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

## Quarterly Report

Eighth Quarter – July 1 to September 30, 2013

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Contract Number: 086-C-11-00005

Activity Start Date and End Date: September 26, 2011 to September 26, 2016

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# 1. PROGRAM OVERVIEW/SUMMARY

<b>Program Name:</b>	Climate Change Project Preparation Facility for Asia and the Pacific (ADAPT Asia-Pacific)
<b>Activity Start Date And End Date:</b>	September 26, 2011-September 26, 2016
<b>Name of Prime Implementing Partner:</b>	AECOM International Development
<b>Contract Number:</b>	AID-486-C-11-00005
<b>Name of Subcontractors:</b>	Institute for Global Environmental Strategies, Kaizen Company, dTS
<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, 2013

## 1.1 Program Description/Introduction

The Asia-Pacific region is highly vulnerable to the impacts of climate change and related natural disasters due in part to the high concentration of people living in vulnerable coastal areas and river basins, and current climate variability. Many countries in the region already face flooding, drought, and intensifying storm events. Key economic sectors, especially in developing economies in the region, are also vulnerable to climate change. Globally, the financing needs for climate change adaptation in developing countries for 2010-2050 are estimated at USD 100 billion per year. In Cancun, Mexico in 2010, Parties to the United Nations Framework Convention on Climate Change agreed to provide new and additional “fast-start” financing amounting to 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 meeting this need.

To support achievement of REO’s Development Objective of *“Improved response to environmental challenges in Asia,”* RDMA awarded a technical support services contract to AECOM International Development (AECOM) to implement the USAID/Climate Change Adaptation Project Preparation Facility for Asia, which initially covered 13 countries in Asia. The geographic coverage of the project was later expanded to cover 14 Pacific Small Island Developing Countries. The title of the project was changed to “ADAPT Asia-Pacific” from “ADAPT Asia”. ADAPT Asia-Pacific addresses capacity and information needs of eligible governments in the Asia region and selected Pacific islands 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 ADAPT Asia-Pacific is to establish a fully functional and self-sustaining adaptation project preparation facility that will not only support preparation of specific projects, but also build the capacity of the region's governments to independently access climate adaptation funds. To establish a sustainable project preparation facility, ADAPT Asia-Pacific 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, ADAPT Asia-Pacific will promote regional networking, gender mainstreaming and other social equity issues.

## 1.2 Summary of Results through September 30, 2013

Standard Indicators	Baseline FY 2013	Annual Target	Frequency of Reporting	Q1 FY13	Q2 FY13	Q3 FY13	Q4 FY13	Annual Performance Achieved to the End of Reporting Period (%)	On Target Y/N
D.O.1 Number of stakeholders with adaptive capacity to cope with impacts of climate variability and change as a result of USG assistance		8	Quarterly	2	0	1	5	100%	Y
1.1 Person hours of training completed in climate change supported by USG assistance/Number of people trained in climate change		3,822	Quarterly	736	1,588	1,317	1,460	133%	Y
2.1 Number of climate change adaptation projects with facilitated access to finance		3	Semi-Annual	N/A	1	0	1	67%	N
2.2 Number of facilitated projects with a specific gender component		1	Semi-Annual	N/A	0	0	0	0%	N
2.3 Number of people benefiting from climate change adaptation project approved or in the pipeline as a result of USG assistance		29,000	Semi-Annual	N/A	10,000	0	48,000	200%	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		\$64 Million	Semi-Annual	N/A	\$58 Million	0	\$23 Million	127%	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		1	Semi-Annual	N/A	0	0	1	100%	Y
2.6 Amount of funds in U.S. dollars from non-USAID sources mobilized and applied to support project preparation facility objectives		\$200,000	Quarterly	\$15,470	\$67,713	122,407	21,856	114%	Y
3.1 Number of regional environmental platforms created or strengthened		1	Annually	N/A	N/A	N/A	1	100%	Y

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**

AECOM continued with development and implementation of various program initiatives at both regional and national level during the second quarter of FY13 project implementation. Key activity highlights and results are provided below by project task. Overall, the project progresses according to work plan.

#### **Task One: Knowledge Sharing Platform**

##### **Summary of Key Accomplishments**

Under Task 1, activities were implemented in three main areas: (1) Developing overarching knowledge management (KM) strategies; (2) Knowledge Management Platform; and (3) knowledge management through online Community of Practice (E-CoP). All components achieved scheduled tasks in the fourth quarter.

##### **KM Strategies Development and Key Action Implementation**

The revised Sustainability Strategy paper was submitted to the UNEP Regional Office for Asia Pacific (ROAP) that serves as the secretariat of APAN Steering Committee in July 2013. During this quarter, two actions were carried out from several recommended actions stipulated in the above strategy paper - the assessment of other adaptation-related networks in the region and revision of APAN's brochure to implement the proposed strategy.

A Comparative Analysis of Alternative Knowledge Management Platforms in Asia-Pacific was carried out to assess the different climate change adaptation knowledge management platforms existing in the Asia-Pacific region in order to inform possible alternatives for any required mid-course corrections to be considered for sustainable knowledge management for the ADAPT Asia-Pacific project during and after the project period. The paper describes each of the platforms, evaluates the advantages and disadvantages of each platform, as well as its potential contribution to the ADAPT Asia-Pacific project in terms of current needs and sustainability in the long run. APAN's key advantages over other networks and platforms are: (1) specialization in climate change adaptation under UNEP's Global Adaptation Network (GEN); (2) existence of strong support system in Bangkok (AIT; UNEP; IGES, SEI); and (3) access to countries through its nodal offices.

