

Completion Report

Mainstreaming Adaptation into Development Planning: Results from Three Years of Implementation of the Adaptation Knowledge Platform

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The report is submitted to the Swedish International Development Cooperation Agency (Sida), Bangkok, Thailand.

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Acronyms

ACCC	Adapting to Climate Change in China
ADAPT Asia-Pacific	Climate Change Adaptation Project Preparation Facility for Asia and the Pacific
ADB	Asian Development Bank
AIT	Asian Institute of Technology
AKP	Regional Climate Change Adaptation Knowledge Platform for Asia
ALM	Adaptation Learning Mechanism
APAN	Asia Pacific Adaptation Network
ASEAN	Association of Southeast Asian Nations
ASoG	Ateneo School of Government
BCAS	Bangladesh Centre for Advanced Studies
CAF	Cancun Adaptation Framework
CBA	Community-Based Adaptation
CCA	Climate Change Adaptation
EBA	Ecosystem-Based Adaptation
NCKMC	Nepal Climate Change Knowledge Management Center
CDKN	Climate and Development Knowledge Network
COP	United Nations climate change conference in Copenhagen
CSO	Civil Society Organization
DRR	Disaster Risk Reduction
DSP	Development Service Provider
FAO	Food and Agriculture Organization of the United Nations
GCF	Green Climate Fund
ICIMOD	International Centre for Integrated Mountain Development
IGES	Institute for Global Environmental Strategies
IPCC	Intergovernmental Panel on Climate Change
ISSET	Institute for Social and Environmental Transition
IUCN	International Union for Conservation of Nature
KAP	Knowledge, Attitude and Practice
KEI	Korea Environment Institute
M&E	Monitoring and Evaluation
MFF	Mangroves for the Future
MRC	Mekong River Commission
MSC	Most Significant Change
NGO	Non-Governmental Organization
NISTPASS	National Institute for Science and Technology Policy and Strategy Studies
OM	Outcome Mapping
OVI	Objectively Verifiable Indicator
RECOFTC	The Centre for People and Forests
RFP	Request for Proposal
RRC.AP	Regional Resource Centre for Asia and the Pacific
SEA-CC NET	Southeast Asia Network of Climate Change Focal Points
SEA START	Southeast Asia System for Analysis, Research and Training

SEI	Stockholm Environment Institute
SENSA	Swedish Environmental Secretariat for Asia
Sida	Swedish International Development Cooperation Agency
UNDP	United Nations Development Programme
UNEP ROAP	United Nations Environment Programme Regional Office for Asia and the Pacific
UNFCCC	UN Framework Convention on Climate Change
USAID	United States Agency for International Development
USAID RDMA	USAID Regional Development Mission for Asia
USER	Unit for Social and Environmental Research
WWF	World Wildlife Fund

Executive Summary

The Regional Climate Change Adaptation Knowledge Platform for Asia (AKP) grew out of a recognition that countries across the region faced potentially dramatic climate change impacts, but lacked the knowledge and capacity to effectively reduce vulnerability and plan for a more climate-resilient future. AKP set out to fill this gap by building a strong network of local researchers to gather new knowledge on the ground, bring world-class adaptation expertise to the stakeholders who need it, test new approaches, and share the results with their peers, decision-makers and civil society across the region.

Outcomes of the first phase, from 2009 to 2012, have been substantial. AKP supported an array of innovative research in 13 countries, including pilot projects in Bangladesh, Bhutan, Cambodia, Nepal, Thailand and Vietnam, and scoping assessments in Bhutan, China, Indonesia, Sri Lanka, Malaysia, Lao PDR, and the Philippines. Implementing partners in those countries were allocated 30% of the budget to support work done directly by them. This strong local engagement – involving speakers of at least a dozen languages, coming from different backgrounds and working in very different countries and organizations – made AKP a challenge in terms of coordination, technical support and capacity-building. Yet that was also AKP's greatest strength: it has built a rich, diverse network with potential to effect change in the countries it serves, not through outsiders' interventions, but through the empowerment of local experts and stakeholders.

When AKP was launched, adaptation was just starting to gain international attention. Developing countries had been encouraged to develop National Adaptation Programmes of Action (NAPAs), but finance was sparse; the Adaptation Fund, for example, issued its first funding call only in 2010. The concept of 'mainstreaming' adaptation into development plans, sectoral policies, etc., was also relatively new – certainly to local decision-makers, who were used to addressing climate change in isolation from other matters. AKP set out to build adaptation knowledge and capacity in Asia at all levels: from individual communities, to national governments, to regional networks. To achieve this, AKP took a three-tiered approach: knowledge management and sharing; generation of new knowledge, and application of existing and new knowledge.

This report describes AKP's activities and outcomes through 2012, including the key findings from research projects. It identifies what worked best, and where AKP fell short, and tries to explain why. And it offers a vision for continuing AKP's work through 2016.

Insights from AKP research

Climate change poses great challenges to Asia, not just for the projected impacts – which vary across the region, but include rising temperatures, changes in precipitation, melting glaciers, and increased risk of droughts, floods and major disasters – but because of the paucity of country- and local-level data. There are also major gaps in knowledge about vulnerability: what populations need to be prioritized, how to reach them, how to build adaptive capacity. Add the inherent uncertainty of climate change, and it is easy to see why adaptation is progressing so slowly: policy-makers do not know where to begin.

A key insight from AKP's research and pilot projects is that uncertainty is a strong incentive for mainstreaming adaptation into development plans and sectoral policies. A low-probability climate risk may not justify a specific investment (for example, a sea-wall to protect from storm surges), but decision-makers can and should ensure that development does not create new vulnerabilities under plausible climate change scenarios (for example, by building houses on the exposed shoreline, or building a hydropower plant on a river that could soon run dry). In this context, mainstreaming adaptation leads to more sustainable and climate-robust development. AKP research also identified promising entry points for mainstreaming, such as integrated water resource management and community forestry.

In addition, AKP studies showed how governance structures impede effective adaptation, by segregating climate policy from decision-making about key affected sectors (e.g., water, agriculture, forestry, energy) and by imposing a top-down approach that minimizes local-level input on adaptation needs and appropriate responses. Studies on understanding adaptation planning in Nepal, the Philippines and Vietnam emphasized that adaptation planning is multi-scale and multi-level, and new mechanisms have to be developed to facilitate cross-scale/level interaction. These studies also underline the need to combine top-down and bottom-up approaches to earn communities' trust and support and ensure that national-level policies and funding decisions reflect the needs on the ground. It is also important to spread climate and adaptation knowledge to a broader range of government agencies and stakeholders.

The studies further highlighted the need to address power imbalances within these societies, where the most vulnerable groups – such as the poor, marginalized populations, and women – are often excluded from social, economic and political processes. It is crucial for these groups to have a voice in adaptation decision-making and planning. While in some countries, special efforts have been made to ensure that participatory processes are truly inclusive, AKP partners' field research suggests that in reality, significant disparities remain.

Impacts on the ground

At the national policy level, AKP has contributed to the deepening of adaptation integration in the region, built a constituency for adaptation, provided an institutional and physical framework for knowledge-sharing, and raised the profile of adaptation as a research and policy-making priority. The huge diversity of the countries covered by AKP makes it difficult to measure the programme's impacts to date, but it is clear that it has brought about enduring changes in both awareness and behaviour of important stakeholders such as policy-makers, research organizations, and people working on adaptation and development at the local level. Government officials can now use the knowledge and products provided by AKP to change and improve their planning and decision-making, and some community-level organizations are tailoring their work programmes on the basis of lessons from AKP.

AKP's bi-monthly seminars, training workshops, online newsletter (the e-communiqué), and interactive web portal, meanwhile, have helped us build a community of practice in the Asia and Pacific. Visits to the web portal increased by 42% from 2011 to the first half of 2012, and AKP products are starting to be cited in new research; links posted on social media have also been well-received. To further expand

Chapter 1. Introduction

Originally conceived by the Swedish Environmental Secretariat for Asia (SENSA) in 2008¹, the Regional Climate Change Adaptation Knowledge Platform for Asia (AKP) was the first major initiative on climate change adaptation in the region. AKP was conceived and implemented in response to Swedish priorities on climate change and the Nairobi Work Programme on Impacts, Vulnerability and Adaptation to Climate Change agreed upon in November 2006. The primary impetus for the Swedish support to AKP was the absence of regional cooperation on climate change adaptation in Southeast Asia prior to 2009. In particular, it was felt then that there was an unmet need for “enhanced sharing of information, knowledge and lessons learned within and across borders” [9]. Since it was at the time not clear how such sharing would be best facilitated and supported, the partners agreed to apply a step-wise approach to the project formulation during which the first year (2009) would be an inception phase to hammer out the management and implementation modalities, build relationships with national stakeholders and implementing partners, and assess national priorities, followed by a two-year implementation phase 2010-2012.

Under the agreed outline of the completion report, this report documents the outcomes achieved and unachieved and the outputs produced during the implementation phase. This chapter summarises the key events in the development and implementation of AKP during the period from 2008 to 2012 (Table 1) and highlights the key achievements from the inception phase.

Table 1 Key Events in the Development and Implementation of AKP

Year	Key Events
2008 (10-12 Feb)	<u>SENSA Retreat, Siem Reap, Cambodia</u>
2008 (October)	<u>Endorsement of AKP proposal²</u>
2009 (Jan to Dec)	<u>Inception Phase</u>
2009 (May)	Inception phase agreement signed
2009 (03 Oct)	AKP launched by Prime Minister AbhisitVijajiva
2010 (Jan) to 2011 (Dec)	<u>Implementation Phase</u>
2010 (10 Mar)	First Advisory Panel Meeting
	Vietnam scoping commenced
	Thailand scoping commenced
Early 2010	Bangladesh scoping commenced

¹ SENSA was phased out during 2011 and effectively ended from mid-September 2011. Evaluation of the Regional Climate Change Adaptation Knowledge Platform for Asia (2009-2011), p 6

² Side event at UNEP Training for Asian Negotiators, 28 October 2008, Bangkok, Thailand

Early 2010	Nepal scoping commenced
2010 (Jun)	Sri Lanka preliminary scoping commenced
2010 (Jul)	Cambodia scoping commenced
2010 (01 Aug)	Pilot activities implementation (Thailand) commenced
2010 (Aug)	Implementation phase launched
2010 (16 Sept)	Pilot activities implementation (Vietnam) commenced
2010 (Oct)	First Asia Pacific Adaptation Forum
2010 (Oct)	Gap analysis of adaptive capacities of 8 countries commenced
2010 (8-10 Oct)	Chiang Khan 2050, Media and Community Foresight Planning Workshop, Chiang Khan, Thailand
2010 (01 Nov)	Pilot activities implementation (Cambodia) commenced
2010 (08 Dec)	Pilot activities implementation (Bhutan) commenced
2011 (28 Jan)	AKP & APAN Partners Meeting, UNEP ROAP Office
2011 (Feb)	Malaysia scoping commenced
2011(02 Mar)	AKP Partners Meeting, SEI Office
2011 (15 Mar)	Policy context of adaptation case study (Nepal) commenced
2011 (21 Mar)	Policy context of adaptation case study (Bhutan) commenced
2011 (28 Mar)	The 5 th Annual Community Based Adaptation to Climate Change Conference, Dhaka in Bangladesh
2011 (05 Apr)	Understanding planning case study (Nepal) commenced
2011 (05 Apr)	AKP Partners Meeting, Sida Office
2011 (05 Apr)	Understanding planning case study (Philippines) commenced
2011 (20 Apr)	Understanding planning case study (Vietnam) commenced
2011 (May)	Research on the role of adaptation knowledge commenced
2011 (09 May)	Joint Retreat of AKP and APAN
2011 (09 May)	Laos scoping commenced

2011 (18 May)	South Asia Media Workshop on Climate Change Adaptation
2011 (01 Jun)	China scoping commenced
2011 (01 Jun)	Comparative case study on adaptation and development (Bangladesh) commenced
2011 (11 Jul)	QuyNhon 2050: Visioning Development options under Climate Change
2011 (17 Jul)	Malaysia scoping commenced
2011 (28 Jul)	Policy context of adaptation case study (Thailand) commenced
2011 (28 Jul)	Comparative case study on adaptation and development (Vietnam) commenced
2011 (Jul)	Capacity building for RECOFTC's case studies commenced
2011 (05 Aug)	Indonesia scoping assessment commenced
2011 (Oct)	Partners meeting with Sida
2011 (Dec)	Synthesis workshop in Bangkok
2011 (Dec) to 2012 (June)	<u>No-Cost Extension of the Implementation Phase</u>
2012 (Feb)	Philippine scoping commenced
2012 (Feb)	Pilot activities implementation (Nepal) commenced
2012 (Feb)	Pilot activities implementation (Bangladesh) commenced
2012 (Feb)	Myanmar scoping was cancelled ³
2012 (Mar)	Second Asia Pacific Adaptation Forum
2012 (5 April)	Pilot activities implementation (Philippines) commenced
2012 (Jun)	Meeting with Sida on the APAN Framework Document, AKP to merge with APAN

As previously reported⁴, the following were achieved during the inception phase (2009):

- Activities initiated in the five pilot countries, Bangladesh, Cambodia, Nepal, Thailand and Vietnam⁵, with local partners mobilized, scoping reports prepared, the existing policy and institutional environment appraised and key knowledge and capacity gaps identified;

³RRC.AP was informed that the Myanmar scoping assessment was cancelled on 16 February 2012. The Myanmar representatives did not provide any explanation other than to say that the cancellation was due to "unforeseen circumstances". RRC.AP immediately communicated this to all the AKP partners, including Sida, Thailand. See Chapter 5 for further explanation.

⁴Adaptation Knowledge Platform. 2010. Inception Summary Report. Bangkok: AIT-UNEP RRC.AP. 42 pp.

- The management arrangements for the long-term development of the Platform established, the operational modalities for coordination between the partners developed, and the structure of the regional knowledge sharing mechanism defined;
- Effective communications initiated, culminating in the high-profile launch of the Adaptation Knowledge Platform on October 3, 2009;
- Capacity development activities, including training for officials and researchers from the region started; the inventorying of existing, and generation of new, knowledge products initiated;
- Sharing of knowledge on climate change adaptation initiated, focusing on the impacts of climate change on mountain ecosystems;
- Linkages and collaboration with other relevant initiatives has been initiated, with the agreement reached with the Asia Pacific Adaptation Network (APAN) and the Southeast Asia Network of Climate Change Focal Points (SEA-CC Net) for delivery of country needs on climate change adaptation in South and South-East Asia; The most significant outcome of the inception year is the strategy for the future development of AKP, which has led to the substantial modification of the original programme logical framework in 2010 (see Annex 1).

⁵ Bhutan was later included in the list of pilot countries.

Chapter 2. Organization and Administration

AKP is a partnership of the Swedish Environmental Secretariat for Asia, RRC.AP, SEI and UNEP ROAP (**Error! Reference source not found.**). The key implementing partners are RRC.AP and SEI. Although there is a joint logframe (Annex 1), there was confusion in AKP logframes due to separate contracts with Sida and changes in staffing among the core partners. RRC.AP and SEI were governed by separate agreements with Sida, and there was no partnership agreement between RRC.AP and SEI but the roles of the two partners are defined in the Inception Summary report [10] (see **Error! Reference source not found.** for the roles of different partners. Box 1 discussed in detail the evolution of AKP's

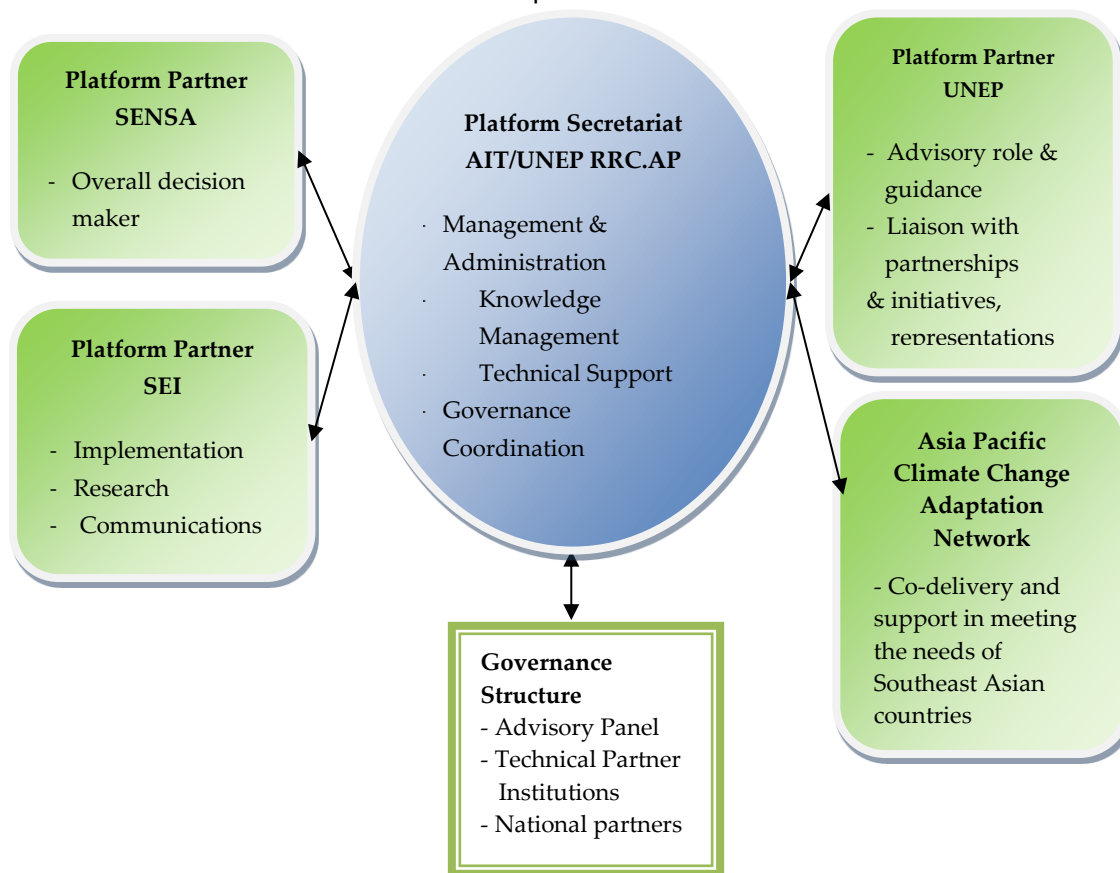


Figure 1 AKP Management Structure

logframe.

