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USAID Adapt Asia-Pacific

Mid-term Performance Evaluation of the USAID/Climate Change Adaptation Project Preparation Facility for Asia and the Pacific: *Final Evaluation Report*

November 2014

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ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
AECOM	AECOM International Development
APAN	Asia-Pacific Adaptation Network
ARCC	Adaptation and Resilience to Climate Change
CANSA	Climate Action Network South Asia
CBA	cost-benefit analysis
CDIA	Cities Development Initiative for Asia
CIIPP	City Infrastructure Investment Prioritization and Programming toolkit
CoP	Community of Practice
COR	Contracting Officer's Representative
CPEIR	Climate Public Expenditure and Institutional Review
CSO	civil society organization
DQA	Data Quality Assessment
E3	Bureau for Economic Growth, Education, and Environment
ECCA	Economics of Climate Change Adaptation
GCF	Green Climate Fund
GESI	gender equality and social inclusion
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit, GmbH (German: German Society for International Cooperation, Ltd.)
GTSP	Government Training Support Program
ICCTF	Indonesia Climate Change Trust Fund
ICLEI	ICLEI-Local Governments for Sustainability
KII	key informant interview
LDCF	Least Developed Countries Fund
LEAD	Low Emissions Asian Development
LEAF	Lowering Emissions in Asia's Forests
M&E	monitoring and evaluation
NABARD	National Bank for Agriculture and Rural Development (India)
NESDB	National Economic and Social Development Board
NIE	National Implementing Entity
NRCT	National Research Council of Thailand
ONEP	Office of Natural Resources and Environmental Policy and Planning (Thailand)
PCBA	Pacific Cost-Benefit Analysis
PIFS	Pacific Island Forum Secretariat
PPCR	Pilot Program for Climate Resilience
PMP	Performance Management Plan
RDMA	Regional Development Mission for Asia
RECOFTC	The Center for People and Forests
SPREP	Secretariat of the Pacific Regional Environment Programme
UCCRTF	Urban Climate Change Resilience Trust Fund
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
US	United States
USAID	US Agency for International Development
USG	US Government

EXECUTIVE SUMMARY

Overview

The United States Agency for International Development (USAID) Regional Development Mission for Asia (RDMA) supports regional activities that address regional and transnational development and environment priorities, and provides value-added support to USAID bilateral missions in Asia. RDMA created the USAID/Climate Change Adaptation Project Preparation Facility for Asia and the Pacific, hereinafter referred to as USAID Adapt Asia-Pacific. USAID Adapt Asia-Pacific addresses capacity and information needs of eligible governments in the Asia region in accessing climate change adaptation funds and accelerating investments in initiatives that increase resilience to the negative impacts of climate change.

In the project's third year of operation, RDMA awarded a contract to ICF International (ICF) to conduct a mid-term performance evaluation of USAID Adapt Asia-Pacific. This draft report presents the results of the mid-term evaluation. The primary purpose of the mid-term performance evaluation is to understand what has worked well, what has worked less well, and to learn and incorporate lessons to enhance performance for the second half of the project. The evaluation has four main objectives:

- Determine the extent to which the Project is on track to meeting the overall requirements of the contract;
- Identify factors that help or hinder the Project's achievement of expected outcomes;
- Recommend corrective actions needed and/or areas for improvement to achieve the expected results during the duration of the Project; and
- Recommend specific opportunities to enhance programmatic effectiveness and impact at the regional level and further strengthen the regional cohesive approach of the Project.

USAID Adapt Asia-Pacific's principal objectives are to: (a) strengthen human and institutional capacity to prepare quality climate change adaptation investment proposals; (b) accelerate and ensure sustained access to financial resources for climate change adaptation investment projects; and (c) strengthen and sustain a regional knowledge platform to share and replicate best practices. These objectives are to be achieved through activities in five key tasks:

1. Support a sustainable regional knowledge-sharing platform;
2. Hold an annual forum to bring adaptation funds and project proponents together;
3. Design and implement a climate change adaptation project capacity-building program;
4. Provide technical assistance for preparing funding proposals; and
5. Provide overarching program management and coordination for the aforementioned four technical tasks.

The project is also expected to promote regional networking, as well as gender and other social equity issues. Among the four technical tasks, Task 3 (capacity building) was assigned the largest share of technical resources (i.e., funds exclusive of management and coordination covered by Task 5), at 39 percent of the budget, followed by Task 4 (project proposal preparation) at 28 percent. Tasks 1 and 2 received 10 and 23 percent, respectively. The impacts of USAID Adapt Asia-Pacific are measured in terms of:

- People with adaptive capacity to cope with impacts of climate change;
- Climate change projects with access to finance;
- Climate adaptation model actions applied; and
- Institutions and practitioners with increased capacity to prepare adaptation projects.

Evaluation Design, Data Collection, and Analysis

This mid-term performance evaluation used hypothesis testing, qualitative analysis of stakeholder information, triangulation, timeline creation, and other data analysis methods to construct evidence-based findings, conclusions, and recommendations. An evaluation matrix provided the conceptual foundation for the evaluation by aligning each evaluation question with specific data sources, data collection instrumentation, and a tailored evaluation design strategy. The Evaluation Team identified certain data limitations it took into account when preparing its findings, conclusions, and recommendations.

The Evaluation Team principally employed two types of data collection – desk study of more than 100 documents and key informant interviews with 114 individuals. The majority of the key informant interviews were conducted in person during field work in Thailand, India, Cambodia, Indonesia, Philippines, Fiji, and Samoa during a four-week timeframe. The core team members were also joined by RDMA staff in some countries.

Findings and Conclusions

Progress and Achievement on Performance Indicator Targets

USAID Adapt Asia-Pacific is on track to meet nearly all of its expected results as defined by its performance indicator targets, with approximately half of the targeted results achieved at the mid-point of the project.

Task I: Regional Knowledge Platform

Task I is intended to meet one of the primary objectives of the USAID Adapt Asia-Pacific project: to “strengthen and sustain a regional knowledge platform” through which “innovative practices and experiences from the project’s activities are shared, replicated, and scaled-up.” In the project’s design, the regional platform was also seen as central to the sustainability of the USAID Adapt Asia-Pacific project.

In selecting the Asia-Pacific Adaptation Network (APAN), USAID Adapt Asia-Pacific has chosen the best—or at least most visible and recognized—online knowledge platform. However, the project has not fully leveraged the capacity of APAN. APAN has limitations, including limited reach in the Pacific and weak navigability and library indexing, which could constrain USAID Adapt Asia-Pacific’s ability to make its materials fully and easily available to the public. USAID Adapt Asia-Pacific’s engagement has not fully addressed these limitations but there are ongoing efforts to sustain, consolidate, and improve the platform.

APAN has a number of contributors and USAID Adapt Asia-Pacific is only one voice among many. As a result, it is difficult to cleanly separate USAID Adapt Asia-Pacific's contributions from the rest. USAID Adapt Asia-Pacific's specific contributions to APAN are not well-recognized by some key APAN partners, which makes it difficult to determine what would have happened without USAID Adapt Asia-Pacific.

USAID Adapt Asia-Pacific has not fully utilized APAN as “the principal mechanism through which innovative practices and experiences from the project's activities are shared, replicated, and scaled-up.” Very few USAID Adapt Asia-Pacific knowledge products are available on APAN. Few of those that are online share innovative practices and experiences from the project's activities. USAID Adapt Asia-Pacific may have had a hand in establishing a thematic area for adaptation finance on APAN but its own products are making a very limited contribution in this area. If this current trajectory continues, APAN will not be “fundamental to the sustainability of the project,” as the original Statement of Work anticipated.

Task 2: Annual Forum

The original terms of reference envisioned the Annual Forum as a means of bringing adaptation project proponents and adaptation fund managers together to catalyze contacts between these groups. The Forum has three objectives under USAID Adapt Asia-Pacific: (1) increase understanding of available climate funding resources and the requirements for accessing the funds; (2) identify priority capacity gaps and country needs in preparing climate change adaptation project proposals; and (3) identify promising adaptation projects for financing and the additional technical assistance necessary to bring them to financial closure. Three forums have been held since the inception of USAID Adapt Asia-Pacific.

The Forums have been recognized as well-executed events with well-regarded speakers, facilitators, and informative sessions. It may be that the Forums have served the USAID Adapt Asia-Pacific staff as useful sources of information on stakeholder interests and as a means of making and deepening contacts in the corresponding countries for possible project activities. In several respects, though, the Forums have been isolated or self-contained events, each standing on its own but, taken together, they have been constrained in their positive spillover effects for participants.

There has been limited or no established “clientele” for the Forums, at least not since the first one, which introduced USAID Adapt Asia-Pacific, raised awareness, and helped identify priorities. This gap can be observed various ways. The number of repeat participants is in the low single digits. The Forums have experienced a geographic divide. A Forum held in Asia is principally an Asia event. One held in the Pacific is principally a Pacific event. Also, it is unclear whether the Forums have consistently had the right participants. Furthermore, USAID Adapt Asia-Pacific may not have been able to take sufficient advantage of the Forums to market the project's services and products. Finally, while there was targeted follow-up by USAID Adapt Asia-Pacific staff to specific opportunities, it appears that there was no widespread follow-up with Forum participants.

Task 3: Capacity Building Program

This component of USAID Adapt Asia-Pacific is intended to strengthen the capacity of national government agencies and other organizations in the target countries to prepare climate change adaptation project proposals. Given its scope, role, and activities, this task carries significant weight in terms of the expected impact and sustainability of USAID Adapt Asia-Pacific in Asia and the Pacific. Based on the overall allocation of resources, the capacity building program has the greatest emphasis of

all of the project components of USAID Adapt Asia-Pacific, though it also depends in many respects on other components, especially Task 4 (Project Preparation).

Capacity building under USAID Adapt Asia-Pacific appears to be fragmented. It does not have a clear statement of purpose and set of programming that sufficiently serve USAID Adapt Asia-Pacific's mission, create lasting capacity building and thought leadership, take full advantage of project-generated experience, and build on/align with USAID Adapt Asia-Pacific's project preparation efforts. To some degree, the fragmented portfolio of capacity building activities reflects USAID Adapt Asia-Pacific's commitment to a demand-driven approach, as well as its 27 country mandate. A challenge for Adapt in its final two years will be to identify and reinforce the activities that have the greatest potential for regional application.

Training. Cost-benefit analysis (CBA) training has been a large portion of USAID Adapt Asia-Pacific's training efforts. However, it is not evident that the role of CBA in project preparation warrants this high proportion. Longer term training of government staff on project preparation would have broader utility, for example, better positioning and enabling them as managers and implementers of project preparation efforts.

Institutional Capacity Building. In several respects, it is understandable that USAID Adapt Asia-Pacific's institutional capacity building results have been limited. Capacity building on a regional project like USAID Adapt Asia-Pacific is particularly challenging since it has limited presence and activities in any given country. Even in the best of circumstances, institutional capacity building is not easy. It takes a lot of time, effort, and special attention. Capacity building, at least as customarily practiced, calls for building relationships between project staff and individuals at the counterpart institutions.

A regional project like USAID Adapt Asia-Pacific is not readily positioned to do extensive relationship building. A different approach is needed. Project proposal preparation (as discussed in the section below on Task 4) can be made more regional in scope and influence by having it serve the capacity building goal more (and project proposal and fund leveraging less, if necessary). On the regional level, there are opportunities for this targeted focus, such as with the Secretariat of the Pacific Regional Environment Programme (SPREP) in the Pacific and the Cities Development Initiative for Asia (CDIA) in Asia.

At a minimum, coming to an explicit agreement between the counterpart institution and USAID Adapt Asia-Pacific on the goals, means, timing, and corresponding commitments would codify, externalize, and reinforce that USAID Adapt Asia-Pacific and the institution have undertaken the capacity-building effort jointly.

Tools, Technologies, and Methods. USAID Adapt Asia-Pacific has not yet taken good advantage of project-generated experience, lessons learned, and best practices to inform its internal/external knowledge products. USAID Adapt Asia-Pacific seems to have several items that have been developed and used but that have not been polished and refined for wider use and dissemination. Strong dissemination and promotion in the second half of the project would increase the potential that USAID Adapt Asia-Pacific's knowledge products are put to good use.

Task 4: Project Preparation Facility

Task 4 was designed to deliver necessary technical assistance to further develop climate change adaptation project proposals. To accomplish this objective, the USAID Adapt Asia-Pacific team was intended to establish a facility with flexible arrangements that would allow it to rapidly mobilize teams with varying expertise to provide the technical assistance.

USAID Adapt Asia-Pacific has provided superior niche-level technical assistance for adaptation project proposals. Expert consultants have been rapidly mobilized to provide short-term support for project preparation teams. This technical assistance has resulted in better project proposals. The project's approach of working through multilateral intermediaries has been successful in delivering results in terms of adaptation projects funded or in the pipeline.

However, this technical assistance has not led to “game-changing progress” for individual institutions, countries, or the region. Technical assistance has been used as the primary strategy to build institutional capacity. Short-term technical assistance for preparing a specific project provides a limited opportunity to strengthen an institution. Indeed, the capacity built through technical assistance has been narrow in scope and limited in impact in most institutions with which USAID Adapt Asia-Pacific has engaged.

The majority of project preparation technical assistance has been delivered bilaterally, with limited instances of regional learning. In part, this pattern is a result of the financing structure of international adaptation funds. Nearly all adaptation funding is allocated on an individual country basis, and thus projects are prepared and implemented within national borders. Significant opportunities exist, however, to harvest the knowledge and tools that USAID Adapt Asia-Pacific has developed through its bilateral project preparation assistance and re-purpose it for a regional audience.

Cross-cutting Project Elements

Regional Cohesive Approach. USAID Adapt Asia-Pacific is a regional project that features bilateral-level activities in selected locations as well as activities that are by their nature regional in scope. The project's activities span the spectrum from a regional emphasis in its engagement – as is the case with Tasks 1 and 2 (APAN and the Annual Forum) and to a degree with Task 3 (Capacity Building) – to a bilateral focus, as is the case with all of the project preparation activities of Task 4 as well as some of USAID Adapt Asia-Pacific's capacity building activities (individual training and the on-the-job vulnerability and adaptation assessment training). USAID Adapt Asia-Pacific can create a more cohesive and effective regional capacity building effort by converting more of its bilateral project experience and capacity building into regionally applicable knowledge products and twinning activities.

Gender. USAID Adapt Asia-Pacific does not have a comprehensive or cohesive approach around gender. However, gender dimensions have been considered by USAID Adapt Asia-Pacific through several tactical avenues. Women have accounted for 40 percent of the individuals trained and 40 percent of the person-hours of training achieved by the project. Of the 12 projects for which USAID Adapt Asia-Pacific has provided technical assistance for proposal preparation, four have had a specific gender component. USAID Adapt Asia-Pacific's contribution of gender experts is a significant accomplishment for the gender sensitivity of those projects. Still, none of the USAID Adapt Asia-Pacific-sponsored training events have focused on gender and climate change adaptation. In the Annual Forums, there was no evidence of gender having been the main topic of any Forum participation nor was it a topic tagged in the recording of the Second Forum's Development Marketplace. This finding does not preclude the possibility, however, that gender perspectives entered the actual discussions.

USAID Adapt Asia-Pacific hired external consultants who prepared an excellent Gender Sourcebook. The Sourcebook was intended to provide online guidance specifically for large-scale adaptation project

proposal writers.¹ The preparation of the Sourcebook was a mostly stand-alone effort, seemingly isolated from USAID Adapt Asia-Pacific's efforts to integrate gender considerations into project proposals.

Coordination with Bilateral Missions and Other Projects. With a few exceptions, USAID Adapt Asia-Pacific has maintained strong and positive working relationships with the USAID bilateral missions and US embassies within the project's geographic scope. USG officials generally appreciated USAID Adapt Asia-Pacific's demand-driven posture and flexibility, although in some countries, there were requests for more communication (e.g., regular updates and advance travel notice). The Evaluation Team found very limited evidence of coordination with other USG projects and programs.

Regional Coverage in Asia and the Pacific. Originally designed to focus on 13 Asian countries—consistent with RDMA's geographic coverage—USAID Adapt Asia-Pacific's geographic scope was widened in the first year of implementation to include 14 nations in the Pacific. With 27 eligible countries, USAID Adapt Asia-Pacific is one of, if not the broadest, regional project implemented by RDMA. All 27 eligible countries have participated to some extent in the USAID Adapt Asia-Pacific project, which is, in itself, a notable achievement. While project preparation has been largely in the Pacific, capacity building has been focused more strongly in Asia. In Asia, USAID Adapt Asia-Pacific is a small player in the climate change adaptation field, and the project's contributions are narrow. In the Pacific, USAID Adapt Asia-Pacific has more visibility and has created positive diplomatic results for the USG. Pacific Island countries have had a seemingly stronger demand for USAID Adapt Asia-Pacific's assistance and get greater “bang for the buck.”

Sustainability

The sustainable potential of USAID Adapt Asia-Pacific varies by activity and outcome. Project preparation supported by USAID Adapt Asia-Pacific consultants and the Annual Forum will cease. However, other elements of the USAID Adapt Asia-Pacific project have the potential to leave a legacy.

Sustainability of Project Preparation Results. Improved project design as a result of USAID Adapt Asia-Pacific's support might reasonably be expected to result in more sustainable project impacts (e.g., people with improved adaptation capacity).

Sustainability of Capacity Built in Individuals and Institutions. An ex-post assessment by the project found that most participants in one of Adapt-Asia Pacific's training activities are directly applying the knowledge they gained. For other training events response rates were low and inconclusive. Attendance at multiple USAID Adapt Asia-Pacific events may reinforce the sustainability of any human capacity that might be built. However, attendance at multiple events is not frequent. Nonetheless, the majority of individuals attending multiple events are those participating in the CBA program. Its long-term, repeat exposure format shows promise for sustainable improvements in individuals' capacity to conduct economic analysis.

¹ The Evaluation Team is not aware of a comprehensive dissemination strategy for the Sourcebook. The web address for the Sourcebook was distributed to participants in the Third Annual Forum, and printed copies of the Sourcebook have been distributed at other events.

Achieving and reinforcing the intended capacity building results in certain countries will give the project much better potential for sustainability. For example, in India, if USAID Adapt Asia-Pacific can help NABARD obtain Adaptation Fund approval for its first round of project submissions and reinforce that experience with a second round of project identification, prioritization, and preparation, then NABARD will have a better chance to accomplish these tasks independently after USAID Adapt Asia-Pacific closes. USAID Adapt Asia-Pacific can both regionalize and improve the sustainability of this effort and one in the Philippines by pursuing twinning opportunities and creating knowledge products to support other countries with similar goals.

Sustainable Homes for Knowledge Generated. Sustainability for USAID Adapt Asia-Pacific's knowledge products calls for finding permanent homes where that knowledge can be put to use. APAN was envisioned as fundamental to the sustainability of the project in this regard, but USAID Adapt Asia-Pacific has not fully utilized this platform. USAID Adapt Asia-Pacific envisions different homes for most USAID Adapt Asia-Pacific knowledge, including United Nations University, SPREP, Pacific Island Forum Secretariat, and CDIA.

Program Management

The Evaluation Team observed that the USAID Adapt Asia-Pacific team has provided good services, especially in project preparation activities. The project team has been accessible, highly responsive, timely, and efficient in the field work that it has done. It is also notable that the USAID Adapt Asia-Pacific team has been resilient, adjusting activities and approaches to take advantage of opportunities and to deal with constraints. The team has been somewhat experimental in its approach, for example trying a new innovative activity in the Development Marketplace, which was widely recognized as successful.

The addition of the Pacific countries represented a substantial change in the mission and thrust of USAID Adapt Asia-Pacific. The project has produced notable results in the Pacific with moderate resources and generated high visibility and positive diplomatic results for the USG.

Helping Factors

Project design and underlying assumptions. USAID Adapt Asia-Pacific was well-designed with clear linkages between the key activities and objectives of the project.

Existing national or sub-national systems. Identifying countries with slightly more capacity was helpful for the achievement of results. However, the Evaluation Team did not find evidence that specific national or sub-national systems were particularly helpful to the achievement of project results.

Existing mechanisms for the national or sub-national governments to access climate change adaptation funds. Existing national mechanisms to access climate adaptation funds (ICCTF in Indonesia and NABARD's national accreditation with the Adaptation Fund) offered strategic entry points for USAID Adapt Asia-Pacific.

Implementation approach. The personal and professional connections of USAID Adapt Asia-Pacific's senior staff in Asia and particularly the Pacific region helped implementation. Also, country partners noted frequent on-the-ground presence of USAID Adapt Asia-Pacific staff as an advantage and indication of team commitment, although that presence certainly comes at a cost.

Donor coordination. USAID Adapt Asia-Pacific has had strong coordination with other regional and global partners and donors that has allowed the project to reach a larger audience. While many of

USAID Adapt Asia-Pacific's activities are closely related to efforts undertaken by other partners, the Evaluation Team did not find any evidence of direct duplication of effort.

Hindering Factors

Project design. The project's expanded geographic scope of 27 countries has been a challenge for capacity building. Building sustainable institutional capacity to independently prepare successful adaptation project proposals requires building relationships with counterpart institutions on a longer term basis. This process is much slower and more difficult for a regional project. Also, travel in the Pacific is costly.

Existing mechanisms for the national or sub-national governments to access climate change adaptation funds. The lack of countries in Asia-Pacific with direct access to international climate change adaptation finance has been a challenge to the project. Many Asian and Pacific Island countries are far from being able to access the Adaptation Fund directly. Also, the GCF is not yet fully operational and has not yet defined criteria for direct country access to its funds.

USAID regional dynamics. Government officials from all eligible Asia-Pacific countries have participated in USAID Adapt Asia-Pacific. However, due to external factors largely outside USAID Adapt Asia-Pacific's control, the project was not able to work in certain countries (such as Bangladesh and Vietnam).

External interest—Competing or different national interests are a challenge for the project's institutional capacity building efforts in some countries where USAID Adapt Asia-Pacific is working or has worked. For example, in the Philippines, competing priorities in the counterpart institution meant that the accreditation process did not always receive timely attention, with the result that progress has at times been stalled.

Recommendations for Adjustments, Corrective Actions, and Areas of Improvement

To improve the likelihood of achieving expected project results, the Evaluation Team recommends the following adjustments, corrective actions, and improvements.

Strategic Recommendations for Adjustments, Actions, or Improvements

1. **Think regionally - act and learn bilaterally.** USAID Adapt Asia-Pacific should create and apply a regionally-driven approach to its capacity building program that effectively uses its project preparation and country-specific capacity building activities for this purpose. For example, a twinning activity could be established for USAID Adapt Asia-Pacific to support country-to-country mentoring with support from a regional organization.
2. **Enhance regional impact by refining, positioning, and disseminating knowledge products.** USAID Adapt Asia-Pacific should consolidate more of its experience in finalized knowledge products and develop a plan of action to produce, communicate, and disseminate knowledge products. The more that USAID Adapt Asia-Pacific can identify external opportunities for sharing its experience, the greater will be its opportunity to become a thought leader on access to climate finance in the Asia-Pacific region and to produce a knowledge legacy that persists after the project ends.

3. **Implement a two-way “conscious commitment” approach to institutional capacity building.** USAID Adapt Asia-Pacific and any institution in which it hopes to build capacity should consciously construct and agree to the joint capacity building effort, even if the capacity building is narrowly focused on a particular skill, ability, task, or performance of the institution. There is a potential “win” for USAID Adapt Asia-Pacific in adding this new procedural element to its institutional capacity building efforts. For example, USAID Adapt Asia-Pacific could “capture” the institutional capability building associated with the ECCA training by cycling back to the corresponding institutions to confirm and codify the increase in skills assets that the institutions enjoy as a result of the training.
4. **Select future project preparation activities strategically to maximize regional impact.** This selectivity would mean that any projects for which USAID Adapt Asia-Pacific provides technical assistance should clearly contribute to strengthening national and regional capacity to independently prepare projects and access adaptation funding. In practice, this approach is likely to mean moving away from providing technical assistance to multilateral intermediary project teams.

Operational Recommendations for Adjustments, Actions, or Improvements

5. **Better utilize APAN to serve USAID Adapt Asia-Pacific’s objectives.** USAID Adapt Asia-Pacific should continue its support and engagement of APAN, particularly to promote improvement of the website’s navigability and searching.
6. **Tighten the mission and utility of the Forum.** USAID Adapt Asia-Pacific should organize the Forum to make more of a strategic contribution towards capacity building, thought leadership, and action. Along these lines, Year Four’s Forum could be replaced by sub-regional training events on special topics, or if the USAID Adapt Asia-Pacific team still felt a compelling need to hold a Year Four Forum, the event could be simplified by limiting the focus to USAID Adapt Asia-Pacific’s own work.
7. **Strengthen USAID Adapt Asia-Pacific’s capacity-building experience and expertise.** The Evaluation Team recommends that the project’s technical expertise be complemented by professional expertise and experience in capacity building itself. One possibility would be to hire a full-time senior capacity building professional who has experience in designing and implementing training and twinning programs as well as, ideally, in creating, communicating, and disseminating knowledge products for capacity building.
8. **Graduate the CBA programs.** Each of USAID Adapt Asia-Pacific’s two CBA training efforts should be transitioned to a training institution that can promote and sustain the training.
9. **Maintain the project’s geographic scope, if resources allow.** The Evaluation Team recommends that USAID Adapt Asia-Pacific continue providing support to the Pacific Island countries, if resources allow. Moving forward, the project’s work in individual countries should clearly serve its broader regional objectives (as elaborated in Recommendation #1).

I INTRODUCTION

The United States Agency for International Development (USAID) Regional Development Mission for Asia (RDMA) supports regional activities that address regional and transnational development and environment priorities, and provides value-added support to USAID bilateral missions in Asia. To support the achievement of USAID/RDMA's Strategic Objective of "Improved response to environmental challenges in Asia," RDMA created the USAID/Climate Change Adaptation Project Preparation Facility for Asia and the Pacific, hereinafter referred to as the USAID Adapt Asia-Pacific Project. USAID Adapt Asia-Pacific addresses capacity and information needs of eligible governments in the Asia region in accessing climate change adaptation funds and accelerating investments in initiatives that increase resilience to the negative impacts of climate change.