In following up the APAN Branding and Outreach Strategy proposed in the previous quarter, an updated and redesigned APAN brochure was drafted and is being finalized. In the new version, APAN's mission statement is refined and a new tagline is introduced to provide a descriptor that enables the audience to immediately identify the APAN brand as the global preeminent climate adaptation network.

##### **Integrated KM Platform Website for APAN-ADAPT Asia-Pacific**

The APAN web portal continues to grow in terms of content and audience, albeit at a slightly slower pace than the previous quarters. Compared to the last quarter, the number of site visits went up 6.7% while the number of page views increased 2.7%. In this quarter, a conscious effort was made to increase the number of APAN's own publications and event proceedings on the web portal. The APAN web portal also continued to support ADAPT Asia-Pacific's activities by hosting the second live chat event for the UNDP/USAID Economics of Climate Change

Adaptation (ECCA) capacity building program. Key statistics are presented in Table 1. There are a total of 283 registered users on the platform since launch, and APAN's regular newsletter E-Communique is circulated to 5,115 subscribers.

Approximately 123 pieces of content were added to the APAN web portal during this quarter with the majority being knowledge products uploaded to the resource library and the rest being a combination of news and events. Two issues of E-Communique newsletters were created and uploaded during Q4 FY13. Some examples of the knowledge products uploaded are:

- Understanding Adaptation Planning: Selected Case Studies in Nepal, Philippines and Vietnam;
- Ecosystem-based Adaptation in the Pacific: An introduction to Natural Solutions for Resilience to Climate Change;
- Mainstreaming Climate Change Adaptation in the Pacific - A Practical Guide; and
- Policy Provisions and Local Responses on Climate Change Adaptation in Nepal.

**Table 1. Key statistics of knowledge platforms**

<b>www.adaptasiapacific.org</b>			
Period	Visits	Unique Visitors	Page Views
Q4 FY12 baseline	2,725	1,804	6,989
Q1 FY13	1,505	961	3,737
Q2 FY13	1,892	1,296	4,941
Q3 FY13	4,018	2,613	10,510
<b>Q4 FY13</b>	<b>3,272</b>	<b>2,226</b>	<b>8,262</b>

<b>www.asiapacificadapt.net</b>			
Period	Visits	Unique Visitors	Page Views
Q2 FY13	7,185	4,585	26,542
Q3 FY13	9,224	6,772	24,670
<b>Q4 FY13</b>	<b>9,838</b>	<b>7,156</b>	<b>25,325</b>

### **Knowledge Products on ADAPT Asia-Pacific Website**

Twenty-eight pieces of new content were added to ADAPT Asia-Pacific website during Q4 FY13, including the final proceedings report from the June 2013 ADAPT Asia-Pacific Second Annual Meeting in Nadi, Fiji, two summary reports from an ECCA live chat session and an e-discussion conducted with project Forum Alumni, an interview/CoP article on the Indonesia Climate Change Trust Fund (ICCTF), and four briefing notes from program activities listed below (a total of eight ADAPT Asia-Pacific knowledge products):

- Supporting National Climate Funds and Climate Public Expenditure and Institutional Review in Asia-Pacific;
- Support to ONEP/Thailand as Chair of the ASEAN Working Group on Climate Change;
- Building a Foundation for Evidence-based Climate Research Action in Thailand; and
- Capacity Building Program on Economics of Climate Change Adaptation.

An online survey was conducted in September 2013 to solicit feedback and opinions on the ADAPT Asia-Pacific website. The survey results will guide the next updating of the site, which is planned for in Q2 FY14.

### **Community of Practice for ADAPT Asia-Pacific**

A group emailing list for ADAPT Asia-Pacific's Second Annual Forum alumni was created on the email marketing software *iContact* to disseminate project updates. An E-CoP group was also created on the APAN web portal.

To maintain the engagement of ADAPT Asia-Pacific's Annual Meeting participants, a new facilitated knowledge exchange platform – "The Exchange Series on Climate Financing" – was launched on 11 September 2013 and timed with the release of the 2013 Pacific Islands Forum Leaders' Communiqué. The related e-discussion entitled "Majuro Declaration for Climate Leadership - A Climate Financing Perspective" drew emails from 15 members and actual contributions from six participants around Asia and the Pacific. A compilation of replies was consolidated and distributed to members and uploaded on the ADAPT/APAN websites.

An "Ask-the-Expert" Live Chat event was also held on 10 September 2013 in preparation for the upcoming ECCA capacity building workshop (30 September-4 October 2013). Fourteen participants from across three time zones, including Indonesia, Mongolia, Nepal, Sri Lanka, Thailand, Vietnam, and the United States (Yale University) logged into the chat to discuss the workshop structure and content, country teams' expectations, and the preparatory work and materials for the workshop. The live chat was moderated by UNDP-USAID Capacity Building Programme Coordinator and supported by IGES Regional Centre. A summary of the discussion was circulated to the participants and uploaded on the ADAPT/APAN websites.

An interview was conducted with an ADAPT Asia-Pacific project beneficiary, the Secretariat Manager of ICCTF. He shared the ICCTF's experience on how countries can better improve their access to climate finance. The interview was edited into an article/CoP knowledge product, which will be included in the October 2013 edition of the ADAPT Asia-Pacific newsletter and distributed to all stakeholders.

