

# Urban Financing Partnership Facility

Semi-Annual Report  
January–June 2016



Sida



The  
ROCKEFELLER  
FOUNDATION



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## ABBREVIATIONS

ADB	–	Asian Development Bank
CDIA	–	Cities Development Initiative for Asia
CDP	–	City Development Plan
CDTA	–	Capacity Development Technical Assistance
CEFPP	–	Clean Energy Financing Partnership Facility
COE	–	Centers of Excellence
DC	–	Direct Charges
DFID	–	Department for International Development
DMC	–	Developing Member Countries
DMF	–	Design Monitoring Framework
DRM	–	Disaster Risk Management
GMS	–	Greater Mekong Subregion
OBA	–	Output based Aid
OCO	–	Office of Co-Financing
OD	–	Operation Department
PATA	–	Policy Advisory Technical Assistance
PPP	–	Public-Private Partnership
PPTA	–	Project Preparatory Technical Assistance
PRC	–	People's Republic of China
PSOD	–	Private Sector Operations Department
RF	–	Rockefeller Foundation
RM	–	Resident Mission
RSDD	–	Regional Sustainable Development Department
RSID	–	Regional Sustainable Infrastructure Division
SWM	–	Solid Waste Management
SPV	–	Special Purpose Vehicle
TA	–	Technical Assistance
UCCR	–	Urban Climate Change Resilience
UCCRTF	–	Urban Climate Change Resilience Trust Fund
UCoP	–	Urban Community of Practice
UEIF	–	Urban Environmental Infrastructure Fund
UFPF	–	Urban Financing Partnership Facility
UISC	–	Urban Infrastructure Steering Committee
UIWG	–	Urban Infrastructure Working Group
UOP	–	Urban Operational Plan
USAID	–	United States Agency for International Development
WFPP	–	Water Financing Partnership Facility

## NOTES

- (i) In preparing any country program or strategy, financing any project, or by making any designation of, or reference to, a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.
- (ii) In this report, "\$" refers to US dollars.

## **Governance of the Urban Financing Partnership Facility**

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<b>Urban Sector Group Directors</b>	Yong Ye, CWUW Sangay Penjor, EASS Emma Veve, PAUS Sekhar Bonu, SAUW Tatiana Gallego-Lizon, SEUW
<b>Urban Infrastructure Working Group Members</b>	Sara Azfar, Urban Development Specialist, CWUW Arnaud Heckmann, Senior Urban Development Specialist, EASS Stefan Rau, Urban Development Specialist, EASS Stephen Blaik, Senior Urban Development Specialist, PAUS Allison Woodruff, Urban Development Specialist, PAUS Michael Rattinger, Climate Change Specialist, SDCC Keichii Tamaki, Senior Urban Development Specialist, SAUW Rudolf Frauendorfer, Lead Urban Development Specialist, SEUW Eri Honda, Principal Urban Development Specialist, SEUW
<b>Facility Manager</b>	Gil-Hong Kim, Senior Director, Sector Advisory Service Division (SDAS), SDCC
<b>Secretariat</b>	Vijay Padmanabhan, Technical Advisor (Urban and Water), SDAS Virinder Sharma, Senior Urban Development Specialist, SDAS Aldrin Plaza, Urban Development Officer, SDAS Fatima Bautista, Associate Operations Analyst, SDAS Ana Theresa Cervantes, Operations Assistant, SDAS Sasank Vemuri, Consultant, SDAS Oesha Thakoerdin, Consultant, SDAS Ma. Victoria Antonio, Consultant, SDAS

**Office of  
Cofinancing  
Operations  
(OCO)**

Sujata Gupta, Director, OCO

Toshimasa Dojima, Principal Financing Partnerships Specialist, OCO

Rikard Elfving, Senior Financing Partnerships Specialist, OCO

Maritess Torres, Senior Financing Partnerships Officer

Lucila Chan, Financing Partnership Officer, OCO

Katherine Barrameda, Associate Financing Partnerships Officer, OCO

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## I. UFPF INTRODUCTION

### A. Highlights and Key Achievements

1. This Semi-Annual Report covers the period January to June 2016 and presents the Facility's performance for the first half of the year against the annual work program as well as the cumulative performance as of 30 June 2016 measured against its Design and Monitoring Framework (DMF).

2. **2016 Annual Donors Consultation Meeting.** In March 2016, the Office of Co-Financing Operations (OCO) and the SDCC jointly hosted the 2016 Annual Donors Consultation Meeting for Donors participating in the ADB-administered cooperation funds and trust funds under FPFs at the ADB Headquarters, Manila. It aims to strengthen partnerships between ADB and donors for enhanced aid effectiveness. During the event, the UFPF Secretariat presented the performance and progress of activities funded and supported by the Facility for 2015.

3. **January to June Project Approvals.** For the first half of 2016, the Facility has approved an additional six (6) projects - one (1) project for the Urban Environmental Infrastructure Fund (UEIF) and five (5) for the Urban Climate Change Resilience Trust Fund (UCCRTF). The total allocations for these amounted to \$6.53 million consisting of: 4 Direct Charges<sup>1</sup> (\$0.53 million) and 2 project grants<sup>2</sup> (\$6.0 million).

4. **Project Performance Monitoring.** In monitoring the performance of each approved project, the Secretariat closely coordinates with the project officers to make sure that the projects are on-track at keeping their implementation targets. The Secretariat also works with the Controllers Department in updating disbursement<sup>3</sup> status and timely closure of direct charges accounts after final payment is released. Projects officers with completed projects were required to submit a completion report to evaluate the outputs and achievements of desired project outcomes.

5. **Outreach to Operations Departments.** The ODs were proactively involved and encouraged to adopt a demand-driven approach to obtaining support, rather than simply requesting funds. The Secretariat also provided support to ODs in preparing and improving project applications. Two new approvals under the UCCRTF will support activities with cross-sector and thematic initiatives of ADB on health and transport.

6. **Knowledge sharing** between FPFs (Clean Energy and Water) has benefitted the Facility in improving resource utilization and maximizing efficiency in fund management and monitoring of results. The UFPF Secretariat has continued to learn from the experiences of the other FPFs. UCCRTF organized two knowledge sharing events in the first half of the year. One was a knowledge sharing session on its activities in Pakistan designed to guide Project Officers on how to integrate climate resilient measures into their infrastructure projects.

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<sup>1</sup> (i) MAL: Resilient Cities Asia-Pacific; (ii) VIE: Promoting Low-Carbon Transport Solutions in Ha Noi; (iii) BAN: Development of Integrated Climate Resilient Responses for Urban Health; (iv) PAK: Climate Change Resilience for City Development Plans

<sup>2</sup> (i) IND: Vishakhapatnam-Chennai Industrial Corridor Development Program; (ii) IND: Kolkata Environmental Improvement Investment Program - Project 2

<sup>3</sup> Disbursement will be discussed separately for UEIF and UCCRTF.

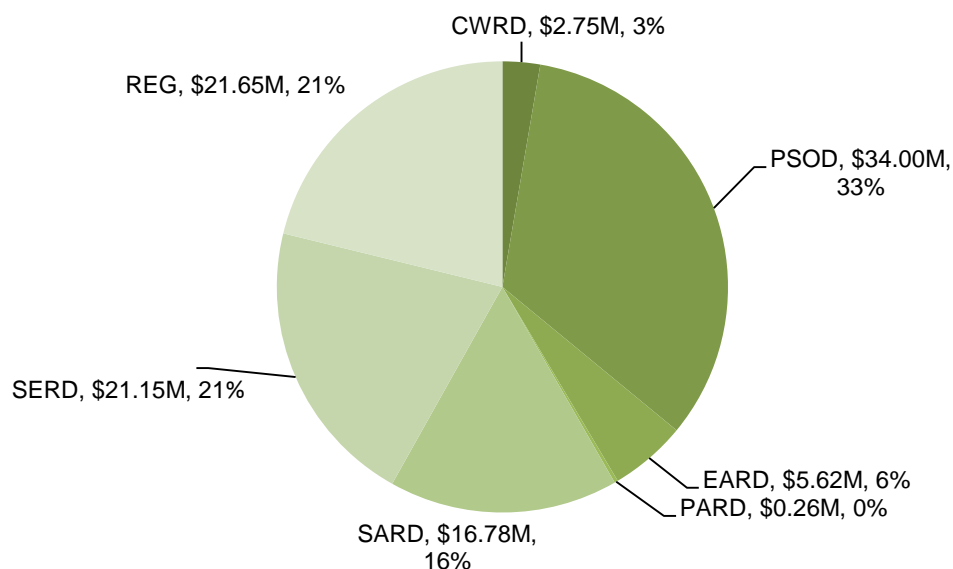
7. The other one was organized through CDIA, where UCCRTF financed the participation of 9 city officials from Indonesia to the Cities and Climate Change Training held in Singapore last 23-27 May 2016.

8. **Monitoring and Evaluation.** The Secretariat has been implementing the methodology for tracking the DMF indicators recommended by ITAD in Q4 of 2015. This has enabled the secretariat to quickly respond to the periodic requests from the Financing Partners on the Fund's expected outputs, with the majority of questions relating to leverage. More substantively, UCCRTF has been successful in encouraging project officers that have availed of investment grants from UCCRTF to include indicators explicitly related to urban resilience.

9. Moving forward, UCCRTF will be able better capture household level data on resilience, especially of the poor and vulnerable. The secretariat has been strengthened by an experienced M&E specialist who will lead this work. A firm to do data collection and more localized, rigorous monitoring of resilience outcomes will be hired by the end of the year.

10. **Total Facility Approved Allocations by Region.** The Facility has been able to provide support across all the ADB operational departments through the available funding modalities. Thirty-three percent (33%) of the total approved applications are from the Private Sector Operations Department (\$34.00 million) with the highest funding allocation by region. On the other hand, Southeast Asia has the highest number of projects supported (4 investments, 2 TAs and 2 DC for UEIF; and 3 investments, 1 TA, and 1 DC under UCCRTF) (Figure 1.1).

**Figure 1.1: Total UFPF Approved Allocations by Region (\$ million, %)**



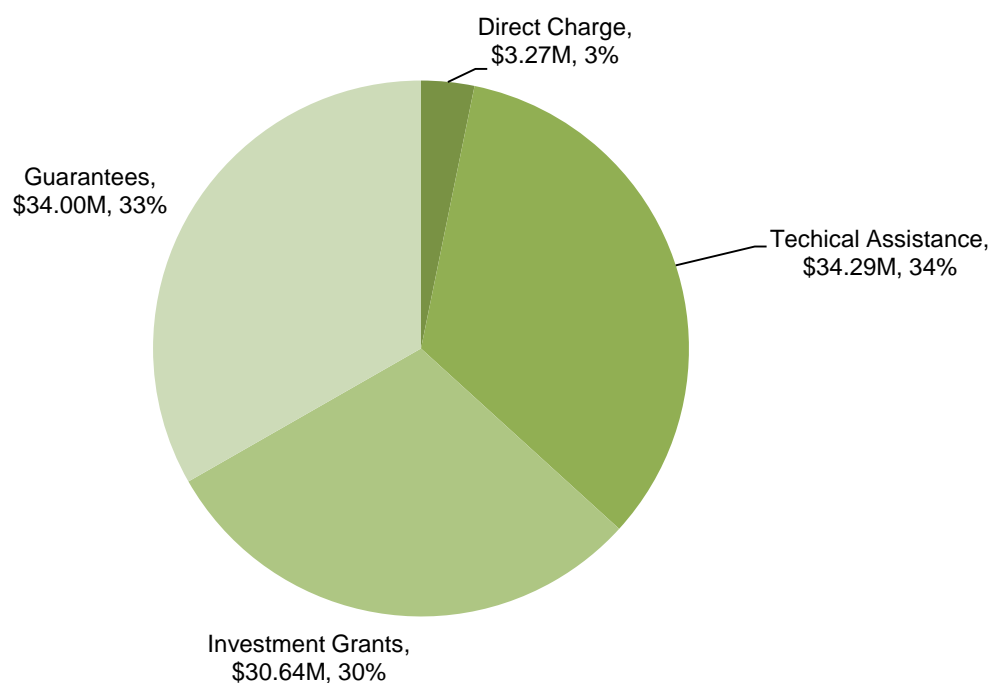
<sup>a</sup> UFPF Guarantee of \$34 million for PAK: Foundation Wind Energy (FEW) I and II Project, approved in 08 December 2011.

11. **Total UFPF approved allocations by modality.** In terms of the total approved allocations by modality, 33% or \$34.00 million have been committed for one guarantee, 34% or \$34.29 million have been committed for 23 technical assistance grants, 30% or \$30.64 million have been committed for 11 investment projects, and 3% or \$3.27 million have committed for 23



direct charges activities<sup>4</sup>. Figure 1.2 shows a breakdown of the total resources available for guarantees, investment grants, TAs and direct charges.

**Figure 1.2: UFPF Approved Allocations by Modality (\$ million, %)**



## B. Financial Status

12. The total donor committed contributions as of 30 June 2015 is \$231.15 million, of which \$76.35 million (33%) has already been remitted to ADB. The total allocated resources for approved projects amounted to \$102.2 million. Table 1.1 shows the status of UFPF grant contribution.

**Table 1.1: Status of UFPF Grant Contribution (\$ million)**

Funding	Resources Available				Allocated/Committed			Balance Available for Future Allocation (8=4-7)
	Committed Amount (1)	Actual Amount Received (2)	Interest Income (3)	Total (4=2+3)	Approved Projects (5)	Reserve for Admin Cost (6)	Total including Service Fees and Charges (7=5+6)	
UEIF								
Sida	21.45	21.02	0.16	21.18	18.97	0.88	19.85	1.33

<sup>4</sup> In line with the innovative nature of the Facility, UFPF has made a conscious effort to use direct charges for undertaking non-standard, non-routine and exceptional initiatives that fit with an on-going larger program.

Funding	Resources Available				Allocated/Committed			Balance Available for Future Allocation (8=4-7)
	Committed Amount (1)	Actual Amount Received (2)	Interest Income (3)	Total (4=2+3)	Approved Projects (5)	Reserve for Admin Cost (6)	Total including Service Fees and Charges (7=5+6)	
<b>UCCRTF</b>	<b>136.30<sup>5</sup></b>	<b>55.33</b>						
DFID	117.36 <sup>6</sup>	45.38	0.163	55.493	49.23	4.92	54.15	1.343
Rockefeller	5.00	4.50						
USAID	1.45	1.45						
SECO	10.00	4.00						
<b>Guarantees</b>								
Sida <sup>7</sup>	73.4	-	-	-	34.00	-	-	-
<b>Total</b>	<b>231.15</b>	<b>76.35</b>	<b>0.323</b>	<b>76.673</b>	<b>102.20</b>	<b>5.8</b>	<b>74.00</b>	<b>2.673</b>

13. The Facility's disbursement as of June 2016 is at \$7.097 million. The Secretariat has continued to track disbursements of approved projects and sought the support and cooperation of project officers in accelerating disbursement. Close monitoring of payments and fund releases has been sustained and frontloading disbursement of funds in co-financed projects continued as the default practice. The Secretariat also has been coordinating with the Controllers in facilitating financial closing of activities.

14. **\$102.2 million cumulative assistance for 58 projects.** As of 30 June 2016, the Facility has a total of 58 approved projects with a cumulative committed/allocated assistance amounting to \$102.2 million consisting of: 1 guarantee support (\$34.00 million), 11 investment co-financing (\$30.64 million), 23 TA grants (\$34.29 million), and 23 direct charges (\$3.27 million).

### C. Governance and Operating Structure

15. The Facility's governance and operating structure includes an Urban Infrastructure Steering Committee (UISC) and an Urban Infrastructure Working Group (UIWG). The UIWG reviews and makes recommendations on projects proposals for assistance from the Facility, and make policy and procedural recommendations to the UISC regarding operations. It is made up of focal points (Urban Development Specialists) from the urban sector group (USG) in each operational department. The UISC on the other hand, provides strategic direction for the Facility based on the guidelines, the outcomes of annual meetings with financing partners and ADB's strategic priorities. It is comprised of the directors general of the operational departments and chaired by the director general of SDCC.

16. The Senior Director, SDAS, serves as the Facility Manager and oversees the day to day operations, monitoring and evaluation, and reporting of the Facility with assistance from UFPF Secretariat. The Facility works in close co-ordination with the Office of Co-financing Operations (OCO). OCO facilitates the contributions to the UEIF and UTFs and acts as the official channel

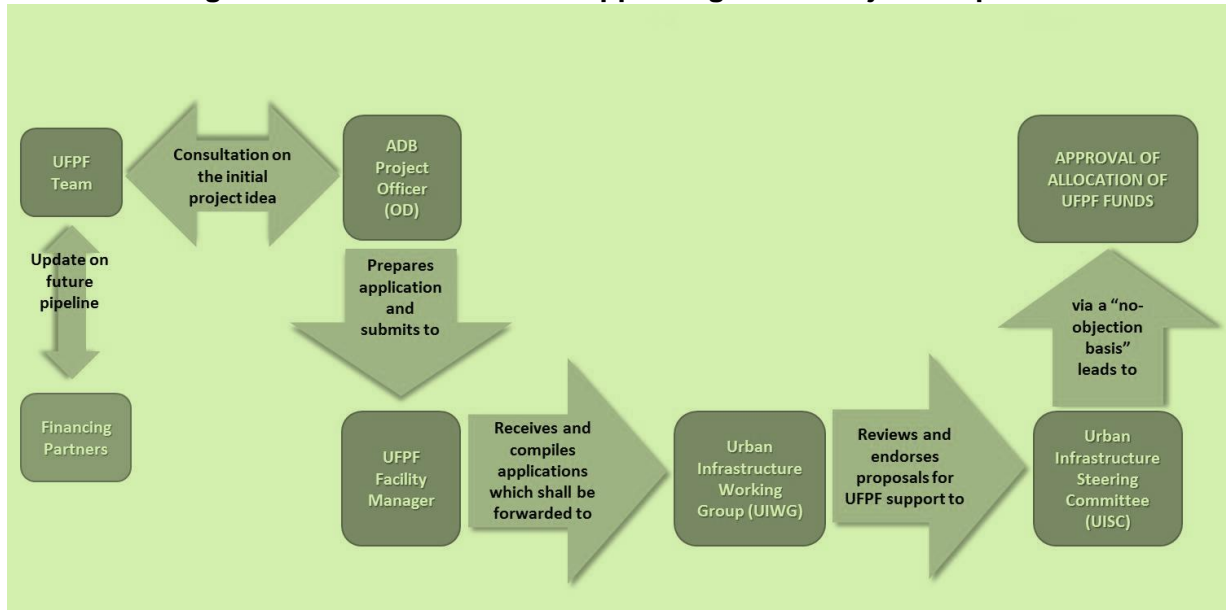
<sup>5</sup> The total contribution committed decreased by 2% (\$2,490 million) arising from change in value of currency.

<sup>6</sup> The US dollar conversion for the DFID million contribution of GBP 83.30 million is currently projected to be \$117.36 Million based on the prevailing exchange rate as of 30 June 2016.

<sup>7</sup> The SIDA Guarantee commitment of \$73.4 million was approved in 11 December 2009 and terminated in 11 December 2012. Further data will be available upon consultation with PSOD and Sida and on findings of the UFPF Evaluation expected to be done by September 2015.

of communication for financial issues between ADB and partners. OCO also leads negotiations and discussions with partners on procedural agreements for contributions and framework agreements, where applicable. The Facility Manager approves the use of the Facility for direct charges within the framework of annual work program and the UISC approves the allocation for TA and investment grants. Figure 1.3 presents the process flow of the approvals.

**Figure 1.3: Process Flow for Approving UFPF Project Proposals**



## II. URBAN ENVIRONMENT INFRASTRUCTURE FUND (UEIF)

### A. Highlights and Key Achievements

17. For the first half of 2016, the Facility approved only one direct charge activity with an amount of \$10,000. For this particular activity the Facility supported the participation of government officials from the cities of Batan and Medan (Indonesia), and Hat Yie and Singkla (Thailand) to the 2<sup>nd</sup> Asia-Pacific Forum on Urban Resilience and Adaptation in Melaka, Malaysia - a conference which promoted city-to-city sharing of experiences in preparing and implementing Green City Action Plans to promote green growth in cities in Southeast Asia.



ADB's Tatiana Gallego-Lizon (Left), Director, Urban Development and Water Division, Southeast Asia Department, presenting during the Financing Urban Resilience session at the 2<sup>nd</sup> Asia-Pacific Forum on Urban Resilience and Adaptation with panelists composed of government leaders from Southeast Asian economies and Mr. Joris van Etten, ADB Sr. Urban Development Specialist (seated 4<sup>th</sup> from right). (Photo source: <http://resilientcitiesasiapacific.iclei.org/>)

18. Despite getting only one project application for the first half of the year there were some significant progress that some project officers reported on their projects funded by the Facility. Table 2.1 presents the status of project grants funded by the Facility as of 30 June 2016 as reported by the project officers.

**Table 2.1: Status of UEIF Project Grants**

Country and Project Name	Overall Implementation Status as of 30 June 2016
MON: Ulaanbaatar Water and Wastewater Operation Improvement	On-going implementation, activity is part of MFF 0078-MON. Bidding for civil works and equipment was advertised on 1 April 2016 and bid opening held on 16 June 2016. The Project Management Officer at the executing agency will submit the bid evaluation report by mid-July 2016.
CAM: Southern Economic Corridor Towns Development Project	Preparation of detailed engineering design is on-going for the materials recovery facilities for the cities of Battambang, Bavet and Neak Loeung.
LAO: East-West Economic Corridor Towns Development Project	Preparation of detailed engineering design for the materials recovery facility for the city of Kaysone Phomvihane is on-going and procurement of civil works is expected to commence by Q4 2016. SWM equipment has been procured and construction activities are expected to start within Q2 2017.