RRC.AP hosted the Secretariat of AKP. An Advisory Panel was established with 11 members with enriched backgrounds and experiences, and the Panel was held twice in March and October 2010⁶. When SENSA was around, the partners regularly met, not only to discuss administrative matters, but also to discuss other issues such as the preparation of the Forum, results of evaluation, planning the next phase, and other activities.

⁶ At the time of writing, the AKP Secretariat was not able to investigate why the Panel was not planned or held in 2011.

Box 1 Background and clarification of the evolution of AKP logframes

- The RRC.AP's 1st Agreement was signed on 19 May 2009 (Sida ref: A4930021). The document does not contain any logframe but mentions that the specific details of the programme design and budget are mentioned in the proposal named Regional Platform on Climate Change and Adaptation Solutions in Asia.
- The SEI's 1st contract was signed on 17 June 2009 with project specification dated 17 June 2009. The project specification contains a logframe, which has 3 components: component 1 with 3 sub-components, component 2 with 2 sub-components; and component 3 with 2 sub-components.
- The RRC.AP's 2nd Agreement was signed on 21st June 2010 (Sida ref: A4930043) with a similar outline as the previous agreement. This document does not contain any logframe but mentions that the specific details of the programme design and budget are mentioned in the proposal named "The Regional Climate Change Adaptation Knowledge Platform for Asia, 2010-2011".
- The SEI's 2nd contract was signed 03 Dec 2010 with a project description dated 10 June 2010. Components and sub-components the same as in the 1st contract.
- By October 2010, the original partners (RRCAP, SEI, SENSEA and UNEP) decided, after the Inception Phase, that the original program logframe needed to be modified to reflect the achievements of the Inception Phase and the resulting main focus of AKP. The resulting logframe developed in October 2010 is clearer and substantially well-defined (see Annex 1). The budget attached to this logframe was output-based so that activities per component did not align with logframe activities.
- 3rd contract was signed on 12 Dec 2011 with RRC.AP and SEI separately, as an amendment of the 2nd contract. In September 2011, partners were given a chance to review the pre-October 2010 logframe, because of its high ambitions. Part of the instructions was to align budgets with activities such that partners included "knowledge assimilation" as a new activity in Component 1 when this is actually an output of Component 1 activities. Because this logframe was the accepted logframe in the amended contract, it became the official logframe. Two major failures occurred here: (i) partners used a dated logframe and were unaware of the October 2010 logframe; (ii) partners added an output as an activity. This has serious implications on the reporting of RRCAP as they used this logframe in their financial allocation and the requirement to report expenditures by component. For SEI, it continued to use the items in the original logframe for its accounting.

This could be remedied by any of the following options:

- RRC.AP to revert their output-based budget to cost-based;
- RRC.AP to report their expenditures based on the amended logframe but adapt the narrative reporting based on the October 2010 logframe. This is the option taken in this Completion Report based on a discussion with Sida (16 Oct 2012).

Chapter 3. Sector Development

The “adaptation sector” – an umbrella term for the knowledge generation, policy development and activity implementation around climate change adaptation – has grown substantially during the last three years. This growth can be seen at the local/regional and global levels. At the local/regional level, new initiatives were added to an already dynamic collective of adaptation action. These include the APAN and the ADAPT Asia-Pacific. At the level of the global, especially in terms of global environmental governance, there are new developments that could substantially impact the future of adaptation action. These include the Cancun Adaptation Framework; the Green Climate Fund; the Technology Mechanism; and, the increasing recognition, acceptance and understanding of the principles of Loss and Damage as a range of issues to be addressed in relation to the catastrophic impacts of climate change.

APAN

APAN is originally a platform for climate change adaptation initiated by the Institute for Global Environmental Strategies and focused on Asia and the Pacific. As AKP already existed when APAN came to Thailand, both initiatives decided to join hands and share resources and expertise in pursuit of a common objective. APAN was hosted by the AKP Secretariat at RRC.AP, at AIT. APAN staff worked alongside with AKP staff. Regular meetings were held and joint activities were initiated. In 2011, a retreat was held between AKP and APAN to discuss the future of both initiatives. It was agreed during the retreat that the initiatives would be joined. Preparations took the shape of working groups, where both parties hammered out the details of the merger. By mid-2012, it was agreed that the consolidated initiative would take on the name APAN and a framework document was adopted to guide the principles of engagement, priorities, and action. Preparations for future activities including the 2013 Forum and follow-up of activities of AKP are now discussed within the consolidated APAN. A proposal is currently being prepared to sustain the achievements of AKP while broadening its reach to other countries.

ADAPT Asia-Pacific

During 2011, the United States Agency for International Development (USAID) approved funding for the Climate Change Adaptation Project Preparation Facility for Asia and the Pacific (ADAPT Asia-Pacific). The program is intended to assist countries throughout Asia and the Pacific to more readily access international funding for climate change and adaptation projects. ADAPT Asia-Pacific is expected to establish a fully functional and self-sustaining adaptation project preparation facility that supports the preparation of specific projects and also builds the capacity of governments throughout the region to independently access climate adaptation funds. ADAPT Asia-Pacific works in 27 countries in the region.

This is an important development as financing is an important component that will enhance action on adaptation. Also, it will sustain the goals of AKP by building on what AKP has started such as its knowledge portal and Forum.

Cancun Adaptation Framework

At the global level, significant attention is brought to bear on the outcomes of the 16th Conference of Parties (COP 16) to the United Nations Framework Convention on Climate Change (UNFCCC) in Cancun, Mexico in 2010, and the resulting Cancun Adaptation Framework (CAF) is among the key outcomes. CAF is a call to action for all parties to the UNFCCC to enhance action on adaptation by implementing national adaptation plans and supporting them through finance, technology and capacity-building. A “scaled-up, new and additional, predictable and adequate funding shall be provided to developing country Parties, taking into account the urgent and immediate needs of developing

countries that are particularly vulnerable to the adverse effects of climate change” [11]. A Green Climate Fund was agreed to be established as the financial mechanism of the Convention. An Adaptation Committee was created to oversee the adaptation action outlined in the CAF [11].

Another important direction that CAF wanted to enshrine is the need for capacity building of developing countries to enhance adaptation by providing financing and pursuing the following:

- a) Strengthening relevant institutions at various levels, including focal points and national coordinating bodies and organizations;
- b) Strengthening networks for the generation, sharing and management of information and knowledge, including through North–South, South–South and triangular cooperation;
- c) Strengthening climate change communication, education, training and public awareness at all levels;
- d) Strengthening integrated approaches and the participation of various stakeholders in relevant social, economic and environmental policies and actions;
- e) Supporting existing and emerging capacity-building needs identified in the areas of mitigation, adaptation, technology development and transfer, and access to financial resources[11];

Green Climate Fund

Late 2011 also saw increased emphasis on climate change adaptation (CCA) in development during the 17th Conference of Parties (COP 17) in Durban, South Africa, and the 7th Session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol. The discussions recognized the importance of integrating climate change, development, poverty reduction and global sustainability. The main outcome of COP17 was the decision by Parties (194 nations) to adopt a universal legal (binding) agreement on climate change to come into force by 2020, to reduce greenhouse gas emissions. And that will cover both developed and developing countries. An institutional mechanism for the Green Climate Fund (GCF) to provide funding assistance (from 2020 onward) to developing countries to assist in coping with climate change related impacts also emerged from Durban. The GCF is expected to be the main source of financing for global mitigation and adaptation action by developing countries. Draft decisions emerging from the COP17 also included National Adaptation Plans to facilitate the integration of climate change adaptation planning, the Adaptation Fund Board, and capacity building for developing countries to enable the participation in, and implementation of, commitments under the Convention.

Financing adaptation has been a crucial issue as Narain and others [12] have shown that “the global price tag for the developing world of adapting to an approximately 2°C warmer world by 2050 is in the range of US\$ 70–100 billion a year”.

Technology Mechanism

Another issue that was decided in Cancun was on a technology mechanism to support action on mitigation and adaptation, which consists of a Technology Executive Committee and Climate Technology Centre and Network. It was recognized that reduction in emissions and the ability to adjust to the future impacts of climate change require environmentally-sound technologies. Mechanisms need to be developed to enable developing countries to adopt the technologies they need to mitigate emissions and adapt to impacts in a manner that is nationally determined and based on national circumstances and priorities [11].

Loss and Damage

An important outcome that crystallized into a real, as opposed to conceptual, agenda during COP16 is the notion of loss and damage resulting from the unfavorable impacts of climate change and how to address them. A work program was adopted during COP 17 and the UNFCCC Subsidiary Body for Implementation will recommend further actions on loss and damage during COP 18 in Doha in late 2012 [13]. Understanding on loss and damage was further bolstered with the release of IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation (SREX) which integrates understanding of disaster risk reduction, climate change and extreme events. This report highlights, among others, that:

- There is high confidence that “[E]xtreme events will have greater impacts on sectors with closer links to climate, such as water, agriculture and food security, forestry, health, and tourism”;
- There is a high confidence that “[I]ncreases in exposure will result in higher direct economic losses from tropical cyclones”;
- There is high agreement based on robust evidence that “[A]ctions that range from incremental steps to transformational changes are essential for reducing risk from climate extremes”;
- There is medium agreement and robust evidence that “[S]ocial, economic, and environmental sustainability can be enhanced by disaster risk management and adaptation approaches”; and
- There is high agreement based on medium evidence that “[T]he most effective adaptation and disaster risk reduction actions are those that offer development benefits in the relatively near term, as well as reductions in vulnerability over the longer term” [14]

Chapter 4. Achievements 2010–2012

This chapter provides a brief picture of what has and has not been achieved compared to the plan. The first section illustrates the AKP results framework underlining linkages among activities conducted, outputs produced and outcomes achieved. The latter section assesses the level of achievements of outcomes stated in the logframe for each group of stakeholders [In Outcome Mapping, these are called “boundary partners”⁷].

The core partners of AKP have realized that the results chain is not linear, but rather, is incremental and that there will be (intended and unintended) outcomes which may not be easily captured in the logframe such as qualitative and intangible changes [16]. These challenges are already noted in the revised design of AKP, which states clearly that “...many of the effects of the platform will be indirect and hard to measure: the more so given the huge diversity of cultural, institutional and development characteristics of the countries in Asia with which the Adaptation Knowledge Platform will engage” [10].

With relation to outcomes, we investigated that the achievements range from immediate/short-term to intermediate/medium-term outcomes within the continuum of knowledge and attitude of individuals and their institutions. Immediate outcomes relate to individual-level changes that happened to interviewees who participated in AKP activities whereas intermediate outcomes relate to institutional-level changes that happened to interviewees’ institutions, including organizational capacities and decision-making processes, as a result from further actions of the interviewees as a changed agent.

A detailed analysis and explanation of achieved and unachieved outcomes are demonstrated in Chapter 5.

4.1 AKP Results Framework

Figure 2 illustrates the results framework that links proven outputs, immediate and intermediate outcomes and purposes.

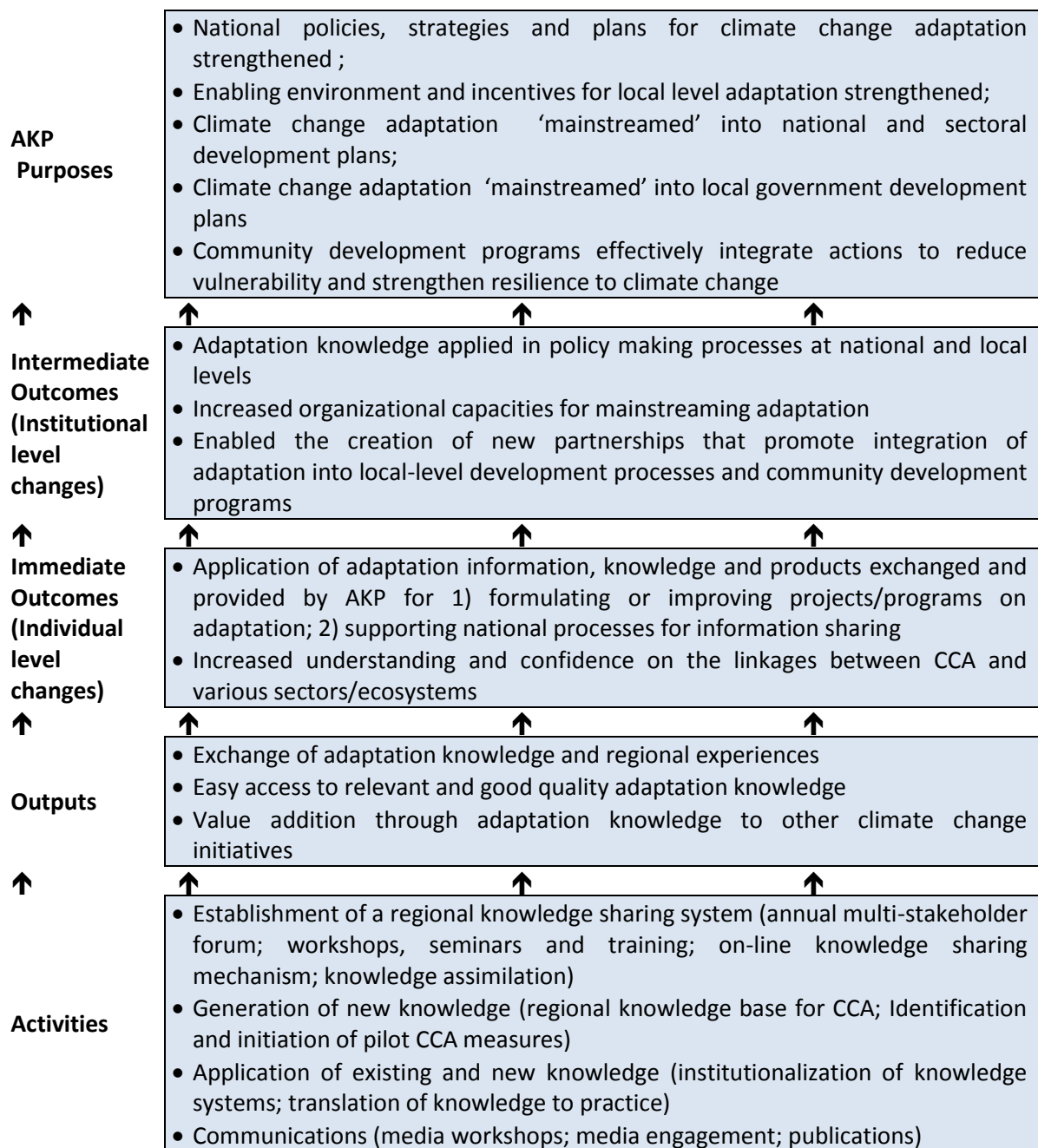
Figure 2 Results Framework

**AKP
Goal**

To facilitate climate change adaptation in Asia at local, national and regional levels and strengthen adaptive capacity.



⁷ “Boundary partners” are those “individuals, groups, and organizations with whom the program interacts directly and with whom the program anticipates opportunities for influence” 15. Earl S, Carden F, Patton MQ, Smutylo T: Outcome Mapping: Building Learning and Reflection into Development Programs. 2001, Ottawa: International Development Research Centre.15. Earl S, Carden F, Patton MQ, Smutylo T: Outcome Mapping: Building Learning and Reflection into Development Programs. 2001, Ottawa: International Development Research Centre.16. Earl S, Carden F, Patton MQ, Smutylo T: Outcome Mapping: Building Learning and Reflection into Development Programs. 2001, Ottawa: International Development Research Centre.[3: 1][3: 1](Earl et al., 2001: 1).



A survey⁸ conducted by a consultant who evaluated AKP’s achievements⁹ proves key outputs produced by four component activities¹⁰. These activities are listed in Box 2. The produced outputs proven by survey respondents include:

⁸This survey was conducted online using Google Form and was sent to 103 partners in 12 countries (Myanmar was not included) from December 2011 to February 2012. The response rate was low, only 23 partners responded to the survey, which is about 22% of the total respondents. However, if we consider the fact that the survey was established and disseminated during mid-December, with the holidays in between, and the countless follow ups to

- AKP facilitates the exchange of adaptation knowledge and regional experiences with other countries” (96% of respondents partly agree to fully agree);
- AKP provides easy access to relevant and good quality adaptation knowledge (92% partly agree to fully agree); and
- AKP adds value through adaptation knowledge to other climate change initiatives (supported by Government and external donors) (91% partly agree to fully agree).

