

CLIMATE ADAPTATION AND RESILIENCE FOR SOUTH ASIA

OPERATIONS MANUAL



Disclaimer and Document History

This Operations Manual (OM) was produced to provide implementation guidelines, directions and help to the Project Implementation Unit (PIU) at ADPC for the Climate Adpatation and resilience for South Asia Project.

Document History

#	Revision Description	World Bank Submission date	World Bank Approval Date	Changes in Section	Pages Replaced/ Added
1	Revision 1 (Based on developments post- appraisal phase)	11 January 2021	02 March 2021	<ul style="list-style-type: none"> • Abbreviations and acronyms • Table of Contents • 1.Introduction • Figure 1 & Table 4 • Figure 2 and section 3.4 • Chapter 4 (tables updated) • Chapter 5 (tables updated) • Chapter 6 (text and timeline updated) • Chapter 7 (Text updated) • Chapter 8 (completely revised) 	<ul style="list-style-type: none"> • Page 2- 3 • Page 4 • Page 5 • Page 21 • Pages 23, 25-33 (4 pages added) • Pages 33-37 • Pages 38-51 (1 page added) • Pages 52-59 (3 pages added) • Pages 60-62 • Pages 63-79 (4 pages added)

ABBREVIATIONS AND ACRONYMS

ADPC	Asian Disaster Preparedness Centre
BCCF	Bangladesh Climate Fiscal Framework
BPC	Bangladesh Planning Commission
BWDB	Bangladesh Water Development
CARE	Climate Adaptation and Resilience for South Asia
CQS	Consultants' Qualifications Selection
CSA	Climate Smart Agriculture
CWG	Coordination Working Group
DfID	Department for International Development
DOLI	Department of Local Infrastructure, Nepal
DOR	Department of Roads, Nepal
DSS	Decision Support Systems
ED	Executive Director
EMC	Evaluation Management Committee
EOI	Expression of Interest
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESS	Environmental and Social Standard
ExCom	ADPC Executive Committee
FBS	Fixed Budget Selection
GED	General Economic Division
GOs	Government Orders
HRM	Human Resources Management
iEX	ADPC'S intranet network
LAPA	Local Adaptation Plan of Action
LCA	Liquidation of Cash Advance
LCS	Least-cost Selection
LGED	Local Government Engineering Department, Bangladesh
M&E	Monitoring and Evaluation
MIS	Management Information System
MNFSR	Ministry of National Food Security and Research, Pakistan
MOA	Ministry of Agriculture, Bangladesh
MOALD	Ministry of Agriculture, Livestock Development, Nepal
MOCC	Ministry of Climate Change, Pakistan
MoDMR	Ministry of Disaster Management and Relief, Bangladesh
MOEFCC	Ministry of Environment Forest and Climate Change, Bangladesh
MOEWRI	Ministry of Energy, Water Resources and Irrigation, Nepal
MoF	Ministry of Finance
MOFE	Ministry of Forests and Environment

MOFL	Ministry of Fisheries and Livestock, Bangladesh
MOP	Ministry of Planning, Pakistan
MOPIT	Ministry of Physical Infrastructure and Transport
MOWP	Ministry of Water and Power
MoWR	Ministry of Water Resources, Bangladesh
NAP	National Adaptation Plan
NDCs	Nationally Determined Contributions
NDMA	National Disaster Management Authority, Pakistan
NDMOs	National Disaster Management Organizations
NDRRMA	National Disaster Risk Reduction and Management Authority
NOL	No Objection Letter
NPC	National Planning Commission, Nepal
OM	Operations Manual
PAD	Project Appraisal Document
PCV	Petty Cash Voucher
PD	Project Director & Resilience Specialist
PDO	Project Development Objective
PER	Public Expenditure Review
PIU	Project Implementation Unit
PPSD	Project Procurement Strategy Development
QBS	Quality-based Selection
QCBS	Quality and Costs-based Selection
RCAR	Request for Charging, Adjustment, classification
RCC	Regional Consultative Committee on Disaster Management
RDAS	Regional Resilience Data and Analytics Service
RFP	Request for Payment
RIMES	Regional Integrated Multi-Hazard Early Warning System for Africa and Asia
SAR	South Asia Region
SEP	Stakeholder Engagement Plan
SFPs	Sector Focal Points
SSS	Single-Source Selection
STEP	Systematic Tracking of Exchanges in Procurement
TA	Travel Authorization
ToC	Theory of Change
ToRs	Terms of References
ToTs	Training of Trainers
TV	Transportation Voucher
WBG	World Bank Group

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1. Introduction

The Asian Disaster Preparedness Centre (ADPC) is implementing the World Bank-financed multi-year project on **Climate Adaptation and Resilience (CARE) for South Asia**, which aims to create an enabling environment for climate-resilient policies and investments across South Asia through the availability of climate data and analytics, decision-support systems, guidelines and standards, and capacities for their application, for piloting in Bangladesh, Nepal, and Pakistan, noting that project outputs will contribute to the climate resilience frameworks (policy and practice) in each target country, and that project outcomes have the potential for replication in other countries.

The five-year CARE for South Asia project will help Bangladesh, Nepal and Pakistan invest in enhancing disaster resilience and climate change adaptation, making infrastructure and systems resilient, and sharing knowledge and innovations to enhance sectoral decision support systems for resilient development. ADPC, through its RCC mechanism, would own, facilitate and integrate the project activities and outcomes into its regional and national programs of pilot countries and sustain the project activities, outputs and outcomes beyond project period and leverage enhanced capacities to broaden and deepen climate resilient program to assist all participating countries in South Asia and beyond. The CARE for South Asia project is focusing primarily on Agriculture and Food, Macroeconomics, Trade and Investment, Transport, and Water Resources Management sectors with the following specific components:

Component 1: Promoting Evidence-based Climate Smart Decision Making

- Sub-Component 1.1: Expanding SAR Regional Resilience Data and Analytics Services
- Sub-component 1.2: Strengthening national-level sectoral decision support systems for resilient development

Component 2: Enhancing Policies, Standards and Capacities for Climate Resilient Development:

- Sub-component 2.1: Advisory services for policy and investment interventions
- Sub-component 2.2: Promoting Climate Resilient Design and Standards
- Sub-component 2.3: Implementation Support to Climate-Risk Management Solutions
- Sub-component 2.4: Innovation for Climate Adaptation and Resilience

Component 3: Project Management and Specialized Support

Component 1 will be implemented by the Regional Integrated Multi-Hazard Early Warning System for Africa and Asia (RIMES), whereas ADPC will implement component 2. RIMES and ADPC will be operating through their respective Project Implementation Units (PIU) to be created under component 3. Each PIU will utilize their respective country units for implementation of project activities in Bangladesh, Nepal and Pakistan.