## **Task Two: ADAPT Asia-Pacific Annual Forum**

### **Summary of Key Accomplishments**

As already reported in the previous quarterly report, the ADAPT Asia-Pacific 2nd Annual Meeting was held on 3-4 June 2013 in Nadi, Fiji, in close collaboration with the Pacific Islands Forum Secretariat (PIFS) and Secretariat of the Pacific Regional Environment Programme (SPREP). Earlier during this quarter, the Forum Proceedings were finalized, uploaded to the website, circulated among Forum participants, printed and distributed to key stakeholders. All the Forum-related materials, including presentations and photos, are also made available on the ADAPT Asia-Pacific website (<http://adaptasiapacific.org/forum/2013-annual-meeting>).

## **Task Three: Climate Change Adaptation Capacity Building Program**

### **Summary of Key Accomplishments**

**Support to existing capacity building programs and institutions.** ADAPT Asia-Pacific: (i) supported four government officials from three eligible countries to participate in existing high quality training courses that advanced the officials' knowledge in their respective areas of

responsibility; (ii) partnered with training arms of The Energy and Resources Institute (TERI) and the Basque Centre for Climate Change to design and deliver a five-day training course on accessing climate change finance to Indian civil servants, including those responsible for locating financing for new state climate change plans; and (iii) partnered with the Climate Action Network of South Asia (CANSAs), the Asia Pacific Adaptation Network (APAN), and the USAID RDMA Low Emissions Asian Development Program (LEAD) to design and deliver a regional workshop on options for innovative climate finance for South Asia.

**Direct technical support to government institutions.** ADAPT Asia-Pacific: (i) agreed to a plan with Thailand's Office of Natural Resource and Environmental Policy and Planning (ONEP) for areas of cooperation in FY14, provided continuing support through input from three long-term consultants to support community engagement, research and communication work of ONEP's climate change adaptation section, all ultimately with the purpose of facilitating Thailand's access to climate finance, and participated in Thailand's first Climate Change Adaptation Expo organized by ONEP and the Ministry; (ii) worked with the National Research Council of Thailand (NRCT) to formulate draft proposals for twinning arrangements between the Governments of Thailand and United States; and (iii) arranged for a visit by the National Center for Atmospheric Research (NCAR) to Thailand, which is expected to result in a formal partnership between NCAR and NRCT.

**Developing new capacity building programs.** ADAPT Asia-Pacific: (i) partnered with UNDP, Asian Development Bank (ADB) and Yale University in continuing support to 11 countries on building their capacity for economic analysis of climate change adaptation, including the design and delivery of a 2nd regional training workshop with the ECCA program; and (ii) reviewed and provided comments on the East-West Center's three reports on developing an urban climate change adaptation course.

**Tools, guidelines, methodologies:** ADAPT Asia-Pacific: (i) completed contracting for preparation of a sourcebook on gender considerations in climate change adaptation projects, and work has begun under project guidance; and (ii) collaborated with UNDP in completing a toolkit for practitioners on economics of climate change adaptation.

## **1. Support to Existing Capacity Building Programs and Institutions**

**Program for Capacity Building Support through Training Courses:** ADAPT Asia-Pacific supported four government officials from Bangladesh (2), Indonesia (1) and Vietnam (1) to participate in two training courses: "Adaptation Academy Foundation Course", held in Oxford, England during August 12-30, 2013, and "Community Forestry for Adaptation to Climate Change", held in Chiang Mai, Thailand during August 19-24, 2013. These officials represented key departments and agencies from their respective countries, including Bangladesh's Planning Commission and Department of Environment, Indonesia's Land and Forest Rehabilitation Division of the Forestry Service, and Vietnam's Ministry of Agriculture and Rural Development. In addition to incrementally building their capacity, these strategically important institutions from a climate change perspective offer ADAPT Asia-Pacific excellent entry points for development of future capacity building and project preparation activities. In addition, ADAPT Asia-Pacific supported three ONEP staff to participate in UNITAR on-line courses. The selection committee identified an additional five government staff from three countries to receive support during the coming quarter.

**Joint Capacity Building Activities with TERI:** ADAPT Asia-Pacific partnered with the India's Energy and Resources Institute (TERI) and the Basque Centre for Climate Change (BC3) to



deliver a 5-day (22-26 July) training workshop for Indian civil servants on accessing climate change finance. The course covered in sequence over the five days an overview of climate change finance, considerations in accessing finance, and institutional arrangements at national and sub-national levels, including the role of the private sector, and practical examples and case studies. The 22 participants included mid- and senior-level officials from climate change-associated offices and planning and finance ministries from both the federal government and state governments. Importantly, several of the officials are responsible for implementation of state climate change strategies that recently have or soon will be under implementation and will require new sources of finance. The TERI Director General, chairperson of the Intergovernmental Panel on Climate Change (IPCC), in which position he received the Nobel Peace Prize in 2007, addressed the trainees and participated in a question and answer session. The course assessments done by the participants were very positive, and based on the reaction of the trainees, TERI plans to offer the course to Indian civil servants once again in

**Workshop on Climate Change Finance in South Asia with the Climate Action Network of South Asia (CANSAs):** ADAPT Asia-Pacific worked with CANSAs, APAN, and the USAID RDMA LEAD project, which joined at ADAPT Asia-Pacific's request to cover climate change mitigation aspects, to design and deliver a Regional Workshop on Options for an Innovative Climate Finance Regime for South Asia, 19-20 August 2013 in New Delhi. The workshop consisted primarily of seven interactive sessions covering topics such as the overall state of play in climate finance, estimated climate change costs, climate finance challenges for adaptation in South Asia, generating climate finance for South Asia, mapping governance challenges, and knowledge gaps and how to address them. The project provided extensive input to the workshop design, provided a speaker on adaptation, chaired one of the sessions, and led a breakout group that developed recommendations for increasing capacity to identify and access climate financing mechanisms. Interest in the workshop was illustrated by the fact that while 40 people were expected to attend, in actuality more than 70 people showed up to participate during the first day, and numbers remained high through the second day.

