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CLIMATE CHANGE RESILIENT DEVELOPMENT

QUARTERLY IMPLEMENTATION REPORT

AUGUST 2011 - DECEMBER 2011

January 13, 2012

This report was produced for review by the United States Agency for International Development (USAID). It was prepared by International Resources Group (IRG).

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ACRONYMS

ALM	Adaptation Learning Mechanism (website)
AREFS	Asia Regional Environmental Field Support Task Order
CCAFS	Climate Change, Agriculture and Food Security
CCRD	Climate Change Resilient Development Task Order
CGIAR	Consultative Group on International Agricultural Research
CLINs	Contract Line Items
COP	Chief of Party
CoP	Community of Practice
COR	Contracting Officer's Representative
COTR	Contracting Officer's Technical Representative
CSP	Climate Services Partnership
DCOP	Deputy Chief of Party
DCTT	Developing Country Task Team
DNS	Domain Name Server
EGAT	Bureau for Economic Growth, Agriculture and Trade (USAID)
FCCM	Forest Carbon, Markets, and Communities Task Order
FY	Fiscal year
GCC	Global Climate Change
GUC	Grants Under Contract
ICCS	International Conference on Climate Services
ICIMOD	International Centre for Integrated Mountain Development
IRG	International Resources Group
IRI	International Research Institute for Climate and Society
IQC	Indefinite Quantities Contract
KM	Knowledge management
LEAD	Low-Emissions Asian Development Project
MPA	Marine Protected Area
NGO	Non-governmental organization

NOAA	National Oceanic and Atmospheric Administration
PMP	Performance Management Plan
PVO	Private volunteer organizations
RFA	Request for Applications
TMI	The Mountain Institute
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
V&A	Vulnerability and Adaptation
Water II IQC	Integrated Water and Coastal Resources Management Indefinite Quantities Contract
WIO	Western Indian Ocean
WMO	World Meteorological Organization

A. INTRODUCTION

This report summarizes the activities undertaken by the consortium led by International Resources Group (IRG) during the quarterly reporting period, August 2011 – December 2011 under the Integrated Water and Coastal Resources Management Indefinite Quantities Contract (Water II IQC) Climate Change Resilient Development (CCRD) task order. The report covers project management and implementation activities undertaken and/or completed during the reporting period. The CCRD quarterly financial report is provided as a separate submission. The report is supplemented by a CD-ROM, which provides all the reports and documents prepared for this task order during the reporting period. The remaining sections are divided into four sections: 1) Project Management; 2) Objective 1 activities; 3) Objective 2 activities; and 4) Objective 3 activities.

The report includes updates on activities and tasks described in the CCRD Year One Work Plan Revised Draft:

Project Management, Planning, and Evaluation:

Task PM-1 Develop Year One Work Plan

Task PM-2 Develop and Implement Performance Management Plan (PMP)

Task PM-3 Strategic & Implementation Planning

Task PM-4 Conduct Advisory Committee Meetings

Task PM-5 Reporting

Task PM-6 Develop & Disseminate CCRD Knowledge Management (KM) Products

Task PM-7 Implement Grants Under Contracts

Objective 1: Support for USAID Missions and Bureaus

Task 1.1.1 Revise Vulnerability and Adaptation Manual

Task 1.1.2 Develop Climate Briefs and Annexes

Task 1.2.1 Understand USAID Bureau and Mission Needs for Climate Change Adaptation Tools

Task 1.3.2 Conduct Peru Climate Change Vulnerability and Adaptation Desktop Study

Objective 2: Coordinate with Other USG Agencies to Support Mainstreaming

Task 2.1.1 Conduct Adaptation Partnership Workshops

Task 2.2.1 Form Adaptation Partnership Communities of Practice (CoPs)

Task 2.2.2 Develop Adaptation Partnership Materials

Objective 3: Identify and Respond to Emerging Issues and Provide KM Assistance for Design, Planning, and Implementation of Climate Resilient Development Programming

Task 3.2.1 Design a High Mountain and Glacier Watershed Program

Task 3.3.1 Design an Adaptation and Climate Services Program

A CD-ROM is provided with this report and contains all reports and presentations drafted and/or finalized during the 1st Quarter of FY 2012. In addition, financial data for the reporting period is provided in Annex 1.

B. PROJECT MANAGEMENT, PLANNING, AND EVALUATION

Project management activities during the first quarter of FY 2012 focused on project start-up, including mobilization of the team, preparation of the Year One Work Plan and Performance Management Plan, strategic discussions on the CCRD vision and opportunities, and the development of reporting templates and the draft Grants Under Contract Manual.