Box 2 Component Activities

Component 1. Regional knowledge sharing system

1.1 Climate Change Adaptation Forum: An annual multi-stakeholder gathering of people working on or interested in adaptation issues in the region supported by countries and development partners in the region.

1.2 Targeted and context-specific events to brainstorm on specific theme/sector linkages with climate change, share available information and knowledge among countries in the region, propose solutions to current adaptation issues and constraints, etc. Specific themes will be identified yearly, based on national and regional needs. Different types of courses will also be offered, ranging from on-line forums to on-site trainings; subjects and structures of the trainings will be decided in consultation with the countries.

1.3 A web-based resource will be developed, where existing information on adaptation issues in Asia can be exchanged on a regular basis to facilitate and enhance dissemination of knowledge on adaptation with links to EKH, weAdapt, ALM, ELDIS, CBA-X, and Climate Witness.

1.4 Assimilation of knowledge

Component 2. Generation of new knowledge

2.1 Network of existing and emerging research institutes and other knowledge-based stakeholders in the region mobilized to identify and implement key strategic knowledge gaps on national and regional climate change adaptation policies and practices based on consultations with national and regional stakeholders

2.2 Identification and initiation of Pilot Climate Change Adaptation Measures that respond to demand, and are also of more generic significance to illustrate climate change adaptation practice in the Asia region.

Component 3. Application of existing and new knowledge

3.1 Building on existing initiatives where available, assist the development of local, national and regional-level processes to apply existing and new knowledge on climate change adaptation in the 13 Phase 1 countries

3.2 Translation of Knowledge into Practice: Compilation, synthesis and documentation of existing and new knowledge on climate change adaptation

Component 4. Communication activities

4.1 Media workshops

4.2 Media engagements

4.3 Publications

encourage the respondents to fill up the questionnaire online, this response rate could be considered decent. The survey consisted of 27 questions.

⁹ The evaluation was carried out in early 2012 for the achievements made during the implementation period (2010-2011). One of the questions the consultant asked the respondents was to rate their agreement, using a five-point Likert scale, on a selection of statements. The evaluation report is available.

¹⁰ Since there are no output indicators (targets and baselines) defined at the project design stage, the survey results justify the production of outputs.

The summary of the outputs produced by the activities under each component are shown in the following Table 2.

Table 2 Summary of Outputs Produced

Components	Activities	Summary of Outputs ¹¹
1. Regional knowledge sharing system established	1.1 Annual Multi-Stakeholder Forum-Asian Climate Change Adaptation Forum	<ul style="list-style-type: none"> • 2 Forums organized in 2010 and 2012 • 167% increase in the number of knowledge products from 3 to 8 by the second forum (2012) • 23% increase in forum participants from 611 to 750 participants by the second forum (2012) • 26% increase in the number of participating countries from 47 to 59 by the second forum (2012) • 550% increase in the number of partner organizations or sponsoring organizations from 2¹² to 13¹³ by the second forum (2012)
	1.2 Workshops, Seminars and Trainings	<p>Bi-monthly seminar:</p> <ul style="list-style-type: none"> • 7 seminars organized in 2010 and 2011 • Attendance doubled from 203 to 411 participants in 2010 to 2011 • Number of sponsoring organizations increased from 2 to 3 by 2011 <p>Workshops:</p> <ul style="list-style-type: none"> • 4 workshops/trainings organized in 2010 and 2011 • 36% increase in the number of participants from 75 to 105 by 2011 • 23% increase in the number of countries participating in workshops from 13 to 16 by 2011
	1.3 On-line Knowledge Sharing Mechanism	<ul style="list-style-type: none"> • AKP website developed • Climate change adaptation web portal developed and its guidelines developed and disseminated to 40 organizations specialized on knowledge management • 19 electronic newsletters called e-communiqué issued and 3586 email addresses registered for the subscription • Massive jump in knowledge products uploaded in the web portal from 10 to 463 and 481 in 2010, 2011 and 2012 respectively and 42% increase in the number of sites visits from 4633 in 2011 to 6577 in 2012
	1.4 Knowledge assimilation	AKP was represented in 47 international conferences, workshops or seminars
2. New knowledge generated	2.1 Regional Knowledge Base for Climate Change Adaptation	<ul style="list-style-type: none"> • 3 knowledge-based partnerships established • 8 research activities conducted or supported • 6 publications delivered
	2.2 Identification and Initiation of Pilot Climate Change Adaptation Measures	<ul style="list-style-type: none"> • 3 research projects: Understanding Planning; Comparing Adaptation and Development; and Policy Context for Planning • 3 edited reports covering 8 case studies
3. Existing and new knowledge	3.1 Institutionalization of knowledge systems	Pilot activities conducted in seven countries ¹⁴

¹¹In the absence of outputs indicator (baselines and targets), the percentage increase is calculated based on the level of progress made in 2011 and 2012 compared to the first one in 2010.

¹² These organizations are ADB and IGES.

¹³ These organizations include ADB, IGES, CDKN, KEI, ISET, UNDP, MRC, ICIMOD, FAO, ACCC, Media Alliance, Rockefeller Foundation and MFF.

¹⁴ These are: Bangladesh, Bhutan, Cambodia, Nepal, the Philippines, Thailand and Vietnam.

applied	3.2 Translation of knowledge to practice	<ul style="list-style-type: none"> • Scoping assessment implemented in 12 countries¹⁵ • 13 assessment reports, including the report in Khmer, produced
4. Communications	3.1 Media workshops	<ul style="list-style-type: none"> • 3 media workshops organized with a total of 104 participants attended • 12 news reports and articles published in 8 newspapers • 7 web reports issued in 1 blog and 2 websites • 1 live radio show by a radio station in Nepal
	4.2 Media engagements	<ul style="list-style-type: none"> • Media conference organized before the Adaptation Forum 2010 and 2012 • 67 journalists and 19 filmmakers applied for the Media Reporting Competition and the Film Festival organized as part of the 2nd Adaptation Forum program, respectively • Four media released an article on Adaptation Forum 2012 • 1 press release issued each for the launch event of AKP and the Adaptation Forum 2012 • 1 generic video on climate change adaptation • 1 teaser ad video for Adaptation Forum 2012 in 2011 • Press Center page developed under the web portal that translates and packages adaptation-related information for media • 1 seminar on the theme of the role of media, entertainment and creative industries organized in 2011 attended by more than 100 participants
	4.3 Publications	<ul style="list-style-type: none"> • 55 knowledge products (journal articles, policy briefs, books, edited books, synthesis reports, toolkits, project reports and videos) developed (see Annex 2) • Most of them uploaded in AKP website, web portal and weADAPT, one of the AKP partner • 20 knowledge products featured in an e-newsletter of SEA CHANGE (Southeast Asia Community of Practice for Monitoring and Evaluation of Climate Change Interventions) • New knowledge generated via publications was referred to by researchers and practitioners (see Box 3 below) • AKP links posted on social media well-received (e.g. consistent retweeting by the Asian Development Bank (ADB))

Box 3 AKP in Google Scholar

As search in Google Scholar on 19 October 2012 for the phrase “adaptation knowledge platform” yields very modest results. Only 17 publications mentioned “Adaptation Knowledge Platform” or cited its research products with AKP or Adaptation Knowledge Platform as the author. Only 8 authors cited AKP. These are Austin et al [1], Bhandari [2], Candano [3], Lebel [4], Othman [5], Poudel and Kotani[6], Reid et al [7], and Xu [8]. The rest only mentioned AKP in the text as a platform for climate change adaptation in Asia.

4.2 Self-Assessment of Achievement of Outcomes

This section will assess achievements of the expected outcomes. For the purpose of analysing outcomes achieved and unachieved, we first listed all the outcomes defined for each group of stakeholders in the logframe by the level of changes, immediate or intermediate levels, as shown in the ‘outcome progress marker’ column. We then assessed the achievements based on our reflection on whether each outcome had been achieved according to plan (This is shown in Table 3 below). Since there are no outcome indicators (targets and baselines) defined at the project design stage, institutional or individual changes specified in most significant change (MSC) stories and facts collected during face-to-face or phone interviews were used as indicators (See Annex 3). The MSC method is highly qualitative and described as “monitoring without indicators”, addressing complex changes that occurred to

¹⁵ These are: Greater Mekong Sub-Region (Cambodia, China PR, Lao PDR, Thailand and Viet Nam), South Asia (Bangladesh, Bhutan, Nepal and Sri Lanka) and South East Asia (Indonesia, Malaysia and the Philippines)

individual and organizations within the continuum of knowledge, attitude and practices [3]. This qualitative data provides significant insights into the individual outcomes with an 'on the ground' perspective from interviewees.

AKP can reasonably claim that its achievements are satisfactory (achievements largely following plan) as shown in Table 3. Multiple outputs from AKP activities were used for achieving outcomes mainly targeted at government policymakers responsible for national approaches to climate change adaptation and government policymakers responsible for development planning and poverty reduction strategies. AKP has had substantial engagement with the media, academia at the national level and members of international research and development agencies. However, AKP had limited outcomes with local government development planners and community-level development workers. The detailed explanation on unachieved outcomes is demonstrated in Chapter 5.

Table 3 Self-Assessment of Achievements

Group of Stakeholders	Outcome Challenge	Outcome Progress Marker (taken from the outcomes of AKP's logframe and ranked from immediate/short-term to intermediate/medium-term changes)	Outcome Levels	Assessing Effectiveness: (Very Satisfactory - achievements fully according to or exceeding plan; Satisfactory - achievements largely following plan; Less satisfactory - There are implementation problems; Unsatisfactory - Severe problems and difficulties in the achievement of outcomes)	Objectively Verifiable Indicators: Institutional or individual changes stated in interviewees' stories The numbers below refer to stories of change and facts listed in Annex3 corresponding to the changes identified	Means of Verification	Outputs ¹⁶
1. Government policy makers responsible for national approaches for climate change adaptation	These comprise the focal stakeholder group who will be directly involved in AKP activities. Thus, AKP intends to see government policymakers for national approaches for climate change adaptation pursue effective and comprehensive national adaptation policies and provide greater support for their implementation at the national level.	1. Sensitize policy makers, planners about mainstreaming adaptation in broader development frameworks at regional and national scale;	Immediate	We can reasonably claim that the achievements of outcomes 1 to 5 are satisfactory. Outcome 5 is limited by the ability of the users to actually share knowledge. Outcomes 6 and 7 are indirect outcomes which we cannot really influence.	1-1, 1-3	Key informant interviews for collecting MSC stories and facts	Exchange of adaptation knowledge and regional experiences
		2. Strengthened capacity and increased awareness of stakeholders for specific skills relating to adaptation;	Immediate/Intermediate		1-2		
		3. Strengthened support for national adaptation policies by evidence of success from pilots;	Intermediate		1-1, 1-6		
		4. Establishment of a regular and dynamic information exchange through a network of climate change practitioners;	Intermediate		1-4		
		5. Institutionalisation of regional platform Portal as climate change knowledge sharing mechanism;	Intermediate		N/A		
		6. Support for national adaptation policies strengthened by access to evidence from national and international experiences and through better national-level coordination on knowledge management;	Intermediate		N/A		
		7. Strengthened national adaptation policy and planning systems and enhanced political and institutional support to climate change adaptation actions	Intermediate		N/A		
2. Government policy makers responsible for development planning and poverty reduction strategies	This is the most important group in terms of ensuring that adaptation is 'mainstreamed' in national development and poverty reduction. AKP intends to enable government policy makers responsible for development planning and poverty reduction strategies gain a greater understanding of what	1. Increased awareness and ownership of adaptation and climate risk reduction processes in key development and poverty reduction sectors	Immediate	Given the initiatives started, we can claim that outcomes 1 to 5 have been satisfactorily achieved. Outcome 6 is unsatisfactory as it is overambitious and one where none of our activities will directly influence. Instead, when a sufficient level of awareness is reached, improved institutional coordination should happen. Outcome 7 is not achieved. Funds and longer term	2-6		Value addition through adaptation knowledge to other climate change initiatives
		2. Increased awareness and understanding of the nature and potential of adaptation actions and the mainstreaming of adaptation into development planning and poverty reduction	Immediate		2-3, 2-5, 2-6		
		3. Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	Immediate		2-1, 2-4		
		4. Strengthened capacity of stakeholders for specific skills relating to adaptation mainstreaming	Immediate/Intermediate		2-2, 2-4, 2-6		
		5. Establishment of a regular and dynamic information exchange through a network of climate change practitioners	Intermediate		2-2, 2-4		

¹⁶This refers to the three outputs specified in the results framework.

Group of Stakeholders	Outcome Challenge	Outcome Progress Marker (taken from the outcomes of AKP's logframe and ranked from immediate/short-term to intermediate/medium-term changes)	Outcome Levels	Assessing Effectiveness: (Very Satisfactory - achievements fully according to or exceeding plan; Satisfactory - achievements largely following plan; Less satisfactory - There are implementation problems; Unsatisfactory - Severe problems and difficulties in the achievement of outcomes)	Objectively Verifiable Indicators: Institutional or individual changes stated in interviewees' stories The numbers below refer to stories of change and facts listed in Annex3 corresponding to the changes identified	Means of Verification	Outputs ¹⁶
	they need to do to make adaptation a central part of overall planning, with consequent changes to national policy approaches that will strengthen the resilience of vulnerable people and reduce the risks from climate change impacts.	6. Institutional coordination and cross-sectoral evidence base to support adaptation mainstreaming strengthened 7. Establishment of a mechanism to ensure adaptation knowledge sharing and learning at national level	Intermediate Intermediate	intervention are needed, among others.	N/A N/A		
3. Local government development planners	For a limited group of local government planners, AKP intends to directly engage Local government development planners in their activities, either in pilots to develop models for mainstreaming adaptation at the sub-national level or through involvement in capacity building activities. Thus, AKP would like to see that their capacities to mainstream adaptation are significantly and directly enhanced.	1. Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options 2. Increased awareness and understanding of the character of adaptation actions and the mainstreaming of adaptation into local level planning 3. Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions 4. Strengthened knowledge and awareness of both vertical and horizontal integrations at sub-national level 5. Strengthened capacity of stakeholders for specific skills relating to adaptation 6. Establishment of a regular and dynamic information exchange mechanism for use at local level 7. Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion	Immediate Immediate Immediate Intermediate Immediate/Intermediate Intermediate Intermediate	During the first phase of AKP, local government development partners were not a top priority as compared to national level government partners. Our achievement on outcomes 1 to 3 is satisfactory. Unsatisfactory for outcome 4 as this is not only restricted to adaptation concerns but largely the whole gamut of governance. Outcome 6 and 7 are unsatisfactory. Nothing done for these at the local level.	3-1, 3-3 3-1, 3-2 3-1 N/A N/A N/A N/A		
4. Community-level development workers	AKP intends to see community-level development workers to internalise and translate into changes in the way they work at the community level information and models of mainstreaming	1. Development workers update themselves regularly on current Climate Change news/topics 2. Increased awareness of communities and development workers of adaptation planning 3. Awareness and understanding of the nature and potential of adaptation actions to reduce vulnerability and strengthen resilience amongst poor communities increased 4. Establishment of a regular and dynamic information exchange mechanism for use at local level	Immediate Immediate Immediate Intermediate	Satisfactory outcomes for 1 and 2. Outcomes 3 to 7 are unsatisfactory as the project was not set up for direct community level interventions.	4-5, 4-2, 4-3, 4-4, 4-7, 4-8, 4-13, 4-14, 4-15 N/A N/A		

Group of Stakeholders	Outcome Challenge	Outcome Progress Marker (taken from the outcomes of AKP's logframe and ranked from immediate/short-term to intermediate/medium-term changes)	Outcome Levels	Assessing Effectiveness: (Very Satisfactory - achievements fully according to or exceeding plan; Satisfactory - achievements largely following plan; Less satisfactory - There are implementation problems; Unsatisfactory - Severe problems and difficulties in the achievement of outcomes)	Objectively Verifiable Indicators: Institutional or individual changes stated in interviewees' stories The numbers below refer to stories of change and facts listed in Annex3 corresponding to the changes identified	Means of Verification	Outputs ¹⁶
	adaptation.	5. Strengthened knowledge of both vertical and horizontal integrations at community level	Immediate/Intermediate		N/A		
		6. Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options	Immediate/Intermediate		N/A		
		7. Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	Intermediate		N/A		
5. Members of international research and development agencies	AKP intends to see that members of international research and development agencies will contribute to improving the practice of adaptation across the Asian region by strengthening their understanding of how to reduce vulnerability, enhance resilience and formulate viable approaches to adaptation.	1. Strengthened awareness and ownership of adaptation and climate risk reduction processes at large	Immediate	Outcomes 1 to 4 satisfactory through outreach activities, including Forum, workshops, trainings, publications, portal and website. Outcome 5 is unsatisfactory because the international research and development agencies involved in AKP are regional international organisations which may not have direct local level contacts.	5-6, 5-7, 5-9, 5-10, 5-12, 5-13		
		2. Increased knowledge and awareness on the character and effectiveness of adaptation planning and actions at national, sub-national and local levels	Immediate		5-5 (for case study findings), 5-8, 5-10		
		3. Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion	Intermediate		5-1, 5-4, 5-7		
		4. Strengthened capacity of stakeholders for specific skills relating to adaptation	Immediate/Intermediate		5-2, 5-3, 5-4, 5-6, 5-8, 5-9, 5-11, 5-12		
		5. Establishment of a regular and dynamic information exchange mechanism for use at local level	Intermediate		N/A		
6. Poor people vulnerable to climate change impacts	AKP intends to see that this group of stakeholders will benefit from the improved policy and regulatory environment that conditions local-level choices and actions and integrating adaptation in poverty reduction, environmental management and social and gender development.	1. The scope and effectiveness of local-level adaptation actions enhanced by a more supportive policy, planning and regulatory environment	Intermediate	Unsatisfactory. This outcome will be achieved if the right kind of information exchange mechanisms is present, working and influenced policy and planning. Such mechanisms are not the direct outcomes of AKP. AKP assumes that changes at the policy level will trickle down to these stakeholders over the long term. Future AKP interventions need to pursue a more grounded modality to address this need.	N/A		

Individual and institutional changes collected through interviews verify that each of the proven outputs was used for achieving key immediate and intermediate outcomes. These outcomes further contributed to achieving the AKP's purposes as the outcomes address some of the objectively verifiable indicators of the purpose statement in the logframe:

- The different levels of stakeholders are able to *use* the knowledge and products provided by the Adaptation Knowledge Platform to change and improve their planning and decision-making.
- Work programmes of community-level organisations adapted based on information derived from platform.

