



**USAID**  
FROM THE AMERICAN PEOPLE

**ASIA**

USAID CLIMATE CHANGE ADAPTATION PROJECT PREPARATION FACILITY  
FOR ASIA AND THE PACIFIC (ADAPT ASIA-PACIFIC)

# QUARTERLY REPORT

Twelfth Quarter: July 1 to September 30, 2014

Submitted By  
AECOM International Development  
SG Tower, 5<sup>th</sup> Floor, Unit 506  
161/1 Soi Mahadlek Luang 3  
Rajdamri Road, Bangkok 10330, Thailand  
Tel: +662 651 8826 Ext 120  
Email: [lbaker@adapt-asia.org](mailto:lbaker@adapt-asia.org)

USAID Award Number  
086-C-11-00005

Contracting Officer's Representative  
Mr. Saengroaj Srisawaskraisorn

## DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.



USAID CLIMATE CHANGE ADAPTATION PROJECT PREPARATION FACILITY FOR ASIA  
AND THE PACIFIC (ADAPT ASIA-PACIFIC)

# QUARTERLY REPORT

Twelfth Quarter: July 1 to September 30, 2014

Project Title:

USAID Climate Change Project Preparation Facility for Asia and the Pacific (ADAPT Asia-Pacific)

Submission Date

October 31, 2014

USAID Award Number:

486-C-11-00005

COR:

Mr. Saengroaj Srisawaskraisorn

Submitted by:

AECOM International Development

SG Tower, 5<sup>th</sup> Floor, Unit 506

161/1 Soi Mahadlek Luang 3

Rajdamri Road, Bangkok 10330, Thailand

Tel: +662 651 8826 Ext 120

Email: [lbaker@adapt-asia.org](mailto:lbaker@adapt-asia.org)

## DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

## CONTENTS

1. PROGRAM OVERVIEW/SUMMARY .....	1
PROGRAM DESCRIPTION/INTRODUCTION .....	1
SUMMARY OF RESULTS THROUGH September 30, 2014 .....	3
2. ACTIVITY IMPLEMENTATION PROGRESS .....	4
2.1 PROGRESS NARRATIVE.....	4
2.2 IMPLEMENTATION CHALLENGES.....	15
2.3 MANAGEMENT AND ADMINISTRATIVE ISSUES.....	15
3. PLANNED ACTIVITIES FOR NEXT QUARTER .....	16
EXPENDITURES BY CONTRACT BUDGET CATEGORY .....	17
ANNEX: LIST OF PEOPLE TRAINED IN Q4 OF FY2014 .....	18

## 1. PROGRAM OVERVIEW/SUMMARY

<b>PROGRAM NAME:</b>	USAID Climate Change Adaptation Project Preparation Facility for Asia and the Pacific (ADAPT Asia-Pacific)
<b>ACTIVITY START DATE AND END DATE:</b>	September 27, 2011-September 26, 2016
<b>NAME OF PRIME IMPLEMENTING PARTNER:</b>	AECOM International Development
<b>[CONTRACT/AGREEMENT] NUMBER:</b>	486-C-11-00005
<b>NAME OF SUBCONTRACTORS:</b>	Institute for Global Environmental Strategies, Kaizen Company, Development & Training Services, INC.
<b>MAJOR COUNTERPART ORGANIZATIONS</b>	Office of Natural Resources and Environmental Policy and Planning (ONEP), Thailand
<b>GEOGRAPHIC COVERAGE (CITIES AND OR COUNTRIES)</b>	Bangladesh, Cambodia, India, Indonesia, Lao PDR, Maldives, Mongolia, Nepal, Philippines, Sri Lanka, Thailand, Timor Leste, Vietnam, Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu
<b>REPORTING PERIOD:</b>	July 1-September 30, 2014

### PROGRAM DESCRIPTION/INTRODUCTION

The Asia-Pacific region is highly vulnerable to the impacts of climate change and related natural disasters partly due to the high concentration of people living in coastal areas and river basins affected by climate variability. Many countries in the region already suffer flooding, drought, and intensifying storm events, affecting lives and disrupting economies, especially in developing countries in the region.

Globally, the financing needs for climate change adaptation in developing countries for 2010-2050 are estimated at USD 100 billion per year. In 2010, Parties to the United Nations Framework Convention on Climate Change agreed in Cancun, Mexico to provide new and additional “fast-start” financing of USD 30 billion for 2010-2012, and set a goal of mobilizing USD 100 billion per year by 2020. Developing countries, however, face major capacity challenges in preparing project proposals to access these funds. An urgent task for the development community, therefore, is to assist developing countries in preparing high quality adaptation projects. At present there is no adequate mechanism in Asia or the Pacific meeting this need.

Under a technical support services contract from USAID’s Regional Development Mission for Asia (RDMA), AECOM is currently implementing the *USAID Climate Change Adaptation Project Preparation Facility for Asia and the Pacific (USAID Adapt Asia-Pacific)*. The project supports the USAID/RDMA Regional Environment Office’s (REO) Development Objective of “*Improved response to environmental challenges in Asia,*” The project initially covered 13 countries in Asia and was later expanded to cover 14 Pacific Small Island Developing Countries. USAID Adapt Asia-Pacific addresses capacity and information needs of target countries in accessing climate change adaptation funds and accelerating investments in initiatives that increase resilience to the negative impacts of climate change.

