledge Platform, and related 'matchmaking' networking, as well as training and mentoring in support of toolbox introduction and dissemination) [**C7** & **C10**-**C14**].

Rn15 EUD, MoHURD, the contractor and the TAT are advised that the completion of the toolboxes might be improved if they are treated as 'living documents', testing them through daily use by city practitioners and amending them as necessary. If deemed necessary, MoHURD is advised that a small group of Chinese experts should be engaged to canvass the opinion of pilot city decision makers, administration and technicians, in order to accelerate assessment of the toolboxes practical utility [**C12**].

Rn16 The Project's effectiveness, impact and sustainability depend on its ability to provide the beneficiaries with wide-ranging 'matchmaking' skills for creating 'technical partnering' between EU and China cities and other stakeholders. The EUD, MoHURD, the contractor and the TAT are advised that finalisation of the Knowledge Platform is one set of activities that deserve the maximum resources and attention possible[3] [**C16**, **C20**].

Rn17 The toolboxes are indispensable for ensuring eventual replicability of Project outputs and results on a larger scale. The EUD, MoHURD, the contractor and TAT are advised that finalisation, dissemination and training in support of toolbox introduction is the second set of activities that deserve the greatest possible share of Project resources and attention [**C20**].

Rn18 EUD, MoHURD, the contractor and TAT are advised to address the replicability/upscaling of EU successful eco/low carbon initiatives at city level in China, as a matter of urgency, through the Knowledge Platform, the wide dissemination of toolboxes, accompanied by a communications & dissemination strategy also geared towards sustainability of Project results [**C13** & **20**].

Rn19 MoHURD and the TAT are advised that the Project might contribute to a discussion in China on a much-discussed topic in EU member states: Should closely related spheres, such as transport, environment and urban development, be the responsibility of a single, centre-of-government ministry with an environmental protection mandate? Or should the environmental aspects in each of these separate spheres be the concern of more specialised sectoral ministries, subject to a system of inter-ministerial coordination? [**C22**].

Rn20 EUD, MoHURD and MoFCOM are advised that coordination on environmental issues relating to eco city/low carbon urbanisation can be brought nearer if all parties involved (the supervising ministries – including MoHURD – CSUS and the Project) share the same legal, institutional and organisational definitions of the nine sector foci and municipal public services. The dissemination of the toolboxes will enable the Project to play a role in this area [**C12** & **C22**].

Rn21 EUD, MoHURD and MoFCOM are advised that the current division of responsibilities between ministries calls for increased attention for the inter-ministerial coordination ultimately affecting *inter alia* the replicability of Project outcomes [**C22**].

Rn22 The Project is advised that it might provide a useful contribution by advising its counterparts on the concept of nation-wide binding regulatory frameworks. The Project might further usefully establish a list of public easements in the sphere of eco-city management in each of the 9 sectors covered by the Project [**C23**].

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[3] To forestall the website (the inter-active Knowledge Platform), as well as the Project overall not getting stuck in mere information-gathering actions, is for the Project to become a tool for achieving the urban development objectives of the *EU-China Strategic 2020 Agenda for Cooperation* (2013), which go far beyond information exchange.

Rn23 MoHURD and the TAT might consider the four pillars and eight recommendations put forward in the OECD's 2013 paper *Urbanisation & Green Growth in China* in the preparation of the strategy requested by EUD [**C24**].

Rn24 The MoHURD and the TAT are advised to heed certain aspects of the EU *acquis*, such as the 8th Implementation Report on the Urban Waste Water Treatment Directive (Nº 91/271), the regulatory framework 'binding' the urban transport sector, as well as the concepts of 'public service obligation' and 'public service compensation' as they apply to urban passenger transport companies [**C25**].

1 The Evaluation

1.1 Scope

1. The present Draft Final Report (DFR) describes the findings, conclusions and recommendations of a mid-term evaluation (MTE) of the project *Europe-China ECO Cities Link (EC Link)*[4], hereinafter 'the Project'. The assignment[5], for a total of 42 working days, was carried out in the period March-April 2016.

2. The following sections of the report:

    ▪ present the objectives and expected outcomes of the MTE assignment;

    ▪ set out the methodology deployed for the MTE;

    ▪ summarise the background, objectives and expected results of the Project;

    ▪ present the findings of the MTE in accordance with the five main evaluation criteria (relevance, effectiveness, efficiency, impact & sustainability);

    ▪ provide an overall assessment of the Project at the cut-off date of the MTE;

    ▪ set out the conclusions of the MTE, based on the findings and overall assessment; and

    ▪ formulate recommendations with regard to the continuation of the project, based on those conclusions.

1.2 Objectives & Results

3. The terms of reference (ToR) for the assignment [**Annex 1**] specify the following objectives for the evaluation. Its global objective is to *assess the extent to which the Project has achieved its purpose to date, what the level of attainment of concrete outputs is and make recommendation on its potential for a successful completion.*

4. The specific objective (or purpose) of the MTE is to evaluate the Project based on the following questions:

    ▪ To what extent the project has understood and is aligned to MoHURD plans and strategies? Is the project strategically responding to the specific challenges related to MoHURD's attributions in the field of eco-low carbon urbanisation?

    ▪ Are the project activities aimed at generating and delivering concrete, timely and useful outputs in order to support eco-low carbon city management tools for local governments?

    ▪ To what extent activities being developed or implemented at city level are linked to MoHURD's needs and responsibilities; and what is the potential for scaling up these activities to generate replicable models and tools that could be applied nation-wide?

    ▪ Is the project targeting the most appropriate experiences in the [European Union (EU)] and contributing to foster their sharing and dissemination and ultimately their practical application in China?

    ▪ To what extent the project is enhancing networking between the EU and China in the field of eco-low carbon urbanisation? Is the project effectively acting as a platform to facilitate matchmaking, partnerships, exchange of knowledge and information between actors in EU and China? Is that any concrete relevant outputs as a result?

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[4] Implemented under Service Contract N° DCI-ASIE/2013/329-453, dated 31 October 2013, by a consortium led by the *Gesellschaft für Internationale Zusammenarbeit* (GIZ), under Financing Agreement Nº DCI-ASIE/2011/023-093 (entry into force: 28 September 2012).

[5] Carried out under EUD's Request for Services Nº 2015/370654/1 by a Particip-led consortium in the context of FWC Beneficiaries 2013, Lot 6 – Environment (EuropeAid/132633/C/SER/Multi).

1.3 Methodology

5. The evaluation assignment was carried out on behalf of the Delegation of the European Union to China & Mongolia (EUD), in line with Section 8.2 of the Project ToR, which provides for external evaluations, including mid-term evaluations, by independent experts.

6. In addition to interviews with EUD officials, the assignment involved interviews with representatives of the main beneficiaries of the EC Link project, including the *Ministry of Housing, Urbanisation & Rural Development (MoHURD), as well as* (potential) stakeholders (both public and private) in three out of the ten pilot cities selected by the project.

7. The evaluation is of a summative character, involving a qualitative approach – based on applicable EU Evaluation Guidelines[6] – to answering a total of 15 evaluation questions (EQ), as they relate to the five main evaluation criteria, as well as five clusters of questions focusing on the overall assessment of the Project, specified in the ToR and summarised in **Annex 5**, and discussed in **Chapters 3** & **4** of the present report.

8. The interviews with beneficiary and key stakeholder representatives [**Annex 11**] were based on the EQs, as well as a review of the extensive project documentation [**Annex 10**] made available by EUD, the contractor for the Project – the GIZ consortium[7] – and its technical assistance team (TAT).

9. The evaluation team carried out field work for the MTE, which included interviews and site visits in Beijing, Changzhou, Weihai and Zhuhai, in the period 13-30 March 2016. The cut-off date of the present evaluation is the last day of March 2016, i.e. just after the evaluation team's final debriefing at EUD Beijing, which took place on 28 March 2016.

1.4 Report Structure

10. The remainder of this evaluation report consists of 4 chapters:

- *Chapter 2* describes the background of the Project and sets out its objectives and expected results;
- *Chapter 3* presents the evaluation findings against each of the EQs in relation to the five main evaluation criteria;
- *Chapter 4* presents an overall assessment of the Project at it stands at present;
- *Chapters* 5 & 6 present the evaluation team's conclusions and recommendations. All recommendations in Chapter 6 are related to specific conclusions in chapter 5; all conclusions link to particular findings in Chapter 3 and the overall assessment in Chapter 4.

11. The annexes to the report contain:

- the terms of reference [**Annex 1**];
- a resume of the background and qualifications of the evaluators and their respective companies [**Annex 2**];
- a concise depiction of the evaluation methodology [**Annex 3**];
- a map of the project area & pilot cities [**Annex 4**];
- the evaluation questions & judgement criteria [**Annex 5**];
- the logical framework planning matrices drawn up for the project [**Annex 6**];
- a table setting out the deployment of key and non-key project personnel [**Annex 7**];
- a summary on the status of completion of the key Project output 'toolboxes' [**Annex 8**];
- some additional observations on the part of the evaluation team [**Annex 9**];
- the Project documentation reviewed [**Annex 10**]; and
- the persons consulted in the course of the assignment [**Annex 11**].

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[6] To be found at: http://enrd.ec.europa.eu/en/evaluation/evaluation-processes/mid-term-evaluation/guidance.

[7] In addition to the German *Gesellschaft fur Internationale Zusammenarbeit* (GIZ), consisting of the *EU Chamber of Commerce in China*, the *EuroCities* network of major European cities, international engineering group *Grontmij* (now known as *Sweco*), and *Climate Alliance*, an association of 1,700 cities, municipalities and districts, as well as provinces, NGOs and further organisations.

1.5 Acknowledgement

The evaluators[8] wish to thank the interlocutors encountered during the assignment – including representatives of the Ministry of Housing & Urban-Rural Development and its local branches in the cities of Changzhou, Weihai and Zhuhai; the Delegation of the EU to China & Mongolia, the Project Task Force at the Chinese Society for Urban Studies, the Technical Assistance Team and the GIZ-consortium, as well as the representatives and staff of the enterprises and organisations visited during the field mission. Their unstinting continued availability and timely provision of information is gratefully acknowledged.

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[8] Dirk Blink, TL & Governance Expert and Michel Prouzet, Urban Planning & Legal Expert [**Annex 2**].

2 The EC Link Project

2.1 Project Synopsis

Table 1: EC Link Project – Key Features

Item	Date/Value	Item	Date/Value
FA Execution Period	72 months	Contract Duration:	48 months
Project Implementation Period (Inception Period)	41 months (7 months)	Contract Value:	EUR 9,304,400
Start/End Dates Implementation (Inception)	17 Nov 2013 – 17 Nov 2017 (17 Nov 2013 – 18 Jun 2014)	MTE cut-off date:	31 Mar 2016
Project/Counterpart Staff:	International TAT: 3 key experts (KE): Team Leader, Sustainable Urban Development Expert & Knowledge Management Expert	National Support Staff (NSS), 4 full time experts: the Coordination, Project, Communications and Financial Management Officers	Project Task Force (PTF), i.e. CSUS counterpart staff: the Project Director, an Urban Panning Expert, 2 Project Officers and the Project Assistant
Nº of KE working days budgeted:	2,480	KE utilisation at cut-off date[9]	49%
Nº of NKE working days budgeted:	2,100 (Senior) 1,400 (Junior)	NKE utilisation at cut-off date[10]	28% (Senior Experts) 15% (Junior Experts)

2.2 Project Background

12. The unparalleled economic growth of the People's Republic of China (PRC, or China) since the early-1990s has made the country one of the three largest economic powers in the world, has raised its population's living standards and socio-economic opportunities and has started to reduce poverty across the board. The rapid pace of development has also resulted in significant costs, *inter alia* in terms of environmental degradation in rural and urban areas, and the related social security and public health liabilities.

13. The subject of the present MTE assignment is one of the initiatives taken by the EU and the PRC in the context of the *Partnership EU-China Partnership on Urbanisation*, signed at the 14th China-EU Summit in February 2012, and subject of the May 2012 Joint Declaration on the EU-China Partnership on Urbanisation. The Partnership forms a framework for wide-ranging cooperation between the two parties on sustainable urban development along five vectors:

(i) *Government-to-Government*, for cooperation and joint reflection between relevant Directorates-General (DG) of the European Commission and Chinese central level counterpart entities on urbanisation issues;

(ii) *City Networking*, encompassing city level projects – including the present Project – feeding the discussion the central level discussion;

(iii) *Science & Technology*, aiming at mobilising the Sino-EU research community around Partnership themes and in particular on innovation and ICT policies;

(iv) *Business & Finance*, providing for a joint Sustainable Urbanisation Business Council for promoting business relations in support of the best urbanisation solutions; and

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[9] Mid-Term Evaluation cut-off date: 31 March 2016.

[10] GIZ-consortium data: 18 March 2016.

(v) *Public Participation on Urban Social Management*, through cooperation between civil society and non-state actors.

14. The Partnership is envisaged to sponsor high-profile annual events, including the EU-China Urbanisation Forum and the EU-China Mayors Forum.

15. The establishment of the Partnership reflects international, including Chinese, recognition of the fact that the EU, over the past few decades, has developed a comprehensive strategic approach towards urban development embodied in *inter alia* the *Thematic Strategy on the Urban Environment*, the *Leipzig Charter on Sustainable European Cities*. More generally, this refers to resource-efficient and low-carbon development as set out in the *EU Sustainable Development* and *Europe 2020* strategies. Also because of several city-level initiatives, European cities can boast ofincreasing sustainability and quality of life, which makes them interesting partners in this sphere for Chinese cities, which have been rapidly increasing in area, population and number.

16. The rapid pace of urbanisation in China over the past generation, which is expected to show a growth in the country's urban population from 50% in 2011 to a possible 70% in 2030, increasingly and more urgently confronts the central, provincial and municipal authorities with a multitude of challenges in terms of both infrastructure and services provision, accompanied – if unchecked – by increasing congestion, pollution and inefficient use of energy.

17. The 12th Five Year Plan (FYP), covering the period 2011-15, set ambitious targets for reduced energy consumption and CO_2 emissions. It also attributed key importance to 'accelerated but balanced' urbanisation.

18. The 13th FYP (2016-20), promulgated by the State Council on 16 March 2016, continues and reinforces this development vector. It foresees *inter alia* allocating more freedom for urban residency, the development of subsidised urban housing, improving urban planning, development and management, promoting environmentally friendly buildings, construction materials and methods, stepping up environmental governance and green development in respect of air/water pollution. All of these measures against the background of government and public sector entities operating in accordance with the rule of law.

19. Both FYPs thus reflect the 30-years old trend of seeing cities as important testing grounds for new policies and technologies, including – more recently – the concept of eco cities, which has benefited from the attention of researchers and policy makers.

20. International cooperation between Chinese, EU – including several Member States (MS) – and other international partners has supported these and related initiatives[11], which would profit from increased synergy, better targeted information exchange and the participation of more Chinese cities through a 'knowledge platform'.

2.3 Project Objectives & Expected Results

21. According to the Project's ToR, its overall objective (OO) is to *support China in meeting the environmental, energy and carbon-intensity targets defined in the 12th Five Year Development Plan*.

22. The specific objective of the Project is to *provide technical assistance to the Chinese Ministry of Housing, Urban & Rural Development (MoHURD). Through providing technical assistance to MoHURD, the EC-LINK's project purpose is to assist Chinese cities in adopting energy and resource efficient ecological solutions by sharing experiences on sustainable urbanisation and other relevant policies between Europe and China*.

23. The Project's ToR set out seven outcomes or expected results:

   ▪ *R1*: An appropriate support mechanism enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management is implemented. The support mechanism will rely on a

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[11] The Project ToR [**Annex 1**], in this context lists seven EU sponsored initiatives (such as *URBACINA*, analysing the country's urbanisation trends for the next 40 years, and the *EU-China Environmental Sustainability Project*, aiming at implementing sustainable waste policies and reducing water and heavy metal pollution); MS projects *inter alia* dealing with eco city pilots, local low carbon strategies, sustainability indicators, regional urban planning, city carrying capacity, district heating & cooling, green building and urban mobility; ADB, World Bank and UNDP projects on eco cities and sustainable urban infrastructure; as well as a Swiss low carbon cities project.

bilingual virtual knowledge hub/platform based on the most appropriate ICT technologies and on a physical secretariat. Depending on its evolution the support mechanism could become self-sustained. The support mechanism should have the following characteristics and/or be able to perform the following tasks:

- Be demand driven and service oriented, able to respond to the requests raised by cities and to provide advice, recommendations and directions to address the various urban environmental challenges in an integrated manner (a one-stop-shop for eco and low carbon cities services);

- Foster the sharing and dissemination of knowledge and information, including best practices and case studies (e.g. smart grids and buildings, intelligent transport systems, etc.) on eco and low carbon cities. It will also promote the output of existing pilots and demonstration projects;

- Facilitate matchmaking of Chinese cities with potential partners both in Europe and in China and networking among cities/their groupings;

- Ensure contacts and coordination with relevant ongoing actions and projects (of EU, EU member states and others);

- Establish a community of practice, possibly supported by a range of tools (e.g. a web based forum; networking events, etc.);

- Act as the daily virtual continuation of the EU-China Mayors' Forum.

Sustainability of the hub will be promoted as a result of it being largely virtual (i.e. not requiring substantial resources), but more importantly, through its connection to the EU-China Strategic Partnership on Sustainable Urbanisation.

- **R2**: MoHURD is supported in preparing low carbon eco-city management tool boxes for local governments. Tool boxes could include guidelines, standards, lessons learned from low carbon eco-city pilots, including examples and models of action plans from the EU.

- **R3**: One "Europe-China pilot low carbon eco-city" supported in China (the city will be identified according to the criteria indicated by the Ministry of Housing and Urban-Rural Development and EU). The pilot could: (i) demonstrate best approaches to low carbon eco planning, (ii) serve as a testing ground for policy innovations (e.g. energy performance labelling for buildings); and (iii) test the functionality of the support mechanism. The EU financed activities supporting this result will be limited to a maximum of 10% of the total EU project contribution. This EU contribution may be utilised towards attracting other funds for the development of the pilot.

- **R4**: Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and between different actors/donors). This will also include setting up cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chinese cities to have first-hand access to know-how and operational methods of clean urban development initiatives undertaken in Europe.

- **R5**: Strengthened capacities of municipalities to plan, identify, implement and monitor low carbon and ecological solutions (sectorial and integrated solutions).

- **R6**: Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.

- **R7**: Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximised.

24. In the Project ToR, and in the technical proposal put forward by the GIZ-led consortium, these seven results were grouped into three Project components:

- Component 1: Support Mechanism (focusing on R1, R4 & R7);
- Component 2: Urban Sustainability Lab (with reference to R2 & R3);
- Component 3: Urban Sustainability Help Desk (R5 & R6).

25. After the inception phase, this grouping was slightly amended, albeit without having achieved solidity at the MTE cut-off date.

3 Findings

3.1 Relevance

Nº	Summary of Evaluation Questions re: Relevance
1	To what extent are the objectives of the project still valid?
2	Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
3	Are the activities and outputs of the project consistent with the intended impacts and effects?

EQ 1: To what extent are the objectives of the project still valid?

26. The Project's overall objective (OO) and project purpose (PP) or specific objective as set out in its ToR [**Section 2.3**], revolve around meeting environmental, energy and carbon-intensity targets in the country's 12th FYP, and the adoption by Chinese cities of energy and resource efficient solutions through sharing relevant sustainable urbanisation experiences between the EU and China.

27. Both the OO and the PP are in line with the purpose and design of the 2012 EU-China Partnership on Sustainable Urbanisation emanating from the 14th China-EU Summit (Feb 2012). The PP fits the orientation of the second pillar of the Partnership, dedicated to networking on sustainable urbanisation initiatives between EU and Chinese stakeholders in the public and private sectors and civil society. The Project's objectives and design, have their origin in the Action Fiche and Financing Agreement (FA) for the EU-China Low Carbon, Urbanisation & Environmental Sustainability Programme. Both the Fiche and the FA date from 2012, but although four years have passed, the Project's objectives remain valid. Whereas the concept of eco cities found fertile ground in China's thinking on urbanisation over 20 years ago, it came into its own in the period of implementation of the 11th FYP (2006-10) and gained a firm foothold in the 12th FYP.

28. The attention to environmental protection, saving energy and natural resources and the reduction of emissions that figures prominently in the 12th FYP has been continued in the 13th FYP, which emphasises the need for continued urbanisation, but stresses environmentally friendly buildings and construction materials, smart cities and improved urban living. The 13th FYP explicitly refers to improved urban planning, development and management, in the broader context of stepped up environmental governance and green development.

29. Interviews conducted over the course of the present evaluation with representatives of the ministry hosting the Project at central level, the ministry's local branches in three cities, as well as firms and organisations in those cities confirmed a strong interest in the EU's substantial experience with eco/low carbon initiatives, in terms of both policy and technology. In a number of cases, European expertise, embodied in commercial or civil society sponsored initiatives, was found to have been adopted in significant measure.[12]

EQ 2: Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?

EQ 3: Are the activities and outputs of the project consistent with the intended impacts and effects?

30. Answers to EQs 2 & 3 revolve around the quality of formulation of the expected results in the ToR [**Section 2.3**]. Considered in the light of established EU Project Cycle Management (PCM) practice, the seven results must be considered lacking in clarity and precision. They are overly long and include elements that could have been used as appropriate indicators, had a logical framework planning matrix (logframe) been included in the ToR. This applies in particular to the

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[12] E.g., the *Everbright* solid waste-to-energy and the *Eversafe* public bike projects, both in Changzhou, Jiangsu Province.

first result (R1), which – in the opinion of the evaluators – could have been drafted much more succinctly, with the text in bullet points much condensed and used for the framing of the 'SMART' indicators required by standard PCM methodology.

31. Although shorter, results R2-R6 are not much clearer. R2 is a case in point, since it requires the Project to 'support' MoHURD in preparing low carbon eco-city management toolboxes for local governments. Apart from the fact that 'supporting' is an activity and cannot be termed a result, the substantive element of this 'result' is undermined by the remark that 'toolboxes could include guidelines, standards, lessons learned, etc.'. In other words – according to the ToR – they could, but need not, include these items, leaving it unclear what the toolboxes should contain.

32. The answer to EQs 2 & 3 also revolves around the quality of the logframes formulated in the context of the preparation and implementation of the Project. There are at least four logframes [**Annex 6**]. Two of them antedate the start of the project, i.e. they were annexed to, respectively, the Action Fiche describing the larger programme of which the Project forms a part, as well as the Financing Agreement (FA) under which the contract that rules the project is financed[13]. In both cases, these logframes are of poor quality. Although they describe the intervention logic used in the Project ToR, the 'objectively verifiable indicators' (hereinafter 'indicators' for short) lack 'SMART'-ness. In addition, they are neither accompanied by baseline data in respect of the situation prevailing at the start of the Project, nor benchmarked in terms of quantified, qualified, and appropriately timed targets.

33. The same applies to the logframes 3 & 4 in **Annex 6**. Leaving the original intervention logic intact, these logframes contain an even larger number of indicators for each result. The majority of these rephrased indicators must also be considered neither assessable nor helpful in measuring the degree of achievement of the Project's expected results.

34. Without belabouring the point, the question might be asked whether results framed in this fashion are likely to lead to, respectively: (i) a targeted technical proposal from prospective bidders; and (ii) adequately formulated work plans on the part of the technical systems eventually selected to implement the project.

35. At the very minimum, their successful achievement would have to rely on a clear – and well-communicated – subsequent interpretation of the results on the part of the contracting authority. There are procedural, even contractual, issues linked to any (re-) interpretation or (re-) formulation of the expected results set out in the original intervention logic. Clarity between the contractor and the contracting authority on whether and to what extent the Project's results have been or can be expected to be achieved therefore has to rely on adequately formulated, agreed upon indicators.

36. In the absence of such, only a very cordial and mutually supportive cooperation between the contracting authority (EUD) and the contractor (for practical purposes, the TAT) can overcome the lack of a shared interpretation on what the Project is expected to achieve. At the time of the present evaluation assignment, this kind of cooperation between the EUD and the TAT was found to be lacking, with each party expressing confusion with regard to the position of the other.

37. Since the inception of the Project, the TAT has been trying to address EUD concerns related to a lack of progress in the achievement of objectives and results by rewording the logframes and work plans. EUD for its part has repeatedly asked for a clearer articulation by the TAT of how the Project will achieve its objectives and in particular how it can be founded on an easily communicable strategy, shared between the EU and Chinese parties in the *Partnership on Urbanisation.* EUD's call for a concise, but comprehensive strategy in language accessible to the layman has proved elusive.[14]

38. Although the relevance of the Project is not in doubt, the way in which its results and the related indicators are formulated constitutes an obstacle in the way of objectively assessing the project's likely effectiveness and impact [**Sections 3.3** & **3.4**].[15]

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[13] Service Contract N° DCI-ASIE/2013/329-453, dated 31 October between EUD and the GIZ-consortium.

[14] The most recent attempt by the TAT at a strategy, in the course of March 2016, consisted of the drafting of a 'Design & Monitoring Framework' for the Project, the successful outcome of which was uncertain at the evaluation cut-off date.

[15] After the evaluation cut-off date the evaluators had the opportunity to review a new Design & Monitoring Framework (DMF), the revised AWP2 and the accompanying logframe submitted by the PFT in April 2016. The

3.2 Efficiency

Nº	Summary of Evaluation Questions re: Efficiency
4	Have activities been cost-efficient?
5	Are objectives in track to be achieved on time?
6	Is the project being implemented in the most efficient way compared to alternatives?

EQ 4: Have activities been cost-efficient?

39. The project started its operation in November 2013, with the mobilisation of the TAT and their arrival in Beijing. After first being hosted at the GIZ offices in Beijing, the team moved to the premises of its direct counterparts, the *Chinese Society for Urban S*tudies, in mid-March 2014.

40. Although restrictive in terms of space[16], the move enabled the TAT to benefit from co-location with the members of the Project Task Force (PTF):

   - Dr Li Hailong (Project Director)
   - Dr Dai Guowen (Urban Planning Expert)[17]
   - Ms Ding Xiaoting (Project Officer)
   - Mr Liu Dazhang (Project Officer); and
   - Ms Zhang Mengyuan (Project Assistant)

41. Active interaction with the PTF was instrumental for the TAT in gradually gaining the confidence of the ministry ultimately made directly responsible for the project, MoHURD.[18]

42. The inception period, originally envisaged to last 6 months, but extended by 1 month until 18 June 2014[19], further enabled the project to engage with a Project Advisory Group (PAG), consisting of Chinese and EU experts and officials, and to take the decision to review the Project's progress against the background of continuing developments in China and worldwide in the sphere of low carbon/eco cities and advise the PTF, the TAT and the PSC.[20] The PAG made its first substantial contribution to Project implementation in the evaluation (in November 2014) of the bids from potential eco/low carbon pilot cities solicited during the inception phase.

43. Formal monitoring of the Project is carried out by the Project Steering Committee (PSC), which is chaired by the Ministry of Commerce (MoFCOM), and further consists of representatives from the EUD, the Ministry of Finance (MoF), MoHURD and the National Development & Reform Committee (NDRC). The PTF and the TAF together provide the secretariat for the PSC. The project management structure is set out in **Figure 1**.

44. The first meeting of the PSC took place on 04 July 2014, i.e. nearly 8 months from the start of Project mobilisation. The second PSC meeting took place on 15 July 2015. The main topic on

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DMF is a good starting point for arriving at an appropriate strategy for the rest of the Project duration. The intervention logic as set out in the logframe accompanying AWP2 version 2, will need more work in terms of the quality of the indicators, especially at the level of the seven results.

[16] The TAT occupied the CSUS meeting room, until early March 2016, when CSUS managed to provide three offices for the KEs, with the NSS members sharing a large open-space office with the PTF project officers and assistant. The current offices space may facilitate the operations of the Project's 'help desk' function.

[17] Replacing the first PFT Urban Planning Expert, Mr Li Yifei, who left to pursue his PhD at the end of the Project inception period.

[18] Although both the Project ToR and the GIZ Consortium's technical proposal acknowledged the leading role of MoHURD in relation to project co-ordination, implementation and management, the genesis of the project concept foresaw leading roles for the Ministry of Commerce (still responsible for facilitating cooperation of beneficiaries and stakeholders) and the National Development & Reform Commission. It took time and discussion before the respective roles of these entities could be sorted out, with the NRDC eventually taking a back seat (although it remains represented in the PSC) and the role of MoFCOM focusing on facilitating the cooperation of beneficiaries and stakeholders through chairing the PSC.