Chapter 5 Analysis of Achieved and Unachieved Outcomes

5.1 Analysis of Achieved Outcomes

The achieved outcomes were made possible due to the confluence of a number of factors. First, there is a clear need for adaptation information. Until 2007, most of the discussions on climate change were on mitigation and the processes and politics associated with IPCC and UNFCCC. Adaptation was not a major priority until IPCC Fourth Assessment Report, Climate Change 2007 (AR4) [17] which demonstrated that climate has changed largely due to anthropogenic causes, and that adaptation is a necessary course of action, since the results of mitigation will take a long time to take effect. Then the Stern Review came out in 2007, highlighting that the cost to humankind would be 20 times greater if climate change is not addressed now and that acting now has minimal cost compared to the foreseeable cost of the impacts [18]. Second, all stakeholders, including partners and donors had been emboldened by the desire to do something, such that interest in the Forum, the bi-monthly seminars and side-events has been increasing. Third, the guidance of SENSEA, from AKP's inception to its first year of implementation, has been instrumental in instilling confidence among the core partners to press on with the important task at hand. Finally, the core partners have complementary expertise which a complicated initiative such as AKP needs.

With respect to the outcomes achieved as shown in Table 3, these may be described as 'quick wins' or 'low hanging fruits' which AKP accomplished during the first two years of implementation. These outcomes are the early results of AKP and largely in the domains of knowledge and attitude. Changes in practice, especially in climate change adaptation policies and development planning, take a while to show and are expected during the follow-up phase/s of AKP because the goal it intended to address is complex and manifold interventions of different stakeholders are needed. Transformation in development planning to integrate adaptation considerations and foster adaptive capacity is a complex process and cannot solely be effected by one initiative or program. AKP has made a contribution by working in tandem with other stakeholders to unravel the complexity of this process, and the required transformation will happen.

Key stakeholders wherein changes have been achieved are government policymakers involved in climate change adaptation planning, research organizations, community-level development workers and the media.

5.2 Analysis of Unachieved Outcomes

. In Table 3, the outcomes are listed in priority for each group of stakeholders with their corresponding outcome challenge¹⁷. These challenges are listed from the most basic moving into what is more complex (and, therefore, more difficult to achieve but also in some ways more sophisticated and not always appropriate for all stakeholders in question). Furthermore, some stakeholders' capacities

¹⁷ "An outcome challenge describes how the behaviour, relationships, activities, or actions of an individual, group, or institution will change if the program is extremely successful. Outcome challenges are phrased in a way that emphasizes behavioural change. They should be idealistic but realistic. This is done for two reasons: it stresses that development is done by, and for, people; and it illustrates that, although the program can influence the achievement of outcomes, it cannot control them. The program contributes to the change, but ultimate responsibility and power for change rests with the boundary partners themselves." 15. Earl S, Carden F, Patton MQ, Smutylo T: Outcome Mapping: Building Learning and Reflection into Development Programs. 2001, Ottawa: International Development Research Centre.

may not be adequate yet to enable them to move on to some of the later outcomes (further down the list). Therefore, the outcomes listed show a certain sequence. Some of these outcomes are only indirectly influenced by AKP activities. As a result, we cannot suggest that the project has failed just because we have no evidence of improved institutional coordination at decision maker level, for example. Or, in other words, many of the outcomes will appear only after some time because the activities have stimulated the awareness and provided examples for lesson learning, which are the first steps in this process. Once the appropriate level of awareness is reached, many of the expected outcomes will hopefully also be achieved.

To understand the level of achievements, we need to look at each of the group of stakeholders and the outcome challenges targeted.

Government policy makers responsible for national approaches for climate change adaptation – our priority group of stakeholders

1. *Sensitize policy makers, planners about mainstreaming adaptation in broader development frameworks at regional and national scale*
2. *Strengthened capacity and increased awareness of stakeholders for specific skills relating to adaptation*
3. *Strengthened support for national adaptation policies by evidence of success from pilots*

All of these are about awareness, and AKP claims that it has really done its best to achieve these.

4. *Establishment of a regular and dynamic information exchange through a network of climate change practitioners*

AKP tried to do this, and has succeeded to some degree.

5. *Institutionalisation of regional platform portal as climate change knowledge-sharing mechanism*

We have tried to do this, but the actual sharing of knowledge will depend on the users, so we cannot guarantee that this will remain useful or be populated with information after funding stops.

6. *Support for national adaptation policies strengthened by access to evidence from national and international experiences and through better national-level coordination on knowledge management*

The information portal, the information dissemination and the regional Forum have done their bit to contribute to this challenge.

7. *Strengthened national adaptation policy and planning systems and enhanced political and institutional support to climate change adaptation actions*

This is a subsequent/indirect outcome that AKP cannot really influence. Hopefully, the raised awareness about how adaptation is mainstreamed will lead to this final outcome.

Government policy makers responsible for development planning and poverty reduction strategies – also our priority group of stakeholders

1. *Strengthened awareness and ownership of adaptation and climate risk reduction processes in key development and poverty reduction sectors*

This has been considered achieved.

2. *Awareness and understanding of the nature and potential of adaptation actions and the mainstreaming of adaptation into development planning and poverty reduction increased*

To an extent, this has been considered achieved.

3. *Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions*

This is very similar to the second one, but is about seeing the concept in action through examples.

4. *Strengthened capacity of stakeholders for specific skills relating to adaptation mainstreaming*
5. *Establishment of a regular and dynamic information exchange through a network of climate change practitioners*

AKP tried to do and to some degree succeeded in both of these outcome challenges.

6. *Institutional coordination and cross-sectoral evidence base to support adaptation mainstreaming strengthened*

This is quite a tall order for the first two years. AKP may have been overambitious about this outcome as it can be achieved only through better awareness. None of our activities can directly influence this outcome, but improved institutional coordination should happen, when a sufficient level of awareness is reached.

7. *Establishment of a mechanism to ensure adaptation knowledge sharing and learning at national level*

This is not likely to happen during the first two years when issues of awareness and capacity building were the initial concerns. This also implies that partners have sufficient resources to pursue this on their own, which will only happen and remain in place if people are interested.

Local government development planners- third-level priority

1. *Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options*
2. *Awareness and understanding of the character of adaptation actions and the mainstreaming of adaptation into local level planning increased*
3. *Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions*

Again, all these relate to awareness, and although AKP tried its best to involve local government development planners in its activities, they have not been a priority.

4. *Strengthened knowledge and awareness of both vertical and horizontal integrations at sub-national level*

This is an important outcome challenge but is not necessarily restricted to adaptation. Many levels of awareness of many issues are needed to achieve this level of integration.

5. *Strengthened the capacity of stakeholders for specific skills relating to adaptation*

The pilot activities implementation, forum and scoping assessments are some of the activities which would have contributed to achieving this challenge, but given that local government development planners are not a priority boundary partner, only tentative achievements have been made.

6. *Establishment of a regular and dynamic information exchange mechanism for use at local level*

AKP can only indirectly contribute to this impact, which it hopes would come through raised awareness.

7. *Establishment of a regular and dynamic information exchange through a network of climate change focal points' internet moderated discussion*

Largely unachieved due to the infrastructure and organization needed to establish this internet moderated discussion.

Community-level development workers - third-level priority

1. *Development workers are updated regularly on current-affairs climate change news*

This is achieved to an extent through e-communicues, bi-monthly seminars and updates through the portal and associated networks such as weADAPT.

2. *Increased awareness among communities and development workers about adaptation planning*

Achieved.

3. *Increased awareness and understanding of the nature and potential of adaptation actions to reduce vulnerability and strengthen resilience amongst poor communities.*

Unachieved. Awareness raising is a major step forward toward adaptation because adaptation is largely about behavioural change (attitudes, strategies, processes and institutions), and behaviour is very much motivated by awareness (and perceptions).

4. *Establishment of a regular and dynamic information exchange mechanism for use at local level*

Unachieved. This is probably the next step toward adaptation, but the reality is that AKP was not really set up to achieve this.

5. *Strengthened knowledge of both vertical and horizontal integrations at community level*

Unachieved. Again, probably very important as a way of sharing information but one which AKP was not specifically designed for.

6. *Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options*

Unachieved. This concerns awareness about a very specific issue – adaptation planning.

7. *Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions*

This is also about adaptation planning, but is more about knowledge of specific examples. This was not achieved due to limited demonstration effect of AKP's local interventions. The pilot activities implementation did not produce the expected ripple effect because they were too localized and short-term, and AKP encountered operational problems which are discussed later.

Members of international research and development agencies - secondary priority, but probably where most success has been reached

1. *Strengthened awareness and ownership of adaptation and climate risk reduction processes at large*
2. *Improved knowledge and awareness on the character and effectiveness of adaptation planning and actions at national, sub-national and local levels*

Both were achieved through AKP's outreach activities, including the Forum, and publications.

3. *Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion*

Again, achieved through AKP's outreach activities, including the Forum, publications and discussions.

4. *Strengthened capacity of stakeholders for specific skills relating to adaptation*

The Forum, its side events, bi-monthly seminars, pilot activities implementation and scoping contributed to achieving this challenge.

5. *Establishment of a regular and dynamic information exchange mechanism for use at local level*

This is unachieved because of limited local-level engagement of AKP.

Poor people vulnerable to climate change impacts - lowest-level priority only because we don't have access to them; they are accessed only through other partners

1. *The scope and effectiveness of local-level adaptation actions enhanced by a more supportive policy, planning and regulatory environment*

As a development project, AKP believes that poor people vulnerable to climate change impacts are the ultimate target stakeholder group of its interventions as any outcome would not be useful until it reduces their vulnerability and increase their resilience. However as a pioneering initiative on adaptation, policy engagement on climate change adaptation, development planning and poverty reduction at the national level was a primary concern to address the institutional aspect of adaptation. Furthermore, a new project working at the national level needs to establish buy-in among key national stakeholders. From the start, AKP realized that it would have a limited direct engagement with the poor and the vulnerable groups. In fact, it was hoped that the action-oriented design to research and pilots

will indirectly create impacts on these groups¹⁸. Having addressed these limitations, AKP proposes that the future phase of AKP (through APAN) would engage in more locally grounded activities.

In Table 3 **Error! Reference source not found.**, achieved outcomes are classified as progress markers ('gradual or milestone changes') in Outcome Mapping (OM) that could be categorized in terms of knowledge, attitude and practice (KAP) with significant categories largely in the domain of knowledge and attitude. KAP is a sequence or process of change where knowledge precedes attitude and attitude precedes practice. In the KAP model, knowledge (K) is about knowing the intention of the project. Attitude (A) is the "emotional' and motivational connection to the project's intention". Practice (P) is about the actions the partners in a project create [19]. In AKP, the practice category of change still seems to have a long way to go, especially in terms of mainstreaming adaptation in development planning and is not achievable in a program span of two-three years of implementation. In other words, we are progressing in addressing knowledge and attitude categories of change and, arguably, contributing to improvement of adaptation practice. However, the latter needs more time to be fully embedded in planning practices in each country and hence, produce impacts.

- P1 (building interest, capacity)–boundary partners developed an understanding of the project goals, their role, that the role of other stakeholders (including the beneficiaries) and implications of the project's goals on their environment (social, economic and bio-geographical), plus feedback of any concerns implied by planned change.
- P2 (involved, promoting) - boundary partners had more tangible engagement in the project's activities. The partner is acting independently in support of the project's mission and carries out proposed tasks. These outcomes also include the partner communicating the project's intended goals to others and supporting the latter's participation or making the desired change relevant.
- P3 (owning and sustaining) - outcomes consistent with institutionalization of intended change and ownership in continuing the desired changes. At the individual and group levels, the outcomes demonstrate cultural transformation. At institutional levels (national, regional or international organizations' levels) the actions are reflected in strategies, changed systems and policies embedded into rules and regulations.

Box 4 Description of Phases in Nyangaga and Schaeffer (2011)

This process of change experienced by AKP during the first phase seems to follow the findings of Nyangaga and Schaeffer [19], wherein change occurs in stages or phases as passive or early changes (such as capacities being built). Yet, deep changes, such as vertical and horizontal integration of adaptation policies, are long-term processes. Realizing that the KAP model does not distinctively identify where each of the progress markers belong in the KAP continuum as shown in Table 4 and given that the actions described relate to practice outcomes, they developed a typology of outcomes. These are called P1, P2, and P3 in order to account for the various phases of the change process [19]. These phases are described in Box 4.

It appears then that AKP's outcomes can be described as a nascent P2 phase where partners learned about adaptation, acquired capacities and, in some instances, pursued actions to apply what they learned. This is shown in the most significant stories partners shared, as well as in the findings of the survey conducted during the evaluation which are discussed earlier. The succeeding phase of AKP needs to follow up on the deeper outcome challenge unachieved during this phase and build on the momentum already generated.

¹⁸ AKP wrote in its Inception Report in 2010: "The main outcome of the Adaptation Knowledge Platform at this level will be indirect, by influencing the policy and regulatory environment that conditions local-level choices and actions and through providing the people and institutions who are engaged directly at this level with new thinking and approaches to poverty reduction, environmental management and social and gender development that sees adaptation actions as an integral part of these approaches." [1: 5].

Table 4 presents both achieved and not achieved outcomes.

