Climate Change Integration in USAID Activities

Findings from Desk Review and Interviews with USAID Staff and Implementing Partners

August 2017

CLIMATE CHANGE INTEGRATION SUPPORT ACTIVITY
TASK ORDER NO. AID-OAA-TO-15-00030

CLIMATE CHANGE INTEGRATION IN USAID ACTIVITIES

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ACRONYMS AND ABBREVIATIONS

ADS	Automated Directives System
AOR	Agreement Officer's Representative
BEO	Bureau Environmental Officer
BFS	Bureau of Food Security
CCIS	Climate Change Integration Support
CAS	Centers for Advanced Studies
CIL	Climate Integration Lead
COP	Chief of Party
COR	Contracting Officer's Representative
CDCS	Country Development Cooperation Strategy
CRM	climate risk management
CSA	climate-smart agriculture
DCOP	Deputy Chief of Party
FTF	Feed the Future
GCC	Global Climate Change
GCM	Global Circulation Model
GHG	greenhouse gas
IDIQ	Indefinite Delivery Indefinite Quantity Contract
IEE	Initial Environmental Examination
IPM	Integrated Pest Management
ISCRS	Integration Support for Climate Resilience Screening
MEO	Mission Environmental Officer
RFA	Request for Applications
RFP	Request for Proposals
SOW	Scope of Work
TDY	Temporary Duty
USAID	United States Agency for International Development

CONTENTS

EXECUTIVE SUMMARY

STUDY DESCRIPTION

This report presents findings from a desk review and interviews with USAID activity managers and implementing partners of activities funded by USAID solicitations/announcements that integrated climate change. The study was conducted for the Climate Change Integration Support (CCIS) Activity (Task Order No. AID-OAA-TO-15-00030). The purpose of the study was to understand how climate change considerations in USAID solicitations/announcements translate into activity implementation, and to determine what factors influence whether and to what extent integration occurs.

Climate change integration is one of three strategic objectives outlined in USAID's 2012-2016 Climate Change and Development Strategy. The objective reinforces the Agency's commitment "to strengthen development outcomes by integrating climate change in Agency programming, learning, policy dialogues and operations." In addition, USAID recently released guidance in Chapter 201 of the Agency's Automated Directives System (ADS) on the management of climate risks. Climate risk management (CRM) is a requirement for all new USAID strategies as of October 2015[1] and for all new projects/activities as of October 2016.[2]

The study addressed the following key research questions:

- In what ways did the activities address climate change? To what end? What led to these actions (i.e., what were the enabling factors)?

- Were there missed opportunities? What factors or barriers led to missed opportunities?

- To what extent and how did integration in a solicitation/announcement translate into implementation?

- What are examples of integration in the implemented activities?

Annex 1 provides the Statement of Work (SOW).

The study builds upon a 2015 USAID study of climate change integration in USAID solicitations/announcements without dedicated climate change funding.[3] The 2015 study scored Requests for Proposals (RFPs) and Requests for Applications (RFAs) from 2009, 2012 and 2014 on whether and how thoroughly they integrated climate change. Possible scores ranged from 0 (no integration) to 3 (thorough integration), with scores assigned at half-point intervals. The study found that 43 of 268 randomly-selected RFPs/RFAs integrated climate change to some extent. Subsequently, one with "minimal" integration and one with "thorough" integration were cancelled. Of the remaining 41

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[1] https://www.usaid.gov/ads/policy/200/201mat
[2] https://www.usaid.gov/ads/policy/200/201mal
[3] USAID. 2015. Integrating Climate Change into USAID Activities: An Analysis of Integration at the Solicitation Level.

RFPs/RFAs, 15 showed "minimal" integration, 17 showed "moderate" integration, and 9 showed "thorough" integration.

For the present study, we reviewed documents for 32 of the 41 activities funded by the RFPs/RFAs that integrated climate change according to USAID's 2015 analysis.[4] None of the activities received direct/focused climate change funding. The study's sample of activities encompasses a range of USAID regions and sectors. We also interviewed USAID activity managers and implementing partners of 16 of the 32 activities.

KEY FINDINGS

An important caveat to this analysis is that it was conducted on activities that were designed prior to the ADS 201 requirements on CRM. Key findings from the CCIS analysis include:

- There was no evidence of integration in over half of the activities in the sample (17 of 32), all of which were funded by RFPs/RFAs that integrated climate change "to some extent" according to USAID's 2015 study.

- There is often little specific guidance and requirements for offerors on climate change integration in solicitations/announcements and therefore few requirements for integration in awards/agreements. Specific requirements are needed to ensure climate change will be included in the activities themselves.

- When climate change is integrated in implementation, it is done to varying degrees and in a variety of ways, including through technical assistance and training; applied research; monitoring with climate change-related performance indicators; applied research, including pilots and demonstrations; knowledge sharing and awareness-raising; private sector engagement and job creation; capacity building; greenhouse gas (GHG) emissions reduction and other mitigation activities; and collaboration/coordination within USAID.

- Prior to the new ADS requirements, most often the inclusion of climate change was incidental to other objectives and without a clear climate focus.

- Integration is most prevalent in activities in the Agriculture and Food Security sector. USAID staff and implementing partners in other sectors sometimes have difficulty understanding how climate change may affect the success of their activity and the opportunities or co-benefits that may arise when addressing climate change.

- Integration is most successful when those involved, including Mission leadership, design teams and implementers, view climate change as integral to the success of their project/activity.

RECOMMENDATIONS

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[4] The 32 activities were the only ones with documents available for our review.

Results of the CCIS analysis lead us to the following recommendations to help facilitate climate change integration in USAID activities:

Guidance

- Leverage the new ADS 201 requirements for CRM to the extent possible and demonstrate their value for enhancing activity outcomes (e.g., in guidance documents, climate change resources, TDYs, and workshops/trainings and other venues).

- In guidance to USAID staff, emphasize the need to provide explicit climate change requirements for offerors in RFPs/RFAs and awards/announcements.

- Require offerors to track climate change-related performance indicators to ensure that the benefits and co-benefits of integration are quantified.

Resources

- Disseminate examples of integration to USAID staff and implementing partners, placing a priority on examples in sectors where integration remains limited. Use multiple distribution channels: e.g., guidance materials, Climatelinks, newsletters (e.g., Frontlines), success stories posted by Missions, environmental trainings/workshops.

- Include information on USAID's climate change resources in RFPs/RFAs and awards/announcements, and provide a link to the Climatelinks website.

- Continue the development of example language that can be used in RFPs/RFAs and awards/announcements, with examples from all major sectors in which USAID works. Include example language for climate change requirements for offerors.

Mission and Bureau/Office Leadership

- Consider asking climate integration leads (CILs) to spearhead efforts to encourage Mission and Bureau/Office leadership to promote climate change integration. Provide guidance/training to CILs on strategies and techniques to facilitate communication.

- Integrate messages about climate change integration and CRM in workshops and trainings for Mission and Bureau/Office leadership.

- Meet with CILs and MEOs/BEOs to identify other opportunities and mechanisms to encourage leadership to promote integration.

Training

- During relevant meetings/workshops/trainings in Washington and at missions, encourage USAID activity managers to hold climate-focused consultations with implementing partners during initial

work planning. Recommend including MEOs/BEOs, as well as outside technical experts, as appropriate.

- Recommend that activity managers and implementing partners reach out to beneficiaries/stakeholders, including host governments, to identify local climate change concerns and priorities for enhancing the climate change resilience of the activity.

- Following the recommendation of a number of those interviewed, focus climate change trainings on the particular country context and the needs of local mission staff, and also limit the time needed to complete trainings. Make both online and in-person trainings available.

BACKGROUND AND INTRODUCTION

This report presents findings from a desk review and phone interviews with USAID activity managers and implementing partners of activities that followed from USAID contract and grant solicitations/announcements that were deemed to have integrated climate change in an earlier USAID study. The present study was conducted for the CCIS Activity, also known as the Integration Support for Climate Resilience Screening (ISCRS) Activity, Task Order No. AID-OAA-TO-15-00030 under Restoring the Environment through Prosperity, Livelihoods and Conserving Ecosystems (REPLACE) Indefinite Delivery Indefinite Quantity (IDIQ), Contract No. AID- OAA-I-14-000016.

Climate change integration is one of three strategic objectives described in USAID's 2012-2016 *Climate Change and Development Strategy*. The objective reinforces USAID's commitment "to strengthen development outcomes by integrating climate change in Agency programming, learning, policy dialogues and operations." In addition, USAID recently released guidance in Chapter 201 of the ADS for the management of climate change risks. CRM is a requirement for USAID strategies as of October 2015[5] and for projects/activities as of October 2016.[6]

The present study builds upon a 2015 USAID study of climate change integration in 268 randomly-selected USAID solicitations/announcements from 2009, 2012 and 2014.[7] The 2015 study defined climate change integration as "the incorporation of climate change considerations or actions with benefits for climate change mitigation or adaptation into solicitations for USAID activities not receiving an direct funding from the Global Climate Change Initiative." In this study, we extend this definition to include integration in the corresponding funded activities without dedicated climate change funding.

Using the criteria and scoring scale in Exhibit 1, USAID's 2015 study assigned each of 268 randomly selected RFPs/RFAs an overall score and a score for each section to indicate whether and how thoroughly climate change was integrated. Sections included Background/Description of Problem; Program Description/Statement of Work (SOW)/Description of Goals and Objectives; monitoring and evaluation (M&E) indicators or Performance Monitoring Plan within a program description; M&E reporting requirements in a separate section; key personnel; evaluation or selection criteria; and annex:

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[5] https://www.usaid.gov/ads/policy/200/201mat
[6] https://www.usaid.gov/ads/policy/200/201mal
[7] USAID. 2015. Integrating Climate Change into USAID Activities: An Analysis of Integration at the Solicitation Level.

Possible scores ranged from 0 (no integration) to 3 (thorough integration), with scores assigned at half-point intervals.

USAID's 2015 study assigned an overall score of zero to 224 of the 268 RFPs/RFAs, indicating no integration, leaving 43 RFPs/RFAs that integrated climate change to some extent based on the criteria in Exhibit 1. Two of the 43 were subsequently cancelled.[8] Of the remaining 41 RFPs/RFAs, the 2015 study found 15 with "minimal" integration, 17 with "moderate" integration and 9 with "thorough" integration.

Exhibit 1: Scores and Criteria Used in USAID's 2015 Study to Evaluate Integration in Solicitations/Announcements.[9]

Score	Criteria
0	**None**: no or only passing reference to climate change.
0.5-1	**Minimal**: includes some specific information on climate change, but in generic terms or only as background.
1.5-2	**Moderate:** Climate change is fairly well integrated; some specific contextual information is included, with country/project specific concerns articulated and related to project. However, if climate-related requirements for the offeror are included, they are weak.
2-5-3	**Thorough:** Climate change is substantively integrated, with specific guidance for and requirements of offerors. Example areas for strong integration include a climate vulnerability assessment or information on expected climate impacts requested of offeror; mitigation or adaptation-specific requirements included in the statement of work; a climate change expert included as key personnel; and climate included in evaluation criteria.

PURPOSE

The present study builds on USAID's 2015 study to evaluate how climate change considerations in solicitations/announcements without dedicated climate change funding translate into activity implementation, and to determine what factors influence whether and to what extent integration occurs. Annex 1 provides the SOW.

The study focused on the following research questions:

- In what ways did the activities address climate change? To what end? What led to these actions (i.e., what were the enabling factors)?

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[8] Alliances and Public Private Partnership (overall score 0.5) and Strengthening Agribusinesses and Fostering Rural Alimentation (overall score 2.5).
[9] Source: Table A.2 in Appendix1: Methods, in USAID. 2015. Integrating Climate Change into USAID Activities: An Analysis of Integration at the Solicitation Level.

- Were there missed opportunities? What factors or barriers led to missed opportunities?

- To what extent and how did integration in a solicitation/announcement translate into implementation?

- What are examples of integration in the implemented activities?

METHODS

STUDY SAMPLE

We evaluated integration in activities by means of a desk review of activity documents and phone interviews with USAID activity managers and implementing partners. The study included 32 of the 41 activities funded by RFPs/RFAs that incorporated climate change according to USAID's 2015 study.[10] All of the RFPs/RFAs and corresponding funded activities pre-date the new ADS 201 requirements for CRM in USAID's strategies (October 2015)[11] and projects/activities (October 2016).[12] None received dedicated climate change funding.