[19] EUD approved the MoHURD requested extension by letter dated 19 May 2014.

[20] In this connection, EUD has pointed out that the PAG foreseen in the ToR was never formally established. The 'PAG' referred to in this report concerned an ad-hoc groups of experts nominated by MoHURD for the purpose of selecting the Project's pilot cities, without participation by EU experts or EUD staff.

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its agenda was 'project management and operational efficiency'. In this context, the meeting minutes stated *inter alia* that EUD *would have preferred another discussion on the project strategy prior to holding the PSC*. A second item concerned the 'timeline for the approval of AWP2', with regard to which EUD stated that the document as *presented to the PSC has too much detail and [is] difficult to understand; [EUD] was only given one week to review it prior to the PSC meeting*.

Figure 1: Project Management Structure
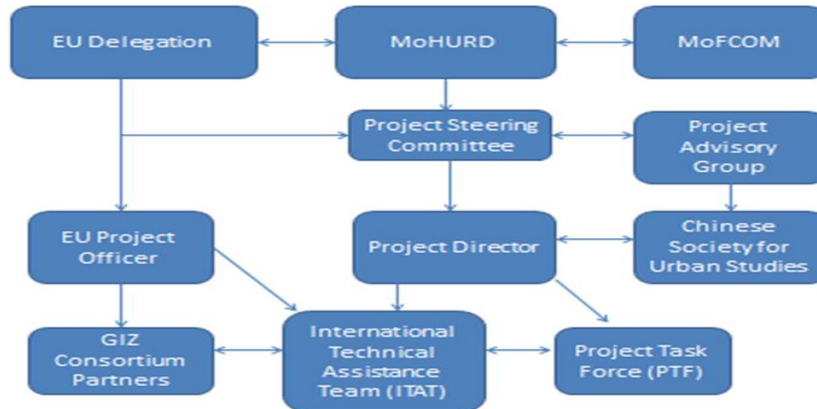
Source: *EC Link Project – Progress Report 1 (Jun-Dec 2014)*

45. The project began with commendable early mobilisation and energy, with a total of 401 KE and 60 NKE days expended over the seven months of the inception period. During that period, the TAT focused on:

- the design and tender documentation for the digital Knowledge Platform (KP), intended to lead to a better version of the platform by Sep 2014, and the establishment of the 'physical' secretariat (TAT+PTF) and the 'help desk' (Result **R1**);

- the concept and initial design of 'toolboxes' designed to address Chinese cities' urbanisation problems in a sustainable format (**R2**);

- the establishment of an 'objective evaluation' and matching criteria – acceptable to both MoHURD and EUD – for the identification of candidate pilot eco cities, in particular a single, leading comprehensive pilot city; including visits by the TAT to EU and Chinese cities (**R3**);

- the identification of a set of 'knowledge products', the preparation for a database of city profiles and a 'thematic matchmaking services' to be shared on the KP. This activity included the Project being selected for rendering support to the 12 city partnerships signed at the Nov 2014 *EU-China Forum on Urbanisation* [**Table 2**, below] (**R4**);

- the monitoring of the municipal infrastructure financing policies of the People's Bank of China and relevant IFIs (**R6**); and

- the formulation of a communication & visibility strategy for inclusion in the Initial Plan of Activities (IPA) and ultimately designed to facilitate the exchange of know-how and information between Chinese and EU cities through the KP (**R7**).

46. There were no activities during the inception period in respect of capacity building for municipalities (**R5**).

Table 2: European Partner Cities and EC Link Pilot Cities

Nº	Chinese City	12 Partnership Cities Urbanisation Forum	MoHURD–EC Link Partnership Cities
1	Changzhou	Essen (Germany)	Prato (Italy); Jelena Gora (Poland); Minden (Germany); Satakunta (Finland); Tilburg (Netherlands)
2	Guilin	--	Torun (Poland)
3	Hefei	--	Aalborg (Denmark); Belfast (UK); Lleida (Spain); Osnabrück (Germany)
4	Liuzhou	--	Passau (Germany)

Nº	Chinese City	12 Partnership Cities Urbanisation Forum	MoHURD–EC Link Partnership Cities
5	Luoyang	Turin (Italy)	Alcala de Henares (Spain); Plovdiv (Bulgaria); Tours (France); Turin (Italy)
6	Qingdao	--	Nantes (France)
7	Weihai	Ghent (Belgium)	Alkmaar (Netherlands); Biella (Italy); Cheltenham (UK)
8	Xixian New Area	Chartres (France)	--
9	Zhuzhou	--	Fredrikstad (Norway)
10	Zhuhai	--	Barcelona (Spain)

Source: AWP1, Addendum (2015); Note for File (17 April 2015)

47. Highlights of activities carried out and outputs delivered during the first six months of the implementation period, as described in PR1 (19 Jun-18 Dec 2014) were:

- the terms of reference for a service agreement (signed in Nov 2014) with the developer of a web-platform for the KP (**R1**);

- agreement on the nine sectors selected as the foci for the 'toolboxes' to be produced, but delayed due to the resignation of the then incumbent of the KE2 position; establishment of a list of 10 sector pilot cities [**Table 3**, below] on the basis of criteria and selection procedure agreed between MoHURD and EUD (**R2**);

- selection of the city of Zhuhai[21] as the Project's 'comprehensive pilot city' and the formulation of the initial work plan for Project activities together with counterparts in that city. With regard to the selection of the pilot city EUD expressed the view that was insufficiently involved in the selection (**R3**);

- content development for the KP with the assistance of European networks, including GIZ-consortium partners, and the canvassing of 30 Chinese cities in respect to their experiences with European counterparts (**R4**);

- a training needs assessment amongst the Project's 10 pilot cities, in respect to the development of a curriculum covering the nine sectors for the toolboxes (**R5**);[22]

- a review of evolving municipal finance frameworks in respect to green housing, municipal & corporate bonds and financing instruments – revealing demand for policy support, and workshops on specific instruments, as well as tailor-made solutions for eco cities in relation to multi-lateral financing institutions and private-public partnerships [PPP] (**R6**);[23]

- and further development of the communications & visibility strategy, coupled with 'outreach' missions to European and Chinese cities (**R7**).[24]

Table 3: EC Pilot Cities & Selected Sectors

Nº	City	Strategic Sectors								
		CE	CUD	GB	GI	GT	MF	SWM	UR	WM
1.	Changzhou			√		√		√		
2.	Guilin		√	√		√	√		√	√
3.	Hefei			√			√			√
4.	Liuzhou		√			√				
5.	Luoyang	√	√	√	√	√	√		√	

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[21] Two other cities vied for the same designation, with the city of Luoyang ultimately selected as a reserve pilot. The selection process was based on an evaluation methodology agreed – not without difficulty – between MoHURD, the TAT and the EUD (representatives of which were included in the appraisal team).

[22] The project has used an excel sheet to summarise the needs of the pilot cities. More information is contained in AWP2 plan. These do not provide sufficient detail on how conclusions were reached concerning the training needs, how they would then be met, if any had been met and what the feedback was from those met.

[23] There is no clear evidence of this review having taken place, unless in the context of toolbox preparation **[§88]**.

[24] The project has developed a dissemination strategy (last full version dates from July 2015) that is logical and presents a standard approach to the topic. However, there is no evidence that any of the theory presented in the strategy has been effectively implemented.

Nº	City	Strategic Sectors								
		CE	CUD	GB	GI	GT	MF	SWM	UR	WM
6.	Qingdao	√								√
7.	Weihai	√		√		√		√		√
8.	Xixian New Area			√						√
9.	Zhuzhou			√		√				
10.	Zhuhai	√	√	√	√	√	√	√	√	√

Source: AWP1 – Addendum (normal font) and (draft) AWP2 (red font)

48. PR1 highlighted a number of challenges faced by the Project in the course of the inception and reporting periods, including: (i) delays in finalising the contract with the website developer due to sub-contracting issues (**R1**); (ii) the resignation of KE2 and finding a replacement for him, which delayed the work on the toolboxes in particular (**R2**); and (iii) cramped office space for the secretariat (TAT + PTF) and the help desk (**R7**).

49. The Project did not manage to carry out all activities planned for the PR1 reporting period. **Table 4** provides an impression[25] of the state of completion of activities in respect of R1-R7 – grouped by component.

Table 4: Progress Report 1 – Indicative State of Completion of Activities

Results	Project Components	Completed	Partially Completed	Not Completed	Totals
R1, R4 & R7	1. Support Mechanism: KP, Matchmaking & Visibility)	7	7	5	19
R2 & R3	2. Urban Sustainability Lab: Toolboxes & Pilot City	--	2	--	2
R5 & R6	3. Urban Sustainability Help Desk: Capacity Building/MF	5	4	1	10
	Totals	12	13	6	31

Source: GIZ Consortium

50. Project 'ownership', being essential for project implementation and critical to the success of a project of this size, compelled the evaluators to look into the relationship between the TAT, the PTF and MoHURD management. Interviews with the responsible Deputy Director General (DG) and his staff at MoHURD, as well as the CSUS Project Director, confirmed MoHURD statements made at the 2nd PSC Meeting (Jul 2015) that demand for support from the Project is very high and that the TAT, in its present composition, enjoys the confidence of both. This in spite of earlier misgivings in relation to the first occupants of the KE2 and KE3 positions, which partly explained their respective resignations **[§62]**.

51. Both the responsible Deputy DG at MoHURD and the Project Director (the Deputy Director of CSUS) however made it clear that the Project is now under scrutiny and the TAT in need to deliver. In the absence of further delays in delivering the outputs set out in the ToR and the consortium's technical proposal, the Project risks losing active counterpart ministry support and being eclipsed in the competition for the attention of hard-pressed Chinese officials with many demands on their time and working in a rapidly changing environment. The Deputy DG and the Project Director referred in this context to delays in approval on the part of the Commission Services of the Project's work plans (AWP2 in particular) and the resulting hold-up in project activities.

52. The counterparts – represented by MoHURD's Deputy Director General and the Deputy Director of CSUS (the Project Director) – showed themselves to be aware of EUD's concerns in respect to a Project strategy, citing the TAT's tendency towards perfection and detail in planning as perhaps too much of a good thing. They nevertheless made it clear that the Project constitutes an essential and much-appreciated contribution to Chinese efforts to take advantage of European technical and governance know-how in the sphere of eco/low carbon/eco urban

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[25] There are inevitable problems in precisely defining the terms 'completed', 'partially completed' and 'not completed'. The table should therefore be interpreted with caution.

development. In this context, the business and cooperation potential for European enterprises and organisation in the Chinese market for eco/low carbon initiatives was highlighted.

EQ 5: Are objectives on track to be achieved on time?

53.   This evaluation question primarily relates to project effectiveness and (potential) impact and will be addressed in the relevant sections of this report [**Sections 3.3** & **3.4**]. In terms of efficiency, the question inquires after the quality of work planning, which in this Project is embodied in its Initial Action Plan (IPA), Inception Report (IR), Overall Work Plan (OWP) and Annual Work Plans (AWP). **Table 5** sets out the scheduling of work plans and reports in accordance with the Project's ToR and the IR, as well their approval status.

Table 5: EC Link Project – Due Work Plans & Progress Reports [Status]

Item	Due (ToR & IR)	Submission to EUD	Approved by EUD	Reporting Period
Initial Plan of Activities (IPA)	n/a	19 May 2015 (version 2)	04 Jun 14	17 Nov 2013 – 17 May 2014
Inception Report	mid-May 2014	26 Jun 2014	06 July 2015 [after consideration by the PSC on 04 Jul 2014]	17 Nov 2013 – 18 Jun 2014
Overall Work Plan (OWP)	mid-May 2014	26 Jun 2014	06 Jul 2015	17 Nov 2013 – 18 Nov 2017
1st Annual Work Plan (AWP1)	mid-Jun 2014	mid-Jun 2014 [addendum May 2015]	06 Jul 2015 [revised version]	19 Jun 2014 – 18 Jun 2015
1st Progress Report (PR1)[26]	mid-Dec 2014	mid-Mar 2014	pending	19 Jun 2014 – 18 Dec 2014
AWP2	mid-Jun 2015	mid-March 2016	pending	19 Jun 2015 – 18 Jun 2016
PR2	mid-Jul 2015	mid-Apr 2016 (planned)	n/a	19 Dec 2014 – 18 Jun 2015
PR3	mid-Jan 2016	mid-Apr 2016 (planned)	n/a	19 Jun 2015 – 18 Dec 2015
Design & Monitoring Framework	n/a[27]	Early-April 2016 (planned)	n/a	n/a

Source: GIZ Consortium & TAT Reporting

54.   The preparation of Project work plans has not been without its problems, as evidenced by the due date, submission and approval dates in the above table. EUD only formally approved the IR on 06 July 2015 (i.e. one year after the end of inception period), the submission of which was delayed until the last month of the Inception Period of 7 months (after an extension by one month).

55.   The OWP which was first submitted in June 2014 (i.e. at the end of the inception period), was also formally approved by EUD in July 2015, as was the first Annual Work Plan (AWP1). In the note approving both work plans, the EUD referred to extensive discussions over the preceding months to define the strategy of the project (which it considered as not being well defined in the version of AWP1 submitted to the first PSC meeting (04 July 2014, after which a revised version of AWP1 was prepared in Oct 2014). The July 2015 note made mention of small corrections still to be made to AWP1 and the fact that the OWP and its logframe [**Annex 6**; logframe 3] were by then outdated. The note anticipated the corrections and updates to be made in the course of the preparation of AWP2 by Sep-Oct 2015.

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[26] Each six-monthly report should be accompanied by a financial report, an expenditure verification report and an invoice.

[27] Not a planning/reporting deliverable specified in the ToR, but a document requested by EUD in its continued search for a viable Project strategy, in this particular case focusing on establishing a set of outputs & outcomes allowing for easy progress monitoring.

56. In the event, AWP2 was first submitted to EUD in Jun 2015, but not approved. A revised AWP2 was prepared in mid-March 2016, i.e. 8 months later than due, and formally submitted by the PTF in April 2016 (i.e. after the cut-off date of this evaluation)[28]. As in the case of the OWP and AWP1, the main issue was EUD's concern with regard to the strategic underpinning of the Project's activities and outputs. In response to these concerns, the PTF submitted to EUD a Design & Monitoring Framework, a revision of AWP2 and an amended logframe (April 2016). That logframe [**Annex 6**, **Logframe 5**] reflects the new DMF by simplification of the formulation the Project's 7 results and reducing the number of indicators by 40%.[29] However, only in a small number of cases has the quality of the indicators – and thereby the measurability of achievement of the objectives and results – improved (in comparison with the previous logframe (Dec 2015; Logframe 4 in **Annex 6**). The DMF may be considered the TAT's attempt to provide a concise, comprehensive and better-focused strategy. The evaluators consider this document a good starting point. but would advocate shortening it and focusing it even further.

57. By the cut-off date of the evaluation, the TAT had produced – in addition to successive versions the OWPs and two AWPs – a number of progress reports, including the IR (Jun 2014) and a first, six-monthly Progress Report (PR1, Mar 2016). Like the work plans, these reports – although they exemplify good technical knowledge – are very detailed, to such an extent that it may obscure the overall picture.

58. A case in point is the 14-page executive summary in the IR, which contains details, in respect to delivering the outputs under each of the Project's seven results, better kept for the main body of the report. Sometimes (e.g. the text on Result 3 on pp 5-10, ibid), the observations in the executive summary would have warranted a separate paper. As presented, it is hard to get a clear, comprehensive picture of the activities during the inception period, the outputs delivered, the difficulties encountered and the steps to be taken during the next reporting period. EUD considered[30] the IR to contain too little analysis, in that it lacked reviews of other similar projects, other tools and guidelines issued or under implementation, as well as the challenges related to achieving the Project's overall objective.

> **Box 1: Inception Report**
>
> The Inception Report:
>
> - is overly long, at 62 pages, with some 240 pages of annexes;
> - lacks a (reviewed) timeline for outputs/results (although reference is made to the first AWP, which predates the IR);
> - bears the character of an 'apologia' for the fact that the initial work planning – although very detailed – failed to come to grips with the Project's complexity, and
> - although it contains a section on Project's policy dimensions (Ch. 3), does not spell out a concise, easily accessible strategy.

Judging by its eventual output, the IR, as well as the Initial Plan of Action and the first version of the AWP1, the TAT had great difficulties in coming to grips with the Project's scope. This was largely due to inadequate performance by key experts 2 and 3, both of whom required replacement during or shortly after the inception period. The difficult inception has affected Project implementation up to now, in a number of ways. First, the still absent agreement between the contractor, TAT and EUD on the Project's strategy. Second, the Project's relationship, through the CSUS, with MoHURD, a ministry with perhaps too narrow a mandate to accommodate a more strategic policy positioning of the Project. The TAT has made several attempts to improve the Project's intervention logic in the course of the inception period and the implementation period so far. The logframe in the FA has been amended several times, most recently in April 2016. The most recent logframe (accompanying the revised AWP2) has simplified the wording of the seven expected results from the ToR, but – judging by the objectively verifiable indicators in it – remains unclear about how to measure the achievement of

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[28] In a letter to MoHURD and GIZ, dated 13 June 2016, EUD remarked that AWP2 was received three quarters of a year later than planned and suggested redefining the project during the preparation of AWP3 which should *focus more on the strategic/planning dimension and include relevance, cost-efficiency, sustainability, availability, replicability and EU potential elements.*

[29] It is to be noted that the simplified reformulation of the results R1-R7 has created its own problems. Five results R3-R5 now describe activities, rather than results per se. Results expressed using 'are supported', 'are trained' and 'are shared' require particularly unambiguous and measurable indicators to establish what the support, training and sharing amounts to for the results to count as such.

[30] And still considers.

those results. A lack of clear indicators renders it difficult to follow the proposed intervention logic.

59. Following EUD approval of the IR[31], it took the GIZ-consortium until March 2016 to file a definitive version of the first six-monthly progress report, which – like AWP2 – had not met with EUD approval by the evaluation cut-off date[32]. The two next progress reports were under preparation at the time of the evaluation mission, but had not been submitted by the cut-off date, although due by mid-Jul 2015 and mid-Jan 2016, respectively[33] [**Table 2**, above].

60. The reporting at hand is at times repetitive. When read in conjunction with the OWP/AWPs, the same activities and outputs appear without a clear picture developing as to the state of completion of the activities and the delivery of outputs.

61. On the positive side, Project reporting uses the logframes for the purpose of monitoring the progress in implementation. Not all EU-funded projects adopt this practice and it is refreshing to note that the Project's PR1 makes an attempt to refer to the indicators set out in Logframe N° 4 [**Annex 6**], in particular in respect of result **R1**. This is an improvement on the mere listing of activities implemented and outputs delivered typical of most project reporting and also sometimes resorted to in this Project's reports.

<div style="background-color:#8e3d5f;color:white;padding:4px;">EQ 1: Is the project being implemented in the most efficient way compared to alternatives?</div>

62. Considering the timing and delivery of project planning and progress reporting documentation, the Project is not being implemented in the most efficient manner [**Table 5**].

63. Another way to consider this question relates to the use of available project personnel and their deployment over the 28.5-months period between 17 November 2013 and 31 March 2016.

64. The core technical assistance team (TAT) currently consists of 3 international key experts (KE):
   - Mr Frédéric Asseline, Team Leader (KE1), engaged for 880 working days over the Project's duration of four years;
   - Dr Florian Steinberg, Sustainable Urban Development Expert (KE2) – 800 working days[34];
   - Mr Malte Beckmann, Knowledge Management Expert (KE3) – 800 working days[35].

65. The international KEs are supported by four full-time National Support Staff (NSS) on the TAT, engaged by open recruitment procedure, including[36]:
   - Ms. Li Chunyan, Coordination Officer (in position since Nov 2015);
   - Ms Yao Zhue, Project Officer (Jan 2014);
   - Ms Yue Qiushi, Communications Officer (Jan 2016); and
   - Mr Zheng Zhejie, Financial Management Officer (Jul 2015).

66. In addition to the total of 2,480 working days for the three external KEs on the TAT, the ToR and the GIZ consortium's technical proposal foresee a total of 3,500 working days of non-key, short-term expert (NKE/STE) input, sourced from both 'new' and 'old' EU Member States, Mongolia and Turkey. This provision should consist of 2,100 working days by senior experts, as well as 1,400 working days of 'junior' input.

67. At the cut-off date of the evaluation, i.e. 28.5 months (or 59%) into the total project duration of 48 months, the three KEs had delivered together a total of 1,205 working days, representing 49% of the total provision of KE days, and leaving a balance of 1,275 days (51%).

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[31] Only on 06 July 2015, i.e. a year from the end of the inception period in June 2015.

[32] EUD approved the first progress report at the beginning of June 2016.

[33] Part of the delays in formal reporting may be linked to the circumstance that the six-monthly reports need to be accompanied by financial and verification reports, and an invoice. Temporary liquidity problems on the part of the Contracting Authority reportedly have played a role in the latter not insisting on timely submission of the six-monthly progress reports. The discussions between EUD and the TAT on successive versions of the AWPs appear to have provided – informal – substitutes for formal progress reports.

[34] Replacing, in May 2015, Mr. Keith Perry, who resigned in June 2014.

[35] Replacing, in November 2015, Mr. Baudouin de Sonis, who left the Project in July 2015.

[36] In spite of the optimism expressed its Technical Proposal, the GIZ consortium encountered difficulties in the identification of suitable NSS. Only one of the four incumbents were in place by the end of the Inception Period (June 2014). Two incumbents – the Coordination Officer and the Communications Officer – replaced earlier members of the NSS line-up, in months 24 and 26 of the project duration, respectively.

68. The usage rate of KE working days at the cut-off date therefore fell slightly short of pro rata with the project implementation period at that point. The shortfall in the usage of KE working days is largely explained by the difficulties encountered in the replacement of KE2, which took 11 months[37], and – to a lesser extent – that of KE3, which took 4 months.

69. However, the *prima facie* reasonable usage rate of available working days obscures the fact that the relatively large number of days used by the first incumbent of the KE3 (337 working days) does not appear to have contributed much towards the envisaged detailed design of the Project website[38] and the interactive digital KP[39].

70. The Project had used a total of 583 (28%) of senior NKE working days, leaving a balance of 1,517 days. It had further availed of 206 (15%) of junior NKE/STE working days, leaving a balance of 1,194 days. The total of NKE/STE working days used[40] by the MTE cut-off day therefore amounts to 789 (23%), leaving a balance of 2,711 of both senior and junior NKE/STE days. The Project's personnel deployment is set out in detail in **Annex 7** and summarised in **Table 6**.

Table 6: Project Personnel Deployment – Summary

Expert	Position	Budget (WDs)	Used (WDs)	Usage Rate (%)	Balance (WDs)
KE1	Team Leader	880	497	56	383
KE2	Sustainable Urban Development	800	261	33	539
KE3	Knowledge Management	800	447	56	353
	Sub-totals KE	*2,480*	*1,205*	*49*	*1,275*
NKEs	Senior, Short-Term (10)	2,100	583	28	1,517
	Junior, Short-Term (4)	1,400	206	15	1,194
	Sub-totals NKE	*3,500*	*789*	*21*	*2,711*
	Totals (KE+NKE)	**5,980**	**1,994**	**33**	**3,986**

Source: GIZ Consortium [data for the period 19/11/2013-18/03/2016]

71. The slow uptake of NKE/STE working days is – according to statements by both Project management and the Contracting Authority – largely due to delays in the finalisation and approval of Project work plans and reporting **[§§54-59]**. Available accounts show that the last major deployment of NKEs essential for supporting the work of the KEs occurred in the period Feb-Jul 2015 (for a total of 361 working days).

72. The difficulties encountered with the performance and subsequent replacement of two out of three KEs appear to have taken their toll in terms of goodwill on the part of the Contracting Authority towards the TAT and the contractor.

73. Disbursement against the Project's budget commitment is low. According to contractor figures, the total amount invoiced to the Contracting Authority, and paid, amounts to slightly less than 1.2 MEUR [i.e. 12% of the EU-contribution to the Project budget, including incidental expenditure (IE)]. The IE part of this amounts to some EUR 83,000 (circa 3% of the IE budget). At the MTE cut-off date, the consortium leader was preparing its invoice for the period up to 18 December 2015. Information provided by the contractor suggests that, when paid, this invoice would increase the total disbursed against the Project contract to around 1.82 MEUR, including IE (at slightly over EUR 170,000, or 6% of the IE budget).

74. Project management currently await the approval by EUD of AWP2 and progress reporting, and in particular the approval of an appropriate strategy, to increase the Project's momentum. The idea is that the approvals would enable to the Project to engage in activities without or at least

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[37] A first search for a replacement had to be restarted after 7 months, when an already identified expert declined to take up the position, reportedly at the last moment.

[38] The website was available online just after the MTE cut-off date, i.e. on 11 April 2016.

[39] Apart from the rather general, theoretical approach to the development of the Knowledge Platform, that KE3's contribution to AWP2 (Jun 2015) consisted of a repetition, without further detailing, of his contribution to AWP1 nine months earlier.

[40] Including working days already approved by EUD, but not yet actually utilised (at total of 24 working days).

less and faster *ex ante* clearing of terms of reference and other Project activity and event-related documentation. To an extent, the EUD appears to share this thinking.

3.3 Effectiveness

Nº	Summary of Evaluation Questions re: Effectiveness
7	What has been achieved (results/outcomes, impacts) so far when compared to what is stated in the project logframe?
8	To what extent results and – consequently – objectives are likely to be achieved?
9	What are the major factors influencing the achievement or non-achievement of results and objectives?

EQ 7: What has been achieved (results/outcomes, impacts) so far when compared to what is stated in the project logframe?

75. The quality of the logframes produced prior to and in the course of Project implementation complicates an objective assessment of the achievement of its expected results (outcomes) and intended impact.

76. The activities and outputs mentioned in the intervention logic set out in successive logframes appear plausible. The lack of SMART indicators obscures the *de facto* relationship between implementing the activities and delivering the outputs, on the one hand, and achieving the intended results and impact, on the other hand **[§§31-29]**.

77. The significant delays in the implementation of Project activities – due to delayed approval of the OWP and AWP1, the still pending approval of AWP2 **[§§54-56]** and delayed, as well as somewhat inaccessible reporting **[§§57-60]** add to the difficulty of pronouncing the Project's effectiveness.

EQ 8: To what extent results and – consequently – objectives are likely to be achieved?

78. The intervention logic is plausible where the relation between the results and the project purpose is concerned. Achievement of the Project's envisaged results may therefore be considered to lead to achievement of its specific objective and its overall objective.

79. In the following paragraphs, the results are grouped by the three components identified in the ToR, the contractor's technical proposal and subsequent Project reporting:

- *Component 1*: Support Mechanism (Results R1, R4 & R7)
- *Component 2*: Urban Sustainability Lab (R2 & R3);
- *Component 3*: Urban Sustainability Help Desk (R5 & R6).

80. **Result R1, R4 & R7**. The key to a functioning support mechanism (R1), a viable 'match-making' system and effective Project communications & visibility, is the establishment of the digital KP. The contractor's technical proposal foresaw the completion and operationalisation of the ICT tools for month 7 of the project duration, i.e. June 2014. The IR and PR1 refer to the contracting of the ICT tool (interactive website/platform) in November 2014. The work on the development of the KP encountered much delay prior to the resignation of the first occupant of the KE3 position.

81. The replacement of KE3 in November 2015 has given new impetus to the development of the KP. At the evaluation cut-off date, the Project website was expected to go online by the end of April 2016[41], with the interactive platform envisaged to be operational by the end of June 2016. Getting the KP online must be considered indispensable, especially in respect of the Project's 'matchmaking' capabilities vis-à-vis cities and other stakeholders.

82. The result related to 'matchmaking' (R4) has not yet been achieved, mainly because of the absence of an operational KP. The Project, through the GIZ-consortium partners, made a concerted effort during the inception period and subsequently in drawing cities' attention to the Project and its information/knowledge sharing methodology, *inter alia* through city visits in China and the EU. In spite of the interest shown by cities and other stakeholders in sharing know-how and experience on eco/low carbon urban development, the absence of the vehicle for doing so – the KP – has hampered the development of intensified contacts through the Project.

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[41] In the event, it went online slightly earlier, on 11 April.