Table 4 Achieved and unachieved outcomes of AKP

Group of Stakeholders	Outcome challenge	Outcome progress marker (taken from the outcomes of AKP's logframe and ranked from immediate/short-term to intermediate/medium-term changes)	KAP Model (Knowledge, Attitude, Practice)	Type of practice outcome (P1, P2, P3)	Degree of achievement
1. Government policy makers responsible for national approaches for climate change adaptation	These are the focal stakeholder group who will be directly involved in AKP activities. Thus, AKP intends to see government policy makers for national approaches for climate change adaptation pursue effective and comprehensive national adaptation policies and provide greater support for their implementation at the national level.	1. Sensitize policy makers, planners about mainstreaming adaptation in broader development frameworks at regional and national scale;	K, A	P1	Satisfactory achievement
		2. Strengthened capacity and increased awareness of stakeholders for specific skills relating to adaptation;	K, A, P	P1	Satisfactory achievement
		3. Strengthened support for national adaptation policies by evidence of success from pilots;	K, A, P	P2	Satisfactory achievement
		4. Establishment of a regular and dynamic information exchange through a network of climate change practitioners;	P	P1	Satisfactory achievement
		5. Institutionalisation of regional platform Portal as climate change knowledge sharing mechanism;	K, A, P	P3	Satisfactory achievement
		6. Support for national adaptation policies strengthened by access to evidence from national and international experiences and through better national-level coordination on knowledge management;	P	P3	Unachieved
		7. Strengthened national adaptation policy and planning systems and enhanced political and institutional support to climate change adaptation actions	K, A, P	P3	Unachieved
2. Government policy makers responsible for development planning and poverty reduction strategies	This is the most important group in terms of ensuring that adaptation is 'mainstreamed' in national development and poverty reduction. AKP intends to government policy makers responsible for development planning and poverty reduction strategies gain a greater understanding of what they need to do to make adaptation a central part of overall planning, with consequent changes to national policy approaches that will strengthen the resilience of vulnerable people and reduce the risks from climate change impacts.	8. Strengthened awareness and ownership of adaptation and climate risk reduction processes in key development and poverty reduction sectors	K, A, P	P1	Satisfactory achievement
		9. Awareness and understanding of the nature and potential of adaptation actions and the mainstreaming of adaptation into development planning and poverty reduction increased	K, A	P1	Satisfactory achievement
		10. Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	K, A, P	P1	Satisfactory achievement
		11. Strengthened capacity of stakeholders for specific skills relating to adaptation mainstreaming	K, A	P2	Satisfactory achievement
		12. Establishment of a regular and dynamic information exchange through a network of climate change practitioners	K, A, P	P2	Satisfactory achievement
		13. Institutional coordination and cross-sectoral evidence base to support adaptation mainstreaming strengthened	K, A, P	P3	Unachieved

Group of Stakeholders	Outcome challenge	Outcome progress marker (taken from the outcomes of AKP's logframe and ranked from immediate/short-term to intermediate/medium-term changes)	KAP Model (Knowledge, Attitude, Practice)	Type of practice outcome (P1, P2, P3)	Degree of achievement
		14. Establishment of a mechanism to ensure adaptation knowledge sharing and learning at national level	P	P3	Unachieved
3. Local government development planners	For a limited group of local government planners, AKP intends to directly engage Local government development planners in their activities, either in pilots to develop models for mainstreaming adaptation at the sub-national level or through involvement in capacity building activities. Thus, AKP would like to see that their capacities to mainstream adaptation are significantly and directly enhanced.	8. Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options	K, A	P1	Satisfactory achievement
		9. Awareness and understanding of the character of adaptation actions and the mainstreaming of adaptation into local level planning increased	K, A	P1	Satisfactory achievement
		10. Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	K, A, P	P2	Satisfactory achievement
		11. Strengthened knowledge and awareness of both vertical and horizontal integrations at sub-national level	K, A, P	P3	Unachieved
		12. Strengthened capacity of stakeholders for specific skills relating to adaptation	K, A, P	P3	Unachieved
		13. Establishment of a regular and dynamic information exchange mechanism for use at local level	P	P3	Unachieved
		14. Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion	P	P3	Unachieved
		4. Community-level development workers	AKP intends to see community-level development workers to internalise and translate into changes in the way they work at the community level information and models of mainstreaming adaptation.	8. Development workers are updated regularly on current-affairs Climate Change news	K, P
9. Increased awareness of communities and development workers of adaptation planning	K			P1	Satisfactory achievement
10. Awareness and understanding of the nature and potential of adaptation actions to reduce vulnerability and strengthen resilience amongst poor communities increased	K, A			P1	Unachieved
11. Establishment of a regular and dynamic information exchange mechanism for use at local level	P			P3	Unachieved
12. Strengthened knowledge of both vertical and horizontal integrations at community level	P			P3	Unachieved
13. Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options	K, A, P			P3	Unachieved
14. Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	K, A, P			P3	Unachieved
5. Members of international research and	AKP intends to see that members of international research and development			6. Strengthened awareness and ownership of adaptation and climate risk reduction processes at large	K, A

Group of Stakeholders	Outcome challenge	Outcome progress marker (taken from the outcomes of AKP's logframe and ranked from immediate/short-term to intermediate/medium-term changes)	KAP Model (Knowledge, Attitude, Practice)	Type of practice outcome (P1, P2, P3)	Degree of achievement
development agencies	agencies will contribute to improving the practice of adaptation across the Asian region by strengthening their understanding of how to reduce vulnerability, enhance resilience and formulate viable approaches to adaptation.	7. Improved knowledge and awareness on the character and effectiveness of adaptation planning and actions at national, sub-national and local levels	K, A	P1	Satisfactory achievement
		8. Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion	P	P2	Satisfactory achievement
		9. Strengthened capacity of stakeholders for specific skills relating to adaptation	K, A, P	P2	Satisfactory achievement
		10. Establishment of a regular and dynamic information exchange mechanism for use at local level	P	P3	Unachieved
6. Poor people vulnerable to climate change impacts	AKP intends to see that this group of stakeholders will benefit from the improved policy and regulatory environment that conditions local-level choices and actions and integrating adaptation in poverty reduction, environmental management and social and gender development.	2. The scope and effectiveness of local-level adaptation actions enhanced by a more supportive policy, planning and regulatory environment	P	P3	Unachieved

Finally, an important design challenge which AKP intended to achieve was to facilitate local ownership of the initiative among national stakeholders. AKP believes that

The 'ownership' of national stakeholders is critical and will be contingent on the Adaptation Knowledge Platform demonstrating effectiveness and added value to them. To achieve this, the Adaptation Knowledge Platform has taken an evolutionary approach, starting with clearly-defined and achievable activities at the national level and then reviewing the outputs from these activities with stakeholders to assess their effectiveness and agree the next steps in the national-level institutionalization process [10: 30].

Obviously, this ambition is easier said than achieved. Despite the number of activities AKP initiated to achieve a level of local ownership that partners can reasonably claim, AKP has not made substantial achievements in this area. The statements "There is local ownership of AKP. Decisions are made in country and the AKP partners (SEI or RRCAP) only provide technical support" received a low rating as compared to other statements during an independent evaluation. Only 39% partly disagree to fully disagree and 13% didn't know of this statement.

AKP has recognized the enormity of the challenge such that it reported it in its Inception Report [10]

The tasks associated with developing a suitable institutionalization process in the 13 target countries represent the most significant individual challenge the Adaptation Knowledge Platform faces. The approach must be tailored to the characteristics of individual countries, must reflect existing initiatives and must avoid being over-ambitious.

Thus, AKP's approach was incremental and facilitative. Only five countries were originally chosen for pilot activities implementation (Bangladesh, Cambodia, Nepal, Thailand and Vietnam)¹⁹ and local partners implemented the activities. Also, about 30% of AKP's budget would have to be spent directly by national implementing partners. During the "pilot" phase, knowledge gaps were identified and capacity building strategies developed. The activities in "pilot countries" started with an assessment of existing policies and state of knowledge and initiatives, a review of the institutional mechanisms, research priorities identification, and adaptive capacity development strategy. Later, four more countries were to be scoped in 2010 (Sri Lanka, Bhutan, China and Philippines) and another four in 2011 (Myanmar, Lao PDR, Malaysia, and Philippines). In other words, the key outputs of AKP, aside from the Forum, are insights from pilot activities implementation, research products arising out of the knowledge generation activities, and assessment of adaptation needs and strategies.

5.3 Factors Underpinning the Unachievement of Outcomes

The factors underpinning the failure to achieve some of the outcomes of AKP are rooted in three categories: partners-related, design-related (or structural), and external conditions. Since these issues were already identified and discussed during the evaluation, the details are not repeated here.

Partners-related factors

- Staff turnover

Both core partners suffered high staff turnover starting from Directors of partner organizations to program managers of AKP. At a management level, this means that there was a management vacuum. Initially, SENSA, the Center Directors of SEI and RRCAP, and ROAP regularly met to discuss AKP. This management body was lost in 2011 and did not recover. Instead, the program managers (or advisors in the case of RRCAP) of AKP became the *de facto* management body as well as the implementation body.

- Failure to allocate 30% of budget to be directly spent by local partners for agreed activities

The core partners did not follow the design of AKP, resulting in minimal expenditures at national or local level. This limited the buy-in and visibility of AKP at the national level.

- Limited time allocation for pilot activities

AKP faced severe limits on the amount of time the core partners could have allocated to pilot activities at the beginning of the implementation phase due to a few reasons. First, much of the time of core partners was spent preparing for the Adaptation Forums. The Adaptation Forum was originally designed for 150 participants with a limited program coverage. Instead, the first and second Forums attracted more than 600 and 700 participants, respectively. In addition, the number of sponsoring organizations increased from 2 in the first Forum to 13 in the second Forum with an extensive thematic coverage. This is mainly because the Forum became one of AKP's major activities following solid partnerships with APAN and ADB, who had their own agenda on knowledge sharing via adaptation forums and online resources. Second, staff changes affected the delay in the process for planning and preparing pilot activities as also pointed out in the evaluation. As a result, implementation of pilot activities, which was among the key activities of AKP to generate a demonstration effect, was not done on time to produce lessons to share with other stakeholders.

¹⁹ Bhutan was later added to this list in 2010 when it was recognized that both Bhutan and Nepal share similar characteristics and experiences such that synergies and new insights will be achieved by expanding the coverage and utilizing some funding from the existing initiatives of the partner in Bhutan.

Design-related factors

In relation to the factors mentioned above, the staff who managed AKP during the heyday of activities' implementation did not understand the logframe of AKP and knowledge on the design of AKP was not properly transferred to the remaining staff when some senior staff left (see discussion on staff turnover above). AKP has several versions of its logframe as discussed in Chapter 2. The remaining staff belatedly understood the situation. As a result, activities for each outcome challenge were not properly monitored, targets were not set and there were no mechanisms to verify how each partner had achieved its allocated outputs. In addition, the core partners were also not aware of AKP's key target stakeholders. Such lack of awareness led to certain activities not targeted at the right audience. Or activities for a specific stakeholder were not carried out with the right intensity to produce tangible outcomes. Also, the lack of understanding of the logframe resulted in core partners (RRC.AP and SEI) lacking clarity in their tasks with respect to activities they both shared, leading to delay in implementation of these activities. Furthermore, the logframe was overly ambitious. In hindsight, a number of outcome challenges should not have been there in the first place given that AKP only operated for two years and covered 13 countries. Despite these deficiencies, the logframe would have still been a useful tool for project management.

External conditions

- Phase-out of SENSEA

First, and probably, the most important is the phasing out of SENSEA. SENSEA had always been part of the decision-making structure of AKP. Without the steady hand of SENSEA and the parallel high staff turnover in the core partners, overall guidance for project implementation was lost. As a result, partners were focused in pursuing their outputs with scant regard for the bigger picture.

- Unforeseen circumstances

One of the scoping assessments (Myanmar) was not conducted when the national implementing partner decided to cancel the activity due to "unforeseen circumstances". RRC.AP was unable to restart the process with new partners within the time available (Feb 2012). In consultation with SEI and UNEP ROAP, the RRC.AP decided to reallocate the unspent budget to other Component 3 activities in Bangladesh, Nepal and the Philippines where work was in progress. The reallocation of the budget was reflected in a revised workplan 2012, which was submitted on 30 March 2012.

5.4 How were the challenges and problems addressed?

After the evaluation during the first quarter of 2012, the core partners agreed to address each of the recommendations of the consultant. The core partners met and communicated regularly. Activities were better coordinated. Decisions made were more transparent and documented. More consultations were made. In short, the core partners decided to work together and closer to maximize the returns for AKP. For instance, the unfinished scoping assessment and pilot activities implementation were planned and carried out. The results were shared with all the core partners.

5.5 Unanticipated outcomes

In view of the fertile landscape for follow-up action, AKP influenced the implementation of two regional knowledge sharing initiatives: APAN and ADAPT Asia-Pacific. Through AKP's facilitative role in information exchange, such as the adaptation forums and web portal, APAN and ADAPT Asia-Pacific incorporated the establishment of a regular and dynamic information exchange mechanism for use at

various levels into their program design. This is demonstrated by the fact that the two initiatives organized or collaborated with AKP for the Asia Pacific Adaptation Forums, bi-monthly seminars, e-Communiqué and web portal²⁰.

Aside from co-organizing the Forum, APAN also held side events, further enriching the Forum. In the case of ADAPT Asia-Pacific, its goal of assisting countries in the region to obtain financing for adaptation provided further impetus to the development of a robust platform of knowledge sharing and networking on adaptation. During the bidding for ADAPT Asia-Pacific, one of the requirements for the contractor was to:

“... identify a regional knowledge platform partner(s) [EMPHASIS OURS] with an existing internet website presence to act as a regional knowledge sharing platform for ADAPT. The regional platform serves as the principal mechanism through which innovative practices and experiences from the project’s activities are shared, replicated, and scaled-up in Asia. [...] Preference should be given to platforms which already have substantial information related to existing climate funds and mechanisms, including comprehensive lists of climate funds and mechanisms²¹.”

AKP is specifically listed in this Task as one of the two platforms that any bidder must consider. Clearly, USAID RDMA understood the role of AKP and its services in this request for proposal (RFP) by specifically naming AKP as one of the two platform partners which any contractor should work with. In an amendment to the RFP, USAID RDMA emphasized that AKP is a public good and is therefore available to work with any party. Several American consultancy firms, including ICF International, Chemonics, and DAI wanted to partner with AKP in this bid. Eventually, AKP partners went with ICF and reportedly made it to the last round where there were only two competitors. Finally, it was the AECOM/IGES bid that won. ADAPT Asia was launched in March 2012. In these two instances, AKP provided a platform for other initiatives to build on and pursue their own goals and objectives.

²⁰Please see the website of APAN (<http://www.apan-gan.net/>) and ADAPT Asia-Pacific (<http://www.adaptasiapacific.org/>).

²¹Request for Proposals (RFP) No. 486-11-027, Asia Climate Change Adaptation Project Preparation Facility (ADAPT), USAID/RDMA, Thailand

Chapter 6. Mainstreaming Adaptation in Development Planning: Key Insights from AKP's Knowledge Generation Work

AKP's *raison d'être* is to mainstream adaptation into development planning. At the end of Phase 1, AKP has laid the foundation for an active conceptual and practical engagement with the ethos of mainstreaming, but much remains to be done; this is likely a long-term challenge. Among decision-makers in the region, climate change and vulnerability to climate impacts are still not well understood. Climate change is mostly addressed separately from development and poverty reduction, and uncertainty about regional and local-level impacts prevents effective responses. The pursuit of climate finance – a crucial resource – may exacerbate the problem by requiring a distinction between climate and development programmes and objectives.

In the aftermath of the 2010 Asia Pacific Adaptation Forum convened by AKP and its partners, several papers written by AKP partners [for example 20, 21-30] have explored the benefits of integrating climate change adaptation with development planning. Mainstreaming brings climate considerations to the fore in every sector and facilitates cross-sectoral approaches to climate change. This allows adaptation efforts to tap into larger financial flows and encourages planners to look at development through a 'climate lens', ensuring that investments are 'climate-proof' and that they boost resilience rather than increase vulnerability.

Mainstreaming also raises some concerns, however. For example, there is the possibility that a focus on climate change may conflict with other policy priorities or divert finances away from other pressing development concerns. Furthermore, Lebel et al. [26: 21] caution that 'mainstreaming adaptation in development is not a panacea. Individual issues, details and institutional contexts significantly affect its implementation'. Furthermore, they point out that some climate risks *are* separate from development and may be best addressed with targeted actions.

Still, AKP research strongly supports the notion that mainstreaming would help Asian countries better address climate change. It also identified promising entry points for mainstreaming, such as water resource management, coastal zone management, and forestry – especially the participatory structures of community forestry and coastal zone management. Yet the AKP studies also identified several major challenges to mainstreaming:

- A strong perception that climate change adaptation and development are separate, unrelated issues;
- A dire need for downscaled climate projections, combined with a growing awareness of the uncertainty that surrounds climate change and climate variability;
- A planning paradigm that needs to fundamentally change [30]; decision-makers now hesitate to act in the face of uncertainty, rather than see uncertainty as a reason to focus on building resilience and ensuring that development plans are robust under multiple climate scenarios;
- A need to bridge national- and international-level expertise on climate with local-level context and specific information needed to understand vulnerability and adaptive capacity;
- Potential administrative and policy conflicts if mainstreaming does not cut across levels, but is only top-down (or bottom-up) and fails to address the intricacies of existing policy landscape;
- The ad hoc project nature of most adaptation mainstreaming projects, with a funding horizon of three to five years, which makes it difficult to take a long view and measure long-term results; sustained financing is needed;

- Limited funding for adaptation integration in development plans, and lack of guidance on how such projects are to be monitored and evaluated;
- Confusion about how to account for outcomes in mainstreaming projects in the midst of administrative, policy, institutional, environmental, social and ecological complexities [see also Lebel in Ref #4 for discussions on local knowledge, 26];
- Limited experience to date on the use of risk screening guides and toolkits and the implementation of chosen adaptation options.

These findings are echoed in case studies on understanding adaptation planning in Nepal [also discussed in 31], the Philippines and Vietnam. These case studies emphasize that adaptation planning is multi-scale and multi-level, and new mechanisms may have to be developed within existing institutional arrangements to facilitate cross-scale/level interaction. They also note that the adaptation integration process is largely driven by national governments and thus can potentially marginalize other equally important but vulnerable groups. Thus the question of who 'owns' the adaptation planning process is an important one.

The studies further highlight the need to address power imbalances within these societies, where the most people who tend to be more vulnerable to climate change – such as the poor, marginalized populations, and women – are often excluded from social, economic and political processes. It is crucial for these groups to have a voice in adaptation decision-making and planning. While in some countries, special efforts have been made to ensure that participatory processes are truly inclusive, AKP partners' field research suggests that in reality, significant disparities remain.

Due to the interest in mainstreaming, integration is blurring the distinction between adaptation and development. Beckman and other authors [32-34] posit that differentiating adaptation and development may be an artificial exercise despite conceptual differences between them. Project implementers report that in practice, they seldom distinguish between adaptation and development activities. However, they see development as a 'safer' objective than adaptation simply because there are no tools to assess success in adaptation projects. In project documents, meanwhile, adaptation and development are used interchangeably, with no clear distinction between adaptation and development activities. Project managers said it is easy to label or refocus development projects to qualify for adaptation financing [32-34].