## **2. Direct Technical Support to Government Institutions**

**Assistance to ONEP:** A meeting was held to discuss possible future collaboration between ADAPT and ONEP for FY14. After the meeting, it was agreed that ONEP would: 1) set up a small working group to explore possible accreditation of a Thai agency to the Adaptation Fund as a National Implementing Entity (NIE), and ADAPT would consider assistance in this process, as required; 2) possible development of a proposal to the Special Climate Change Fund on preparing a National Adaptation Plan (NAP), in collaboration with UNDP; and 3) determine how ADAPT Asia-Pacific may offer short-term consultation assistance to ONEP's in-house capacity needs. Support was also provided through continuing input from three long-term consultants based in ONEP.

**Thailand Climate Change Adaptation Expo:** ADAPT Asia-Pacific participated in Thailand's first Climate Change Adaptation Expo held during 26-28 September in Bangkok. The project, working with two other USAID-supported projects – Mekong ARCC and Mekong-BRACE -- coordinated the design and establishment of a booth that showcased USAID's adaptation initiatives and good practice being implemented in Thailand and other countries in Asia and the Pacific region. At the Expo, the Royal Thai Government expressed their recognition of USAID's support to Thailand's adaptation activities by presenting a 'Friends of Thailand's Climate' award to RDMA Regional Environment Office Director, Mr. Alfred Nakatsuma.

**Twinning Arrangements between the Royal Thai Government and the US Government:** ADAPT Asia-Pacific worked with NRCT to formulate draft proposals for twinning arrangements between the two governments. One proposal would bring NRCT and the State of California, whose Climate Action Team is well known for its path-breaking work in climate change research, together to advance implementation of Thailand's new national climate change research strategy, which was supported by the project. The other proposal would partner a consortium of Thai government agencies with the US Forest Service or another appropriate agency to undertake a study of how management of a watershed comprising the Sirindhorn International Environmental Park in Petchaburi Province would account for climate change impacts, and using this as a template for future national and regional watershed management programs with the objective of leading to improved adaptation project development. Initial contact has been made with the concerned US agencies with support from RDMA.

**Visit from NCAR:** ADAPT Asia-Pacific arranged for a two-day visit to Bangkok from two NCAR staff members timed to coincide with the Economics of Climate Change Adaptation (ECCA) Program 2nd regional workshop. As a result of their visit, government staff from the 11 countries participating in ECCA gained a much clearer understanding of the scientific basis behind climate data and models, the strengths and weaknesses of these models in terms of how government officials may apply them in identifying climate scenarios and adaptation programs; and expectations for new data and modeling tools in the coming years. Meetings arranged by the project are expected to lead to partnership arrangements between NCAR and (i) the ECCA program in providing climate data and analysis to be used during the current program as well as in the design of an ECCA graduate course to be undertaken in 2014/2015; (ii) inputs to RDMA's regional activities; and (iii) an MOU with the National Research Council of Thailand to collaborate on climate change research activities.

### **3. Developing New Capacity Building Programs**

**Capacity Building Program on the Economics of Climate Change Adaptation:** Following the first regional ECCA training workshop (March 2013), the 11 pilot country teams were tasked with identifying project activities for cost-benefit analysis, as well as data collection for an identified country watershed to be used for hydro-economic modeling. These tasks were conducted over the past months under the guidance of mentors. A moderated live chat session was held in September and involved a question and answer session between country team representatives and project staff/mentors finalizing these tasks and preparing country teams for the second workshop. The 2nd regional training workshop (30 September-4 October) included instruction on theory and application of microeconomic analytic methods. While days 2-5 of the workshop focused on training, day 1, when the audience consisted of both the country team members and two senior government representatives from each participating country, focused on opportunities, methods, and challenges of mainstreaming climate change resilience in national planning and budgeting. The workshop also presented partnership opportunities to build upon the ECCA program in Asia, including facilitating country access to climate data through NCAR and expansion of the water sector work through the Global Water Partnership (GWP).

**Urban Climate Change Adaptation Course Development:** The East-West Center (EWC) produced three reports: (i) Developing a Course on Urban Climate Change Adaptation and Resilience Project; (ii) Urban Climate Change Adaptation Course Priorities; and (iii) Outline of Urban Climate Change Adaptation Course. These reports described: (i) the results of a survey of related ongoing activities; (ii) priorities for the ADAPT Asia-Pacific-assisted course based on an assessment of ongoing activities, institutions, and other factors; and (iii) a draft course

outline. Following the project's review of the reports, discussions were held with the EWC team, and the report describing the draft course outline was revised. Each of the reports aims to clearly define the parameters for an urban adaptation course that will be targeted to local government officials in the Asia and Pacific region. The three reports are aiding the project to define the course content and which government agencies/staff are best suited to receive such training to have the most influence in influencing climate change adaptation strategies/programs and projects at the local level.

#### **4. Tools, Guidelines, Methodologies**

**Preparation of a Sourcebook on Gender Considerations in Climate Change Adaptation Projects:** ADAPT Asia-Pacific is presently carrying out detailed literature reviews and development of case studies where gender has been clearly integrated into CCA projects. Interviews are also being undertaken with experts in this area. We continued to engage with potential partners and users of this sourcebook, including the Climate investment Funds, USAID, Asian Development Bank, and UN.