83.   The result (R7) pertaining to Project visibility and the communication and dissemination of its results has not yet been achieved. A key concept in this context – and one especially stressed by EUD – is the replicability and scaling up of positive EU experience with eco/low carbon initiatives in China. The lack of the KP limits Chinese access to EU experience/initiatives, although this is not the only factor. Equally important will be the formulation between EUD, the TAT and the MoHURD counterparts of a viable replicability/upscaling component of the Project strategy. At the cut-off date, the three parties did not appear to share many ideas on this topic.

84.   The Project did formulate ToR for the development of a communications & dissemination strategy. The IR refers to an outline of a communications & dissemination strategy annexed to the IPA, as a basis for communications & dissemination strategy for the whole of the Project duration. However, no further mention of the strategy is made in PR1, which merely lists a number of public relations activities & events, as well as the production of brochure.

85.   **Results R2 & R3**. The achievement of R2 and R3 (related to the Urban Sustainability Lab component) depends first and foremost on the finalisation of 9 sector toolboxes, the preparation of which – together with 10 short-term experts – has demanded the lion's share of KE2's working days. **Annex 8** provides a summary of the state of their completion.

86.   The Project has developed a plausible review & drafting process based on the successive revision of drafts and translations of the toolboxes. **Figure 2** sets out this process.

Figure 2: EC Link Tool Boxes: Review & Drafting Process
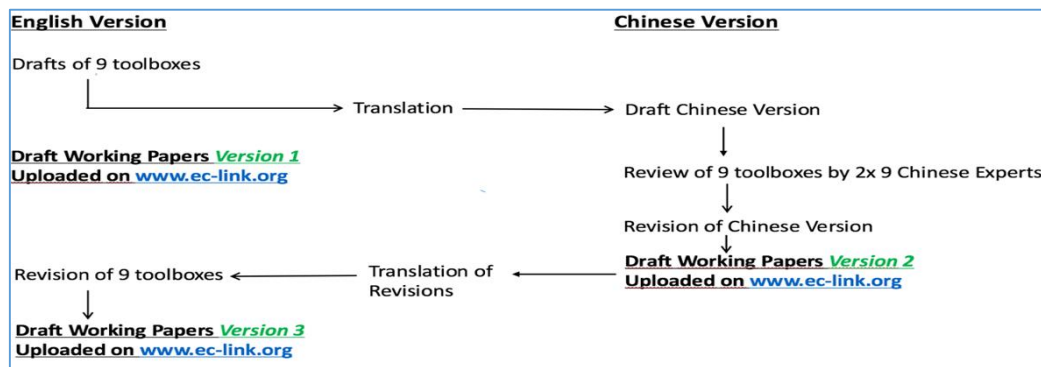
Source: EC Link Project (email dated 04 April 2016)

87.   **Results R5** & **R6**. Together with the ADB/GIZ sponsored *Cities Development Initiative for Asia* (CDIA), the Project carried out a training needs assessment with a focus on the 9 sector foci topics [respectively: Compact Urban Development (CUD), Clean Energy (CE), Green Building (GB), Green Industries (GI), Green Transport (GT), Municipal Finance (MF), Solid Waste Management (SWM), Urban Renewal & Revitalisation (URR) and Water Management (WB)]. This resulted in design and curriculum development for an – unspecified – number of 3-to-5-day training events targeting 30 participants each in six cities on seven topics [CE (in Hefei), GB (Luoyang), GT (Changzhou), MF and Low Carbon Planning (Zhuhai), SWM (Beijing) and WM (Liuzhou). The events were scheduled to be held in the last quarter of 2015 and the first half of 2016. The delivery of these training events is uncertain in view of the pending approval of AWP2.

88.   In respect of municipal finance, the Project reportedly carried out a review of policies on green and housing finance, as well as municipal/green and corporate bonds. PR1 asserts that the needs assessment showed demand for: (i) general policy support in this area; (ii) workshops on municipal finance reform; and (iii) Project specific solutions in the pilot cities re multilateral financing modalities, including PPPs. The related work may have contributed to the production of the Municipal Finance toolbox (**R2**), but it is unclear to what extent this complex issue – which relies on yet to evolve, effective cooperation between cities and financing institutions – can be pursued further within the remainder (40%) of the project duration.

89.   **Table 7** presents a summary of the achievement of the Project's expected results at the evaluation cut-off date.

Table 7: (Likely) Achievement of Expected Results

Nº	Expected Result	Extent of Achievement: A (Actually Achieved); O (Ongoing Measures); S (Suggestions for Action)
Component 1: Support Mechanism (KP, Matchmaking & Communications)		
R1	***Knowledge Platform***: An appropriate support mechanism enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management is implemented.	**A**: Not yet achieved, although the digital KP is key to a functioning support and 'match-making' system. **O**: Increased momentum through the replacement of KE2 in November 2015 has given new impetus to the development of the KP. Expected Project website online: end-April 2016: interactive platform operational by end-June 2016. **S**: Getting the KP on stream as soon as practical, as indispensable for the Project's 'matchmaking' capabilities vis-à-vis cities and other stakeholders.
R4	***Matchmaking***: Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and between different actors/donors). This will also include the set-up of cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chinese cities have first-hand access to know-how and operational details of clean urban development initiatives undertaken in Europe.	**A**: Not yet achieved, mainly because of the absence to an operational ICT-based KP. In spite of the interest shown by stakeholders in sharing know-how and experience on eco/low carbon urban development, the absence of this vehicle has hampered the development of intensified contacts through the Project. **O**: Idem R1. **S**: Idem R1.
R7	***Communications***: Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximised.	**A**: Not yet achieved (idem R1 & R2). The absence of the KP limits Chinese access to EU experience/initiatives. Of equal importance is the creation of a viable replicability/upscaling strategy. **O**: The Project developed outline ToR for the development of a communications & dissemination strategy. Project reporting does include the communication strategy, but lists a number of public relations activities & events, as well as a Project brochure. **S**: Address the replicability/upscaling of EU successful eco/low carbon initiatives at city level through the KP and a communications strategy in the interest of sustainability.
Component 2: Urban Sustainability Laboratory (Toolboxes & Comprehensive Pilot City)		
R2	***Toolboxes***: MoHURD is supported in preparing eco-low carbon city management toolboxes for local governments. Toolboxes could include guidelines, standards and lessons learned from low carbon eco-city pilots.	**A**: What has been developed does not constitute eco-low carbon city management toolboxes for local government **O**: Draft finalisation and reviewing underway, based on a plausible plan for finalising drafts & reviewing Chinese and English versions of all 9 sectoral toolboxes. **S**: The practices identified need to be placed in their European/National policy/legislative context, to allow those analysing them to understand the framework within which they were developed and successfully applied. This policy background is essential to allow proper evaluation of the suitability of the practices to China. Without the implementation of the appropriate policy in China supporting uptake of the solution, its sustainability and long-term impact in China will be limited. The practices contained in the toolboxes need an explanation of why they are considered examples of good practice (delivering above average results) or best practice (delivering the best results in Europe). The content of the toolboxes need to be evaluated in terms of their impact, cost, scalability, applicability & adaptability to

Nº	Expected Result	Extent of Achievement: A (Actually Achieved); O (Ongoing Measures); S (Suggestions for Action)
		Chinese conditions. Without this, it is difficult to see how these practices will have any long-term sustainability in the Chinese urban environment. This can only be achieved through additional consultation with MoHURD and, importantly, with the relevant stakeholders (local government representatives) in the Chinese pilot and partner cities. There is little evidence that the latter has happened. The toolbox practices should contain methodologies for monitoring and evaluating impact in China. The toolboxes need to provide methodologies and approaches to help Chinese cities develop and implement sustainable carbon reduction strategies. Methodologies for analysing a city's carbon footprint – development of a baseline from which an objective can be set and an action plan (with targets and milestones) put in place to achieve that objective. The practices already included in the toolboxes would provide the solutions for achieving the desired objective. Such a broad and overarching approach to urban centres has already been tested and established in Europe through a number of other European projects and networks, including the Covenant of Mayors. These should be included in the toolboxes to give them the focus that they now lack.
R3	***Comprehensive Pilot City***: One "Europe-China pilot low carbon eco-city" supported in China. The pilot could: (i) demonstrate best approaches to low carbon eco planning, (ii) serve as testing ground for policy innovations (e.g. energy performance labelling for buildings), (iii) test the functionality of the support mechanism.	**A**: A comprehensive pilot city (Zhuhai), selected with Luoyang as a reserve candidate. The municipal HURD is standing by to begin work on concrete activities. However, the strategy of pilot and partner cities is not functioning effectively and should be changed. The effectiveness of the pilot cities in adopting and implementing the toolboxes is not clear. **O**: Not applicable. **S**: With the limited time left in the project, the original approach of using Zhuhai and Luoyang as pilot cities for the partner cities should be revised. This approach should be replaced with the comprehensive implementation of all the toolboxes in conjunction with complete analysis of pilot cities' carbon footprint and accompanying strategy with targets, and monitoring activities to deliver GHG reduction. This should be based on additional expertise and best practice identified in the toolboxes. The initial outcomes could then be used to develop Chinese policies and strategies that could be applied to other cities, initially the EU Link partners. It is unlikely that any substantive results could be tested in the other EU Link partner cities before the end of the project, however an output could be a holistic carbon reduction strategy endorsed and adopted by the Chinese partners (MoHURD and NDRC) at a closing conference. The remaining element, the partner cities, should continue as a secondary element, with the improved toolbox delivering technical solutions that can be properly evaluated for impact and transferability. It is unlikely that given the time frame much else can be achieved in terms of integrating the individual projects more effectively to achieve the results. This would require a substantial effort on the part of the team as the impact on the partner cities has been limited because the limited influence that MoHURD has over the key personnel in local government across China.
Component 3: Urban Sustainability Help Desk		
R5	***Capacity Building***: Strengthened capacities of municipalities to plan, identify, implement and monitor low carbon and ecological solutions	**A**: Achievement uncertain, in spite of a training needs assessment related to the 9 pilot city sector foci. **O**: Project reporting available to hand contained no instances of specific training events for the benefit of municipalities

Nº	Expected Result	Extent of Achievement: A (Actually Achieved); O (Ongoing Measures); S (Suggestions for Action)
	(sectorial and integrated solutions).	**S**: PR1 moots training events in six cities and on seven sector foci topics that would be unlocked with approval of AWP2
R6	***Municipal Finance***: Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.	**A**: Unlikely to be achieved; due to the complexity of the issue and the limited time remaining under the project. **O**: Not applicable. **S**: Assessment of likelihood of tangible results by Project's end to be carried out and the Project strategy/work plan to be confirmed or amended accordingly.

EQ 9: What are the major factors influencing the achievement or non-achievement of results and objectives?

90. With regard to the KP, the IR (in its section 4.5.1.2) observes: *Thus far, the strategy regarding a KP framework has evolved more around the concept of good practice indexing and less around the concept of good practice sharing or good practice exchange)*. That astute observation[42], still applies. If not compensated for during the remainder of the implementation period, slow progress of work on the KP until November 2015, will negatively affect the achievement of Project results R1, R4 & R7.

91. Slow initial progress on some important aspects of the Project's work may have contributed to a mode of cooperation between the TAT and EUD that appears not conducive to achieving results quickly. A case in point is the process for the selection of pilot cities. On the basis of a selection methodology prepared in cooperation between CSUS and MoHURD's Planning Department, the Project identified Zhuhai as a likely candidate for 'EU-China pilot low carbon eco-city' in March 2014. The initial identification of Zhuhai as a suitable candidate was validated by findings during a visit by Project staff to the city in June 2014 and subject of discussion at the first PSC meeting (Jul 2015). The PSC, at the behest of EUD, required the Project to redo the selection, with an extended long list of candidate cities for the joint consideration of MoHURD and EUD. This procedure confirmed the choice for Zhuhai as the 'comprehensive pilot city', but only in February 2015, with possible negative effect on achievement of result R3.

92. The inability of the Project to formulate a strategy plausibly underpinning its work planning appears to have become a major issue between the TAT and EUD, with detrimental effect on the pace of implementation and possibly achievement of the Project's expected results. The lack of a concise, comprehensive and accessible strategy threatens the achievement of all seven of the Project's results. That there is no such strategy appears to be due to a combination of three factors: (i) the mode of working the TAT; (ii) insufficient backstopping on this point by the GIZ-consortium; and (iii) reluctance on the part of EUD to specify what an acceptable strategy would look like.

93. A contributing factor in respect of the strategy may be that the Project does not put the EU objectives, policies, strategies and implementing tools in the necessary legal, institutional and organisational context, for the benefit of Chinese decision makers, administrators and experts. Although they are of high quality in most aspects, the toolboxes' link with key legal, institutional and organisational issues lacks the precision required for translating into an easily communicable and accessible strategy [**Annex 9**, EQ A].

94. The Project's effectiveness is positively affected by links with other EU multi- and bilaterally funded initiatives in the environmental sphere in China, as well as those of other donors. For the development of the necessary strategy the Project might take advantage of the OECD's recommendations in respect of urbanisation & green growth in China [**Annex 9**, §§29-31].

95. The Project's effectiveness may be reduced by the burden of accumulating issues related to efficiency of implementation (personnel replacement, late approval of work plans and reporting, as well as the consequent need for *ad hoc* approval of each activity involving expenditure). This continues to affect the effectiveness of the TAT and threatens the standing of the Project with MoHURD, which has other externally supported projects to supervise and implement.

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[42] As noted [**Section 3.2**], progress reporting available to hand is very detailed and for that reason sometimes opaque. That said, it contains many observations, such as this, demonstrating in-depth knowledge and thorough reflection.

96. The Project's effectiveness may be negatively affected by the fact that it seems to have downplayed its role of 'matchmaker' between EU and Chinese cities, largely due to the lack of a KP and the human resources intensive character of the networking involved in matchmaking.

97. The Project's effectiveness must be considered positively affected by the good and professional relationship between the TAT, on the one hand, and CSUS and MoHURD management on the other hand, in spite of a Project history marred by replacement of key personnel.

3.4 Impact

Nº	Summary of Evaluation Questions re: Impact
10	What is happening as a result of the implementation of the project?
11	What real difference is the activity contributing to make to the beneficiaries?
12	How many people are being affected?
13	Is the project approach evolving accordingly?

EQ 10: What is happening as a result of the implementation of the project?

98. The Project's potential impact is highly dependent on the extent to which it will be able to achieve the intended level of effectiveness [**Section 3.3**].

99. At the cut-off date of the evaluation, the Project's likely impact in terms of achieving its specific objective, will depend on the degree in which:

- a ministry with a relatively narrow, policy implementation mandate (MoHURD) will be able to give strategic guidance to the dialogue between EU and Chinese stakeholders in eco/low carbon urban development;

- the experience gained with this Project will shape future cooperation between China and the EU in the critical area of reducing the negative environmental and resources related effects of economic growth and rapid urbanisation, in a form perceived as advantageous by both parties;

- it will be possible to replicate the outputs and lessons learned in the cooperation on eco/low carbon urban development between EU cities and Chinese pilot cities, in other cities and at a larger scale, both within the remainder of the project duration and after completion; and

- the Project can create exchange of information, sharing of know-how and effective cooperation between EU and Chinese stakeholders – mainly cities – not only on engineering and technical issues, but also the legal, institutional & organisational parameters of urban development.

100. With regard to the last two points, the Project's likely impact may be reduced by the fact that the remainder of the project duration may be insufficient to come to grips with these issues.

EQ 11: What real difference is the activity contributing to the beneficiaries?

101. This question is extremely difficult to answer with precision, partly due to the dimensions of the problem the Project addresses (eco/low carbon urban development), the size and population of the 10 pilot cities involved, the size of the city administrations, and the number and size of eco/low carbon initiatives already underway in the pilot cities and beyond. This contrasts with a Project budget, which is – at 12 MEUR – not insignificant (especially not for a technical assistance project) but perhaps not of critical size.

102. The budget allows for sizeable human resources with relevant EU and Chinese expertise, but the fact that the Project has not been able to deploy these resources (especially the NKEs) as efficiently as could be desired, has limited the number of activities, in particular the training events.

103. That said, the Project operates in a positive and receptive environment, with genuine interest on the part of stakeholders in the expertise and technologies it can bring to bear on activities together with CSUS and MoHURD and in cooperation with the Chinese pilot and EU partners.

104. This receptive environment could be put to good use for the beneficiaries – municipal decisions makers and administrators in particular – by stressing the issue of replicability at city level, through the Project's 9 toolboxes in the form of: (i) a closer link between Project activities and

outputs with the applicable Chinese regulatory framework; and (ii) giving more attention to the financing, ownership, management and accountability of municipal services.

<div style="background-color:#8B1F5E;color:white;padding:4px;">EQ 12: How many people are being affected?</div>

105. As in all cases of ambitious projects with a wide reach, it is difficult to provide exact figures as to the number of people (likely to be) affected by the Project. The number of people indirectly affected, albeit mostly in intangible form, would at the least include the populations of the Project's 10 pilot cities. Those more tangibly and directly affected in any case include:

- the membership of the EU Chambers of Commerce in China, in particular those visiting the EC Link website. The Project presented itself to 800 EUCCC members at a meeting in Nanjing (Nov 2015);
- the followers of the Project signed up to its WeChat information group (around 2,000 to date);
- the counterpart officials and staff in the Project's 10 pilot cities in the Project and likely to be engaged in Project activities (estimated at 500-1,500);
- the participants in the present and future Inter City Labs, including city representatives in China and Europe, EUCCC members, consultants, local and national officials; as well as representatives of the local media (some 1,500 persons);
- Participants in Project training events; estimated by its management to amount to some 250 trainees (in two events/semester, each with 30 participants);
- staff and representatives of the Project's counterpart organisations, including MoHURD, CSUS, as well as the CCUD (circa 300 people).
- the staff of the ADB/GIZ-sponsored CDIA, through training modules based on its services (in relation to PPP, pre-feasibility studies and access to finance) and using it as a vehicle to showcase European products;
- the staff and future trainees of the newly established Chinese Eco City Academy (CECA), which will become a national training centre with a curriculum *inter alia* designed with the help of the Project and we will help design their training curriculum.

106. Project management acknowledges limited impact in Europe after the study tour there during the inception period, but expects the Project website and another study tour (foreseen in AWP2) to increase visibility.

107. Replicability and upscaling of Project designed tools and other support (including guidelines for MoHURD and related training modules) beyond the 10 pilot cities, may increase the number of people affected by the Project considerably, although most of them indirectly.

<div style="background-color:#8B1F5E;color:white;padding:4px;">EQ 13: Is the project approach evolving accordingly?</div>

108. Project management, the GIZ consortium, as well as the responsible Contracting Authority staff have shown themselves fully aware of the Project's erstwhile and current parameters, in particular with respect to the host-Ministry and Project beneficiaries and stakeholders in the pilot cities.

109. The difficult start to the project (in terms of work space and the need to replace two out of three KEs) and the rather tortuous work planning and reporting, have given rise to much discussion, especially between Project management and EUD representatives. These discussions have returned time and again to the need for the Project to develop a concise, but comprehensive strategy. Although EUD representatives have not specified what the strategy should look like, agreeing on a template and the strategy content very soon would help to break the deadlock that is currently hampering implementation and eventually secure at least part of the intended impact of the Project.

3.5 Sustainability

Nº	Summary of Evaluation Questions re Sustainability
14	To what extent are the benefits of the project likely to continue after EU funding ceases?
15	What are the major factors influencing the achievement or non-achievement of potential sustainability of the project?

EQ 14: To what extent are the benefits of the project likely to continue after EU funding ceases?.

110. The sustainability of the Project's results – to the extent that they will have been achieved – is dependent on the extent to which the following outputs will continue to be available and used upon Project completion:

- a fully operational, inter-active digital KP for the exchange of information and the sharing of expertise between EU and Chinese stakeholders, be they cities, public entities, enterprises, civil society and other organisations; and

- a complete set of 9 toolboxes, in both Chinese and English, of an agreed format and content, for the benefit of decision makers and administrators in the – by then erstwhile – Chinese pilot cities, interested EU cities, as well as other stakeholders.

111. The continued availability and use of both the KP and the set of toolboxes will largely depend on MoHURD adopting full overall and budgetary responsibility for: (i) the upkeep and maintenance of the KP; and (ii) the dissemination, monitoring of use and regular updating of the toolboxes.

112. It is considered likely that the CSUS will shoulder the administrative and technical responsibility for the KP and the toolboxes, on behalf of the MoHURD, upon expiry of the Project's implementation period.

113. The sustainability of Project results will further depend on MoHURD remaining responsible for policy and implementation of eco/low carbon urban development in China, on the basis of close cooperation between its local branches and municipal decision makers and administrators in the cities.

EQ 15: What are the major factors influencing the achievement or non-achievement of potential sustainability of the project?

114. The likelihood of sustainability of Project results could be reinforced by taking into account the following factors:

- the need to ensure the development by mid-2016 of a concise, but comprehensive Project strategy acceptable to EUD and committed to before Project's end by EUD, MoHURD and MoFCOM.

- the inclusion in the strategy of a shared interpretation of the legal, institutional and organisational (governance) foundation of municipal management, as it relates to eco/low carbon urban development; and

- ensuring that the Project's final report includes well-founded recommendations for the next steps in eco/low carbon urban development based on EU-China cooperation for any continued EU-funded assistance in the environmental sphere.[43]

115. The single-most important factor affecting the sustainability of the Project's results is that any continued EU assistance is based on cooperation with all ministries with a mandate in the environmental sphere or, alternatively, a ministry with a broad mandate to coordinate both

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[43] One of the ways to forestall the website (the inter-active Knowledge Platform), as well as the Project overall not getting stuck in mere information-gathering actions, is for the Project to become a tool for achieving the urban development objectives of the *EU-China Strategic 2020 Agenda for Cooperation* (2013), which go beyond information exchange only. These objectives include:

(i) Carry out cooperation and promote advanced technology and managerial experience in sustainable urban development planning, urban infrastructure and management and urban-rural integration, including transparent and equitable consultative procedures with public and business stakeholders;

(ii) Ensure the success of the EU-China Urbanisation Partnership Forum, the EU-China City Expo and the EU-China Mayors' Forum, improve the governing framework of the EU-China Partnership, support the development of numerous relevant city pairings and steer EU-China urbanisation cooperation by the Joint Steering Committee of the EU-China Urbanisation Partnership. Support the development of EC-Link as a co-operation platform to enhance the impact of the Partnership;

(iii) Conduct dialogues and share experience on urban planning and design, urban socio-economic issues, good administration, natural and cultural heritage preservation, green and low-carbon development, disaster prevention and control, urban mobility and eco-buildings and construction standards in the building sector; and

(iv) Actively build demonstration cities, support EU-China urban cooperation projects, promote cooperation between cities, and between cities and industrial parks and enterprises, creating a level playing field for all stakeholders involved, and reinforcing cooperation in the fields of finance and innovation to elevate the quality and level of urban development.

policy and implementation in relation to environmental protection, the use of resources and emissions control and reduction.

3.6 Cross-cutting Issues

Gender

116.   The Project design does not make specific provisions for gender-related issues. The implementation of the Project has not given rise to any such issues.

Good Governance

117.   An important aspect of the Project design is improving governance, especially at the level of participating pilot cities and – in the future – additional municipalities that may be beneficiaries of replication or upscaling of initiatives developed in cooperation between the Project, MoHURD and local HURD branches.

118.   This applies in particular to: (i) exchange of experience and sharing of information in respect of policy formulation, institutional capacity building and organisational development at city level through the KP [R1, R4 and R7]; and (ii) the joint exploration by EU and Chinese cities of innovative municipal financing modalities with regard to energy saving and improved resource utilisation [R6].

119.   Provided the Project will be able to give increased impetus to the activities related to these results, there are grounds for optimism on the Project's ability to contribute to good governance in the environmental sector by strengthening municipalities' capacity to use the information exchanges and expertise shared [R1, R4 and R7]

120.   The same optimism could be extended to the Project's contribution to good governance in the sphere of municipal finance, were it not that the time remaining on its implementation Period, may prevent it having a decisive influence in this area, likely to be dominated by China's cooperation with the international financing institutions.

4 Overall Assessment

121. This overall assessment is based on considerations relating to the five sets of questions relating to the Project's specific objective, as set out in Section 2.2 of the ToR for the present evaluation and summarised below.

Nº	Summary of Evaluation Questions re: the Specific Objectives
A	To what extent the project has understood and is aligned to MoHURD plans and strategies? Is the project strategically responding to the specific challenges related to MoHURD's attributions in the field of eco-low carbon urbanisation?
B	Are the project activities aimed at generating and delivering concrete, timely and useful outputs in order to support eco-low carbon city management tools for local governments?
C	To what extent are activities being developed or implemented at city level linked to MoHURD's needs and responsibilities; and what is the potential for scaling up these activities to generate replicable models and tools that could be applied nationwide?
D	Is the project targeting the most appropriate experiences in the EU and contributing to foster their sharing and dissemination and ultimately their practical application in China?
E	To what extent the project is enhancing networking between the EU and China in the field of eco-low carbon urbanisation? Is the project effectively acting as a platform to facilitate matchmaking, partnerships, exchange of knowledge and information between actors in EU and China? Are there any concrete relevant outputs as a result?

EQ A – Re Strategy: To what extent has the project understood and been aligned to MoHURD plans and strategies? Is the project strategically responding to the specific challenges related to MoHURD's attributions in the field of eco-low carbon urbanisation?

122. The Project may be considered fully aligned to MoHURD plans and strategies, as referred to and reflected in the Project's overall and annual works plans, as well as its inception and progress reporting.

123. In interviews, those responsible from MoHURD and CSUS management confirmed that the Project's design responded strategically to the implementation of MoHURD's mandate in respect of eco/low carbon urban development.

124. Again in interviews, as well as in written comments on Project work plans and reporting, EUD stressed that it requires a better articulation – for management and communication purposes – of the strategic alignment of the EU-funded contributions through the Project with applicable Chinese thinking on eco/low carbon urbanisation.

EQ B – Re Outputs: Are the project activities aimed at generating and delivering concrete, timely and useful outputs in order to support eco-low carbon city management tools for local governments?

125. In its IPA, its OWP and two AWPs, the Project has formulated a large number of activities to be carried out, with corresponding, concrete outputs to be delivered, against each of the seven expected results specified in the ToR.

126. The contribution that the delivery of these outputs would make towards achieving the expected results is plausibly described in the logframes prepared prior to and during the implementation of the Project.

127. Output delivery in accordance with the planning has been subject to delay, caused by late approval of the IR, the OWP and the first AWP, the need for *ad hoc* approval of successive Project events and activities, as well as the need to replace two out of three KEs on the TAT.

128. At present, the project is not contributing to the implementation of low carbon strategies at local government level. The development of overarching policies that deliver a practical strategy has been relegated at the expense of the delivery of technical low carbon solutions, which ultimately will have only limited impact. This decoupling of policy and strategy from technical solutions is a consequence of the narrow focus of MoHURD and CSUS.

129. As highlighted in the inception report, MoHURD has been keen to focus on technical solutions to issues created by urbanisation rather than policy. If policy is involved, it should be limited to how technology is deployed. MoHURD wanted the urbanisation policy to be addressed in the later stages of the programme, in conjunction with NDRC and local DRCs. This has led to narrowing the focus and a move away from the original purpose of the project. In many ways the project has been inverted with policy being side-lined until the end of the project, with technology decoupled from it and brought to the fore.

EQ C – Re Replicability: To what extent are activities being developed or implemented at city level linked to MoHURD's needs and responsibilities; and what is the potential for scaling up these activities to generate replicable models and tools that could be applied nationwide?

130. As remarked in relation to strategy, the Project's activities may be considered in line with MoHURD's expressed needs and policy implementation mandate.

131. The replicability of the Project's results through scaling up of activities and outputs beyond the pilot cities in due course is dependent on a number of factors:

   - clear and agreed links to the Project activities, outputs and results with the 12th and 13th FYPs, as well as current Chinese legislation on land administration, environmental protection, municipal finance, urban & rural planning, land use and PPPs;

   - effective coordination of effort between the various Chinese ministries involved in environmental protection, resources utilisation and emissions control & reduction, in particular, MoHURD and MoEP;

   - agreement between these ministries on the legal, institutional and organisational definitions of the – at present – nine sectors of public service (ranging from clean energy to water management);

   - laying the basis for improving the nationally binding character of the legal & regulatory framework in respect of eco/low carbon urban development at municipal level; and

   - the design, launch and delivery of an extensive series of training events, targeting municipal experts, administrators and decision makers beyond the 10 pilot cities, by adopting a training-of-trainers approach managed by CSUS on behalf of MoHURD and other, related ministries.