AKP has also called for a change in the way we think about climate change adaptation assessment. Ecosystems and communities are inherently complex and dynamic systems [35]; therefore, rather than following a conventional sequential approach, we should understand landscapes as systems which should be looked at holistically. Previous studies have tended to either focus on a specific sector, such as agriculture or water, or a discrete community. Chivanno [21] uses Krabi province, Thailand, to illustrate a methodology that draws out the complex interconnections between Krabi's overlapping urban, coastal, agricultural, and tourism sectors. This approach provides a tool with which to understand mainstreaming, allowing development planners to consider the sustainability of the whole system, rather than a number of separate, linear, development problems [22].

Aside for endeavouring for holism in research, the management of resources should also be collaborative among different stakeholders. Lebel and colleagues [25, 26] argue for the need to effectually manage the dialogue between local knowledge- and stakeholders; scientific knowledge networks; and public and private policy-makers. Knowledge-action gaps are produced at the boundaries between these groups, and to be reduced, they must be actively managed. Furthermore, Lebel [25] points out that the legitimacy of adaptation projects, plans and institutions depends on the acknowledgment of local stakeholders, and their perception of the fairness of the decision-making process [see also 36]. If a community does not accept the justifications for an adaptation decision, then that policy becomes harder to implement and therefore less effectual. Lebel et al. [26]

suggest a number of methods that can inform inclusive climate change adaptation decision-making, including vertical and horizontal coordination, an emphasis on local government, monitoring and evaluating adaptation strategies, transparent and accountable information, and adaptive governance.

AKP recommends the countries develop multi-level intergovernmental and institutional cooperation and coordination [37, 38]. By connecting currently fragmented management projects, more unified policies can emerge, knowledge gaps will be reduced, and more effective adaptation strategies will emerge [39]. This should be multi-level, not only occurring at the regional, but at the national, sectoral and sub-national scales. Solar's [40] study looks at the coastal communities in the provinces of Koh Kong and Sihanoukville, Cambodia, pointing to the need for two-way collaborative engagement with communities. Critical of development service providers (DSPs) short-termism, replacement based, responses to climate hazards, there is a need for transparent multi-stakeholder collaboration that harnesses existing local associations and increases local actor participation. This would transfer skills and technology from DSPs to local stakeholders, and allow the views and knowledge of local actors to be heard by DSPs [41-44].

Along with national-level policy analyses, AKP has explored ways with which to engage local stakeholders and encourage capacity-building activity. Solar et al. [43] outline six tools that can be applied to a number of spatial scales (village, commune and district) to uncover the interconnections between an ecosystem as a resource, and the resilience of a rural community.²² This methodological framework can be seen put into practice in Lhendup's [27] work in Bhutan, Rattana and Krawanchid's work in Thailand [29], and Bach Tan Sinh and Vu Can Toan's work [20] in Vietnam. Lhendup carried out key informant interviews and focus group discussions with a representative sample of men and women from across Wangchuck Centennial Park; Lhendup was able to show the similarity between scientific climate change data and locals' climate change knowledge – an increase in shorter, more intense, weather events. Hazard ranking and a vulnerability matrix were used to detect livelihood resources at risk and identify potential coping strategies. Lhendup proposes 11 adaptation strategies for the region (raising climate change awareness, diversifying livelihoods, diversifying crops, sustainable land management, livestock intensification, promotion of native fodder tree species, local capacity-building, linking with relevant institutions, mainstreaming, building ecosystem resilience, disaster risk reduction initiatives).

In Binh Dinh province, Vietnam [20], focus group discussions, key informant interviews, mapping, problem trees and ranking were used to understand climatic hazards, and how different livelihoods are affected. The team then discussed short and medium-term adaptation options with local stakeholders. Improving stakeholders' awareness was considered the most important – and feasible – adaptation, but it is also suggested that local actors be helped in accessing support from the national target programme of climate change adaptation and international support. In Bangladesh, the key determinants of local level adaptation initiatives were found to be participatory planning and research support, awareness and communication of climate risk, training and capacity building, knowledge-sharing, innovation and technology generation, resources transfer, and local institution-building [45].

The collaborative Southeast Asia Network of Climate Change Focal Points (SEA-CC Net) and AKP produced a desktop study [46] to review the current state of climate change adaptation in Association of Southeast Asian Nations (ASEAN) member countries. For each country, the report gives a brief country overview; a discussion of climate change impacts, vulnerability and adaptation; a cross-sectoral institutional setting; and summary of identified gaps, constraints and challenges. The report provides a knowledge base that can inform the decision-making process, but also stresses the need to produce more comprehensive basin-wide, knowledge, monitoring, management, and alert

²² Similar tools have been developed and applied in Thailand.

frameworks. More detailed country reports²³ have been produced by AKP to assess adaptation priorities, needs and strategies. These are Bangladesh [47], Bhutan [35], Cambodia [41], China [48], Indonesia, Lao PDR [49], Malaysia [50], Nepal [51], Philippines [23], Sri Lanka [52], Thailand [53], and Vietnam [54].

In general, these reports accomplished the same set of objectives: understanding adaptation needs and generating insights that will inform AKP's approach to research and capacity. Still, different contexts underpin the resulting priorities such that the reports took this into consideration and issues were captured differentially. For instance, the Laos [49] report looks at six sectors (natural resources, water resources, energy, infrastructure, public health and disaster response), and summarizes the current state of knowledge, key development needs, research priorities, and policy issues for each sector. The China report [48] focuses on agriculture and rural development, and proposes that although the Chinese government has created a number of climate change programmes, governmental institutes and research institutes, there remains the need to establish an overarching information system that combines climate research, social and economic data, and possible future scenarios. This would provide decision-makers with an accessible source of robust information, tools and guides. The reports on Nepal [51] and Bhutan [35] stress the strength of existing institutional and community networks, with their history of negotiating previous environment pressures, and recommend policy measures to strengthen adaptation activities.

One important point these reports highlight is how to invigorate and deploy local knowledge to address uncertainty in future climate change and stresses [4]. In the past, households and communities adjusted to the vicissitudes of extreme weather variability through social learning. Indigenous knowledge systems developed to inscribe societal adaptation through rituals and ceremonies, as richly demonstrated in the case of the *subak* system in Indonesia [24].

Finally, rich insights on the state-of-art of adaptation mainstreaming in Asia and the Pacific are available in the two forum reports. These reports show how knowledge and interests in adaptation evolved. During the first forum [55], the discussions were focused on the need for practical knowledge to guide adaptation; the need for collaboration among various stakeholders; and the need for a flexible and sustained financial support for adaptation activities. In other words, the first forum was the clarion call. By the second forum,²⁴ several adaptation initiatives were already under way, and discussions were geared towards generating insights from practice, especially in terms of learning about processes for stakeholder engagement, dynamics of autonomous adaptation, and ways of building social-ecological systems. The need to integrate adaptation and disaster risk reduction was also highlighted [56]. In the Third Forum (currently planned in Korea), success and failures in mainstreaming adaptation will be the key foci of discussion.

²³ Except Myanmar, as discussed in the previous section.

²⁴ Paul Holper, manager of the Australian Climate Change Science Program, CSIRO Marine and Atmospheric Research, found the report on the Second Forum online while doing research for an upcoming event, and emailed AKP: 'Congratulations on the outstanding synthesis report that you wrote for the Second Asia-Pacific Climate Change Adaptation Forum. ... You have produced a really well written, thorough and useful document.'

Chapter 7. Budget Follow-up and Cost Efficiency

Given that each implementing partner (RRC.AP and SEI) had a separate contract with Sida, this section provides separate financial reports from each partner.

7.1 RRC.AP

Table 5 below shows the consolidated financial report which incorporates expenditures for the full project period of 2010-2012

Table 5 Consolidated Financial Report for AKP - Phase II 2010-2012

Components and Outputs	Budget	Budget	Total Budget	Expenditure	Expenditure	Expenditure	Total	Budget
	2010 (SEK)	2011 (SEK)	(SEK)	2010 (SEK)	2011 (SEK)	2012 (SEK)	Expenditure	Balance (SEK)
1. Regional knowledge sharing system established	1,720,000	1,294,000	3,014,000	1,798,394	542,182	694,883	3,035,459	(21,459)
1.1 Adaptation Forum	1,130,000	670,000	1,800,000	1,167,103	230,313	522,327	1,919,743	(119,743)
1.2 Workshops & Training	130,000	300,000	430,000	53,329	229,769		283,098	146,902
1.3 On-Line Knowledge Sharing Mechanism	360,000	170,000	530,000	274,440	5,889	163,151	443,479	86,521
1.4 Assimilation of Knowledge	100,000	154,000	254,000	303,522	76,212	9,405	389,139	(135,139)
2. New knowledge generated	260,000	280,000	540,000	259,674	132,270	134,560	526,504	13,496
2.1 Regional Knowledge Base Development	260,000	280,000	540,000	259,674	132,270	134,560	526,504	13,496
2.2 Pilot Climate Change Measures					-		-	-
3. Existing and new knowledge applied	860,000	990,000	1,850,000	694,822	174,489	698,696	1,568,007	281,993
3.1 Activities in two pilot countries (Bangladesh, Cambodia)	260,000	380,000	640,000	271,246	15,953	177,090	464,289	175,711
3.2 Activities in additional 5 focal countries (Nepal, Malaysia, Philippines, Sri Lanka, Myanmar)	560,000	550,000	1,110,000	386,489	119,322	521,606	1,027,416	82,584
3.3 Generic knowledge products	40,000	60,000	100,000	37,087	39,214		76,301	23,699
4. Communication Activities	360,000	636,000	996,000	321,989	439,725	233,053	994,767	1,233
4.1 Corporate communications	100,000	136,000	236,000	81,240	124,699	28,843	234,782	1,218
4.2 Media workshops	150,000	390,000	540,000	148,889	228,346	162,750	539,985	15
4.3 Development partners	50,000	50,000	100,000	40,067	43,340	16,593	100,000	0
4.4 Communications management	60,000	60,000	120,000	51,793	43,340	24,867	120,000	0
5. Platform management	800,000	800,000	1,600,000	879,270	650,622	71,130	1,601,023	(1,023)
Grand Total	4,000,000	4,000,000	8,000,000	3,954,149	1,939,289	1,832,322	7,725,760	274,240

The Budget 2010-11 and the Financial Report for 2010 was based on the RRC.AP (UNEP) standard format of reporting by expenditure codes. After consultation with Sida, it was agreed to provide subsequent financial reporting in accordance with activities outlined in the logframe from 2011. Due to this change in the format of the budget and reporting, the earlier budget has been

Table 6 Breakdown of Fees, Activities and Expenditures

Categories	Expenditure 2010-2012	% of Total
RRC.AP Fees	2,250,112	29%
Cost of Activities	5,475,648	71%
Total Expenditure	7,725,760	100%

revised in terms of format and reallocated under the different activities stipulated in the logframe which was approved by Sida on 12th April 2012.

As presented in Table 6, RRC.AP spent 97% of the total budget of 8 million SEK provided for the full project period by Sida. Out of the total expenditures RRC.AP fees (which is the personnel cost of Project staff) remained at 29% whereas the Platform Secretariat and Project activities costs combined, were at 71%.

In general RRC.AP expenditures have remained within budget, with the exception of “Component 1: Regional Knowledge Sharing Mechanism” which has been mainly due to the Adaptation Forum cancellation costs incurred in 2011. Compared to 2010, however, RRC.AP has managed to organize the forum 2012 at a 35% reduced cost because of AKP’s successful implementation and outreach of knowledge-sharing activities and the subsequent acquisition of co-financing from partners such as the Asian Development Bank, the Asia Pacific Adaptation Network and the Rockefeller Foundation.

The budget surplus of “Component 3: Existing and New Knowledge Applied” is due to three reasons. The primary reason is the lower-than-expected cost of carrying out pilot activities in Bangladesh and Cambodia. The second reason is the cancellation of scoping activities in Myanmar. The third reason is that no cost was incurred for scoping activities in Sri Lanka because UNDP Sri Lanka agreed to carry out the scoping assessment which was also their mandate. However, in return, it was agreed upon that AKP would support a few participants from Sri Lanka for the Adaptation Forum 2010.

Under the revised budget approved by Sida the percentage of budget allotted for component 3 is at 27% out of the total grant of 8 million SEK. Actual expenditure for RRC.AP under component 3 including travel costs to pilot countries, cost sharing of RRC.AP FEEs and transfer to National partners is at 20% of the total grant. Out of the total expenditure under component 3, only the national expenditure through partner agencies is at 8% of the total grant.

Expenditures reported under “Component 4: Communication Activities” follows the Revised Budget plan submitted to Sida, which is separate from the SEI format. Therefore, in the RRC.AP financial report, the activities are presented differently, compared with the narrative report which was done jointly with SEI.

Following cost and management efficiency principles, RRC.AP reached the following concluding assessments:

- RRC.AP believes that the outputs have been delivered in accordance with the approved budget and operational plan.
- As reported in the evaluation, the RRC.AP team did face some difficulty which arose due to the turnover of core project staff in the middle of the project implementation period but has, since then worked continuously with Sida and other partners regarding any revisions and adjustments on the approved work-plan and closely followed the guidance of Sida in an effort to improve the standard of reporting to achieve the expected results
- In general available funds have been used efficiently by RRC.AP without any major deviations from the approved budget.

7.2 SEI

The integrated original budget submitted to SENSAS/Sida for funding was output-based and not cost-based. This appears to be agreed upon by all partners as reported in the Inception Report [57]. Partners were also required to submit separately to SENSAS/Sida an output-based budget for the contract they signed. SEI’s output-based and expenditure reports are found in Table 7. Audited final expenditure reports are currently being prepared and will be submitted to Sida separately.

Table 7 Detailed budget and expenditure statement of SEI according to outputs

Components and Outputs	Detailed budget and expenditure												
	2010			2011			2012			2010 - 30 June 2012			
	Budget	Spent	Balance	Budget	New Budget (left over from 2010 and 2011)	Spent	Balance	Budget (left over from 2011)	Spent	Balance	Budget	Spent	Balance
<i>1 Regional Knowledge Sharing Mechanism</i>													
1.2 Seminars/Training	300,000	337,437	-37,437	300,000	262,563	227,484	35,079	35,079	35,090	-11	600,000	600,011	-11.40
1.4 Knowledge Assimilation	100,000	164,904	-64,904	100,000	35,096	14,916	20,180	20,180	20,160	20	200,000	199,980	20.00
Total	400,000	502,341	-102,341	400,000	297,659	242,400	55,259	55,259	55,250	9	800,000	799,991	8.60
<i>2 New Knowledge Generated</i>													
2.1 Regional Knowledge Base Development	300,000	246,727	53,273	400,000	453,273	420,316	32,957	32,957	33,170	-213	700,000	700,213	-212.80
2.2 Pilot Climate Change Adaptation Measures	1,000,000	125,945	874,055	1,300,000	2,174,055	1,353,398	820,657	820,657	820,536	121	2,300,000	2,299,879	120.89
Total	1,300,000	372,672	927,328	1,700,000	2,627,328	1,773,714	853,614	853,614	853,706	-92	3,000,000	3,000,092	-91.91
<i>3 Existing and New Knowledge Applied</i>													
3.1 Activities in 5 Pilot Countries*	900,000	967,903	-67,903	500,000	432,097	190,450	241,647	241,647	241,930	-283	1,400,000	1,400,283	-283.05
3.2 Activities in Additional 8 Focal Countries	500,000	172,062	327,938	500,000	827,938	542,871	285,067	285,067	285,170	-103	1,000,000	1,000,103	-102.80
3.3 Generic Knowledge Products	100,000	158,438	-58,438	100,000	41,562	41,418	144	144	0	144	200,000	199,856	144.00
Partner fee and costs		1,298,403											
Total	1,500,000	1,298,403	201,597	1,100,000	1,301,597	774,739	526,858	526,858	527,100	-242	2,600,000	2,600,242	-241.85
<i>4 Communications Activities</i>													
4.1 Corporate communications													
4.1.1 Printed materials	50,000	55,576	-5,576	50,000	44,424	72,700	-28,276	-28,276	0	-28,276	100,000	128,276	-28,276.00
4.1.2 Web development	35,000	98,519	-63,519	35,000	-28,519	7,820	-36,339	-36,339	0	-36,339	70,000	106,339	-36,338.59
4.2 Media													
4.2.1 Workshops	200,000	81,717	118,283	200,000	318,283	515,527	-197,244	-197,244	0	-197,244	400,000	597,244	-197,243.86
4.3 Development partners													
4.3.1 In-country Activities**	50,000	114,712	-64,712	50,000	-14,712	8,104	-22,816	-22,816		-22,816	100,000	122,816	-22,816.00
4.3.2 Outreach material	50,000	19,509	30,491	50,000	80,491	21,916	58,575	58,575		58,575	100,000	41,425	58,575.00
4.4 Communication Management	15,000	16,150	-1,150	15,000	13,850	13,600	250	250	0	250	30,000	29,750	250.00
Cost-sharing from UNEP***				0		-167,953	167,953	167,953	0	167,953	0	-167,953	167,952.58
Total	400,000	386,183	13,817	400,000	413,817	471,714	-57,897	-57,897	0	-57,897	800,000	857,897	-57,896.87
<i>5 Platform Management</i>													
5.1 Management	400,000	301,931	98,069	400,000	498,069	201,906	296,163	296,163	306,644	-10,481	800,000	810,481	-10,481.15
Cost-sharing from UNEP	0	0	0	236,678	236,678	236,678	0	0	0	0	236,678	236,678	0.00
Cost-sharing from UNEP	0	0	0	0	0	-68,725	0	0	0	0	0	-68,725	68,725.00
Total	400,000	301,931	98,069	636,678	734,747	369,859	296,163	296,163	306,644	-10,481	1,036,678	978,434	58,243.85
Grand total	4,000,000	2,861,529	1,138,471	4,236,678	5,375,148	3,632,426	1,673,997	1,673,997	1,742,700	-68,703	8,236,678	8,236,656	21.82

Note:

*SEI was in-charge of Bhutan, Thailand, Vietnam

**Also included community events

***Cost sharing here means that UNEP had to disburse funds through SEI in view of certain contractual limitations of the organisation when the activity was planned.