**Preparation of a Toolkit on the Economics of Climate Change Adaptation:** ADAPT Asia-Pacific supported preparation of a toolkit on the economics of climate change adaptation by the faculty of Yale University, UNDP's global head of climate change adaptation, and others. The toolkit will provide a valuable resource to the ongoing program on economics of climate change adaptation and follow on capacity building activities of ADAPT Asia-Pacific.

#### **Technical Assistance to Indonesia Climate Change Trust Fund**

To date, ADAPT Asia-Pacific has assisted ICCTF with development of a project selection and ranking system, improvements to its monitoring and evaluation system, and an initial foray into its fund raising strategy. The selection and ranking system was trialed at a recent workshop and stakeholders began the process of preparing projects for funding. Seven project proposals were examined during the June 2013 workshop and six of these are being pursued, with proposals being developed further with assistance of the ADAPT Asia-Pacific Team.

#### **Capacity Building Activities in the Philippines**

ADAPT Asia-Pacific assisted the Department of Finance (DoF) in examining its readiness for NIE accreditation with the Adaptation Fund (AF). The application for accreditation has now been submitted. The project, through the provision of the services of a national consultant, continues to support DoF with responding to the comments of the AF Accreditation Panel. Assuming that its application is successful, DoF will need to select one or more projects to submit to the Adaptation Fund Board. ADAPT Asia-Pacific has indicated its readiness to help in the selection and formulation of this project proposal.

#### **Supporting Samoa Trust Fund Work**

ADAPT Asia-Pacific's support to the Government of Samoa and the World Bank in designing a National Climate Change Adaptation Trust Fund is entering its final stage. As the last contribution to his consultancy to support Government in the design of the Trust Fund, the World Bank invited ADAPT Asia-Pacific's consultant to participate at the World Bank/Ministry of Finance (MoF) April 3, 2013 High Level Forum on Samoa's Response to Climate Change, where the consultant introduced and guided the discussion on the preparatory work toward establishment of a climate change trust fund. ADAPT Asia-Pacific's consultant made a presentation on the key recommendations surrounding the establishment of the trust fund that MoF and other key stakeholders need to consider moving forward. While this assignment is now

complete, ADAPT Asia-Pacific understands the World Bank and Government of Samoa will likely request ADAPT Asia-Pacific continued support in finalizing the design of the trust fund and in its subsequent operationalization.

#### **Task Four: Technical Assistance in Project Preparation**

##### **Summary of Key Accomplishments**

During this quarter, ADAPT Asia-Pacific successfully helped leverage US\$23.11 million in climate financing for Tonga under phase II of the Pilot Program for Climate Resilience (PPCR). The PPCR project will benefit approximately 48,000 of Tonga's population. The total number of people benefiting from ADAPT Asia-Pacific-assisted projects for this FY is 58,000, which includes 10,000 people from the GEF-approved project in Tuvalu (Effective and Responsive Island-level Governance to Secure and Diversity Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity). ADAPT Asia-Pacific continued to process a comprehensive portfolio of project preparation activities ranging from coastal zone management in rural areas to urban adaptation in densely populated cities. Increasingly, ADAPT Asia-Pacific is targeting working directly with governments as in Cambodia (rural water supply and sanitation), Indonesia (health, peat land management, agriculture and food security), India (with the first accredited NIE to the Adaptation Fund in Asia-Pacific), and the Philippines (with the Department of Finance seeking accreditation to the Adaptation Fund). Inevitably these direct engagements with governments take longer and require larger inputs than working through multilateral development institutions, but arguably have longer-lasting, sustainable impacts.

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

The UNDP Asia-Pacific Regional Centre in Bangkok and the UNDP Country Office in Samoa requested ADAPT Asia-Pacific collaboration in support of the Government of Samoa's Ministry of Natural Resources and Environment (MNRE) in the preparation of a GEF-financed LDCF project entitled 'Economy-wide integration of climate change adaptation and DRM/DRR to reduce climate vulnerability of communities in Samoa'. The envisaged economy-wide approach aims to integrate adaptation and DRR/DRM into national development planning and programming and to enhance the resilience of communities' physical assets and livelihoods across Samoa to climate change and natural disasters. UNDP and Government requested ADAPT Asia-Pacific support the project's Component 2, which aims to enhance resilience of communities as first responders of climate change-induced hazards. To address the requirements of this component ADAPT Asia-Pacific agreed to contribute two international specialists, a climate resilience infrastructure engineer and a gender specialist. MNRE and UNDP anticipate commencing project preparation activities with an Inception Workshop in early October. When approved by GEF, this LDCF project will access US\$12.3 million in adaptation financing and an additional US\$183.0 million in co-financing.

##### **Project Preparation Support to Samoa (World Bank)**

The final project team mission to Samoa was conducted during the week of 30 September 2013 to submit to the Samoan Government the final draft of the Project Appraisal Document (PAD) for the Pilot Program for Climate Resilience (PPCR): *Enhancing the Climate Resilience of Coastal Communities and Resources Project*. The PPCR's objective is to support coastal communities to become more resilient to climate variability and change. The proposed project will promote a broad "ecosystem based approach" (i.e. including ecological, physical, human and institutional interactions) that recognizes the importance of functioning ecosystems to enhance resilience of communities to climate-related impacts. To this end, the proposed project

will be funded with a grant of US\$9.6 million from the PPCR. Project Processing Timetable and next steps after the submission of the final draft PAD are as follows:

Project Negotiations:	October 24-25, 2013
Project Approval:	December 12, 2013
Project Effectiveness:	January 20, 2014

The ADAPT Asia Pacific consultants (i.e.: the international coastal management consultant and coastal engineer), as part of the project team, will be on standby should there be any amendments required to the PAD prior to receiving project approval.