In the project's third year of operation, RDMA awarded a contract to ICF International (ICF) to conduct a mid-term performance evaluation of USAID Adapt Asia-Pacific. This draft report presents the results of the mid-term evaluation. The report is organized as follows:

- The remainder of this chapter describes the purpose and key questions of the evaluation;
- Chapter 2 provides an overview of the USAID Adapt Asia-Pacific project;
- Chapter 3 describes the evaluation methods and limitations; and
- Chapter 4 presents the findings, conclusions, and recommendations.

I.1 Evaluation Purpose

The primary purpose of the mid-term performance evaluation is to understand what has worked well, what has worked less well, and to learn and incorporate lessons to enhance performance for the second half of the project. To that end, the mid-term evaluation has four main objectives:

- Determine the extent to which the Project is on track to meeting the overall requirements of the contract;
- Identify factors that help or hinder the Project's achievement of expected outcomes;
- Recommend corrective actions needed and/or areas for improvement to achieve the expected results during the duration of the Project; and
- Recommend specific opportunities to enhance programmatic effectiveness and impact at the regional level and further strengthen the regional cohesive approach of the Project.

The evaluation covers all key activities that contribute to the achievement of the USAID Adapt Asia-Pacific Project's overall goal and objectives. In addition to USAID/RDMA and the USAID Adapt Asia-Pacific project team, the evaluation is also expected to be of use to bilateral, regional, and multilateral partners and stakeholders, civil society organizations (CSOs), host country governments, and other USAID missions working on climate change adaptation preparation capabilities throughout Asia and the Pacific region.

I.2 Evaluation Questions

The mid-term evaluation responds to the following key evaluation questions, as stipulated in the Statement of Work (reproduced in full in Annex A).

1. To what extent is the USAID Adapt Asia-Pacific Project on track to meeting overall requirements of the USAID Adapt Asia-Pacific project contract and Statement of Work? Responses must include but not be limited to the following areas:
 - a. the key results and effectiveness of approach of the project on promoting adaptation in this region;
 - b. the emphasis and effectiveness of the project on working through multilateral intermediaries vs. direct bilateral government contacts;
 - c. the effectiveness of USAID Adapt Asia-Pacific in coordinating and maintaining good relations with USAID Bilateral Missions and other U.S. Government-related projects;
 - d. efforts to ensure sustainability of programmatic results;
 - e. effectiveness in integrating women's access and fostering women leadership role in project implementation;
 - f. rationale and cost effectiveness in resources allocation by country and between Asia and the Pacific;
 - g. role of USAID Adapt Asia-Pacific in coordinating with other donors to cover gaps in the region.

2. What specific factors help or hinder in the achievement of the expected results? Responses must include but not be limited to the following areas:
 - a. validity of underlying assumptions;
 - b. other donors working on the same objectives including their approaches and gaps relative to the activities they support;
 - c. existing national/sub-national systems that can help or hinder in the achievement;
 - d. mechanisms for the national/sub-national governments to access to climate change adaptation fund.

3. What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the Project? These may include but not be limited to the following:
 - a. opportunities to add, change, and/or remove activities to meet or surpass the project targets/objectives;
 - b. opportunities to improve project effectiveness through a different geographic scope, different emphasis on individual countries or different activities;
 - c. opportunities to improve project effectiveness through different emphasis on multilateral intermediaries vs. direct bilateral government partners;
 - d. opportunities to enhance project effectiveness, impact, and sustainability at the regional level;
 - e. exit strategy in case there is/are recommendation(s) to remove activities or change the geographic scope.

2 PROJECT BACKGROUND

In 2010, USAID/RDMA released the final report findings and recommendations of an Asia-Pacific Regional Climate Change Adaptation Assessment. Among other challenges, the assessment highlighted key gaps in understanding on the procedural requirements to access climate change adaptation funds

and the need to build capacity among government officials and key stakeholders in the region. Recognizing the development challenges and opportunities identified in the 2010 assessment, and in support of the USG Global Climate Change Initiative and USG commitment to fast funding under the Copenhagen Accord, USAID/RDMA created the USAID Adapt Asia-Pacific Project. A five-year \$17 million technical support services contract was awarded to AECOM International Development (AECOM) to implement the project, from September 2011 through 2016.

At the time of award, USAID Adapt Asia-Pacific was designed to focus exclusively on Asian countries; however, by early 2012, the geographical scope had widened to include nations in the Pacific. The following Asian countries are eligible to participate in USAID Adapt Asia-Pacific: Bangladesh, Cambodia, India, Indonesia, Laos, Maldives, Mongolia, Nepal, Philippines, Sri Lanka, Thailand, Timor-Leste, and Vietnam. Eligible nations in the Pacific include: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu. Figure 1 shows eligible countries in the region.

Figure 1: USAID Adapt Asia-Pacific Project Countries (not to scale)



The goal of USAID Adapt Asia-Pacific is to “increase adaptation capacity and resilience of communities to the negative impacts of climate change.” In meeting this goal, USAID Adapt Asia-Pacific’s principal objectives are to: (a) strengthen human and institutional capacity to prepare quality climate change adaptation investment proposals; (b) accelerate and ensure sustained access to financial resources for climate change adaptation investment projects; and (c) strengthen and sustain a regional knowledge platform to share and replicate best practices. These objectives are to be achieved through working closely with funding organizations and government agencies from countries across the region in activities in five key tasks:

1. Support a sustainable regional knowledge-sharing platform;
2. Hold an annual forum to bring adaptation funds and project proponents together;
3. Design and implement a climate change adaptation project capacity-building program;
4. Provide technical assistance for preparing funding proposals; and
5. Provide overarching program management and coordination for the aforementioned four technical tasks.

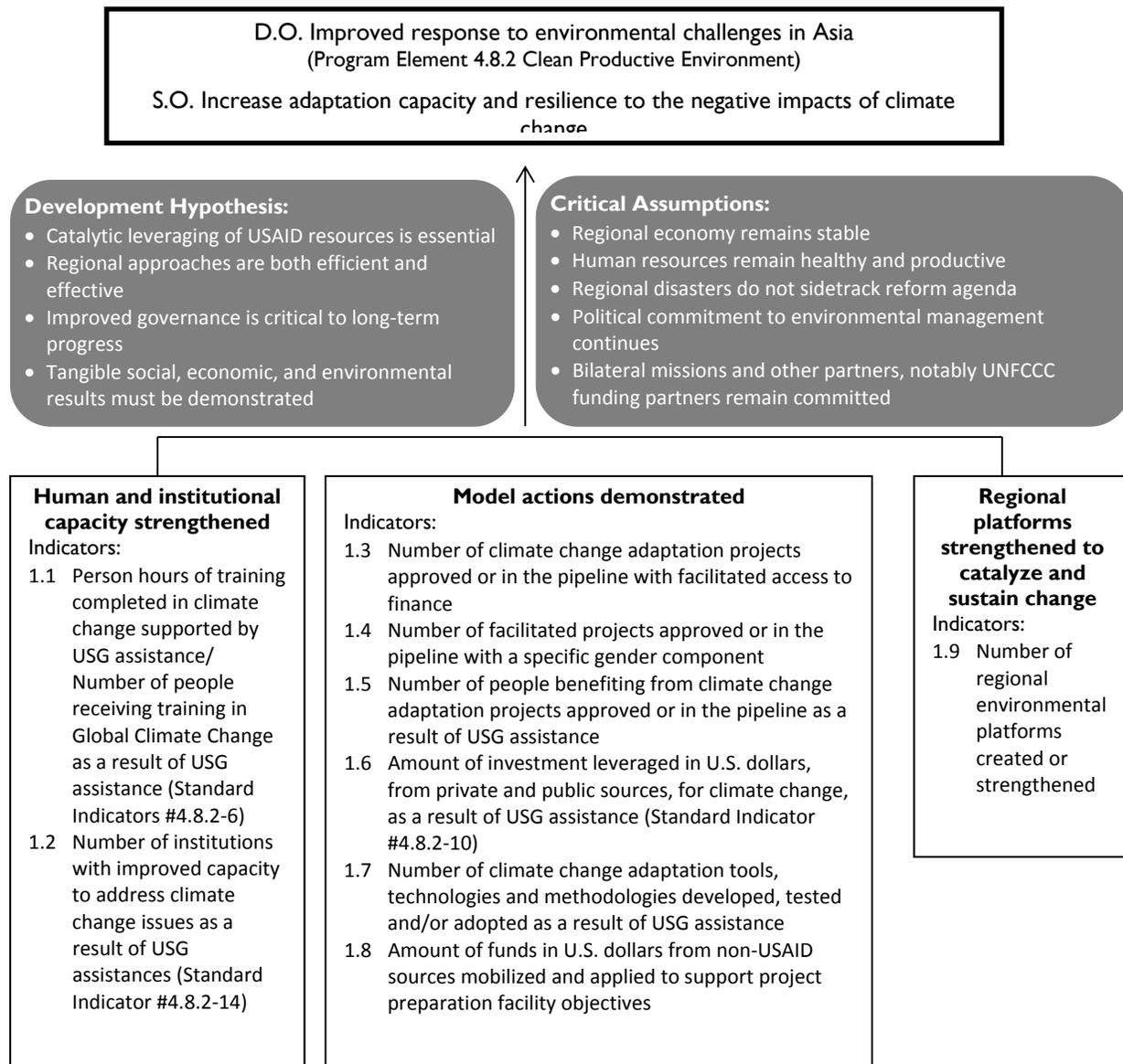
With regard to cross-cutting themes, USAID Adapt Asia-Pacific is also expected to promote regional networking, as well as gender and other social equity issues. Among the four technical tasks, Task 3 (capacity building) was assigned the largest share of technical resources (i.e., funds exclusive of management and coordination covered by Task 5), at 39 percent of the programming budget, followed by Task 4 (project proposal preparation) at 28 percent. Tasks 1 and 2 received 10 and 23 percent, respectively.

USAID Adapt Asia-Pacific's development hypothesis is that by employing a regional approach and leveraging USAID resources to (a) strengthen human and institutional capacity to prepare adaptation projects; (b) demonstrate model actions such as facilitating access to finance for climate change adaptation projects and developing tools, technologies, and methodologies; and (c) strengthen regional platforms to catalyze and sustain change, the project will increase adaptation capacity and resilience to the negative impacts of climate change. Project impacts are measured in terms of:

- People with adaptive capacity to cope with impacts of climate change;
- Climate change projects with access to finance;
- Climate adaptation model actions applied; and
- Institutions and practitioners with increased capacity to prepare adaptation projects.

USAID Adapt Asia-Pacific's Results Framework was adjusted in 2013 as part of revisions to the project's Performance Management Plan (PMP) that were approved in March 2014. Figure 2 shows the approved Results Framework.

Figure 2: USAID Adapt Asia-Pacific Results Framework



3 EVALUATION METHODS AND LIMITATIONS

3.1 Evaluation Design

This mid-term performance evaluation used primarily qualitative approaches, drawing on evidence from desk review, key informant interviews, and a short questionnaire, and using triangulation and other data analysis methods to identify evidence-based findings and recommendations. An evaluation matrix provided the conceptual foundation for the evaluation by aligning each evaluation question with specific data sources, data collection instrumentation, and a tailored evaluation design strategy. The evaluation matrix is provided in Annex II.

The ICF Evaluation Team included four independent, external members:

- Dr. R. Gregory Michaels (Team Leader).

- Ms. Jessica Kyle (Deputy Team Leader).
- Dr. Colleen McGinn (Asia Regional Evaluation Specialist).
- Mr. Geoffrey Peterson (Pacific Regional Evaluation Specialist).

These external team members received strategic input from senior evaluation and adaptation experts, and were supported by a home-based program manager and support staff. The external Evaluation Team was also complemented by three internal members from USAID:

- Ms. Supattira Rodboontham (Strategic Information Specialist in RDMA's Regional Environment Office).
- Ms. Pornpun Pinweha (Regional Program Development Specialist for Environment in RDMA).
- Mr. Jonathan Cook (Climate Change Specialist in Adaptation from USAID/Washington Bureau for Economic Growth, Education, and Environment, Office of Global Climate Change [E3/GCC]).

3.2 Data Collection Methods

The Evaluation Team employed three primary types of data collection.

Desk Study. The Evaluation Team reviewed more than 100 documents, including USAID Adapt Asia-Pacific's key reports and task outputs, as well as relevant documentation from partners and stakeholders working on climate adaptation in the Asia and Pacific Islands regions. Document review was assigned to team members based on relevant expertise. Each team member took notes to highlight key learnings and knowledge gaps, which were shared, triangulated, and discussed as a team. A full list of documents reviewed is provided in Annex III.

Key Informant Interviews. A list of 93 priority informants was developed by USAID/RDMA and USAID Adapt Asia-Pacific and provided to the Evaluation Team. Of these priority informants, the Evaluation Team was able to interview 91% of the institutions and 69% of the priority individuals. Although all priority individuals were contacted to request interviews, not all individuals were available given scheduling and other constraints; some had left an organization and referred the Evaluation Team to an alternate contact. The Evaluation Team supplemented USAID/RDMA's priority list to ensure that a range of perspectives were represented; in particular, the Evaluation Team added several key consultants to the USAID Adapt Asia-Pacific project team, as well as a sample of participants in trainings supported by the USAID Adapt Asia-Pacific project.²

² Due to time and budgetary constraints, it was not possible for the evaluation team to speak with all of these training participants, of which there are several hundred. Instead, a small sample of less than five participants was purposively selected in each fieldwork country to prioritize participants who have attended multiple training events and broader representation across government ministries and divisions. This approach risks a slight bias toward training participants who have had positive experiences with USAID Adapt Asia-Pacific funded training events, and thus have attended subsequent events. However, the evaluation team believes that the value of speaking with individuals who have attended multiple events—and thus have more perspective to offer—outweighs this potential risk.

Table I presents the distribution of key informants by type, country, and gender. As shown, the Evaluation Team interviewed 114 individuals. A full list of stakeholders interviewed is provided in Annex III.

Table I. Number of Informants by Type, Country, and Gender

	Cambodia	Fiji	Indonesia	India	Philippines	Samoa	Thailand	USA	Other	TOTAL	Percent of Total
Country Government	4	0	4	4	1	4	3	0	1	21	18%
US Government	3	3	6	2	2	0	4	6	1	27	24%
USAID Adapt Asia-Pacific	0	1	0	2	2	0	7	2	2	16	14%
Partners	5	7	1	8	5	10	6	2	6	50	44%
TOTAL	12	11	11	16	10	14	20	10	10	114	
Male/Female	9/3	8/3	6/5	12/4	7/3	8/6	15/5	6/4	9/1	80/34	70%/30%

Key informant interviews (KIIs) were conducted using a semi-structured interview format. Interviews were attended by at least two Evaluation Team members (barring exceptional circumstances) and were led by one of the external team members (i.e., ICF International and its consultants), decided in advance. Each Evaluation Team member attending the interview took detailed notes, which were consolidated into a single validated set of notes for each interview.

Annex IV provides the specific KII protocols that guided the interviews for each of the five groups of informants. The groups were: USAID/RDMA; the USAID Adapt Asia-Pacific project team (including AECOM and its sub-contract partners); bilateral missions and US Embassies in the USAID Adapt Asia-Pacific countries; bilateral, regional, and international project implementing and collaborating partners; and project beneficiaries (including Asia and Pacific government partners). As per Riessman (1993, 2008) and Charmaz (2006),³ qualitative interviews are an iterative and interactive process that is inherently fluid and emergent. The evaluators ensured that specific topics were addressed per the evaluation objectives while remaining open to capturing unanticipated data.

The majority of the KIIs were conducted in person during field work in Cambodia, Indonesia, Philippines, India, Thailand, Fiji, and Samoa. In order to cover the seven countries in four weeks of allotted time, the four-person external Evaluation Team broke into two sub-teams, as shown in Table 2. The core team members were also joined by RDMA staff in some countries. The detailed fieldwork schedule for the evaluation is provided in Annex V.

³ Riessman, C. K. (2008). Narrative methods for the human sciences. Los Angeles, London, New Delhi, and Singapore: Sage Publications. Riessman, C.K. (1993). Narrative analysis. Newbury Park, London, and New Delhi: Sage Publications. Charmaz, K. (2006). Constructing grounded theory: A practical guide through qualitative analysis. London, Thousand Oaks CA, and New Delhi: Sage Publications.

Table 2. Fieldwork Teams

Team A	Team B
Thailand → Indonesia → Philippines → Fiji → Samoa → Thailand	Thailand→ India→ Home / Telephone Klls with Non-fieldwork Countries → Cambodia & Annual Forum → Thailand
<ul style="list-style-type: none"> ■ Greg Michaels, Team Leader ■ Geoffrey Peterson, Pacific Regional Evaluation Specialist ■ Supattira Rodboontham, USAID/RDMA (Thailand, Philippines, Fiji) ■ Pornpun Pinweha, USAID/RDMA (Thailand, Indonesia, Samoa) 	<ul style="list-style-type: none"> ■ Jessica Kyle, Deputy Team Leader ■ Colleen McGinn, Asia Regional Evaluation Specialist

Questionnaires. One short questionnaire was administered online via Survey Monkey to the 40 government participants in the Marketplace of Climate Financing Priorities and Needs (Carousel) session at the USAID Adapt Asia-Pacific 2nd Annual Meeting, to gauge the longer-term outcomes of this event. This questionnaire is provided in Annex IV. Despite two email reminders and two deadline extensions, this survey effort produced too few responses (3) to derive any representative conclusion about participants' experience and follow-up results.

3.3 Data Analysis

The Evaluation Team used several analytical methods to identify key evidence-based findings and conclusions.

Hypothesis building and testing—Throughout the evaluation, the Evaluation Team engaged in an iterative process of building and testing hypotheses. Working hypotheses were developed through interview feedback or desk review, for instance, and then tested through additional evidence collection, including follow-up interviews and documentary review. This ongoing process continued through to the analytical phase of the evaluation, where specific analysis methods, such as triangulation, helped to finalize the conclusions.

Timeline creation—This analysis involved the development of a coherent, time-ordered sequence of USAID Adapt Asia-Pacific actions at the project and country level.

Qualitative analysis of stakeholder consultation information—Interview notes were systematically entered into data capture spreadsheets—organized by key topics and questions—along with key identifying information, such as the name of the interviewee, the type of stakeholder group they represent, and their contact information. The Evaluation Team used a modified approach to grounded theory⁴ to allow themes and hypotheses to emerge from the consultation data. This approach entails scrutinizing the data to identify themes and patterns, and iteratively testing those patterns for

⁴ Strauss A and Corbin J., 1994. Grounded Theory Methodology - An Overview, In Handbook of Qualitative Research, N. K. Denzin and Y. S. Lincoln (Eds.), Sage Publications, Thousand Oaks, 1994, pp. 273-285.

confirming or inconsistent evidence. The team also drew on the training and expertise of its team members in qualitative data collection and analysis.

Triangulation—Ultimately, the compiled evaluative evidence and results of the aforementioned analyses were triangulated through a working group session with the core team to identify key findings and conclusions. This process ensured that findings were supported by multiple evidence sources and analyses.

3.4 Limitations

The Evaluation Team is confident that it collected sufficient evidence to make strong and robust conclusions. However, certain limitations on the data should be borne in mind, including:

- **The inherent challenge of evaluating “softer” issues like institutional capacity.** USAID Adapt Asia-Pacific’s core efforts concern strengthening human and institutional capacity, which it has pursued through such efforts as helping countries secure accreditation for the Adaptation Fund; building capacity of national governments and key personnel in climate finance and economics; facilitating access to data, research, and information; and providing technical assistance on a wide range of topics. None of these aims lends itself to easy and straightforward measurement. Moreover, because Adapt worked on a disparate range of projects and topics across a large and diverse region, suitable benchmarks for one country may not fit the circumstances of another. Rather than rely on pre-determined or specific standards, the Evaluation Team had to exercise considerable judgment to identify key findings across program sectors, scales, and locations in order to derive evidence-based conclusions.
- **Absence of a ‘baseline’ against which progress can be measured.** While preliminary assessment work was undertaken by USAID Adapt Asia-Pacific (e.g., *Assessment of Existing Adaptation Capacity Building / Training Programs* in 2013), there is no *bona fide* baseline per se against which to make comparisons.
- **Attribution versus contribution.** Many of USAID Adapt Asia-Pacific’s efforts have been made with and through partners and as such it is difficult to confidently attribute specific improvements to USAID Adapt Asia-Pacific. For example, although USAID Adapt Asia-Pacific extended specific financial and technical assistance support to the Asia-Pacific Adaptation Network (APAN), even most of its steering committee members were unsure of USAID Adapt Asia-Pacific’s role separate from other partners and contributors.
- **Social response bias.** Most stakeholders expressed strong appreciation for support from the project, and requested continuation or increase of that support. The Evaluation Team is confident that overall, most interviewees were frank and forthcoming. Nevertheless, it is also important to acknowledge that some were, at least partly, presenting material in a way that was consistent with their own institutional interests. Such bias is normal in qualitative research, and is one reason why it is critical to interview a range of individuals and triangulate the results.

4 FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

4.1 Progress and Achievement on Meeting Overall Requirements of the Project Contract and Statement of Work

This section is organized as follows. First, progress and achievement against the performance indicator targets in the project's approved PMPs are reviewed. Next, findings and conclusions are presented regarding the key results and effectiveness of USAID Adapt Asia-Pacific's approach for each of the four technical tasks. Cross-cutting findings and conclusions are then provided on these topics: regional cohesion, gender, coordination with bilateral missions and other USG projects, regional coverage in Asia and the Pacific, and sustainability. The final sub-section focuses on conclusions about overall project management.

Progress and Achievement on Performance Indicator Targets

Overall, USAID Adapt Asia-Pacific is on track to meeting nearly all of its agreed performance indicator targets, having accomplished approximately 50 percent of its expected results at the mid-point of the project. As shown in Table 3, the expected outputs of the project were revised from the original Statement of Work to the approved PMPs in FY2012, 2013, and 2014. The targets presented in the table below represent the agreed targets as of the FY2014 PMP.

Table 3. Comparison of Expected Outputs in the Statement of Work to Revised Targets

Expected Outputs in the Statement of Work	Revised Targets in the FY2014 PMP	Progress to Date (as of Q3 FY2014)
Facilitation of the successful access to climate change adaptation financing for a minimum of 10 climate change adaptation projects during the course of the project representing investments in total of over \$500 million	<ul style="list-style-type: none"> Project target revised upward to 25 projects Investment target revised downward to \$336 million 	<ul style="list-style-type: none"> 12 adaptation projects approved or in the pipeline \$181 million in investments
Over 100 million people in the region living in districts with increased adaptive capacity as a result of the adaptation investment projects	<ul style="list-style-type: none"> Target revised downward to 514,000 people* 	<ul style="list-style-type: none"> 291,000 people expected to benefit from adaptation projects
Over 1,000 officials with increased capacity to identify and prepare adaptation project proposals	<ul style="list-style-type: none"> Target revised downward to 814 government officials 	<ul style="list-style-type: none"> 391 officials trained
A regional knowledge sharing platform operating on a sustainable basis that disseminates critical information on procedures to gain access to adaptation funding, good practices, and guidance on how to prepare climate change adaptation projects	<ul style="list-style-type: none"> Target maintained at one regional platform strengthened 	<ul style="list-style-type: none"> One regional platform (APAN) strengthened

* This significant revision recognizes that the original expectation that 10 projects would increase the adaptive capacity of 100 million people was unrealistic. Adaptation projects are typically prepared for specific districts or sites, with a more limited number of beneficiaries.

Figure 3 presents budget expended and remaining through Q3 FY2014 by technical task. As shown, USAID Adapt Asia-Pacific has expended less than half of its budget for Tasks 1 and 2 (the regional knowledge platform and the Annual Forum), about half of its budget for Task 3 (capacity building), and nearly three-quarters of its budget for Task 4 (project preparation).

As Figure 4 shows, approximately half of the targeted results have been achieved at the mid-point of the project.⁵ The labels in Figure 4 below illustrate which results are attributed to which tasks. As shown, USAID Adapt Asia-Pacific is relying heavily on Task 4 to achieve its performance indicator targets, although Task 3 was designed to be the largest task in terms of budget and effort.