132. Within the remaining Project duration, it will be difficult – but not impossible – to address the above factors. Key to dealing with these factors will be to abide by the existing Chinese legislation in force. This will require becoming familiar with this legislation.

EQ D – Re EU Best Practice: Is the project targeting the most appropriate experiences in the EU and contributing to foster their sharing and dissemination and ultimately their practical application in China?

133. The evaluators consider the Project to be targeting exchange of information and sharing of experience with regard to appropriate EU experience in eco/low carbon urban development.

134. The Project will contribute to the practical application in China of EU experience in this ambit, once the digital, interactive KP is fully operational.

135. It is not clear that the project has identified and is applying the most appropriate experiences or best practices in Europe. The content of the toolboxes needs an explanation/justification of why they are considered to be examples of good practice (delivering above average results) or best practice (delivering the best results in Europe). There are no consistent baselines or evaluation criteria to justify their classification as best practice. The project needs to justify how it reached the conclusion that a particular practice can be defined as a European best practice.

136. In this context, it is to be noted that Chinese municipalities have already taken on board many European developed ideas and practices in eco/low carbon urbanisation, in some cases improving them in actual implementation.[44]

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[44] A case in point being transport oriented development in Zhuhai, based on an Italian green transport (tramway) concept.

EQ E – Re Matchmaking: To what extent the project is enhancing networking between the EU and China in the field of eco-low carbon urbanisation? Is the project effectively acting as a platform to facilitate matchmaking, partnerships, exchange of knowledge and information between actors in EU and China? Are there any concrete relevant outputs as a result?

137. The Project has established contact with a large number of Chinese cities interested in eco/low carbon urban development, as well as a number of EU cities and organisations, especially during the inception period and through the process of selecting the 10 pilot cities.

138. The real work on enhancing networking between the EU and China in the field of eco/low carbon urbanisation will depend on the digital, interactive KP becoming fully operational. Until such time, the Project's matchmaking potential is latent.

5 Conclusions

The following conclusions in respect of the five main evaluation criteria are based on the findings set out in Chapters 3 and 4.

Relevance

C1 Both the original project concept, dating from 2012, and the intervention logic set out in successive logical framework matrices (logframes) remain valid in terms of EU-China cooperation in the field of eco/low carbon urban development **[§§13**, **21-25**, **122-125**].

C2 Inadequate framing of the Project's seven results (R1-R7) and the accompanying indicators, whilst not invalidating the Project's intervention logic as laid down in the logframes, hampers objective measurement of the degree of their achievement and defining an appropriate Project strategy **[§§30-38**, **92**, **124**].

C3 The ambitiousness of the Project's expected results may not fit the Project's links to a centre-of-government ministry with a narrow, implementation-oriented mandate [**Annex 9**, §38].

C4 Overall, the Project's relevance is assessed as satisfactory.

Efficiency

C5 The Project has a well-structured management system with an established Project Steering Committee (PSC), assisted by an active secretariat, made up of the Technical Assistance Team (TAT) and the Project Task Force (PTF). The PSC meets once a year **[§§43-44]**.

C6 The TAT team mobilised quickly and commenced work energetically, but encountered problems early-on with the selection of pilot cities, delayed reporting and staffing of key positions, which caused delays in implementation **[§§45**, **54-61**, **64-65]**.

C7 Slowed down implementation, causing a low uptake of non-key expert (NKE) working days and limited disbursements against the project budget, poses a threat to effectiveness and impact. A substantially higher pace of Project implementation is required, but may not be sufficient to use up all available working days, without an extension of the contract ruling the Project **[§§67-74]**.

C8 Improved Project momentum appears be linked to the finalisation of the 2nd Annual Work Plan and two pending progress reports, as well as agreement on an appropriate strategy. The latter, in the form of an improved version of the Design & Monitoring Framework (April 2016), will be critical for guiding future Project implementation and maintaining an effective working relationship between contractor and Contracting Authority **[§§74**, **92-93]**.

C9 Overall, the Project's efficiency to date must be considered unsatisfactory.

Effectiveness

C10 The Project has not yet achieved its expected results. The key output in respect of results R1, R4 & R7, i.e. the Knowledge Platform, is only now assuming shape. With regard to the main output for results R2 & R3, i.e. the toolboxes, it is clear that, although they present examples of European solutions to technical issues, in their current form they do not constitute toolboxes as defined in the proposal and will require revision. When combined with the delays encountered thus far – more than two years into the project duration – this constitutes a significant risk for substantial and timely completion. There is very little coherence between R2 and R3. The lack of a link between policy (top down) and the technical solutions (bottom up) means that it is difficult to apply the toolboxes in a useful, quantifiable and replicable way in the pilot or partner cities. The status of the pilot cities (Zhuhai and Luoyang) and their role when compared with the partner cities is incoherent and should be reconsidered. The main output for results R5 & R6, i.e. training on selected topics including municipal finance, has not materialised, with uncertain outlook **[§§80-89]**.

C11 The inter-active Knowledge Platform will be indispensable for achieving the Project's result related to 'matchmaking' between interest EU and Chinese cities, as well as other stakeholders **[§§80-82]**.

C12 The toolboxes produced by the Project require revision before they can be regarded as offering practical tools to support municipal decision-makers in achieving their low-carbon targets. Their legal underpinning could be improved and their content easier to digest and utilise. Adoption of

the toolboxes by the Project's beneficiaries and municipal stakeholders will require a concerted effort by the Project [**§§85-89**].

C13 The replicability of the Project's outputs and results beyond its 10 pilot cities is an important intermediate goal, which is not yet within reach. The toolboxes will require substantial revision particularly in terms of their impact, cost, scalability, applicability & adaptability to the Chinese urban environment. A sizeable training effort based on training-of-trainers, will be necessary to achieve replicability. Their legal underpinning could be improved and their content easier to digest and utilise. Adoption of the toolboxes by the Project's beneficiaries and municipal stakeholders will require a concerted effort by the Project [**Annex 9**, §§23-24, 38].

C14 The Project's ultimate effectiveness depends on the speed with which it can compensate for the loss in momentum encountered during the first half of the project. With 19.5 months remaining on its duration, the Project may not be able to achieve all of its ambitious results [**Table 7**].

C15 Overall, the Project's likely effectiveness at mid-point of its duration is rated as unsatisfactory, Early adoption of an agreed strategy document and a much faster pace of implementation may still improve this assessment at Project's end.

Impact

C16 The Project's ultimate impact will depend on a number of factors, amongst which its 'matchmaking' capabilities vis-à-vis EU and Chinese cities and other stakeholders is critical [**§§99-101**].

C17 The Project having concentrated its efforts on the toolboxes and setting up the Knowledge Platform (fundamental for its effectiveness and longer-term impact), has downplayed its 'matchmaking' function in recent months. The TAT did not receive requests from the pilot cities for support in respect of 'technical partnering' with EU cities and stakeholders [**Annex 9**, §17].

C18 Once operational, the Knowledge Platform will enable the Project to create more effective demand for its support by giving substance to the process of information exchange information and know-how sharing between EU and Chinese cities. It has the human resources available to deal with the demanding networking involved and operates in a receptive environment [**§§100, 103-105**].

C19 Overall, the Project's likely impact at mid-point of its duration is rated unsatisfactory. Again, early adoption of an agreed strategy document and a much increased pace of implementation may still improve this assessment at Project's end.

Sustainability

C20 The sustainability of Project results will depend largely on the availability and use by its' beneficiaries and counterparts of the two key outputs, i.e. the Knowledge Platform and the tool boxes, with CSUS and MoHURD assuming administrative, financial and technical responsibility for maintaining and updating these outputs [**§§110-115**].

C21 Contact between most of the EU-funded projects in the sphere of environmental protection appears limited, although it cooperates with the EU-funded CETREGIO project. The Project maintains links with projects and initiatives funded by some EU Member States [**Annex 9**, §16].

C22 The intensification of shared Chinese, EU and international interest in eco/low carbon urbanisation creates fertile ground for the 'technical partnering' at city level, which should be the focus of the Project's strategy. As long as the Project, and any EU-funded project in the same sphere, is linked to a single Chinese ministry with an environmental mandate, this goal may not be sustainable after EU-funding ceases [**Annex 9**, §§20].

C23 Replicability of the Project's results in cities outside the limited circle of pilot cities also links to the extent to which legislation in this domain is legally binding outside of municipal jurisdictions. The binding force in this sphere within the EU applies nation-wide, unlike in China [**Annex 9**, §26].

C24 The 13th Five-Year Plan provides the Project with the opportunity to give increased exposure to best practices in green, urban economic development at municipal level in China, as also advocated by the *Organisation for Economic Cooperation & Development* [**Annex 9**, §§29-32].

C25 Heeding certain concepts and aspects of the *acquis communautaire* might help the Project to adopt a more policy and strategy oriented approach and move beyond a merely 'technical' approach [**Annex 9**, §§32-33].

C26 Overall, the sustainability of the Project's results is likely to be unsatisfactory, unless countered in the remainder of the project duration by an operational and used Knowledge Platform, the

adoption of the toolboxes by beneficiaries and a Project strategy also looking beyond Project's end.

6 Recommendations

The conclusions in Ch. 5 suggest the following recommendations.

Rn1 The practices identified in the toolboxes need to be placed in a European/National policy/legislative context, to allow those analysing them to understand the framework within which they were developed and successfully applied. This policy background is essential to allow an accurate evaluation of the suitability of the practices to China. Without the implementation of the appropriate policy that will support uptake of the solution in China, its sustainability and long-term impact in China will be limited **[C10, C12, C13]**.

Rn2 The practices contained in the tool boxes need an explanation of why they are considered to be examples of good practice (delivering above average results) or best practice (delivering the best results in Europe). Currently, there are no baseline or evaluation criteria presented to justify their classification as best practice. The project needs to justify its workings, i.e. how it reached the conclusion that a particular practice can be defined as a European best practice **[C10, C12, C13]**.

Rn3 The content of the toolboxes need to be evaluated in terms of their impact, cost, scalability, applicability and adaptability to Chinese conditions, to ensure their long-term sustainability in the Chinese urban environment. This can only be achieved through additional consultation with MoHURD and, importantly, the relevant stakeholders (local government representatives) in the Chinese pilot and partner cities **[C10, C12, C13]**.

Rn4 The toolbox practices should contain methodologies for monitoring and evaluating impact in China **[C10, C12, C13]**.

Rn5 The toolboxes need to provide methodologies and approaches to help Chinese cities develop and implement sustainable carbon reduction strategies. Methodologies for analysing a city's carbon footprint, the development of a baseline from which an objective can be set and an action plan (with targets and milestones) put in place to achieve that objective. The practices already included in the toolboxes would provide the solutions to achieving the desired objective. Such a broad and overarching approach to urban centres has already been tested and established in Europe through a number of other European projects and networks including the Covent of Mayors. These should be included in the toolboxes to give the focus that it is now lacking **[C10, C12, C13]**.

Rn6 With the limited time left, the original approach of using Zhuhai and Luoyang as pilot cities for the partner cities should be revised. This approach should be replaced with the comprehensive implementation of all the toolboxes, in conjunction with complete analysis of pilot cities' carbon footprint and accompanying strategy with targets, activities and monitoring to deliver GHG reductions. This should be based on additional expertise and best practice identified in the toolboxes. The initial outcomes should then be used to develop Chinese policies/strategies and applied to other cities, initially the EU Link partners **[C10, C12, C13]**.

Rn7 The remaining element, the partner cities, should continue as a secondary element, with the improved toolboxes delivering technical solutions that can be properly evaluated for impact and transferability [C10, C12, C13].

Rn8 The contractor and the TAT are advised that a properly constructed logframe with SMART-indicators will be helpful in formulating the concise and comprehensive strategy essential for the Project's success [**C1**, **C2** & **C8**].

Rn9 EUD is advised to pursue, in the interest of securing sustainability of the results of the Project, as well as any other EU-funded programmes in the environmental sphere in China, wider dialogue and cooperation with the Ministries with an environmental mandate, as well as more coordination amongst EU-funded projects in this sphere [**C3**, **C22** & **C23**].

Rn10 EUD, MoFCOM and MoHURD are advised to consider increasing the frequency of PSC meetings to at least twice, and if possible, four times a year [**C5**].

Rn11 EUD, the contractor and the TAT are advised that urgent action is required to speed up the implementation of project activities in the interest of achieving key Project results. This concerns first and foremost the articulation of the above strategy by the contractor, the approval of AWP2 by EUD and finalisation of outstanding project reporting by the TAT [**C7**].

Rn12 The contractor is advised that the TAT would benefit from high level backstopping in the matter of strategy formulation [**C2**, **C7** & **C8**].

Rn13 EUD is advised to formulate with precision – for the benefit of the contractor's backstopping – the parameters of the strategy, in order to forestall a time-consuming 'trial & error' approach to further strategy formulation [**C2**, **C7** & **C8**].

Rn14 EUD, the contractor and the TAT are advised to investigate and agree as a matter of urgency what can be done to utilise the available working days and other budget items by November 2017. This could be done by intensifying work on a limited number of activities and outputs related to key results (Knowledge Platform, and related 'matchmaking' networking, as well as training and mentoring in support of toolbox introduction and dissemination) [**C7** & **C10**-**C14**].

Rn15 EUD, MoHURD, the contractor and the TAT are advised that the completion of the toolboxes might benefit from treating them as 'living documents', testing them through daily use by city practitioners and amending them as required. If deemed necessary, MoHURD is advised that a small group of Chinese experts be engaged to canvass the opinion of pilot city decision makers, administration and technicians to accelerate assessment of the toolboxes' practical utility [**C12**].

Rn16 The Project's effectiveness, impact and sustainability depend on its ability to provide the beneficiaries with wide ranging 'matchmaking' skills for creating 'technical partnering' between EU and China cities and other stakeholders. The EUD, MoHURD, the contractor and the TAT are advised that finalisation of the Knowledge Platform is one set of activities that deserve the maximum possible of resources and attention[45] [**C16**, **C20**].

Rn17 The toolboxes are indispensable for ensuring eventual replicability of Project outputs and results on a larger scale. The EUD, MoHURD, the contractor and TAT are advised that finalisation, dissemination and training in support of toolbox introduction is the second set of activities that deserve the maximum possible share of Project resources and attention [**C20**].

Rn18 EUD, MoHURD, the contractor and TAT are advised to address the replicability/upscaling of EU successful eco/low carbon initiatives at city level in China, as a matter of urgency, through the Knowledge Platform, the wide dissemination of toolboxes, accompanied by a communications & dissemination strategy also geared towards sustainability of Project results [**C13** & **20**].

Rn19 MoHURD and the TAT are advised that the Project might contribute to a discussion in China on a topic also much discussed in EU member states: Should closely related spheres, such as transport, environment and urban development, be the responsibility of a single, centre-of-government ministry with an environmental protection mandate? Or should the environmental aspects in each of these separate spheres be the concern of more specialised sectoral ministries, subject to a system of inter-ministerial coordination? [**C22**].

Rn20 EUD, MoHURD and MoFCOM are advised that improved coordination on environmental issues relating to eco city/low carbon urbanisation can be improved if all parties involved (the supervising ministries – including MoHURD – CSUS and the Project) share the same legal, institutional and organisational definitions of the nine sector foci and municipal public services. The dissemination of the toolboxes will enable the Project to play a role in this area [**C12** & **C22**].

Rn21 EUD, MoHURD and MoFCOM are advised that the current division of responsibilities between ministries calls for increased attention for the inter-ministerial coordination ultimately affecting *inter alia* the replicability of Project outcomes [**C22**].

Rn22 The Project is advised that it might provide a useful contribution by advising its counterparts on the concept of nation-wide binding regulatory frameworks [**C23**].

Rn23 MoHURD and the TAT might consider the four pillars and eight recommendations formulated in the OECD's 2013 paper *Urbanisation & Green Growth in China* in the preparation of the strategy requested by EUD [**C24**].

Rn24 The MoHURD and the TAT are advised to heed certain aspects of the EU *acquis*, such as the 8th Implementation Report on the Urban Waste Water Treatment Directive (N° 91/271), the regulatory framework 'binding' the urban transport sector, as well as the concepts of 'public

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[45] To forestall the website (the inter-active Knowledge Platform), as well as the Project overall not getting stuck in mere information-gathering actions, is for the Project to become a tool for achieving the urban development objectives of the *EU-China Strategic 2020 Agenda for Cooperation* (2013), which go far beyond information exchange.

service obligation' and 'public service compensation' as they apply to urban passenger transport companies   [**C25**].

Annexes

Annex 1.   Specific Terms of Reference

Mid-Term Evaluation of the 'Europe-China Eco Cities Link' (EC Link) Project
FWC BENEFICIARIES 2013 – LOT 6: ENVIRONMENT EUROPEAID/132633/C/SER/MULTI

1.   BACKGROUND

In the context of the EU-China Partnership on Sustainable Urbanization, the European Union (hereafter the EU) is financing the "Europe-China Eco Cities link project" (hereafter EC Link) in cooperation with the Chinese Ministry of Housing Urban and Rural Development (hereafter MoHURD). The overall objective of the project is to support China in meeting the environmental, energy, and carbon intensity targets defined in the 12th Five-Year Development Plan.

The **specific objective** is to assist Chinese cities in adopting energy and resource efficient ecological solutions by sharing experiences on sustainable urbanisation between Europe and China.

The **expected results** of the project are:

Result 1. An appropriate support mechanism enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management is implemented.

Result 2. MoHURD is supported in preparing eco-low carbon city management tool boxes for local governments. Tool boxes could include guidelines, standards, lessons learned from low carbon eco-city pilots, etc.

Result 3. One "Europe-China pilot low carbon eco-city" supported in China (the city will be identified according to the criteria indicated by MoHURD and the EU). The pilot could: i) demonstrate best approaches to low carbon eco planning, ii) serve as testing ground for policy innovations (e.g. energy performance labelling for buildings), iii) test the functionality of the support mechanism.

Result 4. Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and between different actors/donors). This will also include the set-up of cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chinese cities have first-hand access to know-how and operational details of clean urban development initiatives undertaken in Europe.

Result 5. Strengthened capacities of municipalities to plan, identify, implement and monitor low carbon and ecological solutions (sectorial and integrated solutions).

Result 6. Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.

Result 7. Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximized.

The **Financing Agreement** DCI-ASIE/2011/023-093 between the EU and China was signed on 29/09/2012 for an operational implementation period of 72 months. A contract for the provision of technical assistance services was awarded to a consortium led by the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) GmbH, in consortium with *Grontmij*, *EuroCities* and *Climate Alliance*.

The **project implementation phase** (operational duration: 48 months) formally started on the 18th of November 2013 when the International Technical Assistance Team started activities. Its launch was officially announced on the 21st of November 2013 during the EU-China Urbanization Forum. The first Project Steering committee took place on the 4th of July 2014 and the second one was held on the 15th of June 2015.

The project is in its second implementing year in which the two pilot cities of Zhuhai and Luoyang are being supported towards a comprehensive approach, and 8 additional cities (Weihai, Changzhou, Qingdao, Zhuzhou, Guilin, Xixian New Area, Hefei and Liuzhou) through interventions in specific key sectors. In each of these cities, EC Link is intended to:

A) Work on the most appropriate options in the selected sectors (1- clean energy, 2- green buildings, 3- green transportation, 4- water management, 5- waste management, 6- compact urban development, 7- municipal finance, 8- green industry, 9- urban regeneration);

B) Identify and start to apply the best available solutions in Europe to match these priorities, whether via technical assistance, policy support, or solutions proposed by European, technological, research and academic sectors;

C) Assess the most effective ways to scale these solutions up nationwide in order to replicate them in other Chinese cities and support MoHURD national urbanization agenda.

2. DESCRIPTION OF THE ASSIGNMENT

2.1 Global objective

The overall objective of the present evaluation is to assess the extent to which the project has achieved its purpose to date, what the level of attainment of concrete outputs is and make recommendations on its potential for a successful completion.

2.2 Specific objective

The specific objective of the evaluation is to evaluate the project based on the following questions:

- To what extent the project has understood and is aligned to MoHURD plans and strategies? Is the project strategically responding to the specific challenges related to MoHURD's attributions in the field of eco-low carbon urbanisation?

- Are the project activities aimed at generating and delivering concrete, timely and useful outputs in order to support eco-low carbon city management tools for local governments?

- To what extent activities being developed or implemented at city level are linked to MoHURD's needs and responsibilities; and what is the potential for scaling up these activities to generate replicable models and tools that could be nation-wide applied?

- Is the project targeting the most appropriate experiences in the EU and contributing to foster their sharing and dissemination and ultimately their practical application in China?

- To what extent the project is enhancing networking between the EU and China in the field of eco-low carbon urbanisation? Is the project effectively acting as a platform to facilitate matchmaking, partnerships, exchange of knowledge and information between actors in EU and China? Is that any concrete relevant outputs as a result?

To comply with the specific objective, the evaluation will apply the following 5 criteria:

1. Relevance: how the project is suited to the priorities and policies of the main stakeholders considering the following questions:

- To what extent are the objectives of the project still valid?

- Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?

- Are the activities and outputs of the project consistent with the intended impacts and effects?

2. Effectiveness: to what extent the project is attaining its intended objectives in relation either to the expected results/outcomes (support mechanism, toolboxes, pilot eco-city, institutional strengthening of MoHURD and municipalities etc.), and impacts (adoption of eco-low carbon solutions), considering the following questions:

- What has been achieved (results/outcomes, impacts) so far when compared to what is stated in the project logframe?

- To what extent results and – consequently – objectives are likely to be achieved?

- What are the major factors influencing the achievement or non-achievement of results and objectives?

3. Efficiency*: to what extent the project is using the least costly resources possible in order to achieve concrete results. Alternative approaches to achieving the same outputs have to be considered to see whether the most efficient process has been adopted. It will be useful to consider the following questions:

- Have activities been cost-efficient?

- Are objectives in track to be achieved on time?

- Is the project being implemented in the most efficient way compared to alternatives?

   4. Impact: assess the positive and negative changes produced by the project so far, directly or indirectly, intended or unintended. It will be useful to consider the following questions:

- What is happening as a result of the implementation of the project?

- What real difference is the activity contributing to make to the beneficiaries?

- How many people are being affected?

- Is the project approach evolving accordingly?

   5. Sustainability: measure whether the benefits of the project are likely to continue after the implementation period. It will be useful to consider the following questions:

- To what extent are the benefits of the project likely to continue after EU funding ceases?

- What are the major factors influencing the achievement or non-achievement of potential sustainability of the project?

The Mission Evaluation Report should also assess possible required changes to the project scope (including objectives, management arrangements, financing, etc.) in order to support effective implementation and the delivery of a sustainable benefit stream and review indicators to be included in the monitoring and reporting system.

2.3 Requested services

The Contractor is required to carry out this assignment in accordance with the Project Cycle Management (PCM) Guidelines and the Evaluation Methodology of the European Commission. In addition, the evaluation team should also consider whether the following cross-cutting issues: gender, good governance and environment were taken into account in the identification/formulation documents and the extent to which they have been reflected in the implementation of the project and its monitoring.

The evaluation team is requested to:

- Review background materials and prepare a tentative mission plan which shall be agreed by project key stakeholders and endorsed by EUDEL upon arrival to China;

- Attend a briefing session with the EUDEL;

- Meet relevant counterparts and stakeholders including but not limited to MoHURD, EU Member States and other relevant donor's based in Beijing;

- Prepare and present to the EUDEL an Initial Report with an appreciation and further articulation of the questions related to the specific objective of the mission (point 2.2);

- Meet relevant counterparts, stakeholders and beneficiaries in the following EC Link pilot cities: Zhuhai (both experts), Changzhou (1 expert) and Weihai (1 expert);

- Organize a debriefing meeting at the EUDEL;

- Prepare a Draft Final Evaluation Report (and then, subsequent to comments being received to the Draft, a Final Evaluation Report) which documents the findings, conclusions and recommendations in accordance with the requested services outlined above and according to the report structure included in these Terms of Reference (Annex II).

2.4 Required outputs

- Initial Report after the first 4 working days in China (10 pages max.)

- PowerPoint presentation at the end of the field mission (de-briefing at the EUDEL)

- Draft Evaluation Report

- Final Evaluation Report (30 pages max.)

2.5 Language of the Specific Contract: English

2.6 Subcontracting: subcontracting is not foreseen under this specific contract.

3. EXPERTS PROFILE OR EXPERTISE REQUIRED

3.1 Number of requested experts per category and number of man-days per expert:

Expert Nº 1: Category I – Team Leader (22 man days)

Expert Nº 2: Category I – Senior Expert (20 man days)

3.2 Profile per expert or expertise required

Expert Nº 1 - Cat I – Team Leader.

- Qualifications and skills
- Academic qualification in a sector relevant to the assignment (at least Master's Degree or, in its absence, equivalent professional experience of 5 years);
- Excellent communication, drafting and reporting-writing skills.

General professional experience

- Proven professional experience of at least 12 years at international level in monitoring and evaluation procedures and methodologies applied to the various modalities of implementation, instruments and channels of cooperation / aid delivery.

Specific professional experience

- Knowledge of technical and/or financial programme management as well as of Project Cycle Management (PCM) and Logical Framework Approaches;
- Knowledge of cost-benefit and impact analysis;
- Working experience with Governmental officials at senior level and within a team of international and national consultants;
- Proven experience with EU-funded programmes and with urbanisation-related programmes would be an asset. Working experience in or with China (short or long-term missions) would be also an asset.
- Language skills
- Proficiency in written and spoken English.

The team leader will be responsible for the overall planning and implementation of the mission and for the production and presentation of all reports.

Expert Nº 2 - Cat I – Senior expert.

Qualifications and skills

- Academic qualification in a sector relevant to the assignment (at least Master's Degree or, in its absence, equivalent professional experience of 5 years)
- Excellent communication, drafting and reporting-writing skills.
- General professional experience
- Proven professional experience of at least 12 years in the sector (s) related to the Lot.

Specific professional experience

- Proven professional experience of at least 7 years specifically in the field of low-carbon/sustainable urbanization.
- The expert must have field experience in project management and project evaluation.
- Language skills
- Proficiency in written and spoken English.

4. LOCATION AND DURATION

4.1 Starting period

The assignment is expected to start by mid-February 2016.

4.2 Foreseen finishing period or duration

The mission, including the submission of the final report, should be completed within 180 calendar days from its start.

4.3 Planning

Contractor will coordinate with the EUDEL Cooperation section, located in Beijing. Background information will be made available to the Contractor during the preparation period, i.e. before the start of field work in China (see Annex I).

All meetings in China should be arranged by the expert team in coordination with the project Team Leader and the EUDEL at most 3 days after the experts' arrival in Beijing in order to make the most effective use of their visit.

Travel from Beijing to the pilot locations (Zhuhai, Changzhou and Weihai) and accommodation at each location will be arranged and paid by the Contractor in the most cost-effective way and according to a schedule and itinerary determined by the Team Leader in coordination with the EUDEL.

The indicative timetable and description of activities is given below. The proposed planning for working days should be included in the Organisation & Methodology to be submitted as part of the offer.

The overall input of the mission will be 42 man-days divided as follows:

Indicative Timetable and Description of Activities

Location	# days Expert 1	# days Expert 2	Activity
Experts' home base	2	2	Background preparation
Travel to/from Beijing			Travel days from and to the place of residence are not considered as working days
China – Beijing	5	5	Briefing with the EUDEL, with the project team and MoHURD representatives Interviews/meetings with EU Member States /other donors Preparation and presentation of the Initial Report
China (Zhuhai, Changzhou and Weihai)	5	5	Interviews/meetings with project stakeholders and project beneficiaries/ participants. Visit pilots and interviews/meetings with project stakeholders
China – Beijing	2	2	Debriefing with the EUDEL, project team, MoHURD and MoFCOM
Travel back to home base from China			Travel days from and to the place of residence are not considered as working days
Experts' home base	5	4	Prepare draft report and submit to EUDEL
Experts' home base	3	2	Finalising report and submitting to EUDEL
Total Working Days	**22**	**20**	

* This schedule is indicative and should be adjusted according to detailed arrangements to be made with the prior approval of the EUDEL. The experts are allowed to work on national holidays and weekends for travel and reporting only upon the EUDEL's ex-ante approval.