DESK REVIEW

The desk review encompassed all 32 activities in the study sample. We obtained activity documents from a variety of sources, including USAID activity managers, implementing partners, implementer websites, project websites, and USAID's Development Experience Clearinghouse (DEC) website (https://dec.usaid.gov).

INTERVIEWS

We conducted phone interviews with USAID activity managers and implementing partners for 16 of the 32 activities in the desk review. The purpose of the phone interviews was to probe the research questions in greater depth than was possible through desk review alone.

CCIS staff conducted the phone interviews from January through April 2017, with participation by staff from USAID's Office of Global Climate Change (GCC), schedule permitting. We conducted a total of 25 phone interviews, including 15 interviews with USAID Agreement Officer's Representatives (AORs) and Contracting Officer's Representatives (CORs) and ten interviews with the Chief of Party (COP) and/or Deputy Chief of Party (DCOP) for each activity. Exhibit 2 provides an overview of the interview sample by sector, region, and interview modality.

Exhibit 2: Interview Sample by Sector, Region, and Type of Interview. WAS=Washington, DC; LAC=Latin America and the Caribbean; AFG/PAK=Afghanistan and Pakistan

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[10] The 32 activities were the only ones with documents available for our review.
[11] https://www.usaid.gov/ads/policy/200/201mat
[12] https://www.usaid.gov/ads/policy/200/201mal

Primary Sector	Region	# Activities	# USAID Interviews	# Implementer Interviews
Agriculture and Food Security	WAS (2), Asia (1) Sub-Saharan Africa (3)	6	5	4
Biodiversity	WAS (1), Sub-Saharan Africa (1)	2	2	1
Economic Growth-Trade	LAC (1)	1	1	0
Energy	Middle East-N. Africa (1), Europe and Eurasia (1)	2	2	2
Health	WAS (1)	1	1	0
Water and Sanitation	Sub-Saharan Africa (1)	1	1	1
Democracy, Human Rights and Governance	AFG/PAK (1), Middle East-N. Africa (1)	2	2	1
Education	Asia (1)	1	1	1
TOTALS		**16**	**15**	**10**

The interviews were semi-structured and included a number of closed-ended questions related to enabling conditions and resources to support integration, as well as several open-ended questions designed to encourage respondents to include any additional information that they considered important for understanding the extent of climate change integration in their activity and the role of integration in the solicitation/announcement. Respondents provided answers to closed-ended questions using a 4-point scale (e.g., poor, acceptable, good, very good) or by indicating "yes," "no," or "maybe" when giving their opinion about the value/importance of a list of factors. We used Microsoft Excel to compile and analyze results of the closed-ended questions.

We conducted the Interviews using interview guides, with separate guides for USAID staff and activity implementers to help capture potential differences in their experiences and perspectives. The two guides also had a number of questions in common to allow for direct comparison of interview findings from the two groups. Annex 2 and Annex 3 contain the interview guides for USAID staff and implementers, respectively.

METHOD FOR ASSESSING INTEGRATION

We evaluated the relative extent of climate change integration in the 32 activities in our study using the categories and criteria in Exhibit 3, developed by the CCIS Team for this assessment. We based this rating system on the system used in USAID's 2015 study, shown in Exhibit 1, to facilitate comparison between climate change integration in RFPs/RFAs and integration in the corresponding funded activities.

Exhibit 3: Criteria Used to Rate the Relative Extent of Climate Change Integration in USAID Activities in the Study Sample.

Score	Criteria
0	**None:** no evidence of climate change interventions in documents or from interviews
1	**Minimal:** some indication in documents or from interviews of general climate change considerations (e.g., mention of threats from extreme events such as drought) but no specific interventions
2	**Moderate:** some specific examples of climate change interventions from documents or interviews, but climate change integrated only to a limited extent.
3	**Thorough:** evidence from documents or interviews of specific climate change interventions in most climate-sensitive aspects of the activity.

RESULTS

Annex 4 provides information on the 32 activities in the study, along with integration ratings for their RFP/RFAs from USAID's 2015 study and integration ratings for activity implementation based on our assessment using the criteria in Exhibit 3. As shown in Annex 4, less than half of the 32 activities in our study included at least one specific climate change intervention (as indicated by a rating of moderate or thorough). At first glance, it is surprising that so few activities integrated climate change. The analysis below addresses this and many other issues related to the SOW, including several positive, noteworthy dimensions of climate integration that were observed.

WAYS ACTIVITIES ADDRESS CLIMATE CHANGE

Our review of 32 activities funded prior to the new ADS requirements identified a number of ways that activities considered climate change, including through technical assistance/training; applied research; monitoring with climate-related performance indicators; private sector engagement and job creation; capacity building; knowledge sharing and awareness-raising; emission reduction activities; and collaboration/coordination within USAID.

Most often these climate change considerations were incidental to other objectives and without a clear climate focus, and the extent to which climate change was included varied widely. At one extreme, activities included only a passing mention of climate change in a workshop or training on a related topic. At the other extreme, activities considered climate change in all climate-sensitive aspects of their activity.

This section provides an overview of the different ways activities address climate change, and the following section discusses illustrative examples.

Training/Technical Assistance – Most often training and assistance that include climate change focus on skills needed to adapt to climate change. A number of activities are training farmers in climate-smart agriculture practices and technologies to reduce production losses in the face of recurrent drought (e.g.,

best practices for conserving water; new climate-resilient agricultural inputs such as drought-tolerant seeds). The FTF Senegal Naatal Mbay Activity (Naatal MBay) is developing approaches to scale-up climate-smart agriculture (CSA) across a vulnerable region in Senegal. The FTF Uganda Commodity Production and Marketing (CPM) Activity trains villagers to serve as "village agents" and "climate champions" to encourage small-holder farmers to adopt CSA.

Applied Research – Climate-related research includes field studies; pilots/demonstrations; and modeling studies using weather data from local monitoring combined with climate change projections from global circulation models (GCMs), downscaled to the regional level. The U.S.-Pakistan Centers for Advanced Studies (USPCAS) Activity, which is developing university-level climate change programs, is supporting a variety of research activities led by partnerships between U.S. and Pakistan universities, such as field studies of new seed varieties and integrated agriculture and economic modeling to evaluate adaptation options. A project in Nepal, supported by a grant from the FTF Innovation Lab for Integrated Pest Management (IPM Innovation Lab) has designed a monitoring program to collect hydro-meteorological and ecological data at different altitudes to help develop models to project potential changes in biodiversity in response to climatic changes.

Monitoring with Climate-Related Performance Indicators – Monitoring with climate-related indicators is not widespread among the activities that we examined, which did not receive funding through USAID's Global Climate Change Initiative. However, we identified five activities in our study that included indicators in their M&E Plan. Two of the five activities have reported M&E results – the FTF Uganda CPM Activity and the Jordan Competitiveness Program (JCP).

Private Sector Engagement and Job Creation – Some activities are engaging the private sector and creating jobs, while also promoting climate change adaptation and mitigation. The JCP, for example, is promoting the development of clean energy technologies by the private sector and public-private partnerships to encourage job growth, with co-benefits for mitigation. The FTF Uganda CPM Activity is helping to generate a new source of income for villagers who serve as village agents and climate champions.

Capacity Building – A variety of approaches are being deployed in the activities we examined to help beneficiaries to develop skills that enable will enable them to carry out climate change interventions. For example, the FTF Zimbabwe Poverty Reduction and Food Security Crop Development (FTF Zimbabwe Crop Development) Activity has established field schools to train farmers on water conservation. The Pastoralists Livelihoods Activity (Pastoralists II) is training herders in "destocking" techniques to help increase water/food supplies for livestock during drought. The Naatal MBay Activity has deployed rainfall collectors throughout a climate-sensitive region in Senegal to help monitor seasonal and inter-annual hydro-meteorological changes. The Assets and Market Access Innovation Lab (AMA Innovation Lab is one of a number of activities helping to develop weather-indexed insurance to help farmers withstand crop losses during extreme events such as floods and droughts.

Knowledge-Sharing and Awareness-Raising – Some activities are developing working papers, research briefs, fact sheets, videos and other communication materials to disseminate climate change information and "lessons learned" from climate change interventions. The COP for the Naatal MBay Activity, for example, produces a regular newsletter that includes climate change success stories.

Reducing GHG Emissions and Other Forms of Climate Change Mitigation – A few activities are providing co-benefits for mitigation. For example, the promotion of renewable energy as part of the job creation program by the JCP helps reduce GHG emissions. Two biodiversity activities may generate co-benefits for mitigation ((e.g., ecosystem conservation/restoration that will protect carbon sinks as well as biodiversity), but they are not tracking these potential co-benefits.

Collaboration and Coordination within USAID – A few activities promote collaboration and/or coordination with other climate change programs in their country or regional Missions and with USAID staff in Washington. The Higher Education Solutions Network (HESN), for example, consulted with USAID's GCC staff on research priorities. The Kenya Agriculture Value Chain Enterprises (KAVES) Activity coordinates information-sharing with other Mission projects/activities addressing climate change.

EXAMPLES OF INTEGRATION IN ACTIVITIES

Below we provide an overview of the seven activities in our interview sample that included specific climate change interventions (i.e., showed moderate or thorough integration according to the criteria in Exhibit 3). Integration ratings for the activities and their corresponding RFPs/RFAs are in parentheses.

ASSETS AND MARKET ACCESS INNOVATION LAB (AMA Innovation Lab)
Primary Sector: Agriculture and Food Security
Country/Region: Global
Purpose of Activity: To help smallholder farmers in developing countries manage production risks, adopt improved agricultural technologies and practices, and contribute to their country's economic growth.
Ways Climate Change Addressed in Solicitation/Announcement (thorough): Climate change is extensively integrated in the "Problem Statement and the Technical Approach" section of the Program Description. The RFA also provides examples of potential climate-related activities and an illustrative climate-related indicator.
Ways Climate Change Integrated in Implementation (thorough): The program is managed by a team at the University of California, Davis. The management team oversees funding and implementation of 23 research grants; provides results on the program website; and organizes outreach/dissemination of results at events in Washington, DC and in-country.
The program has produced working papers and presentations on results of field tests of drought-tolerant seeds; research on weather factors that influence the choice of risk-reducing measures; and research to support drought-index insurance for livestock and agriculture (e.g.., insured loans for lenders; insured contracts for pastoralists; access to climate and weather data; evaluation of climate risk management strategies; information about climate-related risks and adaptive behaviors; relationships between climate change and rangeland biomass dynamics).
Results/Benefits: Although the RFA mentioned a climate-related indicator, the program did not track the indicator or any other climate-related indicators. However, the program has disseminated research results showing the benefits of drought-tolerant seeds and drought-indexed insurance for increasing resilience and reducing risks.
Enabling Factors for Climate Change Integration: The COP indicated that the most important enabling factors have been the interest/encouragement of the AOR and participation by staff from USAID's GCC in activity design. We do not have input from the AOR, who is on leave.

U.S.-PAKISTAN CENTERS FOR ADVANCED STUDIES (USPCAS)

Primary Sector: Education

Country/Region: Pakistan

Purpose of Activity: To substantially improve the capacity of Pakistan's higher education institutions to drive private sector innovation, modernization and competitiveness, strengthen government policy to stimulate economic growth, and contribute solutions to Pakistan's development challenges in the key sectors of food security/agriculture, water and energy. The USPCAS includes centers for each of these sectors. The center for Agriculture and Food Security (AFS) includes a distinct Climate Change Program as one of four research and training programs.

Ways Climate Change Addressed in Solicitation/Announcement (minimal): Although USAID's 2015 study concluded that integration in the RFA was "minimal," the DCOP indicated that after the announcement there were "broad consultations" with local stakeholders that identified climate change as an important theme, and the AOR noted that climate-related work has gone significantly beyond what was in the agreement. Both the AOR and COP said that the importance of climate change was recognized early on, including by the Government of Pakistan, which is a very committed partner.