Figure 3: Budget Expended and Remaining by Technical Task (through Q3 FY2014)

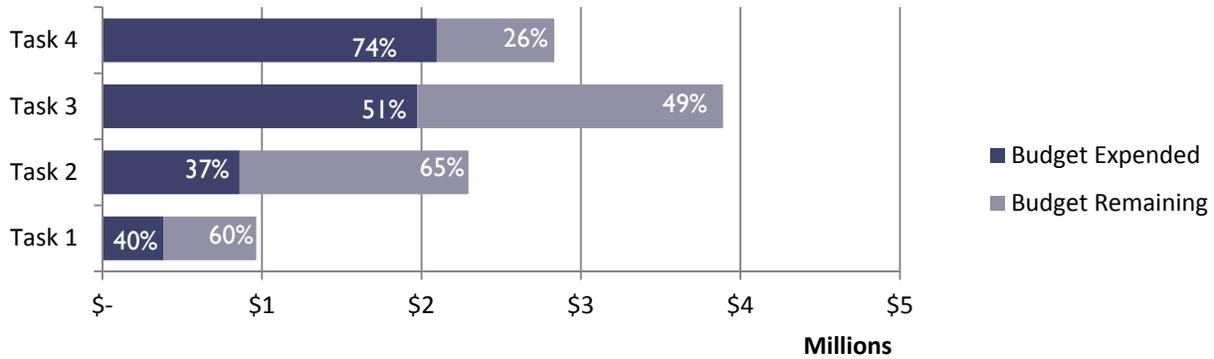
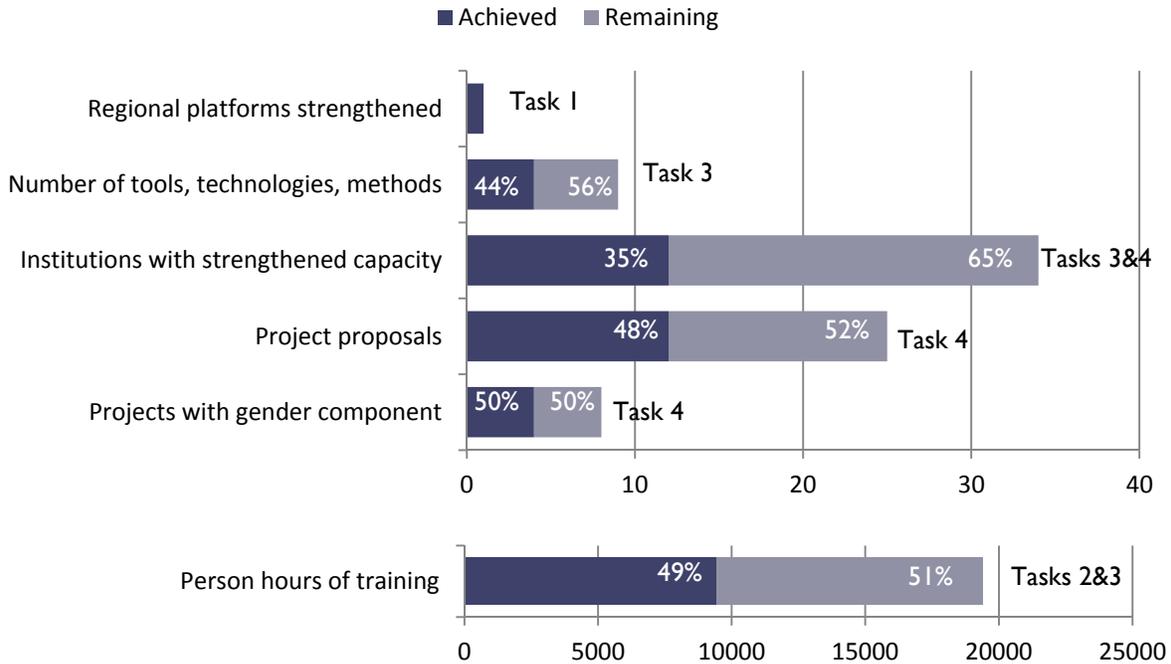
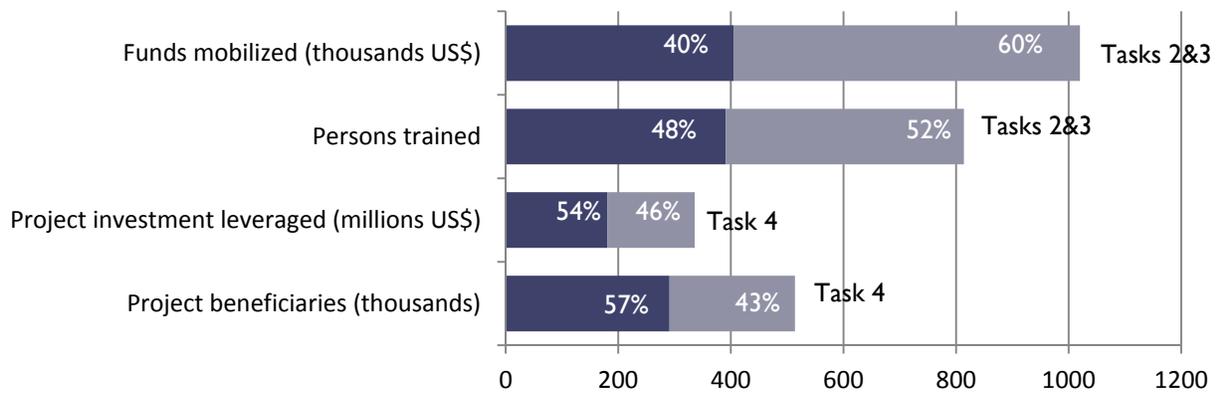


Figure 4: Results Achieved and Remaining by Performance Indicator



⁵ This evaluation presents results through Q3 FY2014. Because USAID Adapt Asia-Pacific’s support for certain institutions continued throughout the year, those institutions were counted in Q4. By the end of FY2014, another 6 institutions were counted as strengthened, bringing the project’s performance on this target up to 18 of 34, or approximately 53 percent.

November 2014



Task I: Regional Knowledge Platform

Task I is intended to meet one of the primary objectives of the USAID Adapt Asia-Pacific project: to “strengthen and sustain a regional knowledge platform” through which “innovative practices and experiences from the project’s activities are shared, replicated, and scaled-up.” In the project’s design, the regional platform was also seen as central to the sustainability of the USAID Adapt Asia-Pacific project.

In response to Task I, USAID Adapt Asia-Pacific chose the Asia-Pacific Adaptation Network (APAN) as its regional knowledge platform (www.apan-gan.net) and also established a project website (<http://www.adaptasiapacific.org/>).

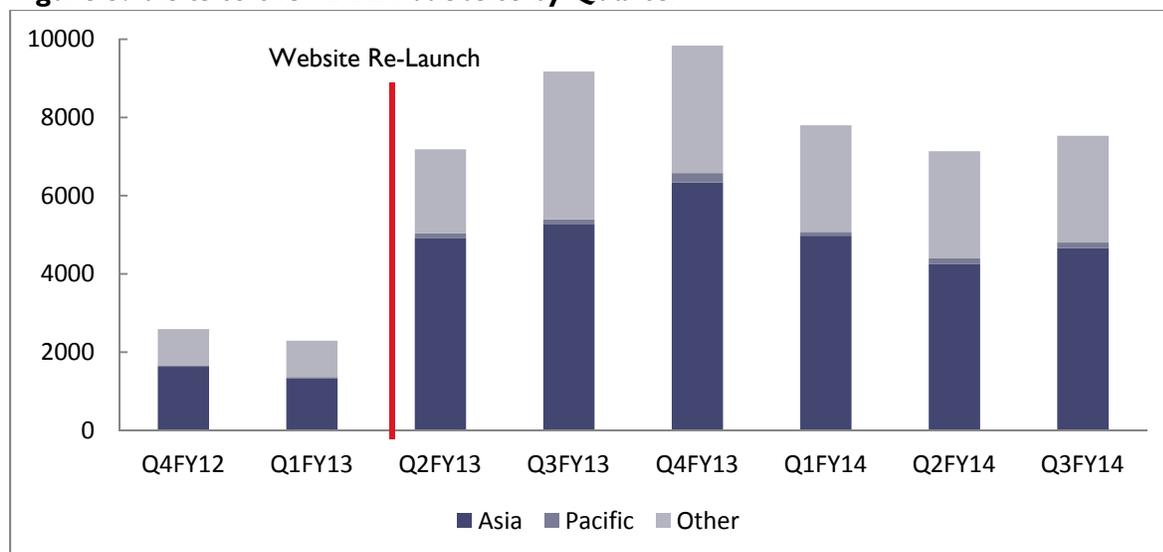
Findings

USAID Adapt Asia-Pacific appropriately chose APAN for its regional platform. The Evaluation Team found consensus among stakeholders that APAN is the leading adaptation network of its kind in the region. Among its advantages, APAN includes thematic and sub-regional geographic “nodes” and is also connected to a global network. Stakeholders interviewed expressed a range of opinions on the effectiveness of APAN, but even the more critical voices acknowledged that there is no better alternative, and several expressed the opinion that it was improving.

USAID Adapt Asia-Pacific has made some specific contributions to APAN, including upgrading the website. These changes have improved operability and user access to the website, although its navigability could still be enhanced, including better internal search engines and indexing of publications and resources.

Since the APAN website was re-launched in January 2013, site visits, unique visitors, and page views have tripled, as shown in Figure 5. Site visits by users located in the Pacific (not including Australia and New Zealand) have quadrupled,⁶ but still represent a very small proportion of overall visits (1-2 percent). Stakeholder interviews also indicated that APAN’s reach in the Pacific is limited, noting that the e-discussions and webinars are less pertinent to a Pacific audience and that slow and expensive internet connections in some Pacific countries limit the utility of APAN.

⁶ Site visits increased from an average of 36 visits per quarter in the two quarters preceding the re-launch to an average of 148 visits per quarter after the re-launch.

Figure 5: Visits to the APAN Website by Quarter

USAID Adapt Asia-Pacific has also made in-kind contributions to APAN related to adaptation finance. These include organizing sessions at APAN conferences and providing personnel for “ask-the-experts” live chats and e-discussions around adaptation finance and project preparation.

Modest Contribution to Adaptation Finance. Overall, USAID Adapt Asia-Pacific has made a modest contribution to APAN around the thematic area of adaptation finance, despite an expectation expressed in interviews with USAID/RDMA and the USAID Adapt Asia-Pacific Implementing Partners that this would be USAID Adapt Asia-Pacific’s primary value-added for APAN. In its results reporting for FY2013, USAID Adapt Asia-Pacific noted that “Adaptation Finance was created as one of the key thematic topics in the APAN website to disseminate USAID Adapt Asia-Pacific’s knowledge products and link to its website.” Yet, of the 67 knowledge products tagged on APAN under “Financing Adaptation,” only four have been produced by USAID Adapt Asia-Pacific (all of which are proceedings from e-discussion and live-chat events).

Community of Practice (CoP). USAID Adapt Asia-Pacific has launched a number of activities⁷ to develop an online CoP in order to “maintain active engagement with key project stakeholders, including participants from the annual forum, meetings, and trainings.” The effectiveness and impact of these CoP activities are limited to date. Some activities have been unsuccessful. For example, USAID Adapt Asia-Pacific created online community groups for the 2012 and 2013 USAID Adapt Asia-Pacific Annual Fora and the Economics of CCA Trainings, which have had no stakeholder participation. Other activities—such as the email-based Exchange Series on Climate Financing—have had slightly broader participation (from 6 to 16 participants per email discussion, including Implementing Partners). But only two of the four Exchange Series are posted on the APAN website, and these transcripts are too long to be digestible knowledge products (e.g., 25 pages of email correspondence). Some CoP activities (like “ask-the-experts” live chats) focused on more narrow groups of stakeholders—such as those participating in

⁷ From FY2012 through Q3 FY2014, these activities include: facilitating the inclusion of a new feature—a CoP—on APAN’s redesigned website and developing individual discussion pages for each of the USAID Adapt Asia-Pacific Annual Forums and the Economics of Climate Change (ECCA) program; facilitating and posting the results of four e-Discussions led by a senior staff member of USAID Adapt Asia-Pacific; and organizing two “ask-the-experts” live chats in support of the ECCA program.

the two-year-long Economics of Climate Change Adaptation (ECCA) program—have appeared to be more useful.

Knowledge Products. USAID Adapt Asia-Pacific has not fully leveraged APAN as the mechanism to share knowledge generated by the project. Among a total of 22 publications/knowledge products identified by the Evaluation Team as of late September 2014, only five were found on APAN: two Exchange Series reports, two Live Chat reports, and the Gender Sourcebook (Annex VI provides a list of knowledge products and whether/where they can be located). While substantially more knowledge products (18 of 22) are available on the USAID Adapt Asia-Pacific website, the Statement of Work expects that the regional platform—i.e., APAN—will serve as “the principal mechanism through which innovative practices and experiences from the project’s activities are shared, replicated, and scaled-up.” Of the four tools, technologies, and methods that USAID Adapt Asia-Pacific has reported in its PMPs, only one (the Gender Sourcebook) is online. Some materials are absent from *both* websites altogether, including technical reports which draw from projects in Cambodia and Lao PDR. While these reports are narrow in scope, they might nevertheless be useful to other professionals. Also notably, while USAID Adapt Asia-Pacific has prepared a compendium of international climate funds (as specified in the project’s Statement of Work), this compendium is not available on the APAN website. While useful, the compendium is also brief and would be improved by including summaries of requirements, criteria, or processes for countries to apply.

Adaptation Finance Events in Partnership with APAN. USAID Adapt Asia-Pacific has brought its adaptation project preparation expertise to bear in several events in partnership with APAN and its regional nodes. The first USAID Adapt Asia-Pacific Annual Forum was held in tandem with APAN’s Asia-Pacific Climate Change Adaptation Forum, and USAID Adapt Asia-Pacific also worked with the Climate Action Network South Asia (CANSAs)—a regional node of APAN—and USAID/RDMA’s Low Emissions Asian Development (LEAD) project to design, finance, and deliver a Regional Workshop on Options for an Innovative Climate Finance Regime for South Asia, held in New Delhi. USAID Adapt Asia-Pacific supported the attendance of 10 participants from Bangladesh, Maldives, Sri Lanka, and Nepal, of whom 8 have not attended any other USAID Adapt Asia-Pacific events.

Conclusions

USAID Adapt Asia-Pacific has clearly chosen the best—or at least most visible and recognized—online knowledge platform, but has not fully leveraged the capacity of APAN. APAN has its share of limitations, including limited reach in the Pacific and weak navigability and library indexing, which could limit USAID Adapt Asia-Pacific’s ability to make its materials fully and easily available to the public.⁸ USAID Adapt Asia-Pacific’s engagement has not fully addressed these limitations, but it must be acknowledged that APAN has a number of contributors, and USAID Adapt Asia-Pacific is only one voice among many.

While some stakeholders indicate that APAN is not reaching its full potential, there are ongoing efforts to sustain, consolidate, and improve the platform. APAN’s 2013 document *Sustainability Strategy for Asia Pacific Adaptation Network* focuses on fundraising, but also outlines a strategy for further improving APAN as a knowledge platform. This strategy includes both web links to enable content sharing and strategic alliances with other networks. The paper also indicates that there are now more interactive features and the network is piloting online CoP although to date there is little evidence that there is

⁸ For example, USAID Adapt Asia-Pacific’s Gender Sourcebook has recently been posted on APAN but does not appear if one selects the “Gender and Social Impacts” theme on the Resources page. The Gender Sourcebook is only accessible if one searches for the specific term “Gender Sourcebook” or knows the exact web address for the Sourcebook (<http://asiapacificadapt.net/gender-sourcebook/>).

meaningful participation on them. Interviews with Steering Committee members indicate that a number of critical strategic decisions would be made at the APAN Forum in October 2014.

Given that APAN has many other donors and partners, it is difficult to cleanly separate USAID Adapt Asia-Pacific's contributions from the rest. USAID Adapt Asia-Pacific's specific contributions to APAN are not well-recognized. This is unsurprising and not a major concern: APAN is a network with a number of partners, and it would be unlikely for its audience to recognize who contributes to what. However, it does make it difficult to glean a clear counterfactual picture, i.e., what would have happened without USAID Adapt Asia-Pacific. While it is true that its contributions have been earmarked towards specific budget line items, it is unclear whether those activities would have happened otherwise.

USAID Adapt Asia-Pacific has not fully utilized APAN in the manner that was intended – i.e., as “the principal mechanism through which innovative practices and experiences from the project's activities are shared, replicated, and scaled-up.” Very few USAID Adapt Asia-Pacific knowledge products are available on APAN (5), and of those that are online, only some of these share innovative practices and experiences from the project's activities. While USAID Adapt Asia-Pacific may have had a hand in establishing a thematic area for adaptation finance on APAN, its own products are making a very limited contribution in this area. If this current trajectory continues, APAN will not be “fundamental to the sustainability of the project,” a expected result identified in the original Statement of Work.

Task 2: Annual Forum

Findings

The original terms of reference envisioned the Annual Forum as a means of bringing adaptation project proponents and adaptation fund managers together to catalyze contacts between these groups. Beyond this overarching purpose, the Forum has three objectives under USAID Adapt Asia-Pacific. They are: (1) increase understanding of available climate funding resources and the requirements for accessing the funds; (2) identify priority capacity gaps and country needs in preparing climate change adaptation project proposals; and (3) identify promising adaptation projects for financing and the additional technical assistance necessary to bring them to financial closure. Three forums have been held since the inception of USAID Adapt Asia-Pacific:

First Forum (Bangkok, Thailand, 2012). This event introduced the USAID Adapt Asia-Pacific project to a wide variety of government representatives and offered a means for identifying priorities in country needs and capacity gaps in relation to accessing adaptation finance. Speakers from a number of different multilateral agencies, including sources of climate adaptation finance, and bilateral agencies such as USAID, helped characterize the landscape and thinking related to climate finance, according to key informants interviewed.

Second Forum (Nadi, Fiji, 2013). This event was distinguished by its being the first major USAID Adapt Asia-Pacific event in the Pacific, by incorporating an innovative activity known as the Development Marketplace (“Marketplace of Climate Financing Priorities and Needs” or “Carousel”), and incidentally by offering a concept proving ground for advocates of what has become the Pacific Cost-Benefit Analysis (PCBA) activity. In staging a Pacific Forum, USAID Adapt Asia-Pacific was responsive to the interests and recommendations of Pacific stakeholders. The Development Marketplace has been seen as a successful mechanism for government officials to connect and communicate with development partners on country needs and interests on access to climate finance. What has become the PCBA working group used the Second Forum to lay the groundwork for the PCBA, surveying participants and then strategizing with USAID Adapt Asia-Pacific project staff about support that the project could provide.

With respect to the Development Marketplace event at the Second Forum, the Evaluation Team prepared and circulated a survey questionnaire to the 40 participating government officials. This survey effort produced too few responses (3) to derive any robust conclusion about participants' experience and follow-up results. Nonetheless, the positive opinions these three participants expressed about the event are consistent with the satisfaction indicated by several key informants interviewed.

Third Forum (Siem Reap, Cambodia, 2014). The topic of this Forum was country systems,⁹ a topic that was apparently chosen in response to stakeholder interests in having development partners consider the systems that countries already have in place, as a means of supporting country ownership in the process of accessing climate finance. The link between increasing access to climate finance and improvements in country systems is a strong one. Sessions at the Forum were informative.

At the same time, project preparation is just one of many country systems, and USAID Adapt Asia-Pacific does not appear to have the means to offer services or products that can assist counterpart governments with substantially improving the full suite of country systems, which raises the question of why the Third Forum had this focus. In this respect, the Forum did not seem to be sufficiently aligned to advancing the explicit goals of USAID Adapt Asia-Pacific. The Forum did not appear to build on previous USAID Adapt Asia-Pacific work or serve as a link to that body of work. Many of the Forum participants were not connected to or familiar with the project's work.

General Observations on All Three Forums. The divide between participation by government counterparts in Asia and the Pacific is pronounced. In the First Forum, held in Bangkok, Thailand, there were four times as many Asian participants as Pacific participants (48 versus 12). At the Second Forum, held in Nadi, Fiji, the pattern was reversed.

Figure 6: Limited Repeat Participation in Forums

There were 6 participants from Asia and 40 participants from the Pacific. The Third Forum, held in Siem Reap, Cambodia, was largely attended by Asia representatives (54) and sparsely attended by Pacific ones (4).



One expected result from bringing together government representatives from the Asia-Pacific region with a common interest in access to climate adaptation finance is to provide opportunities for peer-to-peer contact. This contact can take several forms. At one level, a single interaction at an event like the Forum could result in the exchange of useful information, on the spot or in follow-up. At a second level, a professional network could be created or reinforced by the Forum by virtue of bringing together individuals with a common professional purpose — in this case, greater access to climate adaptation finance. The

⁹ According to the UNDP's 2013 Forum on this topic, country systems are "defined broadly to include national and local systems for planning, policy coordination and implementation, budgeting and financial management, procurement and monitoring and evaluation." Source: <http://www.climatefinance-developmenteffectiveness.org/globalforum2013>.

Evaluation Team also heard that attendance at the Forums fostered contacts among government representatives from the different institutions in the same country. In any of these cases, one-time participation may facilitate some peer-to-peer contact. For more extensive relationship-building, more extensive contacts are needed, such as through repeat participation. As it turns out, though, the three Forums have had few repeat participants, as illustrated in Figure 6, implying that the Forums have had limited effectiveness in generating peer-to-peer networking.

Conclusions

The Forums have been recognized by many stakeholders as well-executed events with well-regarded speakers, facilitators, and informative sessions. It may be that the Forums have served the USAID Adapt Asia-Pacific staff as useful sources of information on stakeholder interests and as a means of making and deepening contacts in the corresponding countries for possible project activities. In several respects, though, the Forums have been isolated or self-contained events, each standing on its own but, taken together, they have been constrained in their positive spillover effects for participants, as outlined below.

The Forums have not been effective at bringing together Asia and Pacific governments in the same event. A Forum held in Asia is principally an Asia event. One held in the Pacific is principally a Pacific event. This circumstance may or may not be construed as a shortcoming to the Forum effort. Nonetheless, it does raise questions about the value of trying to organize an Asia-Pacific region-wide Forum rather than separate Asia-focused and Pacific-focused activities.

There has been limited or no established “clienteles” for the Forums, at least not since the first one, which introduced USAID Adapt Asia-Pacific, raised awareness, and helped identify priorities. This gap is demonstrated several ways. First, the number of repeat participants is in the low single digits. Second, there is the geographic division, as described above, reducing the extent to which participants can identify with the Forum event. Third, it is unclear whether the Forums have consistently had the right participants, meaning the people who can gain usable knowledge and share relevant experience. Based on observations of the Evaluation Team at the Third Forum, the topics appeared to be too elementary for some participants. For other participants, the topics were not readily grasped. These participants did not seem to have been adequately prepared or did not have relevant responsibilities in their home institutions. Fourth, USAID Adapt Asia-Pacific may not have been able to take sufficient advantage of the Forums to market the project’s services and products. The project has potential services it can provide—but so far has delivered these only to a limited number of countries (training and project preparation assistance)—and has had few tangible knowledge products (such as guidelines, manuals, case studies) to offer. At least as of the third iteration of the Forum, there was little exchange and showcasing of progress and results by counterparts active in the USAID Adapt Asia-Pacific project.

Finally, while there was targeted follow-up by USAID Adapt Asia-Pacific staff to specific opportunities, it appears that there was no widespread follow-up with Forum participants. The online Communities of Practice that USAID Adapt Asia-Pacific set up on APAN for each Forum—as mentioned in the previous section on Task I—have not been utilized. As a result, any connection that participants may have felt or had with the Forum would dissipate over time. Several key informants volunteered that there already are “too many meetings.” So, while these informants had positive impressions of the Forums they had attended, the Evaluation Team did not encounter anyone who strongly advocated on behalf of future Forum events.

Task 3: Capacity Building Program

Findings

This component of USAID Adapt Asia-Pacific is intended to strengthen the capacity of national government agencies and other organizations in the target countries to prepare climate change adaptation project proposals. Given its scope, role, and activities, this task carries significant weight in terms of the expected impact and sustainability of USAID Adapt Asia-Pacific in Asia and the Pacific. Based on the overall allocation of resources, the capacity building program has the greatest emphasis of all of the project components of USAID Adapt Asia-Pacific, though it also depends in many respects on other components, especially Task 4 (Project Preparation). Capacity building accounts for 39 percent of USAID Adapt Asia-Pacific's life-of-project programming budget (exclusive of funds for project management, indirect costs, and contract fixed fee). Capacity building also carries with it substantial challenges both in what it requires to produce results and how these results can be measured.

Three primary indicators capture the results of this task. They are (1) the number of person-hours of training in climate change completed, (2) the number of institutions with improved capacity to address climate change issues, and (3) the number of climate mitigation and/or adaptation tools, technologies, and methodologies, developed, tested, and/or adopted.^{10,11}

In terms of these indicators, USAID Adapt Asia-Pacific's progress has a good record at the mid-term. Individual training hours generated by the project have reached 49 percent of the life-of-project target as of the third quarter of FY14 (approximately halfway through the period of performance). USAID Adapt Asia-Pacific has generated almost 10,000 person-hours of training by 315 individuals from all 27 Asia-Pacific countries. Capacity building efforts at the institutional level were lagging at Q3 FY2014, judging from spending versus progress on institutions strengthened, but by the end of FY2014, USAID Adapt Asia-Pacific had achieved about 53 percent of its institutional capacity-building target (18 of 34).

Training

Cost-benefit Analysis (CBA). USAID Adapt Asia-Pacific supports two cost-benefit training efforts, one for Asia (Economics of Climate Change Adaptation (ECCA) and one for the Pacific (Pacific Cost-Benefit Analysis (PCBA)). ECCA has a good format and the right "staying power" since it is implemented with multiple sessions with the same participants over a two-year timeframe. The country-specific case study approach is a well-grounded and relevant technique for giving trainees practical and grounded experience. CBA is relevant to project preparation and to the process for accessing climate adaptation

¹⁰ A fourth indicator (amount of funds from non-USAID sources mobilized and applied to support project preparation facility objectives) also has a bearing on capacity building, because of individual training and other capacity building activities supported, but this connection is not directly related to capacity built *per se*. Instead it reflects the project's success in obtaining additional resources for execution.

¹¹ While the Evaluation Team found that organizing its evaluation of Task 3 by these the three results indicators most compelling, it is useful to note that the USAID Adapt Asia-Pacific's implementing team describes the Task 3 elements in terms of programming components, combining functionality and outputs. Those programming components are:

1. Support to existing capacity building programs and institutions
2. Direct technical support to government institutions, including support to twinning partnerships
3. Developing new capacity building programs
4. Tools, guidelines and methodologies.

finance. However, the focus on CBA struck the Evaluation Team as a very specialized area to choose for in-depth training under this project. CBA is just one of several filters through which candidate projects have to pass and according to which priorities are established. Another question about the CBA component relates to the expected outcome of the training. The training is unlikely to create a cadre of CBA-capable professionals in the region with this training and the knowledge product produced to date but may instead take the trainees only part of the way. Developing full-fledged CBA capabilities requires skill-building, experience, and education on the order of master's level training. Even without reaching this higher level of capability, the project has concentrated its training efforts here. ECCA by itself accounts for 42% of the training hours accumulated by USAID Adapt Asia-Pacific to date.

Government Training Support Program (GTSP). This program element appears to require a high amount of project attention relative to its limited results and narrow geographic representation. Seven government professionals participated in online training courses and in-person training (in the United Kingdom and Thailand) in FY2013. In FY2014 (through the second quarter), eight individuals, including one person who participated in GTSP training in FY2013 as well as two activities in FY2014, participated in online and in-person GTSP-sponsored training. All told, six of the 14 participants were from Thailand and four from Bangladesh. USAID Adapt Asia-Pacific conducted its own assessment of the performance of the GTSP in 2014, recommending new procedures for the program. The project credits these changes with stimulating greater interest in the program and selecting 10 participants in the latter part of FY2014.