### **Principal Objectives and Activities**

The principal objective of USAID Adapt Asia-Pacific is to establish a fully functional and self-sustaining adaptation project preparation facility that will support preparation of specific projects, and build the capacity of the region's governments to independently access climate adaptation funds. To establish a sustainable project preparation facility, the project will work closely with funding organizations and government agencies from countries across the region in focused activities in five key areas:

1. Sustainable regional knowledge sharing platform including a website;
2. Annual forum to bring adaptation funds and project proponents together;
3. Climate change adaptation project capacity building program;
4. Technical assistance in preparing funding proposals; and
5. Overarching program management and coordination for the afore-mentioned four technical tasks.

As cross-cutting themes, USAID Adapt Asia-Pacific will promote regional networking, gender mainstreaming and other social equity issues.

SUMMARY OF RESULTS THROUGH SEPTEMBER 30, 2014

STANDARD INDICATORS	FY 2014 ANNUAL TARGET	FREQUENCY OF REPORTING	Q1 FY14	Q2 FY14	Q3 FY14	Q4 FY14	ANNUAL PERFORMANCE ACHIEVED TO THE END OF REPORTING PERIOD (%)	ON TARGET Y/N	REMARKS
1.1 Person hours of training completed in climate change supported by USG assistance/Number of people receiving training in Global Climate Change as a result of USG assistance	5,000	Quarterly	1,988 (1,068 men hours & 920 women hours)	0	544 (201 men hours & 343 women hours)	2,280 (1,514 men hours & 766 women hours)	96%	N	Result achieved is within 5% of target.
1.2 Number of institutions with improved capacity to address climate change issues as a result of USG assistance*	8	Quarterly	0	0	2	6	100%	Y	
2.1 Number of climate change adaptation projects with facilitated access to finance	6	Quarterly	0	2	5	0	117%	Y	
2.2 Number of facilitated projects with a specific gender component	2	Quarterly	0	0	3	0	150%	Y	
2.3 Number of people benefiting from climate change adaptation project approved or in the pipeline as a result of USG assistance	100,000	Quarterly	0	57,000	0	262,607	320%	Y	
2.4 Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change as a result of USG assistance	\$50 Million	Quarterly	0	\$65 Mil	\$94,516	\$82 Mil	294%	Y	
2.5 Number of climate mitigation and/or adaptation tools, technologies, and methodologies, developed, tested, and/or adopted as a result of USG assistance	2	Quarterly	0	0	2	0	100%	Y	
2.6 Amount of funds in U.S. dollars from non-USAID sources mobilized and applied to support project preparation facility objectives	\$250,000	Quarterly	\$59,937	0	\$26,551	\$249,863	135%	Y	
3.1 Number of regional environmental platforms created or strengthened	1	Quarterly	1	1	1	1	100%	Y	

\*This was formerly reported under D.O.1 Number of stakeholders with adaptive capacity to cope with impacts of climate variability and change as a result of USG assistance

Note: The Results Performance Column depicts level of achievement expressed as a percentage of Actual versus Planned.

## 2. ACTIVITY IMPLEMENTATION PROGRESS

### 2.1 PROGRESS NARRATIVE

USAID Adapt Asia-Pacific continued with program activities at both the regional and national level during the fourth quarter (Q4) of fiscal year 2014 (FY14). Key activity highlights and results are provided below by project task. Overall, the project progresses according to the Work Plan.

#### TASK ONE: KNOWLEDGE SHARING PLATFORM

Under Task One, activities were implemented in three main areas: (1) implementing overarching knowledge management strategies; (2) strengthening a regional knowledge-sharing platform; and (3) expanding an online Community of Practice (CoP).

#### Summary of Key Accomplishments

The USAID Adapt Asia-Pacific project continues to strengthen Asia Pacific Adaptation Network (APAN) as a regional knowledge sharing platform and publish and share knowledge gained from the project from Task Three and Four activities and others, including outcomes from Community of Practice (CoP) discussions, through APAN and the project's website.

**Knowledge Management Strategies Development and Key Action Implementation** Task One activities for strengthening APAN as a regional knowledge sharing platform have been guided by the previously-drafted APAN Sustainability Strategy paper in Year 3. After numerous revisions, the latest APAN's Operational Principles and Guidelines, the guiding document for the network, was circulated with an additional set of comments from one of the funding partners at its Steering Committee meeting held on October 2, 2014 during APAN's 4<sup>th</sup> Asia-Pacific Climate Change Adaptation Forum held in Kuala Lumpur, Malaysia. The discussion reaffirmed the importance of fostering larger partnerships and called for further clarifying the geographical coverage of the Network, members of the Network, partners' roles, and APAN's decision-making process.

In Q4 FY14, USAID Adapt Asia-Pacific's Online Gender Sourcebook was published on the APAN web portal. This is a key knowledge product as well as an outreach and communication tool that will be managed through the APAN web portal and therefore will contribute to APAN's long-term knowledge management and sustainability. This arrangement will also allow such a knowledge product to be utilized beyond USAID Adapt Asia-Pacific's project period.