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

ADAPT Asia-Pacific started providing technical assistance to the Government of Timor Leste in the preparation of a GEF-financed project titled “*Strengthening Community Resilience to Climate Induced Natural Disasters in the Dili to Ainaro Road Development Corridor*”. The project has three components: (i) enabling improved climate and disaster risk management; (ii) strengthened climate and disaster risk planning, budgeting and delivery; and (iii) investments in climate resilient community based adaptation measures. ADAPT Asia-Pacific’s technical assistance team, which is composed of an International Ecosystems Specialist and International Gender Specialist, conducted the first field mission in September to conduct initial field assessments and data collection for the preparation of the final Project Proposal Document. The team presented the results of the initial assessment with different stakeholders, especially government institutions, during the project preparation Inception Workshop organized on September 19, 2013 in Dili, Timor Leste. In addition to the technical team, Lee Baker, Chief of Party of the ADAPT Asia-Pacific project and a representative of the USAID/Timor Leste also participated in the Inception Workshop. The technical assistance is conducted in collaboration with the UNDP team. Once the project is approved by GEF, it will access around US\$5 million in GEF funding for the disaster risk management and climate change adaptation work in Timor Leste.

### **Project Preparation Support to Cambodia**

The ADAPT Asia-Pacific team comprising an international and three national consultants (the study team) has been engaged for the past six months assisting the Royal Government of Cambodia Ministry of Rural Development (MRD) in studying the impact of climate change on community water supply ponds at selected villages in Banteay Meanchey province under the MRD and Asian Development Bank (ADB) Second Rural Water Supply and Sanitation Sector Project 2 (RWSSP2). As a part of ADAPT Asia-Pacific’s support under RWSSP2 a dissemination workshop with stakeholders representing national and local government institutions and development partners is being planned by MRD to be held in Siem Reap on October 17, 2013. The participants will be informed about the climate change work that the Government is doing under RWSSP2 and will receive an update of the ADAPT Asia-Pacific study on community ponds. Government stakeholders will be given the opportunity to provide feedback on the study and identify potential adaption projects for investment under the remaining financing tranches of RWSSP2.

### **Project Preparation Support to Solomon Islands**

*The Solomon Islands Water Sector Adaptation Project* aims to reduce vulnerability to the adverse impacts of climate change, and to increase adaptive capacity to respond to the impacts of climate change, including variability, and to promote transfer and adoption of adaptation technology in seven selected sites spread across four island provinces.

ADAPT Asia-Pacific engaged the services of a national climate change technical expert as part of the Project Preparation Grant (PPG) team tasked to undertake site visits, consultations, climate change vulnerability and adaptation assessments and climate change adaptation designs of seven selected project sites, namely *Taro, Gizo, Santa Catalina, Tingoa, Manoaba, Taarutona, and the Reef islands*. The site visits have now been completed by the PPG team. Site visit assessment reports are under review and will be evaluated to contribute to the preparation of the final Project Document (ProDoc) for LDCF and Global Environmental Fund (GEF) approval. ProDoc consultation is scheduled for end-October 2013. The final Pro-Doc is planned for submission by the end of November 2013.

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

ADAPT Asia-Pacific has engaged three international and one national consultant team as part of the Project Preparation Grant Team (PPG) to assist the Government of Vanuatu in preparing a UNDP/GEF compliant full-size project document for the *Adaptation to Climate Change in the Coastal Zone in Vanuatu project*. The PPG team has completed the first mission of site visits, consultations, climate change vulnerability and adaptation assessments, and climate change adaptation designs of selected project sites, namely *South Santo, North Ambae and Central Pentecost*. The PPG team's second mission is planned for the islands of *Torres, Malekula and Aniwa*. Site assessment reports are now being reviewed and will be evaluated for the first mission. After the completion of the second mission, the final site assessment reports will be combined to contribute to the preparation of the final Project Document (ProDoc) for GEF approval. ProDoc consultation is scheduled for mid-November 2013. The final ProDoc is planned for submission by the end of November 2013.

### **EbA Work with UNEP and UN-HABITAT**

UNEP is undertaking a global flagship program on ecosystem-based urban adaptation (in conjunction with UN-HABITAT). In Asia, six cities have been identified for inclusion (Kathmandu, Davao, Manila, Colombo, Khulna, and Makassar). ADAPT Asia-Pacific was asked to mobilize economic experts to justify the EbA choices and to turn this information into viable project proposals. Initially, the focus was on Davao, Khulna and Kathmandu. One \$4.2 million GEF project in Kathmandu has emerged from the analysis and is now under preparation. This project will involve organic solid waste management and ecosystem restoration along the Bagmati River which runs through Kathmandu. A national consultant appointed by UNEP is now preparing the preliminary documentation for GEF funding. The project will be closely integrated with the ongoing US\$36 million Bagmati River Basin Improvement Project (BRBIP), financed by the ADB, which is designed to implement the government approved Bagmati Action Plan 2009–2014 to address the poor state of the upper Bagmati river basin.