Ways Climate Change Integrated In Implementation (thorough): The COP told us that the AFS Center's Climate Change Program is helping the larger USPCAS program to improve the capacity of Pakistan's higher education institutions to contribute development solutions through a variety of climate-related applied research, e.g., modeling climate risks to crop productivity using integrated crop and economic modeling; redefining agro-ecological zones based on land use/land cover, crops, soil, topography and meteorological data; climate change monitoring (e.g., collecting data on temperature changes and rainfall variability); climate change adaptation strategies for farmers (e.g., CSA, improved cropping systems); field studies (e.g., CSA pilots); GHG mitigation (e.g., reduction of emissions from rice and livestock production); and early warning systems/agriculture weather networks. In addition, the AOR noted that the program organized an international conference on climate change and dialogues on climate change that have helped increase awareness of students as well as government and private sector stakeholders. The program is also helping to develop Pakistan's first graduate degree program related to climate change.

Results/Benefits: There are no indicators that specifically track the performance of the AFS Center or the Center's Climate Change Program. However, the COP said that the Climate Change Program is tracking the number of students involved in the new climate change degree program and the program's researchers are collecting temperature and rainfall data and monitoring results of field studies. He also reported that during the first two years, the program's activities have significantly increased climate change awareness among stakeholders including within the government, private sector and local farmers.

Enabling Factors For Climate Change Integration: The AOR and COP indicated that the most important enabling factors for climate change integration have mission leadership, AOR interest, the technical capacity of the implementation team and stakeholder consultations. They also noted the importance of the consultation process with key stakeholders at the outset of the activity. In addition, the AOR was involved in the design of the activity from the beginning, and he said that an important driver has been the government's climate change policy, including its commitment to the Paris Declaration, and the creation of a new ministry specifically focused on energy and climate change.

FTF UGANDA COMMODITY PRODUCTION AND MARKETING ACTIVITY (FTF Uganda CPM)

Primary Sector: Agriculture and Food Security

Country/Region: Uganda

Purpose of Activity: To sustainably increase production and marketing of high-quality maize, beans, and coffee in 34 FTF districts in Uganda, focusing on improving domestic agricultural production; increasing exports of coffee, maize, and beans; and increasing incomes and food security for smallholder farmers.

Ways Climate Change Addressed In Solicitation/Announcement (moderate): The RFP includes climate change in a section on FTF Implementation Principles as follows: "The contractor shall create awareness about the threats of the global climate change; develop strategies for reducing vulnerability and increasing adaptation to climate change; and respond to adaptive programming opportunities presented from the options scenarios from USAID's climate change study." It is not in sections with requirements for indicators M&E, key personnel, or award criteria.

Ways Climate Change Integrated in Implementation (thorough): The AOR said that climate change is integrated throughout the activity because climate change is critical for agriculture in Uganda. Climate change interventions include integrating climate-resilient technologies and practices in business models, with a focus on training value-chain "intermediaries" between businesses/traders and farmers to provide climate change services that farmers need to improve crop production and marketing. Village agents earn income by bringing climate-smart practices and technologies to farmers, such as drought-resistant and fast-maturing varieties of seed; conservation tillage; micro-irrigation kits that promote water savings; and solar and mechanical dryers for coffee, maize, and beans. The village agents serve as "climate champions" through trainings and demonstrations at "technology learning sites" and awareness-raising activities in churches, meetings and other village gatherings. The activity also provides weather data; promotes crop insurance; and produces animated videos and posters and other printed materials on conservation agriculture and postharvest handling to help village agents promote climate-smart agricultural practices and technologies.

Results/Benefits: The performance of climate-related interventions is addressed in part by the indicator "number of stakeholders implementing risk-reducing practices/actions to improve resilience to climate change as a result of USG assistance." As of March 2016, this included a total of 152,469 farmers.

Enabling Factors for Climate Change Integration: The COR reported that climate change was an important consideration early in the design of the activity. The agriculture unit at the Mission led the process with support from the Program, Procurement, and NRM staff. The design team also gathered information from the Ministry of Agriculture and local farmers. The COR said that the two most important factors enabling climate change integration were the technical capacity of the team – both USAID staff and implementing partners – and the availability of resources, while the COP emphasized the importance of Mission leadership and buy-in by local farmers. Climate change integration was facilitated by the technical capacity and interest of the implementation team, and was encouraged by local farmers.

FTF ZIMBABWE POVERTY REDUCTION AND FOOD SECURITY CROP DEVELOPMENT PROGRAM (FTF Zimbabwe Crop Development Program)

Primary Sector: Agriculture and Food Security
Country/Region: Zimbabwe
Purpose of Activity: To (1) reduce rural poverty and increase incomes and food security of targeted smallholder agricultural producers through increased agricultural production and productivity and market linkages; (2) improve the hygiene and nutrition practices leading to improved nutritional status of beneficiary households; and (3) build the capacity of local organizations to implement agricultural development activities funded by USAID.

Ways Climate Change Addressed in Solicitation/Announcement (thorough): Climate change is mentioned in the Program Description and the section on Program Scope/Limitations states that "The program will consider the most likely climate change impacts in target areas (e.g., changes in rainfall and water distribution, changes in temperature, changes in pests and diseases) and integrate climate-resilient solutions most appropriate for target beneficiaries. Reporting requirements specifically refer to climate change as a cross-cutting theme.

Ways Climate Change Integrated in Implementation (thorough): An interview with the COP and DCOP, along with a desk review of project documents, showed that climate change is extensively integrated into activity interventions. Examples include introduction of drought-tolerant, short-season crop varieties to enhance agricultural productivity; capacity building and technical training such as field schools for farmers on water conservation; and demonstrations/pilots.

Results/Benefits: The COP/DCOP indicated that monitoring includes FTF climate change indicators, but no results are available.

Enabling Factors for Climate Change Integration: The COP and DCOP reported that the most important enabling factors for integrating climate change have been the encouragement of Mission leadership, the strong interest of the activity manager, and the active engagement of the Mission Environmental Officer.

FTF INNOVATION LAB FOR INTEGRATED PEST MANAGEMENT (IPM Innovation Lab)

Primary Sector: Agriculture and Food Security

Country/Region: Global

Purpose of Activity: To promote integrated pest management practices in select horticultural crops in order to reduce pesticide use and crop losses to pests and plant diseases.

Ways Climate Change Addressed in Solicitation/Announcement (thorough): The Program Description/Objectives in the RFA state that the IPM Innovation Lab's research should address climate adaptation/resilience in addition to other issues. Global Climate Change is included as a Sub-Area of Inquiry, and this section includes illustrative activities. This sub-area also mentions climate change in reference to Evaluation Criteria, stating that "Applicants should demonstrate their involvement with existing partnerships in the area of environmental sustainability, sustainable intensification, and global climate change."

Ways Climate Change Integrated in Implementation (thorough): One of the activity's eight sub-awards funds a climate-related project – a project in Nepal to establish weather stations and collect data for the assessment and modelling of the potential effects of biodiversity and climatic changes on the occurrence of diseases and pests. It is expected that results will support training on soil, water and nutrient management to increase smallholder resilience to climate and other stressors. During our interview, the IPM Innovation Lab Director also observed that IPM activities in the seven countries in the program will also help decrease GHG emissions from land use

Results/Benefits: The COP said there are no results to date.

Enabling Factors for Climate Change Integration: The COP said the most important enabling factors have been the support of the AOR and the technical capacity of the implementation team.

JORDAN COMPETITIVENESS PROJECT (JCP)

Primary Sector: Economic Growth and Trade

Country/Region: Jordan

Purpose of Activity: To enhance Jordan's competitiveness, promote sustainable economic growth, and increase employment." Clean technology, including clean energy, is one of the "opportunity sectors" included in the program.

Ways Climate Change Addressed in Solicitation/Announcement (moderate): The "Background and Development Challenges" section of the RFP notes the potential for solar and wind energy development in Jordan, and also observes that Jordan offers "a high quality workforce, featuring the largest number of engineers in the Middle East, and a competitive cost structure for the generation of renewable energy." The Delivery Schedule in the RFP includes a provision for "5-year strategies for clean energy."

Ways Climate Change Integrated in Implementation (moderate): Specific clean energy projects have included a Solar Enabled Smart Campus at King Hussein Business Park, an Integrated Clean Energy and Solid Waste Management Solution in the Dead Sea Development Zone, the Irbid Clean Energy Pilot with an Industrial Focus at El Hassan Industrial Estate, and a pilot of Electric Vehicle Charging Stations in Amman.

Results/Benefits: During our interviews, both the COR and COP observed that the JCP's clean energy component not only supports job creation but also benefits climate change mitigation. The project includes four indicators to capture clean energy benefits. including one custom indicator, "number of clean energy transactions supported as a result of USG assistance," and three standard USAID indicators, "amount of investment mobilized for clean energy as supported by USG assistance," "number of entities implementing clean energy measures due to USG assistance," and "clean energy generation capacity supported by USG assistance that has achieved financial closure." By the start of the fourth year, the JCP had mobilized USD 2,626,761 of clean energy investment, helped 14 entities implement clean energy measures, supported two clean energy transactions, and reached financial closure for two clean energy investments for increased clean energy generation capacity.

Enabling Factors for Climate Change Integration: According to the COR, the most important factor encouraging the inclusion of clean energy as a source of job growth was an analysis by McKinsey in Year 1 that identified clean energy as one of the most promising sectors. However, the COR also noted that the analysis was very expensive, and therefore not likely an option for most projects.

FTF SENEGAL NAATAL MBAY ACTIVITY (Naatal MBay)

Primary Sector: Agriculture and Food Security
Country/Region: Senegal
Purpose of Activity: To "expand and scale-up" successful interventions from a previous project to increase the contribution of agriculture to economic growth through an inclusive, private sector-led value chain approach. The previous work by the Mission indicated that the productivity of rainfed agriculture can be enhanced by addressing climate-related risks to agriculture value chains.

Ways Climate Change Addressed In Solicitation/Announcement (moderate): The Background and Program description mention "climate variability" (not climate change). Climate change is specifically included in a discussion of "proven technologies for increased agricultural production" and as a "Cross-Cutting Consideration." The SOW refers to "adaptability to climate variability" as a cross-cutting best practice, as well as previous work on "adoption of conservation farming to respond to climate change" and "new financial products that help small farmers expand and protect them from climate shocks." The SOW also includes "climate information services as a risk management tool to mitigate climatic variability" as an expected outcome. A section on Special Considerations includes the statement "In addressing NRM and/or climate change, the integration of natural and man-made

(agricultural) systems should be considered. Natural systems are a buffer and a provider of support services to agricultural production."

Ways Climate Change Integrated In Implementation (thorough): Climate change is integrated throughout this activity. Climate-related interventions include expanding the introduction of CSA to more farmers, farmer networks, and private sector actors to help reduce climate change risks to production; increasing the availability of rain-index insurance for rainfed crops, helping to reduce manage risks to farmer livelihoods; training farmers to use climate information in decision-making to better manage risks; increasing certification and access to climate-resilient seeds; establishing rainfall data collectors and training farmers to use the data for planning.

Results/Benefits: Performance indicators include FTF climate change indicators (e.g., "the number of farmers who apply improved technologies and management practices with USG assistance to support adaptation to climate change," "number of hectares planted with climate-resilient seeds with USG assistance"). However, results have not been reported.

Enabling Factors for Climate Change Integration: Interviews indicated key enabling factors were the technical capacity of Mission staff, including the Climate Integration Lead (CIL) and the former COR, who participated in activity design, along with the support of Mission leadership. The COP emphasized the importance of the interest of and relationship with the COR and mission climate change experts.

ENABLING FACTORS

In addition to information on enabling factors from open-ended questions, one of the closed-ended questions asked respondents to say "yes," "no," or "maybe" to indicate if any of several factors facilitated their climate-related interventions (or would facilitate climate change actions in the future). Exhibit 4 provides ratings by USAID activity managers and Exhibit 5 provides responses of implementing partners. Both A/CORs and implementers considered all of the factors useful to some extent. Factors most frequently identified as important by USAID activity managers included the personal interest of the activity manager, Mission or Bureau/Office leadership and the technical capacity/interest of the implementation team. All seven COPs considered the interest of activity stakeholders/beneficiaries an important factor, while 6 indicated that the following factors are also important: AOR/COR, Mission or Bureau/Office leadership, the technical capacity/interest of the implementation team, actions to address climate change are critical for the success of the activity, and the requirements of the RFP/RFA. Fewer USAID activity managers and implementing partners said that USAID's existing technical resources are important, though most were unaware of USAID's new CRM resources. Five of seven COPs said that requirements in the award/agreement are important. Four of eight USAID activity managers considered requirements in the RFP/RFA important and three of eight considered requirements in the solicitation/announcement important.