In Q4 FY14, the team is in ongoing discussion with the Institute of Development Studies' Eldis program – a leading online international development information service provider – to formalize collaboration to share relevant climate change adaptation content, including on climate financing, between the APAN web portal and the Eldis website. This collaboration includes harmonizing search terms using a common set of vocabulary, developing user stories, and being involved in IDS's Global Open Knowledge Hub that aims to improve the supply and accessibility of key content to policymakers. A draft Memorandum of Understanding (MOU) has been circulated to the APAN Steering Committee Chair and Co-Chair for comments as well as to IDS to request for their organization's signatory in the MOU.

### **Integrated Knowledge Management Platform for APAN-Adapt Asia-Pacific**

This task focuses on maintaining the USAID Adapt Asia-Pacific website to promote and communicate project activities and achievements. Activities included posting USAID Adapt Asia-Pacific knowledge products, sharing related climate finance information from the APAN web portal to the USAID Adapt Asia-Pacific's website (and vice versa), and updating the USAID Adapt Asia-Pacific's website and APAN web portal with the latest climate change adaptation finance and project preparation news, events and other items. The activities contribute to increasing knowledge management for climate change adaptation in the region.

In continuing the project's support to the APAN Web Portal Upgrade Plan, in Q4 FY14, a new APAN forum microsite was launched in July 2014 to better engage APAN forum participants and facilitate the registration process. Other improvement plans including improving the interface and listing of APAN news and events, strengthening the Adaptation Technologies and other databases to accommodate new data sets, and refining the Community page to reflect the current directions for Community of Practice activities that focus on time-bound events – such as live chat sessions and email-based discussions – are currently being implemented. The annual online survey to gather feedback from users is being conducted and will close at the end of October.

Both the USAID Adapt Asia-Pacific website and the APAN website continue to draw a significant number of unique visitors and pageviews, as shown below in the tables.

USAID Adapt Asia-Pacific ( <a href="http://www.adaptasiapacific.org">www.adaptasiapacific.org</a> )			
Period	Visits	Unique Visitors	Pageviews
Q4FY12	2,725	1,804	6,989
Q1FY13	1,505	961	3,737
Q2FY13	1,892	1,296	4,941
Q3FY13	4,018	2,613	10,510
Q4FY13 (FY14 baseline)	3,272	2,226	8,262
Q1FY14	1,864	1,377	4,558
Q2FY14	2,177	1,643	5,161
Q3FY14	2,674	1,992	5,635
Q4FY14	3,389	2,205	8,074

APAN ( <a href="http://www.asiapacificadapt.net">www.asiapacificadapt.net</a> )			
Period	Visits	Unique Visitors	Pageviews
Q2FY13	7,185	4,585	26,542
Q3FY13	9,224	6,772	24,670
Q4FY13 (FY14 baseline)	9,838	7,156	25,325
Q1FY14	7,798	5,854	21,177
Q2FY14	7,138	5,718	17,243
Q3FY14	7,533	5,918	17,699
Q4FY14 – Main site	9,744	6,817	32,952
Q4FY14 – 4 <sup>th</sup> Adaptation Forum microsite	7,924	4,374	20,369

### Online Sourcebook on Gender Considerations in Climate Change Adaptation Projects

In Q4 FY14, the USAID Adapt Asia-Pacific Gender Sourcebook was developed into a user-friendly online web format. The Sourcebook is currently being managed and hosted by APAN on its web portal for greater sustainability, beyond the USAID Adapt Asia-Pacific project. The team is conducting final quality assessment checks on the online Sourcebook. Early indications are that people are finding the sourcebook useful, based on limited feedback from reviewers of the hardcopy version. A section of the sourcebook allows users to report back on their experience using the sourcebook so that regular updates can be done. Publicity material (bookmark) highlighting the Sourcebook was designed and distributed at the USAID Adapt Asia-Pacific Annual Forum in Siem Reap, Cambodia, serving as a soft launch. The Sourcebook is slated to be officially launched in November 2014 at the Foreign Correspondents' Club of Thailand in collaboration with RDMA. The Sourcebook is accessible via this link: <http://asiapacificadapt.net/gender-sourcebook/>

A number of other knowledge products were completed in FY14Q4, as per the workplan. The table below outlines the number of products including articles, newsletters, CoP summaries and fact-sheets that have been produced in FY14.

USAID Adapt Asia-Pacific Knowledge Products	
Period	Number of knowledge products (articles, newsletter, CoP summaries, fact sheet, etc.)
FY13 (total)	20
Q1FY14	5
Q2FY14	4
Q3FY14	4
Q4FY14	5

### Community of Practice for USAID Adapt Asia-Pacific

This task focuses on piloting and strengthening the communities of practice of USAID Asia-Pacific and APAN stakeholders. The community of practice enables government officials and key practitioners in target countries to interact with experts and with each other to gain knowledge in an online space.

The 5<sup>th</sup> Exchange Series on Climate Change Adaptation (email-based discussion) was conducted from 29 Aug to 13 Sep 2014 focusing on “Strengthening Country Systems to Access and Manage Climate Finance”, which was the theme of the USAID Adapt Asia-Pacific Third Annual Forum. This Exchange was conducted to stimulate discussion and get initial responses from the Forum participants. This email-based discussion was launched and moderated by Task Four Team Leader and drew 18 contributions from around the Asia-Pacific region, including Bangladesh, Cambodia, India, Nepal, the Pakistan, Philippines, and Timor-Leste. Eleven of the contributions came from government officials who were attending the Forum. An e-discussion consolidated replies report was uploaded on the USAID Adapt Asia-Pacific website and accessible via this link: <http://adaptasiapacific.org/library/5th-exchange-series-climate-financing-e-discussion-report>.