1.1 Purpose of the Operations Manual

This project Operations Manual (OM), developed in conjunction with the Project Appraisal Document (PAD) and the Financing and Grant Agreements between ADPC and the World

Bank, describes the standard mechanisms for components, sub-components and activities of CARE project to be implemented by ADPC in Nepal, Bangladesh, and Pakistan and at the regional level in South Asia.

The OM intends to provide implementation guidelines, directions and help to the PIU at ADPC as well as the Coordination Working Group (CWG)¹ and the national-level coordination through the Sector Focal Points (SFPs) mechanism².

The OM serves as a guide to ADPC management in general and the PIU within ADPC, in particular, to manage the CARE for South Asia project in accordance with the World Bank Group (WBG) guidelines as well as ADPC's rules and procedures. The ADPC Human Resources Management (HRM) and the Financial Manual would be followed by and aligned with the relevant WBG guidelines. Furthermore, the OM provides information on:

1. Institutional arrangements for the implementation of the project including the roles and responsibilities among different agencies;
2. Arrangements for the flow of project funds;
3. Guidelines for planning, execution, monitoring and supervision of procurement activities under the project; and
4. Procedures for monitoring and evaluation, including the protocol for the production of documentary evidence on compliance.

ADPC will periodically review and update the OM in consultation with the WBG Task Team. The ADPC Executive Committee (ExCom)³ will have oversight over the PIU which will be headed by a Project Director & Resilience Specialist (PD). The Executive Director (ED), as the chief executive of ADPC, is the custodian of the manual and responsible for updating and revisions. The PD would advise the ED during implementation on necessary changes (contents and formats) of the whole or part of the OM. Whenever revision takes place, updates will be circulated by the PD, reviewed and endorsed by the ADPC ED, and approved by the WBG Task Team. After each revision of the OM, the PIU will ensure to:

- Replace the old pages with the updated pages.
- Discard the replaced pages.
- Update version control history document (filed before the Table of Contents) with the latest release subject to no-objection by the Task Team.

1.2 Guidelines on how to use the manual

The Project Appraisal Document (PAD) provides an overall approach with the legal obligations stipulated in the Financing and Grant Agreements between ADPC and the World Bank. This

¹ A Project level Coordination Working Group (CWG) consisting of representatives from ADPC and RIMES is set up to facilitate close coordination and collaboration between the agencies on their respective components and activities.

² A mechanism for national coordination among beneficiary departments would be established through putting in place Sector Focal Points (SFP) from participating departments in each country, convened by respective Ministries of Finance in Nepal and Bangladesh and Ministry of Planning, Development and Reforms in Pakistan. A coordination meeting would be convened on a bi-annual basis to review progress, assist in removing implementation bottlenecks and avoiding any potential duplication or gaps.

³ ExCom is one of the four organs of ADPC and is charged with "supervising the Activities of ADPC and ensure effective programming and implementation of the activities" (Article 9.3(b) of the ADPC Charter).

OM is consistent with, and has to be read and applied in conjunction with the following documents:

- Project Appraisal Document or PAD for the CARE for South Asia project;
- The Financing and Grant Agreements signed between the WBG and ADPC;
- Agreed Implementation Arrangements in countries;
- Relevant decisions of ADPC with regards to the CARE for South Asia project;
- Other relevant Client/Government Orders (GOs) to operate in the respective countries; and
- ADPC as well as the WBG Policies.

This document aims to provide clarification on how the CARE for South Asia project is to work and to support implementing agencies for all activities. ADPC as the PIU will use this document for implementing the activities, monitoring the progress and evaluating the impact in line with procedures and systems of ADPC and the WBG.

Furthermore, the Operations Manual provides information on:

- 2. Project Description:** Brief overview of the project with details on *Component 2: Enhancing Policies, Standards and Capacities for Climate Resilient Development* including key activities in the countries;
- 3. Project Implementation Arrangements:** This section provides details on project implementation coordination at different levels including various committees and strategic and technical level coordination and reporting;
- 4. Procurement Management:** Procurement methods and engagement of individual/firms are provided in this section;
- 5. Financial Management:** This section provides all the financial procedures, Accounting and Reporting, Internal Controls, Rules and Regulations for Finance and Accounts, Project Audit and Disbursement and Funds Flow and Public Disclosure related to the project;
- 6. Environmental and Social Safeguards:** The Environmental and Social Safeguards (ESS) provides details on the management of environmental and social risks of projects and to improve development outcomes. The objective is to prevent and mitigate undue harm to people and their environment in the implementation phase and beyond;
- 7. Monitoring & Evaluation:** The M&E section provides guidance on the use of M&E matrix, data management, reporting templates and the utilization of learning from M&E process to strengthen project implementation;
- 8. Communication and Branding:** This section outlines the outreach and dissemination, communication, knowledge-sharing, and awareness-raising details.

2. Project Description

2.1 Project Development Objective (PDO)

PDO Statement

To contribute to an enabling environment for climate-resilient policies and investments in select sectors and countries in South Asia.

PDO Level Indicators

To achieve the PDO, the following PDO-level indicators are proposed:

1. Improved access to regional climate information and analytics for climate-informed decision making in select sectors;
2. National-level decision-making and planning tools are better climate risk informed in select sectors;
3. Regional climate resilience guidelines for select sectors incorporated into national standards;
4. Sectoral investments supported to include climate risks and resilient design in select sectors; and
5. Institutional capacities within select sectors strengthened to undertake climate informed policies and planning.

2.2 Project Components

The CARE project consists of three main components and will be implemented over a period of five years.

Component 1: Promoting Evidence-based Climate Smart Decision Making (US\$10 million): The objective of this component is to enhance access of sectoral (Water, transport and agriculture) and cross-cutting (Finance, planning, hydro-met and disaster management) ministries and departments to relevant climate and sectoral data and analysis required for resilient planning and investments, including hazard and climate variability information, climate impact knowledge and other sector-specific data. To this end, the component will support the development of a Regional Resilience Data and Analytics Service (RDAS) Platform and a series of national-level Climate Decision Support Systems (C-DSS) through 2 sub-components:

Sub-Component 1.1: Expanding SAR Regional Resilience Data and Analytics Services (US\$3.5 million): The Resilience Data and Analytics Services platform (RDAS) will public-domain cloud-based and AI-enabled data and analytics platform that will leverage a range of available data and analytical services of relevance to climate-smart development in the South Asia region. It is expected to enable South Asian countries to make climate-informed decisions and policies for climate resilience, based on more accurate and downscaled data and analytics. The RDAS, in addition to existing climate-related observation and early warning systems in the region, will also support overlaying different data sources, across climate and socio-economic parameters, to specify hotspots of climate vulnerability across different sectors and timescales and

support planning and investment decision making. RIMES will leverage its existing agreements with SAR countries for accessing more secure data. This RDAS will leverage existing data systems in countries and sectors and will deploy tools for analysis and interpretation of global and regional circulation models, and generate tailor-made downscaled information scenarios for all SAR countries. As a dynamic platform, it will respond to evolving data needs from sectors and generate, curate and host new climate and thematic data.