Country and Project Name	Overall Implementation Status as of 30 June 2016
VIE: Corridor Towns Development Project	Detailed engineering designs for the materials recovery facility for the city of Moc Bai. The design will be appraised by the Tay Ninh Provincial People's Committee. Awarding of civil works contract is expected within Q4 2016.
IND: Karnataka Integrated Urban Water Management Investment Program	The Facility will finance the RBL-Community Based Toilet component of the project. The recruitment of an NGO who will manage the implementation of the RBL component is on-going and expected to be mobilized by September 2016. The NGO is expected to conduct the validation of beneficiaries by October 2016, and the start of construction of toilets is expected to commence by December 2016.
PHI: Water District Development Sector Project	Guarantee Agreement between ADB and the government signed on 19 May 2016.

ADB = Asian Development Bank; MFF = multi-tranche financing facility; NGO = non-government organization; RBL = results-based lending

19. Also completed and financially closed this year was the regional technical assistance (RETA)<sup>8</sup> which served as a channel for \$1.7 million of funding resources from the UEIF to support ADB's operations departments by expeditiously responding to the urgent need of developing and financing key urban environmental infrastructure investments in cities.

20. Five ensuing projects were supported by the RETA.<sup>9</sup> Besides providing a support for project development for ensuing project loans, the TA was also designed to support capacity building and knowledge development of governments on infrastructure investment planning and programming as well as on project delivery including private sector participation in financing and implementing public investments. Among the capacity development and institutional strengthening activities that the RETA supported is on the development of policy instruments for infrastructure financing and training for the city of Ulaanbaatar staff on monitoring systems for non-revenue water reduction.

21. A flagship study in South Asia on planning, finance and governance towards city competitiveness was also carried out with support from the UEIF through the RETA. This study will be published by the South Asia Regional Department (SARD) this year. The study covered the cities of Gazipur and Khulna (Bangladesh), Kurunegala (Sri Lanka), and Pokhara (Nepal), and aimed at helping decision-makers evaluate their current performance and development action plans to enhance their respective city's competitiveness from planning, governance, and finance perspectives. The RETA also supported an assessment study for pro-poor and inclusive urban transport project planned for the cities of Palembang, Surakarta, and Yogyakarta. Though these did not become part of the government's priority projects after the study itself, the studies

<sup>8</sup> R-CDTA 7918: Support to Urban Infrastructure Development and Financing.

<sup>9</sup> (i) PHI: Piloting Innovative Solid Waste Management where a pre-PPTA assessment was also conducted to test financing viability options for SWM investments in the Philippines to support the preparation of the ensuing Solid Waste Management Sector Project; (ii) MON: Ulaanbaatar Water and Wastewater Operation Improvement for the Ulaanbaatar Urban Services and Ger Areas Development Improvement Program; (iii) IND: Karnataka Integrated and Sustainable Water Resource Management Investment Program; (iv) IND: Karnataka Integrated Urban Water Management Investment Program; and (v) IND: Bangalore City Cluster Development Investment Program. The TA supported the development of an output-based financing arrangement for the community toilet component of the IND: Karnataka Integrated Urban Water Management Investment Program. Other activities under this component included a feasibility study for a public-private partnership (PPP) arrangement for waste-to-energy development for the PHI: Piloting Innovative Solid Waste Management project which was subsequently included in the project design of the ensuing project loan.

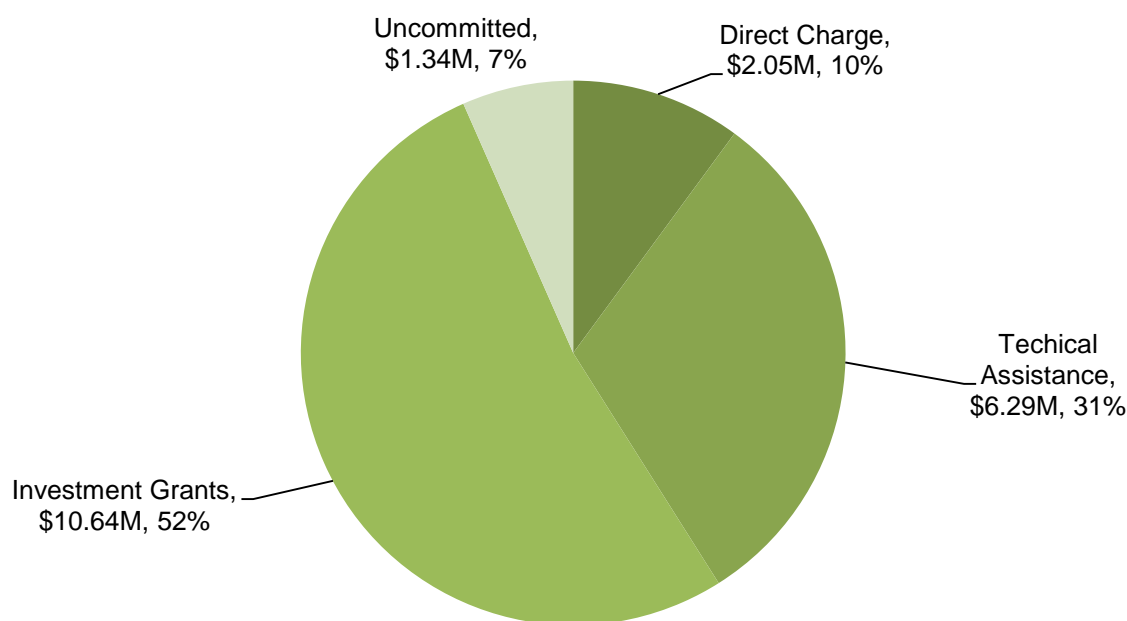
provided a reference for possible future investments for these cities on how to improve their respective transport systems.

22. A list of UEIF supported projects since its inception up to the coverage of this reporting period with updates on the status of each project is also shown in Appendix 1. In total, the Facility has committed to support projects that cover the following UEIF project categories: climate change adaptation and mitigation (8 projects); inclusive basic water and wastewater services (13 projects); solid waste management services (16 projects); and urban renewal (12 projects) within which all projects have exhibited an inherent pro-poor inclusive development approach (Appendix 2).

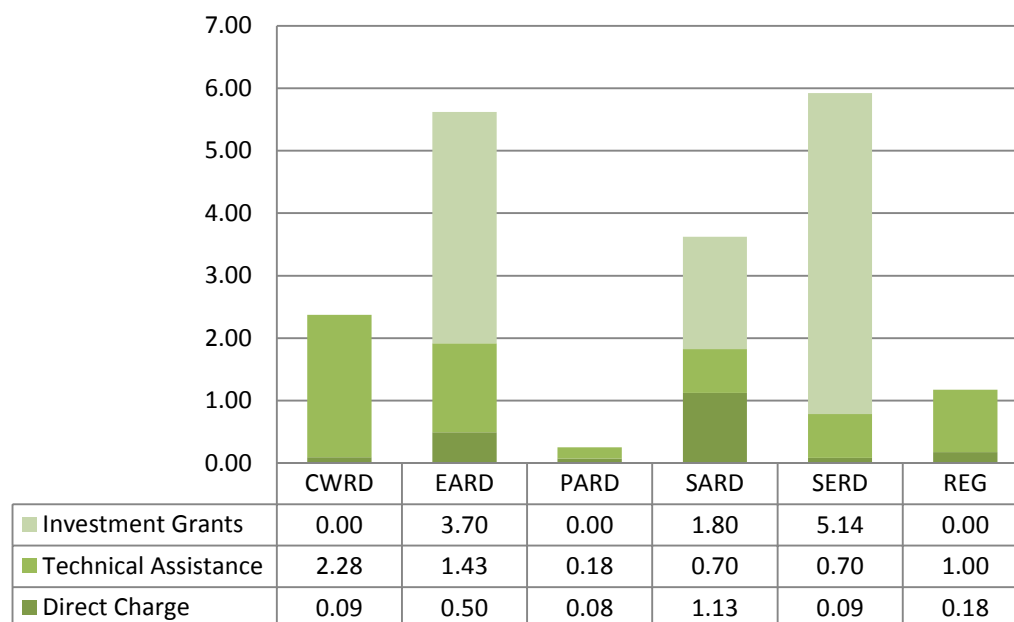
## B. Financial Status

23. Figure 2.1 shows a breakdown of the total UEIF resources available for investment grants, TAs and direct charges of which \$10.64 million or 52% of these grant resources have been committed for 6 investment projects and \$6.29 million or 31% have been committed for 19 technical assistance grants. A total of \$2.05 million or around 10% of grant resources have been committed for 16 direct charges activities. About \$1.34 million or 7% of UEIF grant resources remain uncommitted.

**Figure 2.1: Total UEIF Resources Allocation (\$ million, %)**



24. In terms of geographic spread, the Facility has been accessed by all of the ODs. Southeast Asia has received the highest cumulative allocation (31% of the UEIF grant resources). Figure 2.2 illustrates the UEIF assistance provided to ADB operational departments.

**Figure 2.2: Cumulative UEIF Assistance by Regional Department (\$ million)**

### C. Financing Partner Contribution and Status of Grants

25. The total donor committed contributions as of 30 June 2016 is at \$21.19 million, of which 100% has already been remitted to ADB. The total approved projects amounted to \$18.97 million. Table 2.2 shows the status of UEIF grant contribution.

**Table 2.2: Status of UEIF Grant Contribution (\$ million)**

Funding	Resources Available				Allocated/Committed			Balance Available for Future Allocation (8=4-7)
	Committed Amount (1)	Actual Amount Received (2)	Interest Income (3)	Total (4=2+3)	Approved Projects (5)	Reserve for Admin Cost (6)	Total including Service Fees and Charges (7=5+6)	
UEIF								
Sida	21.45	21.02	0.17	21.19	18.97	0.85	19.84	1.34

### D. Resource Utilization

26. **Better Optimization of UEIF resources.** The Secretariat, in coordination with ADB's Controller's Department, has commenced the review on the amount of savings generated from closed direct charge and technical assistance activities. The savings will be reverted back to the fund pool and included in the uncommitted funds which will be available for future commitments. The details on the savings will be reported in the 2016 annual report.

27. **Project Disbursements.** As of June 2016, the total disbursements for projects, TAs, and direct charges amounted to \$4.74 million, respectively or at 24.98% out of the total \$18.97 million UEIF grant resources allocated.

#### E. Progress Towards Expected Results

28. **UEIF Impacts and Outcomes.** The UEIF's performance will be measured against target impacts and outcome when all projects in its portfolio have been completed. The project's outcome is determined at project completion while the impact is often only achieved long after project implementation. ADB tracks projects' contributions and reports on progress by monitoring the implementation of all financed projects in its portfolio. The status of UEIF's performance in achieving the intended impacts and outcomes against the DMF is presented in Table 2.3.

**Table 2.3: UEIF Status of Impact and Outcome-level Performance against DMF**

Design Summary	Performance Targets/Indicators	Status / Achievements as of June 2016
<b>Impact</b> Improved livability in cities of all sizes in developing member countries (DMCs)	Improved environmental infrastructure/service delivery. Improved environmental parameters in cities  Achievements of Millennium Development Goals (MDGs) in cities	Subject to higher level evaluation
<b>Outcome</b> Improved coverage, quality and continuity of environmental service delivery and sustainability.	200 million in cities benefiting from improved investments or systems.  Improved urban environmental management as demonstrated by pilot project achievements influence on policy and reform measures  From the periods of 2010-2015: a. At least 20% of ADB lending projects will be urban-related,  b. over \$10 billion in ADB funds invested in urban Asia,  c. and \$5 billion additional investments	<u>21.8 million (estimated)</u>  <u>37 projects</u>  <i>15.6% of ADB lending are urban related<sup>10</sup></i>  <i>Over \$11 billion ADB urban projects<sup>11</sup> (\$478 million in first half of 2016)</i>  <i>56 cities supported by UEIF: Davangere, Harihar, Ranebennur,</i>

<sup>10</sup> Estimate does not include urban transport.

<sup>11</sup> Estimate does not include urban transport.



Design Summary	Performance Targets/Indicators	Status / Achievements as of June 2016
	<p>leveraged from other donors, government and private sector investment road maps for sustainable development in 50 cities;</p> <p>capacity development for national sustainable urban development strategies in 10 countries.</p>	<p>Byadagi, Bangalore, Chennai, Cuddalore, Nagapattinam, Velankanni, and Thoothukkudi (IND); Darkha and Ulaanbaatar (MON); Battambang, Bavet and Poipet(CAM); Kaysone Phomvihane (LAO); Dong Ha and Moc Bai, (VIE); Karaganda and Taldykorgan (KAZ); Goris, Jermuk, Dilijan, Vanadzor and Gyumri (ARM); Baku, Qazakh, Aghstafa, Dashkasan, Gadabay, Goranboy, Samukh, Goygol, Tovuz, Shamkir, Aghdam, Terter and Fuzili rayons and Nakhchivan (AZE); Dili (TIM); Trincomalee (SRI); Seven (7) Prefecture-Level Cities in Hunan Province, and the cities of Fukang, Hutubi, Qitai in Changji Prefecture, Hegang, Jixi, Qitaihe, and Shuangyashan (PRC)</p> <p><u>12 countries:</u></p> <p>Armenia, Azerbaijan, Cambodia, People's Republic of China, Kazakhstan, India, Lao PDR, Mongolia, Philippines, Sri Lanka, Timor Leste, and Viet Nam</p>

29. As the Secretariat has been able to implement concrete steps to develop a robust system of monitoring results and outcomes by tracking the documentation of the projects receiving UFPF funds, some initial information have already established, particularly on the outcomes for the following:

- i. estimated number of beneficiaries - about **21.8 million estimated** beneficiaries expected to benefit from improved urban infrastructure and services;

additional investments leveraged from other donors, government and the private sector – about **\$478 million estimated** additional investments on ADB's urban infrastructure projects for the first half of 2016;

- ii. investment road maps for sustainable development - UEIF to support development of urban environments of **56 cities**<sup>12</sup>;
- iii. capacity development for national sustainable urban development strategies – UEIF support given to **12 countries**<sup>13</sup>

<sup>12</sup> Davangere, Harihar, Ranebennur, Byadagi; Bangalore, Chennai, Cuddalore, Nagapattinam, Velankanni, and Thoothukkudi (IND); Darkha and Ulaanbaatar (MON); Battambang, Bavet and Poipet(CAM); Kaysone Phomvihane (LAO); Dong Ha and Moc Bai, (VIE); Karaganda and Taldykorgan (KAZ); Goris, Jermuk, Dilijan, Vanadzor and Gyumri (ARM); Baku, Qazakh, Aghstafa, Dashkasan, Gadabay, Goranboy, Samukh, Goygol, Tovuz, Shamkir, Aghdam, Terter and Fuzili rayons and Nakhchivan (AZE); Dili (TIM); Trincomalee (SRI); Seven (7) Prefecture-Level Cities in Hunan Province, and the cities of Fukang, Hutubi, and Qitai in Changji Prefecture, Hegang, Jixi, Qitaihe, Shuangyashan (PRC)

<sup>13</sup> IND, MON, CAM, LAO, VIE, KAZ, ARM, AZE, TIM, SRI, PRC, PHI.

30. **UFPF Outputs.** The UEIF output-level performance as of June 2016 against the Facility's DMF is presented in Table 2.4. Since most of the UFPF supported projects are still in the initial stages of their implementation, the provided information is projected and subject to validation and modification.

**Table 2.4: UFPF Status of Output-level Performance against DMF (UEIF Grants)**

Design Summary	Performance Targets/Indicators	Status / Achievements as of June 2016
<p><b>Output Component 1: Increased levels of investment</b></p> <ul style="list-style-type: none"> <li>• Fundable investment projects</li> </ul> <p><b>Component 2 Technical Assistance</b></p> <ul style="list-style-type: none"> <li>• Project development support</li> <li>• Project implementation support</li> <li>• Non-lending assistance addressing</li> </ul>	<p>70% of grant resources or \$70 million of UFPF resources spent on project investment support for either goods, works or systems</p> <p>At least 20<sup>14</sup> investments either funded in full or cofinanced with ADB or other sources</p> <p>30% of grant resources or \$30 million of UFPF resources allocated to this component</p> <p>At least 20<sup>15</sup> applications for support to project development through improved design &amp; implementation, better communication with stakeholders, etc.</p> <p>At least 20<sup>16</sup> applications for support to project implementation through improved supervision, better communication with stakeholders, etc.</p> <p>At least 100 TAs from direct charge applications<sup>17</sup> designed to advance reform measures in each</p>	<p><u>\$10.64 million</u> (or 60% of UEIF grant resources) have been provided to 6 investment projects (<i>\$ 2 million less due to the cancellation of the PHI: Piloting Innovative SWM project</i>)</p> <p><u>\$6.285 million</u> (or 26% of UEIF grant resources) have been provided to 19 TA projects</p> <p><u>19 TAs</u> supporting project feasibility studies, preparatory activities for PPTA, CDTAs, PATAs and exploring opportunities with PPP</p> <p><u>9 TAs</u> supporting solid waste management mainstreaming initiatives</p> <p><u>12 direct charge</u> activities providing additional resources to finance shortfall in funds required to complete the balance activities of the PPTA and complement the original scope for the PPTA</p> <p><u>16 direct charge</u> activities supporting TA and other activities with a total committed funding of \$2.05 million.</p>

<sup>14</sup> 20 grants for investments based on average cost of \$3.5 million per intervention during 2010-2015.

<sup>15</sup> 20 grants for TA based on average cost of \$500K per project or a total of \$10 million during 2010-2015.

<sup>16</sup> 20 grants for TA based on average cost of \$500K per project or a total of \$ 10 million during 2010-2015.

<sup>17</sup> 100 applications for direct charges is based on average cost of \$100K each or a total of \$10 million during 2010-2015.

<b>Design Summary</b>	<b>Performance Targets/Indicators</b>	<b>Status / Achievements as of June 2016</b>
reforms in the areas of: <ul style="list-style-type: none"><li>➤ policy</li><li>➤ legislation</li><li>➤ regulation</li><li>➤ institutional arrangements</li></ul>	of the areas of policy, legislation, regulation or institutional arrangements or to improve monitoring and evaluation of results	

### III. URBAN CLIMATE CHANGE RESILIENCE TRUST FUND (UCCRTF)

#### A. Highlights and Key Achievements

31. **\$6.525 million for 5 projects.** As of 30 June 2016, the Facility approved 5 new projects with a total of \$6.525 million. It includes 2 investment grants (\$6 million) and 3 direct charges (\$525,000). This brings up the total to 17 approved UCCRTF projects with a cumulative commitment/allocation amounting to \$49.225 million. Table 3.1 provides a brief description of these projects.

**Table 3.1: Details of New Approved UCCRTF-Supported Initiatives**

<b>Country:</b>	Bangladesh
<b>Modality/Amount:</b>	Direct Charge, \$150,000
<b>Project Name:</b>	Development of Integrated Climate Resilient Responses for Urban Health
<b>Status:</b>	Project concept paper (PCP) for approval on 13 July 2016; recruitment ongoing as part of PPTA recruitment
<b>UCCRTF Specific Support</b>	
<p>Rapid urbanization in Bangladesh has put great strains on urban public services, particularly on the health system. Moreover, over one fifth of the urban population lives in poverty where overcrowding, unhygienic and poor living conditions in informal settlements adversely affect the health and productivity of low-income workers. Local government units who are tasked with the delivery of urban primary health services are ill-equipped to comply with the mandate due to the lack of financial and institutional resources. The situation is further compounded with the country's exposure to climate change stressors including flooding and extreme weather conditions.</p> <p>This activity is supporting the PPTA for the Urban Primary Health Care Services Delivery Project (UPHCSDP). The UCCRTF grant component of the PPTA will be used to prepare all pre-feasibility studies (PFS) contributions and due diligence leading to the identification of grant components for the ensuing project. The consultants, studies and workshops on climate change adaptation and mitigation supported under UCCRTF would enhance the overall project preparation and design. Experts financed through the trust fund will be part of the PPTA team, thereby ensuring better integration of recommendations into the report.</p> <p>The UCCRTF component would support 3 components: <b>capacity building for urban planning, improving emergency response, and physical infrastructure that improve health outcomes.</b> These shall include, among others, integrating "green principles" in mapping, siting, location, design and construction, building materials in design of health facility structures; identify energy security and efficiency options for health facilities and delivery systems; and detailed training plan for climate resilient urban planning emergency risk management.</p>	

<b>Country:</b>	India
<b>Modality/Amount:</b>	Investment grant; \$5,000,000
<b>Project Name:</b>	Vishakhapatnam-Chennai Industrial Corridor Development Program
<b>Status:</b>	Recruitment of consultant expected to start in Aug 2016. Approval of the grant/loan scheduled in September 2016; draft bidding documents for three goods and works packages expected to be submitted to ADB in Q1 2017.
<b>UCCRTF Specific Support</b>	
<p>Vishakhapatnam City's role as a major tourism destination and industrial center of Andhra Pradesh has placed a lot of pressure on available resources. The port city has been identified as having high exposure and vulnerability to extreme climate events (cyclones, storm surges). Studies also indicate lesser number of rainy days and increase in extreme rainfall incidences. These trends point towards adverse impact on the city's availability of water resources and higher vulnerability of the drainage systems for residents, particularly for those living in flood prone areas.</p> <p>The UCCRTF investment grant will support the Greater Vishakhapatnam Municipal Corporation (GVMC) by improving capacities for UCCR planning, disaster response preparedness, and by introducing new technologies to improve the resilience of water supply infrastructure. Specifically, the grant will:</p> <ul style="list-style-type: none"> <li>• Provide support to strengthen GVMC's capacity for preparation and implementation of <b>urban climate change resilience strategy</b>, and produce a detailed vulnerability analysis of Vishakhapatnam and model various risks for effective mitigation planning and disaster response preparedness.</li> <li>• Focus on <b>investments in integrated water management solutions</b> on (i) geographic information system (GIS)-based inventory of water and sewerage assets, SCADA system, and network modeling amenable to DMA approach for nonrevenue water reduction; and information and data management requirements that might form part of the smart city backbone; (ii) strengthening water quality testing and management system; (iii) creating a multi-parameter, real time monitoring and control system which would capture and present data and information from a range of sectors, into a single platform; and (iv) <b>strengthening the integrated system and control facility for disaster management and preparedness</b></li> </ul>	

<b>Country:</b>	India
<b>Modality/Amount:</b>	Investment grant; \$1,000,000
<b>Project Name:</b>	Kolkata Environmental Improvement Investment Program - P2
<b>Status:</b>	EOI for the consultant recruitment is being prepared and is expected to be floated by 30 August 2016

**UCCRTF Specific Support**

Kolkata City has been ranked among the top ten cities that have high exposure to flooding based on current climate forecasts. The Kolkata Municipal Corporation (KMC) has already prepared and adopted action plans to increase its climate resilience to flooding and cyclone risks, among others, with support from ADB.