### TASK TWO: USAID ADAPT ASIA-PACIFIC ANNUAL FORUM

The Third Annual Forum was organized under Task two. The Forum built on further development in adaptation financing and project formulation in the region and lessons learned from two past annual forums. The general implementation approach included: re-engaging Asian counterparts, sharing case studies/good practices, and providing for interaction between development partners and country representatives through various breakout sessions.

## Summary of Key Accomplishments

The USAID Adapt Asia-Pacific Third Annual Forum was successfully held on 15-16 of September, 2014 in Siem Reap, Cambodia, in partnership with UNDP. The objectives were:

- Increase awareness and understanding among country participants of existing tools and good practices that can help to strengthen their country systems;
- Learn from what other governments have done and/or are in the process of doing to strengthen country systems, across different modalities, through an interactive exchange of best practices, lessons learnt and experiences; and
- Encourage peer learning and possible twinning partnerships among target countries, with development partners facilitating the process.

A total of 104 participants attended the Forum – comprising officials from 17 Asian government institutions from both USAID Adapt Asia-Pacific and UNDP target countries including: Afghanistan, Bangladesh, Bhutan, Cambodia, Lao PDR, India, Indonesia, Malaysia, Maldives, Mongolia, Nepal, Pakistan, the Philippines, Sri Lanka, Thailand, Timor Leste, and Vietnam. Officials from four Pacific Island Countries including Cook Islands, Republic of Marshall Islands, Samoa, and Vanuatu also participated at the Forum.

Representatives from eight development partner organizations and climate funds were in attendance including: 100 Resilient Cities, Adaptation Fund, GCF, ADB, GIZ, GCF, ICLEI, IFC and PIFS. Numerous resource persons from USAID and UNDP also attended the forum. USAID Adapt Asia-Pacific will keep the Forum participants engaged with the project by sharing knowledge products and inviting them to participate in the community of practice and other activities.

A post-Forum evaluation was conducted on Day 2 and the feedback from the participants on logistic arrangements and contents was positive. The details of the evaluation result are presented below (Annex 2).

The Forum Executive Summary has been drafted and finalized by USAID Adapt Asia-Pacific and UNDP. The Executive Summary has also been uploaded on USAID Adapt Asia-Pacific Forum website. The Final Report – that includes the full proceedings of the Forum, with background information, outcomes and recommendations, together with annexes containing the agenda, speaker profiles, list of participants and the event press release – is currently being developed and will be made available in November 2014.

The Forum Executive Summary and all presentation materials and photos are accessible on the USAID Adapt Asia-Pacific Third Annual Forum website: <http://adaptasiapacific.org/forum/2014-annual-forum>.

## TASK THREE: CLIMATE CHANGE ADAPTATION CAPACITY BUILDING PROGRAM

### Summary of Key Accomplishments

Work on all activities under Task Three made significant progress during Q4 of FY2014. The Government Training Support Program continued to exceed quarterly and annual targets with six more attendees supported and four additional candidates selected for the 1<sup>st</sup> quarter of FY2015. The project also continues its assistance to ONEP and made progress on the twinning arrangement between the NRCT and USFS/NCAR to conduct a model vulnerability assessment in Thailand for replication throughout the region. The Third Regional ECCA Training Workshop was delivered in Siem Reap, Cambodia, with representatives from 10 countries who are preparing reports to present to senior decision-makers from their home countries by June 2015. Regarding Pacific-CBA capacity building program, the first of seven three-day training courses in cost-benefit analysis was held in Fiji in Q4 of FY2014. The first five modules (of a seven-module set) on Urban Climate Change Adaptation and Resilience (UCCAR), being developed in collaboration with the University of Hawaii's East West Center, are in final revision now, and work continues on developing the final two modules on project preparation issues and accessing financing from

international CCAR funds. Work on the UCCAR course is expected to be completed in Q1 of FY2015.

### **Program for Capacity Building Support through Training Courses**

In Q4 of FY2014, USAID Adapt Asia-Pacific supported six government officials from six countries - Bangladesh, Indonesia, Nepal, Samoa, Sri Lanka and Vietnam to attend climate change adaptation training courses representing six different sectors: tourism, forestry, water and fisheries management, disaster preparedness in a changing climate, and natural resources and environment. In addition, USAID Adapt Asia-Pacific completed a report on 'Ex-post Assessment of USAID Adapt Asia-Pacific's Capacity-Building Training Events,' which was conducted for the purpose of ascertaining the level of 'impact' achieved six months to one year later. The report assessed the awareness and use of knowledge about climate adaptation, disaster risk management, and finance back in their home countries.

### **Assistance to Thailand's Office of Natural Resources and Environmental Policy and Planning (ONEP)**

USAID Adapt Asia-Pacific support for three long-term junior consultants, which finished during the reporting period, allowed ONEP to move forward on three key climate change adaptation programs: the Community-based Adaptation Project, the Ecosystem-based Impact Assessment Project, and the Regional Cooperation in Trans-boundary Adaptation to Climate Change Project. Support for these positions ended in September 2014, but two of the three continue to work with ONEP, including one who has been hired as full-time ONEP staff. ONEP continued to express interest in receiving support for preparation of the National Adaptation Plan and for acquiring National Implementing Entity status as agreed earlier, but action was put in abeyance following the coup d'etat.