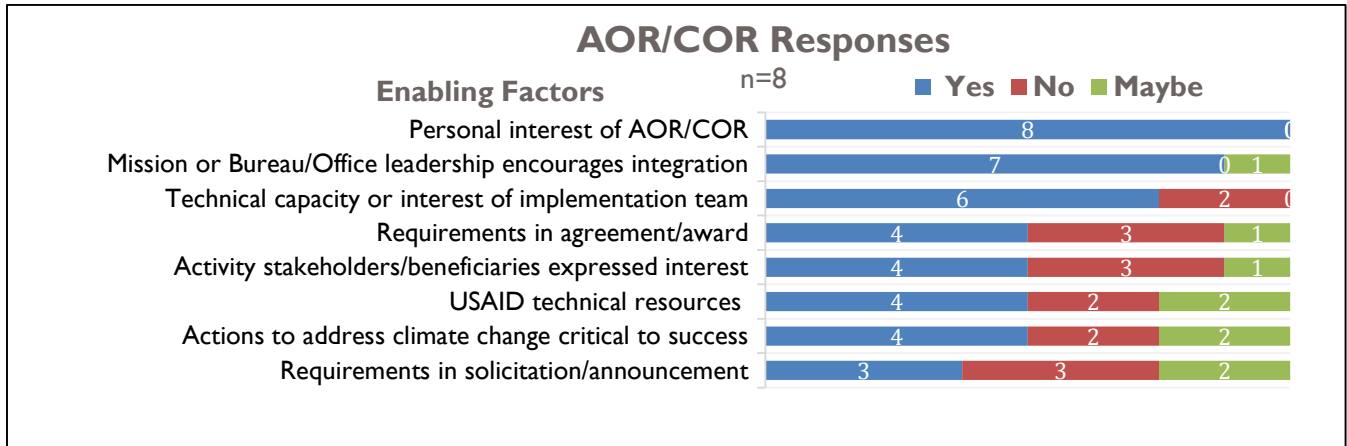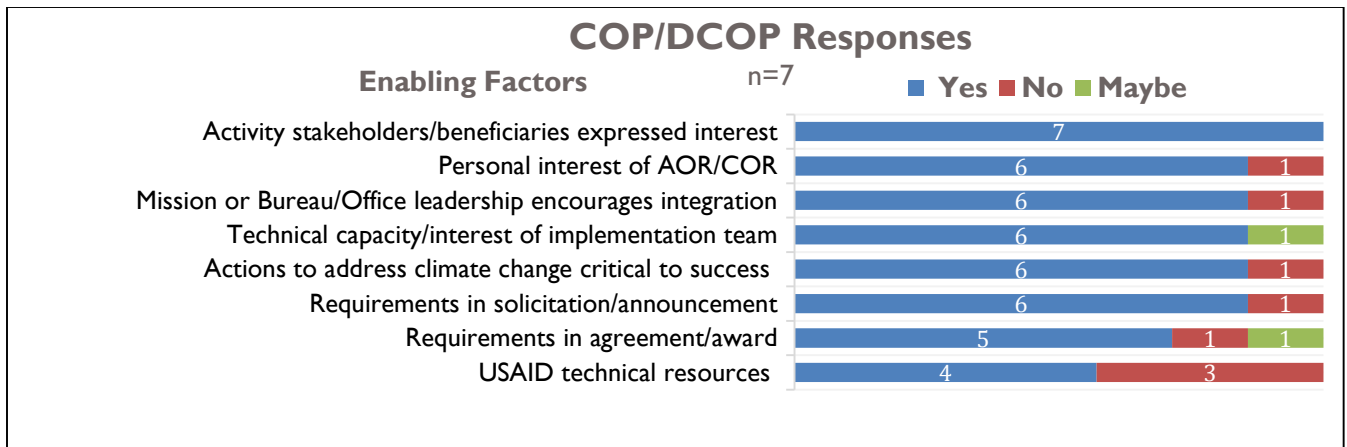**Exhibit 4: AOR/COR Ratings of Enabling Factors for Climate Change Integration.**

AOR/COR Responses
n=8

Enabling Factors   ■ Yes ■ No ■ Maybe

Enabling Factor	Yes	No	Maybe
Personal interest of AOR/COR	8	0	
Mission or Bureau/Office leadership encourages integration	7	0	1
Technical capacity or interest of implementation team	6	2	0
Requirements in agreement/award	4	3	1
Activity stakeholders/beneficiaries expressed interest	4	3	1
USAID technical resources	4	2	2
Actions to address climate change critical to success	4	2	2
Requirements in solicitation/announcement	3	3	2

Exhibit 5: COP/DCOP Ratings of Enabling Factors for Climate Change Integration.

COP/DCOP Responses
n=7

Enabling Factors   ■ Yes ■ No ■ Maybe

Enabling Factor	Yes	No	Maybe
Activity stakeholders/beneficiaries expressed interest	7		
Personal interest of AOR/COR	6	1	
Mission or Bureau/Office leadership encourages integration	6	1	
Technical capacity/interest of implementation team	6		1
Actions to address climate change critical to success	6	1	
Requirements in solicitation/announcement	6	1	
Requirements in agreement/award	5	1	1
USAID technical resources	4	3	

POTENTIAL MISSED OPPORTUNITIES FOR INTEGRATION

We identified some potential missed opportunities to incorporate climate change that we believe could have strengthened several activities. We selected examples of activities that did not include climate change even though they were funded by RFPs/RFAs with moderate or thorough integration according to USAID's 2015 study. The ratings from the 2015 study are included in parentheses.

AGRICULTURE ACTIVITY (moderate). The objective of this activity was to improve the supply of high-quality agricultural inputs (e.g., fertilizer, seed, pesticides) available to farmers to help increase crop yields, farmer incomes, export opportunities and food security. The activity manager said that the main focus of the activity has been creation of a sustainable agricultural retailers' network. The network delivers training, improved inputs and related services to agro-input retailers. Related activities include improving the market information system for agricultural inputs to increase the use of input quality standards and to build the capacity of local organizations to better support project objectives, including organizational strengthening and financial assistance to partners along the agricultural inputs value chain. *Although the agriculture sector in the country is highly sensitive to climate change, and the activity was funded by an announcement with moderate integration according to USAID's 2015*

study, the activity manager said that climate was not included because it was addressed in other, closely-related USAID activities. Climate change may have been considered initially, as suggested by the inclusion of two climate-relevant indicators in the M&E plan developed during Year 1, but the indicators were not monitored. *However*, **with relatively little additional effort and cost, the activity could have helped address climate risks to the retailers' network** – for example, by introducing CSA concepts during workshops/trainings to help farmers address climate risks to agricultural production, thereby helping to reduce crop losses and impacts to agricultural value chains and export markets.

MARINE BIODIVERSITY ACTIVITY (moderate). The goal of this activity was to reduce threats to marine-coastal biodiversity in priority areas in order to achieve sustained biodiversity conservation, maintain critical ecosystem services, and realize tangible improvement in human well-being for communities adjacent to marine managed areas. ***The SOW in the RFP and Initial Environmental Examination (IEE), provided as an attachment to the RFP, discuss climate change in a general way***, noting that climate change is one of the conservation challenges for the region's marine ecosystems. The RFP also referred to the region's marine resources as critical for resilience to climate change and noted that one of the Mission's Development Objectives is "to accelerate the transition to climate-resilient, low-emission, sustainable economic growth." ***However, climate change was not included in specific requirements for offerors*** related to indicators, M&E, key personnel and proposal Evaluation/Selection Criteria. The activity manager indicated during our interview that climate change was considered a factor, but the activity did not incorporate climate change "because the activity was funded with biodiversity funds, and therefore the focus was on biodiversity priorities and results." He added that because adaptation and mitigation were not explicit goals, benefits from interventions such as protection of mangroves and coral reefs were not explicit considerations during implementation and were considered incidental to biodiversity gains. He suggested that at the time of the RFP (2014) "climate change integration was not a priority – biodiversity conservation was the focus." However, ***identification of climate change risks to biodiversity focus areas, such as the potential for sea-level rise to inundate sites proposed for mangrove protection/restoration, could have helped prioritize areas outside of the inundation zone.***

ASIAN ENERGY ACTIVITY (moderate). The objectives of this regional activity are to increase energy security in the countries of the region by improving energy trade. The RFP mentions energy efficiency and demand-side management as one of the outcomes of the activity, and provides a related optional intervention. The attached IEE also discusses climate change mitigation and adaptation. However, ***the RFP does not include specific requirements related to climate change, and a*s a result, climate change was not considered during implementation. The COR said "We followed what was in the SOW, and if there had been a requirement to address climate change and energy, we would have done so**." As a result, the connection between energy efficiency and climate change mitigation has not been exploited in program interventions, and the activity has not addressed climate change risks to energy security in countries dependent on hydropower. **The COP noted that some activities have "indirect relevance," such as work addressing energy efficiency and hydropower**, but climate change has not been an explicit focus. **He also noted some ways that climate change could be integrated in activities such as trainings: "Climate change would be of interest to the host government if it affected economic development, and this could be a focus of trainings attended by government stakeholders."**

REGIONAL WATER AND SANITATION ACTIVITY (moderate). The goal of this activity is to improve sanitation outcomes by developing scalable business models that engage the private sector and contribute to the enabling environment for sanitation. The RFA and attached IEE indicate that vulnerability to climate change was among the factors considered in prioritizing the geographic focus of the program during the design phase. However, ***the RFA did not include climate change in specific guidance or requirements for the offeror, and climate change has not been integrated in any of the activity's local interventions.*** According to the AOR, "success [of the activity] is measured by new people buying toilets. We figure out what the market is, what they want to buy, and how we can package this." She added that although the RFP includes climate change in an illustrative example – providing technical assistance to help people adjust to climate change, droughts, and floods – the activity "focus is on urban areas where people have less of a problem with variability, so it is not a pressing problem that will affect whether people will buy an in-home latrine." The COP said that "There weren't any missed opportunities because this is an urban sanitation project, so there are not links to climate change." He added that the new ADS requirements on climate change "would not have made a difference in terms of what we are doing," because he thinks "screening would have shown that risks are low." However, the AOR noted that in some locations in the project area "the water table is very high and located close to a lagoon where water quality is a concern, which has implications for households with septic tanks." She said that "households in these areas already know that the level of the water table and sea-level rise are a problem, and therefore take this into account." However, ***the project could have mapped vulnerable locations to help ensure that local communities are aware of risks when making decisions about the placement of sanitation infrastructure. Mapping need not require costly technologies; it may be sufficient to provide simple paper maps outlining vulnerable locations or to discuss vulnerable locations in community meetings.***

FOREST BIODIVERSITY ACTIVITY (thorough). The overall goal of this activity was to develop community management of forest resources to support local self-governance and enterprise development in targeted areas and to provide environmentally-sustainable and equitable economic benefits for rural residents. ***Climate change was extensively integrated in the solicitation***, including in the Statement of Objectives, M&E Requirements and Evaluation Criteria. The RFP also illustrative examples of adaptation and mitigation interventions and provided a climate-related indicator. However, the activity did not include climate change interventions and the indicator was dropped during implementation. This is surprising because the activity manager said that the implementing partner "follows contract requirements to the letter." ***The activity manager indicated that climate change has not been included because the activity was funded by biodiversity funds.*** *However,* ***climate change could be integrated in some activities with minimal additional cost. For example, the activity supported a forestry training center, providing a mechanism for including climate change in workshops and trainings*** to help stakeholders consider climate change risks to forest management goals, adaptation options to protect forests at risk, and the carbon sequestration benefits of forest protection/restoration.