Urban Climate Change Adaptation Course. Development of this course with the East-West Center has been slow. Preparation started in 2012, and the course still is not ready for implementation, due partly to staffing transitions and decisions to expand the scope of the course. USAID Adapt Asia-Pacific reports that progress has been made in recent months. While there are already numerous vulnerability and adaptation assessment tools available, USAID Adapt Asia-Pacific's strategy with this course is to find a feasible path to action that requires modest resources of the user, showing cities how to conduct a reasonable and credible assessment and then how to tap into climate finance. A "landing spot" for this training could be the Asia Disaster Preparedness Center.

Other Training. Training hours have also been accrued through the annual forums and targeted workshops (including topics such as climate funds and finance; climate public expenditure and institutional reviews (CPEIRs); project proposals; and vulnerability and adaptation assessments).

One anomaly in the overall training by USAID Adapt Asia-Pacific is that three countries account for one-third of all training hours (Thailand (13%), Bangladesh (11%), and Indonesia (10%)). All three countries have participated in the ECCA program—which contributes significant training hours—but the Evaluation Team finds a lack of continuity, particularly for Bangladesh, where USAID Adapt Asia-Pacific has not been able to pursue institutional capacity building.

Institutional Capacity Building

The capacity building results that USAID Adapt Asia-Pacific has logged to date have not yet attained a critical mass. Capacity building under the project appears to have gotten off to a relatively slow start with improvement in capacity limited to two institutions in the first year of the project. That said, USAID Adapt Asia-Pacific has had interactions with these two institutions over the life of the project to date, with a particularly resource-intensive effort focused on one of these: the Office of Natural Resources and Environmental Policy and Planning (ONEP) in Thailand. For the ten institutions USAID Adapt Asia-Pacific has worked with to improve capacity, in certain cases the results as described are not

convincing.¹² For a few of the institutions, it is unclear whether the intended results from the capacity building have been achieved.

The Evaluation Team interpreted the focus on climate finance as the principal emphasis to be pursued in the project's capacity building, consistent with the project's original purpose, which is to "address capacity and information needs of governments ... in accessing climate change adaptation funds and accelerating investments in initiatives that increase resilience." USAID Adapt Asia-Pacific's Performance Indicator Reference Sheet articulated a broader reach for its capacity building, namely, resulting in "[i]nstitutions with improved capacity [that] will be better able to govern, coordinate, analyze, advise, or make decisions related to adaptation." USAID's GCC Indicator Handbook, which was updated after USAID Adapt Asia-Pacific was underway, specifies institutions with improved capacity to address climate change issues as those with "new or increased ability to use new or different approaches, processes, strategies, or methodologies to ... adapt to climate change."¹³ The following table presents the Evaluation Team's observations on the capacity building efforts of USAID Adapt Asia-Pacific with respect to the ten institutions that the project indicated as having improved capacity to address climate change issues, allowing for all three types of capacity building specified above but putting a premium on capacity building targeted at climate adaptation finance. The Evaluation Team based these observations on USAID Adapt Asia-Pacific's data collection forms, on field observations by the Evaluation Team, and on additional information provided by USAID Adapt Asia-Pacific project staff.

Table 4. Assessment of Institutional Capacity Building Results

Country/Institution	Indication(s) of Increased Institutional Capacity	Observations
Cambodia Ministry of Rural Development	Yes (limited)	Project prepared technical guidelines that are being used for ADB projects, as well as outreach materials to promote those guidelines.
Samoa Ministry of Natural Resources and the Environment	Yes	Project has undertaken multiple activities that contribute to the potential capacity of ministry staff.
Cambodia Ministry of Environment	Unclear	Project played a support role in the development of guidelines on mainstreaming adaptation. KILs with MOE and ADB suggested that these guidelines have not been utilized.
Indonesia Climate Change Trust Fund (ICCTF)	Yes	ICCTF put project-supported ranking and selection system into practice.

¹² By USAID Adapt Asia-Pacific's reckoning, the number of institutions with improved capacity is twelve. Two institutions were each recorded twice in this accounting (ONEP in Thailand and the Department of Finance (DOF) in the Philippines). That repetition would have been acceptable had the case been made in the data collection forms that these institutions been strengthened in different capacities, or that have experienced "meaningful improvement in more than one year" (USAID's *GCC Indicator Handbook: Definition Sheets*, Updated October 30, 2013. http://pdf.usaid.gov/pdf_docs/PA00K4VT.pdf). At the same time, the Evaluation Team also recognizes that there is an "apples and oranges" challenge in doing the results accounting for USAID Adapt Asia-Pacific. In contrast to the longer term working relationships in Thailand and the Philippines, the project has more typically had shorter term relationships with institutions in other countries. In each case, the project is credited with one institution having increased institutional capacity even though the longer term relationship could have a more profound effect. In sum, the Evaluation Team recommends that the project make the case and provide the evidence to justify why ONEP and DOF should each be credited in multiple years.

¹³ USAID's *GCC Indicator Handbook: Definition Sheets*, Updated October 30, 2013. http://pdf.usaid.gov/pdf_docs/PA00K4VT.pdf.

Country/Institution	Indication(s) of Increased Institutional Capacity	Observations
Philippines Department of Finance	Yes	Project provided technical assistance to prepare and apply for national implementing entity (NIE) accreditation not yet received after multiple reviews.
Samoa Ministry of Finance	Yes (limited)	Project helped with the design of National Climate Change Adaptation Fund. Project's Year Two Annual Report states that decision on setting up trust fund is still pending.
National Research Council of Thailand	Yes	Project supported country's first national climate change research strategy. Activity relates to broader institutional capacity on climate change but has a distant relationship to improving quality of climate finance proposals.
ONEP (Thailand)	Unclear	Project provided technical analysis and support to specific events as well as long-term staffing but relationship of these to capacity building is unclear.
Tonga Ministry of Finance	Yes	Project provided technical assistance for design of national trust fund, including legislative and institutional framework. Climate trust fund did receive funds.
Tuvalu Department of Environment	Unclear	On-the-job and other training cited by project team, but not included in project's training accounting. Activities described in data collection form relate to technical assistance without any apparent capacity building activities.

As indicated above, three of the ten country-institution cases counted by the project do not have clear indications of having experienced increased institutional capacity. Two other cases do have some indication of increased institutional but these indications are limited. In five of the cases, the Evaluation Team found more convincing indications of increased institutional capacity. That said, these conclusions come with an important caveat. The Evaluation Team drew these conclusions based on interpretation of multiple sources of information rather than being able to draw on a systematic and compelling body of evidence demonstrating that institutional capacity was increased. Such a body of evidence, ideally documented in the data collection forms for each case, has not been prepared by USAID Adapt Asia-Pacific.

These findings underscore the unclear measurement of capacity building in USAID Adapt Asia-Pacific. A related observation was made in a 2012 Data Quality Assessment (DQA) for RDMA. The DQA recommended that USAID Adapt Asia-Pacific use "an institutional capacity tool to measure baseline adaptive capacity for climate change of USAID Adapt Asia-Pacific's targeted stakeholder organizations and repeated measures to measure their changes in capacity." In the view of the Evaluation Team, using such a tool does not seem feasible given the number of different institutions that Adapt has been working with and the limited presence the project has in counterpart countries. At the same, it is unsettling that USAID Adapt Asia-Pacific does not have a more systematic approach to measuring improved institutional capacity, such as by defining and recording expected institutional capacity results at the outset of the project's capacity-building effort with an institution and then assessing what has been accomplished at the end of that effort.

Below, the Evaluation Team offers specific observations on selected institutional capacity-building efforts by USAID Adapt Asia-Pacific.

Cambodia Ministry of Rural Development (MRD). USAID Adapt Asia-Pacific prepared design guidelines for climate-proofing community ponds. ADB and MRD view the guidelines, which are being used for ADB projects, as highly useful. MRD is submitting the guidelines to the national government for approval. However, interviewees indicated that the guidelines would need to be translated into the Khmer language to be utilized by the national government outside of ADB projects. While USAID Adapt Asia-Pacific noted that on-the-job training had been conducted through site visits, no training hours have been counted in the project's results reporting and the Evaluation Team was unable to confirm this training in interviews with MRD.

Indonesia Climate Change Trust Fund (ICCTF). USAID Adapt Asia-Pacific provided targeted support to a nascent Indonesia Climate Trust Fund, assisting in the development of a project selection and ranking system and a workshop in developing project proposals. The tool was applied by ICCTF in a round of grant applications. Two of the three successful grant recipients had participated in the USAID Adapt Asia-Pacific-sponsored workshop. These outcomes suggest a productive capacity-building effort by USAID Adapt Asia-Pacific with ICCTF.¹⁴

Department of Finance/Philippines (DoF). USAID Adapt Asia-Pacific has helped DoF prepare application and supporting documents for accreditation as a national implementing entity (NIE) for the Adaptation Fund, a global fund for climate adaptation that offers a direct access modality. DoF benefited from the insights of an Adapt-provided international consultant who had direct experience with NIE accreditation. USAID Adapt Asia-Pacific also provided a local consultant who knew DoF well to support DoF in the preparation of accreditation documents. While DoF's knowledge of the accreditation process has undoubtedly expanded, the support process has not had its intended result. It had been expected that DoF would attain accreditation, which it still has not nearly two years after the application was first submitted, despite more than one round of reviews and feedback from the Adaptation Fund. Progress has been slower in 2013 and 2014 due in part to competing priorities on the part of the Philippines government.

Long-term Support to ONEP/Thailand. Except for the recent period of suspension of USAID activities with the Government of Thailand, USAID Adapt Asia-Pacific has provided three junior consultants to ONEP on a long-term basis. These individuals essentially work as additional staff to ONEP. Providing long-term staff to a government counterpart can be an effective strategy for capacity building, if the staff (a) have the necessary capacity-building skills and (b) have been tasked with specific capacity-building roles and responsibilities. These two conditions do not appear to have been met in this long-term support to ONEP. Instead, these consultants more likely constitute a temporary increase in ONEP's capacity, lasting only as long as they are in place. One step that has been taken toward a more long-term increase in capacity is that during suspension of USAID Adapt Asia-Pacific's support to ONEP, one of the three staff was hired by ONEP itself.

Support to National Research Council of Thailand (NRCT). USAID Adapt Asia-Pacific supported the preparation of Thailand's first national climate change research strategy. The intended result was to improve the evidentiary foundation of climate mitigation/adaptation projects and as a result improve the quality of these proposals and thus their relative competitiveness for scarce financial resources. Although the premise that stronger evidentiary support improves competitiveness of proposals is reasonable, to the Evaluation Team, the product of this technical support (a climate change research plan) is several steps removed from improving access to climate adaptation finance. Therefore

¹⁴ The specific technical assistance for monitoring and evaluation was started by an international consultant but was completed by a local consultant.

USAID Adapt Asia-Pacific's support appears to be limited in how much it has improved the Government of Thailand's ability to access climate finance.

Guidelines and On-the-job Training/Samoa. In the course of project preparation technical assistance, USAID Adapt Asia-Pacific developed guidelines for government officials to use in identifying and selecting climate change adaptation projects. As a follow-up, USAID Adapt Asia-Pacific also conducted a twice-a-week on-the-job training series over the course of five weeks with six government staff in Samoa. The training encompassed problem assessment, option analysis and selection, and elements of project implementation. By virtue of the training's being conducted on site, participation was more feasible for trainees than an out-of-country training would have been.

Tools, Technologies, and Methods

Knowledge products are a key input to creating a more durable foundation for capacity building. To date, USAID Adapt Asia-Pacific has finalized and disseminated a small number of external knowledge products, as discussed above in the section on Task I.

Gender Sourcebook. USAID Adapt Asia-Pacific prepared this sourcebook as a "one-stop shop" for integrating gender into project preparation. The document has been released but will still undergo testing (and presumably revision) by USAID Adapt Asia-Pacific over the remaining life of the project. From the Evaluation Team's perspective, this document certainly has "operational" utility for USAID Adapt Asia-Pacific in its project preparation efforts. Whether the document will fill a useful niche in wider application remains to be seen. The Asia-Pacific region already has other gender and climate change toolkits, such as those developed by Deutsche Gesellschaft für Internationale Zusammenarbeit, GmbH (GIZ) and the Cities Development Initiative for Asia (CDIA) in Asia and by the Secretariat of the Pacific Regional Environment Programme (SPREP) in the Pacific.

ECCA Toolkit. Having a toolkit on the economics of climate adaptation is a logical and potentially valuable knowledge product to glean from the ECCA course development. However, the current document does not qualify as a toolkit in the view of the Evaluation Team. In its current form, the document is instead a compilation of general concepts on specific climate-related vulnerabilities and not an instruction manual for how to conduct cost-benefit analysis. Another concern is whether the document makes a unique contribution, given that other relevant economics guides/analyses have been prepared for the region.¹⁵

Community Ponds/Cambodia. USAID Adapt Asia-Pacific assisted in the development of design guidelines to effectively "climate proof" community water supply ponds. The technical document appears to be of high quality. However, the document has not been translated into local languages, limiting its usefulness to the national government in Cambodia, nor has it been circulated in the wider Asia-Pacific region.

¹⁵ Other Asia-Pacific regional resources on the economics of climate change:

- ADB: South Asia (<http://www.adb.org/sites/default/files/pub/2014/assessing-costs-climate-change-and-adaptation-south-asia.pdf>)
- ADB: Pacific (<http://www.adb.org/sites/default/files/pub/2013/economics-climate-change-pacific.pdf>)
- SPREP, SPC, Land Care Research, and GIZ: Pacific http://www.cepf.net/SiteCollectionDocuments/poly_micro/CostBenefitAnalysisNaturalResourceManagementPacific.pdf. Apparently this document also received support from USAID.

Climate Change Adaptation Project Guidelines. This document covers each aspect of the project cycle, focusing in particular on the use of vulnerability and adaptation assessment. USAID Adapt Asia-Pacific prepared this document, which was still in draft form as of the time of the evaluation, based on a compilation of best practices found in other guidelines or encountered in project work, including that of USAID Adapt Asia-Pacific, in Tuvalu, Samoa, Solomon Islands, and Lao PDR, Nepal, Tonga, and Cambodia. It appears that this document had its origins in earlier applications of the vulnerability and adaptation methodology by USAID Adapt Asia-Pacific. However, only recently has this experience been captured in a tangible knowledge product. Had this document been developed a year earlier, it could have been tested and refined along the way and ready for dissemination today. Nonetheless, this document may still have the potential to be an influential knowledge product for USAID Adapt Asia-Pacific, if tested, finalized, and adequately promoted in a timely and effective way. These guidelines could also be made more effective by making it easy for users to access and learn from high-quality and successful project proposals (such as those supported by USAID Adapt Asia-Pacific).

Conclusions

Capacity building under USAID Adapt Asia-Pacific appears to be fragmented. As a result, it is not clear that USAID Adapt Asia-Pacific has been fully organized as a capacity-building effort. This component does not have a clear statement of purpose and set of programming that sufficiently serve USAID Adapt Asia-Pacific's mission, create lasting capacity building and thought leadership, and take full advantage of project-generated experience. USAID Adapt Asia-Pacific's capacity building does not appear to be well aligned with the project's other large activity – project proposal preparation – as it should be.

To some degree, a fragmented portfolio of capacity building activities reflects USAID Adapt Asia-Pacific's commitment to a demand-driven approach, as well as its 27-country mandate. A challenge for Adapt in its final two years will be to identify and reinforce the activities that have the greatest potential for regional application.

Training

It is not evident that the role of CBA in project preparation warrants the high proportion of training associated with ECCA so far. The same question applies to PCBA but to a lesser extent given that USAID Adapt Asia-Pacific's support has been comparatively small to date. To put the CBA training into perspective, consider the staffing of a project preparation technical team. Typically, an economist is one of several technical specialists on such a team. Therefore, the ECCA trainee is one specialist among several needed for project preparation. In the judgment of the Evaluation Team, longer term training of government staff on project preparation would have broader utility, for example, better positioning and enabling them as managers and implementers of project preparation efforts.

Institutional Capacity Building

Capacity building on a regional project like USAID Adapt Asia-Pacific is particularly challenging since it has limited presence and activities in any given country. Even in the best of circumstances, institutional capacity building is not easy. It takes a lot of time, effort, and special attention. Capacity building, at least as customarily practiced, calls for building relationships between project staff and individuals at the counterpart institutions. A regional project like USAID Adapt Asia-Pacific is not readily positioned to do extensive relationship building. By comparison, on a bilateral project, relationship building can start early on and continue through the life of a multi-year project, with one or only a few institutions in the same country.

For a 27-country regional project, an approach that requires extensive and long-term relationship building is not feasible. A different approach is needed. Project proposal preparation (as discussed in the section below on Task 4) can be made more regional in scope and influence by having it serve the capacity building goal more (and project proposal and fund leveraging less, if necessary). On the regional level, there are opportunities for this targeted focus. Regional organizations, such as SPREP and CDIA, already produce their own capacity-building knowledge products. SPREP is prepared to collaborate with USAID Adapt Asia-Pacific on a project preparation capacity-building knowledge product (guidance).

At a minimum, coming to an explicit agreement between the counterpart institution and USAID Adapt Asia-Pacific on the goals, means, timing, and corresponding commitments would codify, externalize, and reinforce that USAID Adapt Asia-Pacific and the institution have undertaken the capacity-building effort jointly. It is not clear that any counterpart institution to date understood what the objectives of USAID Adapt Asia-Pacific's capacity building efforts were nor realized that it was part of an explicit institutional capacity-building effort.

Tools, Technologies, and Methods

USAID Adapt Asia-Pacific has not yet taken good advantage of project-generated experience, lessons learned, and best practices to inform its internal/external knowledge products. With respect to tools, technologies, and methods developed, tested, and/or adopted, USAID Adapt Asia-Pacific seems to have several items that have been developed and used but that have not been polished and refined for wider use and dissemination. This interim status may be a function of the still-partial development of these tools. The lack of wider visibility of tools may also reflect a lack of emphasis on the part of USAID Adapt Asia-Pacific in the use of knowledge products to increase the project's broader communication to the regional professional community and to lay the groundwork for a sustainable legacy from USAID Adapt Asia-Pacific in terms of knowledge products that have a constituency and audience in the Asia-Pacific region after the project ends. Strong dissemination and promotion in the second half of the project would increase the potential that USAID Adapt Asia-Pacific's knowledge products are put to good use.

And, there are opportunities. For example, the tools prepared for ICCTF could be prepared for wider dissemination and use. The Evaluation Team is unaware of further use of these tools to date. It is unclear what capacity building or other results may have come from USAID Adapt Asia-Pacific's work on ICCTF's fundraising strategy (mapping potential donors). From Samoa, the on-the-job programming and guidelines are examples of the kind of work that USAID Adapt Asia-Pacific should turn into a knowledge product for dissemination to regional audience.

Task 4: Project Preparation Facility

Task 4 was designed to deliver necessary technical assistance to further develop climate change adaptation project proposals. Technical assistance would focus on specific segments or activities related to project preparation, such as a strengthened probabilistic risk assessment, socio-economic analysis, environmental impact assessment, gender action plan, feasibility level engineering design and cost estimates, or implementation plans. To accomplish this objective, the USAID Adapt Asia-Pacific team was intended to establish a facility with flexible arrangements that would allow it to rapidly mobilize teams with varying expertise to provide the technical assistance.

Findings

USAID Adapt Asia-Pacific faced substantially different circumstances when the project began implementation than was anticipated. When the project was being designed, the Adaptation Fund was pioneering a direct access modality—meaning the transfer of financial resources directly to accredited national institutions rather than through a third party, such as a multilateral institution—but was not yet fully operational.

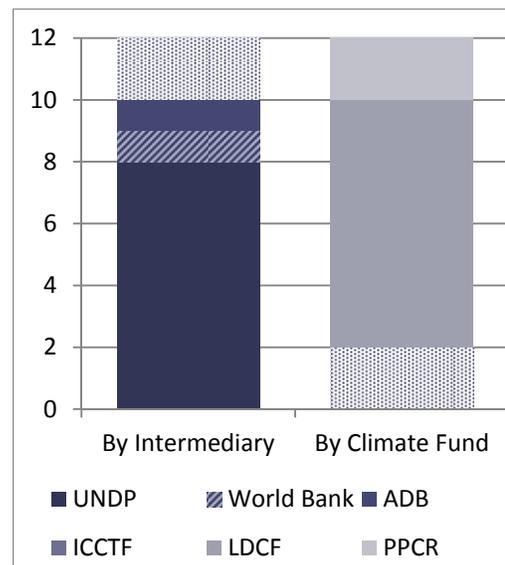
The project’s designers reasonably assumed that many Asian countries might have a national institution accredited by the Adaptation Fund for direct access and thus that those countries could require technical assistance to identify, prioritize, and prepare project proposals for submission. Yet, when USAID Adapt Asia-Pacific was launched in September 2011, none of the governments in the Asia-Pacific region had achieved direct access to international adaptation financing, and none were yet accredited to the Adaptation Fund. And the vast majority of other dedicated adaptation funds—such as the Least Developed Countries Fund (LDCF), the Special Climate Change Fund, and the Pilot Program for Climate Resilience (PPCR)—can only be accessed through eligible multilateral institutions.

In the face of these changed circumstances, and recognizing the expectation that the project would deliver technical assistance and achieve results in terms of projects approved or in the pipeline, USAID Adapt Asia-Pacific made an appropriate strategic decision to partner with multilateral intermediaries to provide technical assistance to their project preparation teams. USAID Adapt Asia-Pacific has also appropriately sought opportunities to deliver technical assistance for direct national and sub-national adaptation project preparation activities, including providing support for: the Philippines’ Department of Finance in its efforts to become accredited to the Adaptation Fund and for India’s National Bank for Agriculture and Rural Development (NABARD) for successful Adaptation Fund project proposal development; selection and prioritization of project proposals for the ICCTF; and preparation of bankable projects in three Indian cities. The remainder of this section presents findings and conclusions about the effectiveness and results of these approaches to Task 4.

Multilateral Project Preparation Assistance

USAID Adapt Asia-Pacific has provided technical assistance to enhance the preparation of 12 adaptation project proposals, including four projects that have specific gender components.¹⁶ Three projects have been supported in Samoa, two in Indonesia, and one each in Lao PDR, Nepal, Timor Leste, Solomon Islands, Tuvalu, Tonga, and Vanuatu. As shown in Figure 7, the majority of the project proposals supported have been with UNDP under the LDCF. USAID Adapt Asia-Pacific’s support has been provided in the form of adding an average of two expert consultants to each project preparation team. The large majority have been international consultants, including economists, engineers, and experts specializing in ecosystems, gender, climate resilient infrastructure, and coastal and marine issues.

Figure 7: Project Proposals by Intermediary and Climate Fund through June 30, 2014



¹⁶ All of these projects are stand-alone climate change adaptation projects.

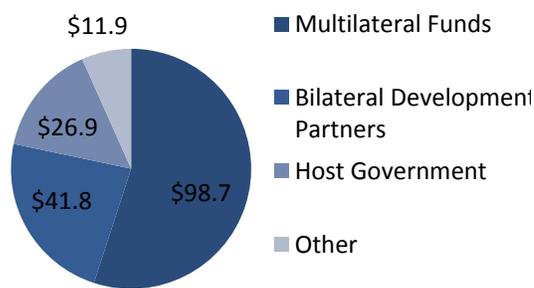
Better project proposals. USAID Adapt Asia-Pacific’s technical assistance for project preparation has been high-quality, flexible, and rapidly mobilized. Interviews with the project’s multilateral and government partners suggest that the international experts USAID Adapt Asia-Pacific provided have been of high caliber and were well integrated in the project teams in most countries. USAID Adapt Asia-Pacific was able to mobilize these experts more quickly than would have been possible through the normal procurement processes of UNDP, World Bank, and the Asian Development Bank (ADB). These findings are indicative of the project’s strong service orientation.

To date, the primary results of USAID Adapt Asia-Pacific’s project preparation technical assistance are higher quality project proposals and circumvention of lengthy multilateral procurement processes. The Evaluation Team finds it likely, however, that most project proposals would have proceeded to the pipeline or to approval without USAID Adapt Asia-Pacific’s engagement. Interviews suggest that without USAID Adapt Asia-Pacific’s technical assistance, similar analyses (e.g., gender plans) would have still been conducted

in most projects, but not at the depth or speed with which USAID Adapt Asia-Pacific was able to provide. The value of USAID Adapt Asia-Pacific’s assistance is greater for UNDP, which has fewer resources for project preparation under the LCDP, than for World Bank and ADB, which are relatively well-resourced under the Climate Investment Fund’s adaptation window, the PPCR.

Figure 8: Results on Investment Leveraged

Project Financing "Leveraged" through Q3 2014, US\$ Millions



Investment Leveraged. USAID Adapt Asia-Pacific has been part of several successful project preparation efforts where project financing was accessed. But, given the stage at which USAID Adapt Asia-Pacific has engaged on project preparation, most of the investment amounts reported as “leveraged [...] as a result of USG assistance” had already been committed, particularly the funds coming from international climate funds and multilateral partners. The sources of investments leveraged by USAID Adapt Asia-Pacific are shown in Figure 8. The evaluation also found no evidence that USAID Adapt Asia-Pacific had contributed to leveraging funds from bilateral development partners, host governments, or other donors.

Limited Institutional Strengthening. USAID Adapt Asia-Pacific is relying heavily on project preparation activities (Task 4) to deliver results in institutions with strengthened capacity to prepare quality climate change adaptation investment proposals—the project’s first objective and one of its key performance indicators. At the mid-point of the project’s five-year duration, USAID Adapt Asia-Pacific has reported strengthening 12 of 34 institutions¹⁷ (or about 35 percent), seven of which were engaged through technical assistance to multilateral project proposal teams.

Key informant interviews with country governments and development partners provided evidence that project preparation support has achieved limited improvements in overall institutional capacity to prepare adaptation projects. In some institutions, USAID Adapt Asia-Pacific has made a specific, but limited contribution to institutional capacity. For the ICCTF—an institution counted as strengthened in

¹⁷ Two institutions have been reported as strengthened twice (in two fiscal years): Thailand ONEP and Philippines DOF.

the FY2013 PMP—USAID Adapt Asia-Pacific provided narrow but useful support to develop a project selection and ranking system and improve ICCTF’s monitoring and evaluation system. In FY2014, USAID Adapt Asia-Pacific will be reporting the Cambodian Ministry of Rural Development as an institution with improved capacity to address climate change issues. Through its support for an ADB sector project, USAID Adapt Asia-Pacific developed guidelines for climate-proofing community ponds that are and will be useful for integrating adaptation considerations into ADB’s community ponds projects. However, whether national capacity was increased—i.e., whether the guidelines would be used outside of ADB projects—was unclear to the Evaluation Team, given that the highly technical guidelines had not been translated into the local language (Khmer).