Under the ongoing \$400 million multi-tranche financing facility (MFF) Kolkata Environmental Improvement Investment Program (KEIIP), UCCRTF will further assist KMC in strengthening the climate resilience of Kolkata City through improved planning and flood and disaster risk management. The proposed grant shall focus on two areas:

- Identify the areas required for strengthening the planning controls affecting land use, flooding and flood-related disaster management and coordinating within various department of KMC and government of West Bengal in their effective enforcement. This shall also include **capacity building** for city officials on **climate resilient planning and management**.
- Develop a basic **flood early warning system** and assist the S&D department of KMC in installing the same with necessary software and hardware facilities, such as supervisory control and data acquisition (SCADA), sensors, probes with data loggers, servers and computers and train the relevant staff on their usage for one year.

<b>Country:</b>	Pakistan
<b>Modality/Amount:</b>	Direct Charge, \$150,000
<b>Project Name:</b>	Climate Change Resilience for City Development Plans: Abbottabad, Mardan, Peshawar
<b>Status:</b>	Shortlisting of candidates is ongoing

**UCCRTF Specific Support**

Pakistan has one of the largest populations in the world at 180 million, and is the most urbanized country in South Asia. With an urbanization rate of 2.7%, it is expected that by 2030, 110 million residents will be living in urban areas. Of the four provinces, comprising Pakistan, Khyber Pakhtunkhwa is the third largest with 26 million residents. The country seeks to prepare a roadmap for improved planning for climate resilient and urban development in three cities in Khyber Pakhtunkhwa Province, namely Abbottabad, Mardan, Peshawar.

There is an ongoing policy and technical advisory assistance (PATA) National Provincial Strategies for Urban Inclusive and Sustainable Growth for the Khyber Pakhtunkhwa Intermediate Cities Investment Program (KPICIP) scheduled for approval in 2018. The CDIA is working alongside the PATA to prepare city development plans (CDP) and prefeasibility studies (PFS) for the KPICIP. Consultants for PATA and CDIA work will be mobilized after the completion of this assignment.

The UCCRTF Grant Component will be used to prepare and upstream **climate change assessment** and to prepare the outline **city development plans** leading to the identification of projects that can be taken into the PFS stage by CDIA. The outline CDPs will form the basis for the preparation of CDPs under CDIA's work and will enable the identification of investments to be included in the multitranche financing facility for KPICIP. This project covers 3 cities in Pakistan: Abbottabad, Mardan and Peshawar.

<b>Country:</b>	Vietnam
<b>Modality/Amount:</b>	Direct Charge, \$225,000
<b>Project Name:</b>	Promoting Low-Carbon Transport Solutions in Ha Noi
<b>Status:</b>	Initial discussions have been held with the Metro Rail Board and the Hanoi Operations and Maintenance Company, both under the Hanoi People's Committee, about this support. Government counterparts are currently reviewing the TOR of the first consultant to be hired and is expected to be on board by August 2016.
<b>UCCRTF Specific Support</b>	
<p>Ha Noi is experiencing rapid population growth and urbanization. Because of the absence of a mass transit network, 90% of all trips are taken by private transport. Increasing car ownership is exacerbating traffic congestion and resulting in higher greenhouse gas emissions. The lack of transport alternatives reveals that the Ha Noi transportation system is not as resilient as it could be.</p> <p>The proposed UCCRTF support will advance the development and implementation of a <b>communication and marketing strategy</b> for the Ha Noi Metro for 2016-2018, <b>including enhancing public awareness of climate change and urban climate resilience</b>, capacity building support for Ha Noi O&amp;M staff and the staff of the Ha Noi Metropolitan Railway Management Board. This assistance will be essential to changing people's behavior and perspectives about public transport, and enhances the success of the Ha Noi Metro System.</p>	

32. The Facility has committed to support projects that cover the following UCCRTF project categories: UCCR Planning, institutions, community, capacity building (6); building climate resilient health, systems and services (1); urban ecosystems strengthening and ecosystems services (3); urban solid waste management, drainage and flood management (4); strengthening and diversifying climate vulnerable urban livelihood (3); urban climate resilience education, awareness building and citizen monitoring (4); improved urban emergency management (2); knowledge generation, dissemination and use (4); climate resilient urban water management (3) urban climate change resilient housing and transportation systems (3); and, low carbon and climate resilient development (2)

33. The list of UCCRTF projects with their specific categories is presented in Appendix 4. Appendix 5 is a compilation of selected project profiles and includes the expected results of UCCRTF funded projects, and ADB loan activities.

34. The Secretariat has been complemented with the hiring of a Resilience Officer that is expected to support the Project Officers in identifying appropriate measures to incorporate climate resilience into their projects. A newly hired M&E Specialist shall likewise take the lead in the refinement and implementation of the proposed methodology for measuring project outputs toward achieving the desired impacts.

35. **Knowledge Activities:** On June 15 this year, UCCRTF organized a knowledge sharing session on its activities in Pakistan. The event was well-attended by POs that are interested in further integrating climate resilient measures into their infrastructure projects. This approach to encouraging peer to peer learning within the ADB, which was recommended strongly by Arup in the Knowledge Plan, will be repeated on a regular basis as lessons from projects begin to emerge. The next intra-ADB knowledge sharing event planned by UCCRTF will be on the Bangladesh urban resilience planning work that was recently completed in 7 cities. These types of events are crucial in order to promote the application of UCCR principles across the bank's

activities and to meet the DMF target of 40% of ADB urban lending having integrated UCCR principles.

36. Through the support to CDIA, UCCRTF financed the participation of 9 city officials from Indonesia to the Cities and Climate Change Training held in Singapore last 23-27 May. Further activities and knowledge products are planned with the CDIA in the coming months.

37. During a meeting on 29 February, all Financing Partners strongly expressed the need for better knowledge management. Specifically, they wanted the secretariat to better capture and articulate how the activities being supported under the Fund come together at the portfolio-level to communicate a cohesive and convincing message; how the portfolio-level lessons learned can be used to guide future investments and support institutional learning; and, the “value addition” of the support offered by the Fund. In order to respond to this request, the Secretariat developed a terms of reference for a consultant assignment jointly with the FPs and initiated a recruitment of Arup International Development for the work. After several weeks of negotiations, Arup declined, which has severely delayed this stream of work.

38. **Planning Activities:** Two planning activities supported by UCCRTF have come to an end in the first half of this year. In Sahiwal and Sialkot, UCCRTF supported the development of the Rapid Urban Assessments (RUAs) and Integrated City Development Strategies (ICDSs). The ICDS were enhanced by the inclusion of climate risk and vulnerability assessments, which was financed by the Climate Investment Fund (CIF). Specific projects recommended in the ICDS, including both hard and soft measures to improve resilience, were further developed by UCCRTF-financed Pre-Feasibility Studies (PFSs). The Government of Punjab’s Department of Planning and Development and the Urban Unit have now adopted the approach for urban planning and will roll it out across the state of Punjab.

39. The Rapid Urban and Climate Change Assessments (RUCCAs) and the Climate Resilient Integrated Urban Plan (CRIUPs) for 7 cities in Bangladesh (Bagerhat, Cox’s Bazar, Faridpur, Gopalganj, Kushtia, Mymensingh and Patuakhali) have been completed. The climate resilient consultancy team is also assisting in the process for integrating urban climate change resilience principles (UCCR) principles in the Master plans being developed for an additional 15 towns under UGIIP-3. This sequential planning and prioritization approach through RUCCA, CRIUP, PPTA and Sub-project Appraisal Reports (SPAR) is attempting to integrate UCCR principles in various stages of planning, design and delivery of infrastructure and the capacity building support that will make it happen.

40. Projects recommended by these planning exercises will feed into two ADB projects—the Coastal Towns Environmental Infrastructure Project (CTEIP) and Third Urban Governance and Infrastructure Improvement (Sector) Project (UGIIP-III). A knowledge sharing workshop based on the lessons learned on integrating UCCR into local development plans is planned for July 2016 in Dhaka.

41. **Investment Grants:** With the intention of ensuring the quality of resilience components of projects and facilitating disbursements, the UCCRTF is supporting the operational departments in recruiting the consultants to undertake the activities that are being supported by the UCCRTF grant. This type of support to the operational department is atypical of ADB Trust Funds. ADB requires a letter from the Implementing Agencies national governments that they are amenable to this type of arrangement.

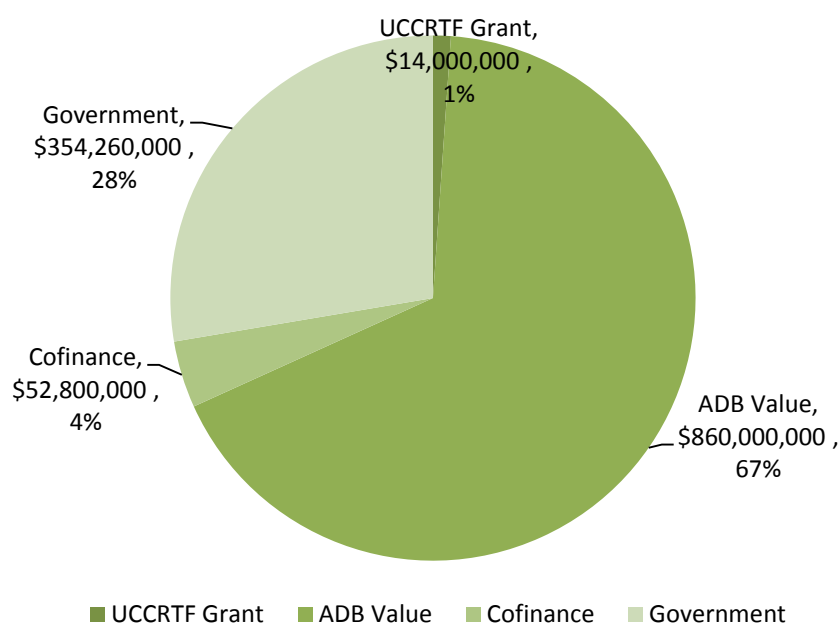


42. The first two cities that are receiving this type of support are Hoi An and Dong Hoi. For the Hoi An flood early warning system, the Danish firm DHI was selected in June 2016 and contract negotiations are currently ongoing. The consultancy team is expected to mobilize by October 2016. For the Dong Hoi dune stabilization project, the consultant recruitment process began in February. The shortlisted firms were approved by the Vietnamese government in June and the full proposals will be submitted by September. The secretariat has been asked by the operational department to extend support into the project implementation period.

43. **Healthy pipeline of cities, and projects have been developed this year.** An estimated \$89 million pipeline of projects are in the pipeline. To further boost availment of UCCRTF funds, the secretariat plans to increase investment volume from an average of \$4 million to \$7 million; support stand alone investment grants; and work on second phase projects in cities where UCCRTF already has ongoing activities. Appendix 6 shows the list of pipeline projects in the UCCRTF priority countries and the corresponding estimated costs.

44. Figure 3.1 illustrates that in five cities that have received US\$14 million in UCCRTF support for investment grants, a total of \$354 million in domestic financing and \$52.8 million in cofinancing for resilience enhancing urban infrastructure is being accessed.

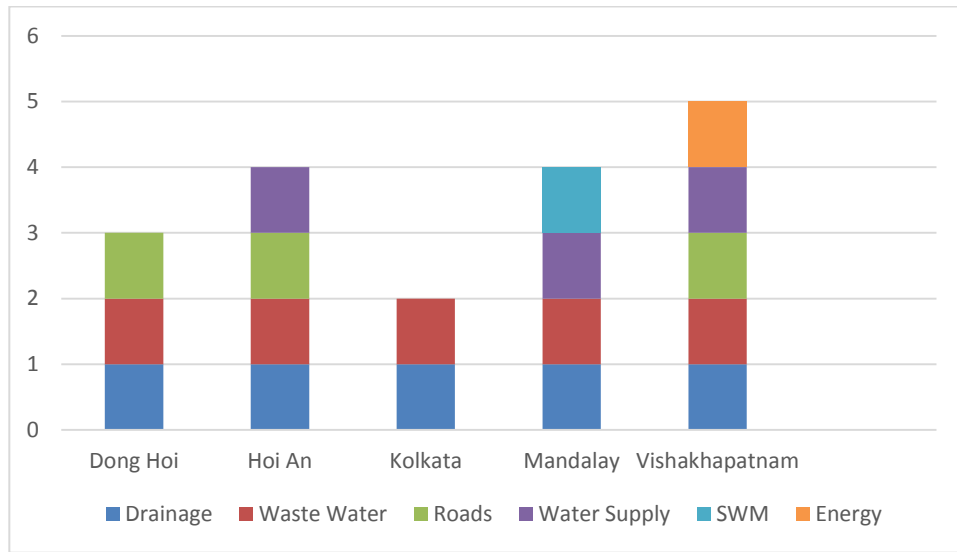
**Figure 3.1 Domestic and Cofinancing Resources Leveraged by UCCRTF (\$ million, %)**



45. The PFSs prepared through CDIA have also helped the cities access other funding sources for the investments identified therein. Baguio City was able to secure \$1 million from the city budget to supplement the upgrade of the existing wastewater treatment plant.

46. Eighteen infrastructure projects to be built in five cities where UCCRTF has provided IGs are expected to directly benefit more than 1.2 million residents. Projects include drainage, wastewater, roads, water supply, solid waste management and energy. Figure 3.2 shows the distribution of projects.

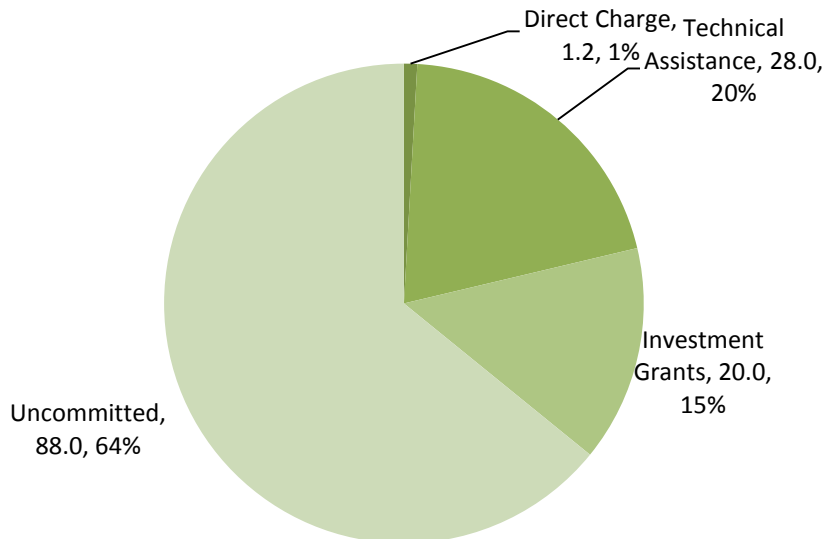
**Figure 3.2 Infrastructure projects per City**



**B. Financial Status**

47. Figure 3.3 shows a breakdown of the total UCCRTF resources available for investment grants, TAs and direct charges. Twenty million (\$20 million) or 15% of these grant resources have been committed for 5 investment projects, \$28.00 million or 19% have been committed for 4 technical assistance grants, and 1% or around \$1.225 million have been committed for 7 direct charges activities<sup>18</sup>. About 64% or \$88 million of the fund remain uncommitted.

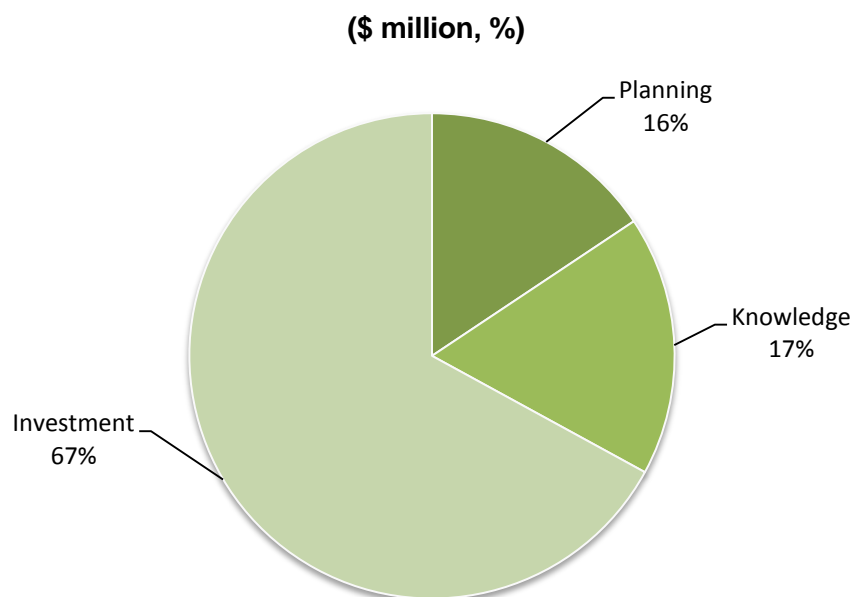
**Figure 3.3: Total UCCRTF Grant Resources Allocation (\$ million, %)**



<sup>18</sup> In line with the innovative nature of the Facility, UCCRTF has made a conscious effort to use direct charges for undertaking non-standard, non-routine and exceptional initiatives that fit with an on-going larger program.

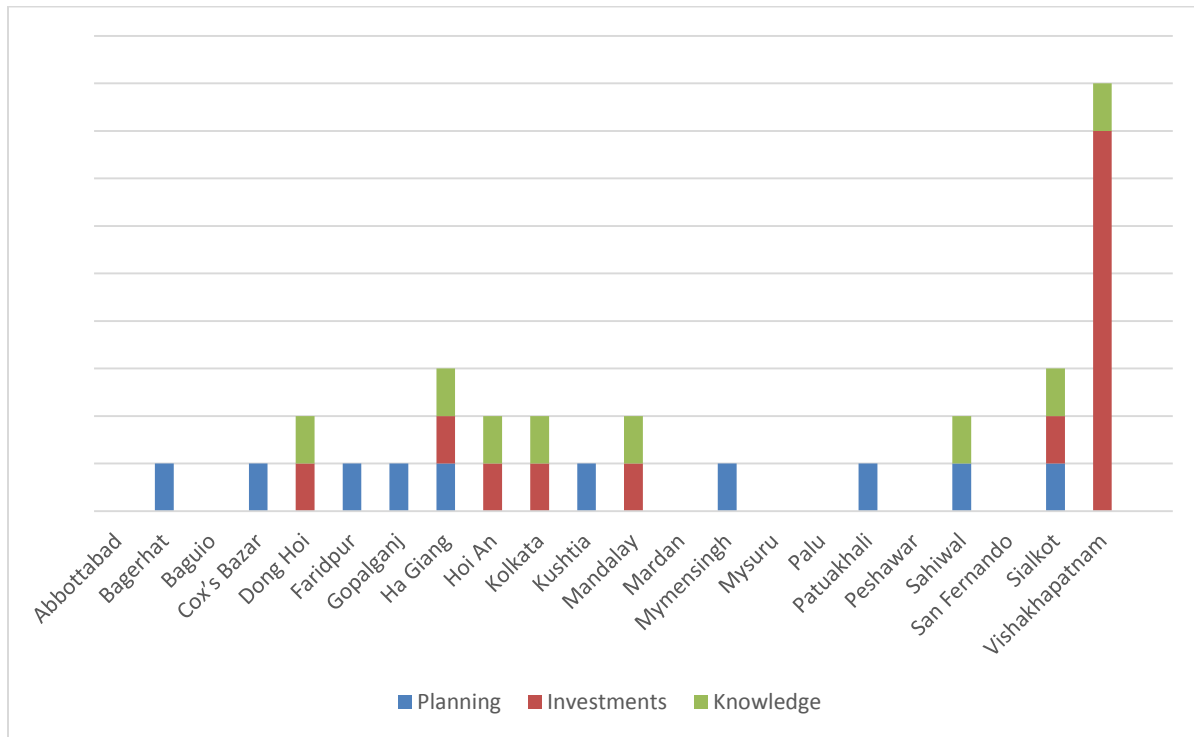
48. Figure 3.4 shows the current allocation of funding against the target areas agreed with the financing partners. As of June 2016, 16% of funds have been allocated to planning, 67% for investment 67% and 17% for knowledge, as against a target of 20%, 70% and 10% respectively. (This allocation includes the \$15 million for the cluster TA. Excluding the cluster TA, the allocation for the three components would be 10% for planning, 79% for investments and 11% for knowledge.) It is expected that the proportion of funds allocated to investment will rise as planning work leads to project identification.