Sub-component 1.2: Strengthening national-level sectoral decision support systems (DSS) for Climate Resilience (US\$6 million):

Support under 1.2: Based on the data gap assessment conducted by the team, this sub-component will support national-level access to data, analytics and develop DSSs to enable the government to utilize global, regional, national and local data for evidence-based decision making under uncertainty in priority sectors: finance, planning, budgeting, climate smart agriculture and livestock, integrated water resource management and resilient transport. The DSSs will also leverage the SAR RDAS platform (sub-component 1.1) and will build on existing DSSs being used by governments to avoid duplication of efforts. This sub-component will also assist national meteorology agencies in providing user-relevant climate data for application in various sectors.

Subcomponent 1.3: Trainings for Climate-Informed Decision-Making (US\$0.5 million). This sub-component will support users in the use of systems developed such as the RDAS and DSSs to utilize the information and maximize the use of the DSSs for climate-informed planning and decision-making in their sectors. The DSSs for four sectors - agriculture/livestock, transport, water and disaster management - have two to three user levels, namely: i) policy-level users including planning, finance and sectoral line ministries, ii) operational users including operational staff of sectoral agencies and provincial/local governments, and iii) end-users including farm extension staff, farmers' cooperatives/groups, transport associations, local water user groups, community-based organizations, first-responders, women's groups and communities. In most cases, a training of trainers' approach will be undertaken.

Component 2: Enhancing Policies, Standards and Capacities for Climate Resilient Development (US\$24 million): The objective of this component is to enable the transformation of policies, standards and capacities for climate resilience and adaptation across South Asia. This would be achieved through: (i) providing an evidence base and guidance for mainstreaming climate risk management into national, local and sector development planning and policies.; (ii) sharing global and regional knowledge and best practices on adaptation and resilience; (iii) developing regional sector guidelines for mainstreaming climate risk management and modifying business-as-usual standards in sector planning and investment design and; (vi) providing technical support to critical national and provincial institutions as well as community-based organizations (e.g. cooperative societies, women groups, etc.) to implement climate resilient development actions. Component 2 has three sub-components as follows:

Sub-component 2.1: Advisory services for policy and investment interventions (US\$5 million): The project will support the focused SAR countries in developing or strengthening national, local and sectoral adaptation action and investment plans. Specific support will target finance, planning and technical line ministries of priority sectors to diagnose, address and institutionalize climate risks, with the aim to achieve systematic climate risk management and mainstream climate resilient planning and investment design. These interventions will include, but not be limited to: (i) developing strategies for manage climate data, (ii) scale-up plan for advanced bio-engineering slope stabilization solutions, (iii) provide climate risk analysis for water accounting (iv) policy framework under the Digital M&E under the Delta Plan, (v) prepare climate smart ground water strategies, (vi) harmonizing climate change strategies with development plans; (vii) identifying climate change-related risks and vulnerabilities; (viii) developing climate-smart investment strategies, (ix) enhancing gender-informed resilience into sector-specific climate resilience strategies in priority sectors and (x) policy and knowledge support to implement select adaptation priorities under the NDCs in focus countries. This sub-component will also undertake knowledge-sharing activities to enhance challenges and lessons learned in SAR on what constitutes effective adaptation actions across government institutions. The project will leverage existing regional climate forums for policy dialogue and knowledge as delivery mechanisms to support South-South learning.

Sub-component 2.2: Promoting Climate Resilient Design and Standards (US\$2 million): This sub-component will develop regional climate resilient guidelines for technical sectors and enhance national/provincial standards to guide the mainstreaming of climate risk into policy, planning and investment processes across the region. These enhancements of standards will account for factors like climate conditions and vulnerabilities, geophysical hazards, environmental and social trends, local practices and priority areas. Implementing agencies will work closely with line ministries to ensure that the technical guidelines are contextualized to national, sectorial and local vulnerability contexts and needs. Ultimately, these technical guidelines are expected to guide the transformation required to incorporate principles of climate resilience into sector standards, policies, planning and investments. Similarly, this sub-component will support the modification of existing standards and regulations, where needed, to account for climate-risk conditions and gender aspects. Utilizing existing and available climate risk information and data, the implementation agencies will incorporate these into the proposed sector guidelines and advisory services.

Sub-component 2.3: Implementation Support to Climate-Risk Management Solutions (US\$14 million): The assessments have highlighted weak capacity among sectoral ministries and departments (as well as the finance and planning agencies) to access and interpret the latest climate information for mainstreaming climate change into program and project design and implementation. This sub-component will support sectorial line ministries and provincial/local governments to systematically integrate resilience measures and climate-resilient standards into sectorial and local investment planning, design and implementation through capacity building and technical support interventions.

- Capacity building: Under this sub-component, the project will support the capacity building, including ToTs, of national and local governments to analyse, plan, design, manage and maintain climate-resilient assets and to utilize data, data-platforms, tools, knowledge and climate smart technology adoption. Central ministries of finance and planning have been selected as entry points for the proposed capacity- building activities under this component to achieve system-level changes in planning for adaptation and enable cross-sector coordination on a national adaptation agenda, planning for development changes in planning for and with climate risks in mind.
- Technical Support: Some of the specific areas that will be supported by CARE include: (i) adoption of technology solutions; (ii) climate smart institutions, governance and finance; (iii) research and development; (iv) diagnostics for adaptive design; (v) analytics for macro-level and fiscal risk management and; (vi) disaster risk financing strategies, including incremental costs assessments for climate resilience.

Sub-Component 2.4: Innovation for Climate Adaptation and Resilience (US\$3 million): This sub-component, financed by DFID through the PARCC Trust Fund, will support innovative and disruptive technology solutions for resilience through the provision of [sub-grants] within the South Asia region. One innovation support would be called the Climate Innovation Challenge (CIC) to facilitate climate data and information including short-term EWS and longer-term climate outlook data solutions for their application and scale-up across different sectors, and tiers (national, sub-national and local/community) for greater impact. Another support would be called *TechEmerge Resilience Challenge (ADAPTECH)*. This activity will be undertaken in collaboration with the International Finance Corporation (IFC) with an aim to crowd in private-sector expertise and market-based innovation for resilience through the use of disruptive technologies to address climate and disaster resilience challenges.

Component 3: Project Management and Specialized Support (US\$5.5 million): The objective of this component is to ensure the successful implementation of the activities carried out under the project. This component will finance establishing and operating the PIU of ADPC; project implementation and supervision of Part 2 of the project; monitoring and evaluation; training for ADPC staff, financing of Incremental Operating Costs; and all costs pertaining to the implementation of the Program for Asia Resilience to Climate Change Multi Donor Trust Fund (PARCC TF Grant).

Component level activities: Table 1 provides a summary of activities to be implemented under different components by the implementing agencies

Table 1: Summary of Activities

ACTIVITIES	COST (US\$m)	Pakistan	Bangladesh	Nepal
Component 1: Promoting evidence-based climate smart decision-making				
1.1: Expanding SAR Regional	3.5	Develop public-domain RDAS Platform with climate and sectoral data for resilience for all SAR countries. Develop a Data and Analytical Services Catalog and facilitate use of the system developed.		