### **Twinning Arrangements between the Royal Thai Government and the US Government**

Activities during the reporting period focused on preparing for the first visit from US Forest Service (USFS) staff to Thailand during the second half of October to assist the regional team in developing a model climate change vulnerability and adaptation assessment, which aims to guide similar undertakings in the future throughout Southeast Asia. A partnership agreement between the National Research Council of Thailand (NRCT) and the National Center for Atmospheric Research in Colorado was signed in Bangkok in August and will provide NRCT, Thai universities and other entities in Thailand with the opportunity for long-term capacity development.

### **Economics of Climate Change Adaptation Program**

The Third Regional Training Workshop was delivered in Siem Reap, Cambodia, during 17 to 20 September 2014, at which the country teams were provided hands-on training to clean and analyze their data and use the data to draw preliminary conclusions on how their findings can influence decision-making on CCA actions within the water resources and agriculture sectors. With continued support from the country mentors, the teams will now prepare reports to present to selected senior decision-makers from the region in June 2015.

### **Pacific-Cost Benefit Analysis (P-CBA) Initiative**

USAID Adapt Asia-Pacific's Regional Coordinator for the Pacific-CBA work prepared the training materials and delivered the three-day training course in Fiji, the first of seven such in-country trainings to be conducted over the next six months. The first country case study for Fiji was initiated as well, which will serve as one in a series of such case studies, for a "regional capacity-building" knowledge product. In addition, work has begun on integrating the materials developed into the University of the South Pacific's (USP) permanent curriculum with the hiring of a professor from USP for this purpose with funds obtained from the ADB by the Regional Coordinator.

### **Urban Climate Change Adaptation and Resilience (UCCAR) Course Development**

Work continued on developing the modules comprising the UCCAR course during Q4 of FY2014. The first five modules (of a seven-module set) on how to conduct Vulnerability and Resilience-building Assessments (VRAs) have now been internally reviewed with final revisions being made as work continues on developing the final two modules on project preparation issues and accessing financing from international CCAR funds. Work on the UCCAR course is expected to be

completed in the 1<sup>st</sup> quarter of FY2015, while different delivery modalities are considered and decided upon by the USAID Adapt Asia-Pacific project team.

### **DOF Accreditation Process in the Philippines**

USAID Adapt Asia-Pacific continues to advise Philippines' Department of Finance (DoF) in its response to comments received from the Adaptation Fund (AF) Accreditation Panel regarding DoF's application as a national implementing entity. DoF had the opportunity to meet with AF experts at a recent September AF meeting in Bangkok to discuss and clarify the latest set of comments regarding its application. The critical remaining AF comment pertains to strengthening DoF's internal audit/internal control capacity. Responses to the comments are currently under internal review by DoF management. AF requires DoF to demonstrate actual initiatives to address this finding. AF has given DoF until November to address these comments so that its revised application can be presented and deliberated at the next AF Accreditation Panel meeting in January 2015. The USAID Adapt Asia-Pacific team plans to meet with DoF in early November to take stock of DoF's intentions and take a decision on the appropriateness of further support.

### **Capacity Building Activities in Samoa (MNRE)**

USAID Adapt Asia Pacific engaged IPA Consultants of Samoa to support the Government of Samoa, Ministry of Natural Resources and Environment (MNRE), to build in-house capacity through an 'on-the-job' training of MNRE staff. The objective will be to build capacity in the identification, preparation and evaluation of climate change adaptation subprojects under the UNDP Adaptation Fund (AF) by applying appropriate climate change Vulnerability & Adaptation assessment tools (V&A). The project submitted a full set of guidelines for the identification and preparation of climate adaptation sub-projects and a final report for the assignment summarizing principal inputs, findings, conclusions, and recommendations, which were endorsed for use by MNRE. This assignment has been completed.

### **Women-only Community Forestry User Group's (CFUG) Demonstration Site in Nepal**

USAID Adapt Asia-Pacific continued its support to RECOFTC: The Center for People and Trees, which is the implementing partner and institutional home for the demonstration site and this activity. Following a field mission in late June 2014, this two-year activity was officially launched and has completed an initial vulnerability and adaptation assessment in the project area in order to identify and prioritize community forestry based adaptation options. Based on preliminary results, USAID Adapt Asia-Pacific and RECOFTC held a consultation workshop in Bangkok in late September 2014 to share details on the site, the V&A methodology and the options developed for feedback from a community of experts.

## **TASK FOUR: TECHNICAL ASSISTANCE IN PROJECT PREPARATION**

### **Summary of Key Accomplishments**

In Q4 of FY2014 USAID Adapt Asia-Pacific continued project preparation activities in Samoa, Timor Leste, Vanuatu, Cambodia, the Pacific region, Philippines, Lao PDR, Nepal, Indonesia, India, as well as on a range of projects and tools being funded through the Asian Development Bank (ADB). A key accomplishment in Q4 has been that the Indonesia Climate Change Trust Fund, with support from USAID Adapt Asia-Pacific, has emerged from UNDP oversight and is now a fully owned and operated government trust fund. ICCTF now operates with a national bank (Bank Mandiri) as its trustee and government funds available for project preparation and implementation as part of the national adaptation plan.