TASK PM-1 DEVELOP YEAR ONE WORK PLAN

At the end of August, CCRD organized and convened a three-day mobilization workshop at IRG. On the first day (August 29th), all CCRD partners (subcontractors and resource groups) plus Water II IQC consortium member, Research Triangle Institute, were invited to make a presentation of their climate adaptation capabilities. USAID also provided their vision of CCRD priorities and opportunities. On the second day, a smaller group of CCRD partners with representatives on the Senior Advisory Committee participated in a facilitated brainstorming session to discuss the preliminary scope of activities and discuss additional activities that might be included in the Year One Work Plan. On the third day, the CCRD Chief of Party (COP), Deputy Chief of Party (DCOP) and support staff from IRG and ICF met to review the recommendations from the second day and begin work on the first draft of the Year One Work Plan.

The draft Year One Work Plan was submitted to the USAID Contracting Officer's Representative (COR) in the beginning of October. USAID reviewed the draft and provided comments to guide the revision. While USAID endorsed most of the proposed activities in the draft, they requested that CCRD improve the structure of the work plan, add a vision statement for CCRD and reorganize the proposed activities under a strategic framework. CCRD made the changes requested by USAID and submitted a revised version of the Year One Work Plan to the CCRD COR in December. The COR has approved the revised Work Plan.

TASK PM-2 DEVELOP AND IMPLEMENT PERFORMANCE MANAGEMENT PLAN

The CCRD COP prepared the draft final version of the Performance Management Plan. The PMP was submitted to and approved by the COR in October. In January 2012, the PMP will be revised to realign it with the CCRD strategic framework and reorganized suite of activities and tasks.

TASK PM-3 STRATEGIC & IMPLEMENTATION PLANNING

As a follow-up activity to the mobilization workshop, CCRD prepared 22 one-page summaries of potential CCRD topics and organized a strategic planning meeting with USAID on October 26th. CCRD presented a framework to facilitate formulation of a strategic vision for CCRD and participants worked collaboratively on a strategic framework for CCRD. The outcome of this effort was the strategic framework and vision statement in the revised Year One Work Plan.

TASK PM-4 CONDUCT ADVISORY COMMITTEE MEETINGS

In December, CCRD began work to plan the first Senior Advisory Committee meeting on January 4, 2012. An agenda was developed and advisors identified to lead sessions and/or prepare PowerPoint presentations.

TASK PM-5 REPORTING

During the reporting period, CCRD developed templates for the quarterly implementation and financial reports. In addition, IRG set up IRG's accounting system and provided invoice templates for subcontractor to facilitate financial reporting by Contract Line Items (CLINs) as requested by the Contracting Officer's Representative (COR as of January 1, 2012 – formerly known as the Contracting Officer's Technical Representative).

TASK PM-6 DEVELOP & DISSEMINATE CCRD KNOWLEDGE MANAGEMENT (KM) PRODUCTS

USAID engaged CCRD in discussions on three separate websites.

- 1) USAID has requested that CCRD develop a new web page for both CCRD and the Asia Regional Environmental Field Support (AREFS) task order. This page will ultimately be transferred to USAID's Bureau for Economic Growth, Agriculture and Trade (EGAT) for the intended purpose of replacing EGAT's current climate web page: www.usaid.gov/our_work/environment/climate. USAID indicated that this new web page should link to the Adaptation Learning Mechanism (ALM) website, which is a database that houses climate projects and research. The page will host all three of USAID's climate change pillars, but CCRD will only be responsible for populating the adaptation page with content. Likewise, individual projects (e.g., CCRD, AREFS, Forest Carbon, Markets, and Communities or FCMC, ADAPT, Low-Emission Asian Development or LEAD, etc.) will be responsible for the content on their project pages. CCRD is waiting for further instruction from USAID before proceeding.
- 2) USAID has requested that CCRD assume management of the United Nations Development Programme's (UNDP) Adaptation Learning Mechanism website: adaptationlearning.net. USAID does not plan for CCRD to host the site, but rather to be granted administrative privileges, taking on the roles of site maintenance and posting content, without changing the site's appearance or functionality. CCRD is waiting for further instruction from USAID before proceeding.
- 3) Finally, USAID has requested that the Adaptation Partnership website, adaptationpartnership.org, be moved from its current host, Blue Waters, over to CCRD, for site management and future development. The files have been transferred to CCRD's server, and we are now in the process of redirecting the Domain Name Server (DNS) to our server.