4.4 Location of assignment

The assignment will take place at the experts' home base, and in the People's Republic of China: Beijing and Zhuhai (both experts), Changzhou (1 expert) and Weihai (1 expert).

Travels to and from and inside China should be budgeted in the offer.

The Contractor should indicate the experts' place of residence in their CVs.

5. REPORTING

5.1 Content

The mission team is required to produce the following reports and documents:

▪ An Initial Report with an appreciation and further articulation of the questions related to the specific objective of the mission (point 2.2) and a detailed schedule of meetings, no later than 4 days after arrival in Beijing. Meeting with main stakeholders must be arranged before arrival in coordination with the EUDEL and the project team.

▪ A presentation in power-point format at the end of the field mission (de-briefing with the EUDEL) which will synthesize the main conclusions of the evaluation and the recommendations.

▪ A Draft Final Evaluation Report, which will answer the evaluation questions (both general and specific) and provide a synthesis of all findings, conclusions and recommendations. This will be

sent to the EUDEL by email within 10 working days after the completion of the mission in China (date to be confirmed by the EUDEL). The draft report will be circulated by the EUDEL to the relevant European Commission services and other stakeholders for comments. The structure of the Evaluation Report is provided in Annex II of these Specific Terms of Reference.

▪ The Final Report, which will integrate the comments received to the Draft version- to be sent to the EUDEL within 10 working days after receiving the comments by the EUDEL (date to be confirmed by the EUDEL). The evaluation team will provide a separate document explaining how the comments were integrated. The EUDEL reserves the right to request for revision of the report and request further changes to be made until its final approval.

The Framework Contractor has to ensure the timely submission and the quality control of the final evaluation report so as to comply with the high quality standards required under the specific objectives and the requested services.

5.2 Language

All documents will be written in English.

5.3 Submission/comments timing

▪ The Initial Report will be delivered 4 working days after arrival in Beijing

▪ The first Draft Evaluation Report will be delivered 10 working days after the completion of the mission in China (date to be confirmed by the EUDEL).

▪ The Delegation will forward its detailed comments at the latest 30 days after the official sending of the first Draft Final Evaluation Report.

▪ The Final Report, including all annexes requested, should be presented to the EU Delegation 10 working days after receiving the comments by the EUDEL (date to be confirmed by the EUDEL).

▪ The Delegation will forward its detailed comments at the latest 30 days after the official sending of the Final Report.

The European Commission reserves the right to have the reports redrafted by the consultant as many times as necessary to achieve an acceptable Final Report.

5.4   Number of report(s) copies

The reports will be submitted electronically to the Project Officer, Mr. Cesar Moreno:

In addition, three (3) hard copies and one (1) electronic copy (CD or USB) of the Final Evaluation Report, including annexes, will be transmitted to the EUDEL after the final draft report has been approved by the EUDEL. The latter will arrange distribution to stakeholders.

If the expert team proves to be unable to meet the level of quality required for drafting the report, the Framework Contractor will provide, at no additional cost to the European Commission, immediate technical support to the team to meet the required standards.

6.   INCIDENTAL EXPENDITURE

Other limitative identified reimbursable costs include:

▪ Per diems while staying away from the expert's place of residence.

▪ International travel to China

▪ Domestic travel within China

▪ Visa costs

▪ Interpretation services

No costs incurred by the Framework Contractor in preparing and submitting the offer is reimbursable. All such costs must be borne by the Framework Contractor. No telecommunication costs and no secretarial costs for preparing/editing/sending reports or for additional copies of the reports are authorized.

7.   OTHER REMARKS

7.1 Methodology for the submission of the offer which will be evaluated by the EUDEL

The Framework Contractors are required to submit a brief description (max. 3 pages) of the Organisation & Methodology (O&M) that will be used to carry out this assignment. Particular emphasis

will be put in describing how the evaluation mission will assess the level of attainment of the intended results/outcomes related to institutional capacity and policy making.

7.2 Conflict of interest

In addition to the provisions described in article 9 of the General Conditions and in article 8.5 of the Global Terms of Reference, the following is a non-exhaustive list of specific cases for which the Contractor or the proposed experts could be considered as having a conflict of interest in performing the evaluation:

- if the proposed experts are currently employed by the Project's contractors, partners or consortia members;
- if the proposed experts have been employed on a short- or long-term basis by the Project's contractors, partners or consortia members within the duration of the Project.

The experts are expected to be autonomous and must be independent and free from conflicts of interest in the responsibilities according to them. Note that civil servants and other staff of the public administration in China cannot be recruited as experts, unless prior written approval has been obtained from the EUDEL.

When contacting government authorities or any other organisation, the experts will clearly identify themselves as independent consultants and not as official representatives of the European Commission.

Financial penalties will be applied if schedules indicated for the submission of reports (draft and final) are not strictly adhered to. These terms of reference may be elaborated further by the Delegation during briefings.

Annex I: Information that will be provided to the evaluation team

- Country Strategy Paper for China and Indicative Programme for the period covered
- Project identification study
- Project feasibility study
- Project financing agreement, technical and administrative provisions, logical framework and contractual documents
- Project's Annual Work Plans
- Project's progress reports

Note: The evaluation team has to identify and obtain any other document worth analysing, through its interviews with people who are or have been involved in the design, management and supervision of the project / programme. Resource persons to collect information and data are to be sought in the EC services, implementing body and/or public service in the partner country.

Annex II: structure of the Executive Summary & Final Report

The final report should not be longer than the number of pages indicated (30 pages). Additional information on overall context, programme or aspects of methodology and analysis should be confined to annexes.

The cover page of the report shall carry the following text: ''This evaluation is supported and guided by the European Commission and presented by [name of consulting firm]. The report does not necessarily reflect the views and opinions of the European Commission''.

The main sections of the evaluation report are as follows:

Executive Summary

A tightly-drafted, to-the-point and free-standing Executive Summary is an essential component. It should be short, no more than five pages. It should focus on the key purpose or issues of the evaluation, outline the main analytical points, and clearly indicate the main conclusions, lessons to be learned and specific recommendations.

Introduction

A description of the project/programme and the evaluation, providing the reader with sufficient methodological explanations to gauge the credibility of the conclusions and to acknowledge limitations or weaknesses, where relevant.

Answered questions/Findings

A chapter presenting the evaluation questions and conclusive answers, together with evidence and reasoning.

Overall assessment

A chapter synthesising all answers to evaluation questions into an overall assessment of the project/programme. The detailed structure of the overall assessment should be refined during the evaluation process. The relevant chapter has to articulate all the findings, conclusions and lessons in a way that reflects their importance and facilitates the reading. The structure should not follow the evaluation questions, the logical framework or the seven evaluation criteria.

Conclusions

This chapter introduces the conclusions of the evaluation. The conclusions should be organised in clusters in the chapter in order to provide an overview of the assessed subject. A paragraph or sub-chapter should pick up the 3 or 4 major conclusions organised by order of importance, while avoiding being repetitive. This practice allows better communicating the evaluation messages that are addressed to the Commission. If possible, the evaluation report identifies one or more transferable lessons, which are highlighted in the executive summary and can be presented in appropriate seminars or similar events.

Recommendations

They are intended to improve or reform the project/ programme in the framework of the cycle under way, or to prepare the design of a new intervention for the next cycle. Recommendations must be clustered and prioritised, carefully targeted to the appropriate audiences at all levels, especially within the Commission structure.

Annexes of the report

The report should include the following annexes:

- The terms of reference of the evaluation;
- The names of the evaluators and their companies (CVs should be shown, but summarised and limited to one page per person);
- Detailed evaluation method including: options taken, difficulties encountered and limitations. Detail of tools and analyses;
- Intervention logic/Logical Framework matrices (original and improved/updated);
- Map of project area;
- List of persons/organisations consulted;
- Literature and documentation consulted;
- Other technical annexes (e.g. statistical analyses, tables of contents and figures);
- Detailed answers to the evaluation questions, judgement criteria and indicators (evaluation matrix

Annex 4. Project Area & Pilot Cities

EC-Link Pilot Cities
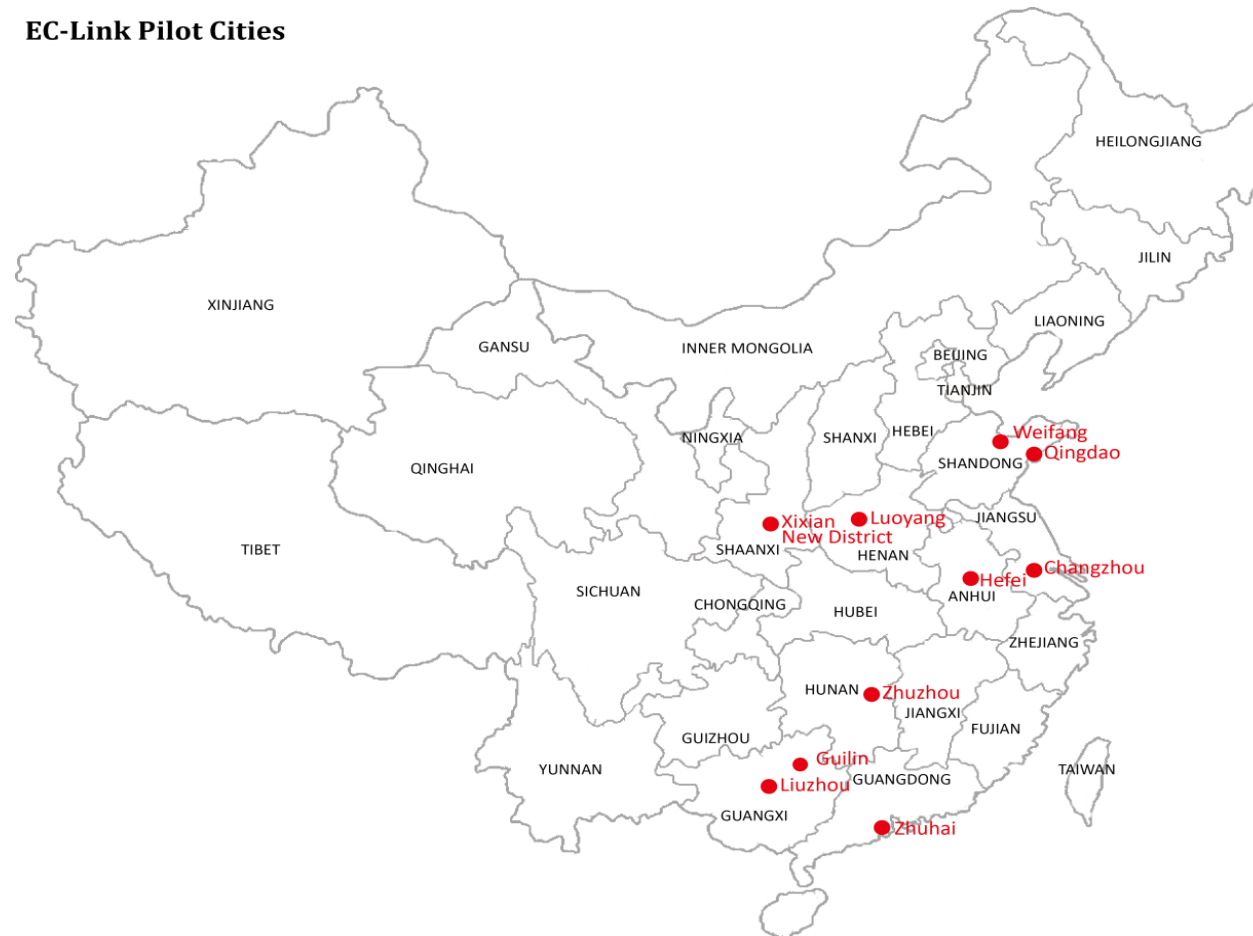
Source: EC Link Project

Annex 5. Evaluation Questions & Judgement Criteria

Nº	Evaluation Questions	Judgement Criteria	Remarks
Re: Relevance			
1	To what extent are the objectives of the project still valid?	▪ Refinement of the logframes[47] produced by the GIZ consortium and the TAT/PTF to date; ▪ Continued relevance affirmed by EUD, counterparts & beneficiaries.	A project of this complexity must be judged on its internal logic, as defined in the applicable logframe, so as to ensure: (i) objective assessment and (ii) agreement between stakeholders on the basis of the assessment.
2	Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?	▪ Intervention logic in the logframe current at the mid-term evaluation (MTE) cut-off date; ▪ Degree of 'SMART'-ness[48] of indicators in the current logframe;	
3	Are the activities and outputs of the project consistent with the intended impacts and effects?	▪ Documented recipient government policy & strategies (reflected in, e.g.: FYPs).	
Re: Efficiency			
4	Have activities been cost-efficient?	▪ Speed of TAT mobilisation; ▪ Quality of planning during inception period; ▪ Use of project budget at MTE cut-off date; ▪ Use of Incidental Expenditure (IE) at MTE cut-off date; ▪ Documented attainment of planned outputs to date (as set out in applicable OWP/AWPs).	
5	Are objectives in track to be achieved on time?	▪ Quality of applicable overall work plan (OWP); ▪ Quality of applicable annual work plan (AWPs); ▪ Statements by EUD, counterparts & beneficiaries.	
6	Is the project being implemented in the most efficient way compared to alternatives?	Assessment by the evaluators, based on professional experience, documentation review & interview yields.	'Professional experience': technical experience in the field covered by the project, as well as knowledge of EU project cycle management (PCM).
Re: Effectiveness			
7	What has been achieved (results/outcomes, impacts) so far when compared to what is stated	▪ Documented achievement against indicators in current logframe; ▪ Risks materialised at MTE cut-off date.	

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[47] Logframe = the logical framework planning matrix, required by standard EU evaluation methodology.

[48] 'SMART' indicators are: **s**pecific, **m**easurable, **a**ttainable, **r**elevant & **t**ime-bound.

Nº	Evaluation Questions	Judgement Criteria	Remarks
	in the project logframe?		
8	To what extent results and – consequently – objectives are likely to be achieved?	▪ Plausible causal link between delivery of outputs, achievement of results and likely attainment of intended impact at MTE cut-off date;	
9	What are the major factors influencing the achievement or non-achievement of results and objectives?	▪ Current explicit and implicit assumptions with regard to project implementation and project environment; ▪ Updated risk analysis and proposed mitigation at MTE cut-off date.	
Re: Impact			
10	What is happening as a result of the implementation of the project?	▪ Degree of attainment of project objectives, as measured against indicators in current logframe; ▪ Documented, unintended results, with likely impact in terms of objective achievement.	
11	What real difference is the activity contributing to make to the beneficiaries?	Perspective on the project's EU 'added value', as currently held by: ▪ EUD; ▪ Counterparts & beneficiaries; ▪ Other stakeholders; ▪ MS and IFI.	To be based on: ▪ Self-assessment by EUD, counterparts & beneficiaries; ▪ Statements by MS & IFI representatives; ▪ Reasoned[49] assessment by the evaluators.
12	How many people are being affected?	Number and type of beneficiaries of project activities at the MTE cut-off date, as documented in reporting by EUD, TAT, PTF and other stakeholders.	
13	Is the project approach evolving accordingly?	Documented evolution of project approach up to MTE cut-off date, as set out in IPA, IR, OWP, AWPs and other documentation.	
Re: Sustainability			
14	To what extent are the benefits of the project likely to continue after EU funding ceases?	▪ Documented commitment by Chinese authorities and stakeholders in the form of FYPs and other planning documentation;	
15	What are the major factors influencing the achievement or non-achievement of potential sustainability of the project?	▪ Likely continuation of the KP under CSUS/MoHURD aegis after project completion; ▪ Positive statements by Chinese authorities and stakeholders on relevant policy continuity; ▪ Positive statements by same on domestic budgetary resources availability.	

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[49] 'Reasoned' means that all conclusions are traceable to documented findings and any recommendations linked to one or more conclusions.

Nº	Evaluation Questions	Judgement Criteria	Remarks
Re: Overall Assessment [Evaluation Purpose (Specific Objectives)]			
A	▪ To what extent the project has understood and is aligned to MoHURD plans and strategies? ▪ Is the project strategically responding to the specific challenges related to MoHURD's attributions in the field of eco-low carbon urbanisation?	▪ Documented references to project in MoHURD policy, strategy and planning; ▪ Supporting statements by MoHURD representatives; ▪ Positive statements to this effect in minuted deliberations in PSC & PAG meetings; ▪ Alignment of project intervention logic with MoHURD's mandate, policies & planning overall and in the eco low-carbon urbanisation sphere.	
B	Are the project activities aimed at generating and delivering concrete, timely and useful outputs in order to support eco-low carbon city management tools for local governments?	Documented, reasoned causality between project outputs, expected results and intended impact in respect of eco low-carbon city management tools.	
C	▪ To what extent activities being developed or implemented at city level are linked to MoHURD's needs and responsibilities?	Assessment against Articles 1-7 and 17-30, Land Administration Law (25 Jun 1986; amended 1998), which define the relations between MoHURD and Chinese cities, as well as the role shared between central government and local authorities.	
	▪ What is the potential for scaling up these activities to generate replicable models and tools that could be nation-wide applied?	Assessment against the above articles, as well as State Council Reg. 2011 (19 Jan 2011), which together provide the foundation for replicable models and tools, to be applied nation-wide.	
D	Is the project targeting the most appropriate experiences in the EU and contributing to foster their sharing and dissemination and ultimately their practical application in China?	Assessment based on appropriate EU experience in identifying best urban practice and most advanced technologies; i.e. whether the project addresses carbon emission & environmental protection concerns in Chinese cities, if feasible, modelled on EU examples.	

E	▪ To what extent the project is enhancing networking between the EU and China in the field of eco low-carbon urbanisation?
	▪ Is the project effectively acting as a platform to facilitate matchmaking, partnerships, exchange of knowledge and information between actors in EU and China?
	▪ [Are there] any concrete relevant outputs as a result?
		▪ State of the KP at the MTE cut-off date, in terms of evolution over time of:
		  • nº of EU and Chinese participants,
		  • nº of eco-low carbon initiatives included,
		  • nº of 'non-project' hits, visits and pages accessed,
		  • documented nº of established contacts between stakeholders through platform.
		▪ Positive statements by Chinese & European business community & potential investors.
			Both types of assessment to be based on: i) the quality of the KP; (ii) participation by Chinese & European cities in the platform; (iii) documented level of exchange of information between same.

Annex 6.   Logframes: Indicator Achievement

LOGFRAME 1 – Source: Action Fiche II, Appendix 1, Component 2 – Sustainable Urbanisation [Undated]

		Intervention Logic	Indicators	Achievement at MTE Cut-off Date
OO		To support China in meeting the environmental, energy- and carbon-intensity targets defined in the 12th Five Year Development Plan.	Energy intensity (per capita/GDP unit)	12th FYP target: reduction of energy use per unit of GDP of 16%
			CO_2 emissions (per capita/GDP/overall)	12th FYP target: reduction CO_2 per unit of GDP of 17%
			Forest coverage rate/urban green area	12th FYP target: increase in forest coverage of 21.66%
			Water use efficiency change	12th FYP target: decrease in water consumption per unit of value-added industrial output of 30%
				NB: There is no direct causal link between the Project's results and purpose, on the one hand, and the above indicators, on the other hand
PP		To assist Chinese cities in adopting energy- and resource-efficient ecological solutions by sharing experiences on sustainable urbanisation and other relevant policies between Europe and China.	By the end of the project at least xxx cities assisted by the project have developed low-carbon eco-city strategies and are implementing action plans and measures	SMART indicator in principle, but non-specification of the number of cities renders it not assessable
			Experiences on energy- and resource-efficient ecological solutions for sustainable urbanisation have been shared between Europe and China facilitated by the support mechanism and benefited cities in all of five China's regions	Not assessable[50], in the absence of a target number of experiences and a clear time-frame
R1		MoHURD is supported in preparing eco-low carbon city management tool boxes for local governments. Tool boxes could include guidelines, standards, lessons learned from low carbon eco-city pilots, etc.	At least four tool boxes in place and used	Assessable, if the time-frame is taken to be project's end. If so, the project is likely to meet this indicator
			Evaluation of xx pilot cities performed and case studies formulated	SMART indicator in principle, but non-specification of the number of cities renders it not assessable

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[50] 'Not assessable' in this context means: within the confines of the logframe, in line with standard EU project cycle management and M&E methodology. The term does not imply that nothing can be said about the relationship between outputs, results & objectives and, hence, about the (likely) effectiveness or impact of the project by other means. Such means may include a professional assessment based on in-depth knowledge of the subject matter. However, the logframe – if well designed – adds rigour to the professional assessment, *inter alia* by using baseline and benchmark data agreed to by beneficiaries and stakeholders, including contractors and assistance providers.

	Intervention Logic	Indicators	Achievement at MTE Cut-off Date
R2	One "EU-China pilot low carbon eco-city" supported in China. (The city will be identified according to the criteria indicated by MoHURD and EU). The pilot could: i) demonstrate best approaches to low carbon eco planning, ii) serve as testing ground for policy innovations (e.g. energy performance labelling for buildings) iii) test the functionality of the support mechanism. The EU financing supporting this result will be limited to maximum 10% of total EU contribution. Other funds will be attracted for the development of the pilot. Other funds will be attracted for the development of the pilot.	All necessary arrangements agreed and put in place to start the pilot in host city/community	Achieved, in that the Project identified a comprehensive pilot city (Zhuhai); Project activities in Zhuhai still had to commence at MTE cut-off date.
		Low carbon eco plan developed	Not yet achieved; still reachable by Project's end.
		Policy innovations tested	Not assessable, in the absence of specificity on the innovations
R3	Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and between different actors/donors). This will also include the set-up of cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chinese cities have first-hand access to know-how and operational details of clean urban development initiatives undertaken in Europe.	Mutual understanding of experiences, practice and challenges laid down in exchange reports	Not assessable (neither targeted, nor time-bound)
		Database of best practices including information about quality (e.g. rating) of the best practice	Idem
		Over time increasing number of website/page hits	Idem
		Number of requests received	Idem
		Number and variety of stakeholders joining and actively participating in the network	Idem
		Number of cooperation schemes	Idem
R4	Strengthened capacities of municipalities to plan, identify, implement and monitor low carbon and ecological solutions (sectoral and integrated solutions).	Municipal staff (to define type of staff) of at least 60 cities supported	Not assessable (no definition of the meaning of 'supported'; no indication of type of staff)
		At least 60% of municipal staff supported through the project report to apply and benefit from their new knowledge and skills in their work	Not assessable (no indication of how to measure achievement: surveys, sampled interviews?)
		Overall rating of trainings more than 80% satisfaction	Measurable, but not a strong indicator of training impact in terms of increased trainee capacity.
R5	Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.	Municipal staff (to define type) of at least 20 cities supported	Not assessable (no definition of the meaning of 'supported'; no indication of type of staff)
		At least 60% of municipal staff supported through the project report to apply and benefit from their new knowledge in their work	Not assessable (no indication of how to measure achievement: surveys, sampled interviews?)

	Intervention Logic	Indicators	Achievement at MTE Cut-off Date
		Overall rating of trainings more than 80% satisfaction	Measurable, but not a strong indicator of training impact in terms of increased trainee capacity.
R6	Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximized.	70% of all relevant institutions/offices of EU and all Member States, and international development agencies, are aware of the project	Targeted, although not time-bound indicator, the achievement of which would nevertheless be very hard – and perhaps costly - to measure
		70% of the Chinese Mayors and Vice-Mayors involved in sustainable urbanisation are aware of the project	Not assessable (absence of baseline figure: number of CN (vice-) mayors involved in sustainable urbanisation.
		50% of Chinese cities are consulting the IT platform on a regular basis	Targeted, but not time-bound indicator, the achievement of which would be costly to measure
		30% of Chinese cities have approached the support mechanism for assistance	Targeted, but not time-bound indicator. If the time horizon is taken to be Project's end, a very ambitious target to meet given the large number of Chinese cities
R7	An appropriate support mechanism enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management is implemented.	Secretariat operational and assist cities	Achieved
		IT platform operational and used	Not yet achieved; likely to be achieved by Project's end
		Community of practice established	Not yet achieved; likely to be achieved by Project's end, at least in embryo
		Type and quality of matchmaking supported	Not assessable (not a 'SMART' indicator).

LOGFRAME 2 – Source: Financing Agreement DCI-ASIE 2011/023-093, Annex IIB [Dated 29 Sep 2012]

	Intervention Logic	Indicators	Achievement at MTE Cut-off Date
OO	To support China in meeting the environmental, energy- and carbon-intensity targets defined in the 12th Five-Year Development Plan.	Energy intensity (per capita/GDP unit)	12th FYP target: reduction of energy use per unit of GDP of 16%
		CO2 emissions (per capita/GDP/overall)	12th FYP target: reduction CO_2 per unit of GDP of 17%
		Forest coverage rate/urban green areas	12th FYP target: increase in forest coverage of 21.66%
		Water use efficiency charge	12th FYP target: decrease in water consumption per unit of value-added industrial output of 30%
			NB: There is no direct causal link between the

		Intervention Logic	Indicators	Achievement at MTE Cut-off Date
				Project's results and purpose, on the one hand, and the above indicators, on the other hand
PP		To assist Chines cities in adopting energy and resource-efficient ecological solutions by sharing experiences on sustainable urbanisation and other relevant policies between Europe and China.	By the end of the project at least 6 cities assisted by the project have developed low-carbon strategies and are implementing action plans and measures	Likely to be achieved by Project's end
			Experiences on energy- and resource-efficient ecological solutions for sustainable urbanisation have been shared between Europe and China facilitated the support mechanism and benefited cities in each geographical area of China.	Not assessable (targets as to the kind and the necessary minimum number of experiences shared; not time-bound)
R1		An appropriate support mechanism, enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management is implemented.	Secretariat operational and assist cities	Achieved
			IT Platform operational and used	Likely to be achieved by Project's end
			Community of practice established	Likely to be achieved by Project's end, at least in embryo
			Type and quality of matchmaking supported	Not assessable[51] (not a 'SMART' indicator)
R2		MoHURD is supported in preparing low carbon eco-city management toolboxes for local governments. Toolboxes could include guidelines, standards, lessons learned from carbon eco-city pilots, etc.	Evaluation of 10 pilot cities performed and case studies performed	Partly achieved at MTE cut-off date: 10 pilot cities identified. Toolboxes in 9 sectors under preparation for completion by Project's end
R3		One 'EU-China pilot low-carbon eco-city' supported in China (The city will be identified according to the criteria indicated by MoHURD and EU). The pilot could: (i) demonstrate best approaches to low carbon eco, planning, (ii) serve as testing ground for policy innovations (e.g. energy performance labelling for buildings); (iii) test the functionality of the support mechanism.
The EU financing supporting this result will be limited to maximum 10% of total EU contribution. This EU contribution may be utilised towards attracting other	All necessary arrangements agreed and put in place to start the pilot in host city/community	Achieved. The Project identified a comprehensive pilot city (Zhuhai); project activities in Zhuhai still have to commence at MTE cut-off date.
			Low carbon eco plan developed	Not yet achieved, but reachable by Project's end
			Policy innovation tested	Not assessable, in the absence of specificity on the innovations

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[51] 'Not assessable' in this context means: within the confines of the logframe, in line with standard EU project cycle management and M&E methodology. The term does not imply that nothing can be said about the relationship between outputs, results & objectives and, hence, about the (likely) effectiveness or impact of the project by other means. Such means may include a professional assessment based on in-depth knowledge of the subject matter. However, the logframe – if well designed – adds rigour to the professional assessment, *inter alia* by using baseline and benchmark data agreed to by beneficiaries and stakeholders, including contractors and assistance providers.