REGIONAL TRADE AND MARKET ACTIVITY (thorough). The purpose of this activity is to establish regional value chains and access to export markets for food products by developing market alliances, trade facilitation, and institutional capacity. The RFP for the activity includes some consideration of climate change. For example, the SOW includes climate change in the description of tasks, and provides examples of interventions, such as CSA practices and technologies, that can help address potential climate change impacts within targeted value chains. The RFP also states that "the

offeror will contribute to environmental and sustainability standards to mitigate the adverse impacts of climate change in program efforts to increase food production." Nevertheless, *the activity manager said that climate change has not been an explicit consideration in this activity because it is addressed in a larger regional program*. He added that "projects can't be all things to all people." *However*, *the larger program may not address climate risks to the specific agricultural inputs and products that are relevant for this activity's trade and market development interventions*. For example, if crops that are the focus of trade/markets are no longer suitable for changing climatic conditions, yields could drop, destabilizing trade/markets. Consideration of crop suitability under projected climate change could help determine if new crop varieties are needed to maintain/increase yields, helping to reduce these risks.

POTENTIAL BARRIERS

In response to the close-ended question in our questionnaire about barriers to integration, all respondents said they didn't encounter any barriers, primarily because they included climate change if it was in the SOW but didn't include it if it wasn't. However, anecdotal comments suggest there are several misconceptions that may inhibit consideration of climate change:

Funding – A number of respondents expressed the belief that climate change is only included in activities with dedicated climate change funding. Similarly, some respondents indicated that they didn't include climate change because their activity is primarily funded with biodiversity funds. In fact, we heard this comment regarding one biodiversity activity funded with an RFP with thorough integration of climate change according to USAID's 2015 study. Other comments reflected the belief that incorporating climate change would require significant additional funding:

Relevance – A number of comments reflected a lack of understanding of why and how to integrate climate change in interventions with other primary objectives. For example, some respondents said that climate change was not relevant for their activity because it was focused on engaging the private sector or promoting trade/market development. Respondents expressed this opinion even when the products involved were sensitive to climate change, such as agricultural products or water services. In some of these cases, respondents said that it was not necessary to address climate change in their activity because other, related projects/activities are addressing climate change. They assumed that the climate change interventions of these projects will address any climate change implications for their activity: However, it's unclear if such coordination actually occurs or is widespread.

Benefits – Many activities may generate co-benefits for climate change adaptation/mitigation, but we found little evidence that activities track such benefits in their M&E if addressing climate change is not an explicit objective. For example, interventions to protect/restore ecosystems help to maintain ecosystem services that support climate change adaptation and mitigation. Healthy, intact forests, for example, help protect surrounding settlements from extreme weather events, supporting adaptation, and sequester carbon, supporting mitigation. Incorporating climate change in interventions such as workshops and trainings would help strengthen activities in areas vulnerable to climate change.

RESOURCES TO SUPPORT CLIMATE CHANGE INTEGRATION

We also asked respondents about a number of resources to support climate change integration. Respondents indicated "yes," "no," or "maybe" if they believed the resources could help the Mission or

Operating Unit include climate change in their activities. Exhibit 6 presents the ratings of USAID activity mangers and Exhibit 7 presents ratings by implementing partners. Although USAID has developed many of these resources, respondents were generally unaware of them (though one activity manager said the Mission received training on the first iteration of the screening tool). This lack of familiarity with the resources may reflect the start date of their activities (2009, 2012 or 2014), which pre-dated many of these resources.

As shown in Exhibits 6 and 7, most activity managers and implementers considered the resources potentially useful for climate change integration, though they differed somewhat in their ratings. All 13 activity managers said that written examples of integration would be useful, and 12 of 13 said language for solicitations and climate risk profiles would be useful. All 10 of the implementers indicated that sector fact sheets would be useful, and 9 of 10 said written examples, a technical resources library and climate risk profiles would be useful. Most respondents agreed that trainings would be useful, though some qualified their responses by saying that trainings should be targeted to the specific country/sector and require limited time to complete.

Other suggestions for support included:

- An introductory workshop that would introduce mission staff to basic climate change concepts, etc.

- Local capacity-building/awareness-raising for beneficiaries/stakeholders.

- Modelling tools to consider options and tradeoffs for adaptation/mitigation under different climate change scenarios.

- Temporary Duty (TDY) travel by USAID GCC staff to support missions, especially during climate risk screening.

- Information on costs of adaptation.

- Information on actions for decreasing GHG emissions.

Exhibit 6: AOR/COR Ratings of Resources to Support Climate Change Integration.

AOR/COR Ratings
n=13
Resources — ■ Yes ■ No ■ Maybe

Resources	Yes	No	Maybe
Written examples of how climate change is…	13		
Suggested language for…	12	1	
Climate Risk Country Profile	12		1
A climate risk screening tool	11	2	
A technical resource library, e.g., ClimateLinks	11		2
GHG Emissions Fact Sheet	11		2
Sector fact sheets	10		3
In-person training on climate change	10		3
Online training on climate change	6	1 1	5
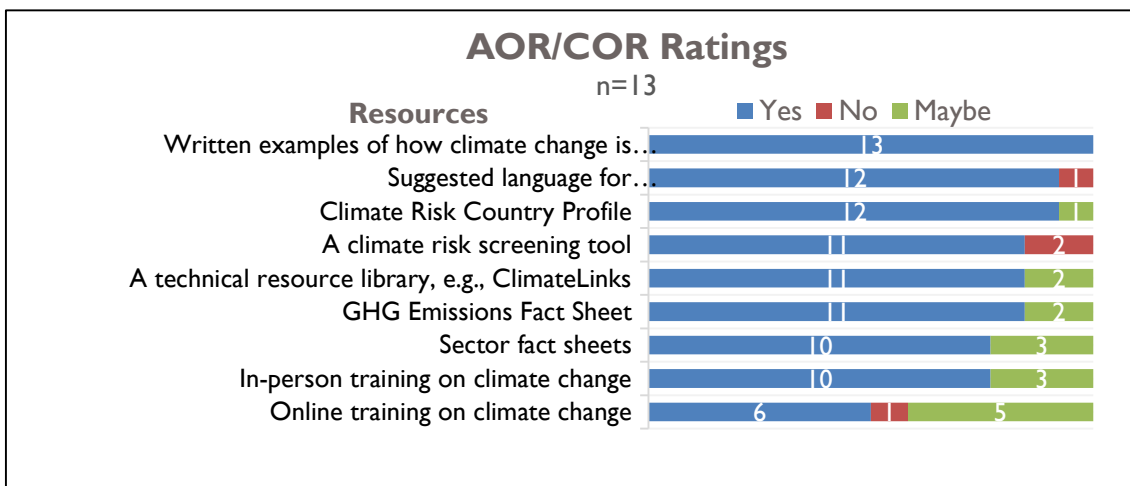
Exhibit 7: COPs/DCOPs Ratings of Resources to Support Climate Change Integration.

COP/DCOP Ratings
n=10

Resources — Yes ■ No ■ Maybe

- Sector fact sheets: 10
- Written examples of how climate change is…: 9
- A technical resource library, e.g., ClimateLinks: 9
- Climate Risk Country Profile: 9
- GHG Emissions Fact Sheet: 8
- Suggested language for solicitations/announcements: 8, 2
- A climate risk screening tool: 7, 3
- Online training on climate change: 7, 3
- In-person training on climate change: 6, 3
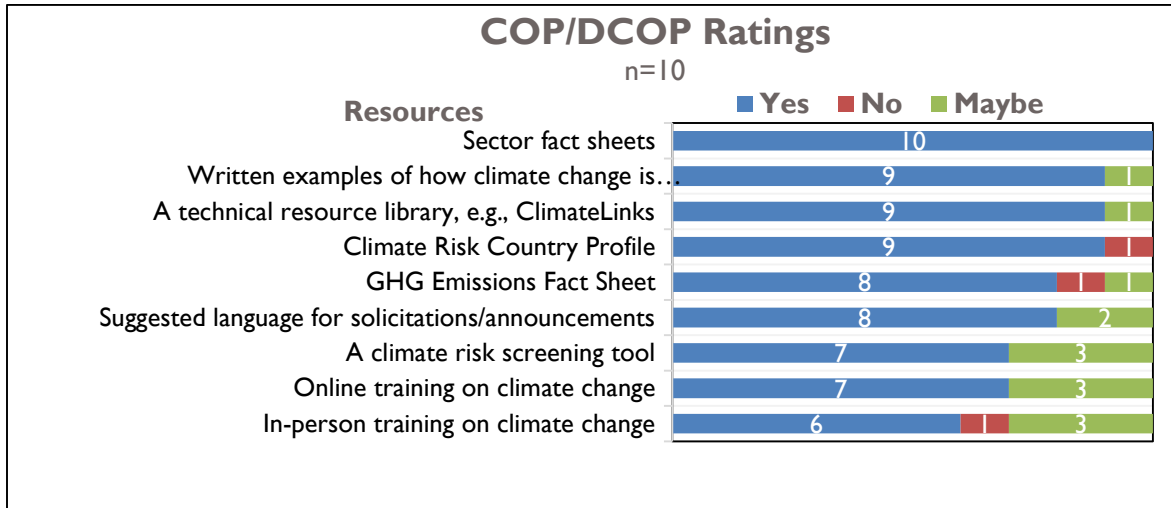
RELATIONSHIP BETWEEN INTEGRATION IN RFP/RFA AND ACTIVITY

Annex 4 provides integration ratings for the 32 activities in our study and their corresponding RFPs/RFAs. Exhibit 8 is a matrix summarizing the ratings. This information shows that prior to the new ADS 201 requirements, few USAID activities integrated climate change, even when climate change was integrated in the corresponding RFP/RFA. We found no evidence of integration in over half of the activities in our sample, all of which were funded by RFPs/RFAs that integrated climate change "to some extent" according to USAID's 2015 study. Based on our criteria in Exhibit 3, 14 of 32 activities included specific climate change interventions (moderate or thorough integration). Four of these were funded by RFPs/RFAs with minimal integration, four by RFPS/RFAs with moderate integration, and six by RFPs/RFAs with thorough integration.

Exhibit 8: Distribution of integration ratings for the 32 activities in the study.

Integration in RFP	Integration in Activity			
	None	Minimal	Moderate	Thorough
None	1	0	0	0
Minimal	7	0	1	3
Moderate	7	1	1	3
Thorough	2	0	1	5

Regression analysis of the ratings in Annex 4 found only a weak relationship between integration in our sample of 32 RFPs/RFAs from 2009, 2012 and 2014 and integration in the corresponding funded activities ($r^2 = 0.33$). Some relationships were opposite expectations: nine activities showed no evidence

of integration even though they were funded by RFPs/RFAs with moderate or thorough integration; four activities integrated climate change even though there was only minimal integration in their RFP/RFAs.

To better understand this apparent lack of relationship, we looked more closely at the RFPs/RFAs for activities with moderate or through integration. We found that only four of the 12 activities preceded by RFPs/RFAs with moderate integration included specific climate change interventions compared to six of eight activities preceded by RFPs/RFAs with thorough integration.

This difference may be related to differences in the actionable information in RFPs/RFAs with moderate compared to thorough integration. Annex 5 provides the integration scores assigned to individual sections of RFPs/RFAs by the 2015 USAID study using the criteria in Exhibit 1. The annex shows that none of the 12 RFPs/RFAs with moderate integration provided specific guidance for and requirements of offerors in sections on performance indicators, M&E, key personnel and evaluation/selection criteria. The 2015 study concluded that RFPs/RFAs with moderate integration had only "weak" climate-related requirements for the offeror, if it all.

In contrast, a thorough rating by the 2015 study indicates that the RFP/RFA provided "specific guidance for and requirements of offerors." Our review found that activities funded by RFPs/RFAs with thorough integration were more likely to incorporate climate change.

LIMITATIONS AND UNCERTAINTIES

An important caveat for our findings is that the RFPs/RFAs and activities in our analysis pre-date the new ADS requirements for CRM in USAID strategies, projects and activities. As a result, our findings may not reflect the current situation, and some of the input we received from activity managers and implementers may be less relevant for understanding integration after October 2015.

In addition, because public access to activity documents is limited to documents on the DEC and activity/implementer websites, our ability to draw conclusions from desk review alone was limited. Our interviews provided additional insights, but we weren't always able to interview the AOR/COR or COP/DCOP, and few of our respondents were involved in the design of the activity.