Table 8 presents the expense categories of SEI. Based on the original budget, SEI spent 59.14% for fees or personnel costs, 27.91% spent directly by partners and 12.95% for direct costs. SEI's personnel costs, based on SEI standard rate, was originally about 52% in the original budget submitted to SENSEA so an increase of about 7% is reported. These costs involved all the time of SEI staff who were involved in various aspects of project implementation of AKP. SEI carried out most of the activities by itself including designing research activities, advising national implementing partners, carrying out the activities and writing and finalising reports.

The direct costs are the operational expenses of the project. As stipulated in the Inception Report, "a minimum of 30% of the total budget will be disbursed to regional partner organizations" [57: 55] to implement the activities in Components 2 and 3. SEI had adhered as close as it can to this important aspect of AKP's design such that it spent 27.91% of its budget directly for partners. Although this is less than the original intention, it is close enough to the ideal figure envisaged in the Inception Report.

Table 8 Distribution of expense categories

Categories	Total Spent	% of Total
SEI fees	4,730,846.45	59.14
Spent directly by partners	2,232,835.59	27.91
Direct costs	1,036,296.14	12.95
Total	7,999,978.18	100.00

SEI, in general, spent within the budget allocated for each component, except for the cross-cutting issue of communication, which is discussed below. While this expenditure delivered 'quick wins' identified in the outputs and outcome sections, more needed to be done in terms of instilling national ownership, and delivering deeper

and transformational adaptation impact. The 30% minimum specified in the budget is not enough. A sustained and deeper engagement in each country requires substantial funding.

In the cost breakdown in Table 7, two issues are immediately apparent. These are the overdraft in the communication component and the cost-sharing between SEI and RRC.AP. This has been clarified in a letter sent to Sida on 10 April 2012. The letter explained:

The 2011 Audit identified two issues which we will address here. First was an overdraft in the communication component. Much of this overdraft was due to the increased amount of time spent to prepare for the Vietnam media and community workshop. More time was needed because the workshop's novel approach in adapting visionary scenario-based planning widely used by the business sector to public sector planning for climate change adaptation was more complex than anticipated for Vietnam. Moreover, as the approach was new to partners in Vietnam, training of partners and facilitators was required for the event to succeed in achieving its core objectives. Additionally, to raise media interests to invest time to participate in this multiple-day workshop, SEI and local organisers undertook field trips to identify the appropriate workshop locations with newsworthy content. The results of the workshop demonstrated that this additional attention to design details for the workshop was instrumental in producing a productive workshop wherein the participants' learning objectives were addressed and long term outcomes achieved. Personal testimonies from the participants attest to this, not to mention the desire for widespread upscaling of this approach to adaptation planning across the country.

The second issue was the support fund from RRC.AP. This concerns the cost sharing between RRC.AP, APAN and SEI for the conduct of the Vietnam media workshop. This cost sharing is governed by a Letter of Agreement signed by all the parties concerned. The total estimated budget of the workshop was US\$ 38,268. RRC.AP and APAN had contributed \$13,000 each to this budget. Being the organizer of the workshop and to ensure efficient spending, money from RRC.AP and APAN was transferred to SEI. Thus, the item named "Support fund from UNEP" in the audit report.

7.3 Lessons learnt

AKP was implemented on the basis of two separate contracts with Sida, one for SEI and one for RRC.AP (refer to Box 1 on the evaluation of logframes and contracts) while at the same time sharing the same LFA. It was an agreed division of labour between the two implementing partners but in some cases implementation of separate components was shared which resulted in some efficiency losses.

Two partners implementing the same component is not the most efficient and effective way of implementing components 2 and 3. The transaction cost becomes high as both organisations need to allocate separate staff for similar work. An efficient way would have been that a partner is in charge of delivering for a component based on their core strengths instead of sharing a component between them. This makes additional tasks complementary of existing staff capabilities and hiring of short-term service providers would have been avoided.

Chapter 8. Concluding Remarks and Recommendations

After three years of implementation and despite a number of challenges, AKP has catalysed a constituency for adaptation in Asia. Clearly the task of building and enhancing the adaptive capacity of governments, institutions, organizations, communities, villages and households is far from over. However, AKP can claim several successes: it established a platform for sharing of knowledge, built partnerships with national implementing partners, assessed adaptation needs and priorities, and addressed some of the fundamental questions on how to pursue adaptation planning and mainstreaming.

AKP is a unique approach that is different from other regional climate change initiatives. It facilitates the exchange of adaptation knowledge and regional experiences with other countries. It provides easy access to relevant and high-quality adaptation knowledge, and it adds value to other climate change initiatives (such as those supported by governments and external donors). As shown above, AKP is unique due to the diversity of activities it offered in pursuit of its goal and vision. Not only does AKP provide a platform for dialogue and discussion on adaptation mainstreaming issues, but it also offers an avenue for reflection and generation of new insights. In other words, AKP installed a framework and process for action.

Even though it has been hamstrung by shortage of manpower, AKP tried its best to engage with the entire range of stockholders, right from government officials to community workers by tailoring various workshops and pilot projects to meet specialized needs. Although it may have stretched itself too thin in this process, it has succeeded in carving a niche for itself in the region.

As with stakeholders, AKP has been equally sweeping in its selection of topics for seminars and discussions. From ecosystem- and community-based adaptation to the role of the corporate sector and media in adaptation and the interplay of gender and the changing climate, AKP has done its best to stir a debate on a diverse range of topics with the sole intent of finding a solution or a commonality that could be potentially woven into policies at national and local level.

Also noteworthy is the easy accessibility to CCA promised by AKP through its knowledge products displayed on its web portal. Its online initiatives in the form of its portal and newsletter have brought adaptation to even those people remotely interested in this subject.

Despite the enormous cultural, social, economic, environmental and political differences among these countries, they exhibited in 2009 similar adaptation and climate change concerns. First, they all suffer from the impacts of climate change and have shown considerable urgency in addressing this problem. Second, there is a felt lack of understanding of climate change and availability of information on how to adapt to its impacts. Third, there have been reported instances where the local population has spontaneously adapted to a changing climate regime or a disaster such that it became imperative to document these spontaneous adaptation actions. Three years have passed and these concerns remain current and ongoing.

An independent evaluator described AKP as a 'relevant idea (when it was developed) that appealed to a growing interest in adaptation knowledge and created an initial attention'. The wealth of materials produced in AKP's first phase, the networks created and the capacity built – among local researchers and among the stakeholders with whom they and AKP leaders worked – shows that this is, indeed, a worthwhile initiative. Looking ahead, more needs to be done to build local ownership and enable local decision-making on the implementation of activities. AKP should also focus more on access to adaptation knowledge by civil society organizations and local communities.

It is the considered opinion of the core partners of AKP, upon reflection of its outcomes and discussions with strategic and boundary partners, that the programme should proceed to its next phase, maintaining AKP's momentum but in a manner that is grounded, focused, demand-driven,

results-oriented and aware of the lessons learned in the previous phase. Thus, the core partners recommend the following:

Design

- Maintain existing knowledge sharing platforms (i.e., portal, forum, bi-monthly seminars and production of knowledge products) and identify ways in which they can respond to the needs of various countries, and be sustained;
- The program design must be based on a verifiable and realistic results framework that allows for regional and country-based monitoring and evaluation;
- An outcome-based results monitoring and evaluation framework needs to be in place right from the planning stage;
- Establish a strong and capable program management unit;
- Plan contingencies for high staff turnover; and,
- Set the right priorities during the implementation of the program.
- For a start, the design of the future phase needs to review the recommendations of the evaluation consultant, which are:
 - To establish a programmatic approach with consortium partners;
 - To develop a strategic approach to adaptation knowledge management; reaching out to national platforms/networks and knowledge partners
 - To identify national and sub-regional entry points for specific functions;
 - To focus on the value added of Knowledge Management services;
 - To review the geographical scope or develop menu options;
 - One program, one LFA and one implementing organization;
 - Optional funding directly to existing initiatives;
 - To develop a simple system for knowledge management and sharing;
 - Research and knowledge generation; and,
 - To ensure coordination with other similar initiatives.

Focus

- The next phase should focus on access to adaptation knowledge for civil society organizations, local communities and local governments in selected Southeast Asian countries where AKP has already built partnerships.
- Given the trajectory of growth of mainstreaming initiatives, the next phase should look at barriers to adaptation.
- Where possible, establish or strengthen a network of knowledge producers to sustain the provision of information needs to adaptation planners and decision-makers.
- Focus on enabling policymaking reasonable competence in planning and responding to uncertainty.
- Understand the role of local knowledge and social learning in responding to an uncertain future climate.

Legacy plans

- Partners should continue to share knowledge and insights generated by the first phase of AKP.
- In the event that support to current core partners from AKP's existing donor does not materialize, mechanisms for turnover of knowledge products, data, portal infrastructure, documentation, design documents, and other outputs of AKP should be discussed with IGES/APAN.
- Continue uploading relevant knowledge products in weADAPT to ensure that these are in public domain.

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Annexes

Annex 1. Phase One – Logical Framework (2009-2011)

	Target Stakeholders	Outcomes	Objectively Verifiable Indicators	Means of Verification	Risks and Assumptions
Goal: To facilitate climate change adaptation in Asia at local, national and regional levels and strengthen adaptive capacity	1. Government policy makers responsible for national approaches to climate change adaptation	Climate change adaptation policies and strategies more able to address uncertainties and set a context for reducing the vulnerability and strengthening the resilience of the poor and most vulnerable	Climate change adaptation measures adopted in Asian countries and adaptive capacity strengthened at different stakeholder levels New policies and regulations introduced to create an enabling environment for local-level adaptation activities and to reduce vulnerability or strengthen resilience at the local level Patterns of investment by government agencies and private sector companies include adaptation measures	National development plans and national and sectoral climate change adaptation strategies Sub-national, national and regional budgets allocated for climate change adaptation	Asian countries willing and able to support investments to adopt adaptation measures and strengthen adaptive capacities
	2. Government policy makers responsible for development planning and poverty reduction strategies	Planning and investments for national development and poverty reduction include actions necessary to adapt to climate change			
	3. Local government development planners	Potential negative impacts of climate change on local level development reduced			
	4. Community-level development workers	Local development actions become more effective in reducing vulnerability and strengthening the resilience of the poor and vulnerable			
	5. Poor people vulnerable to climate change impacts	Vulnerabilities to CCA impacts reduced and local adaptation initiatives stimulated and strengthened by external agencies and through a supportive enabling environment			
Purpose: To establish a regionally and nationally owned mechanism that facilitates the integration of climate change adaptation into national and regional economic and development policies, processes and plans, strengthens linkages between adaptation and the sustainable development agenda in the region and enhances institutional and research capacity	1. Government policy makers responsible for national approaches to climate change adaptation	Strengthened national policies, strategies and plans for climate change adaptation	The Adaptation Knowledge Platform established and a strategy for long-term sustainability demonstrated to be feasible. The different levels of stakeholders are able to use the knowledge and products provided by the Adaptation Knowledge Platform to change and improve their planning and decision-making Work programmes of community-level organizations work programmes adapted based on information derived from platform	Reports of the Adaptation Knowledge Platform Sustainability strategy prepared and verified Key stakeholder interviews describing policy changes based on knowledge and products supplied by the Adaptation Knowledge Platform Document review highlighting adaptations to national and sub-national plans	Stakeholders find the existence of the Adaptation Knowledge Platform is effective in enhancing the development of adaptation capacities in the Asia region Technological limitations in providing effective access to information
	2. Government policy makers responsible for development planning and poverty reduction strategies	Climate change adaptation 'mainstreamed' into national and sectoral development plans Enabling environment and incentives for local level adaptation strengthened			
	3. Local government development planners	climate change adaptation 'mainstreamed' into local government development plans			
	4. Community-level development workers	Community development programmes effectively integrate actions to reduce vulnerability and strengthen resilience to climate change			
	5. Poor people vulnerable to climate change impacts	The poor and vulnerable have access to a wider range of and more effective actions they can take to reduce their vulnerability and strengthen their resilience			

Components	Activities	Partner Responsibilities	Target Stakeholders	Outcomes	Objectively Verifiable Indicators	Means of Verification	Risks and Assumptions
1. Regional knowledge sharing system established	1.1 Annual Multi-Stakeholder Forum-Asian Climate Change Adaptation Forum	UNEP: lead responsibility to organize & implement the Forum SEI: support role through technical advice	1. Government policy makers responsible for national approaches to climate change adaptation	Sensitize policy makers, planners about mainstreaming adaptation in broader development frameworks at regional and national scale	Increased knowledge in the integration of adaptation issues at national and regional level	Proceedings of annual climate change Forum; Forum feedback forms	
			2. Government policy makers responsible for development planning and poverty reduction strategies	Strengthened awareness and ownership of adaptation and climate risk reduction processes in key development and poverty reduction sectors	Increased knowledge in the integration of adaptation issues at sub-national level	Forum feedback forms	
			3. Local government development planners	Strengthened knowledge and awareness of both vertical and horizontal integrations at sub-national level	Increased knowledge in the integration of adaptation issues at local level	Forum feedback forms	
			4. Community-level development workers	Strengthened knowledge of both vertical and horizontal integrations at community level	Increased knowledge for integrating adaptation into development planning and implementation	Forum feedback forms	
			5. Members of international research and development agencies	Strengthened awareness and ownership of adaptation and climate risk reduction processes at large	Increased knowledge for integrating adaptation into projects and programs	Forum feedback forms	
	1.2 Workshops, Seminars and Trainings:	UNEP: lead responsibility to organize & implement SEI: support role through technical advice	1. Government policy makers responsible for national approaches to climate change adaptation	Strengthened capacity and increased awareness of stakeholders for specific skills relating to adaptation	Amendments to strategies and adjustments to programme implementation	Workshop/ seminar feedback forms	
			2. Government policy makers responsible for development planning and poverty reduction strategies	Strengthened capacity of stakeholders for specific skills relating to adaptation mainstreaming	Amendments to strategies and adjustments to programme design and implementation	Workshop/ seminar feedback forms Interviews	
			3. Local government development planners	Strengthened capacity of stakeholders for specific skills relating to adaptation	Amendments to strategies and adjustments to programme implementation	Workshop/ seminar feedback forms Interviews	