Limited improvements in institutional capacity are symptomatic of the project’s approach and wide geographical coverage. USAID Adapt Asia-Pacific provides short-term consultants to project preparation teams, most of whom are external to the USAID Adapt Asia-Pacific project and are technical experts (e.g., engineers or economists), not capacity building specialists. Thus, the success of this approach relies on the individual capacity building skills of these technical experts, how effectively USAID Adapt Asia-Pacific communicates to those experts that government capacity building is an expected outcome of their participation on the project preparation team, and the extent to which the technical experts have access to government officials through their project preparation activities. The Evaluation Team found mixed results on these points. Members of USAID Adapt Asia-Pacific’s permanent staff have made a concerted effort to build relationships and capacity through project preparation, but at least one external expert consultant¹⁸ hired to support project preparation was not aware of USAID Adapt Asia-Pacific’s capacity building goal.

When USAID Adapt Asia-Pacific’s institutional strengthening efforts have extended beyond the project preparation phase, more capacity building results have been achieved. One example is Samoa, where the USAID Adapt Asia-Pacific team organized and conducted a month-long on-the-job training for the Samoa Ministry of Natural Resources and Environment and Samoa Tourism Authority staff.

Mixed Results from the Multilateral Approach. Overall, USAID Adapt Asia-Pacific’s rationale given for partnering with multilateral intermediaries—i.e., “use its involvement in multilateral agency intermediation of climate financing as an avenue to opening up direct assistance to the governments involved”—has not fully been fully realized. To date, the majority of direct government capacity building has happened in countries where a multilateral was not used as an entry point (India, Thailand, Philippines). In interviews, one Asian USAID mission was skeptical of why USAID Adapt Asia-Pacific felt it needed to use a multilateral entry point rather than call on the missions’ existing relationships with relevant government ministries.

On one hand, working through the multilaterals has gained the USAID Adapt Asia-Pacific team good experiences working with national governments that have potential to improve capacity building efforts in the latter half of the project. On the other hand, the project’s opportunistic approach meant that technical assistance was provided to adaptation projects on demand. The Evaluation Team found no evidence that projects had been selected strategically based on criteria designed, for instance, to maximize the potential for follow-on capacity building after the discrete project proposed is prepared or synergies with other regional or bilateral projects. This approach has left USAID Adapt Asia-Pacific with a roster of countries that have uneven potential for receiving direct assistance. Some countries—such as Lao PDR and Nepal—have shown very limited interest in receiving more support from USAID Adapt Asia-Pacific in the time since the project team initially participated in their project proposals. Many of the countries supported have been in the Pacific, where a regional approach is likely to be more

¹⁸ Out of a limited sample of project preparation consultants interviewed by the Evaluation Team.

sustainable and cost-effective. All but two of the Pacific countries that USAID Adapt Asia-Pacific has supported on project preparation (Samoa and Vanuatu) were absent from the 3rd Annual Forum focused on country systems.

Other Project Preparation Activities

Supporting National Accreditation to the Adaptation Fund. USAID Adapt Asia-Pacific made an appropriate strategic decision to help interested countries in National Implementing Entity accreditation to the Adaptation Fund. Initially, Lao PDR, Mongolia, the Philippines, and Indonesia were identified as good candidates for USAID Adapt Asia-Pacific support for accreditation. To date, the project has only provided support to the Philippines in this regard. As discussed above in the Task 3 section, USAID Adapt Asia-Pacific has helped the Philippines DOF prepare and submit documents for the Adaptation Fund in December 2012, but accreditation has not yet been achieved nearly two years later. (The slow pace may be attributable to challenges outside of USAID Adapt Asia-Pacific's control.)

In India, the NIE accreditation process for NABARD was underway by the time USAID Adapt Asia-Pacific was launched, and NABARD was accredited in June 2012. USAID Adapt Asia-Pacific is providing appropriate and strategic support to NABARD consistent with the project's objectives: helping NABARD learn how to meet the Adaptation Fund's requirements for project proposals and to get proposals approved. Interviews suggested that USAID Adapt Asia-Pacific is the only development partner providing sustained support to NABARD in this particular area. Unlike the Philippines, however, NABARD has not yet been counted among the project's results as an institution with strengthened capacity. For USAID Adapt Asia-Pacific, successful support to NABARD could include building NABARD's capacity to recognize what a quality project proposal looks like from the perspective of international funding organizations like the Adaptation Fund.

Urban Adaptation Project Preparation Activities. USAID Adapt Asia-Pacific is pursuing several subnational activities related to the preparation of bankable urban climate change adaptation projects. USAID Adapt Asia-Pacific is collaborating with the Cities Development Initiative for Asia (CDIA) to support the preparation of a project on integrated flood risk management in Valenzuela, Philippines, including technical inputs to the pre-feasibility study and looking at linking the project with possible financing (including from the Government of the Philippines, Urban Climate Change Resilience Trust Fund [UCCRTF], and the GEF). In India, USAID Adapt Asia-Pacific played an integral role in forging a partnership between ICLEI and CDIA. ICLEI is now a regional partner accredited with CDIA to use their tools related to project prioritization (CIIPP) and pre-feasibility studies. The tripartite initiative is using CIIPP to prioritize adaptation activities in three Indian cities with climate resilience strategies (Shimla, Bhuaganswar, and Mysore), with the goal of preparing bankable projects and linking them to financing.

If USAID Adapt Asia-Pacific, in partnership with CDIA and ICLEI, is successful in preparing bankable urban climate resilience projects and connecting them to financing, this success could have an important regional demonstration effect. For USAID Adapt Asia-Pacific as a regional project, it will be important to have a tangible outcome that can support a broader regional impact, such as case studies for each project. Other opportunities to regionalize the impact of USAID Adapt Asia-Pacific's involvement could include twinning—e.g., partnering Valenzuela officials with a UCCRTF second-tier city to share their experience and knowledge. Figure 9 provides a brief overview of

Figure 9: Dovetailing with UCCRTF

USAID Adapt Asia-Pacific's efforts have regional relevance for UCCRTF, a multi-donor trust fund managed by ADB and financed by donor contributions from USAID, UK DFID, the Rockefeller Foundation, and others. UCCRTF is expected to expand upon the successes of the Rockefeller Foundation Asian Cities Climate Change Resilience Network's (ACCCRN) experience and target approximately 25 second tier cities in Bangladesh, India, Vietnam, Pakistan, Indonesia, and the Philippines. With over \$1 billion projected to be available in loan financing and \$150 million in grants, UCCRTF will provide assistance in the form of grants for components of investment projects, technical assistance, direct charges and other activities.

UCCRTF and its relevance to USAID Adapt Asia-Pacific.

Conclusions

USAID Adapt Asia-Pacific has provided superior niche-level technical assistance for adaptation project proposals. Expert consultants have been rapidly mobilized to provide short-term support for project preparation teams. This technical assistance has resulted in better project proposals. The project's approach of working through multilateral intermediaries has been successful in delivering results in terms of adaptation projects funded or in the pipeline.

However, this technical assistance has not led to “game-changing progress” for individual institutions, countries, or the region, as was hoped in the original Statement of Work. Technical assistance has been used as the primary strategy to build institutional capacity, an approach that was not originally envisioned in the project design. Instead, “recognizing that capacity building training alone might not provide the skills required to prepare a project to the level necessary for funding without some additional specialized assistance, ADAPT will provide technical assistance for specific investment proposals,” according to the project's original design.¹⁹ Short-term technical assistance for preparing a specific project provides a limited opportunity to strengthen an institution, and indeed, the capacity built through technical assistance has been narrow in scope and limited in impact in most institutions with which USAID Adapt Asia-Pacific has engaged.

At the mid-point of USAID Adapt Asia-Pacific's project duration, the majority of project preparation technical assistance has been delivered bilaterally, with limited instances of regional learning. In part, this pattern is a result of the financing structure of international adaptation funds. Nearly all adaptation funding is allocated on an individual country basis, and thus projects are prepared and implemented within national borders. Significant opportunities exist, however, to harvest the knowledge and tools that USAID Adapt Asia-Pacific has developed through its bilateral project preparation assistance and re-purpose it for a regional audience.

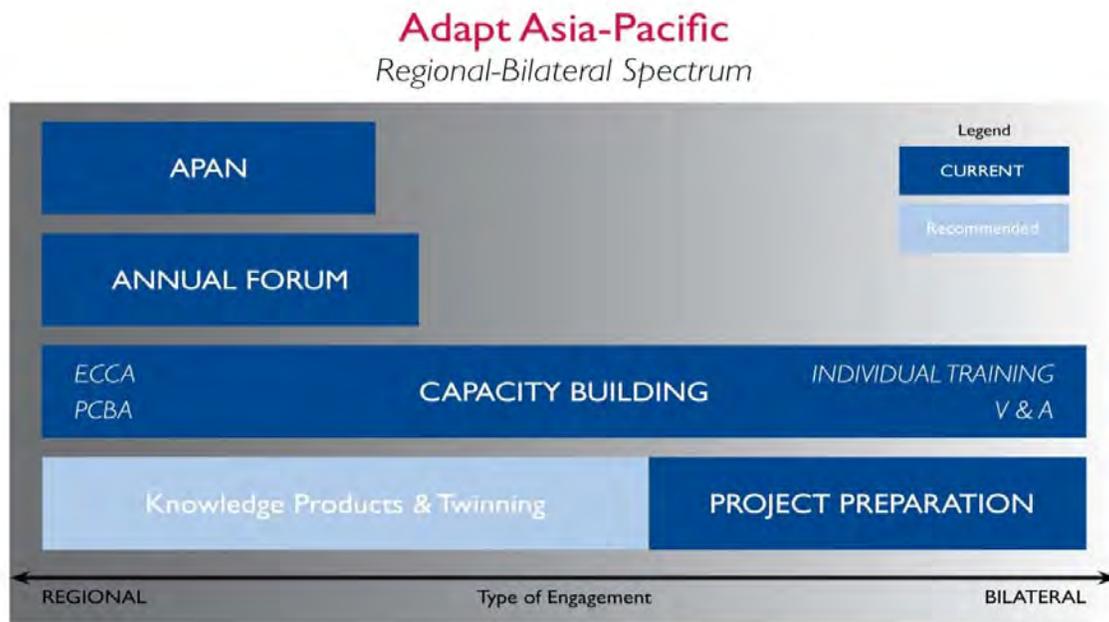
Cross-cutting Findings and Conclusions

Regional Cohesive Approach

USAID Adapt Asia-Pacific is a regional project that features bilateral-level activities in selected locations as well as activities that are by their nature regional in scope. As illustrated in Figure 10, the current configuration and emphasis of the project's activities span the spectrum from a regional emphasis in its engagement – as is the case with Tasks 1 and 2 (APAN and the Annual Forum) and to a degree with Task 3 (Capacity Building) – to a bilateral focus, as is the case with all of the project preparation activities of Task 4 as well as some of USAID Adapt Asia-Pacific's capacity building activities (individual training and the on-the-job vulnerability and adaptation assessment training). The Evaluation Team sees an opportunity to create a more cohesive and effective regional capacity building effort by converting more of the bilateral project experience and capacity building into regionally applicable knowledge products and twinning activities.

¹⁹ Adapt AECOM Final Contract SOW.

Figure 10: Regional-Bilateral Spectrum



Gender

USAID Adapt Asia-Pacific does not have a comprehensive or cohesive approach with respect to gender. However, gender dimensions have been considered by USAID Adapt Asia-Pacific through several tactical avenues as discussed below.

Engagement of Women Professionals in Training. Through the third quarter of FY2014, women have accounted for 40 percent of the individuals trained and 40 percent of the person-hours of training achieved by the project. With regard to the three Annual Forums, each had majority male participation, 69, 58, and 75 percent respectively in the first, second, and third Forums.

On the substance of trainings, none of the USAID Adapt Asia-Pacific sponsored events has focused on deepening participant knowledge around gender and climate change adaptation. In the Annual Forums, there was no evidence of gender having been the main topic of any Forum participation nor was it a topic tagged in the recording of the Second Forum's Development Marketplace. This finding does not preclude the possibility, however, that gender perspectives entered the actual discussions.

Project Preparation. Of the 12 projects for which USAID Adapt Asia-Pacific has provided technical assistance for proposal preparation, four have had a specific gender component. USAID Adapt Asia-Pacific contributed a gender expert (in all cases, a woman) to three of the four UNDP LDCF project teams.²⁰ In Samoa, the gender expert conducted an assessment of all social groups' participatory

²⁰ To the fourth project with a gender component, *Enhancing the Resilience of Tourism-reliant Communities to Climate Change Risks in Samoa*, USAID Adapt Asia-Pacific contributed a coastal engineer.

involvement in decision making and implementation of development interventions in the targeted communities, and provided recommendations and a methodology to better ensure that planned project activities would have outcomes that are socially and gender inclusive. In Vanuatu, the gender consultant assessed gender equality and social inclusion (GESI) issues in each of the six project sites, and identified and designed GESI strategies and recommendations. In Timor Leste, the gender consultant prepared a report on strengthening community resilience to natural disasters and identified women-specific project activities and outcomes that have funding attached. All three final project proposals include a strong gender component broadly consistent with these recommendations.

USAID Adapt Asia-Pacific's contribution of gender experts is a significant accomplishment for the gender sensitivity of those projects. Including a gender specialist on a climate change adaptation project preparation team is not standard practice in the international community, given resource and other constraints, and an independent evaluation of the LDCF found a "lack of attention to gender differentiated vulnerability in LDCF supported activities," noting that "it is essential to identify and to understand how LDCF supported adaptation actions can best address gender equality issues and women as agents of adaptation."²¹ Moreover, UNDP representatives interviewed consistently indicated that USAID Adapt Asia-Pacific was solely responsible for adding a gender specialist to proposal preparation teams, which would not otherwise have been possible.

Online Gender Sourcebook. USAID Adapt Asia-Pacific hired external consultants who prepared an excellent Gender Sourcebook. Recognizing that there were many existing general how-to manuals around gender and climate change, the Sourcebook was intended to provide online guidance specifically for large-scale adaptation project proposal writers. The Sourcebook usefully provides sectoral modules with entry points and indicators, sectoral case studies, and illustrative terms of reference for gender specialists.

The preparation of the Sourcebook was a mostly stand-alone effort, seemingly isolated from USAID Adapt Asia-Pacific's efforts to integrate gender considerations into project proposals. The gender specialists provided to the Samoa, Vanuatu, and Timor Leste project teams were not consulted during the preparation of the Sourcebook, for example, and consultations with other potential end-users of the Sourcebook were limited. These inputs could have been helpful in ensuring the Sourcebook's relevance and utility to its audience.

Because the Gender Sourcebook was only recently made available online (on APAN), it remains to be seen whether this tool will be widely utilized. Regional interest is reportedly high, and initial feedback has been relatively positive. Utilization will depend in part on the effectiveness of USAID Adapt Asia-Pacific's efforts to promote the Sourcebook. To date, the Sourcebook has not been supported by training or technical assistance to further build the capacity of country stakeholders to integrate gender considerations into climate change initiatives.

Other Activities. In a recent initiative, USAID Adapt Asia-Pacific and The Center for People and Forests (RECOFTC) are partnering on a national demonstration project in Nepal concerning bringing direct benefits to women-dominated community forestry user groups through community forestry-climate change adaptation initiatives.

²¹ COWI and IIED. 2009. Evaluation of the operation of the Least Developed Countries Fund for Adaptation to Climate Change.

Coordination with Bilateral Missions and Other Projects

Bilateral Missions and US Embassies. From the outset of the project, USAID Adapt Asia-Pacific met with bilateral missions and US Embassies to inform them about the project and seek their support for initiating project activities. With a few exceptions,²² USAID Adapt Asia-Pacific has maintained strong and positive working relationships with the USAID bilateral missions and US embassies within the project's geographic scope. In India, USAID Adapt Asia-Pacific was noted as one of the best RDMA projects in terms of working with and through the USAID mission. USG officials generally appreciated USAID Adapt Asia-Pacific's demand-driven posture and flexibility, although in some countries, there were requests for more communication (e.g., regular updates and advance travel notice). In Cambodia, USAID/RDMA and USAID/Cambodia negotiated an Action Memorandum that describes the USAID Adapt Asia-Pacific project and establishes coordination procedures for the implementation of project activities in Cambodia.

Other USG Projects and Programs. The Evaluation Team found very limited evidence of coordination with other USG projects and programs, including RDMA's LEAD, Mekong Adaptation and Resilience to Climate Change (ARCC), and Lowering Emissions in Asia's Forest (LEAF) projects. That said, the Evaluation Team did not identify any significant missed opportunities where USAID Adapt Asia-Pacific could have furthered its project objectives by collaborating with other regional programs. In the final two years of USAID Adapt Asia-Pacific and ARCC there may be opportunities for collaboration in terms of ARCC's pre-feasibility studies that may be positioned for financing. In India, USAID Adapt Asia-Pacific and LEAD both supported the participation of country officials in a workshop on climate finance in South Asia. As mentioned in the discussion on Task 4 above, there is potential for coordination with the UCCRTF given USAID Adapt Asia-Pacific's efforts to develop bankable urban adaptation projects in the Philippines and India in partnership with CDIA and ICLEI.

Regional Coverage in Asia and Pacific

While originally designed to focus on 13 Asian countries—consistent with RDMA's jurisdiction—USAID Adapt Asia-Pacific's geographic scope was widened in the first year of implementation to include 14 nations in the Pacific. With 27 eligible countries, USAID Adapt Asia-Pacific is one of, if not the broadest, regional project implemented by RDMA. All 27 eligible countries have participated to some extent in the USAID Adapt Asia-Pacific project, which is, in itself, a notable achievement.

Project expenditure data were not available by country or region, but several analyses conducted by the Evaluation Team help illustrate the allocation of resources and achievement of results in Asia versus the Pacific. While project preparation has been largely in the Pacific, capacity building has been focused more strongly in Asia. As shown in Figure 11, through the third quarter of FY2014, about two-thirds of USAID Adapt Asia-Pacific's technical assistance for project preparation has been for projects and consultants in the Pacific Islands, although ongoing efforts to prepare projects in Cambodia and India could shift this balance in the near-term. Capacity building efforts have been focused strongly in Asia, due in large part to the ECCA program, as shown in Figure 12. In total, 85 percent of the training hours supported by USAID Adapt Asia-Pacific has been delivered to Asian government officials.

²² For example, USAID Adapt Asia-Pacific has had limited engagement with USAID/Vietnam, USAID/Bangladesh, and USAID/Mongolia.

Figure 11: Project Preparation Technical Assistance in Asia and Pacific

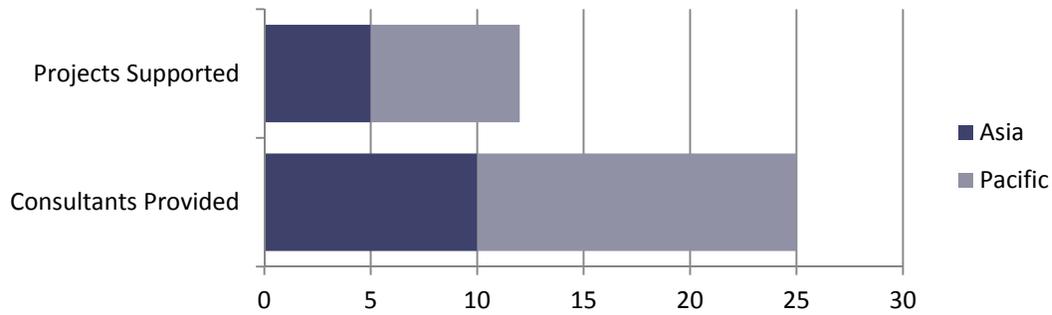
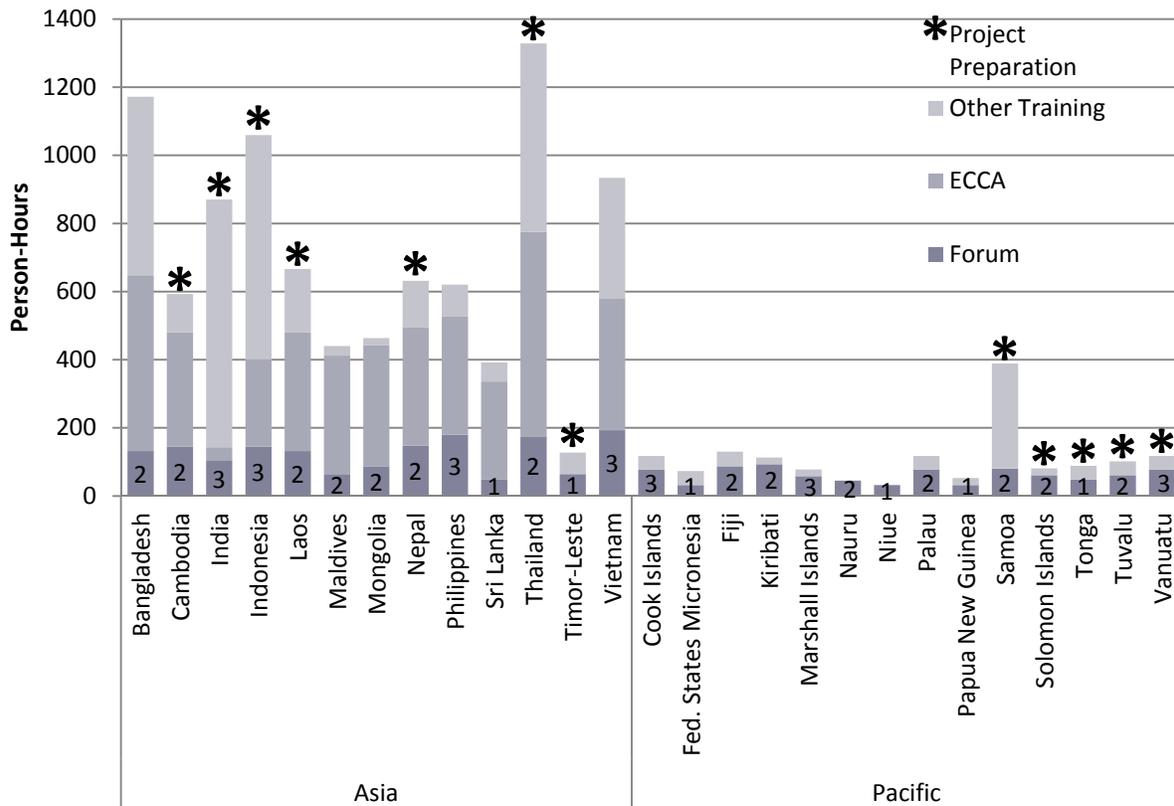


Figure 12: Capacity Building Efforts by Country and Region



* Countries identified as participating in project preparation activities are those in which a project proposal supported by USAID Adapt Asia-Pacific has been approved or is in the pipeline, or countries where the Evaluation Team was aware of ongoing support being provided by USAID Adapt Asia-Pacific for project preparation that seems likely to result in an approved project.

The context for USAID Adapt Asia-Pacific’s efforts is very different in Asia than in the Pacific. In Asia, USAID Adapt Asia-Pacific is a small player in the climate change adaptation field, and the project’s contributions are narrow. In the Pacific, USAID Adapt Asia-Pacific has more visibility and has created positive diplomatic results for the USG. With fewer internal resources and a strong sense of urgency around climate change adaptation as a means of survival, Pacific Island countries have had a seemingly stronger demand for USAID Adapt Asia-Pacific’s assistance and get greater “bang for the buck.”

Sustainability

The sustainable potential of USAID Adapt Asia-Pacific varies by activity and outcome. As is normal for any USAID project, some USAID Adapt Asia-Pacific activities are not sustainable. For example, without USAID Adapt Asia-Pacific funding, the provision of expert consultants to multilateral project preparation teams will cease, as will the financial support for government officials to attend third-party trainings. The USAID Adapt Asia-Pacific Annual Forum will no longer be held.

Many other elements of the USAID Adapt Asia-Pacific project have potential to leave a legacy, however, and the Implementing Partners are already thinking about and pursuing some of these opportunities. In the estimation of the Evaluation Team, sustainability of the USAID Adapt Asia-Pacific project hinges on three points, as elaborated below:

- Enhancing sustainability of the results achieved by adaptation projects for which USAID Adapt Asia-Pacific has provided project preparation technical assistance.
- Supporting the sustainability of the capacity built in government officials and institutions.
- Finding sustainable homes for knowledge generated by the project (e.g., APAN and other institutions).

Sustainability of Project Preparation Results. USAID Adapt Asia-Pacific has limited control over the sustainability of adaptation projects because its engagement is restricted to project preparation and design. However, improved project design as a result of USAID Adapt Asia-Pacific's support might reasonably be expected to result in more sustainable project impacts (e.g., people with improved adaptation capacity).

Sustainability of Capacity Built in Individuals and Institutions. Little evidence was available about the potential for sustainability of capacity built on an individual basis. An ex-post assessment conducted by USAID Adapt Asia-Pacific found that most participants in the GTSP are directly applying the knowledge they gained in their field of work, suggestive of some sustainable capacity gained. For other training events—particularly those that have been held on a “one-off” basis—response rates were low and inconclusive. Attendance at multiple USAID Adapt Asia-Pacific events may reinforce the sustainability of any individual capacity built. Seventeen percent of participants have attended more than one USAID Adapt Asia-Pacific sponsored event, which is not high. And less than 5 percent have attended more than two events. Nonetheless, the majority of individuals attending multiple events are participating in the ECCA program. The long-term, repeat exposure format of this program shows promise for sustainable improvements in the capacity of individuals to conduct economic analysis.