Moreover, it was not always clear from the information available to us if the climate change integration we observed resulted from an explicit effort to integrate climate change, or because the activity was in a weather-sensitive sector, such as agriculture, that routinely considers drought and other significant weather-related conditions. For example, addressing drought impacts is one of the objectives of the Pastoralist Livelihoods Initiative, Phase II (Pastoralist II) activity in Ethiopia. The mid-term evaluation of Pastoralist II shows there is progress in developing an early warning system (EWS), and we concluded there was moderate integration in the activity. However, without additional information we cannot determine if the EWS system is a traditional drought EWS based on historical trends, or an EWS that is informed by current temperature and precipitation data and climate change projections.

KEY FINDINGS

TO WHAT EXTENT AND HOW DID INTEGRATION IN A SOLICITATION/ANNOUNCEMENT TRANSLATE INTO IMPLEMENTATION?

- Prior to the new ADS 201 requirements, only a small fraction of USAID activities considered climate change. Less than half of the activities we evaluated included specific climate change interventions.

- Based on regression analysis of our sample, there was only a weak relationship between integration in RFPs/RFAs and the corresponding funded activities prior to the new ADS requirements.

- An activity was more likely to include specific climate change interventions if the related RFP/RFA included actionable information and, in particular, climate change requirements for offerors.

IN WHAT WAYS DID ACTIVITIES ADDRESS CLIMATE CHANGE? TO WHAT END? WHAT ARE EXAMPLES OF INTEGRATION IN THE IMPLEMENTED ACTIVITIES?

- We identified a number of ways that USAID activities consider climate change, including through technical assistance/training; applied research; monitoring with climate-related performance indicators; knowledge-sharing and awareness-raising; private sector engagement and job creation; capacity building; reducing GHG emissions and other forms of mitigation; and collaboration/coordination within USAID.

- Most often the inclusion of climate change was incidental to other objectives and without a clear climate focus. As a result, our review found little information on climate-related goals associated with these actions, and therefore we cannot fully address the question "to what end did activities address climate change?"

- The extent to which activities consider climate change varies widely. At one extreme, are activities that include only a passing mention of climate change during a workshop or training focused on a related topic. At the other extreme, are activities that consider climate change in all climate-sensitive aspects of their activity.

- Specific climate change interventions are most prevalent in activities in the Agriculture and Food Security sector, especially activities related to FTF programs in countries where climate change risks are well known. USAID staff and implementing partners in other sectors sometimes have difficulty understanding how climate change may affect the success of their activity and the opportunities or co-benefits that may arise when addressing climate change.

WHAT FACTORS OR BARRIERS LED TO MISSED OPPORTUNITIES?

- **Instructions to Offerors** – RFPs/RFAs often provide little specific guidance or requirements for offerors on climate change integration. Even if RFPs/RFAs articulate country/project specific concerns related to climate change, integration is unlikely if there are no explicit climate change requirements for the offeror.

- **Resources/Tools** – Many respondents expressed a need for climate change information; few respondents were aware of USAID's climate change resources and tools.

- **Funding** – A number of respondents expressed the belief that climate change is only included in activities with dedicated climate change funding, or is not relevant for biodiversity activities funded with biodiversity funds. Other respondents said that incorporating climate change would require significant additional funding.

- **Relevance** – A number of comments reflected a lack of understanding of why and how to integrate climate change in interventions with activities with other primary objectives. Some respondents also said that it was not necessary to address climate change in their activity because other, related projects/activities are addressing climate change. They assumed that climate change interventions of other projects would address any of their needs, but it's not clear if such coordination actually occurs or is widespread.

- **Benefits** – A number of respondents showed limited awareness of the potential benefits of considering climate change. Only a small number of activities considered climate change-related performance indicators, at least initially, and we found only two activities that reported indicator results.

WHAT WERE ENABLING FACTORS?

- Integration is most likely when those involved, including Mission and Bureau/Office leadership, design teams and implementers, view climate change as integral to the success of the activity.

- Mission/Bureau/Office leadership and the interest of AORs/CORs play an important role in encouraging climate integration.

- Integration is more likely if RFPs/RFAs and awards/agreements include climate change guidance for offerors and specific climate change requirements.

- The technical capacity of Mission staff and the implementation team is an important enabling factor.

- Consultations with beneficiaries/stakeholders early in the development of work plans facilitates integration.

- All of USAID's climate change resources and tools would be helpful, but few AORs/CORs and implementing partners are aware of them.

RECOMMENDATIONS

Our findings lead us to the following recommendations to help facilitate climate change integration in USAID activities:

Guidance

- Leverage the new ADS 201 requirements for CRM to the extent possible and demonstrate their value for enhancing activity outcomes (e.g., in guidance documents, climate change resources, TDYs, and workshops/trainings and other venues).

- In guidance to USAID staff, emphasize the need to provide explicit climate change requirements to offerors in RFPs/RFAs and awards/announcements.

- Require offerors to track climate change-related performance indicators to ensure that the benefits and co-benefits of integration are quantified.

Resources

- Disseminate examples of integration to USAID staff and implementing partners, placing a priority on examples in sectors where integration remains limited.

- Use multiple distribution channels to distribute integration examples: e.g., guidance materials, Climatelinks, newsletters (e.g., Frontlines), success stories posted by Missions, environmental trainings/workshops.

- Include information on USAID's climate change resources in RFPs/RFAs and awards/announcements, and provide a link to the Climatelinks website.

- Continue the development of example language that can be used in RFPs/RFAs and awards/announcements, including examples from all major sectors in which USAID works. Include example language for climate change requirements for offerors.

Mission and Bureau/Office Leadership

- Consider asking CILs to spearhead efforts to encourage Mission and Bureau/Office leadership to promote climate change integration. Provide guidance/training to CILs on strategies and techniques to facilitate communication.

- Integrate messages about climate change integration and CRM in workshops and trainings for Mission and Bureau/Office leadership.

- Meet with CILs and MEOs/BEOs to identify other opportunities and mechanisms to encourage leadership to promote integration.

Training

- During relevant meetings/workshops/trainings in Washington and at missions, encourage USAID activity managers to hold climate-focused consultations with implementing partners during initial work planning. Recommend including MEOs/BEOs, as well as outside technical experts, as appropriate.

- Recommend that activity managers and implementing partners reach out to beneficiaries/stakeholders, including host governments, to identify local climate change concerns and priorities for enhancing the climate change resilience of the activity.

- Following the recommendation of a number of those interviewed, focus climate change trainings on the particular country context and the needs of local mission staff, and also limit the time needed to complete trainings. Make both online and in-person trainings available.

ANNEXES

ANNEX 1 – SOW FOR CCIS INTEGRATION STUDY

Statement of Work

Assessment of Climate Change Integration in USAID Activities
Funded by Solicitations Incorporating Climate Change
CCIS Project Team

updated 2/4/17

Purpose

A 2015 study of USAID contract and grant solicitations from 2009 through 2014 found that 43 of 268 solicitations integrated climate change to some extent.[13] The study defined climate change integration as "the incorporation of climate change considerations or actions with benefits for climate change mitigation or adaptation into solicitations for USAID activities not receiving any direct funding from the Global Climate Change Initiative." Two of the 43 solicitations were cancelled,[14] leaving 41 funded activities. A previous review by the CCIS team identified public documents for only 26 of these 41 solicitations.[15] To add to this limited sample size, we propose to conduct interviews with USAID staff and implementers for a subset of the 41 solicitations. When we schedule the interviews, we also will ask for any publicly-available documents in addition to those already reviewed.

The overall purpose of this proposed follow-up assessment by the CCIS team is to determine what factors influenced whether or not, and to what extent, climate change was integrated in these activities.

Specifically, the proposed assessment will address the following key research questions:

1. In what ways did the activities address climate change? To what end? What led to these actions (i.e., what were the enabling factors)?

2. Were there missed opportunities? What barriers led to missed opportunities?

3. How did integration in a solicitation translate into implementation?

4. What are examples of integration in the funded activities?

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[13] USAID. 2015. Integrating Climate Change into USAID Activities: An Analysis of Integration at the Solicitation Level.
[14] Cancelled solicitations: SOL-656-14-000004 (Strengthening Agribusinesses and Fostering Rural Alimentation Project) and Jordan-09-11 (Alliances and Public Private Partnership Project).
[15] CCIS deliverable to USAID, August 2016, entitled "Desk Review: Implementation of Solicitations Incorporating Climate Change."

Methodology

The proposed assessment will address these research questions through a combination of phone interviews and desk review of publicly available project documents.

Phone Interviews

The purpose of the phone interviews is to probe the research questions about activities in greater depth than is possible through the limited amount of publicly-available information.

Selection of Activities. Interviews will focus on activities funded by solicitations that considered climate change, drawing from the sample of 41 solicitations identified in USAID's 2015 study. The spreadsheet "CCIS Assessment Solicitations" (https://docs.google.com/spreadsheets/d/1MGNMFB6OC1KZtU5mK8gD_J-egMkfdf3upV51Ii6HhLc/edit?usp=sharing) provides information on the sectors, potential for integration, and integration scores of the 41 solicitations that considered climate change. We will use the information in the spreadsheet to prioritize activities for which CCIS will conduct interviews.

Number of Interviews. We will aim to conduct interviews for 15 funded activities, including interviews of one USAID staff member and one implementer for each of the 15 activities, for a total of 30 interviews. The proposed sample size may not be large enough to generate high statistical confidence in some of the conclusions, but should suffice to provide key insights regarding the extent to which climate change is being integrated within activity implementation and what factors most strongly affect that integration (or lack thereof). If time and budget allow, we may conduct additional interviews.

Interviewees. We will interview implementers and USAID staff involved in the activities. To select implementers to interview, we will prioritize individuals with a substantive role in developing the work plan and/or managing the activity, such as the Chief of Party (COP) or the Deputy COP or other staff responsible for climate change components. GCC staff will identify the AOR/COR of the activity and ask permission to contact the potential interviewees. CCIS will develop an email template and obtain contact information to ease the burden on GCC staff for this initial outreach. GCC staff will conduct initial email outreach to targeted individuals, and CCIS staff will follow up with willing participants to schedule a phone interview.

Proposed Interview Questions. Attachment 1 and Attachment 2 provide proposed interview questions for USAID and implementers, respectively. The interview is designed to take 30 minutes.

Interviewers. We will train two CCIS staff to conduct the interviews. Prior to each interview, the interviewer will review the associated solicitation and any available project documents. This will enable the interviewers to provide interviewees with background relevant to questions, as appropriate.

Interview Pre-Test. The interview questions will be refined based on comments from GCC and lessons learned through initial trial interviews by staff who will conduct the interviews. For the pretest, we will interview "dummy subjects" drawn from our staff working on other USAID projects (e.g., Measuring Impacts).

Desk Review of Activity Documents

We will review publicly-available activity documents for background prior to the interviews, to supplement interview comments, and to help identify good examples of integration.   When we schedule the interviews, we will ask if there are any documents in addition to those we've already assembled that could provide helpful information on any of the activities of interest. In particular, we'll seek publicly-available annual reports, end-of-project reports, and award notices. We will screen the available documents for relevant information using keywords agreed upon with USAID, focusing on keywords that will help us flag any activity components related to climate change.

Analysis

The proposed interview questions include closed-ended questions (e.g., using a Likert scale) and open-ended questions. We will apply simple descriptive statistics to summarize responses to the close-ended questions (e.g., percentages, weighted averages) and will group responses to open-ended questions into categories in order to summarize results. We will provide narrative analysis accompanied by tables and graphs.