**Figure 3.4: Total UCCRTF Grant Resources Allocation by Funding Component**

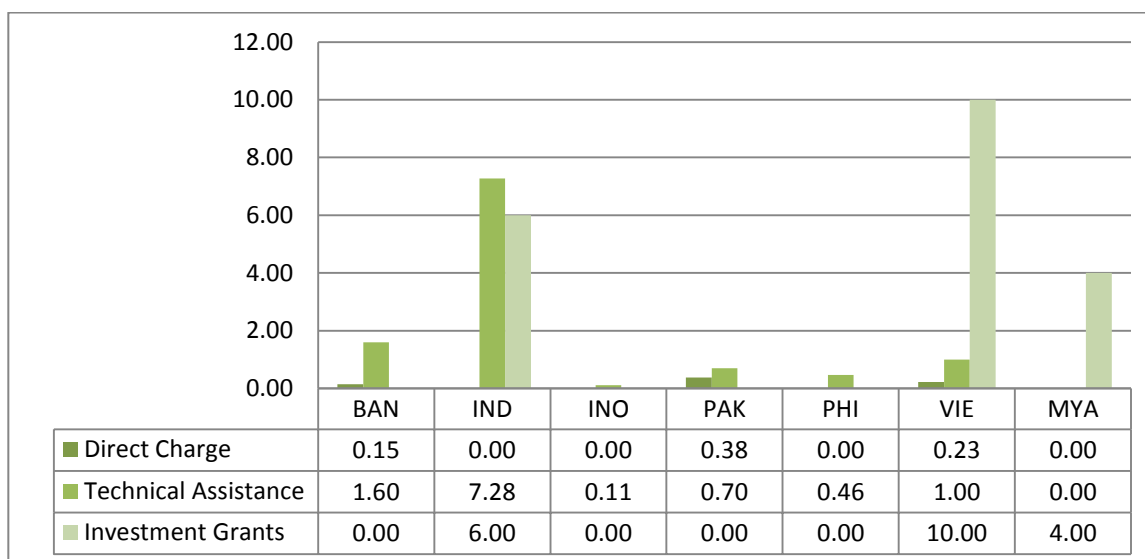


49. As of June 2016, UCCRTF has supported 10 cities in developing urban strategies that include UCCR principles, 7 cities in financing 18 infrastructure investments that enhances resilience and 8 cities in building capacities related to enhancing UCCR (Figure 3.5).

**Figure 3.5: Activities in UCCRTF Cities by Component**



50. **\$49.225 million has been committed so far under the UCCRTF.** Of this total, approximately \$32 million has been allocated to specific countries for UCCR activities. Figure 4.3 shows that India (\$13.28M) had received the most funds, followed by Vietnam (\$11.23M) and Myanmar (\$4.0M). Except for Myanmar, UCCRTF projects have been initiated now in all target countries as of June 2016. The planning activities in Pakistan and Bangladesh that have recently concluded are expected to lead to new investment grants for those two countries

**Figure 3.6: Cumulative UCCRTF Assistance by Country (\$ million)**

### C. Financing Partner Contribution and Status of Grants

51. The total donor committed contributions as of June 2016 is at \$136.30 million. Of this amount, \$55.33 million (40.1%) has been remitted to ADB, while the total allocation for approved projects amounted to \$49.23 million. There is \$1.343 million available for future allocations. Table 3.2 shows the status of UCCRTF grant contribution.

**Table 3.2: Status of UCCRTF Grant Contribution (\$ million)**

Funding	Resources Available				Allocated/Committed			Balance Available for Future Allocation (8=4-7)
	Committed Amount (1)	Actual Amount Received (2)	Interest Income (3)	Total (4=2+3)	Approved Projects (5)	Reserve for Admin Cost (6)	Total including Service Fees and Charges (7=5+6)	
<b>UCCRTF</b>	<b>136.30</b> <sup>19</sup>	<b>55.33</b>	<b>0.163</b>	<b>55.493</b>	<b>49.23</b>	<b>4.92</b>	<b>54.15</b>	<b>1.343</b>
DFID	117.36 <sup>20</sup>	45.38						
Rockefeller	5.00	4.50						
USAID	1.45	1.45						
SECO	10.00	4.00						

### D. Resource Utilization

<sup>19</sup> The total contribution committed decreased by 2% (\$2,490 million) arising from change in value of currency.

<sup>20</sup> The US dollar conversion for the DFID million contribution of GBP 83.30 million is currently projected to be \$117.36 Million based on the prevailing exchange rate as of 30 June 2016.

52. Disbursement for the UCCRTF from January to June 2016 is at \$2.357 million. These disbursements covered direct charges, CDIA PFS activities, planning activities in Pakistan, and consulting services in Vietnam.

### E. Progress Towards Expected Results

53. Progress is being made against the UCCRTF DMF. A summary of the achievements against each indicator are captured in Table 3.3.

54. In five cities that have received US\$14 million in UCCRTF support, a total of US\$352 million in domestic financing for resilience enhancing urban infrastructure is being accessed and is expected to benefit (direct and indirect) 1.7 million people in 3 countries.

**Table 3.3. Progress against UCCRTF DMF**

Design Summary	Performance Targets and Indicators with Baselines	Data Sources/Reporting Mechanisms
<p><b>Outcome</b></p> <p>UCCRTF-funded projects deliver UCCR benefits; demonstrate potential for integration of UCCR in urban development practice by the ADB, and leverage complementary action and financing by other urban development actors.</p>	<p>3. At least 2.2 million poor and vulnerable urban residents (disaggregated by sex) are more resilient to the negative effects of climate change by 2021.</p> <p><u>Baseline:</u> 0 in 2014.</p>	<p>At least 1.7 million residents are expected to directly and indirectly benefit from activities that have been approved to date. The direct numbers are from increased, direct access to urban services like drinking water and sanitation and the indirect numbers are from coverage of early warning systems.</p> <p>Please refer to Appendix 8 to see the number of <a href="#">direct</a> and <a href="#">indirect</a> beneficiaries.</p> <p>The M&amp;E firm that will be hired in the coming months will begin the measurement of this indicator with more rigor by the end of the year.</p>
	<p>4. At least 40 percent of the value of ADB urban sector lending in UCCRTF- incorporates UCCR principles by 2021.</p> <p><u>Baseline:</u> 9 percent of urban sector lending reflects awareness of UCCR principles in 2014.</p>	<p>A total of five urban projects have been approved in the 7 target UCCRTF countries in 2015/2016 with a combined volume of US\$710 million. Three of the five urban projects approved in the relevant timeframe incorporate UCCR principles. The combined volume of the three projects is US\$310 million, which represent 50.7% of the ADB urban development portfolio in 2015/2016.</p>

Design Summary	Performance Targets and Indicators with Baselines	Data Sources/Reporting Mechanisms
		<p>Please refer to <a href="#">Appendix 9</a> to see a sample scoring rubric which was used to evaluate the extent to which ADB urban sector lending incorporates UCCR Principles.</p> <p>The ADB Urban Operational Plan is valid until 2020 and the mid-term review will be initiated in 2017. UCCRTF will work with the Urban Sector Group to include UCCR principles when the Urban Operational Plan is being reviewed.</p>
	<p>5. At least three UCCRTF-supported DMCs include UCCR principles in national government strategies by 2021.</p> <p><u>Baseline:</u> No DMCs include UCCR principles in national strategies in 2014.</p>	<p>The secretariat is continuing discussions with the Regional Departments as well as out posted staff to identify entry points for influencing national policy. There seems to be potential to include UCCR principles into the Vietnam national urban strategy, which is being supported by the ADB.</p> <p>The secretariat continues to work with the Regional Departments to determine opportunities for influencing national government strategies in the UCCRTF priority countries.</p>
<p><b>Component 1: Planning and Implementation</b></p> <p><b>Output 1</b> Strengthened capacity of public authorities to incorporate UCCR principles into urban and sectoral planning</p>	<p>6. At least 25 UCCRTF-supported cities include UCCR principles in local government strategies by 2021.</p> <p><u>Baseline:</u> No UCCRTF-supported cities include UCCR principles in local government strategies in 2014.</p>	<p>UCCRTF completed integrated, cross-sectoral planning process in 10 cities, while planning processes have been initiated in 18 additional cities—15 in Bangladesh and 3 in Pakistan.</p> <p>BANGLADESH: Rapid Urban Climate Change Assessment (RUCCA) and Climate Resilient Integrated Urban Plan (CRIUP) for Bagerhat, Cox's Bazar, Gopalganj, Faridpur, Kushtia, Mymensingh and Patuakhali (7 cities).</p> <p>PAKISTAN: Rapid Urban Assessment (RUA) and Integrated City Development Strategy (ICDS) for Sialkot and</p>

Design Summary	Performance Targets and Indicators with Baselines	Data Sources/Reporting Mechanisms
		<p>Sahiwal (2 cities). Planned for 2016 start: Abbottabad, Peshawar, Mardan</p> <p>VIETNAM: Green City Action Plan (GCAP) - Ha Giang, (1 city).</p> <p>Planned for 2016 start: 15 new Pourishavas</p> <p>RUCCA/CRIUP methodology is being integrated in the Urban Master Plans of additional 15 cities where UCCRTF is supporting 4 stages of consultation processes and training of urban planners.</p>
	<p>7. At least 25 cities engage stakeholders in multi-sectoral and iterative processes to inform planning and project design by 2021</p> <p><u>Baseline</u>: No cities engage stakeholders in planning and project design in 2014.</p>	<p>All planning processes undertaken in the 10 active cities included stakeholder engagement that included women.</p> <p>Activities in the 3 countries (Bangladesh, Pakistan and Vietnam) included 2,501 participants of which 755 were women.</p> <p>Please refer to <a href="#">Appendix 8</a> for details.</p>
	<p>8. At least 40 percent of poor and vulnerable stakeholders in project areas (of which half are women) are engaged in UCCR activities by 2021.</p> <p><u>Baseline</u>: No engaged stakeholders are poor or vulnerable in 2014.</p>	<p>Poor and vulnerable stakeholders have participated in the planning activities that have been conducted to date. However exact figures are not yet available because definitions of “poor” and “vulnerable” were first finalized with the baseline report in December and a methodology for gathering this data now needs to be developed.</p>
	<p>9. At least 40 nonphysical measures to enhance resilience to climate change are implemented in UCCRTF-supported cities by 2021.</p>	<p>25 measures have been identified and budgeted for in UCCRTF supported projects. Of the 21 measures, 15 are being directly financed by UCCRTF and 6 have been selected for finance by the loan</p>



Design Summary	Performance Targets and Indicators with Baselines	Data Sources/Reporting Mechanisms
	<p><u>Baseline:</u> No nonphysical measures implemented in 2014.</p>	<p>based on the planning work financed by UCCRTF.</p> <p>Soft measures that have been approved include 2 flood forecast and warning systems, 3 management information system, 2 urban spatial plans, 3 infrastructure development plans, a facility for disaster management preparedness, an e-portal and for issuing business-related licenses in a climate vulnerable coastal zone, asset and topographic surveys, hydraulic modelling, digitization of paper maps, GIS for water supply network, water quality monitoring system, donor urban coordination forum in Mandalay and a SCADA system for water supply. (13)</p> <p>In Pakistan soft measures include donor coordination forum, Focus group discussion (FGD) with women and urban planning capacity building. (3)</p> <p>In Bangladesh the RUCCA/CRIUP approach in 7 towns and climate resilient master plans in 15 towns includes soft measures on capacity building of Town level and ward level coordination committees, income generation activities in slums, support to national urban policy, Performance based fund allocation strategy, GIS support system for urban planners, procurement training, O&amp;M funds for infrastructure and revenue mobilisation through tax records. (8)</p> <p>In Vietnam, ADB is supporting the national government in developing a national Urban Development Strategy that will include urban resilience principles. (1)</p>

Design Summary	Performance Targets and Indicators with Baselines	Data Sources/Reporting Mechanisms
	<p>10. At least 20 community-led initiatives that increase resilience implemented in UCCRTF cities by 2021 implemented.</p> <p><u>Baseline:</u> No community-led initiatives in 2014.</p>	<p>UCCRTF funded projects are only just starting to be implemented, so while this type of engagement is planned it has not yet occurred.</p> <p>Under the Mandalay project, a community based solid waste management program is planned.</p> <p>Other community led initiatives shall be implemented under Subproject 3 of the Cluster TA once it is approved.</p>
	<p>11. At least 2,500 people (disaggregated by sex) complete training and awareness building by 2021.</p> <p><u>Baseline:</u> No UCCR training or awareness building completed in 2014</p>	<p>2,896 professionals have participated in learning events. Of the total, 755 were female.</p> <p>Please refer to <a href="#">Appendix 8</a> for details</p>
<p><b>Component 2: Projects and Investments</b></p> <p><b>Output 2</b> Public and private sources (including ADB) support and finance UCCR projects</p>	<p>12. At least 20 UCCR-related infrastructure projects receive UCCRTF support by 2021.</p> <p><u>Baseline:</u> No UCCRTF infrastructure projects supported in 2014.</p>	<p>18 infrastructure projects that have been identified through the PFS for 5 cities (Philippines, Pakistan and Indonesia) and the PPTAs for 5 cities (India, Myanmar and Vietnam) have received UCCRTF support.</p>
<p><b>Component 3: Knowledge</b></p> <p><b>Output 3</b> UCCR knowledge is created, accessed, and utilized</p>	<p>13. At least \$1 billion in UCCR-related loans or projects mobilized, including at least \$200 million in non-ADB financing, by 2021.</p> <p><u>Baseline:</u> No UCCR-related loans or projects financed in 2014.</p>	<p>In five cities that have received US\$14 million in UCCRTF support, a total of US\$354 million in domestic financing for resilience enhancing urban infrastructure is being accessed.</p>
	<p>14. At least 12 knowledge products disseminated and their use demonstrated in DMC cities by 2021.</p> <p><u>Baseline:</u> No knowledge products disseminated by 2014.</p>	<p>5 knowledge products have been produced in the form of publications, content for training materials and knowledge sharing sessions.</p> <p>Urban Climate Change Resilience; A Synopsis, Enhancing Urban Climate</p>

Design Summary	Performance Targets and Indicators with Baselines	Data Sources/Reporting Mechanisms
		<p>Change Resilience: Seven Entry points for Action, Research Paper on Measuring Resilience, Module on Resilient Cities for the Asia Leadership Program on Sustainable Development and Climate Change Training (no UCCRTF finance; technical inputs only), CDIA Resilient Cities Training</p> <p>Two videos shall be produced within 2016</p>
	<p>15. At least 10 peer-to-peer learning or knowledge events completed by 2020.</p> <p><u>Baseline:</u> No peer-to-peer or knowledge events completed by 2014.</p>	<p>Horizontal learning visits supported during RUCCA/CRIUP in 7 cities in Bangladesh leading to a network of City professionals (Mayors and private sector groups). This network has expanded to 15 other cities where Master Plans are being supported.</p> <p>Peer to peer learning events were conducted in Sahiwal and Sialkot during RUA/ICDS which led to the govt. adopting this approach through the Punjab Urban Planning Strategy.</p> <p>On June 15 this year, UCCRTF organized a knowledge sharing session on its activities in Pakistan.</p>

55. The Secretariat is likewise using the Research Paper on Measuring Resilience and the Baseline Report for developing the M&E methodology. A draft Terms of reference has been prepared and the consultant is expected to be engaged within the third quarter of 2016.

56. **UCCRTF Activities through CDIA.** PFS for the expansion of the wastewater and drainage systems in Baguio City, Philippines was completed in April. On the basis of the PFS, the local government unit is applying for funding from the National Septage and Sewerage Management Program (NSSMP) which provides up to 40% funding for capital expenditures. In San Fernando, Philippines, the PFS for the expansion of the wastewater and drainage systems was also completed in April. The Metro San Fernando Water District is now taking the initial steps to prepare a loan to implement the sewerage components identified in the PFS. The City Government is using the document as a reference in updating their comprehensive land use plan.

57. The PFSs for Sahiwal and Sialkot in Pakistan were completed in May in which they have identified \$300M for investments in the short and medium term and about \$235M for long term investments. The identified projects are aligned with the objectives of the Punjab Intermediate Cities Improvement Investment Program (PICIIP).

58. The Palu Project in Indonesia was terminated at the Interim Report stage because the City and National Governments are already in the process of identifying projects that would have emerged from the PFS.

59. The Interim Report for the project in Mysore, India was submitted in May 2016. As of the preparation of this report, CDIA has decided to terminate the project at the Interim Report Stage due to the lack of climate change adaptation related projects and the low quality of consultant's outputs. The status of the activities is in Appendix 7.

#### **IV. URBAN FINANCING PARTNERSHIP FACILITY GUARANTEE FOR NON-SOVEREIGN LOANS**

##### **A. Overview and Purpose<sup>21</sup>**

60. The ADB and the Swedish International Development Agency (SIDA) approved in 2009 a pilot program for a \$73 million (SEK 500,000,000) Guarantee for long-term (non-sovereign/private sector) loans aimed at promoting investments in viable companies operating under challenging conditions and promoting economic growth in emerging markets. Within ADB, the Guarantee operated under the umbrella of the UFPF as one of its funding facilities - ADB is the primary guarantor and administrator with Sweden as guarantor or risk participant.

61. The purpose of the Guarantee is to promote financing of important environmental investments to public-private partnerships (PPPs), private companies, municipalities, and other public organizations operating under challenging conditions and to promote economic growth in emerging markets as agreed upon by ADB and Sweden.

##### **B. The Guarantee as a Facility under Urban Financing Partnership Facility**

62. The UFPF was designed as an umbrella operational arrangement for managing funds for co-financing from development partners to support the implementation of ADB's Strategy 2020 by providing grant funds for technical assistance and investments focused on providing pro-poor or environmental benefits. It was envisaged as a key mechanism for managing existing and new resources which include primarily the UEIF, other trust funds to be established (i.e. UCCRTF), and project specific-guarantees such as those to be funded by the Guarantee facility.<sup>22</sup> This provision of the UFPF Board Approval paper therefore establishes the UFPF Guarantee as a separate funding facility from the \$21 million UEIF grant funds.

##### **C. Duration of the UFPF Guarantee**

63. The Framework Guarantee Cooperation Agreement between ADB and Sweden was signed on 11 December 2009 and automatically terminated in 2012 as stated in the Guarantee Agreement.

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<sup>21</sup> Based on the Framework Guarantee Cooperation Agreement between the ADB and Sweden (2009).

<sup>22</sup> ADB. 2009. Urban Financing Partnership Facility: Establishment of the Urban Environmental Infrastructure Fund and Urban Trust Funds. Manila.

**Table 4.1: UFPF Status of Output-level Performance against DMF (Guarantees)**

Design Summary	Performance Targets/Indicators	Status / Achievements as of January 2015
<b>Output</b>		
<b>Component 3 Guarantees</b>	<p>At least \$150 million of guarantee resources allocated to this component</p> <p>Guarantees applied to at least 10 projects either standalone or in conjunction with UFPF grant, UFPF resources spent on project investment support for either goods, works or systems</p>	<p><u>\$34 million</u> (or 54% of UEIF guarantees pool) have been allocated to a wind farms project (PAK). The agreement was terminated in Dec 2012</p>

## V. PLANNED ACTIVITIES FROM 1 JULY TO 31 DECEMBER

### A. UEIF

Due to limited available resources, new project applications will not be expected as there's a mismatch between requirements from the operations departments on financing from UEIF funds available for project commitment. Activities for Q3 and Q4 will then be limited to: (i) accounting for the savings from closed direct charge and TA activities; and (ii) monitoring of project activities, particularly on the grants and TAs attached to on-going loan projects.