Resilience Data and Analytics Services (RDAS)				
1.2: Strengthening national-level sectoral decision support systems (DSS) for Climate Resilience⁴	6	Develop <i>interactive dashboards</i> to facilitate access to relevant data and analytics to support decisions for targeted stakeholders, leveraging the public Data and Analytical Services Catalog in the Subcomponent 1.1 and other public/confidential data/analytic services developed as part of this sub-component. Facilitate use of systems developed with appropriate IT platforms.		
		(1) Develop DSS for Ministry of Planning (MoP), Development and Reforms incorporating climate indicators in the planning process to track climate resilient projects; (2) Develop DSS for Ministry of Finance to serve as a dynamic fiscal risk assessment tool for climate hazards; (3) Improve the existing DSS for Sindh Irrigation Department to include drought risk management; (4) Customize Specialized Export System for Agro-meteorological Early Warning for Climate Resilient Agriculture (SESAME) ⁵ for Punjab Government.	(1) Enhance functionality of existing DSS: Bangladesh Agro-Meteorological Information System (BAMIS) for agriculture, and customize SESAME for livestock sub-sector; (2) Improve the "Online Road Network" and transport DSS with risk information, early warning, climate database and a dynamic asset database; (3) Improve FloCAST DSS with integrated exposure information and hydromet data. (4) Develop the Data Portal on River Hydro-morphological and climatological information including river pollution, water resources and regional weather data harmonization, including advanced analytics. (5) Develop a comprehensive Water Data Portal on climate risks (and digital M&E to support the 2021 Delta Plan) for integrated water resources management (6) Develop integrated climate planning and screening portal with their own interface, common for Finance, ERD and Planning.	(1) Downscale DHM's "climate outlook" for implementation of LAPAs, sectoral programs; (2) Improve dataflows and functionalities of existing Agriculture Management Information System (AMIS) for Ministry of Agriculture and Livestock Development and roll out AMIS to local/provincial level to support local agriculture extensions and advisories to farmers; (3) Automate collection and management of hydrological and climate data and link DHM APIs with the user-department DSSs for utilization of hydromet data analytics; (4) integrate existing hazards maps to support on-going hazard/risk assessments for resilient rural/local roads network; (5) Improve MoF's PFM information system for climate budget allocation, tracking expenditure, monitoring sustainability and assessing investment results in climate-related sectors
1.3: -Trainings for Climate-Informed Decision-Making	0.5	(1) Virtual and other training of potential RDAS user groups in all SAR countries. (2) Training on respective DSS for policymakers and operational users from planning, finance, agriculture/livestock, water, transport and DRM in Nepal, Bangladesh and Pakistan.		
Component 2: Enhancing Policies, Standards and Capacities for Climate Resilient Development				
2.1: Advisory services for policy and investment interventions	5	(1) Utilize the existing Climate Change PER – policy, institutional and public expenditure review – to identify gaps and sequence an action plan for climate and disaster risk-informed investment, appraisal and approval framework. (2) Utilize World Bank's Climate Change Fiscal Risk Analysis tool to support design of climate-related fiscal-risk mitigation measures. (3) Conduct district-level climate vulnerability assessments in three participating countries.		
		(1) Scale up the climate smart agriculture strategic framework with focus on agro-climatic zoning for Punjab Province; (2) Agricultural policy analysis to support climate-resilient policy actions in Punjab Province;	(1) Strengthen climate smart agriculture strategy with focus on livestock, agro-climatic zoning and monitoring framework; (2) Agricultural policy analysis to support climate-resilient policy actions;	(1) Develop a handbook on climate resilience and adaptation for the Ministry of Agriculture and Livestock Development; (2) Conduct analytical work to establish the scientific base for agro-climatic zoning policy; (3) Agricultural policy analysis to

⁴ Please see Annex 3 for specific data sets to be provided through the DSS sub-component.

⁵ A web-based DSS portal for Agriculture sector that provide inputs and advisories to support decision-making at critical stages of the crop lifecycle for both governments and farmers. Developed by RIMES, SESAME integrates weather and climate information with four different time scales, crop sensitivity information, agro-climatic data and farmers' local knowledge.

		<p>(3) Formulate climate indicators to incorporate in the planning policy and documents;</p> <p>(4) Develop national climate-change financing framework implementation plan;</p> <p>(5) Support development of Sindh ground water strategy for drought affected areas;</p>	<p>(3) Develop a climate-resilient infrastructure strategy for rural roads;</p> <p>(4) Develop Bangladesh Climate Fiscal Framework (BCFF); implementation plan</p> <p>(5) Complement the Water Sector's broader policy framework to include the climate change models and analytical works to inform the Water Accounting.</p> <p>(6) Support the drafting of the Digital-based M&E policy framework under the Delta Plan implementation.</p>	<p>support climate-resilient policy actions;</p> <p>(4) Develop LAPA in one province as a pilot for potential scale-up;</p> <p>(5) Develop a strategy for water harvesting;</p> <p>(6) Develop an implementation plan to roll out the climate change financing framework in selected provinces;</p> <p>(7) Support the integration of the updated Climate Change Policy 2019 into developing resilient road networks, slope stabilization and protection measures;</p> <p>(8) Support the development of a hazard-risk and exposure-based scale-up plan for implementation of advanced bio and non-bio engineering slope stabilization solutions for Department of Roads</p>
2.2: Promoting Climate Resilient Design and Standards	2	Develop regional guidelines for all SAR countries (finance, planning, agriculture, transport, water)		
		<p>(1) Develop guiding document on application of CSA technologies and agro-climatic zoning</p>	<p>(1) Revision of the Construction Practices and Procedures Manual to incorporate climate-resilient design and practices, including for strategic and rural roads;</p> <p>(2) Develop country- guiding document on climate-smart agriculture and livestock</p>	<p>(1) Support the revision of Nepal Roads Standards 2070 and Nepal Rural Roads Standards 2071 to include climate considerations for climate-resilient design of rural/local roads network</p> <p>(2) Adapt climate change budgeting and planning guidelines developed by MoFE to priority sectors;</p> <p>(3) Develop guiding document on application of CSA technologies and agro-climatic zoning</p>
2.3: Implementation Support to Climate-Risk Management Solutions: Capacity building and technical support	14	<p>(1) Provide training to increase understanding of climate-resilience adaptive policy making, design and solutions in priority sectors (transport, water and agriculture).</p> <p>(2) Adoption of technology solutions in focus countries; support for creation of climate-smart institution, governance, and finance; establishing a mechanism to support national level centers of excellences and universities for technical collaboration with line ministries; diagnosis and adaptive design.</p> <p>(3) Technical support to Ministries of Finance and Planning for climate-informed macro-level analysis, modeling, and climate-informed fiscal risk management.</p> <p>(4) Technical support to assist countries in gaining access to international climate finance including support accreditation process for national/sub-national entities to access GCF</p>		
		<p>(1) Technical support and capacity building for implementation and M&E of adaptation activities in NDCs at the sub-national level and NAPs at the sub-national level as per Cancun Adaptation Framework. (2) Capacity building of Sindh Irrigation Department for drought risk management;</p> <p>(3) Capacity building for Punjab provincial</p>	<p>(1) Provide M&E training in select sectors to better manage the portfolio and impact of activities supported by climate change; (2) Provide capacity building to budgeting officers to prioritize investment and determine tax incentive and subsidies with additional investments for climate resilience; (3) Capacity building of government officials on CSA policy, agro-climatic zoning and climate financing for agriculture and</p>	<p>(1) Provide training to local governments on climate change adaptation, expenditures, budgeting and resilience in support of the federalization process; (2) support the capacity building and awareness of existing and new engineers in the Department of Roads (DoR) on climate resilience, utilization of geo-hazard assessments, hazard maps and climate data for undertaking climate-resilient</p>