	Intervention Logic	Indicators	Achievement at MTE Cut-off Date
	funds for the development of the pilot.		
R4	Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and between different actors/donors). This will also include the set-up of cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chines cities have first-hand access to know-how and operational details of clean urban development initiatives undertaken in Europe.	Mutual understanding of experiences, practice and challenges laid down in exchange reports	Not assessable (neither targeted, nor time-bound)
		Database of best practices including information about quality (e.g. rating) of the best practice	Idem
		Over time increasing number of website/page hits	Idem
		Number of requests received	Idem
		Number and variety of stakeholders joining and actively participating in the network	Idem
		Number of cooperation schemes	Idem
R5	Strengthened capacities of municipalities to plan, identify, implement and monitor low-carbon and ecological solutions (sectoral and integrated solutions).	Municipal staff (to define type of staff0 of at least 40 cities supported	Not assessable (no definition of the meaning of 'supported'; no indication of type of staff)
		At least 60% of municipal staff supported through the project report to apply and benefit from their new knowledge and skills in their work	Not assessable (no indication of how to measure achievement: surveys, sampled interviews?)
		Overall rating of trainings more than 80% satisfaction	Although measurable, not a strong indicator of training effectiveness or impact in terms of increased trainee capacity.
R6	Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.	Municipal staff (to define type) of at least 20 cities supported	Not assessable (no definition of the meaning of 'supported'; no indication of type of staff)
		At least 60% of municipal staff supported through the project report to apply and benefit from their new knowledge in their work	Not assessable (no indication of how to measure achievement: surveys, sampled interviews?)
		Overall rating of trainings more than 80% satisfaction	Although measurable, not a strong indicator of training effectiveness or impact in terms of increased trainee capacity.
R7	Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximized.	70% of all relevant institutions/offices of EU and all Members States, and international development agencies, are aware of the project	Targeted, but not time-bound indicator, the achievement of which would nevertheless be very hard – and perhaps costly - to measure
		50-80 Chines cities are aware of the project	The Project may plausibly be considered to meet this target by Project's end.

LOGFRAME 3 – Source: Overall Work Plan [Jun 2014]

		Intervention Logic	Indicators		Achievement at MTE Cut-off Date
OO		*Not provided*	*Not provided*		
PP		To provide technical assistance to the Chinese Ministry of Housing and Urban-Rural Development (MoHURD), assisting Chinese cities in adopting energy and resource efficient ecological solutions.	0.1	MoHURD is strengthened in achieving low-carbon and ecological solutions	Not assessable[52] (no definition of 'strengthening, not time-bound)
			0.2	Municipalities share best practices	Not assessable (no definition of 'best practice' – of which there are, in this sphere, likely to be many, but different ones)
			0.3	IT Platform is frequently visited and populated with information	Not assessable (no target for number of visits; no definition of 'populated')
			0.4	High usage of Help Desk	Not assessable (no target; no definition of 'high usage')
			0.5	High level of cooperation with Pilot City set-up and funding	Unclear formulation; in any case not assessable (no definition of 'high level of cooperation')
			0.6	Experiences are shared on sustainable urbanisation and other relevant policies between Europe and China	Not assessable (not targeted in terms of the minimum number of experiences shared)
			0.7	Number of cities in China that share best practices, and how much they share via the Support Mechanism	Not assessable [not a SMART indicator (no baseline or benchmarks, not targets)]
R1		An appropriate support mechanism is implemented, enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management.	1.1	Number of times knowledge and information is shared, including best practices and case studies	Not assessable [not a SMART indicator (no baseline or benchmarks, no targets)]
			1.2	Ability to promote the output of existing pilots and demonstration projects	Not assessable [not a SMART indicator (no baseline or benchmarks, no targets)]
			1.3	Resultant number of Chinese cities connected with other Chinese or European cities	Measurable, but not perhaps meaningfully, in the absence of baseline, benchmarks and target.
			1.4	Ability to supply contacts and coordination with relevant ongoing actions and projects (of	Not assessable [not a SMART indicator (no baseline or benchmarks, no targets)]

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[52] 'Not assessable' in this context means: within the confines of the logframe, in line with standard EU project cycle management and M&E methodology. The term does not imply that nothing can be said about the relationship between outputs, results & objectives and, hence, about the (likely) effectiveness or impact of the project by other means. Such means may include a professional assessment based on in-depth knowledge of the subject matter. However, the logframe – if well designed – adds rigour to the professional assessment, *inter alia* by using baseline and benchmark data agreed to by beneficiaries and stakeholders, including contractors and assistance providers.

	Intervention Logic	Indicators	Achievement at MTE Cut-off Date
		EU, EU member states and others)	
		1.5 Number of quality networking events established	Measurable, but not perhaps meaningfully, in the absence of baseline, benchmarks and target.
		1.6 Establish communities of practice, via a web-based forum, etc.	Not assessable [not a SMART indicator (no baseline or benchmarks, no targets)]
		1.7 Network is enhanced between EU and Chinese cities	Not assessable [not a SMART indicator (no definitions of both 'network' and 'enhanced'
		1.8 Ability to act as the daily virtual continuation of the EU-China Mayors' Forum	Not an indicator but an outcome or result in itself, which requires a definition of 'ability'.
R2	MoHURD is supported in preparing low carbon eco-city management toolboxes for local governments.	2.1 Urban Sustainability Lab successfully compiles and organises data for the toolboxes	Not an indicator, but an outcome in itself; requires a definition of 'successfully'
		2.2 Volume of information in toolboxes	Not a SMART-indicator (no target; not time-bound)
		2.3 Codifying data into standardized comparative units	Not an indicator, but an activity
		2.4 Best practice information more available for municipalities	Assessable; but only with baseline data, targets and time horizon
		2.5 Lessons learned from low carbon eco-city pilots	Not yet achieved (no activities in pilot cities yet). Limited as an indicator (not SMART)
		2.6 Examples and models of action plans from the EU	Achieved (examples and model of action plans from EU shared); however, lack of SMART-ness of indicator (no targets) prevents a precise assessment of achievement
		2.7 Evaluation of 10 pilot cities performed and case studies formulated	Achieved
R3	Support to one Europe-China pilot low-carbon eco-city.	3.1 The pilot city's local authority is strengthened in setting up the project, attracting financing and increasing competences	Not assessable (not an indicator, but a result). NB: outcome R3 – as formulated – is not a result or goal, but rather an activity. Preceding version of the logframe contained more detail on what constituted 'support'
		3.2 Shared value and cross-departmental long-term benefits are achieved and added social capital leveraged by means of an integrated planning process	Not assessable (not an indicator, but a result).

	Intervention Logic		Indicators	Achievement at MTE Cut-off Date
		3.3	Innovative technologies and policies are applied on the infrastructure and on the building level, achieving measurable energy savings	Not assessable (not a SMART indicator); strictly speaking an expected result, itself in need of more than one indicator
		3.4	MoHURD receives valuable feedback from the pilot city KPIs on its eco city indicators	Idem
		3.5	MoHURD staff's capacity and knowledge increases as a result from learning from the pilot city project	Not assessable (not a SMART-indicator).
		3.6	The visibility and brand of EC-LINK and the EU is substantially enhanced	Not assessable [not a SMART-indicator (no definition of 'substantially enhanced', no baseline, not target)]
R4	Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities.	4.1	IT platform provides easy access to information	Not assessable, since these indicators, as framed, are expected results, themselves needing one or more indicators.
		4.2	IT platform encourages sharing of best-practices	
		4.3	Chinese cities have first-hand access to know-how of Chinese and European cities.	
		4.4	Chinese cities have first-hand access of European clean urban development initiatives	
		4.5	Ample actors and donor information is shared	
		4.6	Increasing targeted networking activities at conferences	
		4.7	Increasing collaboration and participation of relevant EU stakeholders	
		4.8	Mayors are empowered to develop of cooperation schemes between EU and China, and within China	
		4.9	City networking is improved	
		4.10	Increased contact and networking with EU and Chinese stakeholders	
R5	Strengthened capacities of municipalities to plan, identify, implement and monitor low-carbon and ecological solutions.	5.1	Municipalities improve planning, identifying and implementing low-carbon and ecological solutions	Not assessable (not 'SMART' indicators; no baselines, targets or time-horizons]

	Intervention Logic		Indicators	Achievement at MTE Cut-off Date
		5.2	Monitoring methods improve	
		5.3	Frequency of toolbox utilisation in the guidance and capacity building process	
R6	Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.	6.1	Increased number of Chinese municipalities find access to finance for low-carbon projects	Not assessable [not 'SMART' indicators; no baselines, targets or time-horizons)
		6.2	Increased number of innovative financial schemes	
		6.3	Improved financing strategies	
		6.4	Increased number of feasibility studies	
		6.5	Municipalities potential is enhanced regarding raising financing for eco/low solutions	
		6.6	Money raised by financing strategies	
R7	Visibility/dissemination of project results both within China and regionally or internationally are ensured and maximized.	7.1	Increasing volume of traffic on website	Not assessable [not 'SMART' indicators; no baselines, targets or time-horizons)
		7.2	Increasing number of calls to help desk	
		7.3	Increasing number of emails and letters received, etc.	
		7.4	Increasing number of EC-LINK mentions and coverage in media, such as in publications, reports, journals, TV programs, web movies, etc.	
		7.5	Quality of Road Shows/Exhibitions	
		7.6	Number of attendees at Road Shows	
		7.7	Contact generation of Road Shows	
		7.8	Distribution of printed publication of the "ideas book" resulting from urban design competition	Not assessable (an activity or output, rather than indicator.

Note to the Logframe [from OWP – 30 Jun 2014, Section 2.6]:

Implementation of the Project Framework will respond to six key Project Principles, which have already been adopted by the PT and used during the Inception Phase. These principles are explained below:

▪ **Integration:** Each and every aspect of a particular Project Activity will need to demonstrate that the links to other aspects of the Project are realised to the best effect, such that optimisation of the potential for a more sustainable urban society can be achieved;

- **Responsibility**: The design and implementation of the Project Activities incorporate organisational frameworks and mechanisms which will ensure: (i) the use of best practice from within China, from Europe, and from elsewhere (e.g. relevant best practice from Singapore); (ii) optimise the potential roles of the private sector and the project affected communities; and (iii) ensure integration and compatibility across ministerial responsibilities at national and municipal level;
- **Ownership**: The design and implementation of the Project instils a strong sense of ownership from all the stakeholders, which will be essential to its success and the potential for replication. In this regard opportunities to secure community awareness, participation and investment in the Pilot Eco-City and the other Selected Cities will be an important factor in showcasing approaches to achieving sustainable urban societies;
- **Financial Realism:** The nature of the Project demonstrates financial realism and that the proposed action plans and projects in the Pilot Eco-City, in other Selected Cities and through partnerships between Chinese and European Cities are viable and optimise the use of private sector investment capital;
- **Typicality:** This should be optimised as a basic "value for money" principle to be applied in the Project to ensure that the key investments, including the Pilot Eco-City are not "one off" action plans and investments, but that they can be adopted as best practice for use elsewhere in China. To this extent "Typicality" is a must in selecting cities for the design and implementation of actions plans and projects; and
- **Replication:** There is an integrated programme of action planning, technical assistance and financing to ensure a continuation of knowledge transfer and replication in Chinese cities following Project completion.

Note[53] on Figure 2.2 Logical Framework: The logical framework below complements the Logical Framework for the project (Annex II, Appendix 1 to the project Financial Agreement) with <u>more refined indicators</u>, **it does not supersede it** [emphasis added by evaluators].

LOGFRAME 4 – Source: EC Link Project [standalone document, drawn up in Dec 2015]

		Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
OO		To support China in meeting the environmental, energy and carbon-intensity targets defined in the 12th and 13th Five Year Development Plans.	1. Low-carbon resource development planning across different ministerial stakeholders	Not assessable (not an indicator, but a goal or results in itself)
			2. Change in Chinese urbanization models towards integrated, low-carbon, spatially balanced planning	Not assessable[54]; not a 'SMART' indicator (lack of change target/time horizon)
			3. Compact land-use models	Not assessable (not an indicator, but a goal or results in itself)
			4. Resource saving and circular economy indexes	Idem
			5. Green Buildings penetration rate	Not assessable without baseline, targets,

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[53] Source: OWP – June 2014, page 8.

[54] 'Not assessable' in this context means: within the confines of the logframe, in line with standard EU project cycle management and M&E methodology. The term does not imply that nothing can be said about the relationship between outputs, results & objectives and, hence, about the (likely) effectiveness or impact of the project by other means. Such means may include a professional assessment based on in-depth knowledge of the subject matter. However, the logframe – if well designed – adds rigour to the professional assessment, *inter alia* by using baseline and benchmark data agreed to by beneficiaries and stakeholders, including contractors and assistance providers.

		Intervention Logic		Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
					benchmarks or time horizon
			6.	Ecological diversity: forest coverage rate / urban green area	Not assessable (not an indicator, but a goal or result in itself)
			7.	Green Transportation rate	Not assessable without baseline, targets, benchmarks or time horizon
			8.	High energy consumption industry phase-out rate	Idem
			9.	Energy intensity (per capita/GDP unit), CO2 emissions (per capita/GDP/overall)	Not assessable without baseline, targets, benchmarks or time horizon (from, say, 12th or 13th FYPs); in any case, clear definition of causality in terms of project impact required
PP	To assist Chinese cities in adopting energy and resource efficient ecological solutions by sharing experiences on sustainable urbanization and other relevant policies between Europe and China		1.	MoHURD is strengthened in achieving low-carbon and ecological solutions	Not measurable (no definition of 'strengthening' and not time-bound)
			2.	MoHURD is strengthened in developing increased networks among project actors, proponents, stakeholders (actors constellation)	Idem
			3.	By the end of the project at least 10 cities assisted by the project have developed low-carbon eco-city strategies and are implementing action plans and measures	Measurable, provided the term 'strategy' in this context is clearly defined and the strategy itself would include measurable indicators.
			4.	Specific sector tools for low-carbon, energy efficient eco city planning are developed in at least 10 cities	Likely to be achieved; further strengthening of this indicator needed by clarifying the meaning of 'specific' (sector tools)
			5.	A comprehensive Pilot City has been identified and funded	Partly achieved through the identification of Zhuhai as the Project's comprehensive pilot city; likely to be fully achieved if relevant Project activities can start no later than mid-2016
			6.	High level of cooperation is achieved among stakeholder cities	Not measurable (no definition of 'high level of cooperation' and not time-bound)
			7.	Experiences on energy and resource-efficient ecological solutions for sustainable urbanization have been shared between Europe and China, facilitated by the Support Mechanism and have benefited cities in each geographical area of China	Not measurable (a goal or result, itself requiring SMART indicators)

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
		8. The IT Platform is established and populated with information	Not assessable (no target for number of visits; no definition of 'populated')
		9. High usage of the Help Desk and Secretariat	Not assessable (no target; no definition of 'high usage')
		10. Experiences are shared on sustainable urbanization and other relevant policies between Europe and China	Not assessable (not targeted in terms of the minimum number of experiences shared)
		11. Number of cities in China that share best practices, and how much they share via the Support Mechanism	Not assessable [not a SMART indicator (no baseline or benchmarks, not targets)]
R1	An appropriate support mechanism is implemented, enhancing networking between European and Chinese cities and advising and assisting Chinese municipalities on urban ecological/low carbon planning & management	1. Secretariat is operational and assisting cities	Not assessable [not 'SMART' indicators; no baselines, targets or time-horizons). **NB**: *inter alia* 'indicators' 1, 2, 3 & 9 are Project outputs, which cannot be used to validate achievement of this result.
		2. The IT Platform is operational and used	
		3. Communities of Practice are established	
		4. Type and quality of matchmaking supported	
		5. Ability to promote the output of existing pilots and demonstration projects	
		6. Resultant number of Chinese cities connected with other Chinese or European cities	
		7. Ability to supply contacts and coordination with relevant ongoing actions and projects (of EU, EU member states and others)	
		8. Number of quality networking events established	
		9. Establish communities of practice (web, we chat, inter- city labs)	
		10. Networks are enhanced between EU and Chinese cities	
R2	MoHURD is supported in preparing low carbon eco-city management toolboxes for local governments.	1. MoHURD is supported in developing technical guidelines for planning low-carbon, energy-efficient cities/district, by sector	Not assessable, since 'supported' in the result is defined in 9 of the 10 'indicators' by using the term 'supported' again, without specific targets or time-horizons. Indicator N° 9 appears to set two specific deliverables, but not time horizon
		2. MoHURD is supported in promoting green buildings and green eco cities/districts (100 national green eco demonstration districts by	

Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
	2015)	
	3. MoHURD Planning Department is supported in preparing tools to evaluate the planning and low-carbon impact of the eco cities/districts established during the 12th five year plan	
	4. MoHURD is supported in developing assessment tools for eco-city certification indexes (compact and mixed land use, resource conservation and circular economy, green buildings certification, green coverage ratios, green transportation indexes, green industries phasing-out and regeneration)	
	5. MoHURD and the project pilot cities are supported in developing low-carbon, energy efficient tools in the sector of green transportation (a- technical guidelines for TOD planning, b- technical guidelines for non-vehicular transport support, c- advanced subway network development planning, d- infrastructure for electrical cars deployment, e- advanced bus rapid transit planning (BRT)	
	6. MoHURD and the project pilot cities are supported in developing low-carbon, energy-efficient water management tools (a- technical guidelines for urban drainage systems, b- guidelines for water pollution and odour management, c- sponge city[55] technical development guidelines)	
	7. MoHURD and the project pilot cities are supported in developing low-carbon, energy-efficient Green Buildings (a- over 30% of all new buildings by 2020, b- technical guidelines for green buildings evaluation (office, residential, commercial), c- passive housing technical	

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[55] *A* [city] *that can hold, clean and drain water in a natural way, using an ecological approach*; Kongjian Yu, Dean, College of Architecture & Landscape Architecture, Peking University (quoted in '*The Atlantic*', 24 Nov 2015).

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
		guidelines)	
		8. MoHURD and the project pilot cities are supported in developing low-carbon, energy-efficient Urban Regeneration methods (a- shanty-urban areas, b- underground integrated piping systems)	
		9. Municipal Finance (a- green infrastructure finance, b- sponge city PPP)	
		10. MoHURD and the project pilot cities are supported in developing low-carbon, energy-efficient solid waste solution by tools to a- develop low-carbon landfill, b- support cleaner incineration, c- transformation of solid waste as supply for cement kilns, d- kitchen waste recycling disposal tools, and e- tools supporting methodologies for solid municipal waste treatment	
R3	Support to one Europe-China pilot low-carbon eco-city in China. The city will be identified according to criteria developed by MoHURD and the EU. The pilot city could: i) demonstrate best approaches to low carbon eco planning, ii) serve as a testing ground for policy innovations, iii) test the functionality of the support mechanism. The EU financing supporting this result will be limited to a maximum 10% of total EU contribution. This EU contribution may be utilized towards attracting other funds for the development of the pilot.	1. The pilot city is successfully selected via a joint EU and MoHURD evaluation process	Achieved
		2. A local Project task Force is established in Zhuhai and a reporting mechanism is set-up with the project team in Beijing	Achieved
		3. The pilot city's local authority is strengthened in setting up the project, attracting financing and increasing competences	Not assessable (not a SMART indicator; no definition of 'strengthened'
		4. Shared value and cross-departmental long-term benefits are achieved and added social capital leveraged by means of an integrated planning process	Not assessable (a goal or result, itself in need of one or more indicators)
		5. Innovative technologies and policies are applied to the development of low-carbon infrastructure, including measurable energy savings, in the following key sectors of project intervention:	Assessable (indicators 6-13 contain targets, although they are not time-bound; baselines and benchmarks are presumed available). Not yet achieved (since Project activities in Zhuhai have yet to start); likely to be achieved, at least
		6. Compact Urban Development: Zhuhai is	

Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
	supported in devising a regional, multi-polar cluster development methodology with specific tools for: a- assessing the rate of areas under TOD mode (%), b- average block length, c- underground space utilization rate (%), d- land growth elasticity coefficient (ratio)	partially, by Project's end
	7. Clean Energy: Zhuhai is supported in applying strict controls to its total energy consumption and to increasing the penetration rate of new and renewable energy with specific tools to assess: a- unit GDP energy consumption (ton SCE / 10K RMB), b- share of renewable energy in the primary energy mix (%)	
	8. Green Buildings: Zhuhai is supported in promoting low-carbon, energy efficient buildings with specific tools to assess the proportion of green buildings among new buildings (%) and the completion rate of energy-saving retrofits in existing buildings (%)	
	9. Green Transportation: Zhuhai is supported in developing a state of the art green transportation deployment and monitoring system with China-wide demonstration effect, including the provision of tools for: a- assessing the density of road networks, b- developing the density of slow transportation networks (km/km2), c- increasing the share of public transit modes (%), d- assessing the share of zero-carbon trips rate (%), e- increasing the proportion of clean energy buses and BRT corridors	
	10. Water Resource Management: Zhuhai is supported in developing a safe and sustainable water ecology including energy efficient water supply and water treatment, and in developing integrated water management systems, by the following tools: a- increased reclaimed water rate (%), b- point pollution measurement methodologies	

		Intervention Logic		Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
			11.	Waste Disposal: Zhuhai is supported reducing, recycling and disposing of its municipal waste in an energy-efficient, environmentally manner with the following tools: a- development of methods to increase the recycling of domestic kitchen waste, b- technical guidelines to support the conversion of solid waste to by-products for supply to the cement industry c- tools supporting landfill and incineration methodologies	
			12.	Urban Regeneration and protection of historical and cultural relics: Zhuhai is supported in the urban renewal and regeneration of historical districts by the development of tools for: a- planning tools to protect historical buildings, blocks, and traditional villages (%), b- regeneration of industrial sites into cultural venues	
			13.	Green Industry: Zhuhai is supported in the development of high-end manufacturing, high-edge service industries with: a- planning tools promoting the added value of service industries, b- tools designed to assess the proportion of high-tech, low-carbon products output as a share of total industrial output	
			14.	MoHURD staff's capacity and knowledge increases as a result from learning from the pilot city project	Not assessable (not a 'SMART' indicator)
			15.	The visibility and brand of EC-LINK and the EU is substantially enhanced	Not assessable (not a 'SMART' indicator)
R4		Improved exchange of information and knowledge sharing between municipalities in China, and between Chinese and European cities (and different actors/donors) This will also include the set-up of cooperation schemes between European cities and Chinese cities and/or their groupings and representatives to allow Chinese cities to have first-hand access to know-how and operational details of clean urban development	1.	Nine Inter-city Labs covering 9 intervention sectors of the project are delivered per annual work-plan after the pilot cities have been confirmed by MoHURD and the EU	Three Inter-City Lab started with a further 9/year for 3 years planned. Remainder of the project duration perhaps too short to achieve this number by Project's end
			2.	The Inter-City Labs are successful at creating and supporting communities of practice for each of the sectors and across the 10 pilot cities of the project and beyond (incorporating Chinese national government partners, EU industry and	Likely to be achieved, if started soon and covering all nine public service areas (sectors).

	Intervention Logic		Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
	initiatives undertaken in Europe		experts, EU cities, networks of cities in Europe and China, municipal officials, the media and the academic community)	
		3.	Road-shows to present project results to the 10 pilot cities (in AWP4)	Likely to be achieved if Project activities at city level get underway soon
		4.	IT platform provides easy access to information, and encourages sharing of best-practices	Not assessable (not a 'SMART' indicator)
		5.	Chinese cities have first-hand access to know-how of Chinese and European cities and clean urban development initiatives	Not assessable (not a 'SMART' indicator; no definition of 'first hand')
		6.	Mayors are empowered to develop cooperation schemes between EU and China, and within China	Not assessable (not a 'SMART' indicator; no definition of empowered)
		7.	City networking is improved	Not assessable (not a 'SMART' indicator; no definition of 'improved')
		8.	Increased contact and networking with EU and Chinese stakeholders	Not assessable (not a 'SMART' indicator; no targets for contact and networking)
R5	Strengthened capacities of municipalities to plan, identify, implement and monitor low-carbon and ecological solutions (sectoral and integrated solutions)	1.	Eco-city action plans are developed in all 10 project cities	Achieved
		2.	Municipal staff from at least 40 cities are trained by the project	Not yet achieved; high likelihood of achieving training of relevant staff in the 10 pilot cities
		3.	At least 60% of the municipal staff supported through the project report to apply and benefit from their new knowledge in their work	Not assessable (no indication of how to measure achievement: surveys, sampled interviews?)
		4.	Overall rating of trainings stand at 80% satisfaction	Measurable, but not a strong indicator of training impact in terms of increased trainee capacity.
		5.	Municipalities improve planning, identifying and implementing low-carbon and ecological solutions	Not assessable (not a 'SMART' indicator; no definition of 'improve'; not time-bound)
		6.	Monitoring methods improve	Not assessable (not a 'SMART' indicator; no definition of 'improve'; not time-bound)
		7.	Frequency of toolbox utilization in the guidance and capacity building process	Not assessable (not a 'SMART' indicator; no definition of threshold frequency; not time-bound)

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
R6	Municipalities' potential to finance eco/low carbon-solutions is improved, including knowledge on innovative financial schemes.	1. Municipal staff of at least 20 cities are trained by the project	Not yet achieved; high likelihood of training relevant staff in the 10 pilot cities, as long as relevant Project activities get underway no later than mid-2016
		2. At least 60% of the municipal staff supported through the project report to apply and benefit from their new knowledge in their work	Not assessable (no indication of how to measure achievement: surveys, sampled interviews?)
		3. Overall rating of trainings stand at 80% satisfaction	Measurable, but not a strong indicator of training impact in terms of increased trainee capacity.
		4. Increased number of Chinese municipalities find access to finance for low-carbon projects	Not assessable (not a 'SMART' indicator; no targeted number; not time-bound)
		5. Increased number of innovative financial schemes are presented to Chinese municipalities through the ICLs and the work in the 10 pilot cities	Not assessable (not a 'SMART' indicator; no targeted number; not time-bound)
		6. Improved financing strategies are presented to the 10 EC Link pilot cities	Not assessable (not a 'SMART' indicator; no definition of 'improved'; not time-bound)
		7. At least 5 pre-feasibility studies are developed for low-carbon infrastructure in project pilot cities	Not yet achieved; high likelihood of achievement by Project's end
		8. Pilot cities potential is enhanced regarding raising financing for eco/low solutions	Not assessable (not a 'SMART' indicator; no definition of 'enhanced potential'; not time-bound)
		9. Zhuhai is assisted in identifying funds additional to the 10% project support funds	Not assessable (not an indicator, but an activity)
R7	Visibility/dissemination of project Results both within China and regionally or internationally are ensured and maximized.	1. 50-80 Chinese cities are aware of the project	Targeted, although not time-bound indicator, the achievement of which may be measured through a digital or mailed survey by MoHURD
		2. Key institutions in China and in the EU are aware of the project (city networks, think tanks, academia, EU institutions, EU business community, Mayors associations in the EU and China)	Targeted, although not time-bound indicator, the achievement of which would nevertheless be very hard – and perhaps costly - to measure
		3. Monitoring of volume of traffic on website, increasing number of calls to help desk, Increasing number of emails and letters received, etc.	Not assessable [not 'SMART' indicators (no targets, not time-bound)]

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
		4. Increasing number of EC-Link mentions and coverage in media, such as in publications, reports, journals, TV programs, web movies, etc.	
		5. Quality of Road Shows/Exhibitions/ICLs and number of attendees at Road Shows/ICLs	
		6. Contact generation of Road Shows	
		7. Production of quality newsletters, WeChat communities, project brochures and leaflets, and widgets.	

LOGFRAME 5 – Source: Annual Work Plan (AWP2) – Version 2, April 2016]

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
OO	To support China in meeting the environmental, energy and carbon-intensity targets defined in the 12th and 13th Five Year Development Plans [FA – Logframe][56]	1. MoHURD strengthened in leading low-carbon and ecological solutions	Not measurable (no definition of 'strengthened' and not time-bound
		2. Chinese urbanization models clearly adopts integrated, low-carbon, spatially balanced planning	Likely to be partially achieved, because adoption of such models figures in current FYP
		3. Cities share best practices	Achieved, although the extent of sharing is difficult to measure
		4. High usage of EC Link help desk	Not assessable (no target; no definition of 'high usage')
		5. IT platform is frequently visited and used for information exchange	Not assessable (no definition of 'frequently' and started number of instances of information exchange
		6. Exchanges between Europe and China on sustainable urbanization	Not measurable, without quantification
SO	To assist Chinese cities in adopting energy and resource efficient ecological solutions by sharing experiences on sustainable urbanization and other relevant policies between Europe and China [FA –	1. By the end of the project at least 10 cities assisted by the project have developed low-carbon eco-city strategies and are implementing action plans and measures	Difficult to assess without information as to the current state of low carbon eco city strategy development by the 10 cities concerned (baseline)

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[56] [FA – Logframe]: Financing Agreement Logframe terminology.

		Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
		Log Frame]	2. Experiences on energy and resource-efficient ecological solutions for sustainable urbanization have been shared between Europe and China, facilitated by the Support Mechanism and have benefited cities in at least two geographical areas of China	Likely to be achieved, since no minimum number of 'experiences' is specified. The number of 'at least two geographical areas of China' appears achievable.
			3. MoHURD has adopted recommendations based on policy, technology and planning guidelines in the 9 sectors of project intervention	Likely to be achieved if the Design & Monitoring Framework (April 2016) developed by the TAT and adopted by MoHURD is adhered to in practice
Component 1 - Solutions for Sustainable Low Carbon City Development				
R2	Low carbon eco-city management tools are adopted by MoHURD [revised version][57]		1. MoHURD has adopted recommendations made in project policy, technology and planning guidelines for eco-city development tools in 9 sectors	**NB**: Number of indicators for R2 reduced from ten (in Logframe 4, above, to five. Likely to be achieved if the Design & Monitoring Framework (DMF, April 2016) developed by the TAT and adopted by MoHURD is adhered to in practice
			2. By the end of the project, MoHURD has evaluated the project tools in the 10 pilot cities selected	Likely to be achieved
			3. MoHURD Planning Department has adopted project tools to evaluate the planning and low-carbon impact of the eco cities/districts established during the 12th and 13th FYPs	Likely to be achieved, predicated on speed of adoption process within MoHURD
			4. MoHURD has adopted project tools for eco-city certification indexes	Likely to be achieved, predicated on speed of adoption process within MoHURD
			5. The China Eco City Alliance (CECA) disseminates project outputs among the cities in its network	Difficult to assess since it depends on CECA action mostly after Project's end (ref: DMF, April 2016)
R3	One low carbon pilot eco city in China is supported [revised version]		1. By the end of the project, the pilot city has adopted project eco city planning tools	**NB**: Number of indicators for R3 reduced from 13 (in Logframe 4, above, to four. Likely to be achieved, with MoHURD support
			2. Low-carbon solutions developed by sector in the pilot city are adopted by MoHURD and replicated in other Chinese cities	Likely to be achieved in the case of MoHURD adoption. Replication in other cities in all likelihood after Project's end

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[57] [revised version]: revised log-frame terminology

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
		3. The pilot city is strengthened in attracting financing and increasing capacity	Not measurable (no definition of 'strengthened' and not time-bound)
		4. The visibility and brand of EC-LINK and the EU is substantially enhanced	Not measurable (no definition of 'substantially enhanced' and not time-bound
Component 2 - Sharing Solutions: The Supporting Mechanism			
R1	Networking between European and Chinese cities is enhanced by a web-based Knowledge Platform [revised version]	1. The Secretariat and Help Desk are operational and assisting cities	**NB**: Number of indicators for R1 reduced from ten (in Logframe 4, above, to four. Likely to be achieved, although the definition of 'assisting' is vague. Indicator 1 concerns an output, which cannot be achieved to validate achievement of the result
		2. The IT Platform is operational in Europe and China and registers high usage	Likely to be achieved in terms of operationality (2.0 version). Otherwise not measurable (no definition of 'high usage')
		3. The Platform has functionalities that promote the output of existing pilots and demonstration projects	Not an indicator, since it lacks a description of the what those 'functionalities' should be
		4. Networks are enhanced between EU and Chinese cities	Not measurable (no definition of 'enhanced')
R4	Europe-China exchange of information is supported by a sustainable Knowledge Exchange Interface [revised version]	1. The Help Desk and Secretariat functions are mirrored on the online Platform and leverage project impact	**NB**: Number of indicators for R4 reduced from eight (in Logframe 4, above, to five. The first part of this indicator is likely to be achieved by Project's end. The second part is not measurable in the absence of a definition of 'leverage'
		2. Project partners in Europe (City Networks) and representing Europe in China (EUCCC) are active participants in the Interface	Since both mentioned parties are partners in the GIZ-led consortium, their active participation may presumed to be a given; not a suitable indicator
		3. The Inter-city Labs become vehicles of knowledge exchange and create active communities of practice by project sector	An aim, not an indicator, also because it lacks a description of how the Labs would act as a vehicle
		4. The interface provides first-hand access to know-how of Chinese and European low-carbon urban development initiatives	An aim, not an indicator
		5. The interface enhances city partnerships between	Idem. In addition, absence of definition of 'enhances'

		Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
		China and the EU and promotes new partnerships		
R7		Project results are shared within China and internationally [revised version]	1. 50-80 Chinese cities are aware of the project	Targeted, although not time-bound indicator, the achievement of which may be measured through a digital or mailed survey by MoHURD (unchanged indicator in comparison with Logframe 4, above)
			2. Key institutions in China and in the EU are aware of the project (city networks, think tanks, academia, EU institutions, EU business community, Mayors associations in the EU and China)	Targeted, although not time-bound indicator, the achievement of which would nevertheless be very hard – and perhaps costly - to measure (unchanged indicator in comparison with Logframe 4, above)
			3. Increasing number of EC-LINK mentions and coverage in media (publications, reports, journals, TV programs, web movies)	Not assessable, because not 'SMART' indicator [no targets, not time-bound] (unchanged indicator in comparison with Logframe 4, above)
			4. Quality of Road Shows/Exhibitions/ICLs and number of attendees at Road Shows/ICLs	Idem (unchanged indicator in comparison with Logframe 4, above)
			5. Project print reports and publication disseminated	Idem (new indicator in comparison with Logframe 4, above)
Component 3 - The Sustainability Compact: Leveraging Solutions				
R5		Cities are trained in planning, and implementing low carbon energy efficient tools for sustainable eco-city development [revised version]	1. Eco-city action plans are developed in 10 project cities	Achieved (indicator unchanged from Logframe 4, above)
			2. Municipal staff from at least 40 cities are trained by project end	Not yet achieved; high likelihood of achieving training of relevant staff in the 10 pilot cities (idem)
			3. At least 60% of the municipal staff supported through the project report to apply and benefit from their new knowledge in their work	Not assessable [no indication of how to measure achievement: surveys, sampled interviews?] (idem)
			4. Overall rating of trainings stand at 80% satisfaction	Measurable, but not a strong indicator of training impact in terms of increased trainee capacity (idem)
			5. Cities improve planning, identifying and implementing low-carbon and ecological solutions	Not assessable [not a 'SMART' indicator; no definition of 'improve'; not time-bound] (idem)
			6. Monitoring methods apply project tools	Not assessable [not a 'SMART' indicator; no definition of 'improve'; not time-bound] (idem)
			7. Frequency of toolbox utilization in the guidance and capacity building process	Not assessable [not a 'SMART' indicator; no definition of threshold frequency; not time-bound] (idem)

	Intervention Logic	Objectively Verifiable Indicators (OVIs)	Achievement at MTE Cut-off Date
R6	Cities are trained in low-carbon infrastructure finance and in innovative financial schemes [revised version]	1. Staff of at least 20 cities are trained by the project	**NB**: Number of indicators for R6 reduced from nine (in Logframe 4, above, to five. Not yet achieved; high likelihood of training relevant staff in the 10 pilot cities, as long as relevant Project activities get underway no later than mid-2016 [slightly reworded from Logframe 4, above]
		2. At least 60% of the city staff supported through the project report to apply and benefit from their new knowledge in their work	Not assessable [no indication of how to measure achievement: surveys, sampled interviews?] (same indicator as in Logframe 4, above)
		3. Overall rating of trainings stand at 80% satisfaction	Measurable, but not a strong indicator of training impact in terms of increased trainee capacity (same indicator as in Logframe 4, above)
		4. Pilot cities potential is enhanced regarding raising financing for eco/low solutions	Not assessable [not a 'SMART' indicator; no definition of 'enhanced potential'; not time-bound] (same indicator as in Logframe 4, above)
		5. Zhuhai is assisted in identifying funds additional to the 10% project support funds	Not assessable [not an indicator, but an activity] (same indicator as in Logframe 4, above)

Tangible Outputs	Means	Costs	Important events, conditions or decisions outside control of the project
Component 1 - Solutions for Sustainable Low Carbon City Development			
Result 2 **2.1:** Tool Box Analysis in Nine Sectors **2.2**: Key Performance Indicators (KPIs) for Chinese Eco Cities **2.3**: Evaluation Methodologies for Green Eco City Planning **2.4**: System Design for an Online Eco City Assessment Tool **2.5**: Green Buildings Technical Guidelines for Passive House buildings in different climate zones, and establishment of an energy passport system **2.6**: Green Transport Policy Guidelines for non-motorized transport, for tramways transportation, and Transit-Oriented Development (TOD)	**TBD**[58]	**TBD**	**Risks** Technical work not supported by cities **Assumption** MoHURD and cities give full support to the development of project outputs; project beneficiaries committed to the work plan

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[58] TBD: The Means and Costs are detailed in the relevant Annual Work Plans (AWPs) and Activity ToR (ATORs)

Tangible Outputs	Means	Costs	Important events, conditions or decisions outside control of the project
2.7: Water Management (Water Supply, Waste Water Treatment, and Drainage/Flood Control): Technical Guidelines for river basin pollution prevention, monitoring of urban water pollution, and sponge city development **2.8**: Solid Waste Management Technical Guidelines on recycling of organic waste, closure of sanitary landfills, and advanced technologies for recycling of construction waste **2**.9: Clean Energy Technical Guidelines for clean energy options in urban areas **2.10**: Compact Urban Planning Design Guideline for higher densities and mixed use **2.11:** Green Industries Technical Guideline on cleaner production and use of environmental protection technologies and equipment **2.12**: White Paper on the Greening of Municipal Finance, covering practical suggestions for financing of municipal infrastructure **2.13**: Urban Renewal and Revitalization: Technical Guidelines			
Result 3 **3.1**: Zhuhai Liveable City Key Performance Index System and associated Management Tools **3.2**: Zhuhai Urban Greenhouse Gas Emissions Inventory and Monitoring Platform for Low Carbon Development **3.3**: Zhuhai EC Link Project Exhibition and Knowledge Sharing Platform **3.4**: Draft Guidelines on Passive House adaptation to different climate zones and on the establishment of an energy passport system - Case Study: The Zhuhai Eco-Building Exhibition Centre **3.5**: Technical Roadmap on Compact Urban Development Planning and Implementation: Zhuhai Shangchong Eco-Town **3.6**: Integrated Low-Carbon Transport Assessment: Nanwan Green transportation Project (Transit-Oriented Development) **3.7**: Analysis of Low-Impact Development (LID) Water Management in the Zhuhai New Town District – Western Ecological New Area and Methodology for River Basin Water Management and Pollution Control (Qianshan River) **3.8**: Municipal Guidelines for Solid Waste Management: Zhuhai Xikengwei Park Solid Waste Management Plant **3.9**: Zhuhai Urban Renewal and Regeneration Handbook: Industrial Heritage (Canon Factory) and Historical Cultural District Protection (Beishan Village Renovation project).	**TBD**	**TBD**	**Risks** Pilot losing interest in EC-LINK support **Assumptions** Continued political commitment of Zhuhai authorities to the EC Link project Continued cooperation between Zhuhai and MoHURD
Component 2 - Sharing Solutions: The Supporting Mechanism			
Result 1 **1.1**: The Knowledge Platform (web 1.0) is delivered with gradual upgrading of its functionalities after launching	**TBD**	**TBD**	**Risks** Cities cannot sustain knowledge

Tangible Outputs	Means	Costs	Important events, conditions or decisions outside control of the project
1.2: Knowledge Networks (Communities of Practice) in Europe and in China are extended via online and ICT applications **1.3:** Knowledge feeds from the project cities in China (and from their networks) are established on the web Platform **1.4:** Knowledge feeds from project partners in Europe are established on the web Platform **1.5:** EU China City partnerships are promoted **1.6:** The Platform is linked to the Zhuhai Knowledge Platform and to the CECA ICT Platform **1.7:** The Knowledge Platform (web 2.0) is delivered **1.8:** The Knowledge Platform (web 2.0) is integrated with CSUS and CECA Platforms and handed over at project end			sharing activities **Assumption** MoHURD and cities give full support to the development of project outputs; project beneficiaries committed to the work plan
Result 4 **4.1**: The Help Desk and Secretariat implement the Knowledge Interface **4.2:** Six inter-city labs are delivered in 6 sectors and leveraged on the Knowledge Platform **4.3:** Project opportunities in the pilot cities are updated via monthly Project Portfolio Reviews **4.4:** Knowledge objects are uploaded on the Platform (City profiles, Best practices, Expert profiles, Project Fact Sheets, News, Opportunities, Publications) **4.5:** EU programs on Urbanization in China and programs of EU member countries are coordinating with the project and featured on the Knowledge Platform **4.6:** Partnerships of EC link pilot cities with EU cities are supported and lead to knowledge exchange both via the Knowledge Platform online, and the Knowledge Interface (coordinated by the Help Desk and Secretariat)	**TBD**	**TBD**	**Risks** Help desk not successful in sustaining interest of client cities **Assumptions** Full leverage between the online Platform and the offline Interface
Result 7 **7.1**: The project is represented at events in China and in Europe **7.2:** A WeChat group for the project is created, visibility materials are produced **7.3:** An EU China Urbanization Atlas is delivered and widely distributed (online and print) **7.4:** Study tours in Europe are delivered for MoHURD and project pilot cities **7.5:** Interviews, written contributions to Chinese and European media and technical papers are coordinated by the project team	**TBD**	**TBD**	**Risks** Knowledge platform not adequately known and appreciated **Assumptions** Platform is known to shareholders and target groups, and appreciated by these
Component 3 - The Sustainability Compact: Leveraging Solutions			
Result 5 **5.1**: Technical Assistance to the China Eco City Academy (CECA) is delivered **5.2:** Training modules are delivered [one module per planning tool and one module per sector tool]	**TBD**	**TBD**	**Risks** Cities do not apply new eco-city knowledge

Tangible Outputs	Means	Costs	Important events, conditions or decisions outside control of the project
5.3: Training sessions are conducted two times per semester [60 participants per session] **5.4:** Training materials are edited and available on the Knowledge Platform			**Assumptions** Willingness of cities to participate in training and use of EC Link Knowledge and information
Result 6 **6.1**: Training on Public Private Partnerships is delivered in at least two EC Link pilot cities **6.2:** Training on Pre-feasibility Studies structuring in delivered in at least two EC Link pilot cities **6.3:** Training on Access to Finance is delivered in at least two EC Link pilot cities **6.4:** Training materials are edited and available on the Knowledge Platform	**TBD**	**TBD**	**Risks** Training not sufficiently relevant for cities **Assumptions** Willingness of cities to participate in training

Annex 9. Additional Observations

1. To make the most of its potential for reaching a balanced approximation of views between European and Chinese decision makers and experts in the area of eco cities management, a project such as this needs to be well positioned in institutional terms.

2. The Project is hosted by the Chinese Society for Urban Studies (CSUS), a think-tank of the Ministry of Housing and Urban-Rural Development (MoHURD). The Project collaborates with MoHURD in terms of its policy implementation and with the HURD branches at municipal level, especially where 10 Project pilot cities are concerned. The relationship between ministry dependent agencies, such as CSUS and the local branches of those ministries and municipalities, always implies balancing. Too tight ministerial control may stifle the agency's, as well as municipal initiative; too little ministerial control can negatively affect government policy implementation.

3. As it is hosted by CSUS, the Project's position and influence is closely linked to that of MoHURD, which allows the following observations:

   - The Technical Assistance Team (TAT) - together with the Project Task Force (PTF) staffed by CSUS – provide valuable services to MoHURD. The professional relationship between the Project and the ministry appears to be good. Its counterparts and MoHURD acknowledge the TAT's technical competence.

   - There is nothing in China's current legal, institutional and organisational framework to consider MoHURD the logical host for an EU project dealing with environmentally friendly urbanisation policy. The Ministry for Environmental Protection (MoEP) has also an important role to play in this sphere and, from a European perspective, perhaps even a more important one. Although there exists no detailed assessment pinpointing ministerial authority in respect of eco city development at municipal level in its 28 Member States, this authority would in the EU typically reside with either the ministry in charge of environmental protection policy or the one responsible for local administration. In comparison, MoHURD is a polity implementation – rather than policy formulation oriented – ministry, with a comparatively narrow mandate linked to most of the nine focal sectors addressed by the Project.

> **Box 1: Multi-Player Strategy & Training**
>
> Illustrative of the 'multi-player strategy', its potential for the Project and current Chinese thinking on the subject, is the content of a training programme in this sphere discussed in the *Chinese Journal of Urban Environmental Studies*, published by the *Institute for Urban & Environmental Studies of the Chinese Academy of Social Sciences*. The main training topics (all multi-level/multi-stakeholder) are:
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> - Dense or sprawling cities: the future of the peripheries of major Chinese cities (including the concept of density and compact urban form, public transport and urban sprawl, and compact city models).
>
> - Role of public authorities, other stakeholders and civil society in providing the basic structure of urban extension).
>
> - Structuring the peripheral areas of cities (determination of green zones that will not be urbanised and creation of secondary centres).
>
> - Adaptation of policies regarding the provision of services.
>
> - Cities and climate change (climate change impact and mitigation, urban greenhouse gas emissions; legal, institutional and organisational measures for energy efficiency.
>
> - Lessons learned from global experience in urban transport and air quality.
>
> - Municipal services and PPOs (types of

   - Also in the interest of ensuring sustainability of Project results, it might be advisable to base future cooperation between EU and Chinese partners with regard to eco/low carbon urbanisation on a relationship with an entity with a broader policy mandate than MoHURD

enjoys, such as the MoEP, and one that acknowledges the requirement of a multiplayer-strategy[63] [**Box 1**].

- The development of a strategy for the Project might also have been easier with a link to a more policy formulation, rather than implementation-oriented ministry at the centre-of-government. Any future EU-China cooperation in the sphere of eco/low carbon urbanisation may be expected to be more influential with such a link.

- What matters most to Chinese cities is not the solving of technical problems related to the construction of municipal infrastructure (in this domain, Chinese municipal experts have little, if anything, to learn from their European counterparts), but rather acquiring organisational and innovation know-how, such as that related to public private partnership (PPP) arrangements, administrative management & organisation, and legal & institutional capacity building tools.

4. It is important that the Project presents – in this particular sphere – EU objectives, policies, strategies and implementing tools in the proper legal, institutional and organisational context, in a manner easily understood by decision makers, administrators and experts. Although much of the Project's technical outputs, the toolboxes in particular, are of high quality, their linkage with key legal, institutional and organisational issues is not always clear. For instances, the Project occasionally omits to refer to the regulatory framework for the management of municipal public services. As is, only Toolbox Nº 9 (Green Industries) gives a comprehensive overview of the legal/institution regime applying – in this case – to green industry in China. In contrast, Toolboxes 1 (Compact Urban Development), 2 (Clean Energy) and 5 (Water Management) are mute about the legal and institutional arrangement applying to these sectors. Another omission of this type concerns the laws on City Planning Law (1989) and Land Administration (1986, last amended 1998), both of which are not referred to in some of the Toolboxes for sectors for which this legislation has special importance at municipal level, such as Toolboxes 5 (Water Management), 6 (Solid Waste Management) and 7 (Urban Renewal & Revitalisation.

5. The documentation needed to ensure more in-depth referencing to ensure, for instance, nationwide 'replicability', includes the 12th and 13th FYPs, the current Chinese legal background related to *inter alia* land administration, environmental protection, municipal finance, urban and regional planning, land use & public utility for land administration, as well as PPP arrangements. With such referencing, Project reporting could have been shorter, more accessible and easier usable by administrators. The latter include the administration of European cities interested in 'technical partnering' with one of the Project's pilot cities.

6. The municipal services in some pilot cities have enjoyed foreign direct investment (FDI) of European origin (e.g. from a group of German architects in green building and a British group in the tramway sector, both in Zhuhai). More information about the conditions applying to this type of FDI in Zhuhai, might illustrate the conditions applying to FDI in this sphere in China in general.

7. There is a task for the Project in relation to creating more clarity in the opaque state of affairs in respect to Chinese planning urban planning legislation. In the case of Zhuhai, for instance, it is difficult to see the legal relationship between the 'conceptual spatial development planning' the city has applied with the support of the 'father of Singaporean urban planning'[64] and the provisions of the 1989 urban planning law. This is a wider problem and one that was acknowledged by Prime Minister Li Keqiang when he pointed to need to integrate the various types of urban plans in use into a 'single master plan'.[65]

8. The Project seems to have given little attention to existing legislation in the sphere of municipal public services (including to related to the Project's 9 sector foci). This is a missed opportunity, especially because China has been giving – starting with the 12th FYP (2011-15) and continued

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[63] The launching of the *Pact of Co-responsibility* (Brussels, June 2015) – in the framework of the EU-China Urbanisation Forum – proclaimed a resolution on the ecological solutions to be brought to local governments in Europe and China. The resolution requires a *multi-player strategy, within the next 30 years to reach carbon-neutrality and socially sustain and benefit from strong social cohesion*. The strategy involves *various levels from local to global governance in order to address the challenges of the transition towards responsible and sustainable societies*. The relatively narrowly-mandated ministry that MoHURD is might not be best placed to implement such a multi-level and multi-stakeholder strategy.

[64] Architect Liu Thai-Kher.

[65] In his address to the Fourth Session of the 12th National Party Congress (05 March 2016).

in the 13th FYP (2016-20) – increasing prominence to 'rule of law' as a core concept in the Government's approach to governance in general and, by implication, to municipal decision-making.[66]

9. The legal foundation of municipal interventionism in relevant sectors might feature more prominently in Project reporting. Certain municipal interventions are already ruled by legislation enacted at central level, e.g. the management of green industries, as provided for in the Law on Circular Eco Promotion (2009) and the Law on Cleaner Production Promotion (2012). Other sectors merely have to comply with municipal decisions. In both cases, the Project's reporting might helpfully indicate the legal/institutional basis of the decisions made.

10. China has important relevant legislation in place, such as the above mentioned laws on City Planning and Land Administration. In addition, the statute books contain pertinent institutional arrangements with regard to municipal investment through public private partnerships (PPP). Examples are recent regulations on the use of PPP at municipal level (Document Nº 2014/2724 of the National Development & Reform Commission (NDRC) on PPP (*Fa Gai Tou Zi)* and the *Guiding Principles on PPP* (*Guo Ban Fa*) by the General Office of the State Council (Document Nº 2015/42). It is to be noted in this context, that there are instances in which the responsible Chinese municipal authorities do not explicitly refer to applicable legislation in their decisions, probably due to the fact that those decisions have been made under the supervision and with the agreement of local party representatives, obviating the need for referring to legislation in force.

Re EQ B on Activities & Outputs: Are the project activities aimed at generating and delivering concrete, timely and useful outputs in order to support eco-low carbon city management tools for local governments?

11. The Project (taken in this context as the PTF, assisted by the TAT) appears to have adopted the guise of a high-level technical engineering office with responsibility for representing MoHURD at municipal level. To a degree, this conflicts with the Project's role in disseminating not only technical but also of policy-related information with regard to urban development.[67]

12. At this stage, what seems to be appealing to Chinese municipal decision makers, administrators and experts is not only to be informed about the technical conditions of functioning of municipal services, but to gain practical experience with regard to the financing, ownership, management and accountability (to 'clients' and relevant authorities) of municipal services. As it is, (pilot) cities may take advantage, as they already sometimes do, of the technical expertise of European companies active in the 9 sectors directly, without EU-funded assistance. In such cases, the Project would have no added value. That puts a premium on the Project focusing on the legal, institutional and organisational (governance) level of municipal management. Doing so, may contribute to the sustainability of the Project's results and long-term impact.

13. To give wider dimension to EU-China cooperation in this sphere, raising the exchange of views about environmental protection to the level of policy and strategy in municipal administration and finance, may be preferred to limiting it to 'engineering technology'. To achieve this, the Project might promote the signing of Memoranda of Understanding (MoU) on 'technical partnering' in respect of environmental protection between European and Chinese local governments. That would allow the Project to play the role of facilitator or 'matchmaker', referred to in its ToR, more effectively. This would require that the Project's experts are given an active mentoring role vis-à-vis the municipal administrations in the pilot cities, a role that would transcend that of lecturers on technical aspects of eco/low carbon urbanisation.

14. In the form of the 9 toolboxes for a like number of sector or types of municipal services, the Project has produced as series of analyses/tools of good quality. To prevent the toolboxes becoming mere academic papers with a good-looking but little used presence on municipal decision makers' bookshelves, it will be necessary to establish whether they meet the expectations of decision makers in the pilot cities and whether they are likely to have practical influence on municipal eco-development strategy. The way forward may be to complete the toolboxes, treat them as 'living documents', have them tested in daily use by city practitioners

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[66] In his address to the 4th Session of the 12th NPC on 05 March 2016, Prime Minister Li Keqiang declared: "*We will ensure that all government duties are performed in accordance with the law and that all government activities are carried out in line with the rule of law*".

[67] As, for instance, done in the 9 Toolboxes prepared by the project, with contain valuable information about the organisation and management of municipal services are organized and managed in other countries.

and amend them as necessary. If deemed necessary – in view of the relatively short remainder of the project duration – the PTF might task a small group of Chinese experts to canvass the opinion of pilot city administration and technicians, with a view to accelerate an initial assessment of the practical utility of the toolboxes. The canvassing might include meetings with policy makers at municipal level, including the competent representatives of the local branch of the Communist Party of China.

15. In this context, the Project is advised to formulate a set of indicators for the purpose of measuring the degree of appreciation of the content and practical utility of the toolboxes and to be used as the basis for interviews with municipal decision makers in the pilot cities. inexistent.

16. Contact between the EU-funded projects in the sphere of environmental protection appears limited. For instance, there is little contact between the Project and the *URBACHINA* project, although there is similarity of goals between both projects in respect of Chinese urban development. There is no strong relationship with other EU-supported projects on protection of the urban environment, such as the *EU-China Environmental Sustainability* project, although there are links with the EU-funded *CETREGIO* project. The Project maintains contacts of a varying nature with a number of EU Member State initiatives in support of MoHURD, including projects funded by Denmark (Liaoning PPP on heat recovery), Germany (Sino/German Urbanisation), Finland (Eco Cities) and the United Kingdom (Zhuhai waste management).

17. It was surprising to find that some municipal authorities did not expect much from the Project with regard to the exchange of views with European counterparts. Zhuhai presents a case in point. Its authorities highlight already existing links with European 'sister cities' and EU cities with which Zhuhai wants to maintain 'friendly relationships'. For the remainder of the project duration, the Project might want to position itself in such a way that it will be asked to lend a helping hand in shaping the exchange of views.

18. As long as the Project, as well as any EU-funded successor project in the same sphere, is linked to only one Chinese ministry with an environmental mandate, the envisaged results with regard to an effective exchange of information and sharing of expertise between EU and Chinese cities cannot be expected to continue after EU funding ceases. In the interest of sustainability of project results, the institutional foundation of the EU-cooperation on eco/low carbon urban development should be broader.

19. The sustainability of the Project's results (and that of any successor project) will depend also on the degree to which it will be able to establish an effective, direct peer-to-peer or city-to-city dialogue in the field of urban development. The Project is aware of this, because it made efforts (especially during the first year of Project operations) to establish contacts between cities and point to the possibilities of cooperation. Effective peer-to-peer dialogue takes time to develop and depends on the level of engagement of the parties involved. The Project foster this engagement by working out the template for Memorandum of Understanding (MoU) on 'technical partnerships', with a focus on the know-how for eco/low carbon urban development and management.

Re EQ C on Replicability: To what extent activities being developed or implemented at city level are linked to MoHURD's needs and responsibilities; and what is the potential for scaling up these activities to generate replicable models and tools that could be nation-wide applied?

20. In today's China, protection of the environment – specifically in the sphere of the nine Project sector foci (clean energy, green buildings, green transportation, water management, compact urban development, municipal finance, green industry and urban regeneration) – belongs to local competencies, i.e. that of local governments and the local branches of central ministries. At the central level at least two ministries are involved: MoHURD and MoEP. In the period covered by the 13th FYP (2016-20), MoEP will be responsible for the preparation of action plans for the prevention and control of soil pollution, whereas MoHURD is responsible for putting into practice the eco city concept. The division of responsibilities between ministries calls for increased attention for the inter-ministerial coordination, ultimately affecting *inter alia* the replicability of Project outcomes. In this context, the Project might contribute to a discussion in China on a topic also generating much attention in EU member states: Should closely related spheres, such as transport, environment and urban development, be grouped under the ambit of a single ministry with an environmental protection mandate at the centre of government? Or should the environmental aspects in each of these spheres be the concern of more specialised sectoral ministries, subject to a system of inter-ministerial coordination?