Another significant achievement in Q4 was that NABARD, with significant support from the project, submitted four of its projects for AF Board approval. Another example of success working with governments was the Government of Cambodia's Ministry of Rural Development adopted recommendations from USAID Adapt Asia-Pacific in the design and implementation of the latest batch of community ponds under the Second Rural Water Supply and Sanitation Project. As planned, the project preparation activities are shifting to working directly with

governments, however, as expected, such cooperation with governments are slower and more resource intensive than working with development partners.

### **Project Preparation Support to Samoa**

The “Economy-wide integration of climate change adaptation and DRM/DRR to reduce climate vulnerability of communities in Samoa” project involves supporting the Government of Samoa’s Ministry of Natural Resources and Environment (MNRE), in collaboration with UNDP, to take an economy-wide approach to the integration of climate change adaptation and disaster risk management/disaster risk reduction to reduce climate vulnerability of communities in Samoa. USAID Adapt Asia Pacific provided support in the preparation of the full GEF compliant project submission. The project submission is now awaiting endorsement from GEF for the implementation of the project through mobilizing sources of funding for climate change adaptation interventions.

### **Project Preparation Support to Timor Leste**

USAID Adapt Asia Pacific, in collaboration with UNDP, supported the government of Timor Leste to prepare a project document to access LDCF funding to protect critical economic infrastructure from climate induced natural hazards (flooding, landslides, wind damage) through better policies and to strengthen local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor. USAID Adapt Asia Pacific supported the preparation of the full GEF compliant project submission. The project has now received endorsement from GEF for the implementation of the project through mobilizing sources of funding for climate change adaptation interventions.

### **Project Preparation Support to Vanuatu**

The Adaptation to Climate Change in the Coastal Zone in Vanuatu project focused on the coastal zone of several of Vanuatu’s islands. At selected sites, projects were developed to demonstrate how the coastal zone environment and communities can be protected from climate-related threats through climate resilient integrated community approaches. USAID Adapt Asia Pacific assisted the Government of Vanuatu, in collaboration with UNDP, to prepare a full UNDP/GEF compliant project in support of the UNDP Project Preparation Grant (PPG) team. The project submission has received endorsement from GEF for the implementation of the project through mobilizing sources of funding for climate change adaptation interventions.

### **Development of Guidelines on Climate Proofing Community Ponds in Cambodia**

USAID Adapt Asia-Pacific continued its support to the Royal Government of Cambodia, Ministry of Rural Development (MRD) and Asian Development Bank (ADB) study of climate change impacts on rural community ponds under the Second Rural Water Supply and Sanitation Sector Project 2 (RWSSP2). USAID Adapt Asia-Pacific recommended a number of appropriate adaptation measures to be applied in future community pond construction. Subsequently, the guidelines have been used in the design of suitable groundcover to protect approximately 11 pond sites. The guidelines are provided for use by government counterparts and communities as a tool to design and implement climate adaptation measures for future pond construction. These tools can be replicated and utilized on many similar community pond constructions in the region.

### **Project Preparation Support to Cambodia (UNDP)**

During Q4, USAID Adapt Asia-Pacific’s continued technical support to the Royal Cambodian Government and UNDP, providing gender and social inclusion expertise on the preparation of the “*Strengthening the resilience of Cambodian rural livelihoods and subnational government systems to climate risks and variability*” project to be funded by GEF. Through desk research, consultation and field visits, the USAID Adapt Asia-Pacific’s national gender specialist worked with the PPG team, recommending gender-responsive climate change adaptation options to incorporate into the project document. Among other things, the project design includes a portion of the budget dedicated towards working with vulnerable, landless women on developing climate

resilient livelihood activities, such as home gardening. The project preparation team is planning to have a draft of the Project Document finalized by November 2015, and the final document submitted to GEF in early 2015.

### **Integrating Community-Based Climate Change Adaptation in the Ridge to Reef (R2R) Program Project Identification Form (PIF) with 14 Pacific Small Island Developing States (PacSIDS)**

USAID Adapt Asia Pacific is supporting UNDP and 14 PacSIDS prepare the Project Information Form (PIF) by incorporating new innovative CCA activities in Intergraded Coastal Management (ICM) and Integrated Water Resource Management (IWRM) demonstration areas of the 14 PacSIDS. It is anticipated that GEF SCCF resources will be accessed to finance the inclusion of CCA activities at the selected PacSIDS pilot sites. The first draft PIF has been circulated for comment by all project stakeholders. This project activity is still ongoing.

### **Project Feasibility Study (PFS) for the City of Valenzuela – CDIA**

Cities Development Initiatives for Asia (CDIA) and USAID Adapt Asia Pacific have commenced collaborating with the City Government of Valenzuela (VC) and the Philippines Government in conducting a prefeasibility study (PFS) of the city of Valenzuela with the aim of reducing the adverse economic, social, and environmental impacts of flooding in the most affected areas of the city. The launch of the project commenced on 8 September 2014 with a “Kickoff Meeting” held at the Valenzuela City Office and attended by USAID Adapt Asia Pacific Senior Project Preparation Specialist, the Director, USAID/Philippines Office of Environment, Energy and Climate Change and the USAID/Philippines Urban Planning Specialist. The CDIA consulting team has started its initial activities in line with the activity’s scope of work. The inception meeting is scheduled for 3<sup>rd</sup> October.