### B. UCCRTF

64. Planned activities during Q3 and Q4 are outlined in Table 5.1

**Table 5.1 Planned UCCRTF Activities during Q3 and Q4 2016**

Activity	Dates	Remarks
<b>Investments</b>	Q4	<ul style="list-style-type: none"> <li>• IND: Kolkata: Begin recruitment of firm for an early warning system</li> <li>• IND: Vishakhapatnam: Begin recruitment of firm for GIS and SCADA</li> <li>• MYA: Mandalay: Begin recruitment of firm for community based SWM</li> <li>• MYA: Mandalay: Begin recruitment of firm for capacity development for urban planning</li> <li>• VIE: Green Cities: Begin recruitment of firm for policy advisory for disaster risk finance – ToR and EoI</li> <li>• VIE: Green Cities: Begin recruitment of firm for Green City Financing Mechanism – ToR and EoI</li> <li>• VIE: Green Cities: Begin recruitment of NGO for Community based infrastructure – ToR and EoI</li> </ul>
<b>Knowledge</b>	Q3	<ul style="list-style-type: none"> <li>• Concept note on cluster TA for knowledge circulated (SP2) and TOR for Consultant</li> <li>• Develop a detailed knowledge strategy with schedules and deliverables</li> </ul>
	Q4	<ul style="list-style-type: none"> <li>• Hire firm for knowledge component under cluster TA</li> <li>• UCCRTF Publications : 7 Entry Points for Urban Climate Change Resilience (print)</li> <li>• Guidance note: Guidelines on urban resilience planning for Project Officers and Consultants</li> <li>• Video: 7 Entry Points for Urban Climate Change Resilience (video)</li> <li>• Video: Introduction to urban resilience (video)</li> <li>• Finalize Content for Resilience Academy with FR</li> </ul>
<b>M&amp;E Resilience Planning</b>	Q3	<ul style="list-style-type: none"> <li>• Share templates for sex-disaggregated stakeholder participation data (including poor and vulnerable groups) with POs</li> <li>• Identify opportunities for data collection as part of PPTA and PFS for UCCRTF M&amp;E</li> </ul>
	Q4	<ul style="list-style-type: none"> <li>• Hire firm for M&amp;E under cluster TA</li> <li>• Damage baselines for 17 cities with approved or expected IGs (Mandalay, Dong Hoi, Hoi An, Hue, Vihn Yen, Ha Giang, Calcutta, Vishakhapatnam, Abbottabad, Mardan, Peshawar, Sahiwal, Sialkot, Bagerhat, Gopalganj, Makassar)</li> <li>• Resilience baselines for 17 cities with approved or expected IGs</li> </ul>

### Appendix 1 Details of UEIF Supported Projects

Project Title / Country / Amount by Modality	Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
<b>Piloting Innovative Solid Waste Management (PHI)</b>		
<u>Capex</u>	2,000,000	TA – Completed Capex – Cancelled  - <i>PPTA completed.</i> - <i>Capex has been cancelled</i>  <i>Total disbursement (TA):</i> \$123,435.78
<u>TA</u>	200,000	
<u>Total</u>	<b>2,200,000</b>	
<u>Cities / Urban regions</u>	<i>TBD</i>	
<u>Target beneficiaries:</u>	<i>TBD</i>	
<i>Leveraged/ Catalyzed Ensuing Investments</i>		
<i>Investment grant</i>	<i>800,000</i>	
<i>Loan</i>	<i>70,000,000</i>	
<b>Karnataka Integrated and Sustainable Water Resource Management Investment Program (IND)</b>		
<u>TA</u>	300,000	TA – Completed  - <i>Total disbursement: \$300,000</i>
<u>Total</u>	<b>300,000</b>	
<u>Cities / Urban regions</u>	ULBs of Davangere, Harihar, Ranebennur and Byadagi	
<u>Target beneficiaries:</u>	765,000 people for enhanced access to drinking water and 400,000 people to improved sanitation	
<i>Leveraged/ Catalyzed Ensuing Investments</i>		
<i>Investment grant</i>	<i>1,200,000</i>	
<i>Loan</i>	<i>300,000,000</i>	
<b>Ulaanbaatar Water and Wastewater Operation Improvement (MON)</b>		
<u>Capex</u>	3,700,000	TA – Completed Capex – Under Implementation  - <i>Capex implementation is ongoing. Bidding advertised on 1 Apr 2016; bid opening on 16 Jun 2016; project management office to submit bid evaluation report in mid-Jul 2016.</i>  - <i>Projected disbursement by end of 2016: \$370,000</i>  - <i>TA is completed with total disbursement amounting to \$300,000</i>
<u>TA</u>	300,000	
<u>Total</u>	<b>3,900,000</b>	
<u>Cities / Urban regions</u>	Ulaanbaatar	
<u>Target beneficiaries:</u>	1.3 million people	
<i>Leveraged/ Catalyzed Ensuing Investments</i>		
<i>Loan</i>	<i>150,000,000</i>	

- **COMMITTED** – Approved at the Urban Committee level
- **UNDER IMPLEMENTATION** – Approved by the Bank where funds will start / have started disbursements
- **COMPLETED** – All funds have been disbursed/ utilized
- **FOR CANCELLATION** – Processing cancellation of approved fund since the project is not moving since approval date



Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015	
<b>(REG)</b>				
TA	300,000	<ul style="list-style-type: none"> <li>Reduced discharges of pollutants to the environment,</li> <li>Reduced discharges of GHG</li> <li>Improved public health and safety</li> <li>Improved quality of service delivery</li> <li>Improved cost recovery</li> </ul>	- Final MRF feasibility studies submitted	
Total	<b>300,000</b>		- Completed fund disbursement	
<u>Cities / Urban regions</u>	Battambang, Bavet and Poipet (CAM); Kaysone Phomvihane (LAO); Dong Ha and Moc Bai (VIE)		- Total disbursement (TA): \$299,615	
Target beneficiaries:	226,600			
<i>Leveraged/ Catalyzed Ensuing Investments</i>				
<i>Investment grant</i>	<i>3,500,000</i>			
<i>Loan</i>	<i>137,570,000</i>			
<b>GMS Corridor Towns: Managing Solid Waste-Mainstreaming the 3R Approach (CAM)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Capex – Under Implementation	
Capex	1,500,000	<ul style="list-style-type: none"> <li>Reduced discharges of pollutants to the environment,</li> <li>Reduced discharges of GHG</li> <li>Improved public health and safety</li> <li>Improved quality of service delivery</li> <li>Improved cost recovery</li> </ul>	- Preparation of detailed engineering designs on-going	
Total	<b>1,500,000</b>			
<u>Cities / Urban regions</u>	Battambang, Bavet and Poipet			
Target beneficiaries:	58,600			
<b>GMS Corridor Towns: Managing Solid Waste-Mainstreaming the 3R Approach (LAO)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Capex – Under Implementation	
Capex	638,000	<ul style="list-style-type: none"> <li>Reduced discharges of pollutants to the environment,</li> <li>Reduced discharges of GHG</li> <li>Improved public health and safety</li> <li>Improved quality of service delivery</li> <li>Improved cost recovery</li> </ul>	- Preparation of detailed engineering design is on-going	
Total	<b>638,000</b>		- Procurement of civil works will commence by Q4 2016	
<u>Cities / Urban regions</u>	Kaysone Phomvihane		- SWM equipment has been procured	
Target beneficiaries:	60,000			
<b>GMS Corridor Towns: Managing Solid Waste-Mainstreaming the 3R Approach (VIE)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Capex – Under Implementation	
Capex	1,000,000	<ul style="list-style-type: none"> <li>Reduced discharges of pollutants to the environment,</li> <li>Reduced discharges of GHG</li> <li>Improved public health and safety</li> <li>Improved quality of service delivery</li> <li>Improved cost recovery</li> </ul>	- Preparation of detailed engineering design done – to be appraised by Tay Ninh Provincial People's Committee	
Total	<b>1,000,000</b>		- Civil works contract expected to be awarded by Q4 2016	
<u>Cities / Urban regions</u>	Moc Bai			
Target beneficiaries:	108,000			
<b>Alternative Urban Infrastructure Financing Modalities (KAZ)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	TA – Under Implementation	
TA	1,000,000	<ul style="list-style-type: none"> <li>Improved quality of service delivery;</li> <li>Improved public health and safety;</li> <li>Improved cost recovery;</li> <li>Improved living conditions for the</li> </ul>	- Completed	
Total	<b>1,000,000</b>			
<u>Cities / Urban regions</u>	Karaganda and Taldykorgan			
Target beneficiaries:	1,807,894 (Karaganda Oblast)			

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
	459,778 (Almaty Oblast)	urban poor	
<i>Leveraged/ Catalyzed Ensuing Investments</i>			
<i>Investment grant</i>	<i>2-4 billion (investment pipeline)</i>		
<b>Sustainable Urban Development in Secondary Cities (ARM)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	TA – Under Implementation
TA	660,000	<ul style="list-style-type: none"> <li>Improved quality of service delivery;</li> <li>Improved public health and safety;</li> <li>Improved cost recovery;</li> <li>Improved living conditions for the urban poor</li> </ul>	- Completed
Total	<b>660,000</b>		- Total disbursements: \$533,910
<u>Cities / Urban regions</u>	Jermuk, Dilijan, Vanadzor and Gyumri		
<u>Target beneficiaries:</u>	TBD		
<b>Water District Development Sector Project (PHI)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	TA – Under Implementation Capex – Under Implementation
Capex	2,000,000	<ul style="list-style-type: none"> <li>Reduced consumption of resources for operation and investments in plant capacities;</li> <li>Increased cost recovery;</li> <li>Improved quality of service delivery</li> </ul>	- TA: Consultant recruitment underway. Contract signing expected in July 2016.
TA	500,000		- Capex: Guarantee Agreement signed on 19 May 2016
Total	<b>2,700,000</b>		
<u>Cities / Urban regions</u>	Koronadal, South Cotabato and other provincial cities (TBD)		
<u>Target beneficiaries:</u>	1.5 - 2 million people		
<b>Karnataka Integrated Urban Water Management Investment Program and Bangalore City Cluster Development Project (IND)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	TA – Under Implementation Capex – Committed
Capex	1,800,000	<ul style="list-style-type: none"> <li>Reduced consumption of resources for operation and investments in plant capacities;</li> <li>Increased cost recovery;</li> <li>Improved quality of service delivery</li> <li>Improved quality of service delivery</li> <li>Improved living conditions for the urban poor</li> </ul>	- Ongoing recruitment of NGO to implement the RBL toilet program. NGO expected to be mobilized by September 2016, and validation of beneficiaries by October 2016. Start of construction of toilets expected by December 2016.
TA	400,000		- Total Disbursement (TA): \$289,449
Total	<b>2,200,200</b>		
<u>Cities / Urban regions</u>	Davangere, Harihar, Ranebennur and Byadagi		
<u>Target beneficiaries:</u>	BMR Area (1 million)		
<b>Mainstreaming Integrated Solid Waste Management in Asia (REG)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	TA – Under Implementation
TA	600,000	<ul style="list-style-type: none"> <li>Reduced discharges of pollutants to the environment, e.g. ground water, soil and air</li> <li>Reduced discharges of GHG,</li> <li>Improved public health and safety</li> <li>Improved quality of service delivery</li> <li>Improved cost recovery</li> </ul>	- Inception phase completed
Total	<b>600,000</b>		- Total Disbursement: \$267,000
<u>Cities / Urban regions</u>	TBD		
<u>Target beneficiaries:</u>	Beneficiary cities together are expected to have above 1 million		

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
<b>Integrated Solid Waste Management Investment Program for Intermediary Cities (AZE)</b>		<p>The UEIF funds will be used to complement the original scope for the PPTA, but with focus on the additional region that has been designated to ADB. More specifically, the funds will be used to: (i) assess collection systems, transportation modalities for the proposed regions; (ii) collect data on potential disposal sites (landfills and transfer stations), composting, materials recovery, and transfer; (iii) conduct waste characterization to better determine the mode of disposal, treatment, and/or recycling; (iv) prepare relevant environmental, land acquisition, and other safeguard studies as needed upon the finalization of site location; (v) prepare financial and economic analysis to better understand the viability of the project; and (vi) complete preliminary configuration and design of selected landfill and transfer stations.</p>	<p>TA – Under Implementation</p> <ul style="list-style-type: none"> <li>- TA was approved on 26 June 2014 and became effective on 8 August 2014.</li> <li>- Consulting firm selected.</li> <li>- Total Disbursement: \$207,000</li> </ul>
TA	225,000		
<b>Total</b>	<b>225,000</b>		
<u>Cities / Urban regions</u>	<i>Nakhchivan, Lower Caucasus Economic Zone</i>		
<u>Target beneficiaries:</u>	The proposed project will provide SWM solutions to more than 1 million people		
<b>Solid Waste Management Improvement Investment Program (ARM)</b>		<p>The UEIF funding will support shortfall in funds required to complete the balance activities of the PPTA. Additional funds are required to complete the remaining consulting work under Phase II, which is the feasibility study of Gyumri SWM, preparation of the project for potential ADB financing and bringing out a publication on the SWM Strategy of Armenia. The PPTA and resulting investment project(s) will improve health, hygiene and sanitation standards of residents in the regional/urban centers. The outcome is efficient and well established modern SWM systems, operating on best international standards and practices.</p>	<p>TA – Under Implementation</p> <ul style="list-style-type: none"> <li>- Total disbursement: \$50,000</li> <li>- Extension of TA completion to 31 December 2016 is being requested.</li> <li>- The PPTA expired on 30 June 2016 and the consultant's contract expired on 15 June 2016. However, the consultant team has not been able to complete the updates for feasibility study and due diligence documents. The consultants are also needed for an additional period to prepare and finalize the RRP and its attachments. A fact-finding mission will still be conducted between July and August 2016.</li> </ul>
TA	50,000		
<b>Total</b>	<b>50,000</b>		
<u>Cities / Urban regions</u>	<i>Gyumri</i>		
<u>Target beneficiaries:</u>	TBD		
<b>Incentives for Strengthening Disaster Resilience in Urban Areas (REG)</b>		<p>The UEIF funding will support the following additional activities (i) In-depth review of existing incentives for urban</p>	<p>TA – Completed</p> <ul style="list-style-type: none"> <li>- All TA activities have been completed last 30 November</li> </ul>
<u>TA</u>	100,000		
<b>Total</b>	<b>100,000</b>		

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
<u>Cities/Urban regions</u>	Kathmandu, Naga, Danang	development; (ii) consultation with a wide range of stakeholders to discuss possible incentives that could be developed for promoting resilient urban development; (iii) holding a regional workshop at the end of the TA.	2015 and the TA was financially closed on 29 December 2015.  - Total disbursement: \$93,000
<u>Target beneficiaries</u>	TBD		
<b>Darkhan Urban Utility Institutional Development Action Plan (MON)</b>		The project proposes to build capacity of urban utility operators supporting water and wastewater management operations systems in the context of implementing modern central wastewater treatment plant in Darkhan. The TA will improve urban livability through supporting the sustainability of urban environmental infrastructure and services and through the support of infrastructure planning integrated with urban master planning contributing to making Darkhan a “smart and green city” by 2028.	TA – Under Implementation  - Inception phase completed.  - Total disbursement: \$32,753
<u>TA</u>	400,000		
<u>Total</u>	400,000		
<u>Target beneficiaries</u>			
<b>Establishment of Baku Bus Company and Bus Network Optimization under PPTA 8152-AZE: Baku Sustainable Urban Transport Investment Program (AZE)</b>		The Government of Azerbaijan requested additional support to top up PPTA 8152 and conduct complementary activities that will help promote public transport and modal shift from private cars to more sustainable modes of transportation. The activities that will be conducted through a participatory approach are innovative in nature since they will introduce modern, efficient and customer-oriented bus services in Baku.	TA – Completed  - Completed fund disbursement
<u>TA</u>	120,000		
<u>Total</u>	120,000		
<u>Target beneficiaries</u>			
<b>Hunan Xiangjiang River Watershed Existing Solid Waste Comprehensive Treatment Project (PRC)</b>		The project will assist the Hunan provincial government in: (i) uncontrolled stock landfills cleanup through landfill mining and leachate treatment, (ii) municipal solid waste management facilities including sorting and recycling facilities and waste-to-energy plants in selected cities, (iii) contaminated land treatment for redevelopment, and (iv) project management and institutional capacity building for relevant agencies.	TA – Under Implementation  - PPTA is on-going  - The PPTA completion has been extended to April 2017 due to the technical complexity of the proposed projects.
<u>TA</u>	225,000		
<u>Total</u>	<b>225,000</b>		
<u>Cities/Urban regions</u>	TBD		
<u>Target beneficiaries</u>	TBD		
<b>Xinjiang Changji Urban-Rural Infrastructure Demonstration Project (PRC)</b>		The funding will support the enhancement of project preparation activities for the municipal solid waste management and public utility services components. In terms of technical	TA – Under Implementation  - PPTA inception mission conducted in April 2016, review mission conducted from 22 June -
<u>TA</u>	200,000		
<u>Total</u>	<b>200,000</b>		

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
Cities/Urban regions	Fukang City, Hutubi, and Qitai	aspects, the project preparatory technical assistance (PPTA) consultants will examine population projections and urban development plans for the project areas, existing services, availability of water resources, detailed demand projections for waste management facilities and other utilities including district heating, and local capacity for operations and maintenance.	9 July 2016.  - Total disbursement: \$27,779
Target beneficiaries	TBD		
<b>Support for Solid Waste Management in Azerbaijan (AZE)</b>		The project aims to improve the urban environment and quality of life of residents of the Lower Caucasus Economic Zone and Nakhchivan Autonomous Republic. The UFPF funding would be highly complementary to the on-going works being conducted under the PPTA and will provide essential inputs into the regional SWM strategy formulation. The importance of developing a sensible SWM strategy is directly attributable to the development of livable and sustainable cities in Azerbaijan through proper management of waste and focus on recycling and reuse.	TA – Under Implementation  - PPTA on-going  - Total disbursement: \$120,773
TA	225,000		
<b>Total</b>	<b>225,000</b>		
Cities/Urban regions	TBD		
Target beneficiaries	Residents of the (i) Lower Caucasus Economic Zone including Qazakh, Aghstafa, Dashkasan, Gadabay, Goranboy, Samukh, Goygol, Tovuz, Shamkir, Aghdam, Terter and Fuzili rayons and (ii) Nakhchivan (NAR)		
<b>Heilongjiang Coal-Rich Cities Redevelopment Project (PRC)</b>		The proposed project and the UFPF funded activities are aligned with the objectives of ADB's Midterm Review of Strategy 2020 and with ADB's urban operational plan of developing livable, competitive, green and inclusive cities. The funds from the UFPF will be used for PPTA activities and strategically applied to support key infrastructures that will contribute to enabling the much needed non-coal economic revitalization and environmental cleanup.	TA – Under Implementation  - PPTA consultants engaged on May 2016.  - PPTA on-going  - Total disbursement: \$99,205
TA	300,000		
<b>Total</b>	<b>300,000</b>		
Cities/Urban regions	Hegang, Jixi, Qitaihe, Shuangyashan		
Target beneficiaries	5.4 million residents of Hegang, Jixi, Qitaihe, Shuangyashan		
<b>Solid Waste Management Strategy and Urban Investment Plan (TIM)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Direct Charges – Completed  - Total disbursement: \$59,587.87
Direct Charges	75,000	<ul style="list-style-type: none"> <li>• Reduced discharges of pollutants to the environment, e.g. ground water, soil and air</li> <li>• Reduced discharges of GHG,</li> </ul>	
<b>Total</b>	<b>75,000</b>		
<u>Cities / Urban regions</u>	13 District Towns (including capital city of Dili)		

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
<u>Target beneficiaries:</u>	361,577 people	<ul style="list-style-type: none"> <li>Improved public health and safety</li> <li>Improved quality of service delivery</li> <li>Improved cost recovery</li> </ul>	
<b>Ulaanbaatar Urban Services and Ger Areas Development Investment Program (MON)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Direct Charges – Completed for both
Direct Charges	70,000	<ul style="list-style-type: none"> <li>Improved quality of service delivery</li> <li>Improved living conditions for the urban poor</li> </ul>	- With the approval of the UFPF manager, savings from these direct charge activities were merged 2 to fund additional activities related to community engagement and for KP production.
<b>Total</b>	<b>70,000</b>		
<u>Cities / Urban regions</u>	Ulaanbaatar		
<u>Target beneficiaries:</u>	16,000 people		
<b>Ulaanbaatar Urban Renewal Community Participation - Phase 2 (MON)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	
Direct Charges	100,000	<ul style="list-style-type: none"> <li>Improved quality of service delivery</li> <li>Improved living conditions for the urban poor</li> </ul>	
<b>Total</b>	<b>100,000</b>		
<u>Cities / Urban regions</u>	Ulaanbaatar		
<u>Target beneficiaries:</u>	16,000 people		
<b>Urban Environmental Improvement and Climate Change Adaptation Project (VIE)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Direct Charges – Completed
Direct Charges	75,000	<ul style="list-style-type: none"> <li>Reduced discharges of pollutants to the environment,</li> <li>Reduced consumption of resources for operation and investments</li> <li>Improved public health and safety</li> </ul>	- Total disbursement: \$71,349.65
<b>Total</b>	<b>75,000</b>		
<u>Cities / Urban regions</u>	Dong Hoi and Hoi An		
<u>Target beneficiaries:</u>	10,000 people		
<b>Urban Sector Development Indicators – Measuring Green and Inclusive Growth and Competitiveness of Cities in Asia and the Pacific (REG)</b>		This stand-alone activity supports ADB's 3E Agenda by developing a set of geographically cross-cutting urban sector development indicators for designing and measuring the impacts of TA and loan projects to achieve development of Asia's cities and other urban areas that is socially inclusive, environmentally sustainable, and economically competitive. Indicators will be a reference for planning and preparation of ADB's urban sector projects	Direct Charges – Completed
Direct Charges	100,000		- Completed fund disbursement
<b>Total</b>	<b>100,000</b>		
Direct Charges	100,000		
<b>Total</b>	<b>100,000</b>		
<u>Cities / Urban regions</u>	Ulaanbaatar		
<u>Target beneficiaries:</u>	16,000 people		
<b>Trincomalee Integrated Urban Development Project (SRI)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Direct Charges – Completed
Direct Charges	100,000		- Total disbursement: \$156,592