21. Replicability of Project outcomes in the pilot cities – where possible on a larger scale – in other cities must be considered an important intermediate goal for the Project and one, that EUD likes to stress.[68] Given the degree of Project results achievement at the cut-off date of the evaluation and the limited number of activities – including training events – carried out to date, this goal is not yet within reach of the Project. However, the goal can be brought nearer if all parties involved, (the supervising ministries – including MoHURD – CSUS and the Project share the same legal, institutional and organisational definitions of the nine sector foci and municipal public services. The finalisation and field testing of the toolboxes will enable the Project to play a role in this area.

22. In this connection, the speed of implementation of the Project might well have been higher if it had undertaken comparative analyses of the EU and Chinese legal regimes applicable to the nine sectors, before it provided concrete examples of the application and enforcement of legislation for running the 9 types of public service. This might have avoided the presentation of a list of management options for each public service, from which municipal decision makers select what they think they need to carry out their tasks.

23. Under this approach, the Project's set of 'toolboxes' might have followed certain patterns of legal, institutional and organisational approximation. To ensure effectiveness and efficiency, each tool box would have answered to *inter alia* the following characteristics:

   ▪ Each toolbox would start off with a comprehensive presentation of the EU and Chinese legislation applicable to all nine sectors. The presentation would include a clear statement as to whether the municipal public service is a matter of national, provincial or municipal concern, with reference to both the relevant FYP and existing legislation in the sector.

   ▪ Each toolbox would then continue with a description of salient issues in respect of the enforcement in practice of the sector legislation. Two of these key issues would require special care: (i) the identification of *public easements*[69], which may legitimise central government interference in – in this case – municipal affairs; and (ii) the concept of *public purpose*[70] in clarifying the centre-of-government's new emphasis on the rule of law in the relationship between the Government and city inhabitants.

   ▪ This section of each toolbox might continue with listing any discrepancies between the Chinese and the European approaches in the 9 sectors, where necessary pointing towards potential and tendencies for convergence.

   ▪ The section might end with a conclusion about the best bet for embarking upon mutual approximation of management methods for the 9 types of public service. That conclusion would serve to identify the best potential European partner for the pilot city concerned.

24. Although the schedule for the completion of the toolboxes (October 2016 for the Chinese and March 2017 for the English version) and the support mechanism overall is tight, there is still time (six months) to include the above mentioned items in each of the toolboxes before Project's end.

25. The replicability of its outputs and results would depend first of all on the Project's ability to design, launch and complete a quite extensive series of training events, carefully targeted on experts, administrators and decision makers in cities other than the pilot city or cities already engaged under the Project in one or more of the 9 sectors. It would be virtually impossible for the TAT to carry out the design, preparation and delivery of this kind of training within the remainder of the project duration on its own. It would need very active support of qualified EU and Chinese experts, supported by high quality academic backstopping, based on the *Training-of-Trainers* concept.

26. Replicability of the Project's results in cities outside the limited circle of pilot cities also links to the extent to which legislation in this domain is legally binding outside of municipal jurisdictions. The impression exists that the binding force of Chinese legislation and regulation in this sphere is unlike that in the 28 EU Member States, where it typically applies nation-wide. The Project might provide a useful contribution by advising the Chinese partners in respect of the concept of

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[68] As, for instance in the description of the Project's background in the ToR for the present evaluation (pp. 2, point C).

[69] A public easement grants an easement for a public use, for example, to allow the public an access over a parcel owned by an individual.

[70] A governmental action or direction that purports to benefit the populace as a whole.

nation-wide binding regulatory frameworks. It would further be helpful if the Project established a list of *public easements* in eco-city management in each of the 9 sectors covered by the Project.

27. China and the EU differ in greatly in the socio-economic conditions for urban development. The legal and institutional frameworks of both nevertheless offer opportunities for exchanging views and pursuing common interests in applying the eco-city concept in practice. The two parties share important issues in respect of both environmental protection and urban development policy. One such is the use of PPPs, now gaining momentum in China. Another is the introduction in the recent 13th FYP of newly adopted strategies for city development, including substituting 'master plans' for sets of smaller land use plans and increased attention for 'environmental governance' at national, provincial and municipal level.

28. The 13th FYP is likely to reinforce existing impetus in the exchange of views between Chinese and European Cities on best practice in environmental governance, established under the preceding the FYP. The 12th FYP had already set ambitious targets in relation to four key aspects of green development and urbanisation, respectively land use & transport, buildings, water & air quality and green technology sectors & clusters. The current FYP provides the Project with the opportunity to give increased exposure to the relevance of EU best practice in green, urban economic development at municipal level in China.

29. The *Organisation for Economic Cooperation & Development* (OECD) has been promoting just such increased exposure. In its *Urbanization & Green Growth in China* (2013), the OECD strongly advocates a 'green economy in urban China' policy, based on four pillars: (i) linking land-use and transportation policies to reduce congestion and environmental impact; (ii) managing rising energy consumption by the construction sector; (iii) addressing water and air pollution in cities; and (iv) fostering the growth of green sectors.

30. In addition to these four pillars, the OECD puts forward eight recommendations which the Project might use to present the reforms it aims to support and the results it wants to achieve in a more straightforward manner. These are:

   ▪ *Addressing the role land sales plan sales play as main source of local government revenue.* Cities should consider diversifying their revenues streams to become more independent from land sales (related to Project result R6);

   ▪ *Lowering the barriers to residential energy-efficiency retrofits.* Wider public education is needed to ensure that homeowners understand the need for efficiency improvements, and what they can do to achieve them (R2);

   ▪ *Improving overall building quality.* While green development targets have focused on increasing the energy-efficiency requirements in building codes, the central government could consider reviewing quality requirements in building codes to increase buildings' lifespan (R2).

   ▪ *Focusing on water demand management.* Chinese regional and local governments should design appropriate schemes and introduce energy saving products to meet the challenge of rising demand (R2);

   ▪ *Further experimenting with regional trading schemes and encouraging cities to go beyond national standards and targets.* In the context of an ambitious, comprehensive national framework, regional trading schemes might be tested and scaled up if successful;

   ▪ *Offering incentives to reduce emissions.* Local governments might be more effective with more authority to monitor and enforce local standards (R2, R5 & R6);

   ▪ *Adopting targeted demand-side policies for renewable energy exploitation.* In addition to national programmes and incentive frameworks, local governments could consider introducing regional standards, targeted measures and incentives to exploit regional renewable energy potential and harness the benefits of green technologies to spur dynamic local markets.

   ▪ *Accelerating the application of eco-industrial park best practices in industrial parks and development zones.* Several measures could be considered to scale up eco-industrial park approaches to all industrial parks and development zones, including the introduction of pollution abatement technology, stricter environmental standards, ambitious energy-

efficiency targets, and promotion of circular economy approaches. Also, a strategy for relocating small, scattered firms into eco-industrial parks could lower costs of monitoring and assuring compliance with standards, improve environmental efficiency and allow for synergies.

31. Adoption by the Project of attention for the four pillars and the eight recommendations put forward by the OECD, are likely to render it more effective (especially in terms of its expected results R2, R5 & R6), more likely to achieve its specific objective, and more likely to achieve sustainability of Project outcomes across the board. More in particular, the project could use these recommendations in the formulation of the concise, comprehensive strategy that the EUD would like to see the Project develop. Finally, adopting the eight recommendations might serve the last, but by no means least important, of the Project's expected results, i.e. R7, related to communication and visibility.

32. The Project will have its work cut out, if it wants to move beyond the mere 'technical' approach apparently favoured by its counterparts, and adopt a more policy and strategy oriented approach, including the why and how of eco/low carbon urbanisation. In this context, it might be of use for the Project to heed the *acquis communautaire* as embedded in a number of European Directives. Not for the purpose of transferring that *acquis* per se, but to illustrate strategic and practical choices that also the relevant Chinese authorities will have to make.

33. Some examples of relevant legal instruments include the 8th Implementation Report on the Urban Waste Water Treatment Directive (Nº 91/271), as well as the regulatory framework 'binding' the urban transport sector. The concepts of 'public service obligation' and 'public service compensation' as they apply to urban passenger transport companies, for instance, would certainly be of interest to Chinese municipal decision makers and administrators.

Re EQ E on Matchmaking: To what extent the project is enhancing networking between the EU and China in the field of eco-low carbon urbanisation? Is the project effectively acting as a platform to facilitate matchmaking, partnerships, exchange of knowledge and information between actors in EU and China? Is that any concrete relevant outputs as a result?

34. The Project serves to acquaint the Chinese authorities, particularly those at (pilot) city level, with European cities' solutions for putting the concept of sustainable and resource efficient urbanization in practice. To achieve this, the Project has to ensure that relevant and compellingly presented information reaches selected high ranking Chinese urban developers and municipal decision makers. Some Chinese cities have embarked on this, largely independently from the Project, such as Zhuhai. The Project can play a role in reinforcing the cooperation between EU and Chinese cities, through its networking capabilities. Bearing in mind the interest expressed by pilot cities in cooperating with European cities, the Project would serve the sustainability of its results by sponsoring networking and reinforcing its 'matchmaking' (R4) role.

35. In spite of the large number of city visits, presentations and other public relations events for increased city networking, especially during the inception phase and first six months of the implementation phase, the Project has had relatively little success in intense 'technical partnering' of Chinese pilot cities and suitable European counterparts. This is partly the consequence of the lack of an operational KP, but also partly due to the very human-resources-intensive character of networking. Because effective policy & technical partnering on eco/low carbon urban development is key to the Project purpose, the TAT and its counterparts should accord the highest priority to it in planning the work for the remainder of the implementation period.

36. The Project might helpfully give more attention to the preparation of 'technical partnering' between EU and Chinese cities. This matchmaking function appears to have been downplayed in the Project's activities to date, perhaps because of the demand on human resources involved.

Re Overall Achievement of the Specific Objective (Project Purpose)

37. The assessment of the likely degree of achievement of the Project's specific objective or purpose takes into account the following considerations.

38. Although highly relevant, the implementation of the Project suffers from linkage to a centre-of-government ministry with perhaps too narrow a mandate – if considered from the point of view of the ambitious results expected of the Project. The burden is exemplified by the virtual lack of progress – at the cut-off date of the evaluation – in respect of municipal finance (R6). Another

example concerns the toolboxes for each of 9 sector foci or types of public service. These toolboxes must be considered valuable, but they are also too detailed to be of much interest to municipal level decision makers and administrators without a technical background. It might offer advantages to reduce their scope, lighten their content, and make them 'living documents' to be expanded and amplified if and when needed.

39. The Project could give more attention to environmental issues discussed in the 12th and 13th Five-Year Plan (FYP) amongst others in the specific field of PPPs, the use of joint ventures for certain sectors/public services (such as green transport, solid waste management, and urban renewal). Starting with the 12th FYP, China has demonstrated mounting interest in tools and instruments such as concessions and build-operate-transfer (BOT) contracts. In working with the pilot cities, the Project could capitalise on this interest and draw decision makers' attention to EU expertise in the entire value chain in a sector or service, instead of specific tools (such as BOTs).

40. Being hosted by a 'MoHURD-owned' agency, even one as capable and energetic as CSUS, has put the Project in a situation where it pays insufficient attention to the position of MoEP, with possibly negative consequences for future EU engagement in China in the area of eco/low carbon urbanisation, as well as other environmental issues. It is true that the MoEP is a relatively recent creation (2008) and that its predecessor, the *State Environmental Protection Administration*, was rather weak, partly because Chinese policy until recently favoured production over conservation. However, the Project would be well advised to heed the recent shifts in administrative responsibility at the centre-of-government in relation to environmental issues in general and urbanisation in particular.

41. The Project's work on the 9 toolboxes seems to have eclipsed its role of 'matchmaker' between EU and Chinese cities in term of real 'technical partnering'. For the remainder of the project duration, the Project might give more emphasis to its matchmaking role.

42. The intensification of shared Chinese, EU and international interest in eco/low carbon urbanisation is now a given. This creates fertile ground for 'technical partnering' at city level and the active promotion of same should be a main goal of the Project and one that should be at the centre of the strategy it needs to develop to satisfy the Contracting Authority. The strategy should explicitly refer to the 13th FYP and the intention expressed by Premier Li Keqiang in his *Report on the Work of the Government* to the 4th Session of the 12th National Party Congress (March 2016): *We will make urban planning more sound, authoritative and transparent, and encourage local governments to integrate their various types of urban plans into a single master plan.*

43. A 2014 survey conducted by the OECD, in cooperation with the China Development Organisation, on *Trends in Urbanisation and Urban Policies in OECD Countries: What lessons for China?* underscored the need for a long term perspective for cooperation in this field between China, EU and the international community at large. The context for urban policy-making and programme implementation involves multiple levels of governance, requiring vertical coordination among local, regional and national administrations. The Project should – more than has done so far – take into account the importance of local governance for national policy implementation, for the benefit of urban sustainability. The relevant modes of governance refer, according to chapter 9 of the OECD survey, to the following components: main rationale for improving urban governance, horizontal co-ordination with urban areas, involving the private sector in the supply of public goods, and effective multi-level governance.

Annex 10. Documentation

Nº	Title	Provenance	Date
1.	2015 EU-China Urbanisation Partnership Forum, Brussels - Report	EC Link Project	29 Jun 2015
2.	Acknowledgement of Receipt (EUD letter on contract award to GIZ)	Vice Minister, Ministry of Housing, Urban-Rural Development (MoHURD)	21 Nov 2013
3.	Annex I-1 – Zhuhai Eco City Action Plan	*Zhuhai* Municipal Authorities	07 Mar 2016[71]
4.	Annex I-10 – Xixian New District Eco City Action Plan	*Xixian New District* Municipal Authorities	07 Mar 2016
5.	Annex I-2 – Luoyang Eco City Action Plan	*Luoyang* Municipal Authorities	07 Mar 2016
6.	Annex I-3 – Zhuzhou Eco City Action Plan	*Zhuzhou* Municipal Authorities	07 Mar 2016
7.	Annex I-4 – Weihai Eco City Action Plan	*Weihai* Municipal Authorities	07 Mar 2016
8.	Annex I-5 – Qingdao Eco City Action Plan	*Qingdao* Municipal Authorities	07 Mar 2016
9.	Annex I-6 – Hefei Eco City Action Plan	*Hefei* Municipal Authorities	07 Mar 2016
10.	Annex I-7 – Changzhou Eco City Action Plan	*Changzhou* Municipal Authorities	07 Mar 2016
11.	Annex I-8 – Guilin Eco City Action Plan	*Guilin* Municipal Authorities	07 Mar 2016
12.	Annex I-9 – Liuzhou Eco City Action Plan	*Liuzhou* Municipal Authorities	07 Mar 2016
13.	Approval of Initial Plan of Activities and composition of TAT and PTF - Letter	EU Delegation to China & Mongolia (EUD	04 Jun 2014
14.	Approval of OSP and AWP1	Ministry of Commerce	10 Jun 2015
15.	Approval of OWP & AWP1 – Letter	EUD	06 Jul 2016
16.	Approval of the Request for Extension of the Inception Phase [until 18 Jun 2014]	EUD	19 May 2014
17.	Approval of the Request for Extension of the Limit to Propose Replacement for KE2	EUD	26 Jun 2014
18.	Back to Office Report - Consulting & Briefing Seminar of Qianshan River Green Building Exhibition Centre Project Zhuhai	EC Link Project	10 Jun 2015
19.	Back to Office Report - Project Supervision Mission to Zhuhai	EC Link Project	24-26 Jun 2015
20.	Back to Office Report - Project Supervision Mission to Zhuhai	EC Link Project	17-19 Jun 2015
21.	Back to Office Report – Visit to SSTC Tianjin	EC Link Project	06 Mar 2015
22.	China New Urbanization Policy 2016 – Guidelines for City Development – Key	Central Committee, CPC and State Council	06 Feb 2016

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[71] Updates of plans prepared between by the Project in Apr-Jun 2015 and annexed to the 2nd AWP considered by the PSC in June 2015.

Nº	Title	Provenance	Date
	Points (Translation: EC Link Project)		
23.	China's Targets for the 13th Five-Year Plan – Report on the Work of the Government by Li Keqiang, Prime Minister at the Opening Meeting of the 4th Session of the 12 National People Congress (05 March 2015)	In: Beijing Magazine	Issue 10, 2016
24.	China's Urbanisation – Special Report	The Economist	Apr 2014
25.	China´s New Urbanization Policy 2016 – Guidelines for the Strengthening of Urban Planning of Built Environment, Related Public Services and Governance Methods[72]	State Council, PRC	06 Feb 2016
26.	Comments to the AWP1 – V1	EUD	02 Jul 2014
27.	Comments to the AWP1 – V1	EUD	04 Jul 2014
28.	Comments to the AWP1 – V2	EUD	10 Oct 2014
29.	Contract DCI-ASIE/2013/329-453 – TA to Sustainable Urbanisation Europe-China Eco Cities Link	EUD/GIZ	31 Oct 2013
30.	Development of Public Partnerships in China	Dr Paul H K Ho, Chairman, Hong Kong Institute of Surveyors	Oct 2006
31.	Dissemination Plan	EC Link Project	29 Apr 2015
32.	EC Link – Design & Monitoring Framework [Draft]	EC Link Project	13 Mar 2016
33.	EC Link – Project Fact Sheet	MoHURD PTF – GIZ Consortium	Undated
34.	EC Link – Status of Activities	EUD	Feb 2016
35.	EC Link Intercity Lab – Green Transportation, Changzhou	EC Link Project	26 Oct 2015
36.	EC Link Intercity Lab – Sustainable Water Management, Zhuhai	EC Link Project	02 Nov 2015
37.	EC Link Project Design and Monitoring Framework [*Revised DRAFT prepared by the Project Task Team - for discussion with the EU Delegation*] – both Word/PDF versions		Feb 2016
38.	EC Link project Logical Framework – Revised	MoHURD Project Task Force (PTF) – GIZ Consortium	Dec 2015
39.	EC Link Tool Boxes – Status of Completion	MoHURD PTF – GIZ Consortium	08 Oct 2015
40.	EC Link Toolbox Series: Clean Energy (CE)	EC Link Project	Jul 2015
41.	EC Link Toolbox Series: Compact Urban Development (CUC)	EC Link Project	Jul 2015

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[72] Unofficial translation by the EC Link TAT. Translated and edited by Yao Zhuo, Li Chunyan, Frédéric Asseline & Florian Steinberg.

Nº	Title	Provenance	Date
42.	EC Link Toolbox Series: Compact Urban Development (CUD)	EC Link Project	Jul 2015
43.	EC Link Toolbox Series: Green Buildings (GB)	EC Link Project	Jul 2015
44.	EC Link Toolbox Series: Green Industries (GI)	EC Link Project	Jan 2016
45.	EC Link Toolbox Series: Green Transport (GT)	EC Link Project	Jul 2015
46.	EC Link Toolbox Series: Municipal Finance (MF)	EC Link Project	Nov 2015
47.	EC Link Toolbox Series: Solid Waste Management (SWM)	EC Link Project	Jul 2015
48.	EC Link Toolbox Series: Urban Renewal & Revitalisation (URR)	EC Link Project	Jul 2015
49.	EC Link Toolbox Series: Water Management (WM)	EC Link Project	21 Mar 2016
50.	EC Link: Sectors of Engagement and Priorities in the Pilot Cities – Presentation	GIZ Consortium	Undated
51.	EC-Link Linking Low-Carbon Cities in Europe and China – Flyer (two versions: Chinese and English)	EC Link Project	Undated (subject to update)
52.	EC-Link Intercity Lab Concept	Constellations International	05 Aug 2015
53.	EU-China low carbon and environmental sustainability programme [DCI-ASIE/2011/023-093] – Action Fiche II	European Commission (EC)	Undated
54.	Europe China Eco Cities Link (EC Link) – Addendum to the First Annual Work Plan – January-July 2015	EC Link Project	04 May 2015
55.	Europe China Eco-Cities Link – Suggestions for Future Intercity Labs – Internal Report	Constellations	Feb 2016
56.	Europe-China Eco Cities Link - Initial Plan of Activities - 17 November 2013 – 17 May 2014 - Version: 2[73]	EC Link Project	19 May 2014
57.	Europe-China Eco Cities Link - Initial Plan of Activities – V3 – Annex 1: Summary of Incidental Expenditure	EC Link Project	19 May 2014
58.	Europe-China Eco Cities Link – AWP1 – Budget – 260614	EC Link Project	27 Jun 2014
59.	Europe-China Eco Cities Link – First Annual Work Plan – 19 June 2014-17 November 2017 – Version 1 [Internal Draft for EUD and MoHURD]	EC Link Project	30 Jun 2014
60.	Europe-China Eco Cities Link – First Annual Work Plan (AWP) – 19 June	EC Link Project	06 Oct 2014

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[73] The filename refers to 'V3', not 'V2'.

Nº	Title	Provenance	Date
	2014-18 June 2015 – Version: 2 [Internal Draft for EUD and MoHURD]		
61.	Europe-China Eco Cities Link – Inception Report – 17 November 2013-18 June 2014 – Version: 1 [Internal Draft for EUD and MoHURD]	EC Link Project	Undated
62.	Europe-China Eco Cities Link – Inception Report – 17/11/2013-18/06/2014 – Annexes 1-8	EC Link Project	Undated
63.	Europe-China Eco Cities Link – Overall Work Plan (OWP) – 19 June 2014-17 November 2017 – Version 1	EC Link Project	30 Jun 2014
64.	Europe-China Eco Cities Link – OWP – Annex 1 – Budget Experts [FA 260614]	EC Link Project	27 Jun 2014
65.	Europe-China Eco Cities Link – OWP – Annex 1 – Timeline [FA 260614]	EC Link Project	27 Jun 2014
66.	Europe-China Eco Cities Link (EC Link) – Addendum to the First Annual Work Plan – January-July 2015 – PART 2	EC Link Project	21 May 2015
67.	Europe-China Eco Cities Link (EC Link) – Design & Monitoring Framework	EC Link Project	Apr 2016
68.	Europe-China Eco Cities Link (EC Link) – Logical Framework (revised)	EC Link Project	Apr 2016
69.	Europe-China Eco Cities Link (EC Link) – Second Annual Work Plan – July 2015-June 2016	EC Link Project	08 Jun 2015
70.	Europe-China Eco Cities Link (EC Link) – Second Annual Work Plan – version 2	EC Link Project	26 Apr 2016
71.	Europe-China Eco-Cities Link – Three-year Action Plan for Comprehensive Pilot Initiatives in Zhuhai (2015-2017)	Zhuhai Municipal Housing, Urban-Rural Planning & Construction Bureau	Nov 2015
72.	Europe-China Eco-Cities Link – Three-year Action Plan for Comprehensive Pilot Initiatives in Zhuhai (2015-2017)	Zhuhai HURD	Nov 2015
73.	Financing Agreement between the European Union and the People's Republic of China – EU China Low Carbon, Urbanisation & Environmental Sustainability Programme	EC	29 Sep 2012
74.	Guiding Opinions on Carrying out Private-Public Partnerships	National Development & Reform Commission (NRDC)	2014
75.	Law on Land Administration of the PRC	State Council	25 June 1986 [amended 1988/1998]
76.	Law on Urban & Rural Planning of the PRC	State Council	28 Oct 2007
77.	Les Villes et la Croissance Verte	Organisation for Economic Cooperation & Development (OECD), C40Cities & Club de	25 May 2010

Nº	Title	Provenance	Date
		Madrid	
78.	Letter EUD to GIZ – Replacement KE3	EUD	10 Jul 2015
79.	Letter GIZ to EUD – Replacement KE3	GIZ	17 Jul 2015
80.	Letter to MoHURD and GIZ on DMF & AWP	EUD	13 Jun 2016
81.	Logical Framework for Action II Components [App. 1, Action Fiche II]	EC	Undated
82.	Measures for Curbing Pollution to be Fortified - Article	China Daily	14 Mar 2014
83.	MoHURD Eco-City Implementation Guideline for Clean Energy	EC Link Project	17 Mar 2016
84.	MoHURD Eco-City Implementation Guideline for Compact Urban Development	EC Link Project	22 Feb 2016
85.	MoHURD Eco-City Implementation Guideline for Green Buildings	EC Link Project	29 Feb 2016
86.	MoHURD Eco-City Implementation Guideline for Green Industries [Draft]	EC Link Project	01 Apr 2016
87.	MoHURD Eco-City Implementation Guideline for Green Transport	EC Link Project	29 Feb 2016
88.	MoHURD Eco-City Implementation Guideline for Municipal Finance (MF)	EC Link Project	01 Apr 2016
89.	MoHURD Eco-City Implementation Guideline for Solid Waste Management	EC Link Project	28 Feb 2016
90.	MoHURD Eco-City Implementation Guideline for Urban Renewal & Revitalisation	EC Link Project	15 Mar 2016
91.	MoHURD Eco-City Implementation Guideline for Water Management	EC Link Project	28 Feb 2016
92.	Moves to Strengthen the Rule of Law	China Daily	14 Mar 2014
93.	Note for EUD – EC Link – Intercity Lab on Green Transportation, Changzhou, 26 Oct 2015	EC Link Project	03 Nov 2015
94.	Note for the file at the request of EUD	EC Link Project	13 Apr 2015
95.	Note of Meeting – Meetings with CDM Fund, China PPP Centre & PBoC	EC Link Project	26 Jun 2015
96.	Note of Meeting: China Eco City Academy (CECA) – Tianjin Eco City	EC Link Project	17 Feb 2016
97.	Note on Strategic Priorities	EC Link Project	03 Feb 2015
98.	Note to File (EUD, cc MoHURD - Meeting with MoHURD on Finalisation of the EC LINK revised AWP2	EC Link Project	23 Oct 2015
99.	Note to File: Portfolio Review, Luoyang	EC Link Project	04 Mar 2016
100.	Opening Speech – 11 International Conference on Green & Energy Efficient	EUD	30 Mar 2016

Nº	Title	Provenance	Date
101.	Pilot City Application	Xinbei District People's Government, Changzhou – HURD, Jiangsu	Dec 2014
102.	Pilot City Application	HURD, Weihai	Undated
103.	Pollution Fight Gets a Sharper Focus	China Daily	12 Mar 2014
104.	PSC Meeting – July 2014 – Minutes	EC Link Project (Secretariat)	Jul 2014
105.	PSC Meeting – July 2015 – Agenda	EC Link Project (Secretariat)	15 Jul 2015
106.	PSC Meeting – July 2015 – Minutes	EC Link Project (Secretariat)	Jul 2015
107.	Response EUD Letter Regarding the [EC Link[Project	GIZ	10 Mar 2015
108.	Semi-Annual Financial Report – AWP1 – 19/06-18/12/2014 - Final	GIZ	26 Oct 2015
109.	Semi-Annual Financial Report – AWP1 – 19/12/2014-18/06/2015 - Updated	GIZ	12 Jan 2016
110.	Semi-Annual Financial Report – AWP2 – 19/06/2015-18/12/2015 - Draft	GIZ	23 Mar 2016
111.	Semi-Annual Financial Report [AWP1; 19/06 – 18/12/2014] – Final	GIZ	26 Oct 2015
112.	Service Contract Nº DCI-ASIE/2013/329-453 – EC and GIZ	EC	Jan 2012
113.	Stand Alone Project Identification Fiche [DCI-ASIE/2011/023-093]	EC	06 May 2011
114.	Summary of Expert Days	GIZ Consortium	08 Apr 2016
115.	Sustainable Urbanization – Europe-China Eco Cities Link Project EC LINK – Progress Report [19/06-18/12/2014]	EC Link Project	Undated
116.	Technical Offer – TA to the Europe-China Eco Cities Link (EC-LINK) Project [in contract between EU/GIZ-consortium]	GIZ	Undated
117.	The City We Need 2.0 – Towards a New Urban Paradigm	World Urban Campaign	07 Mar 2016
118.	Transition Towards Sustainable Cities, Pact of Co-Responsibility – EU-China Urbanisation Forum	European Commission, DG Energy	29 Jun 2015
119.	Trends in Urbanisation & Urban Policies in OECD Countries: What Lessons for China?	OECD & China Development Research Foundation (CDRF)	Aug 2010
120.	Urban Planning and Low-carbon Eco-city Construction of Zhuhai	Zhuhai HURD	May 5, 2014
121.	*Urbanization & Green Growth in China* – Regional Development Working Paper Nº 2013/07	Organisation for Economic Cooperation & Development (OECD)	2013