In terms of institutions, as discussed previously, USAID Adapt Asia-Pacific is making narrow, specific contributions to institutional capacity to prepare quality adaptation investment proposals. Achieving and reinforcing the intended capacity building results in certain countries will give the project much better potential for sustainability. For instance, in India, if USAID Adapt Asia-Pacific can successfully help NABARD obtain Adaptation Fund approval for its first round of project submissions and reinforce that experience with a second round of project identification, prioritization, and preparation, then the probability that NABARD will be able to accomplish these tasks independently after USAID Adapt Asia-Pacific closes will be much higher. Similarly, in the Philippines, if USAID Adapt Asia-Pacific can successfully help the DOF achieve Adaptation Fund accreditation and identify, prioritize, and prepare successful projects, the Philippines will have a greater likelihood of sustained access to financial resources for adaptation investment projects (e.g., future fast-tracking into Green Climate Fund accreditation). This type of institutional strengthening takes continued presence and time, and it is more bilateral in nature. USAID Adapt Asia-Pacific can both regionalize and improve the sustainability of these efforts by pursuing twinning opportunities and creating knowledge products that can support other countries that have similar goals.

Sustainable Homes for Knowledge Generated. A pillar of sustainability for USAID Adapt Asia-Pacific will be generating useful knowledge products that highlight its innovative practices and experiences and finding a permanent home where that knowledge can be put to use. APAN was envisioned as fundamental to the sustainability of the project in this regard, but USAID Adapt Asia-Pacific has not fully utilized this platform as discussed above. USAID Adapt Asia-Pacific's knowledge products can have a longer usable life on APAN, but the extent to which they are found and used will depend in part on whether navigability and library indexing issues are resolved. Interviews with the Implementing Partners suggest that the project envisions different homes for most USAID Adapt Asia-Pacific knowledge, including United Nations University, SPREP, Pacific Island Forum Secretariat (PIFS), and CDIA.

Program Management

From a variety of partners and stakeholders, key informants pointed to the great service that the USAID Adapt Asia-Pacific team has provided, especially in project preparation activities. The project team has been accessible, highly responsive, timely, and efficient in the field work that it has done. It is also notable that the USAID Adapt Asia-Pacific team has been resilient, adjusting activities and approaches to take advantage of opportunities, such as working with multilaterals, and to deal with constraints, such as the rapidly evolving context for climate change adaptation finance. The team has been somewhat experimental in its approach, for example trying a new innovative activity in the Development Marketplace, which was widely recognized as successful.

The addition of the Pacific countries represented a substantial change in the mission and thrust of USAID Adapt Asia-Pacific. While there may have been some “birthing pains” in this switch, according to USG and other informants from the Pacific, all in all USAID Adapt Asia-Pacific has distinguished itself in the Pacific. The project has produced notable results in the Pacific with moderate resources and generated high visibility and positive diplomatic results for the USG, owing in part to the fact that Pacific countries are much smaller, have fewer internal resources, and may be hungrier for international climate finance. US assistance appears to be noted and appreciated at higher government levels as a result.

4.2 Helping and Hindering Factors

Beyond the findings and conclusions provided in the task-by-task discussions above, the Evaluation Team identified the following additional helping and hindering factors that have influenced the performance of USAID Adapt Asia-Pacific to date.

Helping Factors

Project design and underlying assumptions—USAID Adapt Asia-Pacific was well-designed with clear linkages between the key activities and objectives of the project. The project built on a needs assessment that accurately identified the lack of capacity among the region's governments to independently access climate change adaptation funding.

Existing national or sub-national systems— Identifying countries with slightly more capacity was helpful for the achievement of results. For example, Samoa was at the right point of readiness for USAID Adapt Asia-Pacific's project preparation and capacity building assistance, benefiting substantially from both to become a leading example of the project's work in the Pacific. But the Evaluation Team did not find evidence that the existence of specific national or sub-national systems were particularly helpful to the achievement of project results.

Existing mechanisms for the national or sub-national governments to access climate change adaptation funds—Where national mechanisms existed to access climate adaptation funds, such as the ICCTF in Indonesia and NABARD’s national accreditation to the Adaptation Fund, this structure offered a strategic entry point for USAID Adapt Asia-Pacific, and one that could prove helpful in the achievement of results. In both ICCTF and NABARD, USAID Adapt Asia-Pacific has been successful in identifying narrow but helpful level technical assistance related to project preparation.

Implementation approach—In implementation, USAID Adapt Asia-Pacific has been helped by the personal and professional connections of its senior staff in Asia and particularly the Pacific region. Some of USAID Adapt Asia-Pacific’s key partners, including ADB and ICLEI, had worked with USAID Adapt Asia-Pacific senior staff on previous projects. Many country partners also noted frequent on-the-ground presence of USAID Adapt Asia-Pacific staff (e.g., attendance at meetings, travel to local project sites) as an advantage and indication of team commitment, although that presence certainly comes at a cost.

USAID Adapt Asia-Pacific’s demand-driven and service-oriented approach, as previously noted, has also been a helping factor. In some countries, significant demand for individual training and institutional technical assistance related to capacity building has created opportunities for project activities.

Donor coordination—USAID Adapt Asia-Pacific has had strong coordination with other regional and global partners and donors that has allowed the project to reach a larger audience. USAID Adapt Asia-Pacific has engaged in joint activities with ADB, Australia’s Department of Foreign Affairs and Trade,²³ GIZ, the World Bank, UNDP, the United Nations Environment Programme (UNEP), SPREP, PIFS, CDIA, and ICLEI among other partners. The project has also facilitated cooperation agreements between USAID/RDMA and several of its key partners, including APAN, ADB, and UNDP. USAID Adapt Asia-Pacific has coordinated extensively with UNDP, including on the preparation of eight LDCF projects, the ECCA program, and the organization and delivery of the 3rd Annual Forum. The cost-benefit analysis activities (ECCA and PCBA) aligned well with existing but latent interest in multilaterals, regional organizations, and academic institutions to promote more capacity building in economic analysis skills.

While many of USAID Adapt Asia-Pacific’s activities are closely related to efforts undertaken by other partners, the Evaluation Team did not find any evidence of direct duplication of effort. Indeed, in fieldwork, the Evaluation Team found instances where USAID Adapt Asia-Pacific had participated in donor coordination efforts to avoid overlap. For example, in India, the project participated in donor coordination meetings with GIZ and Kreditanstalt für Wiederaufbau (KfW) regarding support to NABARD.

Hindering Factors

Project design—The project’s expanded geographic scope of 27 countries has been a challenge for capacity building. USAID Adapt Asia-Pacific’s objectives were more readily achievable within the original geographic scope of the project (i.e., 13 Asian countries). Building sustainable institutional capacity to independently prepare successful adaptation project proposals requires building a relationship with the counterpart institution on a longer term basis. This process is feasible in a bilateral project that works in a given country but is much slower and more difficult for a regional project that has a scope of 27 countries. It is also costly; the substantial cost of traveling to and within the Pacific may help explain why

²³ Australian aid was previously implemented by the Australian Agency for International Development (AusAID), which no longer exists. Australia’s Department of Foreign Affairs and Trade now manages Australia’s aid efforts.

Adapt-Asia Pacific has expended nearly 75 percent of its budget for project preparation at the mid-point of the project.

Existing mechanisms for the national or sub-national governments to access climate change adaptation funds—As noted in the section on Task 4, the lack of countries in Asia-Pacific with direct access to international climate change adaptation finance has been a challenge to the project. Many Asian and Pacific Island countries are far from being able to access the Adaptation Fund directly, given the stringency of fiduciary and transparency standards and environmental and social principles. And the Green Climate Fund (GCF), which will also have a direct country access modality and is anticipated to have more resources than the Adaptation Fund, is not yet fully operational and has not yet defined criteria for direct access modality to its funds. USAID Adapt Asia-Pacific is intervening in a quickly evolving setting with regards to adaptation financing. Among its 27 eligible countries, USAID Adapt Asia-Pacific has provided accreditation support to only one country (the Philippines). There are many reasons for this limited engagement, including that: some countries are receiving Adaptation Fund accreditation support from other development partners; some countries may choose not to seek direct access to the Adaptation Fund, given lower-than-expected resourcing; and budgetary constraints limit the number of countries in which the project can provide the intensive support required to achieve accreditation.

USAID regional dynamics—Government officials from all eligible Asian and Pacific Island countries have participated in USAID Adapt Asia-Pacific, to varying extents. However, due to external factors largely outside USAID Adapt Asia-Pacific's immediate control, the project was not able to work in certain countries (such as Bangladesh and Vietnam) to the extent that it might have liked.

External interest—Competing or different national interests are a challenge for the project's institutional capacity building efforts in nearly all of the countries where USAID Adapt Asia-Pacific is working or has worked. Without country commitment, the capacity building may not have a real and durable home. Limited project resources may make it difficult to get the attention of countries—especially larger countries in Asia—in working with USAID Adapt Asia-Pacific on capacity building.

Improvements from institutional capacity building efforts may not achieve expected results because of barriers beyond the project's control. For example, in the Philippines, competing priorities in the counterpart institution meant that the accreditation process did not always receive necessary attention, with the result that progress has been stalled.

4.1 Recommendations for Adjustments, Corrective Actions, and/or Areas for Improvement

To improve the likelihood of achieving expected project results, the Evaluation Team recommends the following adjustments, corrective actions, and improvements. These recommendations are organized into two groups: strategic recommendations and operational ones.

Strategic Recommendations for Adjustments, Actions, or Improvements

Recommendation #1 Think regionally - act and learn bilaterally

To reach the critical mass it needs, USAID Adapt Asia-Pacific should create and apply a regionally-driven approach to its capacity building program that effectively uses its project preparation and country-specific capacity building activities for this purpose. As discussed in the subsection above on Regional Cohesive Approach, USAID Adapt Asia-Pacific should systematically use its bilateral project preparation experience and country-specific capacity building to produce regionally applicable knowledge products.

A twinning activity could be established for USAID Adapt Asia-Pacific to support country-to-country mentoring with support from a regional organization, such as SPREP or PIFS.²⁴ This approach would also support the development of regionally applicable knowledge products (guidance manual; training materials) that could be hosted and promoted by a regional institution on a sustainable basis.

To illustrate this concept, the following outlines a possible twinning activity for the Pacific, based in work in Samoa, that turns project preparation experience into capacity building.

- Samoa, which has considerable experience in gaining access to climate adaptation finance could serve as a mentor to another Pacific Island country seeking to replicate Samoa's climate finance progress.
- SPREP, which is a Regional Implementing Entity for the Adaptation Fund would work with USAID Adapt Asia-Pacific to produce a project preparation-oriented training and associated knowledge products (guidance manual). SPREP has expressed an interest to the Evaluation Team in preparing project preparation guidelines in collaboration with USAID Adapt Asia-Pacific. USAID Adapt Asia-Pacific could draw on its draft project preparation manual as a foundation.
- A Pacific Island country that is a candidate for the Adaptation Fund (via SPREP as Regional Implementing Entity) would send government staff to be involved in project preparation to Samoa for a one-week training hosted by SPREP and possibly assisted by the Samoan consulting firm that was hired by USAID Adapt Asia-Pacific to help facilitate the on-the-job vulnerability and adaptation training
- Samoan government staff who were involved in Samoa's project preparation could serve as technical advisors and mentors in this training.
- Project preparation training materials and guidance manual would be tested and refined through this initial twinning.
- SPREP and USAID Adapt Asia-Pacific would draw on this experience to polish and finalize project preparation training materials and guidance manual.
- This guidance document would be used as the basis for subsequent Pacific Island country training, sponsored by SPREP and USAID Adapt Asia-Pacific. Future training could be hosted by SPREP or a local learning institution, such as the University of the South Pacific.

An analogous twinning activity could be constructed in Asia, based on applying and refining USAID Adapt Asia-Pacific's knowledge and expertise on urban climate change adaptation and resilience for regionally relevant knowledge products that are usable at the sub-national levels. In this Asia context, the focus could be on city-to-city mentoring with support from a regional organization, working for example with CDIA to share USAID Adapt Asia-Pacific's eventual experience in project preparation currently underway in Valenzuela, the Philippines, with another second-tier city in the Asia region or working with ICLEI and CDIA to draw on the experience of the three Indian cities (Shimla, Bhuaganswar, and Mysore). This approach could also be of interest to UCCRTF.

²⁴ USAID Adapt Asia-Pacific also considered the use of twinning in an internal Pacific approach document ("Pacific Approach USAID Adapt Asia-Pacific (1).pdf", no date). This document suggested doing peer-to-peer capacity building using twinning arrangement to share experiences on setting up climate trust funds as well as other possible uses. As it turns out, no twinning arrangements have been initiated so far.

Recommendation #2 Enhance regional impact by refining, positioning, and disseminating knowledge products

USAID Adapt Asia-Pacific should consolidate more of its experience in finalized knowledge products and look for more ways to strategically disseminate those products. USAID Adapt Asia-Pacific can develop, refine and apply key learning into its training. It also can and should prepare and effectively disseminate more knowledge products (such as, training curriculums; case studies; guidance documents) based on lessons learned, best practices, and grounded project preparation experience. Indeed, USAID Adapt Asia-Pacific has already developed in draft or country-specific form many relevant products—such as an adaptation project evaluation checklist for NABARD and a project prioritization and ranking tool for ICCTF. What remains to be done is to finalize and re-orient them for a regional audience and effectively position and disseminate them.

USAID Adapt Asia-Pacific should develop a plan of action to produce, communicate, and disseminate knowledge products. This plan should identify potential demand for each knowledge product, determining if each product will be principally for internal use (as, say, operational manual or guidance) and/or if there is external demand for public dissemination of the product and for thought leadership. The more that USAID Adapt Asia-Pacific can identify external opportunities for sharing its experience, the greater will be its opportunity to become a thought leader on access to climate finance in the Asia-Pacific region and to produce a knowledge legacy that persists after the project ends.

Recommendation #3 Implement a two-way “conscious commitment” approach to institutional capacity building

USAID Adapt Asia-Pacific and any institution in which it hopes to build capacity should consciously construct and agree to the joint capacity building effort, even if the capacity building is narrowly focused on a particular skill, ability, task, or performance of the institution. Capacity building should be structured as a full partnership between USAID Adapt Asia-Pacific and the counterpart institution with as much attention as feasible to the critical elements of successful capacity building.²⁵ When possible, the agreed-upon capacity building should be put into the context of overall capacity building priorities, by reference to relevant findings of any existing capacity assessments for the country or institution, such as those done using the Pacific Climate Change Finance Assessment Framework in the Pacific or possibly from earlier National Capacity Self-Assessments, sponsored by the Global Environment Facility.

This “conscious commitment” approach actually resolves the limits of applying a mechanical measurement of capacity built. This resolution comes from relying more on what the end users/stakeholders themselves see as capacity needed and, ultimately if successful, gained than on what an external institutional analyst sees. By virtue of being external, an external analyst needs more quantifiable, observable indicators of how capacity and/or performance has changed since he/she does

²⁵ For example, in recent years, literature on capacity building (known as “capacity development” in other settings) and evaluations at development institutions (such as the Global Environment Facility’s 2014 Overall Performance Study) have pointed to two schools of thought, distinguishing between a linear, results-based approach that is focused on inputs leading to outputs that improve an institution’s performance and an organic approach, “complex adaptive systems”, that recognizes multiple causes, solutions, and effects. Common attributes in successful applications of both of these approaches include: 1) identifying clear overall goals and organizational mission, 2) providing leadership, 3) offering regular opportunities for learning from experience and self-assessment, 4) emphasizing on-the-job development of skills, and 5) adopting monitoring and evaluation systems that support learning from collective experience. Source: David Watson. “Combining the ‘Best of Two Worlds’ in Monitoring and Evaluation of Capacity Development” in *Capacity Development in Practice*, editors, J. Ubels, N.-A. Acquaye-Baddoo, and A. Fowler. Earthscan. 2010.

not have the benefit of knowing the institution in as many different dimensions as the institutions leaders and staff do. By codifying the institutional capacity building collaboration between USAID Adapt Asia-Pacific and the partner institution in, for example, an *institutional capacity building agreement*, USAID Adapt Asia-Pacific has better direction and more concrete confirmation of its institutional capacity building efforts and results and partnership with the institution. In a plan, USAID Adapt Asia-Pacific and the institution would identify and agree on how these new individual skills and experience would enhance the capacity of the institution.

There is a “win” for USAID Adapt Asia-Pacific in adding this new procedural element to its institutional capacity building efforts. In the judgment of the Evaluation Team, the USAID Adapt Asia-Pacific project owes itself more credit in institutional capacity building, through what it has undertaken via training of individual professionals who work in these institutions, such as the ECCA effort. Individual training can serve two purposes – professional development for the individual and strengthening of their affiliated organization. These two purposes are not mutually exclusive but they do not happen simultaneously without conscious effort and attention. This observation reinforces the Evaluation Team’s recommendation that USAID Adapt Asia-Pacific should obtain the institution’s explicit endorsement of the project’s individual training to ensure that the institution identifies and receives the agreed-upon institutional gain in terms of capacity building. Looking at the example of the ECCA individual training, the participating professionals represent approximately ten institutions. USAID Adapt Asia-Pacific could “capture” the institutional capability building associated with the ECCA training by cycling back to the corresponding institutions to confirm and codify the increase in skills assets that the institutions enjoy as a result of the training. Given that these institutions have already given their approval to their staff’s participation in this longer-term training, the institutions should be amenable to acknowledging what they have gotten in return for that staff investment.

Recommendation #4 Select future project preparation activities strategically to maximize regional impact

In the last two years of the project, USAID Adapt Asia-Pacific should select project preparation activities to achieve project objectives while still being responsive to country demand. This selectivity would mean that any projects for which USAID Adapt Asia-Pacific provides technical assistance should clearly contribute to strengthening national and regional capacity to independently prepare projects and access adaptation funding. In practice, this approach is likely to mean moving away from providing technical assistance to multilateral intermediary project teams, unless a clear case can be made that the experience built from USAID Adapt Asia-Pacific’s contribution is regionally relevant (e.g., project preparation would result in a knowledge product that would have key benefits for other countries in the region), or there is an opportunity for twinning (as discussed in Recommendation #1).

Operational Recommendations for Adjustments, Actions, or Improvements

Recommendation #5 Better utilize APAN to serve USAID Adapt Asia-Pacific’s objectives

USAID Adapt Asia-Pacific should continue its support and engagement of APAN, particularly to promote improvement of the website’s navigability and searching, and should ensure that USAID Adapt Asia-Pacific’s own knowledge products appear on APAN in a properly indexed and searchable manner. At the same time—consistent with Recommendation #2 above—USAID Adapt Asia-Pacific should consider the best strategies to communicate and disseminate its individual knowledge products, including going beyond APAN where appropriate, for example, for Pacific Island end-users, where APAN does not have much reach.

Recommendation #6 Tighten the mission and utility of the Forum

USAID Adapt Asia-Pacific should organize the Forum to make more of a strategic contribution towards capacity building, thought leadership, and action. In particular, the project should be more proactive in the recruitment of the appropriate government representatives to participate in the forums, establishing more targeted criteria, and working hand-in-hand with USAID Missions to create a more coherent set of participants even if this means lower participation. The Forum should bring together those who have been active in other aspects of USAID Adapt Asia-Pacific, to share and consolidate learning. Also, while it may seem useful to “expose” certain countries to more advanced counterparts (e.g., India, Indonesia, Philippines) it is important to recognize how different the capacity gaps and learning priorities are, and tailor the Forum’s focus accordingly. It may be more cost-effective to have other, more focused sub-regional training events.

Along these lines, Year Four’s Forum could be replaced by sub-regional training events on special topics, such as urban climate change adaptation and resilience for Asia or project preparation focusing on vulnerability and adaptation assessments for the Pacific, with USAID Adapt Asia-Pacific country collaborators as presenters sharing their project preparation experiences. Sub-regional activities, such as smaller, more focused technical workshops or “write-shops”, could connect neighboring countries addressing similar climate finance-related needs. Or if the USAID Adapt Asia-Pacific team still felt a compelling need to hold a Year Four Forum, the event could be simplified by limiting the focus to USAID Adapt Asia-Pacific’s own work with its project staff, consultants, and country counterparts serving as presenters and facilitators. It is the understanding of the Evaluation Team from USAID Adapt Asia-Pacific staff that not having other Forum sponsors reduces the administrative and operational burden of organizing and holding the forums.

With regard to a Year Five Forum, the Evaluation Team considers a region-wide event as worthwhile. In Year Five, the Forum would serve as the culmination of the USAID Adapt Asia-Pacific project, bringing together the sum of the project’s experience and knowledge legacy to highlight and hand these off to the region’s stakeholders. The Forum could then be more of a unique event that would distinguish it from other climate meetings in the regions and therefore cultivate stronger interest among targeted participants.

Recommendation #7 Strengthen USAID Adapt Asia-Pacific’s capacity-building experience and expertise

The USAID Adapt Asia-Pacific team currently benefits from significant expertise and experience in its capacity building staff. The comparative advantage of these staff is in the technical issues of climate adaptation and project preparation, which is essential to the project. However, to date that technical foundation has not been sufficient for USAID Adapt Asia-Pacific, in light of the need identified by the Evaluation Team for the project to make a more concerted and cohesive effort in its capacity building activities. The Evaluation Team recommends that the project’s technical expertise be complemented by professional expertise and experience in capacity building itself. One possibility would be to hire a full-time senior capacity building professional, who has experience in designing and implementing training and twinning programs as well as, ideally, in creating, communicating, and disseminating knowledge products for capacity building. Furthermore, USAID Adapt Asia-Pacific should specifically incorporate capacity building objectives in the terms of reference for its country-specific project preparation activities, including the possibility of integrating a capacity building expert as a consultant on each of these activities.

Recommendation #8 Graduate the CBA programs

In the view of the Evaluation Team, USAID Adapt Asia-Pacific’s CBA training should be transitioned to a larger CBA training program that can promote and sustain the training. In the case of ECCA, the

Evaluation Team recommends that USAID Adapt Asia-Pacific have the training program adopted by a learning institution that can promote and implement it over the longer term. Prospects for such a transition with the UN University have been explored by USAID Adapt Asia-Pacific, with the possibility of a transition in mid-2015 after a final ECCA workshop. In the case of PCBA, since this training program is still under development, the Evaluation Team recommends that USAID Adapt Asia-Pacific continue its support over the next year, with a focus on transitioning the program as soon as possible to a regional learning institution, such as the University of the South Pacific. In both cases, the sooner the project can make these transitions, the more convincing the project will be in demonstrating the viability and sustainability of these programs.

Recommendation #9 Maintain the project's geographic scope, if resources allow

The Evaluation Team recommends that USAID Adapt Asia-Pacific continue providing support to the Pacific Island countries, if resources allow. To make this support cost-effective, USAID Adapt Asia-Pacific might consider less individual country support and more partnerships with Pacific regional organizations, such as SPREP, PIFS, and USP.

With two years left in the project, USAID Adapt Asia-Pacific should be strategic in the countries it directly supports and in its regional partnering. Moving forward, the project's work in individual countries should clearly serve its broader regional objectives (as elaborated in Recommendation #1).

ANNEXES

ANNEX I. STATEMENT OF WORK (C.3)

Evaluation Purpose

USAID/RDMA's Regional Environment Office (REO) is conducting a mid-term performance evaluation of the ADAPT Asia-Pacific Project in order to achieve four main objectives:

1. Determine the extent to which the Project is on track to meeting the overall requirements of the contract;
2. Identify factors that help or hinder the Project's achievement of expected outcomes;
3. Recommend corrective actions needed and/or areas for improvement to achieve the expected results during the duration of the Project; and
4. Recommend specific opportunities to enhance programmatic effectiveness and impact at the **regional level** and further **strengthen the regional cohesive approach** of the Project.

The scope of this mid-term performance evaluation will encompass all the key activities that contribute to the achievement of the ADAPT Asia-Pacific Project's overall goal and objectives. Data-based evidence in support of the evaluation findings will be essential. The midterm evaluation will be used to improve the performance of the second half of the project and make necessary adjustments to enhance the measurement of outcomes when the project is complete. The evaluation is also expected to be of use to donors, NGOs, host country governments, and other USAID missions working on climate change adaptation preparation facility throughout Asia and the Pacific region.

Audience and Intended Uses

The primary stakeholders to benefit from the findings of the mid-term evaluation include:

- USAID/RDMA;
- The ADAPT Asia-Pacific project team, including AECOM and its sub-contract partners;
- Other USAID and U.S. Government agency partners currently supporting ADAPT Asia-Pacific including:
 - USAID Bilateral Missions in Cambodia, Indonesia, Philippines, India, Mongolia, Nepal, Sri Lanka, Timor Leste, and Vietnam, as well as USAID/Pacific;
 - USAID Bureau for Economic Growth, Education, and the Environment (E3);
 - USAID Asia Bureau (USAID/ASIA);
 - U.S. Department of State, Bureau of Oceans and International Environmental Scientific Affairs, Office of Global Change (State/OES/OGC)
 - U.S. Embassies in Lao PDR, Samoa, Fiji, Papua New Guinea, Federated States of Micronesia, and Republic of Marshall Islands.
- USAID's external bilateral, regional, and international partners and key stakeholders addressing climate change adaptation issues across the Asia-Pacific region, including participating host country government agencies and other international partners (bilateral donors, multilateral institutions, NGOs, academic institutions, research institutions, think tanks, etc.).

USAID/RDMA anticipates that E3 will be able to disseminate the evaluation findings to Missions with similar projects, and that NGOs and multilateral organizations operating in this sphere will also benefit from reviewing the evaluation results.

This table summarizes how these audiences will or could use the evaluation results.

Evaluation Task	Principle Information Users
Evaluate progress to date towards agreed project objectives and intermediate results	USAID/RDMA, implementing partners
Identify implementation challenges, corrective actions needed and/or areas for improvement related to project management and progress towards achieving expected results for the duration of the project period	USAID/RDMA, implementing partners
Recommend specific opportunities to enhance programmatic effectiveness and impact at the regional level and strengthen the regional cohesive approach of the project	USAID/RDMA, implementing partners, NGOs, USAID bilateral Missions

Evaluation Questions

The mid-term performance evaluation will focus on answering the following questions. The contractor must prepare responses to the questions based on the evidence collected as part of this evaluation.

1. To what extent is the Adapt Asia-Pacific Project on track to meeting overall requirements of the Adapt Asia-Pacific project contract and Statement of Work?