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
<b>Total</b>	<b>100,000</b>	<ul style="list-style-type: none"> <li>Improved quality of service delivery</li> <li>Improved living conditions for the urban poor</li> </ul>	
<u>Cities / Urban regions</u>	Trincomalee, Gomarankadawala, Morawewa, Padavi Sripura, Kantale, Seruwila		
<u>Target beneficiaries:</u>	200,000		
<b>Seismic Risk Mitigation Study (ARM)</b>		<u>Indicative Contribution to UEIF Results Framework</u>	Direct Charges – Completed
Direct Charges	85,300	<ul style="list-style-type: none"> <li>Improved quality of service delivery</li> <li>Improved living conditions for the urban poor</li> </ul>	- Total disbursement : \$83,078.58
<b>Total</b>	<b>85,300</b>		
<u>Cities / Urban regions</u>	Jermuk, Dilijan, Vanadzor and Gyumri		
<u>Target beneficiaries:</u>	230,300		
<b>Preparation of International Best Practices Case Studies, with Technical Summary Guide and Key Policy Recommendations to Support the Institutionalization of Urban-Rural Environmental Master Planning (PRC)</b>		This activity will support the small-scale policy and advisory technical assistance for Institutionalization of Urban-Rural Environmental Master Planning (UREMP) to Guide Environmentally Sustainable Urbanization in the PRC. This activity will contribute to the development of UREMP in the PRC with international best practices in UREMP, environmental planning, and urban development control through environmental zoning and growth boundaries. The expected outputs will be international best practices cases of UREMP including technical guidance summaries and recommendations for key components for a regulatory framework adapted to the PRC from international lessons. The international knowledge will also be disseminated during a training and knowledge sharing workshop	Direct Charges – Under Implementation  - On-going implementation and expected to be completed by the end of 2016  - Total disbursement: \$65,988.37
Direct Charges	100,000		
<b>Total</b>	<b>100,000</b>		
<u>Cities / Urban regions</u>	TBD		
<u>Target beneficiaries:</u>	TBD		
<b>Design of solid waste components for proposed Dili urban sector investment project (TIM)</b>		The UEIF funds will support the preparation of the solid waste management components of the proposed project. Activities will build on the work financed through the UEIF by carrying out detailed investigations needed to prioritize and design specific	Direct Charges – Completed  - Total disbursement: \$180,000
TA	180,000		
<b>Total</b>	<b>180,000</b>		
<u>Cities / Urban regions</u>	Dili		

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
Target beneficiaries:	Dili residents including low income households (exact target groups will be confirmed during PPTA implementation)	investments in Dili to support the development of a well-functioning integrated solid waste management system	
<b>Technical Support to Implement Solid Waste Management Component of Swachh Bharat (Clean India) National Program in Urban Areas (IND)</b>		This is a stand-alone activity which will serve as entry point for (i) developing a pipeline of state-level investments in solid waste management to be supported by ADB, and (ii) supporting the scale up of innovative approaches (i.e., waste-to-energy, regional landfilling, integrated processing facilities, etc.) in a critically weak area of sanitation in India. While small in size, the outputs will be instrumental in helping MOUD in rolling out and scaling up implementation of their flagship national sanitation program. The activities will address the capacity needs of MOUD, states, and ULBs and contribute to improving livability of Indian cities.	Direct Charges – Under Implementation  - <i>On-going implementation</i>  - <i>Total disbursement: \$157,500</i>
Direct Charges	225,000		
<b>Total</b>	<b>225,000</b>		
Cities / Urban regions	TBD		
Target beneficiaries:	TBD		
<b>Workshop in Goris for Smart City (ARM)</b>		The proposed Urban Environmental Infrastructure Fund (UEIF) support initiative would help the city realize the importance of sustainable urban development through initiatives for effective land use, disaster risk reduction, sustainable housing, energy efficiency, and climate change adaption. The workshop will be built on the on-going cooperation between the Armenian Government and the United Nations Economic Commission for Europe to implement a capacity building program for urban planning and sustainable housing in Armenia.	Direct Charges – Completed  - <i>Total disbursement: AMD3,928,940 or \$8,212 (Central Bank of Armenia exchange rate as of 16 July 2015; \$1=AMD478.41)</i>
Direct Charges	9,683		
<b>Total</b>	<b>9,683</b>		
Cities / Urban regions	Goris		
Target beneficiaries:	40 participants (Urban Development Specialists from local and central governments, local and international NGOs, bilateral and multilateral organizations, local stakeholders etc.)		
<b>Mongolia National Urban Assessment (MON)</b>		The proposed activity will formulate the Mongolia NUA with the objectives of (i) deepening the comprehensive understanding of the urban sector in Mongolia, (ii) improving the Mongolian Government and ADB's analytical tools	Direct Charges – Under Implementation  - <i>Implementation on-going, all five consultants mobilized</i>
Direct Charges	225,000		
<b>Total</b>	<b>225,000</b>		
Cities / Urban regions	Ulaanbaatar		



Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
Target beneficiaries:	TBD	and programming capacity in the urban sector, and (iii) formulating a priority project pipeline in the urban sector. It will be jointly carried out by ADB and Cities Development Initiative for Asia (CDIA), who will finance consulting services for the strategic infrastructure investment plan component.	- Total disbursement: \$172,607
<b>Capacity Building of State Entities and Selected Cities in state of West Bengal to Develop and Implement India's National Flagship Urban Programs (IND)</b>		The project aims to improve the urban services and environment in selected cities in West Bengal. The funding will mainly support development of city-wide water and sanitation infrastructure which is known to contribute directly towards improved public health, and hence ADB's Strategy 2020's vision for sustainable urban growth and livable cities in Asia.	Direct Charges – Under Implementation
Direct Charges	225,000		- One out of the five consultants have been mobilized. All four remaining consultants' recruitment underway, and are expected to be mobilized by 15 August 2016. Submission of proposals from government of West Bengal to government of India has been delayed for more than 6 months due to the elections in West Bengal, and is only expected now in September 2016. Staff requests extension of the Direct Charge until 30 December 2017 in order to complete the intended outcomes and outputs.
<b>Total</b>	<b>225,000</b>		- Total disbursement: \$9,000
Cities / Urban regions	TBD		
Target beneficiaries:	TBD		
<b>Capacity Building of State Entities and Selected Cities in state of Maharashtra to Develop and Implement India's National Flagship Urban Programs (IND)</b>		The project aims to improve the urban services and environment in selected cities in Maharashtra. The funding will mainly support development of city-wide water and sanitation infrastructure which is known to contribute directly towards improved public health, and hence ADB's Strategy 2020's vision for sustainable urban growth and livable cities in Asia.	Direct Charges – Under Implementation
Direct Charges	225,000		- Total disbursement: \$6,462
<b>Total</b>	<b>225,000</b>		
Cities / Urban regions	TBD		
Target beneficiaries:	TBD		
<b>Capacity Building of State Entities and Selected Cities in state of Tamil Nadu to Develop and Implement India's National Flagship Urban Programs (IND)</b>		The project aims to improve the urban services and environment in selected cities in Tamil Nadu. The funding will mainly support development of city-wide water and sanitation infrastructure which is known to contribute directly towards improved public health, and hence ADB's Strategy 2020's vision for sustainable urban growth and livable cities in Asia.	Direct Charges – Under Implementation
Direct Charges	225,000		- Waiting for PPR to be approved by DEA. Recruitment of consultants ongoing
<b>Total</b>	<b>225,000</b>		- Projected disbursement by end of 2016: \$112,500
Cities / Urban regions	Chennai, Cuddalore, Nagapattinam,		

Project Title / Country / Amount by Modality		Project Description / Indicative Contribution to Results Framework	Processing / Implementation Status as of December 2015
	Velankanni, Thoothukkudi		
Target beneficiaries:	TBD		
<b>Resilient Cities Asia-Pacific (MAL)</b>		UEIF supported the participation of government officials from the cities of Batan and Medan (Indonesia), and Hat Yie and Singkla (Thailand) to the Resilient Cities Asia-Pacific Conference in Melaka, Malaysia - a conference which promoted city-to-city sharing of experiences in preparing and implementing Green City Action Plans to promote green growth in cities in Southeast Asia.	Direct Charges – Completed  - <i>Total disbursement: TBC</i>
Direct Charges	10,000		
<b>Total</b>	<b>10,000</b>		
Cities / Urban regions	TBD		
Target beneficiaries:	TBD		



## Appendix 2 UEIF Supported Project Categories

Project Title / Country	UEIF Project Category						
	Climate Change Mitigation & Adaptation	Urban Transportation	Urban Water and Wastewater	Solid Waste Management	District Heating and Cooling	Urban Renewal	Pro-poor approach
Piloting Innovative Solid Waste Management (PHI)							
Karnataka Integrated and Sustainable Water Resource Management Investment Program (IND)							
Ulaanbaatar Water and Wastewater Operation Improvement (MON)							
GMS Corridor Towns: Managing Solid Waste- Mainstreaming the 3R Approach (REG)							
GMS Corridor Towns: Managing Solid Waste- Mainstreaming the 3R Approach (CAM)							
GMS Corridor Towns: Managing Solid Waste- Mainstreaming the 3R Approach (LAO)							
GMS Corridor Towns: Managing Solid Waste- Mainstreaming the 3R Approach (VIE)							
Technical Assistance and Advisory Support for Urban Infrastructure Development (KAZ)							
Sustainable Urban Development in Secondary Cities (ARM)							
Water District Development Sector Project (PHI)							
Karnataka Integrated Urban Water Management Investment Program and Bangalore City Cluster Development Project (IND)							
Mainstreaming Integrated Solid Waste Management in Asia (REG)							
Integrated Solid Waste Management Investment Program for Intermediary Cities (AZE)							
Solid Waste Management Improvement Investment Program (ARM)							

Project Title / Country	UEIF Project Category							
	Climate Change Mitigation & Adaptation	Urban Transportation	Urban Water and Wastewater	Solid Waste Management	District Heating and Cooling	Urban Renewal	Pro-poor approach	
Incentives for Strengthening Disaster Resilience in Urban Areas (REG)								
Darkhan Urban Utility Institutional Development Action Plan (MON)								
Establishment of Baku Bus Company and Bus Network Optimization under PPTA 8152-AZE: Baku Sustainable Urban Transport Investment Program (AZE)								
Solid Waste Management Strategy and Urban Investment Plan (TIM)								
Ulaanbaatar Urban Services and Ger Areas Development Investment Program (MON)								
Urban Environmental Improvement and Climate Change Adaptation Project (VIE)								
Urban Sector Development Indicators – Measuring Green and Inclusive Growth and Competitiveness of Cities in Asia and the Pacific (REG)								
Ulaanbaatar Urban Renewal Community Participation – Phase 2 (MON)								
Trincomalee Integrated Urban Development Project (SRI)								
Seismic Risk Mitigation Study (ARM)								
Preparation of International Best Practices Case Studies, with Technical Summary Guide and Key Policy Recommendations to Support the Institutionalization of Urban-Rural Environmental Master Planning (PRC)								
Design of solid waste components for proposed Dili urban sector investment project (TIM)								
Technical Support to Implement Solid Waste Management Component of Swaach Bharat (Clean India) National Program in Urban Areas (IND)								
Workshop in Goris for Smart City (ARM)								
Mongolia National Urban Assessment (MON)								

Project Title / Country	UEIF Project Category						
	Climate Change Mitigation & Adaptation	Urban Transportation	Urban Water and Wastewater	Solid Waste Management	District Heating and Cooling	Urban Renewal	Pro-poor approach
Hunan Xiangjiang River Watershed Existing Solid Waste Comprehensive Treatment Project (PRC)							
Xinjiang Changji Urban-Rural Infrastructure Demonstration Project (PRC)							
Resilient Cities Asia-Pacific (MAL)							
	8	2	13	16	0	12	31

### Appendix 3 List of UCCRTF Supported Projects

Overview			Breakdown of UCCRTF Modality (\$ million)				\$ Allocation by Component		Total Project Value		
Type	Project	Country/ City	TA	Investment Grant	Direct Charges	Total	CDIA Tracking	SP1 Tracking	Loan Value	Cofinance	Total Project Cost
DC	<b>UCCRDC001</b> KM, Networking & Monitoring in Support of TA Promoting UCCR in Selected Asian Cities	REG			0.225	0.225					0.225
DC	<b>UCCRDC002</b> External Evaluation of UFPF	REG			0.025	0.025					0.025
DC	<b>UCCRDC003</b> Designing PDAs in support of TA Promoting UCCR in Selected Asian Cities	REG			0.225	0.225					0.225
DC	<b>UCCRDC004</b> Punjab Immediate Cities Investment Program	PAK - Sialkot Sahiwal			0.225	0.225			114.300		114.525
DC	<b>UCCRDC005</b> Promoting Low-Carbon Transport Solutions in Ha Noi	VIE/ Ha Noi			0.225	0.225					

Overview			Breakdown of UCCR TF Modality (\$ million)				\$ Allocation by Component		Total Project Value		
Type	Project	Country/ City	TA	Investment Grant	Direct Charges	Total	CDIA Tracking	SP1 Tracking	Loan Value	Cofinance	Total Project Cost
DC	<b>UCCRDC006</b> Development of Integrated Climate Resilient Responses for Urban Health	BAN/			0.150	0.150					0.150
DC	<b>UCCRDC007</b> Climate Change Resilience for City Development Plans: Abbottabad, Mardan, Peshawar	PAK			0.150	0.150					0.150
TA	<b>UCCR TA001</b> Supporting the Cities Development Initiative for Asia (RETA 8556: CDIA)	REG	5.000			5.000			0		5.000
PFS	<i>Water supply/SWM and flood protection, Sialkot</i>	<i>PAK - Sialkot</i>				0	0.340		0		0
PFS	<i>Water harvesting, water supply and Drainage, Sahiwal</i>	<i>PAK - Sahiwal</i>				0	0.340		0		0



Overview			Breakdown of UCCRTF Modality (\$ million)				\$ Allocation by Component		Total Project Value		
Type	Project	Country/ City	TA	Investment Grant	Direct Charges	Total	CDIA Tracking	SP1 Tracking	Loan Value	Cofinance	Total Project Cost
<b>PFS</b>	<i>Waste water, Urban Drainage, and Flood Mitigation, Baguio</i>	<i>PHI - Baguio</i>				0	0.229		0		0
<b>PFS</b>	<i>Climate resilient sanitation with drainage component, San Fernando</i>	<i>PHI - San Fernando</i>				0	0.229		0		0
<b>PFS</b>	<i>Climate resilient bay area rehabilitation, Palu</i>	<i>INO - Palu</i>				0	0.180		0		0
<b>PFS</b>	<i>Climate Resilient Drainage Infrastructure</i>	<i>IND - Mysore</i>					0.250				
<b>TA ; IG</b>	<b>UCCRTA002</b> Secondary Cities Development Project II (Green Cities)	VIE - Ha Giang; Hue; Vinh Yen	1.0	6.0		7.0			170.0		177.0
<b>TA</b>	<b>UCCRTA003</b> Promoting UCCR in Selected Asian Cities	REG	15.0			15.0					15.0

Overview			Breakdown of UCCRTF Modality (\$ million)				\$ Allocation by Component		Total Project Value		
Type	Project	Country/ City	TA	Investment Grant	Direct Charges	Total	CDIA Tracking	SP1 Tracking	Loan Value	Cofinance	Total Project Cost
	<i>Climate Resilient Integrated Urban Planning and Project Preparation in Bangladesh</i>	<i>BAN - TBC</i>				0		1.6			0
<b>TA</b>	<b>UCCRTA004</b> Strengthening Climate Change Resilience in Urban India	IND/ Tamil Nadu	7.0			7.0					7.0
<b>IG</b>	<b>UCCRGC002</b> Flood Management and Coastal Protection in support to Urban Environmental and Climate Change Adaptation Project	VIE - Dong Hoi; Hoi An		4.0		4.0			100.0		104.0
<b>IG</b>	<b>UCCRGC003</b> Climate Change Resilient Urban Planning and Community-based Solid Waste Management: Support to Mandalay Urban Services Improvement Project	MYA Mandalay		4.0		4.0			60.0	52.8	116.8

Overview			Breakdown of UCRTF Modality (\$ million)				\$ Allocation by Component		Total Project Value		
Type	Project	Country/ City	TA	Investment Grant	Direct Charges	Total	CDIA Tracking	SP1 Tracking	Loan Value	Cofinance	Total Project Cost
IG	UCCRGC004 Visakhapatnam- Chennai Industrial Corridor Development Program	IND/ Vishakhap atnam		5.0		5.0			625.0		630.0
IG	UCCRGC005 Kolkata Environmental Improvement Investment Program P2	IND/ Kolkata		1.000		1.000			200.0		201.0
			\$28.0	\$ 20.0	\$ 1.225	\$ 49.225	\$ 1.568	\$ 1.600	\$1,155.0	\$ 52.8	\$1,256.1

DC=Direct Charge; TA = Technical Assistance; IG = Investment Grant





Project Title/ Country	UCCRTF Project Category										
	UCCR Planning, Institutions, Community Capacity Building	Building Climate Resilient Health Systems & Services Projects	Urban Ecosystems Strengthening and Ecosystems Services Projects	Urban Solid Waste Management, Drainage and Flood Management Projects	Strengthening and Diversifying Climate Vulnerable Urban Livelihood Projects	Urban Climate Resilience Education, Awareness Building and Citizen Monitoring Projects	Improved Urban Emergency Management Projects	Knowledge Generation, Dissemination and Use	Climate-resilient Urban Water Management Projects	Urban Climate Change Resilient Housing and Transportation System Projects	Low Carbon and Climate Resilient Development Projects
<b>UCCRGC002/VIE</b> Flood Management and Coastal Protection in support to Urban Environmental and Climate Change Adaptation Project											
<b>UCCRGC003/MYA</b> Climate Change Resilient Urban Planning and Community-based Solid Waste Management: Support to Mandalay Urban Services Improvement Project											
<b>UCCRGC004/IND</b> Vishakhapatnam-Chennai Industrial Corridor Development Program											
<b>UCCRGC005/IND</b> Kolkata Environmental Improvement Investment Program (P2)											
<b>Total</b>	<b>6</b>	<b>1</b>	<b>3</b>	<b>4</b>	<b>3</b>	<b>4</b>	<b>2</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>2</b>

### Appendix 5 Profiles of Selected UCCRTF Projects

#### BAN: Urban Climate Change Resilient Planning in Bangladesh

UCCRTF Project	UCCRTA0003REG: Urban Climate Change Resilient Planning in Bangladesh
Location	Bagerhat, Cox's Bazar, Faridpur, Gopalganj, Kushtia, Mymensingh and Patuakhali in Bangladesh
Climate Risks	Pluvial, Coastal and Fluvial Flooding, Salinity, Coastal Erosion, Sea-Level Rise, Typhoons, Storm Surges, Tidal Surges, Increased Precipitation, Landslides, Droughts, Extreme Heat Waves
Grant Volume	TA \$ 15 million
ADB Loan Value	\$125 million from ADB - Ordinary Capital Resources (OCR): Multi-Tranche Financing Facility (MFF)
UCCRTF Support	<p>Bangladesh is extremely vulnerable to the impacts of climate change. Every year the country is struck by several climatic disasters such as floods, cyclones, droughts, salinity intrusion, heavy and erratic rainfall, storm surges, riverbank erosion and much more. A 1.5°C increase in temperature and 4% increase in precipitation are projected in Bangladesh, together with the sea-level rise in the Bay of Bengal by 27 cm or more by 2050. The poor and women are disproportionately affected and have the lowest capacity to cope with losses. There is a high demand for climate-resilient infrastructure and disaster preparedness to improve the wellbeing of residents and reduce migration to larger cities.</p> <p>UCCRTF supports two ADB projects, the Coastal Towns Environmental Infrastructure Project (CTEIP) and Third Urban Governance and Infrastructure Improvement (Sector) Project (UGIIP-III) in climate-resilient integrated urban planning and capacity building of relevant institutions for climate-resilient integrated urban planning and implementation. The <b>Rapid Urban and Climate Change Assessments (RUCCAs)</b> and the <b>Climate Resilient Integrated Urban Plan (CRIUPs)</b>, including actionable priorities for implementation in 5 years through the <b>Pre-Feasibility Studies (PFSs)</b> are developed for 7 cities: Bagerhat, Cox's Bazar, Faridpur, Gopalganj, Kushtia, Mymensingh and Patuakhali. A dissemination workshop including various stakeholders will be held in July 2016.</p>
ADB Loan	Investments in the subprojects prepared under the TA, both infrastructural and other interventions, are envisaged to be financed by additional financing of CTEIP and UGIIP-III loans to be processed in 2016 and 2017 respectively.
Status	The UCCRTF supported activities, the RUCCAs, CRIUPs and PFSs, have been completed. The outcomes will be incorporated in the <b>Project Preparation Technical Assistance (PPTA)</b> work, which is currently ongoing.

**IND: Strengthening Urban Climate Change Resilience in India**

UCCRTF Project	UCCRTA0004: IND: Strengthening Urban Climate Change Resilience in India
Location	Tamil Nadu and West Bengal in India
Climate Risks	Pluvial, Coastal and Fluvial Flooding, Salinity, Coastal Erosion, Sea-Level Rise, Typhoons, Storm Surges, Tidal Surges, Increased Precipitation, Landslides, Droughts, Extreme Heat Waves
Grant Volume	TA \$7 million
ADB Loan Value	Stand-alone TA supporting various states and cities with project preparation and capacity development and several ADB loans
UCCRTF Support	<p>The projected temperature changes in India which are projected range from 0.6-2.4°C in 2030 to 1.9-6.2°C in 2080, resulting in increased precipitation of more than 20%, sea level rise and more extreme weather events. Cities located in coastal areas and along the rivers are especially vulnerable to climate-related hazards resulting in significant losses and damages, predicted in 1.8% loss of India's annual GDP by 2050, according to the study by ADB, "Assessing the costs of Climate Change and Adaptation in South Asia" in 2014.</p> <p>Cities in India are not prepared to cope with the impacts and stresses of climate change. Large infrastructure deficits exist in drainage, flood control, water supply, solid waste management. High urbanization has created additional pressures on existing infrastructure mostly designed for smaller populations, forcing people to settle in marginal areas which are increasingly vulnerable.</p> <p>UCCRTF will support the government, the Ministry of Urban Development (MOUD) as national level executing agency, in <b>developing well-planned cities</b> which reduces greenhouse gas emissions and are resilient to climate change risks. This specific support aims to improve institutional capacities of central, state, and local governments to identify, plan, and invest in green, resilient, smart cities. The key objectives are to (i) <b>mainstream urban climate change resilience in policies, strategies, and plans</b>; (ii) strengthen structural and nonstructural investments in selected cities; and (iii) build strong urban institutions.</p> <p>The 4 components are:</p> <ul style="list-style-type: none"> <li>• Strengthening smart water management and urban climate change resilience in Tamil Nadu: \$1.5 million.</li> <li>• Supporting climate and disaster resilient smart urban infrastructure in West Bengal: \$1 million.</li> <li>• Supporting PPPs for Climate Friendly Smart City Projects and other support for building urban resilience in the national flagship programs: \$2.5 million.</li> <li>• Addressing climate change through urban transport development: \$2 million.</li> </ul>
ADB Loan	Stand-alone TA supporting various states and cities with project preparation and capacity development and several ADB loans
Status	The preparations in recruiting consultants to start the technical assistance are ongoing.