### **Lao PDR - MoNRE Technical Assistance Support**

The project received no further word from the Lao PDR Government during Q4 regarding the proposed follow-up meeting to the one held this past May with the USAID Adapt Asia-Pacific and Mekong ARCC projects to map the way forward for a program of technical support.

### **Project Preparation Support to ICCTF**

The Indonesia Climate Change Trust Fund (ICCTF) has now transitioned to a fully government controlled trust fund, in part due to assistance provided by USAID Adapt Asia-Pacific. Project funding is now coming through the government budget (plus other possible donors) and ICCTF will have a key role in implementing the recently launched National Climate Change Adaptation Action Plan (RAN-API). USAID Adapt Asia-Pacific will re-engage with ICCTF in the FY15 and establish possible further project preparation assistance after discussion with the new CEO and BAPPENAS.

### **Supporting National Bank for Agriculture and Rural Development (NABARD), India**

USAID Adapt Asia-Pacific’s two consultants continue to support India’s National Bank for Agriculture and Rural Development (NABARD) build its capacity to properly identify and prepare climate change adaptation projects to access the US\$10 million allocated under its July 2012 accreditation as a national implementing entity (NIE) with the UNFCCC Adaptation Fund (AF). During the last reporting period, the project assisted NABARD and its Executing Entities (EEs) prepare and revise four EE-prepared project proposals that were submitted to the AF at the end of July for review at the October AF Board meeting. NABARD received comments from the AF Accreditation Panel on the four projects at the end of August, to which USAID Adapt Asia-Pacific supported NABARD in responding. As of the end of the reporting period, AF’s website has posted that two of the four submitted project proposals have “successfully addressed all clarification requests” and have been forwarded for Board review and hopefully approval at the October 9-10 meeting. The two Accreditation Panel-approved projects total US\$3.1 million of the total US\$10 million allocated to NABARD. Further, to institutionalize its technical support to NABARD, USAID Adapt Asia-Pacific’s two consultants are developing three tools to strengthen NABARD’s project identification and preparation capacity, including: (i) a checklist for the short-listing of EE project concepts submitted to NABARD; (ii) a guide for NABARD to appraise EE

project proposals submitted for AF financing; and (iii) a vulnerability assessment (VA) methodology for the identification and prioritization of climate change adaptation project options for subsequent preparation of project proposals.

### **Climate Change Adaptation Partnership with ICLEI - India**

The USAID Adapt Asia-Pacific/ICLEI/CDIA's first round of visits to the three Indian cities of Shimla, Bhubaneswar and Mysore was reported on in the previous quarterly report. The purpose of these visits was to introduce the City Development Initiative for Asia (CDIA) City Infrastructure Investments Prioritization and Programming (CIIPP) tool, identify priority climate resilient projects, and collect financial data on the three municipal corporations. Based on the output of these initial visits, ICLEI - South Asia prepared a short-list of potential climate resilient infrastructure projects for the three cities that could be considered for the proposed CIIPP stakeholder workshops.

Based on the project short-lists, a second round of visits was made to Bhubaneswar (August 4-5) and Mysore (August 19-21) to validate and discuss the suitability of these climate change adaptation interventions with city and state officials for possible inclusion in the CIIPP workshop. In Bhubaneswar, several interventions in the areas of water supply, sewerage, solid waste management, and low-cost housing were discussed. Based on the discussions, ICLEI will prepare one-page project summary sheets for presentation to the Bhubaneswar city corporation and Odisha state government. During the Mysore visit, the four previously identified adaptation projects in the areas of solid waste management, non-motorized transport, stormwater drainage, and promotion of renewable energy were discussed with city officials. Since the focus of the present activity is climate change adaptation, the stormwater drainage project appears to have the greatest potential to access climate financing. This option was explained to Mysore corporation and Mysore Development Authority officials. Based on the discussions in the three cities and the information on potential projects that was collected and analyzed, the following way forward is under consideration by the activity partners:

- **Bhubaneswar & Shimla** – organize and conduct climate resilient CIIPP workshops on the basis of the latest version of the CDIA CIIPP tool and project summary sheets to: prioritize projects identified by city and state officials, increase capacity in the project prioritization process, and identify potential downstream sources of financing.
- **Mysore** – organize and conduct a stakeholder workshop, which would include representatives from the Mysore Urban Development Authority (MUDA), to discuss and vet the integrated stormwater drainage project; the stakeholder workshop envisages building in preparation of the application for CDIA support for the prefeasibility study (PFS), identification of entry points for development of the ToR for the PFS with timelines (e.g. consensus on the kinds of expertise required, critical areas that need to be covered in the PFS, and validation of the observations and recommendations covered in the latest visit's Trip Report), and initial identification of potential sources of downstream financing.

### **Using ADB's Climate Screening Tools for Investment Projects**

In response to recent Board of Director instructions, all Asian Development Bank (ADB) investment projects submitted to the Board for approval must now have passed through a climate screening process and demonstrate that climate change has been considered adequately in the project design. USAID Adapt Asia-Pacific approved a senior consultant to assist ADB to prepare projects of interest to the USAID Adapt Asia-Pacific project. Among other things, the consultant has conducted the following activities:

- (i) Reviewed and commented on draft paper "*A Mechanism for Assessment of Climate Change Risks and Identification of Adaptation Options for of PARD Projects and Programs*", plus a short guidance note for PARD on considerations for climate risk screening and risk management for PARD projects.
- (ii) Initiated climate change adaptation-relevant sections of the draft Country Partnership Strategy for Timor Leste, beginning with the Environment Assessment. This work will extend to include other climate-sensitive sectors including transport and energy.