		government officials on agro-climatic zoning; (4) Training of Trainers (TOT) program for local agriculture extension officers to disseminate locally available CSA technologies for farmers.	livestock sector; (4) Training and capacity building to disseminate CSA technologies at three levels (national, sub-national and Corporative Societies/lead farmers). (5) Enhance the capacity of the MoWR, WARPO, and BWDB on sector specific policy formation, reform of the existing policy, necessary policy making and monitoring the impacts from adapting climate-smart and resilient approach.	design and construction. (3) ToT for DoR to train contractors and local engineers at the provincial level on climate-risk informed design and construction; (4) Capacity building of national and provincial officials on CSA; (5) TOT for Corporative Societies, CSOs and lead farmers to disseminate locally applicable CSA technologies.
2.4: Innovation for Climate Adaptation and Resilience	3 (PARCC TF financing)	Promote innovation and adoption of disruptive technology in South Asia Region (SAR) through award of grants to eligible and qualifying innovators for <i>Climate Innovation Challenge</i> and <i>TechEmerge Resilience Challenge</i>		

Further details of Component 2, by the four sectors, including country-specific activities and implementation arrangements, are presented in Appendix 3 (Sectoral Implementation Plan).

2.3 Project costs and financing

The overall project cost for the Component 2 being implemented by ADPC together with ADPC's part of Component 3 totals USD 27.5 million. It should be noted that component 2.4 is implemented over 24 months whilst components 2.1-2.3 are implemented over 60 months.

Table 2 below presents how the budget is distributed over the different parts of Component 2 and 3:

Table 2: Specific budget for CARE for South Asia project components implemented by ADPC

COMPONENT		COST (US\$ million)
Component 2 Enhancing Policies, Standards and Capacities	2.1 Advisory services for policy and investment interventions	5.0
	2.2 Promoting Climate Resilient Design and Standards	2.0
	2.3 Implementation Support to Climate-Risk Management Solutions	14.0
	2.4 Innovation for Climate Adaptation and Resilience	3.0 (DfID ⁶)
Sub-total		24.0
Component 3	Project Management	3.5
Total Project Cost		27.5

⁶ Financed by DFID through the PARCC Trust Fund

3. Project Implementation Arrangements

The project will be managed by ADPC from its headquarters in Bangkok where the PIU will be located and will drive/provide the overall management. The PIU will be supported by the country offices in the three focused countries: Nepal, Bangladesh and Pakistan (and as needed in other countries within the South Asia region (SAR)).

The PIU team will manage the day-to-day CARE project activities under the ADPC management and reporting system for coordination, procurement, financial management (including auditing), reporting, and monitoring and evaluation, etc., in accordance with rules & regulations as detailed out in this OM for the CARE for South Asia project.

The PIU is staffed with a few key positions including Project Director & Resilience Specialist (PD), Financial Management Specialist, and Procurement & Contract Management Specialist. The PIU is fully integrated into ADPC and have access to the services and capacities of all departments including Human Resources and Administration Department, Finance Department and Strategic Planning Department (for M&E and communication support). This enables the PIU to draw on the collective experience of ADPC's implementation of projects across Asia and the Pacific.

In addition to procuring services of individual consultants and firms, ADPC will leverage its own staff (both current and those who will be hired in the future for its headquarters in Bangkok and also for country offices in South Asia, particularly in Bangladesh, Nepal and Pakistan) for technical inputs in support of implementation under component 2 and also in support of component 3. Besides, ADPC will also steer the capacity development (regional or otherwise) component by leveraging its expertise and experience of ADPC Academy. The Academy has implemented regional and local capacity development initiatives for the past 3 decades⁷ and for the purposes of the CARE for South Asia project would develop, deliver and maintain capacity development for all technical aspect providing QA/QC, pedagogic support, etc.

ADPC (and the Task Team) have undertaken initial missions to the three project countries as part of project preparation initiating a dialogue with the beneficiary ministries and departments such as Finance, Planning, Climate Change, Disaster Management, Agriculture and Food Security, Transport, Water, etc., and have identified major areas of interventions which inform the implementation strategy and staffing plan for the first 18 months.

An important aspect is the embedding of experts in the target ministries/departments (finance, planning, transport/roads, agriculture, water resources management) in the project countries blended with external technical support in the form of trainings and workshops as well as tools development and application. "Embedded" experts are working alongside government staff in selected ministries/department to provide continuous technical support. This is central in building trust and understanding between the project and the beneficiaries especially in the context where sensitive issues such as data sharing, policy influence and structural changes

⁷ ADPC Academy holds 10-20 regular regional training courses per year and ADPC annually hold training events for 5,000 to 6,000 people at regional and national level.

are to be implemented effectively. The PIU in Bangkok will oversee all efforts to coordinate, refine, prioritize and operationalize the specific technical assistance provided through the project. Table 3 presents the government agencies in the target countries which would be central to the CARE project.

Table 3: Potential Beneficiary Departments / Ministries

Country	Departments
Nepal	Ministry of Finance; National Planning Commission; Ministry of Agriculture and Livestock Development; Ministry of Forests and Environment; Ministry of Energy, Water Resources and Irrigation; Department of Road; Department of Local Infrastructure; National Disaster Risk Reduction and Management Authority; Department Hydrology and Meteorology.
Pakistan	Ministry of Planning, Development and Special Initiatives; Ministry of Climate Change; National Disaster Management Authority; Ministry of National Food Security and Research; Pakistan Agricultural Research Council; Ministry of Finance; Pakistan Meteorology Department; Department of Agriculture, the Government of Punjab; Sindh Irrigation Department, Provincial Planning and Development Departments / Boards
Bangladesh	Ministry of Finance; Bangladesh Planning Commission; Local Government Engineering Department; Ministry of Road Transport and Bridges (including Dhaka Transport Coordination Authority, Bangladesh Road Transport Authority, Bangladesh Road Transport Corporation, Roads and Highways Department, Bangladesh Bridge Authority); Ministry of Environment, Forests and Climate Change; Ministry of Water Resources; Ministry of Disaster Management and Relief; Bangladesh Agriculture Research Council; Department of Agriculture Extension; Department of Livestock Services; Bangladesh Met Department.