**IND: Vishakhapatnam-Chennai Industrial Corridor Development Program**

UCCRTF Project	UCCRG0004: IND: Vishakhapatnam-Chennai Industrial Corridor Development Program
Location	Vishakhapatnam and Chennai in India
Climate Risks	Pluvial and Coastal Flooding, Salinity, Coastal Erosion, Sea-Level Rise, Typhoons, Storm Surges, Tidal Surges, Increased Precipitation, Landslides, Droughts, Extreme Heat Waves
Grant Volume	IG \$5 million
ADB Loan Value	\$625 million from ADB - Ordinary Capital Resources (OCR): Multi-Tranche Financing Facility (MFF) and Policy-Based Lending (PBL)
UCCRTF Support	<p>Visakhapatnam, the industrial metropolis of Andhra Pradesh, is one of the fastest growing urban centers in India. The city is also a major tourist destination which adds further pressure on the city's resources. As per the Organization of Economic Cooperation and Development (OECD) study (2008), Visakhapatnam is among the port cities that have high exposure and vulnerability to climate extremes. More recently, studies on Visakhapatnam by the Energy Research Institute (TERI), India, and the United National Development Programme (UNDP) also highlight the city's vulnerability to risks related to climate change and disasters such as cyclones and storm surges. The TERI study also projects an increase in sea level. These trends indicate adverse impact on the city's availability of resources, especially water resources, and higher vulnerability of the drainage systems for the people, especially those in low-lying lower income areas.</p> <p>The UCCRTF grant will provide support to <b>strengthen GVMC's capacity for preparation and implementation of urban climate change resilience strategy</b>. In collaboration with the World Bank-supported Andhra Pradesh Disaster Recovery Project (APDRP), the VCICDP will produce a detailed vulnerability analysis of Visakhapatnam and model various risks for effective mitigation planning and disaster response preparedness. UCCRTF will also provide support to GVMC for structured stakeholders consultations in <b>developing infrastructure and providing services that are more climate resilient</b>.</p> <p>The <b>grant will focus on investments in integrated water management solutions</b> on (i) geographic information system (GIS)-based inventory of water and sewerage assets, SCADA system, and network modeling amenable to DMA approach for nonrevenue water reduction; and information and data management requirements that might form part of the smart city backbone; (ii) strengthening water quality testing and management system; (iii) creating a multi-parameter, real time monitoring and control system which would capture and present data and information from a range of sectors, into a single platform; and (iv) strengthening the integrated system and control facility for disaster management and preparedness.</p>
ADB Loan	The ADB-financed Visakhapatnam-Chennai Industrial Corridor Development Program (VCICDP) will complement the ongoing efforts of the Government of Andhra Pradesh (GoAP) to enhance industrial growth and create high quality jobs. It will support policy reforms and institutional development in the state's industrial sector and priority infrastructure investments in the VCIC. The outcome will be enhanced growth and competitiveness of the VCIC.
Status	Recruitment of consultant expected to start in Aug 2016. Approval of the grant/loan scheduled in September 2016; draft bidding documents for three goods and works packages expected to be submitted to ADB in Q1 2017.

**IND: Strengthening Climate Resilience of Kolkata City through Improved Planning and Disaster Risk Management: Support to the Kolkata Environmental Improvement Investment Program**

UCCRTF Project	UCCRGC0005: IND: Strengthening Climate Resilience of Kolkata City through Improved Planning and Disaster Risk Management: Support to the Kolkata Environmental Improvement Investment Program
Location	Kolkata in India
Climate Risks	Pluvial and Coastal Flooding, Coastal Erosion, Sea-Level Rise, Typhoons, Storm Surges, Tidal Surges, Increased Precipitation, Extreme Heat Waves
Grant Volume	IG \$1 million
ADB Loan Value	\$200 million from ADB - Ordinary Capital Resources (OCR): Multi-Tranche Financing Facility (MFF)
UCCRTF Support	<p>The first global assessment of the exposure of port cities to climate risks, conducted by OECD in 2007, lists Kolkata and Mumbai in India among the top ten cities with high exposure to flooding under the current climate change forecasts. Various studies have been conducted for the Kolkata Municipal Corporation (KMC) through internal and external support on analyzing the flood risks posed by climate change and developing mitigation measures for the same, such as the one conducted by the World Bank, titled Vulnerability of Kolkata Metropolitan Area to Increased Precipitation in a Changing Climate. In addition, KMC conducted an extensive drainage and sewerage master-planning exercise with support from two Asian Development Bank (ADB) funded loans for the Kolkata Environmental Improvement Project (KEIP), as well as prepared and adopted action plans to increase its climate resilience on flood and cyclone risks, among others.</p> <p>UCCRTF supports capacity building in climate resilient planning and disaster management and in the design and implementation of the <b>Early Flood Warning System</b>. Despite being one of the most flood prone cities in India, KMC does not have an early warning system for flood control. Extensive hydraulic modelling has been carried out over the last decade, thus preparing the foundation for installing such an early warning system. Under this component, the consultants engaged under the TA will develop a basic early flood warning system and assist the Sewerage and Drainage department of KMC in installing the same with necessary software and hardware facilities, such as, a supervisory control and data acquisition (SCADA), sensors, probes with data loggers, servers and computers, and train the relevant staff on their usage for one year.</p>
ADB Loan	Kolkata Environmental Improvement Investment Program (KEIIP), supported by the MFF, consolidates and builds upon Kolkata Environmental Improvement Project (KEIP), which started in 2000 and was financed through two ADB loans.
Status	EOI for the consultant recruitment is being prepared and is expected to be floated by 30 August 2016.

**MYA: Climate Change Resilient Urban Planning and Community-Based Solid Waste Management - Support to Mandalay Urban Services Improvement Project**

UCCRTF Project	UCCRGC0003: MYA: Climate Change Resilient Urban Planning and Community-Based Solid Waste Management - Support to Mandalay Urban Services Improvement Project
Location	Myanmar
Climate Risks	Pluvial Flooding, Salinity; Erosion, Sea-Level Rise, Typhoons, Storm Surges, Tidal Surges, Increased Precipitation, Landslides, Droughts, Extreme Heat Waves
Grant Volume	IG \$4 million
ADB Loan Value	\$60 million from ADB - Asian Development Fund (ADF) \$40 million from Agence Française de Développement (AFD)
UCCRTF Support	<p>Myanmar is considered to be in second place of countries hit by climate change related extreme weather events during the period 1991–2010; its overall climate change vulnerability factor to 2030 is classified as “acute”. As a consequence, the population in the central dry zone where Mandalay City is located, is exposed to more frequent floods caused by intense rainfall during wet season and more frequent drought occurrences during dry season. In addition, Mandalay City is at risk of major earthquakes due to its proximity to the Sagaing Fault.</p> <p>UCCRTF supports through capacity development in <b>climate resilient urban planning, and community-based solid waste management</b>. The UCCRTF project has been designed to complement the loan project. Capacity development will help ensure climate change consideration has been integrated in urban planning and management, and facilitate future investments in urban infrastructure by development partners and private sector. Community-based solid waste management will contribute to better living conditions and disaster preparedness by increased garbage collection and reduced garbage in the canals. As many cities in the country are facing similar issues, the knowledge and experience gained in Mandalay will be shared with and replicated in other cities.</p>
ADB Loan	The proposed ADB’s and AFD’s loans will be the first major external loan for Mandalay City after ADB’s previous loan for the Mandalay Water Supply Project approved in 1982. The project will improve urban environment and public health through improved access to sustainable urban services in Mandalay.
Status	ADB approved the loan and grant in 2015. The new government requires additional process before signing the legal agreements.

**PAK: Punjab Intermediate Cities Improvement Investment Program - Integrated City Development Strategy and Pre-Feasibility Study**

UCCRTF Project	UCCRDC0004: PAK: Punjab Intermediate Cities Improvement Investment Program - Integrated City Development Strategy UCCRTA0001REG: Supporting the Cities Development Initiative for Asia - Pre-Feasibility Study
Location	Sahiwal and Sialkot in Pakistan
Climate Risks	Pluvial and Fluvial Flooding, Salinity , Increased Precipitation, Landslides, Droughts
Grant Volume	DC \$225,000 - Sahiwal and Sialkot for the Integrated City Development Strategies (ICDSs) CDIA \$680,000 - Sahiwal and Sialkot for the Pre-Feasibility Studies (PFSs)
ADB Loan Value	\$535 million for Sahiwal and Sialkot from ADB - Ordinary Capital Resources (OCR): Multi-Tranche Financing Facility (MFF)
UCCRTF Support	<p>Punjab is both the most populous and most urbanized province in Pakistan, despite poor urban planning and a failure of urban services to keep pace with urban growth. This results in haphazard development, a polluted urban environment, and, for many households, a poor quality of life. UCCRTF supported the development of the <b>Rapid Urban Assessments</b> (RUAs) and <b>Integrated City Development Strategies</b> (ICDSs) which incorporated a climate risk and vulnerability assessment. The ICDS provides short, medium and long term framework for umbrella frameworks for climate-resilient city development, while promoting the concepts of cities that are competitive, green, inclusive and livable.</p> <p>The introduction of the ICDS approach as a framework for urban planning, implementation and management, under the umbrella of two Departments, the Department of Local Government (Policy Unit) and Department of Planning and Development (Urban Unit) of the Government of Punjab for the cities of Sialkot and Sahiwal, is an important step incorporating measures to strengthen climate change resilience into all aspects of urban development. Parallel to the ICDSs also the <b>Climate Risk and Vulnerability and Assessments</b> (CRVAs) are prepared. Both the ICDS and CRVA provide integrated guidance to an initial series of proposed institutional and infrastructure investments in these cities supported by the <b>Pre-Feasibility Studies</b> (PFSs), to be financed by the loan which is being prepared, referred to as the Punjab Intermediate Cities Improvement Investment Program (PICIIP).</p> <p>The RUAs and ICDSs were developed in very close consultations with the Government of Punjab, all level stakeholders, and development partners. The ICDS framework is being introduced in both cities and expected to be approved by the Government of Punjab by the end of 2016 to be introduced to other cities in Punjab and Pakistan.</p>
ADB Loan	Estimated investments for capacity building/governance \$11 million, LG Training Academy \$15 million, other ICDS investments such as updating of the ICDS/social development \$37 million, urban public space \$35 million, urban transport \$53 million, water, sanitation and drainage \$212 million and solid waste management (SWM) \$172 million
Status	The UCCRTF supported activities, the RUAs, ICDSs and PFSs, have been completed. The outcomes have been incorporated in the <b>Project Preparation Technical Assistance</b> (PPTA) work, which is currently ongoing.

**VIE: Green Cities - Ha Giang, Hue and Vihn Yen**

UCCRTF Project	UCCRTA0002: VIE: Secondary Cities Development Project II (Green Cities PPTA) UCCRG0001: VIE: Secondary Cities Development Project II (Green Cities)
Location	Ha Giang Hue and Vihn Yen in Vietnam
Climate Risks	Hue: Flooding, Salinity, Intense Storms, Sea-Level Rise; Ha Giang: Flooding, Intense Storms, Landslides; Vihn Yen: Flooding, Intense Storms
Grant Volume	TA \$6 million from UCCRTF and \$12.82 million from Global Environment Facility (GEF)
ADB Loan Value	\$170 million
UCCRTF Support	<p>UCCRTF supported the PPTA for the Green Cities loan covering the cities of Hue, Ha Giang, and Vihn Yen in Vietnam. Before stating project preparation, the team prepared <b>GREEN City Action Plans</b> for the cities. The action plans are essentially integrated urban development plans developed in a participatory manner that incorporate climate resilience and disaster risk management. After the urban planning, the PPTA developed the first results-based lending program in the urban sector in Vietnam, wherein ADB disburses funds to Vietnam based on outcome-level results. UCCRTF support ensured that the disbursement framework was supportive to urban resilience. The three results areas against which disbursements will be made are “strengthened city planning processes”, “enhanced implementation for urban resilience”, which aims to access to green and resilient infrastructure, and “improved institutional effectiveness and sustainability.”</p> <p>UCCRTF also assisted in <b>attracting and designing a \$12.82 million grant from Global Environment Facility (GEF)</b>. Following the urban planning and project development phase, alongside the loan implementation, UCCRTF and GEF will jointly support the three cities through: Updating the GCAP (iterative planning); developing and implementing six community-led projects; ensuring green and ecosystem-responsive designs through a design review advisory; preparing and implementing annual city capacity development plans; supporting M&amp;E for resilience measurement and independent verification of outcomes; greenhouse gas emission inventories at city level; resilient business modeling; provide policy support for disaster risk insurance (Hue); and establishing a green financing mechanism for funding future green city investments in Viet Nam.</p> <p>The program is intended to be part of a larger programmatic package of ADB support for mainstreaming climate change resilience into urban development in Viet Nam. The lessons from this Program will inform future investments by taking incremental steps with the current Program Cities before initiating a larger urban resilience program.</p>
ADB Loan	The ADB loan will provide enhanced environmental sustainability and productive tourism in Hue through investment in drainage and beautification at the Citadel, a major World Heritage Site. In Ha Giang, the loan will finance climate proofed roads to improve access to markets and to Hanoi. In Vinh Yen the ADB loan will increase the capacity and stability of the Dam Vac Lake, use dredged material for flood protection and to establish an adjacent park for greening and recreation.
Status	The Green City Action Plans have been completed and are available on the ADB website. The PPTA was completed in May 2016, the GEF grant has received in-principle approval from GEF secretariat in July 2016, and the loan is expected to be approved by the ADB Board in November 2016. The UCCRTF secretariat is currently working with the project officer to front loan recruitment for the investment grant components, which will start shortly after board approval.

**VIE: Dong Hoi Flood Forecasting and Early Warning System**

UCCRTF Project	UCCRGC0002: Flood Management and Coastal Protection in support to Urban Environmental and Climate Change Adaptation Project
Location	Dong Hoi in Vietnam
Climate Risks	Flooding, Salinity, Coastal Erosion, Sea-Level Rise
Grant Volume	IG \$ 3 million
ADB Loan Value	\$30 million for Dong Hoi of \$100 million loan
UCCRTF Support	<p>The rapid urban development on the Bao Ninh Peninsula in Dong Hoi has severely degraded the local sand dune system. Sand dunes are essential for coastal resilience because they act as a buffer against wave damage during storms, protect neighboring land form salt water intrusion, and allows more complex plant communities in areas protected from salt water inundation, sea spray and strong winds to develop.</p> <p>To address this problem UCCRTF is supporting the city with a rigorous <b>hydrodynamic study</b> that will evaluate stability in the Nhat Le river mouth and the historical evolution of the mouth and its adjacent beaches, identify the causes of beach erosion and the mechanisms of beach erosion, taking into account impacts from changes in the upstream reaches and watershed and human activities on the beach, develop a model of Nhat Le river mouth and study the evolution of the river mouth and analyze impacts of various options to defend against erosion and stabilize the river mouth. This will be followed by <b>dune restoration</b> and protection at the Bao Ninh Peninsula, which will include replanting vegetation layer on the dune surface.</p> <p>The project will also prepare <b>guidelines for dune protection and zoning</b> to provide decision makers with necessary information to enable sound planning of the Bao Ninh urban extension area. These guidelines help prevent the planning mistakes, safeguard and maintain the existing attractive natural dune system, and provide for safety in the future by guarding against the effects of sea-level rise.</p>
ADB Loan	The ADB loan will develop the urban area in Bao Ninh peninsula developed by financing sewerage and drainage networks, connecting roads, and new wastewater collection and treatment.
Status	Consultant recruitment processes because in January 2016 and the team is expected to mobilize by November 2016.

### VIE: Hoi An Flood Forecasting and Early Warning System

UCCRTF Project	UCCRGC0002: Flood Management and Coastal Protection in support to Urban Environmental and Climate Change Adaptation Project
Location	Hoi An in Vietnam
Climate Risks	Flooding, Salinity, Coastal Erosion, Sea-Level Rise
Grant Volume	IG \$3 million
ADB Loan Value	\$70 million for Hoi An of \$100 million loan
UCCRTF Support	<p>Although ADB is investing heavily in a number of local structural measures to reduce flooding and related damages in Hoi An, the planned physical measures will not be sufficient in eliminating flooding in the city.</p> <p>After an in-depth sector analysis, assisted by computer simulations for the flooding in Vu Gia-Thu Bon river system and around Hoi An city, it was concluded that any substantial water level reduction in Hoi An can only be achieved by measures in the VGTB basin, specifically in the upstream basin, and focusing on both structural and non-structural measures.</p> <p>The analysis concluded that one of the most urgent non-structural measures is the installation and upgrading of a comprehensive <b>flood forecasting &amp; warning system (FFWS) for Vu Gia-Thu Bon river system</b>, which is now being financed by the UCCRTF.</p> <p>In addition to the FFWS, UCCRTF is also supporting a <b>decision support system (DSS) that will combine rainfall runoff models- and hydro dynamic models</b> to enable the analysis and selection of best additional structural and non-structural measures regarding flood management.</p>
ADB Loan	The ADB loans aims at improving flood management for Hoi An city and reduce flood damages in and around town. The proposed measures regarding flood management are: (i) CoCo river dredging and embankment; (ii) Dyke and embankment Road 608; (iii) Cua Dai coastal protection, and d) increase storage in Lai Nghi reservoir and Phap Bao detention pond.
Status	Consultant recruitment processes because in January 2016. The Danish firm DHI was selected in June 2016 and contract negotiations are currently ongoing. The consultancy team is expected to mobilize by September 2016.

**UCCRTF: Establishing a Knowledge Base for UCCRTF**

UCCRTF Project	UCCRDC0001: REG: Knowledge Management, Networking and Monitoring in support of Promoting Urban Climate Change Resilience in Selected Asian Cities
Location	N/A
Climate Risks	N/A
Grant Volume	\$225,000
ADB Loan Value	N/A
UCCRTF Support	<p>UCCRTF appointed a consortium of expert from ODI, ARUP and ITAD to help inform the secretariat in furthering the knowledge and M&amp;E component of UCCRTF. Together, the consultant team delivered the following outputs:</p> <p>A <b>Regional Knowledge Landscape Analysis</b> that provides a summary of the existing baseline, gaps, and contextual challenges for UCCR knowledge; both within and beyond the ADB. The basis of the analysis was interviews with a range of ADB staff and external UCCRTF stakeholders to understand the state of knowledge on the concept of UCCR, access to UCCR knowledge, and flows of knowledge or the current knowledge management practices. The Landscape Analysis informed the <b>Knowledge Plan</b> to support the UCCRTF in developing member countries.</p> <p>A research paper on <b>Measuring Resilience</b> that summarizes 12 of the leading approaches that help diagnose, measure, or track resilience, which are categorized into those focusing on (i) approaches that define, assess, and track the characteristics and capacities that enable resilience of urban systems &amp; their residents; (ii) avoided loss approaches that assess actual or potential losses to assets as a result of shocks and stresses; and (iii) climate-proofing and inputs-based approaches that diagnose the need for, and track the development of resilience-building activities.</p> <p>A working paper titled <b>Enhancing UCCR: Seven Entry points for Action</b>, which, after a thorough analysis of the available knowledge, presents seven “entry points” for action that, in contextually specific combinations, can enhance UCCR in cities.</p> <p><b>M&amp;E Report</b> for UCCRTF that is a useful and practical starting point from which to measure progress over the life of the program. This report also included the final DMF that was developed collaboratively with the Financing Partners.</p>
ADB Loan	N/A
Status	The assignment has been successfully completed. The Entry Points paper is being turned into a publication, videos and the DMF is being used for reporting.