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

ADAPT Asia-Pacific has been in discussion for the last six months with NABARD, Asia-Pacific's first national organization to achieve national implementing entity (NIE) status from the UNFCCC Adaptation Fund (AF). These discussions have centered on identifying potential areas of collaboration to assist NABARD successfully carry out its new mandate as an AF NIE. In late August, NABARD management called representatives from the Swiss Cooperation for Development (SDC), GIZ, KfW (the three of which have more than 20 years of experience in assisting NABARD), and ADAPT Asia-Pacific to its headquarters in Mumbai to identify specific roles of cooperation among the development partners to assist NABARD with implementing its NIE mandate. Following introductory remarks where NABARD officials laid out its needs for technical support and capacity building, ADAPT Asia-Pacific expressed its willingness to support development of methodologies for carrying out vulnerability assessments and for evaluating projects for financing in NABARD's core business areas of agriculture and natural

resource management. ADAPT Asia-Pacific subsequently developed and submitted for NABARD's consideration draft ToRs for these two activities. NABARD responded positively to these ToRs and requested further assistance for national Executing Agencies in the formulation of adaptation projects for funding. ADAPT Asia-Pacific will likely respond favorably to NABARD's latest request, but before taking further action, is awaiting the scheduling of a teleconference with USAID/India to further discuss this proposed program of technical support and secure its approval.

### **Climate Change Adaptation Work in Partnership with ICLEI-South Asia in India**

ICLEI - South Asia is a local government association, which aims to build and serve a regional network of local governments to achieve tangible improvements in regional and global sustainability through local initiatives. ADAPT Asia-Pacific has been in dialogue with ICLEI - South Asia, a resource partner on the project, for more than the last six months to identify possible areas of collaboration in line with ADAPT Asia-Pacific's mandate. These discussions zeroed in on the support ICLEI - South Asia has received from the Rockefeller Foundation to assist three cities in India (Bhubaneswar, Mysore and Shimla) to develop climate resilience strategies based on assessment of climate threats and anticipated impacts on vulnerable urban systems and social groups. In line with its mandate, ADAPT Asia-Pacific expressed interest in cooperating with ICLEI - South Asia to take these urban resilience strategies through the financing of specific climate change adaptation projects by: (i) identifying funding to implement specific adaptation projects for the three cities with resilience strategies; and (ii) conducting prefeasibility studies that would enable these cities to proceed to financing for particular investment opportunities. On the basis of this discussion, ADAPT Asia-Pacific and ICLEI - South Asia prepared a draft concept note and ToR for this potential area of collaboration. ADAPT Asia-Pacific subsequently brought the Manila-based Cities Development Initiative for Asia (CDIA) into the discussions for the purpose of employing its procedures to prepare projects in line with its requirements for financing. The three parties agreed to employ the ADB-supported CDIA tools and methodology for preparing prefeasibility studies (PFSs) for the three Indian cities. The agreed use of CDIA tools and methodology will provide ADAPT Asia-Pacific with greater assurance that the PFSs will be of suitable format and sufficient quality to meet CDIA's requirements for financing. Based on these discussions with ICLEI - South Asia and subject to agreement with USAID RDMA and USAID/India, it was proposed that a tripartite agreement be signed between ICLEI - South Asia/CDIA/ADAPT Asia-Pacific specifically for the three cities in India. When successfully completed, it is envisaged that this activity will contribute to project targets of: (i) projects with access to finance; (ii) people benefitting from a climate change adaptation project; and (iii) investment leveraged.

### **Private Sector Engagement Work**

As the needs of developing countries to undertake climate change adaptation become clearer it is increasingly obvious that external and domestic public funds will not be adequate. Therefore billions of dollars will need to be raised from the private sector. How this financing will be raised, in what form it can be provided, and how countries will access it remain areas of great uncertainty. In anticipation of future work in this area a desk study was undertaken to map out the landscape of private sector funding for adaptation and to identify potential entry points for ADAPT Asia-Pacific. . The study covered: (i) who is the private sector; (ii) what can the private sector do for climate finance; (iii) current initiatives and key actors; (iv) gaps ADAPT Asia-Pacific can address and associated risk; (v) target beneficiaries of ADAPT Asia-Pacific interventions; (vi) key partners – early movers/pioneers, stakeholders; (vii) framing – growth opportunity in resilience; and (viii) next steps. The proposed next steps included: (i) prioritizing **objectives and results** of engagement with the private sector; (ii) reaching out to **partners** of interest to identify

joint interventions, including key intermediaries; (iii) commissioning a **scoping assessment** to further explore niche areas for ADAPT; and (iv) hosting a **Roundtable** on Private Finance and Adaptation. Potential organizations that may be involved in a future private sector roundtable were also identified.

### **Screening of Mega-projects in Thailand**

Thailand is moving ahead with a very ambitious program of mega-projects and flood management projects, largely off-budget. These projects include major dams, fast rail, and other major infrastructure. The National Economic and Social Development Board (NESDB) reviewed these projects before approving them for government finance. ADAPT Asia-Pacific has therefore initiated discussions with NESDB on the possibility of screening these projects for climate change adaptation needs prior to their approval. The initial request from NESDB was to train its staff on the implications of climate-proofing mega-projects, but it is understood that this approach may not proceed under new rules governing USAID projects in Thailand.

### **Developing Adaptation Screening Tool**

ADAPT Asia-Pacific is planning to work with the Government of Timor Leste and ADB on developing a screening tool for ranking investment projects that have medium- to high-risk from climate change and may need adaptation interventions. As a part of this assignment, ADAPT Asia-Pacific will work with the Government of Timor Leste on applying the Climate Change Adaptation Screening Guidelines, in collaboration with the ADB, to a specific infrastructure project. This work has now been scoped out and will start in the next quarter.

## **Task Five: Overarching Program Management and Coordination**

### **Monitoring and Evaluation**

During this quarter, the ADAPT Asia-Pacific team continued to collect and review data from project activities to track the progress in achieving project performance indicators. Data collected are stored in the One Source online PMP tracking system for further updating and reporting.