## TASK FIVE: OVERARCHING PROGRAM MANAGEMENT AND COORDINATION

### Project Management and Monitoring

USAID Adapt Asia-Pacific team met with the USAID Mid-term Evaluation team on August 27, 2014, briefed the team on project activities, and provided additional documents following the evaluators' requests. During this quarter, USAID Adapt Asia-Pacific also started to compile information for the annual report for submission to USAID.

The project team continued to collect and review data from project activities to track the progress in achieving project performance indicators. Data collected is stored in the One Source online PMP tracking system for further updating and reporting.

### Communication and Outreach

The 8<sup>th</sup> issue of the USAID Adapt Asia-Pacific e-newsletter was published in August 2014. It included articles on (i) the theme of the USAID Adapt Asia-Pacific Third Annual Forum, organized in partnership with UNDP; (ii) USAID Adapt Asia-Pacific's support on community forestry, gender and climate change adaptation in Nepal; and (iii) the outcomes of the 4<sup>th</sup> email-based CoP activity (the Exchange Series on Climate Change Adaptation) on "Bringing Realistic Adaptation Financing into the NAP Process."

The 8<sup>th</sup> issue of the USAID Adapt Asia-Pacific e-newsletter is accessible via this link: <http://www.icontact-archive.com/MTSxZdk2o5fRRyZmmDAR0mONlkdFWszm?w=3>

---

## 2.2 IMPLEMENTATION CHALLENGES

### Annual Forum Organization

- On logistics: The uncertainties with the political situation in Thailand as the original venue led to changes in various aspects of the event arrangements, including the necessary revisions in the budget. With the venue changed, the communication on the requirements on various logistical arrangements also took time to be established.
- Nomination of Participants: The different systems in getting nominations from various USAID missions as well as UNDP and the timeframe set in gathering all the names of prospective participants.

## 3. PLANNED ACTIVITIES FOR NEXT QUARTER

In the first quarter of performance in FY15, USAID Adapt Asia-Pacific will focus on activity implementation under all tasks per the third year Work Plan. Key performance objectives for the quarter are as follows:

- Identify key actions that can be taken in Year 4
- Develop plans for improving both USAID Adapt Asia-Pacific and APAN websites and possible actions to further integrate these two, including upgrading the APAN web portal
- Continue Exchange Series and publish one CoP report on incorporating gender consideration into climate change adaptation project proposals
- Identify other CoP activities in communication with Task 3 and 4 team members
- Develop and identify possible knowledge products to be produced in Year 4 in communication with Task 3 and 4 team members and publish one product
- Continue quarterly newsletter and publish one edition
- Finalize budget for 4<sup>th</sup> USAID Adapt Asia Pacific Annual Forum
- Develop a more systematic logistics workflow for 4<sup>th</sup> Annual Forum based on the nomination process of USAID missions
- Continue to explore assistance to ONEP for NAP preparation and an assessment of readiness for National Implementation Entity status if current conditions allow. Continued support for training will be on a demand basis.

- The first USFS visit to Thailand will take place during the second half of October. At their departure, USFS staff together with the regional team is expected to have defined an agreed assessment methodology and prepared a work program through December 2015.
- Under ECCA, mentor support will be provided to the country teams as they finalize their data assessments and begin preparing reports. It is expected that the first reports will come from Thailand and/or Bangladesh and serve as templates for reports from the other country teams.
- A formal launch of the Gender Sourcebook will be done in Bangkok in November
- Support participation of the selected government officials from Asia in climate change adaptation-related training courses under the Government Officials Training Support Program
- Two CBA training courses are planned to take place in the 1<sup>st</sup> quarter of FY2015 in November 2014 in Samoa and Vanuatu
- Finalize the UCCAR course materials and explore identification of an institution partner to act as a delivery mechanism for these materials and sustain their dissemination in the region
- Continue working with the Women's Only CFUG and the District Forestry Office through RECOFTC: The Center for People and Trees to refine and finalize the participatory vulnerability and adaptation assessment, followed by the identification and ranking of adaptation options
- Continue to support DoF achieve AF accreditation
- Explore supporting ICCTF to identify projects for preparation especially to implement the national adaptation plan (RAN-API)
- Continue support to ICLEI in carrying out identification and prioritization of urban climate resilience projects in Indian cities of Bhubaneswar, Shimla and Mysore, with emphasis on a likely urban drainage and climate change project in Mysore
- Continue support to NABARD, India, in the development of a vulnerability assessment tool and the preparation of climate adaptation projects for the Adaptation Fund
- Provide support to CDIA in Valenzuela City, Metro Manila on preparing a pre-feasibility study of a flood risk management project
- Carry out contracting of two specialists to provide TA support for a UNDP mangrove protection project in Timor Leste
- Review the climate screening support to selected countries provided through ADB, results achieved, and decide on possible extension of the USAID Adapt Asia-Pacific support
- Revisit the Pacific operations with possible support to Pacific Islands Forum Secretariat and the Regional Technical Support Mechanism
- Prepare annual and quarterly reports
- Continue collection of data for PPR report
- Prepare 2015 Work Plan and Performance Management Plan.