			4. Community-level development workers	Increased awareness of communities and development workers on adaptation planning	Increased participation in developmental planning and designing projects	Interviews	
			5. Members of international research and development agencies	Strengthened capacity of stakeholders for specific skills relating to adaptation	Amendments to strategies and adjustments to programme implementation	Workshop/ seminar feedback forms Interviews	
	1.3 On-line Knowledge Sharing Mechanism	UNEP: Lead responsibility to develop and manage the website SEI: Support role through technical advice & provision of materials and expertise for system design	1. Government policy makers responsible for national approaches to climate change adaptation	Institutionalisation of regional platform Portal as climate change knowledge sharing mechanism	Regional Platform Portal is functional	<i>Adaptation Knowledge Platform</i> website and materials	IT capacity of organizations is sufficient to access and utilize resources
			2. Government policy makers responsible for development planning and poverty reduction strategies	Establishment of a mechanism to ensure adaptation knowledge sharing and learning at national level	A suitable national level institution hosts a functioning adaptation knowledge portal	On-line survey of portal usage as well as survey of key stakeholders	IT capacity of organizations is sufficient to access and utilize resources
			3. Local government development planners	Establishment of a regular and dynamic information exchange mechanism for use at local level	Increased knowledge through participation in on-line discussions	No. of online moderated discussions; Online survey of portal usage	IT accessibility and affordability at local level
			4. Community-level development workers	Increased awareness of communities on climate change issues and happenings	Increased participation in online discussions	On-line survey of portal usage	IT accessibility and affordability at local level
			5. Members of international research and development agencies	Establishment of a regular and dynamic information exchange mechanism for use at local level	Increased trends of exchange of information, knowledge through use of national and regional portals	On-line survey of portal usage ; Review of on-line feedback	
2. New knowledge generated	2.1 Regional Knowledge Base for Climate Change Adaptation	UNEP: Lead responsibility to develop and manage the regional knowledge base SEI : Actively involved through the provision of technical	1. Government policy makers responsible for national approaches to climate change adaptation	Establishment of a regular and dynamic information exchange through a network of climate change practitioners	Increased trend of exchange of information, knowledge at the national level	On-line focus group survey	IT accessibility and affordability by target stakeholders
			2. Government policy makers responsible for development planning and poverty reduction strategies	Establishment of a regular and dynamic information exchange through a network of climate change practitioners	Increased trend of exchange of information, knowledge at the national level	On-line focus group survey	

		expertise and advice	3. Local government development planners	Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion	Increased trend of E-newsletter accessed and used by community partners	On-line focus group survey; E-Newsletter readers survey	
			4. Community-level development workers	Development workers are up-dated regularly on current-affairs Climate Change news	Increased trend of E-newsletter accessed and used by community partners	On-line focus group survey; E-Newsletter readers survey	
			5. Members of international research and development agencies	Establishment of a regular and dynamic information exchange through a network of climate change focal points internet moderated discussion.	Increased trend of sharing and exchanging knowledge	On-line survey of portal usage and E-Newsletter readers	
	2.2 Identification and Initiation of Pilot Climate Change Adaptation Measures 2.2.1 Understanding Planning 2.2.2 Comparing Adaptation and Development 2.2.3 Policy Context for Planning	SEI : Lead responsibility to develop and manage the pilot studies and research programme UNEP: Actively involved through the provision of coordination support at national and regional levels	1. Government policy makers responsible for national approaches to climate change adaptation	Strengthened support for national adaptation policies by evidence of success from pilots	Capacity increment demonstrated through increased actions in climate change adaptation	Platform reports and Briefing Notes for pilot studies ; Key persons interview at national level	
			2. Government policy makers responsible for development planning and poverty reduction strategies	Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	Increased integration and mainstreaming of adaptation into planning at national level	Changes in attitude, understanding and communication on adaptation assessed by end of project interviews and/or questionnaires	
			3. Local government development planners	Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	Increased integration and mainstreaming of adaptation into planning at local level	Changes in attitude, understanding and communication on adaptation assessed by end of project interviews and/or questionnaires	
			4. Community-level development workers	Understanding of effective adaptation actions and process for mainstreaming adaptation into planning strengthened by demonstration effect of successful interventions	Increased participation of communities in adaptation action planning	Changes in attitude, understanding and communication on adaptation assessed by end of project interviews and/or questionnaires	
3. Existing and new knowledge	3.1 Institution-alisation of	Joint responsibility to plan and supervise	1. Government policy makers responsible for	Support for national adaptation policies strengthened by access to evidence from	Key stakeholder interviews describing	Project reports/ interview	

applied	Knowledge Systems	this component. Individual partners leading in individual pilot countries: UNEP: Lead (organize, fund, ensure implementation and report) in Bangladesh, Nepal, Cambodia, The Philippines and Sri Lanka SEI: Lead (organize, fund, ensure implementation and report) in Vietnam, Thailand, Bhutan, Lao PDR and China	national approaches to climate change adaptation	national and international experiences and through better national-level coordination on knowledge management	changes in institutional arrangements	documentation
			2. Government policy makers responsible for development planning and poverty reduction strategies	Institutional coordination and cross-sectoral evidence base to support adaptation mainstreaming strengthened	Key stakeholder interviews describing changes in institutional arrangements.	Project reports/ interview documentation
			3. Local government development planners	Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options	Improved adaptation plans	Log of website platform visitors Changes to local adaptation plans
			4. Community-level development workers	Improved awareness of and access to knowledge on the scope and potential of adaptation planning and intervention options	Improved adaptation plans	Log of website platform visitors
	3.2 Translation of Knowledge to Practice	Leadership of the remaining three target countries to be agreed at a later date as activities start	1. Government policy makers responsible for national approaches to climate change adaptation	Strengthened national adaptation policy and planning systems and enhanced political and institutional support to climate change adaptation actions	Key stakeholder interviews outlining value and form of changes	Project reports/ interview documentation Budgetary changes
			2. Government policy makers responsible for development planning and poverty reduction strategies	Awareness and understanding of the nature and potential of adaptation actions and the mainstreaming of adaptation into development planning and poverty reduction increased	Key stakeholder interviews outlining value and form of changes	Project reports/ interview documentation
			3. Local government development planners	Awareness and understanding of the character of adaptation actions and the mainstreaming of adaptation into local level planning increased	Key stakeholder interviews outlining value and form of changes	Project reports/ interview documentation
			4. Community-level development workers	Awareness and understanding of the nature and potential of adaptation actions to reduce vulnerability and strengthen resilience amongst poor communities increased	Key stakeholder interviews outlining value and form of changes	Project reports/ interview documentation
			5. Members of international research and development agencies	Improved knowledge and awareness on the character and effectiveness of adaptation planning and actions at national, sub-national and local levels	Key stakeholder interviews outlining value and form of changes	Project reports/ interview documentation
			6. Poor people vulnerable to climate change impacts	The scope and effectiveness of local-level adaptation actions enhanced by a more supportive policy, planning and regulatory environment	New/adapted adaptation programmes	Adaptation programme documentation

Annex 2. Knowledge Products of AKP

Scoping Assessments

Date	Title	Lead Authors	Focus
October 2010	Scoping Assessment for National Implementation in Thailand - Summary	Louis Lebel	Assessment of adaptation needs
October 2010	Scoping Assessment on Climate Change Adaptation in Viet Nam - Summary	Bach Tan Sinh	Assessment of adaptation needs
October 2010	Scoping Assessment on Climate Change Knowledge Platform in Nepal: Summary	Ajaya Dixit	Assessment of adaptation needs
October 2010	Scoping Assessment for National Implementation in Cambodia- Summary (English)	Robert W. Solar Toby Carson Marona Srey	Assessment of adaptation needs
October 2010	Scoping Assessment for National Implementation in Cambodia- Summary (Khmer)	The Learning Institute	Assessment of adaptation needs
October 2010	Scoping Assessment on Climate Change Adaptation in Bangladesh-Summary	Atiq Rahman Golam Rabbani Maliha Muzammil	Assessment of adaptation needs
June 2011	Scoping Mission and Preliminary Assessment on Climate Change Adaptation in Sri Lanka	Serena Fortuna	Assessment of adaptation needs
October 2011	Scoping Assessment on Climate Change Adaptation in Malaysia -Summary	Robert W. Solar	Assessment of adaptation needs
June 2012	Scoping Assessment on Climate Change Adaptation in the Philippines - Summary	Jessica Dator-Bercilla	Assessment of adaptation needs

Collaborative studies

Date	Title	Lead Authors	Focus
October 2010	Adaptation Strategies for Water and Agricultural Sectors in Southeast Asia	SatyaPriya	Review of adaptation priorities
February 2011	Climate Change Adaptation: Factors of Choice, Effectiveness, and Supporting Systems	Robert W. Solar	Rural livelihoods and multi-stakeholder participatory learning
March 2011	The Practitioners & Policy-makers Exchange on Climate Change Adaptation in Agriculture - Frequently Ask Questions Booklet	SatyaPriya GernotLaganda	Adaptation in agricultural systems
July 2011	Desktop Study on Assessment of Capacity Gaps and	Hiromi Inagaki	Review of adaptation priorities

March 2012	Needs of Southeast Asia Countries in Addressing Impacts, Vulnerability and Adaptation to Climate Variability and Climate Change Mainstreaming climate change adaptation into development planning	Sabine Huber Estefaníaalbáñez Louis Lebel Lailai Li Chayanis Krittasudthacheewa MuanpongJuntopas TatiroseVijitpan Tomoharu Uchiyama DusitaKrawanchid	Review of experiences in mainstreaming adaptation in Asia
July 2012	The Role of Community Forestry in Climate Change Adaptation and Mitigation: Case Studies from Asia	Regan Suzuki (editor)	Importance of community forestry to adaptation and mitigation
October 2012	Determinants and Effectiveness of Local-Level Adaptation to Climate Change: Case Studies of Two Initiatives in Bangladesh - Summary	DwijenMallick NazzinaMohsin	Case studies on determinants and effectiveness of Local-Level Adaptation

Policy briefs

Date	Title	Lead Authors	Focus
October 2010	Enhancing Adaptive Capacity in Bhutan and Nepal (Policy Brief 1)	SabitaThapa John Soussan SatyaPriya PhurbaLhendup DusitaKrawanchid	Assessment of adaptation needs
March 2011	Climate Change Resilience in Coastal Cambodia: Adaptive Capacity & Human Development	Robert W. Solar	Gaps in adaptive capacity
October 2011	Adaptation Knowledge (Policy Brief 2)	Louis Lebel	Role of knowledge in the adaptation to climate change
May 2012	Governance of Adaptation (Policy Brief 3)	Louis Lebel	Quality of governance as an important determinant of successful adaptation
July 2012	Institutional Responses to Local-Level Climate Change Adaptation in Nepal (Policy Brief 4)	JC Baral DR Bhuju DB Shrestha PY Shrestha	Complexity of adaptation planning
July 2012	Community Forestry: Responding to both Adaptation	RECOFTC	Importance of community forestry to

and Mitigation

adaptation and mitigation

Toolkits

Date	Title	Lead Authors	Focus
February 2011	An Approach to Climate Research: Events, Strategies, and Drivers	Robert W. Solar	Research methodology – sustainable livelihoods and resilience
October 2011	Guidelines for strengthening and participation of local volunteer researchers (Thai)	Kitichai Rattana	Toolkit of participatory approaches
August 2012	Alternative Pathways to Climate Change Adaptation and Disaster Risk Reduction	Marinduque Council for Environmental Concerns Manila Observatory Ateneo School of Governance Coastal Core Sorsogon	Integration of adaption into local government planning processes

Proceedings and Summary Reports

Date	Title	Lead Authors	Focus
May 2010	Synthesis Report of First Sharing & Learning Seminar	AKP Secretariat	Summary of the first seminar
August 2010	Synthesis Report of Second Sharing & Learning Seminar	AKP Secretariat	Summary of the second seminar
October 2010	Territorial Approach to Climate Change: Regional Workshop to raise awareness and enhance action on Climate Change Adaptation and Mitigation at Sub National level	UNEP ROAP RRC.AP	Summary of the workshop
October 2010	Practitioners and Policy-makers Exchange on Climate Change Adaptation in Agriculture	UNEP ROAP, RRC.AP	Summary of the workshop
October 2010	Adaptation Forum 2010 Proceedings Report	AKP Secretariat	Summary of 2010 Forum
November 2010	Synthesis Report of Third Sharing & Learning Seminar	AKP Secretariat	Summary of the third seminar
April 2011	Synthesis Report of Fourth Sharing & Learning Seminar	AKP Secretariat	Summary of the fourth seminar
June 2011	Synthesis Report of Fifth Sharing & Learning Seminar	Delia Paul	Summary of the fifth seminar
October 2011	Getting to Adaptation: Communities and Media Pioneer's New Planning Efforts - Pilot Scenario Workshops in Thailand, Nepal and Viet Nam	AKP Secretariat	Summary of media workshops in Thailand, Nepal and Viet Nam
May 2012	Synthesis Report of the Second Asia-Pacific Climate Change Adaptation Forum – Mainstreaming Adaptation in Development: Adaptation in Action	Louis Lebel	Summary of 2012 Forum

AKP Design

Date	Title	Lead Authors	Focus
October 2010	Inception Summary Report	RRC.AP SEI UNEP ROAP	Design of AKP, progress in 2009 and plans for 2010 and 2011
March 2011	Annual Progress Report 2010- Activities and Achievements of the Adaptation Knowledge Platform	RRC.AP SEI UNEP ROAP	Progress in 2010 and strategies for 2011

AKP-APAN Publications

Date	Title	Lead Authors	Focus
April 2011	Synthesis Report: Adaptation Knowledge Management Workshop	Robert W. Solar	Summary of the workshop
August 2011	Proceedings Report: South Asia Media Workshop on Adaptation to Climate Change	ICIMOD	Summary of the workshop
August 2011	Synthesis Report of Sixth Sharing & Learning Seminar	Delia Paul	Summary of the sixth seminar
October 2011	Synthesis Report of Seventh Sharing & Learning Seminar	Delia Paul	Summary of the seventh seminar
October 2011	The Adaptation Knowledge Management: Brainstorming Workshop to Establish a Climate Change Knowledge Management Platform in Mongolia	RRC.AP IGES School of Ecology and Technology development Mongolian State University of Agriculture	Summary of the workshop
Video			
December 2010	Workshop on Future Scenarios of Chiang Khan District in 2580 B.E	AKP SUMERNET	Scenario planning using foresight technique

Partner Reports

Date	Title	Lead Authors	Focus
December 2011	Chiang Khan District in 2580 B.E.: Model City for Climate Change Adaptation Planning (in Thai)	Suppakorn Chinvanno	Planning an adaptive city
July 2012	Integration of climate adaptation into development and conservation planning in Bhutan: issue identification and	Phurba Lhendup	Assessment of adaptation issues and planning

	recommendations		
August 2012	A holistic approach to climate change vulnerability and adaptation assessment: Pilot study in Thailand	Suppakorn Chinvanno	Vulnerability and adaptation assessment
August 2012	Mainstreaming Climate Change into Community Development Strategies and Plans: A Case Study in Thailand	Suppakorn Chinvanno Vichien Kerdsuk	Adaptation mainstreaming
August 2012	Scoping Assessment of Knowledge Needs in Climate Change Adaptation in China	Lailai Li Xiaojing Fei Jiayi Xu Huw Slater	Assessment of adaptation needs
August 2012	Mainstreaming adaptation into local development plans in Vietnam	Bach Tan Sinh Vu CanhToan	Adaptation mainstreaming
September 2012	Scoping Assessment of Climate Change Adaptation Priorities in the Lao PDR	EcoLao	Assessment of adaptation needs
October 2012	Adaptation or Development?: Exploring the distinctions (or lack thereof) through case studies in Bangladesh and Vietnam	Marion Davis Skye Walker Turner Albert Salamanca Pin Pravalprukskul	Identifying the linkages between autonomous and planned adaptation
October 2012	Understanding Adaptation Planning: Selected Case Studies in Nepal, Philippines and Vietnam	Marion Davis Skye Walker Turner Albert Salamanca Pin Pravalprukskul	Lessons for adaptation planning
October 2012	Mainstreaming adaptation into local development planning: A case study in Chainat, Thailand	Kitichai Rattana Dusita Krawanchid	Vulnerability and adaptation assessment
October 2012	Assessment of adaptation needs, policies and priorities: cases from Indonesian islands	Nina Dwisasanti Albert Salamanca	Assessment of adaptation needs
October 2012	Understanding the policy context of adaptation: case study of Bhutan and Nepal	Lailai Li Thinley Wangdi Phurba Lhendup Norbu Wangdi Dhruba Pant Kamal Gautam	Policy context of adaptation

Annex 3. Stories and facts on individual and institutional changes collected via interviews

Boundary partners	Story number	Stories and facts about individual and institutional changes (OVI)
1. Government policy makers responsible for national approaches for climate change adaptation	1-1	<p>“At that time in 2010, adaptation had not been taken seriously in the discourse of climate change, and there had been voices in the international communities calling for regional actions that would allow for raising the understanding on the importance of CCA. The past two forums responded to the voices by promoting rich exchanges of experiences in adaptation in the region. This has enhanced understanding of adaptation concepts and networking for adaptation actions among different stakeholders and also helped to identify and promote adaptation activities needed at the country level. For example, national agencies and the climate change commission of the Philippines applied insights into, and approaches on, ecosystem-based management learnt at the forum for formulating a National Climate Change Action Plan (NCCAP)²⁵.”</p> <p>NaderevYeb Sano, Commissioner, Climate Change Commission, Office of the President of the Philippines. 4 September 2012.</p>
	1-2	<p>Findings from the capacity analysis study were presented at the ‘Training Workshop on Planning, Implementing, and Mainstreaming Adaptation in Government Programme’²⁶. 12 government officials from three countries (Cambodia, Lao PDR and Myanmar) completed the workshop and are now convinced about the need to accelerate the mainstreaming of climate change into their respective national and sectoral action plans²⁷.</p>
	1-3	<p>“Nepal Climate Change Knowledge Management Center (NCCKMC) was established in November 2010 as an expanded program of Nepal’s NAPA. As there was resource limit, NCCKMC had no chance to interact with knowledge management officers from the region. Indeed, my interactions had mainly been with researchers and policy makers at the national level. NCCKMC had limited varieties on regional and global publications to showcase. However, that changed when I participated in the 5th International Conference on Community Based Adaptation to Climate Change (CBA-5) in March 2011. I learned about on-going projects, studies and experiments carried out on various communities across the globe from climate change and adaptation practitioners representing various organizations. A plethora of information, brochures, reports, journals, books and booklets collected at the CBA-5 are now housed in NCCKMC.</p> <p>At CBA-5, I also had an opportunity to be a panelist in a session called “Community Based Adaptation Knowledge Management”. As a result of my presentation, I co-authored, together with AKP’s Senior Knowledge Management Officer, a paper titled “Climate Change Adaptation Knowledge Management: Scale up Community Based Adaptation (CBA) Knowledge Management”. The paper was jointly submitted to the CBA Secretariat for publication.”</p>

²⁵ NCCAP was established in 2011

²⁶ The Workshop was organized by the International Centre for Climate Change and Development (ICCCAD) in Bangladesh in November 2011. The Southeast Asia Network of Climate Change Focal Points (SEAN-CC) collaborated with AKP to produce the Desktop Study.

²⁷ Information collected from a UNEP ROAP official who participated in the workshop, 27 February 2012,