The project will engage with other countries in SAR through the ADPC and RIMES regional platform mechanism by engaging with the relevant government agencies (e.g. National Disaster Management Offices, National Hydrology and Meteorology offices, Ministry of Finance and Planning, Agriculture, Transport and Water agencies, etc.).

3.1: Project administration and coordination

With the two implementing agencies, ADPC and RIMES, regional as well as national-level activities and a large number of stakeholders, a solid and interlinked set of administration and coordination mechanisms are needed. Coordination with respect to the management and technical inputs needs to be considered not only at the national level but across the three pilot countries as well as across the whole SAR region. This would require close coordination and collaboration between the concerned at a technical as well as an operational level which would need to be undertaken at various tiers.

Figure 1 explains the inter-linked administration and coordination mechanisms which involve appropriate agencies at regional and national levels. Specifically, the lead agencies in charge of finance supported by agencies in charge of policy and planning will be in charge of decision making, but provisions will be made to ensure that technical knowledge and information from climate agencies and NDMOs together with the sector agencies are discussed and debated at the same table and options are co-developed for implementation. To allow for flexibility, most of CARE's coordination and management arrangements are informal or semi-formal.

An overview of the proposed coordination mechanisms to be established in the initial stages of the project is as follows:

3.1.1 Coordination within ADPC

ADPC would be engaging a number of technical experts and subject specialists in support of the regional and national level activities outlined in the project. These experts would be providing support to the regional and national activities (e.g. assessments, reviews, capacity building, tools development, mainstreaming measures, guidelines development etc.). To achieve integration and streamlining, there will be weekly coordination and reporting meetings to ensure coherence in activities and identify any overlaps/gaps and outline measures to overcome them. ADPC will also leverage its Executive Committee⁸ (ExCom) to provide support to the PIU in coordination between the ADPC departments and deployment of ADPC staff expertise.

3.1.2 Coordination between Project Implementation Units (RIMES and ADPC)

A Project Coordination Working Group (CWG) consisting of representatives from ADPC and RIMES is set up to facilitate close coordination and collaboration between the agencies on their respective components and activities. The CWG will meet monthly to discuss progress on activities including identifying potential areas for more detailed coordination. The CWG will work to not only coordinate the engagement with the different stakeholders but also ensure that the technical capacities of the two organizations are leveraged for the implementation of the project. A joint database of stakeholders and partners, and engagement with these will be established so the project can have one consistent engagement with the different partners irrespective if it is RIMES or ADPC leading the specific activity.

ADPC and RIMES are both represented at the regional and national level steering/coordinating committees and working groups to provide guidance and support for component 2 and 1 respectively. A mechanism may be developed for the two organizations to represent each other when there is a practical need for this.

National level coordination between RIMES and ADPC would be through the RIMES focal points at the meteorological services departments and ADPC's country offices to ensure coherence of activities at the country level.

⁸ ExCom is charged with supervising the activities of ADCP (it is a formal organ described under Article 9 in the ADPC Charter).

3.1.3 Regional Level Coordination

The CARE for South Asia project will use the existing mechanisms of the intergovernmental implementing agencies for regional coordination, i.e., ADPC's Regional Consultative Committee (RCC) mechanism and RIMES' Council. RCC mechanism comprises of more than 20 member countries (including the CARE for South Asia project countries) and includes representatives from Planning departments, respective NDMOs and regional partners like SAARC, UN organizations and bilateral agencies. RIMES' Council, comprising of National Meteorological and Hydrological Services of RIMES Member countries is empowered to make policy decisions, on behalf of governments, concerning regional hydrometeorological data and other activities as endorsed by the Council, including implementation of CARE. The respective mechanisms will be used by CARE for strategic policy discussions, guidance, annual review of project impact, knowledge sharing, and lessons learnt.

The above-mentioned mechanisms will be used to convene meetings to discuss and address the overarching regional goals and implementation mechanisms of CARE, including but not limited to data sharing protocols to facilitate improved sharing of climate data, mechanisms for effective sharing of best practices in climate resilience building, support to regional institutions, etc. Through these mechanisms, all SAR countries are represented as well as regional agencies (SAARC, BIMSTEC and others), relevant regional UN agencies (e.g. UNESCAP, UNDP) and development partners deeply engaged in climate resilience.

3.1.4 National Level Coordination

A mechanism for national coordination among beneficiary departments would be established through putting in place the Sector Focal Points (SFPs) from participating departments in each country, convened by respective Ministries of Finance in Nepal and Bangladesh and Ministry of Planning, Development and Reforms in Pakistan. A coordination meeting would be convened on a bi-annual basis to review progress, assist in removing implementation bottlenecks and avoiding any potential duplication or gaps

The coordination meeting would also provide inputs to the regional meetings. The SFP for each country is presented in Table 4.

The overall structure of the different committees and working groups are shown in Figure 1 below and also in Appendix 4 (National Level Coordination Arrangements).