TASK PM-7 IMPLEMENT GRANTS UNDER CONTRACT PROGRAM

CCRD is finalizing the Grants Under Contract (GUC) Manual to guide GUC solicitations, review, selection, award, supervision, monitoring, and reporting. The process for awarding grants will involve review of proposals by a technical review panel chaired by the COP and include the DCOP and one USAID headquarters or Mission staff person as designated by the COR for each grants solicitation. The COR will be provided with a decision memorandum and is required to provide consent and clearance for small grants that will be provided to local non-governmental organizations (NGOs), private volunteer organizations (PVOs), and other organizations.

Once the GUC Manual is approved, IRG will implement the GUC Program. Requests for Applications (RFAs) will be prepared in consultation with the COR as needed to involve grant recipients in the implementation of CCRD. Ms. Deborah Tepley-Ferguson will serve as Small Grants Manager and will coordinate the preparation and solicitation of RFAs, compile small grant applications, and organize the

review of proposals by the technical review panel. A selection meeting will be convened to discuss applications and recommend award. A decision memo and all supporting material will be submitted to the COR for his approval.

Upon COR consent and clearance, IRG will negotiate grant agreements with recipients, supervise and monitor grants, and review recipients' final report and all deliverables specified in the grant agreement. As part of the quarterly and annual reports, IRG will provide a summary of GUC activities during the reporting period.

C. OBJECTIVE I: SUPPORT FOR USAID MISSIONS AND BUREAUS

During the 1st Quarter of FY 2012, CCRD worked on the climate mainstreaming guidance and supporting annexes, developed decision and tool typologies to facilitate understanding of USAID demand for adaptation tools, and conducted a desktop study on climate vulnerability and adaptation for the USAID Mission in Peru.

TASK I.1.1 REVISE VULNERABILITY AND ADAPTATION (V&A) MANUAL

In 2010, IRG began work on a revised V&A guidance manual under the EPIQ II Technical Advisory Services Task Order in collaboration with the Global Climate Change (GCC) Team in EGAT. CCRD is continuing this effort under Objective 1. Work on the new guidance focuses on integrating or mainstreaming climate concerns into development, sector, and spatial strategies and plans, as opposed to adaptation strategies and projects. This approach facilitates a more thorough treatment of both climate and non-climate stressors, better consideration of financial and human resource constraints, and assessment of the trade-offs between adaptation options and development actions. The work on the new guidance has included the following actions:

1. Review of the most current draft by ICF staff to identify text that would be relevant to USAID program and project designers
2. Review of the Agency's guidance on program/project design
3. Development of graphics to describe the process of mainstreaming adaptation and aligning the process to the Agency's program/project design steps
4. Preparation of a draft executive summary of the mainstreaming guidance

The draft executive summary has been vetted by USAID and revised. Once the executive summary is finalized, CCRD will prepare the longer version of the mainstreaming guidance, tailored to USAID. A second version is anticipated for later in Year One or Year Two targeted to USAID implementing organizations, developing country partners and international practitioners.

TASK I.1.2 DEVELOP CLIMATE BRIEFS AND ANNEXES

CCRD staff worked on the development of a template that will be used for organizing the four annexes that will be prepared during Year One. Next quarter, this template will be tested as CCRD restructures and revises the draft Water Annex before it is applied for the other annexes.

TASK I.2.1 UNDERSTAND USAID BUREAU AND MISSION NEEDS FOR CLIMATE CHANGE ADAPTATION TOOLS

The CCRD team developed a draft typology of climate-sensitive decisions, which will not only help to direct CCRD's future work on tools but also help to frame and develop CCRD's knowledge management and communication strategies. To construct the draft decision typology, the CCRD team considered the range of factors that will influence decisions, including the bureaucratic level within USAID at which the decision is being made, the sector in which the decision is being made, planning stage, etc. Once the various decisions

dimensions were identified, the CCRD team went on to define different components of each dimension (e.g., diagnose, design, implement, and manage are components of the planning stage dimension), as well as provide illustrative sub-components and examples.

Parallel to the draft decision typology, the CCRD team also developed a draft typology of climate change tools. This draft typology characterizes the many different dimensions of adaptation-related tools that can help to inform the aforementioned decision making needs. As with the decision typology, dimensions were developed for identifying and cataloguing tools. The typology includes dimensions such as theme, information inputs and outputs, temporal and spatial scale, cost, etc. The draft tool typology was tested by classifying a small sample of tools using this framework.

Feedback collected from the senior advisory committee meeting will help to direct subsequent activities, including revision of the typologies, vetting the typologies, and assessing future activity needs related to tools.