### **Communication and Outreach**

The 4<sup>th</sup> issue of the ADAPT Asia-Pacific Newsletter was published in August that included articles on the outcomes of the Second Annual Meeting, details of the ADAPT Asia-Pacific-supported climate finance workshop in New Delhi, India, and regional perspective on climate financing from a project beneficiary in the Maldives. The 5<sup>th</sup> issue of the Newsletter is scheduled to be published in October 2013.

## **2.2 Implementation Challenges**

ADAPT Asia-Pacific encountered a few implementation challenges during the quarter, but in general, it is expected that the overall work plan will be accomplished as planned.

One of the key challenges is working directly with government institutions, which is likely to involve a new set of challenges compared to working with national governments through multilateral development institutions. More inputs of staff time and resources for often uncertain results, but potentially longer lasting and sustainable impacts, is the ground reality of the project going forward.

ADAPT Asia-Pacific was not able to achieve established targets under the Indicator #: 2.1. Number of climate change adaptation projects with facilitated access to finance (67%) and



Indicator # 2.2. Number of facilitated projects with a specific gender component (0%) by the end of FY13 due to the delay in the submission of the project proposals by the national government and development partner institutions to the funding agencies (in Samoa) and general difficulties in identifying and developing gender specific activities under the climate change adaptation projects. ADAPT Asia-Pacific is developing a special sourcebook on integrating gender into climate change adaptation projects and programs and has initiated several new project preparation activities in Vanuatu, Samoa, Cambodia and Timor Leste that will result in climate change adaptation projects with specific gender components.

## **2.3 Integration of Crosscutting Issues and USAID Forward Priorities**

### **2.3.1 Local Capacity Development**

Following the successful collaboration between ADAPT Asia-Pacific and TERI in the organization of a 5-day capacity building program on climate finance, TERI plans to continue the conducting course for Indian civil servants next year. The project also plans to explore facilitation of a partnership between TERI and The International Centre for Climate Change and Development (ICCCAD) in Bangladesh for development of a regional course on climate finance.

To ensure local ownership and sustainability of project-sponsored capacity building activities, the ADAPT Asia-Pacific team will continue to identify additional local universities and training centers to engage them in the organization of capacity building activities to be carried out by ADAPT Asia-Pacific. ADAPT Asia-Pacific will also continue exploring innovative strategies for cooperation that will include resource leveraging, twinning and ensuring overall program sustainability.

## **2.4 Management and Administrative Issues**

During this quarter, the ADAPT Asia-Pacific has started recruitment for a Regional Technical Coordinator to replace the current employee, who left the project in early September due to the transfer of her spouse. It is expected that the post can be filled during the next quarter.

Several short-term specialists have also been contracted to support project preparation work in the Pacific countries and Cambodia during this quarter.

## **3. PLANNED ACTIVITIES FOR NEXT QUARTER**

In the first quarter of performance in FY14, 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:

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- Publish and post online ADAPT Asia-Pacific knowledge products (newsletter articles, briefing notes, fact sheets, success stories, etc.)
- Publish and disseminate 5th E-newsletter
- Prepare CoP activity (e-discussion, live chat, etc.) summary report

- Prepare interview article on ADAPT Asia-Pacific-related topic from country/donor perspective
- Prepare ADAPT Asia-Pacific website upgrading plan
- MOU/arrangement between APAN and interested climate KM platform on content sharing
- Web updates on the ADAPT Asia-Pacific website/social media site and/or APAN web portal
- Draft concept paper for ADAPT Asia-Pacific 3rd Annual Forum
- Assist NRCT to identify counterpart agencies from the US, draft terms of reference for both proposed partnerships, and plan a visit to the US by Thai officials (subject to approval by RDMA)
- Begin discussions on the design of a graduate level training curriculum on economics of climate change adaptation
- Work with NCAR on identifying its possible input to the ECCA program in terms of data and modeling
- Work with UNDP, University of the South Pacific (USP), SPREP, and GIZ in undertaking stakeholder consultation and scoping of a program economic analysis of climate change adaptation in the Pacific, including support for two experts to work with USP in detailed design of the ECCA training program
- Provide support to four government staff from three countries under the project for capacity building support through training courses; screen and select another cadre of about 4-6 officials to be supported
- Provide support to ONEP on understanding the process required to assess the potential for gaining NIE accreditation
- Work with ONEP and UNDP in producing a proposal for preparation of a National Adaptation Plan for submission to the SCCF in 2014
- Continue support for consultants placed at ONEP
- Review and provide comments on the first draft report of the Sourcebook on Gender Considerations in Climate Change Adaptation Projects
- Undertake peer review of the draft course outline of Urban Climate Change Adaptation Course and finalization of the course design; commence production of course materials
- Continue technical assistance in project preparation to ICCTF in Indonesia
- Provide support to DoF of the Philippines with project preparation, once AF accreditation achieved
- Establish and maintain networks of course graduates for continued sharing of information
- Provide targeted technical assistance to help counterparts to prepare CCA projects for financing from climate funds
- Continue supporting CCA project preparation in the Solomon Islands, Vanuatu, Timor Leste, Samoa and Cambodia
- Commence climate financial assessment/climate finance tracking work in one or two of the Pacific countries (RMI/Nauru)
- Potential work with ICLEI - South Asia and the Cities Development Initiative Asia (CDIA), UNEP, and NABARD on urban adaptation project preparation
- Continue to explore possible provision of technical assistance to Thailand in screening mega-projects
- Support to ADB on preparing a bank-wide climate adaptation screening tool and testing it in Timor Leste
- Prepare quarterly and annual reports
- Continue collection of data for PPR report
- Prepare 2014 Performance Management Plan.