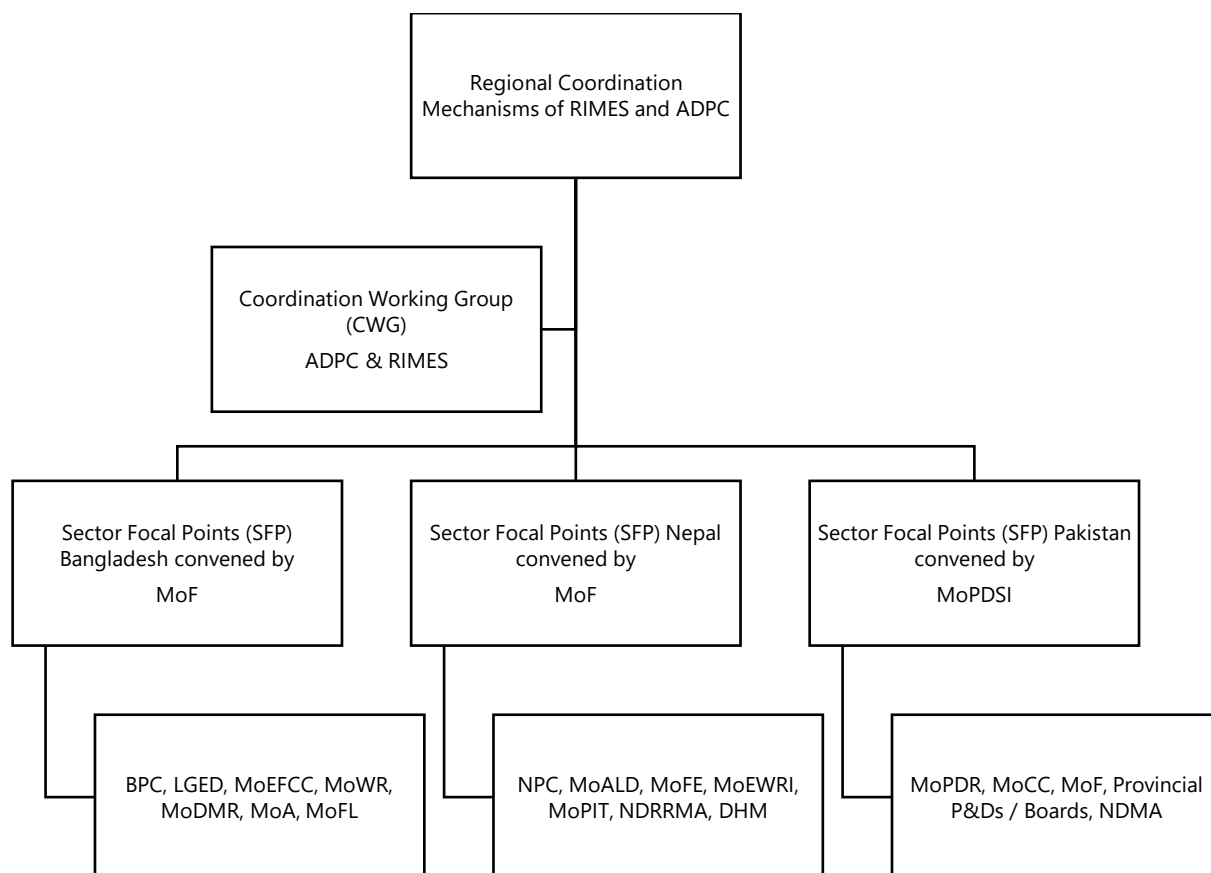


Figure 1 – Overall coordination arrangement of CARE

Table 4: The national Sector Focal Points in each country

Bangladesh SFP	Nepal SFP	Pakistan SFP
Coordinating meeting convener: Economic Relations Division, Ministry of Finance	Coordinating meeting convener: International Economic Cooperation Coordination Division, Ministry of Finance	Coordinating meeting convener: Climate Change and Food Security Section, Ministry of Planning, Development and Special Initiatives (MoPDSI)
Bangladesh Planning Commission (BPC), Local Government Engineering Department (LGED), Ministry of Environment Forest and Climate Change (MoEFCC), Ministry of Water Resources (MoWR), Ministry of Disaster Management and Relief (MoDMR), Department of Agriculture Extension, Ministry of Road Transport and Bridges (Roads and Highways Department), Ministry of Fisheries and Livestock (MoFL).	National Planning Commission (NPC), Ministry of Agriculture, Livestock Development (MoALD), Ministry of Forest and Environment (MoFE), Ministry of Energy, Water Resources and Irrigation (MoEWRI), Department of Roads, Department of Local Infrastructure and the National Disaster Risk Reduction and Management Authority (NDRRMA).	Ministry of Finance (MoF), Ministry of Climate Change (MoCC), National Disaster Management Authority (NDMA), Ministry of National Food Security and Research (MNFSR),

3.2: Implementation

3.2.1 Project Implementation Unit and ADPC

Under the ADPC's responsibility, the CARE for South Asia project has two distinct but interlinked parts. Support to policy, guidelines, standards and capacity building (components 2.1, 2.2 and 2.3 implemented over 5 years) as well as the PARCC TF Grant supporting innovation (component 2.4 implemented over 2 years).

As explained in the preceding sections, ADPC's PIU is responsible for the day-to-day operations of the CARE project under the ADPC management and reporting system for coordination, procurement, financial management (including auditing), reporting, and monitoring and evaluation, etc.

More specifically, and as defined in the Financing Agreement, ADPC will refer to the following:

"Project Operations Manual" means the operations manual for the Respective Part of the Project referred to in Section I.B of Schedule 2 to this Agreement, setting forth: (i) the operational and administrative responsibilities, procedures and rules of implementation of the Project; (ii) the flow of funds and disbursement arrangements; (iii) the terms of reference, functions and responsibilities of the members of the ADPC PIU and the personnel of the Recipient working on the Project; (iv) the procurement and financial management procedures under the Project, and (v) the details on the eligibility criteria, screening procedures and implementation of the Sub-grants, as same may be amended and supplemented from time to time with the Association's prior written approval."

3.2.2 Project organogram

Figure 2 explains the CARE project organogram to be referred to for ADPC. The overall responsibility falls on the Executive Director of ADPC, as for all projects implemented by ADPC. The PD is responsible for the day-to-day management of the project and manages the PIU as well as all the different inputs from ADPC technical staff, individual consultants, and firms.

As mentioned in section 3.2.1 ADPC will have a PIU dedicated to support the project and staff in the PIU will provide the management support for the project. The PD heads the PIU and reports to the Deputy Executive Director. The PIU is in turn supported by the ADPC's staff from the different technical departments as well as individual consultants. The support departments (Finance, HR and Administration and Strategic Planning) provide management and administrative support to the PIU. Similarly, the country offices in Bangladesh, Nepal and Pakistan will be part of the national-level implementation by providing technical and operational support to CARE.