Deliverables

1. Assessment Report. We will prepare a report on the assessment for USAID and, once USAID has reviewed the report, we will consult with them about the possibility of preparing a version of the report for external audiences. The main audience for the report is GCC staff responsible for climate change integration across the agency. A secondary audience is USAID staff involved in activity-level design, and potentially external audiences (including implementers) interested in maximizing climate change integration in their work. The report for USAID will include the following sections:

- Executive Summary
- Background
- Purpose
    - Key research questions
- Methods
    - Data sources
        - Phone interviews – interview sample, interview questions, and interview procedure
        - Desk review – document sources, screening procedure
    - Data Analysis
        - Qualitative and quantitative methods
- Results
    - Summary of interviews, including quantitative summary of responses to close-ended questions, qualitative summary of responses to open-ended questions, graphical summary of results
- Discussion of Results
    - Extent of integration
    - Factors enabling integration
    - Barriers to integration

- - o To the extent possible, disaggregation of results by sector, region, country, type of climate risk(s) and other factors found to be relevant
- Recommendations
  - o Suggestions for facilitating integration based on results
  - o Proposed next steps, including ideas for follow-up study, if appropriate

2. Case Study Summaries. We will prepare one-page summaries of the better examples of integration (up to 10 examples). The main audience for the summaries is USAID staff that are involved in activity design. A secondary audience may also be other development agencies and implementers looking for practical ideas related to climate change integration. The main audience for the summaries is USAID staff that are involved in activity design. A secondary audience may also be other development agencies and implementers looking for practical ideas related to climate change integration. At a minimum, the write-ups will include the following information:

- Objectives of the activity, including objectives related to climate change
- Climate change risks addressed by the activity
- Description of how the activity addressed the climate change risks
- Climate change adaptation/mitigation benefits/expected benefits of the activity

For some case studies, we will prepare two versions of the summary: one that includes a longer list of bullet points that are relevant to the design of the activity, in addition to the bullets above, and a second, external write-up, that will focus only on the above bullets.

These success stories will be written in a way that readers can easily relate to, demonstrating that CRM integration helps to ensure the success of USAID's development objectives and that it need not be daunting.

The case studies will be produced in full color with USAID branding. They will typically include at least one photograph. They will be delivered in PDF format.

Timeline

Within one week of USAID's initial email outreach to targeted individuals, CCIS staff will follow-up to finalize the list of interviewees and to schedule interviews. We will regularly update the spreadsheet "CCIS Interview Schedule" https://docs.google.com/spreadsheets/d/1KG8if8L6tObGPE_3rGSXuv8xTsmy4OE-IH7oUv-VMf8/edit?usp=sharing) to indicate contacts and interview dates.

We will train two CCIS team members to conduct the interviews, and these staff will conduct the interview pre-test. We will plan to complete the 30 interviews (one USAID staff and one implementer for each of the15 activities) by the end of February 2017. We expect that Becky Nicodemus, from USAID's Global Climate Change (GCC) Office, will participate in the first few interviews with USAID staff.

We will submit drafts of the assessment report for USAID staff within fifteen business days of completing the interviews. Within 10 business days of receiving comments on the draft, CCIS will submit a final version of the report. Once USAID staff have reviewed the report, we will consult with

them about the possibility of a separate, external version of the report. If USAID decides a separate version will be useful, we will amend the schedule accordingly. A one-page summary for a draft case study will be submitted 10 business days after completing half of the interviews. Revisions to this draft will be returned within 5 business days of receipt of comments. A final version will be returned within 3 business days of receipt of comments on the revised version. Drafts of all of the remaining case studies will be submitted within 15 business days of the last interview, revisions within 10 business days of receipt of comments on the drafts, and final versions within 5 business days of receipt of comments on the revised versions.

ANNEX 2 – INTERVIEW GUIDE FOR USAID STAFF

Climate Change Integration in Activities
Discussion Guide – USAID Staff

Date of Interview:

Interviewer:

Respondent's name:

USAID position:

Solicitation #:

Activity name:

Mission/Operating Unit:

Activity Sector/Funding Source:

Solicitation Incorporation Score:

Solicitation Incorporation Potential:

Implementing organization:

Activity Start Year:

Activity End Year:

Introduction: My name is _____ with _____. We are supporting USAID's Global Climate Change Office (GCC) in their efforts to integrate climate change in USAID programming across sectors. As part of this effort, we are conducting phone interviews with USAID staff and partners with activities funded by solicitations or announcements (RFAs/RFPs) that incorporated climate change as identified in a 2015 USAID study (we can provide a copy of that study if you're interested).The purpose of the interviews is to learn more about how incorporating climate change considerations in a solicitation or announcement translates into implementation and the factors that enable or pose barriers to addressing climate change.

We understand that you have helped design or manage the activity _____ funded by the solicitation/announcement _____. The GCC office would like me to ask you some questions about how and why climate change was or was not included in this activity. Your answers will help USAID improve the integration of climate change in future activities. The interview is designed to take 30 minutes.

For purposes of the interview, climate change integration refers to the incorporation of considerations or actions that help to mitigate climate change, for example through reductions in greenhouse gas emissions, or to adapt to climate change, i.e., to prepare for and cope with the climate change that can't be prevented.

1. Very briefly, what is/was your role in designing the activity?

[If the interviewee did not design or help design the activity, skip to question 7]

2. Was climate change considered in the <u>design</u> of your activity?

      Yes _____   If "yes," please briefly describe how climate change was included.
      No _____   **[If the answer is "no," skip to question 7]**

3. At what point(s) in the design process was climate change considered?

4. Who else was involved in the design of the climate change-related aspects of the activity, including outside help (e.g., USAID or outside climate experts, other members of the implementation team)?

5. What resources, including climate information and tools, were used to consider climate change in the activity design?

6. In what ways did the climate risks and/or mitigation opportunities in your design address climate change consideration in the solicitation?

7. <u>To what extent</u> was climate change addressed in the implementation of the activity?

      Not at all   ____ **[If the answer is "Not at all", skip to question 14a]**
      Somewhat   ____
      Moderately   ____
      Extensively   ____

8. <u>In what ways</u> was climate change addressed in the implementation of the activity?

9. How would you rate the success of the activity in its actions to address climate change?

Not at all successful   ____
Somewhat successful   ____
Moderately successful   ____
Very successful   ____

10. What were some key results related to climate change?

11. Do/did you have any climate change-related indicators? **[If answer is "yes," ask interviewee to provide reports with indicators and indicator results.]**

12. Please answer **"Yes," "No" or "Not Sure"** to the following statement: "*Integrating climate change has strengthened the activity.*"

Yes   _____
No   _____
Not Sure   _____

Please briefly explain your answer.

13a. We'd like to know what factors may have facilitated your implementation of climate-change related actions. I'll provide some examples of potential factors, and for each one I'll ask you to indicate **"Yes," "No," or "Maybe"** about whether the factor helped to facilitate implementation of climate-related actions:

Mission/bureau or office leadership actively encourages climate change integration	
Personal interest of the activity manager (AOR/COR)	
Technical capacity or interest of the implementation team	
The requirements and approach to climate change in the solicitation/announcement	
The requirements and approach to climate change in the contract/grant/cooperative agreement between USAID and the implementer	
Activity stakeholders/beneficiaries expressed interest	
USAID technical resources (e.g., guidance, technical support from Washington)	
Climate change is critical to the success of this activity	
Other (please describe)	

13b. Which of these factors were the two most important? Briefly, why did you select those two?

14a. We'd like to know if you encountered any barriers in addressing climate change in your activity. For each of the following, please say **"Yes," "No," or "Maybe"** to indicate whether you think it was a barrier to the implementation of climate-related actions.

Mission/bureau/ or office does not actively support or even discourages climate change integration	
The activity manager (AOR/COR) does not feel it is an important issue	
The requirements and approach to climate change in the solicitation/announcement	
The requirements and approach to climate change in the agreement between USAID and the implementer	
Lack of technical capacity of the implementation team	
Activity stakeholders/beneficiaries did not have interest	
Lack of information about climate change in the country/sector	
Lack of USAID technical resources (e.g., guidance, technical support from Washington)	
Financial constraints (e.g., lack of funding; addressing climate change is outside the mandate of earmark)	
Lack of time	
Other issues are more critical for achieving activity results	
Other (please describe)	

14b. Which of these were the two most important barriers? Briefly, why did you select those two?

15. In hindsight, were there missed opportunities in the development of the solicitation/announcement that could have promoted more climate integration? If so, what were they and why were they missed?

16. For each of the following resources, please indicate **"Yes," "No," or "Maybe"** if you believe the resource is likely to help your mission or operating unit to ensure that climate change is included your activities.

A technical resource library, e.g., Climatelinks	
A climate risk screening tool	
Climate risk country profiles, describing climate change in the country and key risks	
GHG emissions fact sheet for your country, describing sources of emissions and projected changes	
Sector fact sheets, describing potential sector-specific impacts of climate change	
Online training on climate change	
In-person training on climate change	

The provision of suggested language for solicitations/announcements	
Written examples of how climate change is integrated into different activities	
Other (please describe)	

17. USAID recently issued requirements for climate change integration. As of October 2015, climate change considerations must be included in USAID strategies, and as of October 2016, climate change must be included in USAID projects/activities. Do you think it would have made a difference if these requirements had been in place at the time of the solicitation/announcement, proposal, and/or implementation of your activity? Please briefly explain your answer.

18. Is there anything else you'd like to add?

May we include your name in a list of people we interviewed?

May we include quotations from you in an internal report, if we first email you with the quotations we wish to include and ask for your approval?

Is it okay with you if we interview the Chief of Party? If so, what is the COP's name and email address?

ANNEX 3 – INTERVIEW GUIDE FOR IMPLEMENTERS

Climate Change Integration in Activities
Discussion Guide – Activity Implementers

Date of Discussion:

Interviewer:

Respondent's name:

Position/Title:

Solicitation #:

Activity name:

Mission/Operating Unit:

Activity Sector/Funding Source:

Solicitation Incorporation Score:

Solicitation Incorporation Potential:

Implementing organization:

Activity Start Year:

Activity End Year:

Introduction: My name is _____ with _____. We are supporting USAID's Global Climate Change Office (GCC) in their efforts to integrate climate change in USAID programs. As part of this effort, we are conducting phone interviews with USAID staff and partners with activities funded by solicitations or announcements (RFAs/RFPs) that incorporated climate change as identified in a 2015 USAID study (we can provide a copy of that study if you're interested).The purpose of the interviews is to learn more about how incorporating climate change considerations in a solicitation or announcement translates into implementation and the factors that enable or pose barriers to addressing climate change.

To help support these efforts, the GCC office would like me to ask you some questions about how and why you may have included climate change in the proposal and/or implementation or your activity. Your answers will help USAID improve the integration of climate change in future activities. The interview is designed to take 30 minutes.

For purposes of the interview, climate change integration refers to the incorporation of considerations or actions that help to mitigate climate change, for example through reductions in greenhouse gas emissions, or to adapt to climate change, i.e., to prepare for and cope with the climate change that can't be prevented.

1. What is/was your involvement in the activity?

2. Briefly describe the ways in which your activity proposal addressed/is addressing the climate change considerations in the solicitation/announcement.

3. To what extent is/was climate change addressed in the implementation of your activity?

Not at all ____ [If the answer is "Not at all", skip to question10a]
Somewhat ____
Moderately ____
Extensively ____

4. In what ways is/was climate change addressed in the implementation of the activity?

5. How would you rate the success of the activity in its actions to address climate change?

Not at all successful ____
Somewhat successful ____
Moderately successful ____
Very successful ____

6. What are/were some key results related to climate change?

7. Do/did you have any climate change-related indicators?

[If "yes," ask the interviewee to provide reports with indicators and indicator results.]

8. Please answer **"Yes," "No" or "Not Sure"** to the following statement: "*Integrating climate change has strengthened the activity.*"

Yes ____
No ____

Not Sure   _____

Please briefly explain your answer.

9a. We'd like to know what factors may have facilitated your implementation of climate-change related actions. For each of the following, please say **"Yes," "No," or "Maybe"** to indicate whether it was a factor that helped to facilitate implementation of climate-related actions.

Mission/bureau or office leadership actively encourages climate change integration	
Personal interest of the activity manager (AOR/COR)	
Technical capacity or interest of the implementation team	
The requirements and approach to climate change in the solicitation/announcement	
The requirements and approach to climate change in the agreement between you, the implementer, and USAID	
Activity stakeholders/beneficiaries expressed interest	
USAID technical resources (e.g., guidance, technical support from Washington)	
Actions to address climate change are/were critical to the success of the activity	
Other (please describe)	

9b. Which of these factors were the two most important? Briefly, why did you select those two?