Responses must include but not be limited to the following areas:

- a. the key results and effectiveness **of approach** of the project on promoting adaptation in this region;
- b. the emphasis and effectiveness of the project on working through multilateral intermediaries vs. direct bilateral government contacts;
- c. the effectiveness of Adapt Asia-Pacific in coordinating and maintaining good relations with USAID Bilateral Missions and other U.S. Government-related projects;
- d. efforts to ensure sustainability of programmatic results;
- e. effectiveness in integrating women's access and fostering women leadership role in project implementation;
- f. rationale and cost effectiveness in resources allocation by country and between Asia and the Pacific;
- g. role of Adapt Asia-Pacific in coordinating with other donors to cover gaps in the region.

2. What specific factors help or hinder in the achievement of the expected results?

Responses must include but not be limited to the following areas:

- a. validity of underlying assumptions;
- b. other donors working on the same objectives including their approaches and gaps relative to the activities they support;
- c. existing national/sub-national systems that can help or hinder in the achievement;
- d. mechanisms for the national/sub-national governments to access to climate change adaptation fund.

3. What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the Project?

The contractor must prepare responses in the form of specific and actionable recommendations in order to address the USAID objective to “focus and concentrate.” These may include but not be limited to the following:

- a. opportunities to add, change, and/or remove activities to meet or surpass the project targets/objectives;
- b. opportunities to improve project effectiveness through a different geographic scope, different emphasis on individual countries or different activities;
- c. opportunities to improve project effectiveness through different emphasis on multilateral intermediaries vs. direct bilateral government partners;
- d. opportunities to enhance project effectiveness, impact, and sustainability at the regional level;
- e. exit strategy in case there is/are recommendation(s) to remove activities or change the geographic scope.

Evaluation Design and Process

This mid-term performance evaluation is intended to answer the evaluation questions presented above. The suggested conceptual approach to be used to answer these questions will focus on but not be limited to the following: desk study, key informant interviews, site visits, and consultations with relevant stakeholders. Other applicable methods are also welcomed as appropriate.

An evaluation team comprised of independent external consultants, with support from members of USAID and possibly other organizations (see section C.4), will examine the performance of the ADAPT Asia-Pacific Project from the start of the agreement through the evaluation period. While the evaluation should address past performance, USAID is also interested in forward looking recommendations on possible strategies for achieving the expected results during the duration of the Project and enhancing the Project’s effectiveness as well as its ability on a regional level in facilitating access to adaptation financing.

The evaluation statement of work requires the evaluation consultants to gather information on the project, analyze that information, and provide answers to the evaluation questions.

The independent external consultants are to work in conjunction with other team members to plan and implement the proposed evaluation (see section C.4). USAID/RDMA and the full evaluation team will

need to be heavily involved with design, planning, and logistics, but the consultants are expected to provide significant overall leadership and direction, and exercise a degree of autonomy, as well as have the final responsibility for conducting the evaluation and completing evaluation deliverables.

Data Collection and Analysis Methods

The evaluation team will be required to evaluate this multi-faceted project in a timely manner. Data requirements, collection methods, and required analyses will be determined collaboratively with USAID/RDMA under the direction of an independent team leader (not affiliated with USAID or the project). Details on final datasets, collection methods (including interview questions and key informants to be interviewed), and analytical framework(s) will be approved by USAID/RDMA as part of the initial work plan approval. Data are expected to be disaggregated by sex and level of intervention (regional; national).

As summarized below, the data collection and analysis process will comprise three phases. All questions stated in section C.3 must be addressed, to the extent practical, in all three phases. The desk study and internal consultations may also support planning for external interviews and focus group discussions.

- **Desk study:** The evaluation team must review existing data, documents and information listed below, and work with USAID/RDMA to acquire additional documents and information as needed, and prioritize primary data collection where gaps remain.
- **Internal Consultations:** The evaluation team must meet in-person or hold conference calls with key stakeholders to identify specific priority areas of consideration for the evaluation. These may include but are not limited to USAID/RDMA; USAID/Asia Bureau; USAID/E3; State/OES/OGC; NCAR; US Treasury Department; and relevant USAID bilateral/regional missions in Bangladesh, Cambodia, India, Indonesia, Mongolia, Nepal, Philippines, Sri Lanka, Timor Leste, Vietnam, and the Pacific; as well as U.S. Embassies in Lao PDR, Samoa, Fiji, Papua New Guinea, Federated States of Micronesia, and Republic of Marshall Islands.
- **External interviews and focus group discussions:** The evaluation team must conduct in-person interviews and focus group discussions with project implementing partners, collaborating partners, project beneficiaries, and others listed among the key stakeholders in section C.3 to allow for a range of perspectives and give depth to the evaluation.

Methodological Strengths and Limitations

Methods	Strengths	Limitations
Desk study	<ul style="list-style-type: none"> ▪ Provides valuable information on substantive issues and generates a list of questions including key stakeholders that can be used in other methods. Helps to focus efforts and prioritize issues and gaps 	<ul style="list-style-type: none"> ▪ Time consuming. ▪ Depends on resource availability.
Consultations	<ul style="list-style-type: none"> ▪ Provides valuable information on substantive issues and generates a list of questions including key stakeholders that can be used in other methods. ▪ Provides greater depth and insights and 	<ul style="list-style-type: none"> ▪ Depends on availability of key stakeholders. ▪ Need to consider time zone differences.

	general surveys	
Individual interviews	<ul style="list-style-type: none"> ■ Potentially data rich, detailed answers 	<ul style="list-style-type: none"> ■ Might need to interview through translators (possible loss of meaning and data richness). ■ Might have informant bias.
Focus group discussion	<ul style="list-style-type: none"> ■ Can generate a broader range of ideas and responses. ■ Can include a greater number of participants in less time and result in rich discussion, if facilitated well. 	<ul style="list-style-type: none"> ■ Discussion might need to happen through translators (possible loss of meaning and data richness). ■ Some respondents may dominate the discussion.

Existing Data

A variety of project-related documents, including but not limited to the following, will be available and provided upon award:

- ADAPT Asia-Pacific Contract and Statement of Work
- ADAPT Asia-Pacific annual work plans
- ADAPT Asia-Pacific Monitoring and Evaluation Plan (previously called Performance Management Plan or PMP)
- ADAPT Asia-Pacific quarterly and annual reports
- USAID/RDMA/REO Global Climate Change Data Quality Assessment Report, 2012
- Proceeding reports from the first and second Annual Forum
- 4 Briefing notes from project activities: 1) Supporting National Climate Funds and Climate Public Expenditure and Institutional Review in Asia-Pacific; 2) Support to ONEP/Thailand as Chair of the ASEAN Working Group on Climate Change; 3) Building a Foundation for Evidence-based Climate Research Action in Thailand; and 4) Capacity Building Project on Economics of Climate Change Adaptation Toolkit on the Economics of Climate Change Adaptation (ECCA)
- Sourcebook on Gender Considerations in Climate Change Adaptation Projects
- Other knowledge products (from APAN and Adapt Asia-Pacific web portal)

ANNEX II. EVALUATION MATRIX

Table 5. Evaluation Matrix

Evaluation Question	Data Sources	Design Strategy for Question	Data Collection Instrument
I: To what extent is the USAID Adapt Asia-Pacific Project on track to meeting overall requirements of the USAID Adapt Asia-Pacific project contract and Statement of Work?			
<p>Key results and effectiveness of approach of the project in promoting adaptation in this region</p>	<ul style="list-style-type: none"> ■ USAID Adapt Asia-Pacific project contract, Statement of Work, results framework, M&E Plan, approach papers ■ Key informant interviews with USAID officials, project staff, implementing and collaborating partners, project beneficiaries (including government partners), and other stakeholders involved in climate change adaptation in Asia-Pacific 	<ul style="list-style-type: none"> ■ Qualitative assessment of the effectiveness of defining features of the project’s intended approach (e.g., focusing on priority challenges that will lead to “game-changing” progress, employing stakeholder-driven programming, collaborating closely with development partners to leverage comparative advantages and mutual interests, facilitating counterpart exchange, including twinning partnerships); qualitative assessment of the extent to which these features have been reflected in the activities implemented; targeted interviews focused on these issues. ■ Qualitative assessment of the effectiveness of the project’s four areas of concentration (regional knowledge sharing platform, annual stakeholder forum, climate change adaptation capacity building program, and technical assistance in preparing funding proposals) and the activities pursued in each area; qualitative assessment of the extent to which these four tasks support a programmatic approach; targeted interviews focused on these issues. ■ Assessment of the relevance of the approach through a high-level comparative review of the project’s approach and its complementarity or potential overlap with other active initiatives in the region. ■ Quantitative and qualitative analysis of results reported in quarterly and annual reports, including on program indicators; validation of results through key informant interviews, timeline analysis, and triangulation. ■ Qualitative assessment of the extent to which the program has effectively adapted its implementation strategies to reflect changing conditions. 	<ul style="list-style-type: none"> ■ Interview protocols ■ Desk review

Evaluation Question	Data Sources	Design Strategy for Question	Data Collection Instrument
<p>Emphasis and effectiveness of the project on working through multilateral intermediaries vs. direct bilateral government contacts</p>	<ul style="list-style-type: none"> ■ Key informant interviews with multilateral intermediaries, bilateral missions and embassies, and project beneficiaries (including government officials) 	<ul style="list-style-type: none"> ■ Qualitative assessment; interview questions focused on the advantages and disadvantages of working with multilateral intermediaries versus bilateral government partners. ■ Qualitative assessment of sustainability and capacity building impacts of providing support through multilateral partners (e.g., effectiveness of approach for gaining an entrance point to government contacts). 	<ul style="list-style-type: none"> ■ Interview protocols
<p>Effectiveness of USAID Adapt Asia-Pacific in coordinating and maintaining good relations with USAID Bilateral Missions and other US Government-related projects</p>	<ul style="list-style-type: none"> ■ Key informant interviews with USAID/RDMA, project team, USAID bilateral missions and embassies 	<ul style="list-style-type: none"> ■ Qualitative assessment; interview questions focused on the quality of relations between USAID Adapt Asia-Pacific and other USAID and US Government projects, including the frequency and format of communications, extent of information-sharing, and so on. 	<ul style="list-style-type: none"> ■ Interview protocols
<p>Efforts to ensure sustainability of programmatic results</p>	<ul style="list-style-type: none"> ■ Key informant interviews with USAID and project team ■ Key informant interviews with a sub-sample of participants in capacity building and technical assistance events ■ Post-event questionnaires (e.g., for Annual Meetings, training events, workshops, etc.), either conducted by the project, and supplemented by ICF 	<ul style="list-style-type: none"> ■ Qualitative assessment of the effectiveness of the project’s approach in ensuring sustainability and results after project closure, and the effectiveness of measures specifically put in place to address sustainability. ■ Qualitative assessment of stakeholder input; interview questions focused on the application and replication of skills and knowledge learned (e.g., have participants applied the skills and knowledge they learned? Have participants transferred the skills/knowledge they learned to other government officials, or initiated institutional arrangements to ensure sustainability in the event of staff turnover?) ■ Quantitative assessment of questionnaire results 	<ul style="list-style-type: none"> ■ Interview protocols ■ Questionnaires

Evaluation Question	Data Sources	Design Strategy for Question	Data Collection Instrument
Effectiveness in integrating women's access and fostering women leadership role in project implementation	<ul style="list-style-type: none"> ■ M&E Plan information ■ Sourcebook on Gender Considerations in Climate Change Adaptation Projects ■ Adaptation project proposals supported by USAID Adapt Asia-Pacific ■ Key informant interviews with project team, project beneficiaries (including government partners) 	<ul style="list-style-type: none"> ■ Quantitative analysis of gender-disaggregated data on participation in USAID Adapt Asia-Pacific capacity building and technical assistance events and fora. ■ Desk review of USAID Adapt Asia-Pacific meeting proceedings and knowledge products for assessment of gender-sensitivity (e.g., proportion of sessions that address gender issues, extent of consideration). ■ Desk review of project proposals supported by USAID Adapt Asia-Pacific for assessment of the quality of gender components and mainstreaming. ■ Qualitative analysis of stakeholder input related to gender mainstreaming, and the usefulness of the sourcebook on gender considerations during project preparation. ■ High-level comparison of approach and results relative to other initiatives (e.g., IUCN gender office, UNDP, Global Environment Facility) 	<ul style="list-style-type: none"> ■ Desk review ■ Interview protocols
Rationale and cost effectiveness in resources allocation by country and between Asia and the Pacific	<ul style="list-style-type: none"> ■ Project financial accounting information ■ Key informant interviews with USAID, Department of State, and project team 	<ul style="list-style-type: none"> ■ Qualitative and quantitative analysis of project resource allocation by country and region; comparison to quantitative analysis of M&E Plan results for an assessment of cost-effectiveness by unit of results (e.g., cost per project proposal supported, knowledge product prepared, etc.), to the extent feasible. ■ Quantitative assessment of other adaptation donor resources directed in each country supported by USAID Adapt Asia-Pacific, to illustrate concentration/paucity of existing resources. ■ Qualitative assessment of project efficacy by country and region; interviews focused on the rationale for resource allocation and the efficacy of a demand-driven approach. 	<ul style="list-style-type: none"> ■ Interview protocols ■ Desk review

Evaluation Question	Data Sources	Design Strategy for Question	Data Collection Instrument
Role of USAID Adapt Asia-Pacific in coordinating with other donors to cover gaps in the region	<ul style="list-style-type: none"> ■ Key informant interviews with USAID officials, project team, and other multilateral and bilateral donors in the region 	<ul style="list-style-type: none"> ■ Qualitative assessment of the project’s efficacy in coordination and partnership efforts. ■ Desk review of the complementarity/overlap of USAID Adapt Asia-Pacific’s efforts/approach at the national and regional levels, vis-à-vis other donors working on the same objectives. Qualitative assessment of the extent to which these complementarities and overlaps help or hinder in the achievement of results, through targeted interviews. 	<ul style="list-style-type: none"> ■ Interview protocols ■ Desk review protocol
2: What specific factors help or hinder in the achievement of the expected results?			
Validity of underlying assumptions	<ul style="list-style-type: none"> ■ Results framework, M&E Plan ■ Key informant interviews with USAID/RDMA, project team, project beneficiaries 	<ul style="list-style-type: none"> ■ Critical assessment of the project’s results framework and theory of change ■ Qualitative assessment through targeted interviews 	<ul style="list-style-type: none"> ■ Interview protocols ■ Desk review protocol
Other donors working on the same objectives including their approaches and gaps relative to the activities they support	See above on role of USAID Adapt Asia-Pacific in coordinating with other donors		
Existing national/sub-national climate change systems and mechanisms for the national/sub-national governments to access to climate change adaptation fund	<ul style="list-style-type: none"> ■ Key informant interviews with USAID officials, project team, project beneficiaries, and representatives of existing mechanisms for accessing funds 	<ul style="list-style-type: none"> ■ Targeted interviews to identify the contribution of those systems and mechanisms to the achievement of USAID Adapt Asia-Pacific results, and the extent to which the project’s initiatives have been tailored to reflect these mechanisms. 	<ul style="list-style-type: none"> ■ Interview protocols
3: What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the Project?			

Evaluation Question	Data Sources	Design Strategy for Question	Data Collection Instrument
<p>This question will be answered through the analysis of information gathered for evaluation questions 1 and 2, as described above. Recommendations may address:</p> <ul style="list-style-type: none">■ opportunities to add, change, and/or remove activities to meet or surpass the project targets/objectives;■ opportunities to improve project effectiveness through a different geographic scope, different emphasis on individual countries or different activities;■ opportunities to improve project effectiveness through different emphasis on multilateral intermediaries vs. direct bilateral government partners;■ opportunities to enhance project effectiveness, impact, and sustainability at the regional level;■ exit strategy in case there is/are recommendation(s) to remove activities or change the geographic scope.			

ANNEX III. SOURCES OF INFORMATION

Documents Reviewed

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Informants Interviewed

Organization	Name	Title/Position	Gender
USAID Adapt Asia-Pacific / AECOM	Lee Baker	COP	M
	Bikram Ghosh	Deputy COP	M
	Sarvat Maharramov	Former Deputy COP	M
	Chris Manu	Regional Project Preparation Specialist	M
	Brianna Ficcadenti	Senior Technical Specialist for Climate Change Adaptation, Gender and Communications	F
	Robert Dobias	Senior Capacity Building Advisor, Adaptation Funds and Capacity Building	M
	Richard C. Worden	Team Leader, Adaptation Funds and Capacity Building	M
	Peter King	Adaptation Project Preparation and Finance Team Leader	M
Asian Development Bank (ADB)	Ancha Srinavansan		M
	Kob Math		M
	Mike White	Urban Development Specialist	M
	Maria Paniagua	Unit Head, Project Administration, South Pacific Subregional Office	F
	Jude Kohlhasse	Infrastructure Specialist, Pacific Subregional Office	M
	Nessim Ahmad	Director, Environment and Safeguards Division	M
	Cinzia Losenno	Senior Environment Specialist	F
	Loreta Rufo	Environment Officer	F
CANSA	Sanjay Vashist	Director	M
Cities Development Initiative for Asia (CDIA)/GIZ	Joris van Etten	Deputy Program Coordinator	M
	Sasank Vemuri	Climate Change Specialist	M
Cities Development Initiative for Asia (CDIA)/GIZ	Massimo Petrone	Senior Urban Environmental Engineer	M
Climate Change Department, Ministry of Environment	Chan Thou CHEA		M
Consultant to Adapt Asia Pacific	Colleen Peacock-Taylor	Consultant	F
	Amitabha Ray	Consultant	M
	Bruce Carrad	Consultant	M
	John Sousson	Consultant	M
	Lisa Lumbao	Former Adapt Staff Member	F
Consultant to AFB	Ravinder Singh	Consultant	M
DAI	Paul Hartman	CoP, Mekong Adaptation and Resilience to Climate Change (Mekong ARCC)	M
Department of Disaster Management and Climate Change, Ministry of Natural Resources & Environment	Mr. Vanxay Bouttanavong	Dept. Director of Climate Change Adaptation Division	M
Department of Finance, Republic of Philippines	John Narag	Chief, Bilateral Assistance Division, International Finance Group	M
DFID UK Climate Change Unit	Ida Suriani	Deputy Programme Manager	F
IGES Bangkok Regional Center	Dr. Daisuke Sano	Director	M

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dTS	Nancy Diamond	Consultant	F
East-West Institute	Kem Lowry	Professor, Department of Urban and Regional Planning	M
Formerly World Bank	Sam Wedderburn	Program/Project Coordinator, East Asia Social, Environment and Rural Sustainable Development Unit (EASER)	M
GGGI, Former COR of Adapt	Bradford Philips	Head of the Organization and Delivery Unit	M
GIZ/India	Unnikrishnan Divakaran Nair		M
ICCCD, APAN Steering Committee	Dr. Saleemul Huq	Co-Chair, Steer Committee, Asia Pacific Adaptation Network (APAN); and Director International Centre for Climate Change	M
ICLEI	Emani Kumar	Deputy Secretary General & Executive Director	M
	Soumya Chaturvedula		M
Indian Ministry of Finance	Rajasree Ray		F
	Jyodsna Mehta		F
	Kanika Grover		F
Indonesia Climate Change Trust Fund (ICCTF)	P. Raja Siregar	Resilience and Adaptation Window Expert	F
	Tifa Asrianti	Communication Assistant	F
	Rudy Hartono Sabri	Planning, Monitoring & Evaluation Manager	M
Kathmandu University	Dr. Ramesh Kumar Maskey	Professor of Civil Engineering, Co-ordinator, Centre for Excellence in Production & Transportation of Electrical Energy, Head, Department of Civil & Geomatics Engineering, School of Engineering	M
Keio University / APAN Steering Committee	Dr. Masataka Watanabe	Co-Chair, Steer Committee, Asia Pacific Adaptation Network (APAN); and Professor, Graduate School of Media and Governance Keio University	M
Ministry of Economy and Finance, Cambodia	Tauch Chan Kresna		M
Ministry of Environment, Indonesia	Gustami Zainuddin	Head of Incentive and Environmental Fund Division	M
Ministry Of Finance Investment Coordination Unit, Samoa	Litara Taulealo	Assistant CEO, Climate Resilience Investment Coordination Unit	F
Ministry of Natural Resources and Environment, Samoa	Kirisimasi Seumanutafa	Principal Strategic Planning Officer, Planning and Urban Management Agency	M
Ministry of Rural Development, Cambodia	Dr. Saray Mao	Director of Department of Rural Water Supply	M
Ministry of Women's Affairs, Cambodia	Chuthleang Vanny	Deputy Director General, Gender Equality and Economic Development	F
NABARD	Sachin Vishu Kamble		M
	V. Mashar	Deputy General Manager, Farm Sector Policy Dept.	M
	Sanjay Kumar Dora	Deputy General Manager, Farm Sector Policy Dept.	M
	Dr. R.M. Kummur	Chief General Manager, Farm Sector	M

		Policy Department	
National Research Council of Thailand (NRCT)	Dr. Monthip Sriratana	Director of Climate Change Research Centre	F
Office of National Economic and Social Development Board (NESDB), Thailand	Dr. Channakod "Anupit" Supnithadnaporn		F
Office of Natural Resources and Environmental Policy and Planning (ONEP), Thailand	Prasert Sirinapaporn	Head, Climate Change Coordination Office	M
	Anuporn Wanwisade		F
Pacific Islands Forum Secretariat (PIFS)	Exsley Taloiburi	Climate Change Coordinator Officer	M
	Scott Hook	Economic Infrastructure Adviser	M
Samoa Tourism Authority	Amiaifolau Afamasaga	Tourism Climate Change Project Coordinator	F
	Lagi Reupena		F
SPREP	David Sheppard	Director General	M
	Kosi Latu	Deputy Director General	M
	Audrey Brown-Pereira	Executive Officer	F
	Dr. Netatua Pelesikoti	Director, Climate Change Division	F
	Espen Ronneberg	Climate Change Advisor	M
	Carlo Iacovino	Climate Change Communications Officer	M
	Makelesi Gonelevu	Knowledge Management Officer	F
	Peniamina "Peni" Leavai	Adaptation Planning Officer	M
	Billy Chan-Ting		M
U.S. Department of State/OES	Shereen L D'Souza	Foreign Affairs Officer, Office of Global Change	F
TERI University	Arabinda Mishra	Dean, Faculty of Policy & Planning	M
United Nations Development Programme (UNDP)	Gabor Vereczi		M
	Kevin Petrini	Regional Climate Policy Specialist, UNDP Pacific Centre	M
	Esther Lake	Communications Officer, Advancing National Adaptation Plans (NAP-GSP)	F
	Dr. Pradeep Kurukulasuriya	Senior Technical Advisor - Adaptation Programming (Global) Energy & Environment/Env. Finance	M
	Dr. Jose Padilla	Regional Technical Advisor, Marine, Coastal & Island Ecosystems	M
	Yusuke Taishi	Regional Technical Specialist Climate Change Adaptation	M
UNDP/Nepal	Vijaya Singh	Assistant Country Director	M
United Nations Development Programme (UNDP) – Timor Leste	Noura Hamladji	Deputy Country Director, Programme and Operations	F
United Nations Development Programme (UNDP) / Ministry of Agriculture, Forestry, and Fisheries	Dara Rat Moni Ung		M
United Nations Environment Programme (UNEP)	Mozaharul Alam	Regional Climate Change Coordinator	M
University of the South Pacific	Dr. Elisabeth A. Holland	Director, Pacific Centre for Environment and Sustainable Development (PACE-SD)	F
	Dr. John Bythell	Deputy Vice Chancellor, Research and International	M
US Department of State	Ellen Connorton	Science Advisor	F
US Embassy/Fiji	Doug Sonnek	Deputy Charge of Mission	M

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	Jason Brenden	Regional Environmental Officer	M
	Sandeep Singh	Regional Environmental and Climate Change Policy Specialist	F
US Embassy/RMI	Norman Barth		M
USAID Global Climate Change Office	Rolf Anderson	Director	M
	Jonathan Cook	Climate Change Adaptation Specialist	M
	John Furlow		M
	Jenny Frankel-Reed		F
USAID/Cambodia	Menglim Kim	Project Management Specialist Environment/Forestry	M
	Peoulida Ros		F
	Liz Davnie-Easton		F
USAID/India	Srivalli Krishnan	Project Management Specialist (Climate Adaptation)	F
	Chandan K. Samal		M
USAID/Indonesia	Amin Budiarto	Specialist, Adaptation Program	M
	Milen Vollen	Senior Environment Specialist	M
	Jenna Jadin	AAAS Science & Technology Policy Fellow	F
	Ashley King	Natural Resources Officer	F
	Jon Lindborg	Special Advisor	M
	John Hansen	Director, Environment Office; Mission Disaster Relief Officer (MDRO)	M
USAID/Philippines	Joanne Dulce	Climate Change Adaptation Specialist	F
	Winston H. Bowman	Global Climate Change Advisor	M
USAID/RDMA	Alfred Nakatsuma	Director, Regional Environment Office	M
	Dan Whyner	Deputy Director, Regional Environment Office	M
	Saengroaj Srisawaskraisorn	Climate Change Adaptation Specialist	M
	Supattira "Ke" Rodboontham	Strategic Information Specialist	F

ANNEX IV. DATA COLLECTION INSTRUMENTS

Key Informant Interview Protocols

These instruments provide the basis for semi-structured interviews tailored to the experience and knowledge of each group of key informant.

At the outset of each interview, the Evaluation Team will provide a brief introduction that describes:

- The aims of the interview and the evaluation;
- The expected length of the interview (e.g., from 30 minutes for training participants to an hour for stakeholders with more expansive engagement with the USAID Adapt Asia-Pacific program); and
- How interview information will be used—i.e., that comments made by the interviewee will not be attributable.

In each protocol, the list of questions is intended to provide guidance for interviewers. Please note that these are over-arching research questions; interviewers will ask ones that are shorter, more straightforward, and conversational in style, with probes (e.g., “That’s interesting. Can you tell me a specific example about that?”) to elicit more detailed answers. The interview protocols are a starting point; the semi-structured format employed by the Evaluation Team is a flexible approach that ensures that specific topics are addressed per the evaluation objectives while remaining open to capturing unanticipated data. More specific lines of questioning will follow on to the questions provided in each interview protocol, based on the individual informants’ experience and knowledge of topics.