TASK I.3.2 CONDUCT PERU CLIMATE CHANGE VULNERABILITY AND ADAPTATION DESKTOP STUDY

IRG completed the *Peru Climate Change Vulnerability and Adaptation Desktop Study* in December 2011. The study is the first component of an assessment being undertaken by USAID/Peru with support from EGAT's Global Climate Change team. The report is intended to inform the in-country assessment process for possible future USAID/Peru-funded adaptation activities addressing climate change challenges. The report may also serve as a model for other USAID Missions that are beginning similar processes, by demonstrating what kinds of knowledge sources to review and what level of detail is appropriate and useful for project planning and design.

For the desktop study, IRG assessed the key economic sectors and ecosystems in Peru to understand their importance to the country and their vulnerability to climate change. The study also included a summary of adaptation activities supported by the Government of Peru, international NGOs, and bilateral and multilateral donors. The report highlights important gaps in adaptation activities and makes recommendations for future activities that USAID might undertake either on their own or in collaboration with other donors.

D. OBJECTIVE 2: COORDINATE WITH OTHER US GOVERNMENT AGENCIES TO SUPPORT MAINSTREAMING

Objective 2 activities during the reporting period focused on support for the Adaptation Partnership including the convening of two workshops, planning activities for two 2nd quarter workshops, follow-up work related to high mountains and glacial lakes, and preparation of materials on Adaptation Partnership workshops for the United Nations Framework Convention on Climate Change (UNFCCC) Conference of Parties in Durban, South Africa.

TASK 2.1.1 CONDUCT ADAPTATION PARTNERSHIP WORKSHOPS

Two Adaptation Partnership Workshops were convened in September (Nepal) and October (New York). In addition, CCRD assisted with the planning and logistics for future workshops in Cape Town, South Africa and San Jose, Costa Rica.

NEPAL

The Adaptation Partnership workshop in Nepal from September 3 to September 28 was organized by a consortium of donors and NGOs under the leadership of The Mountain Institute (TMI) and included three components:

- 1) Field expedition to Imja Lake in the Mt. Everest (Khumbu) Region (September 4-24) to assess risks of glacial lake outburst floods involved 35 physical and social scientists from 13 countries. This mobile workshop featured meetings with stakeholders in local communities, nightly presentations by expedition participants, and a three-day field assessment of Imja Lake, which has increased significantly in size in recent years as three glaciers that feed the lake with melt water recede and expose the lake to hanging ice that could cause tsunami-like waves and flood downstream villages, agricultural land, and tourism infrastructure.
- 2) Andean-Asian Mountains Global Knowledge Exchange On Glaciers, Glacial Lakes, Water, and Hazard Management, a two-day workshop (September 25-26) in Kathmandu, hosted by the International Centre for Integrated Mountain Development (ICIMOD). The knowledge exchange included presentations covering ongoing work and lessons learned in South America, Central Asia, and the Himalayas and small group discussions covering gaps in research and policy on glaciers and climate change and enumeration of opportunities for follow-up research, knowledge management and awareness, capacity building and training, and pilot projects.
- 3) The Writers' Workshop was convened in Kathmandu (September 27-28) and was designed to capture the experiences, lessons learned, and recommendations that emerged from both the Imja Lake field expedition and follow-up Kathmandu workshop. Participants worked in three small groups to develop short briefs on follow-on activities and a fourth small group prepared an initial draft of the concept paper for a community of practice.

CCRD provided financial support for TMI staff involved in planning, leading, and coordinating the field expedition and participating in the two workshops in Kathmandu. In addition, CCRD COP Glen Anderson participated in a portion of the field expedition, made a presentation on USAID's mainstreaming adaptation guidance and its application to high mountain valleys and glacial lakes during the knowledge exchange, and served as the facilitator for the Writer's Workshop.

NEW YORK

The International Research Institute for Climate and Society (IRI) at Columbia University hosted the International Conference on Climate Services (ICCS), a 2 ½ day meeting that attracted 88 participants from more than 25 countries (October 17-19). The ICCS served as a platform for sharing experiences in delivering climate services, discussing current activities, including the World Meteorological Organization-led (WMO) Global Framework for Climate Services, and launching the Climate Services Partnership (CSP).

The Adaptation Partnership funded a follow-on one-day meeting of the CSP Developing Countries Task Team (DCTT) on October 20 at the Lamont-Doherty Earth Observatory in Palisades, NY. The DCTT was formed in order to promote and organize actions in developing countries. In the first 14 months, these actions will be supported by the Adaptation Partnership, USAID, the Red Cross Red Crescent Climate Centre, and the Climate Change, Agriculture and Food Security (CCAFS) theme of the Consultative Group on International Agricultural Research (CGIAR).