### Appendix 6 Pipeline of UCCRTF Projects

Country	Project	Total UCCRTF (million \$)
<b>MYA</b>	Mandalay Urban Services Improvement Project 2	5.0
<b>MYA</b>	Bago Urban Development Project	5.0
<b>PHI</b>	SWM CDTA	3.0
<b>PHI</b>	Metro Manila Flood Management Project	10.0
<b>VIE</b>	Climate Change Resilient Cities Program	10.0
<b>VIE</b>	HCMC Wastewater Management Project	10.0
<b>BAN</b>	Coastal Towns Environmental Improvement Project 1 (AF)	5.0
<b>BAN</b>	Coastal Towns Environmental Improvement Project 2	5.0
<b>IND</b>	Smart Climate Resilient Cities (AF)	10.0
<b>INO</b>	Upgrading Informal Settlements	6.0
<b>PAK</b>	Punjab Intermediate Cities Improvement Investment Program	5.0
<b>BAN</b>	CTIIP	10.0
<b>BAN</b>	Urban Health Sector Reform Phase 1	5.0
	<b>TOTAL</b>	<b>89.0</b>

## Appendix 7 UCCRTA001 Supporting the Cities Development Initiative for Asia (CDIA) UPDATES

### 1. PFS Activities

City	PFS Stage	Resilience Approach:	Capacity Development:	Outputs and Next Steps:
<b>Palu, Indonesia</b>	Terminated at the Interim Report Stage in October 2015			The project was terminated at the Interim Report Stage in October 2015. A final Diagnostic Report was produced in December 2015. The preparation of the PFS was terminated in October 2015 because the Public Works Department in the City was already in the process of identifying infrastructure projects to support the "greening" of the Bayfront Zone. The City is also included in other national government programs to address urban issues such as slum clearance and water supply.
<b>Sialkot, Pakistan</b>	Completed in May 2016			The PFS has been submitted to the city government. Based on the PFS, they have identified \$300M for investments in the short and medium term and about \$235M for long term investments. The identified projects are aligned with the objectives of the Punjab Intermediate Cities Improvement Investment Program (PICIIP).
<b>Sahiwal, Pakistan</b>	Completed in May 2016			The PFS has been submitted to the city government. Based on the

City	PFS Stage	Resilience Approach:	Capacity Development:	Outputs and Next Steps:
				PFS, they have identified \$300M for investments in the short and medium term and about \$235M for long term investments. The identified projects are aligned with the objectives of the Punjab Intermediate Cities Improvement Investment Program (PICIIP).
<b>Baguio</b> , Philippines	Completed in April 2016			The PFS has been completed and the final report submitted to the City Government on 30 April. The City Government is using the PFS to apply for funding from the National Septage and Sewerage Management Program (NSSMP) which provides up to 40% for capex for identified projects. The PFS also served as the basis to secure PhP50M from the city budget to supplement the upgrade of the existing WWTP. The City Government has submitted the PFS to the planning office as reference for future planning, and coordinating and investments in the city.
<b>San Fernando</b> , Philippines	Completed in April 2016			PFS completed. Final report submitted on 30 April 2016. The preparation of the city's comprehensive land use plan has been put on hold so that recommendations from the PFS can be

City	PFS Stage	Resilience Approach:	Capacity Development:	Outputs and Next Steps:
				incorporated. The Metro San Fernando Water District is now taking the initial steps to prepare a loan to implement the sewerage components identified in the PFS.
<b>Mysuru, India</b>	Interim Report submitted in May 2016.	Based on the Interim Report, it appears that the initial projects identified are driven by operations and maintenance issues rather than climate change concerns.		The CDIA Team has decided to terminate the project at the Interim Report Stage due to the lack of climate change adaptation related projects and the low quality of consultant's outputs. At the same time, ADB downstream financing will not be available for project proposals that may emerge from the PFS.

## 2. Knowledge Activities

UCCRTF financed the participation of 9 city officials from Indonesia to the Cities and Climate Change Training held in Singapore last 23-27 May. Further activities and knowledge products are planned with the CDIA in the coming months.

### Appendix 8 Details on DMF Indicators

#### Indicator 03: UCCRTF Activities and Beneficiaries - Physical Interventions

Project	City	Activity	Status	People Impacted
<b>UCCRGC002/VIE</b> Flood Management and Coastal Protection in support to Urban Environmental and Climate Change Adaptation Project  <i>Overall project value: \$60 million            UCCRTF grant: \$4 million</i>	Dong Hoi	New and improved wastewater collection and treatment for 5,300 households - 25 km of tertiary sewerage networks are constructed - 10 combined sewer overflows and 17 pumping stations with telemetry systems are constructed - 7,000 wastewater connections are installed	Planned	21,200
		New urban area in Bao Ninh peninsula developed, serving 2,900 new households - 5.8 km of connecting roads with sewerage and drainage networks are constructed	Planned	11,600
	Hoi An	New urban areas along the Co Co River developed, serving 2,000 new households - 30 km of connecting roads with sewerage and drainage networks are constructed - 2,000 water supply and wastewater connections are installed - 4.8 km access road to connect with the Cua Dai Bridge is constructed	Planned	2,150
		Detention capacity of Phap Bao Lake is increased by 80,000 m3 through dredging	Planned	TBD
		Water supply improved including: - Storage capacity of Lai Nghi reservoir is increased by 530,000 m3 through dredging - New water intake is constructed for Lai Nghi reservoir for protection from salinity intrusion	Planned	TBD
		5.4 km of Provincial Road 608 is elevated to create a flood evacuation route	Planned	TBD
<b>UCCRGC003/MYA</b> Climate Change Resilient Urban Planning and Community-based Solid Waste Management: Support to	Mandalay	Water supply systems improved: - increase water production capacity from 97,000m3 /day to 183,000m3 /day by rehabilitating existing treatment plant and two reservoirs, and constructing a new treatment plant - construct 19km of main transmission lines and 116km of distribution systems - rehabilitate 18km of existing network and extend new network - replace 2,000 connections including meters	Planned	144,000

Project	City	Activity	Status	People Impacted
Mandalay City Urban Services Improvement Project  <i>Overall project value: \$100 million UCCRTF grant: \$4 million</i>		Wastewater and drainage management: <ul style="list-style-type: none"> <li>- construct 27km of sewerage networks</li> <li>- construct 31km of interceptor networks and a pumping station at Thingazar Creek</li> <li>- construct a wastewater treatment plant with a capacity of 75,000m<sup>3</sup> /day</li> <li>- provide 10 septage collection vehicles</li> <li>- dredge and rehabilitate 60km of main canals</li> <li>- increase stormwater pumping capacity from 21,900m<sup>3</sup> /hour to 65,100m<sup>3</sup> /hour</li> </ul>	Planned	574,000
<b>UCCRGC004/IND</b> Vishakhapatnam-Chennai Industrial Corridor Development Program  <i>Overall project value: \$625 million UCCRTF grant: \$5 million</i>	Vishakhapatnam	Vishakhapatnam-Chennai Industrial Corridor infrastructure enhanced <ul style="list-style-type: none"> <li>- 138.6 kms of roads improved</li> <li>- 47kms of stormwater drains constructed</li> <li>- 4 MLD common effluent treatment plans constructed</li> <li>- 123kms pipelines for wastewater treatment constructed</li> <li>- 10 new power substations and 280 kms of new transmission lines installed</li> <li>- 365 kms new drinking water pipeline constructed or rehabilitated</li> </ul>	Planned	391,000
<b>UCCRGC005/IND</b> Kolkata Environmental Improvement Investment Program (P2)  <i>Overall project value: \$201 million UCCRTF grant: \$1 million</i>	Kolkata	Inefficient water supply systems rehabilitated <ul style="list-style-type: none"> <li>- 16 additional customer service centres, and one meter calibration and testing centre, established;</li> <li>- Additional nine elevated and two ground level service reservoirs, 28 kilometer (km) of transmission mains and 300 km of distribution network rehabilitated; and</li> <li>- At least 90,000 water (domestic) meters installed, monitored and maintained.</li> </ul>	Planned	44,700
		S&D extension to peripheral areas continued <ul style="list-style-type: none"> <li>- At least 83,400 additional households connected to S&amp;D network;</li> <li>- At least 128 km of additional sewer- drain pipes constructed, including 3 km of over 1,000 millimeter diameter pipes laid through micro-tunnelling; and</li> <li>- Additional five pumping stations and 6 km of pumping mains constructed</li> </ul>	Planned	83,400
<b>TOTAL</b>				<b>1,252,050</b>

**Indicator 09: UCCRTF Activities and Beneficiaries – Non-Physical Interventions**

Project	City	Activity	Status	People Impacted
<b>UCCRGC002/VIE</b> Flood Management and Coastal Protection in support to Urban Environmental and Climate Change Adaptation Project	Hoi An	Flood forecast and warning system covering Vu Gia–Thu Bon river basin is established	Procurement Initiated	12,000
		Management information system is introduced for nonrevenue reduction		
<b>UCCRGC004/IND</b> Vishakhapatnam-Chennai Industrial Corridor Development Program	Visakhapatnam	Facility for disaster management preparedness	Planned	60,000
<b>UCCRGC005/IND</b> Kolkata Environmental Improvement Investment Program (P2)	Kolkata	Flood forecast and warning system	Planned	453,000
<b>TOTAL</b>				<b>525,000</b>

### Indicator 07: Cities Engaging Stakeholders in Multisectoral and Iterative Processes

Project	Country	Activity/ies	Total participants/ Female participants
UCCRTA003/REG Urban Climate Change Resilient Planning in Bangladesh	Bangladesh	Climate Resilient Integrated Urban Plan (CRIUP). The purpose of the CRIUP is to present a cohesive series of interventions that will enable the cities to cope with climate change impacts through integration with its urban development plans and policies. <ul style="list-style-type: none"> <li>• Bagerhat Workshop: around 60 participants</li> <li>• Cox's Bazar Workshop: around 75 participants</li> <li>• Gopalganj Workshop: around 65 participants</li> <li>• Faridpur Workshop: around 60 participants</li> <li>• Kushtia Workshop: around 75 participants</li> <li>• Mymensingh Workshop: around 70 participants</li> <li>• Patuakhali Workshop: around 65 participants</li> </ul>	470
		Multi-stakeholder consultations held by the Town Level Coordination Committee (TLCC) <sup>23</sup> <ul style="list-style-type: none"> <li>• Bagerhat: 3 consultation events with 126 participants (54 female)</li> <li>• Cox's Bazar: 3 consultation events with 67 participants (36 female)</li> <li>• Gopalganj: 3 consultation events with 117 participants (65 female)</li> <li>• Faridpur: 3 consultation events with 146 participants (65 female)</li> <li>• Kushtia: 2 consultation events with 35 participants (21 female)</li> <li>• Mymensingh: 3 consultation events with 118 participants (57 female)</li> <li>• Patuakhali: 3 consultation events with 131 participants (49 female)</li> </ul>	740/347
		Multi-stakeholder consultations held by the Ward Level Coordination Committee (WLCC) <ul style="list-style-type: none"> <li>• Bagerhat: 2 consultation events with 34 participants (26 female)</li> <li>• Cox's Bazar: 2 consultation events with 70 participants (37 female)</li> <li>• Gopalganj: 2 consultation events with 82 participants (50 female)</li> <li>• Faridpur: 3 consultation events with 100 participants (52 female)</li> <li>• Kushtia: 2 consultation events with 45 participants (23 female)</li> <li>• Mymensingh: 2 consultation events with 70 participants (40 female)</li> <li>• Patuakhali: 2 consultation events with 93 participants (38 female)</li> </ul>	494/266

<sup>23</sup> Three grassroots bodies organized into a three tier-structure at the pourashava level are involved in preparing, implementing and supervising the pourashava development plan and its processes. These include the community-based organisations (CBOs); the ward level coordination committees (**WLCC**) and the Town Level Coordination Committee (**TLCC**). These were developed through government notifications as part of the ADB funded UGIIP-2 project. Further details can be found in the booklet: "The Urban Governance and Infrastructure Improvement Project in Bangladesh – Sharing knowledge on community-driven development", August 2012.



		<p>Focus group discussions</p> <ul style="list-style-type: none"> <li>• Bagerhat: 2 events with 38 participants (16 female)</li> <li>• Cox's Bazar: 2 events with 20 participants (10 female)</li> <li>• Gopalganj: 2 events with 20 participants (10 female)</li> <li>• Faridpur: 2 events with 20 participants (10 female)</li> <li>• Kushtia: 1 event with 22 participants (10 female)</li> <li>• Mymensingh: 2 events with 20 participants (10 female)</li> <li>• Patuakhali: 2 events with 23 participants (10 female)</li> </ul>	163/76
		<p>Meetings with the Chamber of Commerce</p> <ul style="list-style-type: none"> <li>• Bagerhat: 1 meeting with 5 participants (0 female)</li> <li>• Cox's Bazar: 2 meetings with 16 participants (0 female)</li> <li>• Gopalganj: 1 meeting events with 5 participants (0 female)</li> <li>• Faridpur: 2 meetings with 35 participants (1 female)</li> <li>• Kushtia: 0</li> <li>• Mymensingh: 1 meeting with 9 participants (0 female)</li> <li>• Patuakhali: 2 meetings with 18 participants (0 female)</li> </ul>	88/1
		<p>Meetings with the Mayor and Municipal Staff</p> <ul style="list-style-type: none"> <li>• Bagerhat: 6 meetings with 24 participants (0 female)</li> <li>• Cox's Bazar: 6 meetings with 24 participants (3 female)</li> <li>• Gopalganj: 6 meetings events with 30 participants (0 female)</li> <li>• Faridpur: 6 meetings with 30 participants (0 female)</li> <li>• Kushtia: 6 meetings with 12 participants (0 female)</li> <li>• Mymensingh: 6 meetings with 30 participants (0 female)</li> <li>• Patuakhali: 6 meetings with 30 participants (2 female)</li> </ul>	180/5
		<p>Additional meetings</p> <ul style="list-style-type: none"> <li>• Cox's Bazar: 1 meeting with 6 participants (0 female)</li> <li>• Faridpur: 2 meetings with 80 participants (60 female)</li> </ul>	86/60
<b>UCCRDC004/PAK</b> Punjab Intermediate Cities Investment Program - Integrated City Development Strategy	Pakistan	<p>Integrated City Development Strategy (ICDS) - Sahiwal and Sialkot. The purpose of institutional reforms under Punjab Intermediate Cities Improvement Investment Program (PICIIP)-Integrated City Development Strategy (ICDS) is to strengthen local city governments. This will be achieved through (1) enhanced and gender sensitive enabling environment for local governments and citizen participation; (2) more effective, inclusive, responsive and equitable local government decision-making and resource use and management; and (3) improved, accessible, accountable and sustainable service delivery at the local level.</p> <ul style="list-style-type: none"> <li>• Sahiwal: PICIIP-ICDS/CRVA Participation Summary during several events (meetings and workshops): around 80 participants.</li> </ul>	180

		<ul style="list-style-type: none"> <li>• Sialkot: PICIIP-ICDS/CRVA Participation Summary during several events (meetings and workshops): around 80 participants.</li> <li>• Various smaller events in Lahore: around 20 participants.</li> </ul>	
<b>UCCRTA002</b> Secondary Cities Development Project II (Green Cities)	Vietnam	<p>Green City Action Plan (GCAP) – (Ha Giang) During the GCAP Process the cities systematically involved civil society, the private sector, provincial government, and other stakeholders in the implementation of the GCAP by inviting them to participate in the GCAP Implementation committee. ADB will help establish an urban management partnership platform for implementing one of the key initiatives of the GCAP.</p> <ul style="list-style-type: none"> <li>• Ha Giang: events with 100 participants.</li> </ul>	100
<b>TOTAL</b>			<b>2,501</b> <b>(755 female)</b>

### Indicator 11: Completion of Training and Awareness Building on UCCR

Category	Number	Description/Title
Workshops and meetings	2,771	<ul style="list-style-type: none"> <li>• During urban planning (510)</li> <li>• PFS (240)</li> <li>• PPTA work (270)</li> <li>• Consultations, workshops, meetings, FGDs (1,751)</li> </ul>
In-person Trainings	65	<ul style="list-style-type: none"> <li>• Asia Leadership Program on Sustainable Development and Climate Change Training with module on resilient cities (32).</li> <li>• CDIA Resilient Cities Training (24)</li> <li>• Cities and Climate Change Training (9)</li> </ul>
Online Trainings	60	<ul style="list-style-type: none"> <li>• Asia Leadership Program on Sustainable Development and Climate Change Training with module on resilient cities (60)</li> </ul>
<b>TOTAL</b>	<b>2,896</b>	

## Appendix 9 Sample Scoring Rubric

### Scoring Rubric for Inclusion of UCCR Principles in the Mandalay Urban Services Improvement Project (UCCRG003)

	Not incorporated <sup>24</sup> (Score = 0)	Incorporated to a limited extent <sup>25</sup> (Score = 1)	Partly incorporated <sup>26</sup> (Score = 2)	Moderately incorporated <sup>27</sup> (Score = 3)	Fully incorporated <sup>28</sup> (Score = 4)
1. <b>Reflective:</b> People and institutions systematically learn from experience and have mechanisms to continuously modify standards based on emerging evidence			<b>2</b>		
Justification for score: The project draws lessons from previous water projects in the country which successfully achieved their objectives. Among the lessons learned which have been incorporated into the design of the current project include reducing the number of contracts and to consider the awarding of civil works to private companies to ensure that works are implemented on schedule and within the budget. A capacity development technical assistance grant conducted at the time of the preparation of the project was aimed at developing the capacity of the Mandalay City Government to plan, budget and prepare multisector urban development projects. The project components include two pilot activities—water supply and community based solid waste management. However, it is not indicated how the implementation will be systematically documented for future replication activities.					
2. <b>Robust</b> city systems are designed and managed to withstand the impacts of extreme conditions. A robust system anticipates system failures and makes provisions to maximize safety.				<b>3</b>	
Justification for score: The design for the infrastructure projects took into consideration climate change trends in the Mandalay area and the country as a whole. This included an analysis of rainfall patterns and recurrence of flooding. The consultants responsible for preparing the PPTA also incorporated a methodology for population projects using assumptions on population densities and population growth in designing the capacities for the subprojects. It can therefore be assumed that climate resilience factors were incorporated into the design of the infrastructure projects. The project also incorporates the use of a biogas system to produce electricity for the wastewater treatment plant. This is expected to make the WWTP carbon neutral and 50% energy self sufficient. The use of alternative sources of energy reduces the project's carbon emissions.					
3. <b>Redundancy</b> is to deliberately plan capacity to accommodate for increasing demand or extreme pressures – if one component of the system fails, other pathways or substitutable components can meet essential functional needs.			<b>2</b>		
Justification for score: The consultants considered various technical options for each facility vis a vis overall capital investment efficiency, operational expenditure, and social and environmental impacts. The technology selected also considered the capacity of the local government to operate and maintain them in the long term. However, there was no reference on alternative plans in the event of system failure.					
4. <b>Flexibility</b> is a city with systems that can evolve and adopt alternative strategies in response to changing conditions. Decentralization of conventional				<b>3</b>	

<sup>24</sup> There is no mention of the principle in the CPS or loan documentation

<sup>25</sup> The principle is mentioned in the RRP but there is little or no evidence that the principle will affect project implementation or enhance UCCR

<sup>26</sup> The principle is mentioned in the CPS or loan documentation and there is some evidence that the principle will affect project implementation or enhance UCCR

<sup>27</sup> The principle is mentioned in the CPS or loan documentation; evidence indicates that the principle will affect some parts of project implementation or contribute to enhanced UCCR

<sup>28</sup> The principle is mentioned in the CPS or loan documentation and there is persuasive evidence that the principle is linked to specific actions that will affect project implementation or enhance UCCR

infrastructure with new technologies.					
Justification for score: The project integrates a biogas generating system for the wastewater treatment plan. The biogas generated shall power the wastewater treatment plant while the sludge from the digester will be processed for potential reuse in agriculture and/or additive in cement works. Training will also be conducted for the staff that will be manning the system to ensure its effective operation. Incorporating the use of alternative power sources and material reuse makes the project more flexible if faced with the problem of e.g., power failure. Aside from the biogas system, there was no reference to other new technologies proposed for the project.					
5. <b>Resourceful:</b> People and institutions should invest in capacity to anticipate future urban conditions, set priorities, and mobilize and coordinate the resources (human, financial, and physical).				<b>3</b>	
Justification for score: The project incorporates capacity building for the Mandalay City District Committee (MCDC) in the implementation and operation phases in the areas of financial management, social safeguards and facility operation to ensure the long term sustainability of the project. The city government employees that will be operating the water supply and wastewater systems were supported by international and national accounting and financial management consultants on ADB's disbursement policies and procedures, and international best practices; and to improve project budgeting and accounting systems, including computerization of the accounting system. Securing the financial sustainability of the departments managing these facilities ensures its proper operation in the long term.					
6. An <b>inclusive</b> approach is one that includes the consultation and engagement of communities, particularly those who are vulnerable. A city cannot build resilience in isolation of others. Resilience needs collective ownership and joint vision from various groups within the city.				<b>3</b>	
Justification for score: The project was developed with the participation of the stakeholders, particularly the women, poor and vulnerable groups. It includes a stakeholder strategy and participation plan, as well as a gender equality and social inclusion plan to ensure their active involvement in the design and implementation of the project components. The project shall improve access to basic urban services for these groups, with the primary benefit that they will be provided with subsidized water connections, lifeline tariffs, and employment opportunities during construction. In addition, water tariffs were assessed on the basis of the target beneficiaries' willingness to pay for water connections and septage services, thereby ensuring the facility's financial sustainability.					
7. <b>Integrated:</b> City systems, decision making, and investments should be mutually supportive of a common outcome. Resilient system integration has evidence of systems that exist across different scales of operation.				<b>3</b>	
Justification for the score: The project is aligned with the government's proposed National Comprehensive Development Plan, 2016-2021, whereby the City of Mandalay is designated as a secondary economic center to Yangon with the intent of distributing economic growth to the Mandalay Region and its surroundings. The project also concurs with the country's interim country partnership strategy 2012-2014 of the ADB to promote sustainable and inclusive economic growth towards the country's objectives of poverty reduction and national reconciliation. Alignment with the national plans and ADB country strategy indicates that the project will have long term contributions to the country's development objectives. The Mandalay Regional Government shall be the primary executing agency responsible for the overseeing the project while the Mandalay City Government shall be in charge of actual project implementation by coordinating and monitoring the activities of the Project Management Office. Once the facilities are completed, the City Government shall be responsible for the day-to-day operations and financial management. It is expected that the national and regional governments will undertake the necessary measures to ensure that the MCDC has sufficient funds to cover debt servicing and operations through financial support.					
<b>Total Score: 19</b>					