10a. We'd like to know if you encountered any barriers in addressing climate change in your activity. For each of the following, please say **"Yes," "No," or "Maybe"** to indicate whether it was a barrier to the implementation of climate-related actions.

Mission/bureau or office does not actively support or even discourages climate change integration	
The activity manager (AOR/COR) does not feel it is an important issue	
The requirements and approach to climate change in the solicitation/announcement	
The requirements and approach to climate change in the agreement between USAID and the implementer	
Lack of technical capacity of the implementation team	
Activity stakeholders/beneficiaries did not have interest	

Lack of information about climate change in the country/sector	
Lack of USAID technical resources (e.g., guidance, technical support from Washington)	
Financial constraints (e.g., lack of funding; addressing climate change is outside the mandate of earmark)	
Lack of time	
Other issues are more critical for achieving activity results	
Other (please describe)	

10b. Which of these were the two most important barriers? Briefly, why did you select those two?

11. In your view, were there missed opportunities in the solicitation, proposal or implementation of the activity to increase climate resilience and/or climate change mitigation? If "yes," what were those missed opportunities, and why do you think they were missed?

We have two questions about the climate change knowledge of the implementation team.

12. How would you rate the implementation team's knowledge of climate change in the country/countries where the activity occurred/is occurring?

    Poor   _____
    Acceptable   _____
    Good   _____
    Very good   _____

13. How would you rate the implementation team's knowledge of climate change in the sector(s) of the activity?

    Poor   _____
    Acceptable   _____
    Good   _____
    Very good   _____

14. For each of the following resources, please indicate **"Yes," "No," or "Maybe"** if you believe the resource is likely to help the mission or operating unit to ensure that climate change is included your activities.

A technical resource library, e.g., Climatelinks	
A climate risk screening tool	
Climate risk country profiles, describing climate change in the country and key risks	
GHG emissions fact sheet for your country, describing sources of emissions and projected changes	
Sector fact sheets, describing potential sector-specific impacts of climate change	
Online training on climate change	
In-person training on climate change	
The provision of suggested language for solicitations/announcements	
Written examples of how climate change is integrated into different activities	
Other (please describe)	

15. Recently, USAID has issued requirements for climate change integration. As of October 2015, climate change considerations must be included in USAID strategies and as of October 2016, climate change must be included in USAID projects/activities. Do you think it would have made a difference if these requirements had been in place at the time of the solicitation/announcement, proposal, and/or implementation of your activity? Please briefly explain your answer.

16. Is there anything else you'd like to add?

May we include your name in a list of people we interviewed?

May we include quotations from you in a USAID report, if we first email you with the quotations we wish to include and ask for your approval?

[If this is an activity that appears to have been successful in climate change integration, ask the interviewee …] Are there any pictures you could provide us that we might include in a 1-page write-up of your activity that would help to illustrate integration of climate change?

ANNEX 4 – CLIMATE CHANGE INTEGRATION RATINGS

Climate Change Integration in RFPs/RFAs and Funded Activities. LAC=Latin America and the Caribbean; AFG/PAK=Afghanistan and Pakistan; FTF=Feed the Future

Activity/Region/Country	Opportunity Number (Year)	Primary Sector	Extent of Integration in RFP/RFA	Extent of Integration in Activity Implementation
Strong Hubs for Afghan Hope and Resilience (SHAHAR) AFG/PAK Afghanistan	SOL-306-14-000005-00 (2014)	Democracy, Human Rights, and Governance	None	None
Emerging Pandemic Threats Program 2 (PREDICT 2) Washington, DC Global	RFA-OAA-14-000019 (2014)	Global Health	Minimal	None
Palestinian Community Infrastructure Development (PCID) Middle East/North Africa West Bank and Gaza	RFA-294-12-000006 (2012)	Working in Crisis and Conflict	Minimal	None
Pension and Labor Market Reform Program (PALM) Europe and Eurasia Armenia	RFP-111-09-000001 (2009)	Economic Growth	Minimal	None
Strengthening HIV/AIDS Services Asia Papua New Guinea	AID-RFA-492-12-000029 (2012)	HIV/AIDS	Minimal	None
Basa Pilipinas Project (Read Philippines) Asia Philippines	SOL-492-12-000019 (2012)	Education	Minimal	None
Access to Justice Activity (AJA) Latin America Columbia	SOL-514-12-000001 (2012)	Democracy, Human Rights, and Governance	Minimal	None
East Africa Trade and Investment Hub Sub Saharan Africa East Africa Regional	SOL-623-14-000009 (2014)	Economic Growth	Minimal	None
Pastoralists Livelihood Initiative, Phase II Sub Saharan Africa Ethiopia	RFA-663-A-09-004 (2009)	Agriculture and Food Security	Minimal	Moderate

Activity/Region/Country	Opportunity Number (Year)	Primary Sector	Extent of Integration in RFP/RFA	Extent of Integration in Activity Implementation
U.S.-Pakistan Centers for Advanced Studies (USPCAS) AFG/PAK Pakistan	RFA-391-14-000009 (2014)	Education	Minimal	Thorough
Kenya Agriculture Value Chain Enterprises (KAVES) Project Sub Saharan Africa Kenya	SOL-615-12-000006 (2012)	Agriculture and Food Security	Minimal	Thorough
USAID Higher Education Solutions Network (HESN) Washington, DC Global	RFA-OAA-12-000004 (2012)	Education	Minimal	Thorough
Agricultural Extension Capacity Building Activity Asia Bangladesh	RFA-388-12-000006 (2012)	Agriculture and Food Security	Moderate	None
Agro-Inputs Project Asia Bangladesh	RFA-388-12-000004 (2012)	Agriculture and Food Security	Moderate	None
Caribbean Marine Biodiversity Project Washington, DC Caribbean	SOL-OAA-14-000106 (2014)	Biodiversity	Moderate	None
Central Asian Energy Links Asia Central Asia	SOL-176-14-000009 (2014)	Economic Growth and Trade	Moderate	None
West Africa Sanitation Service Delivery (SSD) Sub-Saharan Africa Senegal	AID-RFA-624-14-000005 (2014)	Water and Sanitation	Moderate	None
Strengthening Sustainable Ecotourism in and around the Nyungwe National Park Sub Saharan Africa Rwanda	AID-RFA-492-12-000029 (2009)	Economic Growth and Trade	Moderate	None
Local Enterprise and Value chain Enhancement (LEVE) LAC Haiti	SOL-521-12-000009 (2012)	Economic Growth and Trade	Moderate	None
West Africa Seed Program (WASP) Sub Saharan Africa West Africa	RFA-624-12-000005 (2012)	Agriculture and Food Security	Moderate	Minimal

Activity/Region/Country	Opportunity Number (Year)	Primary Sector	Extent of Integration in RFP/RFA	Extent of Integration in Activity Implementation
Jordan Competitiveness Program (JCP) Middle East/North Africa Jordan	SOL-278-12-000001 (2012)	Economic Growth and Trade	Moderate	Moderate
Naatal MBay Sub-Saharan Africa Senegal	SOL-685-14-000032 (2014)	Agriculture and Food Security	Moderate	Thorough
FTF Commodity Production and Marketing Sub-Saharan Africa Uganda	SOL-617-12-000020(1) (2012)	Agriculture and Food Security	Moderate	Thorough
Kenya Feed the Future Innovation Engine (KFIE) Sub Saharan Africa Kenya	SOL-615-12-000004 (2012)	Agriculture and Food Security	Moderate	Thorough
People, Rules, and Organizations Supporting the Protection of Ecosystem Resources (PROSPER) Sub-Saharan Africa Liberia	SOL-669-12-000001 (2012)	Biodiversity	Thorough	None
Regional Trade and Market Alliances (formerly Regional Trade and Food Security) LAC Central America	SOL-596-12-000004 (2012)	Economic Growth and Trade	Thorough	None
Resilience and Economic Growth in the Arid Lands-Improving Resilience (REGAL-IR) Sub-Saharan Africa Kenya	SOL-623-12-000008 (2012)	Economic Growth and Trade	Thorough	Moderate
Assets and Market Access Innovation Lab (AMA Innovation Lab) Washington, DC Global	RFA-OAA-12-000001 (2012)	Agriculture and Food Security	Thorough	Thorough
FTF Innovation Lab for Integrated Pest Management (IPM) Washington, DC Global	RFA-OAA-14-000018 (2014)	Agriculture and Food Security	Thorough	Thorough
FTF Zimbabwe Poverty Reduction and Food Security-Crop Development Program Sub-Saharan Africa Zimbabwe	RFA-613-14-000001 (2014)	Agriculture and Food Security	Thorough	Thorough

Activity/Region/Country	Opportunity Number (Year)	Primary Sector	Extent of Integration in RFP/RFA	Extent of Integration in Activity Implementation
FTF Knowledge-Based Integrated Agriculture and Nutrition (KISAN) Asia Nepal	SOL-367-12-000004 (2012)	Agriculture and Food Security	Thorough	Thorough
USAIDs Agricultural Value Chains (AVC) Program Asia Bangladesh	SOL-388-12-000007 (2012	Agriculture and Food Security	Thorough	Thorough

ANNEX 5 – INTERVIEW SCORES FROM USAID'S 2015 STUDY

Score	Criteria
0	**None**: no or only passing reference to climate change.
0.5-1	**Minimal**: includes some specific information on climate change, but in generic terms or only as background.
1.5-2	**Moderate:** Climate change is fairly well integrated; some specific contextual information is included, with country/project specific concerns articulated and related to project. However, if climate-related requirements for the offeror are included, they are weak.
2-5-3	**Thorough:** Climate change is substantively integrated, with specific guidance for and requirements of offerors. Example areas for strong integration include a climate vulnerability assessment or information on expected climate impacts requested of offeror; mitigation or adaptation-specific requirements included in the statement of work; a climate change expert included as key personnel; and climate included in evaluation criteria.

Activity	Overall	Background	Prog Desc	Indicators	M&E	Key Personnel	Eval Criteria	Attachment
PALM	0.5	0	1	0	0	0	0	0
Pastoralist Livelihoods Initiative, Phase II	0.5	0	1	0	0	0	0	.
Ecotourism Nyungwe National Park in Rwanda	2	3	1	0	0	0	0	0.5
HIV/AIDS Services Papua New Guinea	0.5	0	0	0	0	0	1.5	0
Agro-Inputs	2	3	1.5	0	0	0	0	.
Agricultural Extension Capacity Building Activity	2	3	1.5	1	0	0	0	0
AVC	3	3	3	3	0	0	1	2
Read Philippines	0.5	0	0.5	0	0	0	0	0
AJA	0.5	1	0	0	0	0	0	0
LEVE	1.5	0	2	0	0	0	1	3
PCID	0.5	1	0	0	0	0	0	0
JCP	1.5	1	2.5	0	0	0	0	.
PROSPER	3	3	3	2	2	0	0	.

Activity	Overall	Background	Prog Desc	Indicators	M&E	Key Personnel	Eval Criteria	Attachment
WASP	1.5	1	1.5	0	0	0	0	2
KFIE	1.5	1.5	1.5	0	0	0	0	2
KAVES	3	0	3	0	0	0	0	3
FTF CPM	2	0.5	2	0	0	0	0	3
REGAL-IR	3	2	3	2	0	0	0	3
AMA Innovation Lab	3	3	3	1.5	0	0	0	.
HESN	1	0	1	0	0	0	0	0
W. Africa SSD	1.5	1	0	0	0	0	0	3
E. Africa Trade And Investment Hub	1	1	1.5	0	0	0	0	0
Innovation Lab for IPM	3	3	3	0	0	0	3	.
PREDICT-2	0.5	0.5	0	0	0	0	0	.
Caribbean Marine Biodiversity	1.5	0.5	1.5	0	0	0	0	2
KISAN	3	3	3	2	0	0	0	2
Central Asian Republics Energy Links	1.5	1	1.5	0	0	0	0	3
Zimbabwe Crop Development	2.5	0	3	0	1	0	0.5	.
USPCAS	1	0	1.5	0	0	0	0	3
Naatal Mbay	2	2	3	0	0	0	0	1
SHAHAR	0	0	0.5	0	0	0	0	.
Regional Integrated Trade and Food Security	2.5	0	3	0	0	0	0	.