The first meeting of the DCTT responded directly to discussions regarding priority actions set out for the CSP during the ICCS on the previous three days. It was designed to stimulate discussion regarding appropriate actions and to devise methods to identify and fund priority actions, including primarily knowledge capture. During the course of the meeting, methods of improving climate services through knowledge capture were discussed. This included both detailed evaluations and case studies. The group devised some guidelines for how members of the DCTT would engage in each activity, and how these should be developed over time. The group also took a broad-stroke survey of climate services currently underway and agreed to continue to develop methodologies and guiding principles as they worked together over the coming months.

SOUTH AFRICA

CCRD is supporting USAID, US Department of State, and the National Oceanic and Atmospheric Administration (NOAA) in organizing the Adaptation Partnership *Workshop for Coastal and Marine Protected Areas (MPAs) in the Western Indian Ocean (WIO)*. The purpose of the workshop is to identify capacity needs for MPAs in the Western Indian Ocean to conduct vulnerability assessments and build adaptive responses to climate change impacts in their management areas. The workshop will target MPA managers in Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, South Africa, and Tanzania. Activities at the workshop will build toward a prioritization of climate change capacity building activities across the MPA network, framing an implementation plan that moves participants from learning to action, and developing a communication network across which MPA sites can share expertise and lessons learned about climate change impacts and responses. The workshop will be held in Cape Town, South Africa, February 8-10, 2012.

COSTA RICA

CCRD has been engaged to support USAID, US Department of State, and MINEAT (Costa Rica's National Institute of Meteorology) to coordinate an Adaptation Partnership workshop in Central America. This workshop is scheduled for March 27-29, 2012, in San Jose, Costa Rica. The theme of the workshop is

assessing vulnerability and building resilience in key agricultural sectors to promote economic development and food security. By beginning with important agricultural sectors, we expect that the discussion will develop a strong focus on water issues, as well as look at the impact of temperature increase on crop viability, and the impact of extreme events on infrastructure and access to markets. The workshop will include approximately 80 participants from all Central American countries, and the Dominican Republic. Five crops – both staple crops and export crops that are important to many countries in the region – have been selected for particular attention during this workshop: beans, rice, banana, pineapple, and coffee. The workshop will serve to build a Central American community of practice around sector-specific issues. It will provide an opportunity for South-South learning and cooperation, as some countries are already examining or addressing vulnerabilities in some of these sectors and can share lessons learned.

TASK 2.2.1 FORM ADAPTATION PARTNERSHIP COMMUNITIES OF PRACTICE

CCRD revised the concept paper for the community of practice (CoP) to support researchers and policymakers concerned about the impacts of climate change on high mountains and glacial lakes and watersheds. In addition, CCRD translated the Spanish language version of a glacial lake management guide, titled *Safety Measures in Dangerous Glacial Lakes in the Cordillera Blanca, Peru*, drafted by Cesar Portocarrero, formerly Director of the Glaciological and Hydrological Resources Unit in Peru.

TASK 2.2.2 DEVELOP ADAPTATION PARTNERSHIP MATERIALS

For the United Nations Framework Convention on Climate Change 17th Conference of Parties in Durban, South Africa, CCRD worked with the US State Department and USAID to compile and prepare a series of documents that provide a description of Adaptation Partnership activities, primarily workshops that were convened in 2011. These materials were uploaded to 500 thumb drives with the Adaptation Partnership logo imprinted.

E. OBJECTIVE 3: IDENTIFY AND RESPOND TO EMERGING ISSUES AND PROVIDE KM ASSISTANCE

Following the Adaptation Partnership workshops in Nepal and New York, there was considerable interest in exploring opportunities for programs concerning high mountains and glacier watersheds and climate services. During the reporting period, concept papers were prepared for both opportunities.

TASK 3.2.1 DESIGN A HIGH MOUNTAIN AND GLACIER WATERSHED PROGRAM

TMI, with support from Daene McKinney at the University of Texas-Austin, developed a concept paper for a high mountain and glacier watershed program. The concept paper covers the community of practice, knowledge management, research and pilots, guidance and capacity building, and outreach and awareness. In the next quarter, a detailed scope of work will be prepared to launch the program as Task 3.2.2.

TASK 3.3.1 DESIGN AN ADAPTATION AND CLIMATE SERVICES PROGRAM

IRI drafted a concept note on climate services and the opportunities for promoting greater awareness and applications of climate services in developing countries. In the next quarter, the concept note will be revised to include a set of concrete tasks that could be implemented by CCRD partners. IRI will link this work to the CSP work program and identify options for leveraging other funding.

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