Not all interviewees are familiar with USAID Adapt Asia-Pacific as a whole, and they will not be expected to comment on components of the program that they are unfamiliar with. Interviewers are thus expected to cover the *key themes* outlined in each protocol below, but each interview will be selected and tailored appropriately.

PROTOCOL FOR KEY INFORMANT INTERVIEWS: USG AND USAID STAFF, AND THE USAID ADAPT ASIA-PACIFIC PROJECT TEAM

Mid-term Performance Evaluation of USAID Adapt Asia-Pacific

Date: _____ **Name:** _____

Country: _____ **Title:** _____

Sex: Male Female **Organization:** _____

Interviewer(s): _____

Introduction

- Inform the interviewee of the overall aim of the interview, the time allotted, and that their comments will not be attributed.
- If appropriate, ask the interviewee to begin with a brief description of their engagement with USAID Adapt Asia-Pacific.

Guiding Research Questions for Interviews

- 4. To what extent is USAID Adapt Asia-Pacific on track to meet its overall objective (i.e., to establish a fully functional and self-sustaining adaptation project preparation facility that will not only support preparation of specific projects, but also build the capacity of the region’s governments to independently access climate adaptation funds)?**
 - a. What have been the *specific* contributions of each of the four areas of concentration to meeting USAID Adapt Asia-Pacific’s overall objective, i.e., the (1) regional knowledge-sharing platform; (2) annual forum; (3) the capacity building program; and (4) technical assistance for project preparation?
 - b. How effective has the program’s approach been with respect to working through multilateral intermediaries versus direct bilateral government contacts? How effective has working with multilateral intermediaries been in gaining entry with bilateral government contacts? Why or why not?
 - c. How effective has USAID Adapt Asia-Pacific been in coordinating and maintaining good relations with USAID Bilateral Missions and other US Government-related projects? How so?
 - d. To what extent is USAID Adapt Asia-Pacific coordinating with non-USG donors to identify and cover gaps in the region?
 - e. How effectively has USAID Adapt Asia-Pacific reduced gaps regarding gender equity and women’s leadership role in climate adaptation projects?
 - f. How effective has the program been in Asia versus the Pacific? Is the program getting more “bang for the buck” in certain regions or countries? *[This question will not be asked during interviews with USAID bilateral missions.]*

- g. How effective has the program been in ensuring the sustainability of its results? What additional efforts are needed?
 - h. Which other donors or organizations would be potential partners for Adapt?
- 5. What factors (both internal and external to the project) help or hinder in the achievement of the program's expected results?**
- a. How has the project learned adaptively, i.e., reacted to changing conditions by adjusting implementation to ensure achievement of results?
 - b. How have certain national or sub-national climate change systems or mechanisms for accessing climate change funds helped or hindered the achievement of results in individual countries?
 - c. How has the regional/bilateral dynamic helped or hindered the achievement of program results?
- 6. What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the program?**
- a. What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability? *Prompts:*
 - i. What program activities would you like to add, change, or remove? What do you think are the opportunities to bring about these changes?
 - ii. How well do you think the geographic scope of the program is working? Would you recommend a different emphasis on individual countries, sectors, and/or different activities?
 - iii. How effective has the program been in balancing multilateral intermediaries vs. direct bilateral government partners?
 - iv. How effective do you think the regional structure of the program is? Why or why not? Do you see opportunities to change or improve that?
 - b. If the program were to select among its activities to focus its efforts to best achieve results, what do you think the basis for that selection should be? (*Prompts: e.g., high potential opportunities, countries displaying strong interest in working with the program*)
 - i. What activities would you have the program concentrate on?

PROTOCOL FOR KEY INFORMANT INTERVIEWS: BILATERAL, REGIONAL, AND INTERNATIONAL PROJECT IMPLEMENTING AND COLLABORATING PARTNERS

Mid-term Performance Evaluation of USAID Adapt Asia-Pacific

Date: _____ **Name:** _____

Country: _____ **Title:** _____

Sex: Male Female **Organization:** _____

Interviewer(s): _____

Introduction

- Inform the interviewee of the overall aim of the interview, the time allotted, and that their comments will not be attributed.
- If appropriate, ask the interviewee to begin with a brief description of their engagement with USAID Adapt Asia-Pacific.

Guiding Research Questions for Interviews

- I. To what extent is USAID Adapt Asia-Pacific on track to meet its overall objective (i.e., to establish a fully functional and self-sustaining adaptation project preparation facility that will not only support preparation of specific projects, but also build the capacity of the region’s governments to independently access climate adaptation funds)?**
 - a. What have been the *specific* contributions of each of the four areas of concentration to meeting USAID Adapt Asia-Pacific’s overall objective, i.e., the (1) regional knowledge-sharing platform; (2) annual forum; (3) the capacity building program; and (4) technical assistance for project preparation?
 - b. How has the capacity of the region’s governments improved through the program? Please describe.
 - c. How effective has the program’s approach been with respect to working through multilateral intermediaries versus direct bilateral government contacts? How effective has working with multilateral intermediaries been in gaining entry with bilateral government contacts? Why or why not?
 - d. How well is USAID Adapt Asia-Pacific coordinating with non-USG donors to identify and cover gaps in the region? Has the program been successful in its objective to not “reinvent the wheel”? How so?
 - e. How effectively has USAID Adapt Asia-Pacific reduced gaps regarding gender equity and women’s leadership role in climate adaptation projects?
 - f. How effective have the program’s efforts been in ensuring the sustainability of its results? What additional efforts are needed?
 - g. Which other donors or organizations would be potential partners for Adapt?

2. **What factors (both internal and external to the project) help or hinder in the achievement of the program's expected results?**
 - a. How has the project learned adaptively, i.e., reacted to changing conditions by adjusting implementation to ensure achievement of results? Why or why not?
 - b. How have certain national or sub-national climate change systems or mechanisms for accessing climate change funds helped or hindered the achievement of results in individual countries?

3. **What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the program?**
 - a. What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability? *Prompts:*
 - i. What activities would you recommend that the program add, change, or remove activities? Are there opportunities for doing so?
 - ii. Would you recommend a different geographic scope, or different emphasis on individual countries, or different activities? What are they and why?
 - iii. What are the opportunities to improve project effectiveness through different emphasis on multilateral intermediaries vs. direct bilateral government partners?
 - iv. What are the needs and opportunities to strengthen the regional cohesiveness of the program?
 - b. In your opinion, which components of the program are most effective and why? (*Prompts: e.g., high potential opportunities, countries displaying strong interest in working with the program*)
 - i. In the future, what activities would you recommend that the program concentrate on?

PROTOCOL FOR KEY INFORMANT INTERVIEWS: ASIA AND PACIFIC GOVERNMENT PARTNERS

Mid-term Performance Evaluation of USAID Adapt Asia-Pacific

Date: _____ **Name:** _____

Country: _____ **Title:** _____

Sex: Male Female **Organization:** _____

Interviewer(s): _____

Introduction

- Inform the interviewee of the overall aim of the interview, the time allotted, and that their comments will not be attributed.
- If appropriate, ask the interviewee to begin with a brief description of their engagement with USAID Adapt Asia-Pacific.

Guiding Research Questions for Interviews

- 1. To what extent is USAID Adapt Asia-Pacific on track to meet its overall objective (i.e., to establish a fully functional and self-sustaining adaptation project preparation facility that will not only support preparation of specific projects, but also build the capacity of the region's governments to independently access climate adaptation funds)?**
 - a. How effective was the support your government received through USAID Adapt Asia-Pacific? What results have you experienced as a result of that support?
 - b. How has the capacity of your government improved through the program? Please describe.
 - c. How effective has the program's approach been with respect to working through multilateral intermediaries versus direct bilateral government contacts? Why or why not?
 - d. How effectively is USAID Adapt Asia-Pacific coordinating with non-USG donors to identify and cover gaps in the region?
 - e. How effectively has USAID Adapt Asia-Pacific reduced gaps regarding gender equity and women's leadership role in climate adaptation projects?
 - f. How effective have the program's efforts been in ensuring the sustainability of its results? What additional efforts are needed? *Prompts:*
 - i. What skills or abilities does your ministry/country now possess that you acquired from the USAID Adapt Asia-Pacific project?
 - ii. How confident do you feel in your ministry's or country's ability to develop projects independently in order to access climate change adaptation funding?
- 2. What factors (both internal and external to the project) help or hinder in the achievement of the program's expected results?**
 - a. How has the project learned adaptively, i.e., reacted to changing conditions by adjusting implementation to ensure achievement of results?

- b. How have your national or sub-national climate change systems or mechanisms for accessing climate change funds helped or hindered the achievement of results in your country?

3. What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the program?

- a. What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability? *Prompts:*
 - i. What activities would you recommend that the program add, change, or remove?
 - ii. What do you think are the opportunities to improve project effectiveness?
 - iii. How effective has the program been in balancing emphasis on multilateral intermediaries vs. direct bilateral government partners? *Why?*
 - iv. Are there opportunities to strengthen the regional cohesiveness of the program?
- b. If the program were to select among its activities to focus its efforts to best achieve results, what would your recommendations be? (*Prompts: e.g., high potential opportunities, countries displaying strong interest in working with the program*)
 - i. What activities would you have the program concentrate on?

PROTOCOL FOR KEY INFORMANT INTERVIEWS: TRAINING PARTICIPANTS

Mid-term Performance Evaluation of USAID Adapt Asia-Pacific

Date: _____ **Name:** _____

Country: _____ **Title:** _____

Sex: Male Female **Organization:** _____

Interviewer(s): _____

Introduction

- Inform the interviewee of the overall aim of the interview, the time allotted, and that their comments will not be attributed.
- If appropriate, ask the interviewee to begin with a brief description of their engagement with USAID Adapt Asia-Pacific.

Guiding Research Questions for Interviews

- 1. How effective has USAID Adapt Asia-Pacific been in terms of meeting its overall objective (i.e., to establish a fully functional and self-sustaining adaptation project preparation facility that will not only support preparation of specific projects, but also build the capacity of the region’s governments to independently access climate adaptation funds)?**
 - a. How has your capacity improved through the USAID Adapt Asia-Pacific event you participated in?
 - b. How have you applied the skills and knowledge that you learned?
 - c. Have you transferred the skills/knowledge you learned to other country stakeholders, or developed institutional arrangements to ensure sustainability? Please describe,
 - d. How well did Adapt team arrange the logistics and participant selection for trainings and other activities? Are the participants the right targets?

- 2. What factors (both internal and external to the project) help or hinder in the achievement of the program’s expected results?**
 - a. What factors have helped or hindered you in applying the skills and knowledge that you learned through the USAID Adapt Asia-Pacific event in your job?

- 3. What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the program?**
 - a. What improvements would you suggest for future program events?
 - b. If it were up to you, what activities would you have the program concentrate on?

Questionnaire

This survey was inputted into and administered online via Survey Monkey.

Introduction to the Survey

You are invited to answer a short survey about your opinions about the “Development Marketplace” event which was held at the USAID Adapt Asia-Pacific 2nd Annual Meeting in Fiji in June 2013. Your feedback is important to us.

This survey will take about five minutes to complete.

All survey responses are anonymous. The closing date for the survey is [TBD].

If you have any questions about the survey, please confidentially contact Colleen McGinn at colleenmcginn@hotmail.com.

1. What country are you from?
[List provided]
2. Which of the following options most closely matches the mandate of your ministry or department?
 - a. Environment / Natural Resource Management
 - b. Regional Planning
 - c. Economy / Finance
 - d. Energy
 - e. Agriculture
 - f. Forestry
 - g. Fisheries
 - h. Coastal/Marine Affairs
 - i. Women’s Affairs
 - j. Disaster Management
 - k. Public Works
 - l. Other (specify)
3. How useful was the ‘Development Marketplace’ event in helping you make progress toward accessing climate change adaptation funding?
 - a. Very useful
 - b. Useful
 - c. Somewhat useful
 - d. Not so useful
 - e. I attended the event for a different reason (specify)
4. How many people from the Development Marketplace were you in touch with during the three months immediately following the event (i.e., June through August 2013)?

- a. Zero
 - b. One
 - c. Two
 - d. Three
 - e. Four or more
5. How many people from the Development Marketplace have you been in touch with during the past three months (i.e., June through August 2014)?
- a. Zero
 - b. One
 - c. Two
 - d. Three
 - e. Four or more
6. Has your involvement in the Development Marketplace led to any specific actions?
- a. No specific actions
 - b. Follow-up communications regarding a specific project or idea
 - c. Developing a joint project concept or proposal
 - d. Submitting a proposal or application for funding
 - e. Identification of technical assistance or capacity building opportunities
 - f. Implementation of technical assistance or capacity building opportunities
 - g. Other (specify)

ANNEX V. FIELDWORK SCHEDULE

The Evaluation Team visited the following seven countries: Cambodia, Fiji, India, Indonesia, Philippines, Samoa, and Thailand. Table 6 through Table 12 below presents the detailed schedules for fieldwork in each country. In some cases, individual informants were not available during the Evaluation Team's visit and were interviewed via telephone or Skype at a later date. The full list of informants is provided above in Annex III.

Table 6. Thailand Fieldwork Schedule

Evaluation Team Members Attending:		Greg Michaels (Team Leader) Jessica Kyle (Assistant Team Leader) Colleen McGinn (Asia Regional Evaluation Specialist) Geoffrey Peterson (Pacific Regional Evaluation Specialist) Supattira Rodboontham (USAID/RDMA/REO) Pornpun Pinweha (USAID/RDMA/REO)
Date	Name of Informant	Organization
Tues. 26 Aug.	Alfred Nakatsuma Supattira Rodboontham Saengroaj Srisawaskraisorn Daniel Whyner	USAID/RDMA
Wed. 27 Aug.	Lee Baker Bikram Ghosh Sarvat Maharramov Brianna Ficcadenti Robert Dobias Richard Worden Daisuke Sano Peter King	AECOM
Thu. 28 Aug.	Paul Hartman	DAI
	Mozaharul Alam	UNEP
	Pradeep Kurukulasuriya Jose Padilla Yusuke Taishi Esther Lake	UNDP
	Monthip Sriratana	National Research Council of Thailand
Fri. 29 Aug.	Bruce Carrad	Consultant to Adapt (India)
	Prasert Srininaporn	ONEP
	Anupit Supnithadnaporn	NESDB
	John Sousson	Consultant to USAID Adapt Asia-Pacific

Table 7. India Fieldwork Schedule

Evaluation Team Members Attending:		Jessica Kyle (Assistant Team Leader) Colleen McGinn (Asia Regional Evaluation Specialist)
Date	Name of Informant	Organization
Mon. 1 Sep.	Arabinda Mishra	TERI University
Tue. 2 Sep.	Srivalli Krishnam Chandan Samal	USAID
	Amitabha Ray	Country Coordinator for India for USAID Adapt Asia-Pacific
	Rajasree Ray Jyodsna Mehta Kanika Grover	Ministry of Finance
Wed. 3 Sep.	R.M. Kummur Sachin Vishu Kamble V. Mashar Sanjay Kumar Dora	NABARD
Thu. 4 Sep.	Ravinder Singh	Consultant
	Emani Kumar Soumya Chaturvedula	ICLEI

Table 8. Indonesia Fieldwork Schedule

Evaluation Team Members Attending:		Greg Michaels (Team Leader) Geoffrey Peterson (Pacific Regional Evaluation Specialist) Pornpun Pinweha (USAID/RDMA/REO)
Date	Name of Informant	Organization
Mon. 1 Sep.	Raja Siregar Rudy Hartono Sabri Tifa Asrianti	ICCTF
Tue 2 Sep.	Amin Budjiaro Jena Jadin Milla Vollen	USAID Indonesia
	John Hansen John Lindborg	USAID Front Office
	Gustani Zainuddin	Ministry of Environment
Thur 4. Sep.	Ida Suriani	DFID UK Climate Change Unit

Table 9. Philippines Fieldwork Schedule

Evaluation Team Members Attending:		Greg Michaels (Team Leader) Geoffrey Peterson (Pacific Regional Evaluation Specialist) Supattira Rodboontham (USAID/RDMA/REO)
Date	Name of Informant	Organization
Fri. 5 Sep.	Nessin Ahmed Cinzia Losenno	ADB
	Winston Bowman Joanna Dulce	USAID/Philippines Office of Environment, Energy, and Climate Change
Mon. 8 Sep.	Joris van Etten Sansak Vemuri	CDIA
	Chris Manu	USAID Adapt Asia-Pacific
	Lisa Lumbao	Consultant to USAID Adapt Asia-Pacific
	Massimo Petrone	CDIA
Tue. 9 Sep.	John Narag	Department of Finance/International Finance Group

Table 10. Cambodia Fieldwork Schedule

Evaluation Team Members Attending:		Jessica Kyle (Assistant Team Leader) Colleen McGinn (Asia Regional Evaluation Specialist)
Date	Name of Informant	Organization
Wed. 17 Sep.	Menglim Kim Liz Davnie-Easton Sothira Seng	USAID
	Ancha Srinivasan	ADB
Thu. 18 Sep.	Chutleang Vanny	Ministry of Women's Affairs
	Dara Rat Moni Ung	UNDP
	Chan Thou Chea	Ministry of Environment
Fri. 19 Sep.	Chanthou Hem and Math Kob	ADB
	Saray Mao	Ministry of Rural Development
	Tauch Chan Tresna	Ministry of Economy and Finance

Table 11. Fiji Fieldwork Schedule

Evaluation Team Members Attending:		Greg Michaels (Team Leader) Geoffrey Peterson (Pacific Regional Evaluation Specialist) Supattira Rodboontham (USAID/RDMA/REO)
Date	Name of Informant	Organization
Thu. 11 Sep.	Jason Brendan Sandeep Singh	Embassy/Fiji
	Exsley Taloiburi Scott Hook	Pacific Islands Forum Secretariat
Fri. 12 Sep.	John Blythell	University of the South Pacific

Evaluation Team Members Attending:		Greg Michaels (Team Leader) Geoffrey Peterson (Pacific Regional Evaluation Specialist) Supattira Rodboontham (USAID/RDMA/REO)
	Jude Kohlhase Maria Paniagna	ADB
	Colleen Peacock-Taylor	Gender consultant to USAID Adapt Asia-Pacific
	Beth Holland	University of the South Pacific
Mon. 15 Sep.	Kevin Petrini	UNDP
	Sandeep Singh	US State Department

Table 12. Samoa Fieldwork Schedule

Evaluation Team Members Attending:		Greg Michaels (Team Leader) Geoffrey Peterson (Pacific Regional Evaluation Specialist) Pornpun Pinweha (USAID/RDMA/REO)
Date	Name of Informant	Organization
Wed. 17 Sep.	Litara Tauleleo	Ministry of Finance
	Kirisimasi Seumanutafa	Ministry of Natural Resources and the Environment
Thu. 18 Sep.	Amiaifolau Afamasaga Lagi Reupena	Samoa Tourism Authority
	David Sheppard Kosi Latu	SPREP
	Dr. Netatua Pelesikoti Audrey Brown-Pereira Espen Ronneberg Carlo Iacovino Makelesi Gonelevu Penjamina Leavai Billy Chan-Ting	SPREP
	Gabor Vereczi	UNDP

ANNEX VI. AVAILABILITY OF USAID ADAPT ASIA-PACIFIC KNOWLEDGE PRODUCTS

USAID Adapt Asia-Pacific Knowledge Product	Type	Available on Adapt website?	Available on APAN website?
The 4th Exchange Series on Climate Financing: E-Discussion Report	Event Proceedings	Y	Y
The 2nd Exchange Series on Climate Financing: E-Discussion Report	Event Proceedings	Y	N
Summary Report: ECCA 2nd Live Chat Session on Preparation for the Upcoming Workshop	Event Proceedings	Y	Y
Briefing Note: Supporting National Climate Funds and Climate Public Expenditure and Institutional Review in Asia-Pacific	Factsheet/Brochure	Y	N
Briefing Note: Support to ONEP/Thailand as Chair of the ASEAN Working Group on Climate Change	Factsheet/Brochure	Y	N
Briefing Note: Building a Foundation for Evidence-based Climate Research Action in Thailand	Factsheet/Brochure	Y	N
Briefing Note: Capacity Building Program on Economics of Climate Change Adaptation	Factsheet/Brochure	Y	N
Second Annual Meeting Proceedings	Event Proceedings	Y	N
Summary Report: First Live Chat Session on Agriculture Survey Instrument	Event Proceedings	Y	Y
Climate Change Research Strategy for Thailand: Program Brochure	Factsheet/Brochure	Y	N
Understanding the Green Climate Fund: Implications for the Evolving Architecture of Direct Access to Climate Finance	Paper/Report	Y	N
Project Preparation Approach Paper	Paper/Report	Y	N
An Assessment of Specialized International Funds with Available Resources for Climate Change Adaptation Projects in Asia and the Pacific	Paper/Report	Y	N
First Annual Forum Proceedings	Event Proceedings	Y	N
USAID Adapt Asia-Pacific Fact Sheet	Factsheet/Brochure	Y	N
Gender Sourcebook	Toolkit/Guidelines/Method	N	Y
Community Ponds Guidelines	Toolkit/Guidelines/Method	N	N

(Cambodia)

Methodology on Community Involvement in Local Climate Change Adaptation Planning: An example from Lao PDR	Toolkit/Guidelines/Method	N	N
Economics of Adaptation Toolkit	Toolkit/Guidelines/Method	N	N
The 1st Exchange Series on Climate Financing: E-Discussion Report	Event Proceedings	Y	Y
Adaptation Funds Compendium	Toolkit/Guidelines/Method	Y	N
The 3rd Exchange Series on Climate Financing: E-Discussion Report	Event Proceedings	Y	N
ECCA Hydro-Economic Model Webinar	Webinar	Y	N

ANNEX VII. CONFLICT OF INTEREST FORMS

Disclosure of Real or Potential Conflict of Interest for USAID Evaluations

Instructions:

Evaluations of USAID projects will be undertaken so that they are not subject to the perception or reality of biased measurement or reporting due to conflict of interest.²⁶ For external evaluations, all evaluation team members will provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest relative to the project being evaluated.²⁷

Evaluators of USAID projects have a responsibility to maintain independence so that opinions, conclusions, judgments, and recommendations will be impartial and will be viewed as impartial by third parties. Evaluators and evaluation team members are to disclose all relevant facts regarding real or potential conflicts of interest that could lead reasonable third parties with knowledge of the relevant facts and circumstances to conclude that the evaluator or evaluation team member is not able to maintain independence and, thus, is not capable of exercising objective and impartial judgment on all issues associated with conducting and reporting the work. Operating Unit leadership, in close consultation with the Contracting Officer, will determine whether the real or potential conflict of interest is one that should disqualify an individual from the evaluation team or require recusal by that individual from evaluating certain aspects of the project(s).

In addition, if evaluation team members gain access to proprietary information of other companies in the process of conducting the evaluation, then they must agree with the other companies to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.²⁸

Real or potential conflicts of interest may include, but are not limited to:

1. Immediate family or close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.
2. Financial interest that is direct, or is significant/material though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.
3. Current or previous direct or significant/material though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.
4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.

²⁶ USAID Evaluation Policy (p. 8); USAID Contract Information Bulletin 99-17; and Federal Acquisition Regulations (FAR) Part 9.5, Organizational Conflicts of Interest, and Subpart 3.10, Contractor Code of Business Ethics and Conduct.

²⁷ USAID Evaluation Policy (p. 11)

²⁸ FAR 9.505-4(b)

5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.
6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	R. Gregory Michaels
Title	Principal
Organization	ICF International
Evaluation Position?	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	Contract No.: GS-23F-8182H Task Order No. AID-486-M-14-00001
USAID Project(s) Evaluated (include project name(s), implementer name(s) and award number(s), if applicable)	USAID/RDMA ADAPT Asia-Pacific Project. Implementer: AECOM International Development Contract: AID-486-C-11-00005
I have real or potential conflicts of interest to disclose. If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Personal interest that is direct or is significant through indirect in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant through indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose projects are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

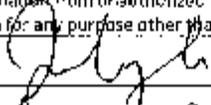
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	August 5, 2014

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Jessica Kyle
Title	Assistant Team Leader
Organization	ICF International
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-486-M-14-00001
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Climate Change Adaptation Project Preparation Facility for Asia and the Pacific
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: Real or potential conflict of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating and managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant through indirect, in the implementing organization(s) whose project(s) are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating and managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular project and organizations being evaluated that could bias the evaluation.	

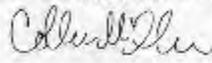
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to prohibit their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature: 
Date: August 20, 2014

Disclosure of Conflict of Interest for USAID Evaluation Team Members

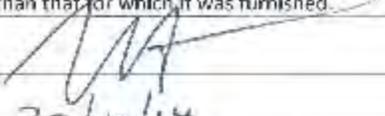
Name	Colleen McGinn
Title	Evaluation Consultant – Asia Regional Specialist
Organization	ICF International
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member X
Evaluation Award Number (contract or other instrument)	AID-486-C-11-00005
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Climate Change Adaptation Project Preparation Facility for Asia and the Pacific
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No X
<p>If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

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Signature	
Date	20 August 2014

Name	Geoff Peterson
Title	Evaluation Consultant – Pacific Regional Specialist
Organization	ICF International
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	Contract No.: GS-23F-8182H Task Order No. AID-486-M-14-00001
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/RDMA ADAPT Asia-Pacific Project. Implementer: AECOM International Development Contract: AID-486-C-11-00005
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

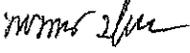
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	20/10/14

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Pornpun Pinweha
Title	Regional Program Development Specialist
Organization	USAID Regional Development Mission for Asia
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-486-M-14-00001
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Mid-term Performance Evaluation of the USAID/Climate Change Adaptation Project Preparation Facility for Asia and the Pacific
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>If yes answered above, I disclose the following facts:</p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

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Signature	
Date	11/28/2014

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Supattira Rodboontham
Title	Strategic Information Specialist
Organization	USAID/RDMA
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	No. AID-486-M-14-00001.
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Mid-term Performance Evaluation of the USAID/ Climate Change Adaptation Project Preparation Facility for Asia and the Pacific:
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>If yes answered above, I disclose the following facts:</p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

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Signature	
Date	11/28/2014

U.S. Agency for International Development
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Washington, DC 20523