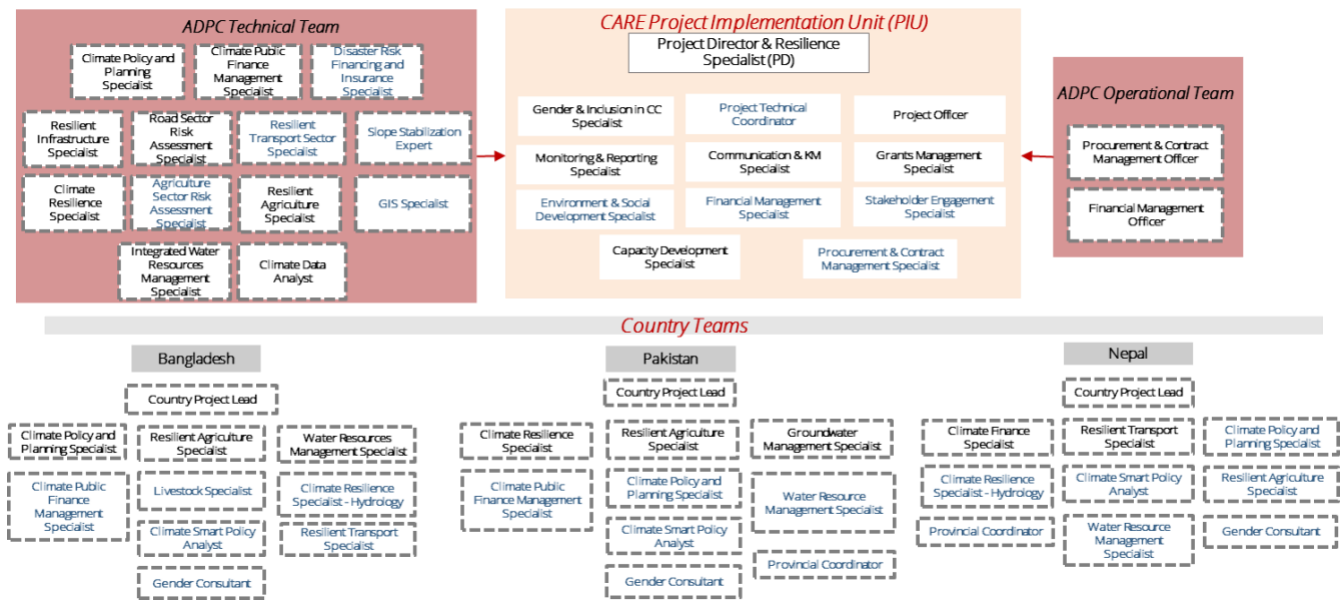


Figure 2 – ADPC Coordination and Management Structure for CARE

3.2.3 Reporting Structure

Through the annual meetings of the RCC, the CARE for South Asia project will bring together the major regional entities working on climate resilience in SAR. These events, in conjunction with the RCC meeting or the RIMES Council meetings, provide an opportunity to assess progress, provide strategic direction (within the scope of the project), ensure ownership by the participating countries, coordinate with external agencies and approve the overall annual work plan.

The Coordination Working Group (CWG) which consists of representatives from the PIUs of ADPC and RIMES works to facilitate close coordination and collaboration between the agencies on their respective components and activities. The CWG meets monthly to discuss progress on activities including an outline of next steps and discuss potential areas for more detailed coordination.

At the national level, regular coordination meetings of the SFPs (see Table 4, and section 3.1.4) oversee the work which is implemented by the different sector agencies with support from ADPC and RIMES (in the form of staff or consultants). The country offices of ADPC and focal points of RIMES support the meetings of the SPF, and coordinate the reporting from the agencies implementing activities at the national level. These meetings also provide inputs to the regional level discussions (Figure 1).

With respect to the organizational reporting lines for the project, the PIU in ADPC and RIMES are the focal points for reporting. The technical experts and consultants deployed at the national level report to the PIU for technical and activity issues but may refer to the ADPC country office local administrative support and logistics needs. The ADPC country representative will participate in the monthly CWG meetings (usually via video link).

ADPC technical experts based at ADPC headquarters in Bangkok report to the PIU with respect to the technical issues and activities but may be managed administratively by different departments. In turn, the PD of the PIU reports to the ADPC Deputy Executive Director (DED) and the Executive Director (ED) in line with the administrative set up of ADPC.

The annual work plan is prepared by the PIU and approved by the WB before integrated into the ADPC Annual Work Plan by ExCom and submitted to the Board of Trustees for approval. During the implementation of the work plan, the PD will regularly provide updates to the ExCom of ADPC which oversees the implementation of activities of ADPC and reports to the Board of Trustees.

The PIU oversees the work carried out by external firms hired to undertake specific activities and reviews the reports submitted by the hired firms to review progress and outputs, usually on a monthly basis.

The PIU works closely with the World Bank Task Team for better coordination as well as to strengthen ongoing work and leverage existing sectoral dialogues and pipeline activities. This is to ensure that the project is solidly anchored in cross-sectoral collaboration and leveraging the comparative advantages of different World Bank teams. The agencies will work with building client capacity and systems and setting the stage for new and more climate resilient planning and investments.

3.2.4 Identification and provision of technical support/inputs

ADPC and the World Bank have, as mentioned earlier, worked with the target beneficiary agencies to identify their priorities and where the support provided by the CARE for South Asia project can be most effective in achieving the Project Development Objectives. However, as the project progresses, new issues will emerge and continuous dialogue with the target beneficiaries will enable the project to address these areas which are within the scope of the project.

While the team of experts to be initially deployed at regional and national levels would be addressing the overall broader requirements proposed by the governments of the three countries during the initial missions and undertaking a detailed sector wise needs assessment, ADPC would be adopting a multi-pronged approach to implement the specific capacity development and mainstreaming interventions coming out during the initial phase of implementation.

At the national level, similar support in the form of national experts would be provided to the relevant ministries and departments (e.g., Planning and Development, Finance, Climate Change, Agriculture, Water, Transport, etc.). These experts would be supported by the PIU and ADPC regional experts and additional support would be procured where needed. Similarly, the project would also provide short term technical support to national level research institutions and non-governmental organizations in line with the project objectives.

3.2.5 Different types of support

Short Term Experts

In case a Ministry or Department requires short term support for a specific activity that can be met by one or more technical experts in the subject, ADPC would translate the needs in ToRs for a dedicated expert who would then be deputed to that Ministry/Department for the required period of time. This expertise could be for meeting the specific priority gaps as identified by the national level counterpart and in line with the Project Development Objective. The recruitment modality could be an individual consultant or through a firm.

Embedded Support

In case of a Ministry or Department identifying a longer-term need, which ADPC may already have in-house, or is to be recruited, the staff would be deputed to the respective entity for providing the continuous support in meeting the specific requirements. At the same time, ADPC's in-house expertise would be mobilized to support regional and national experts throughout the project implementation process.

Complex and large specialist support

For complex and large contracts of specialist support, ADPC will engage specialist consultancy firms and technical organizations. This will reduce the management burden on the PIU and country offices and will be considered for many highly specialized inputs throughout the project implementation period. The competitive procurement process is described in the OM. The firms would be hired in support of the relevant government entity and would be reporting to ADPC's PIU and country offices (where relevant).

3.3: Regional-National Linkages

An important aspect of the management approach is regional to national linkages created by the project which are key contributors to the success of the project. All the experts at the national level are to be linked to the regional technical support team and vice versa which would result in a real time two-way flow of information and knowledge. A fit-for-purpose communication and information management system, managed out of the PIU, will provide the necessary support to enable this across all activities. Leveraging ADPC's existing presence in the countries the project will enhance the ability to effectively reach down to the local levels where activities are being implemented.

There will also be horizontal linkages between the experts within a country where the Country Project Lead will provide coordination, support knowledge management and support to resolve national level implantation issues. Both physical and virtual meetings will be conducted on a regular basis and the information management system will be customized for specific use at the national level, facilitating the aggregation and consolidation of nationally generated knowledge for use at regional levels and help in the dissemination of regional level information to the national levels. Coordination with the national focal points of RIMES will happen at this level.

3.4: Staffing Plan

A large and complex project such as CARE requires a broad mix of technical and management skills. To fill this requirement, ADPC will leverage its own staff and procure technical inputs from consultants (individual or through firms). ADPC will increasingly, over time, leverage its internal capacities in the implementation of the project as its technical and management capacity increases.

Below is a description of what capacities ADPC will leverage from its own staff. A plan for the engagement of consultants and firms under the project for the first 18 months is provided in the Procurement Plan:

1. **PIU at ADPC headquarters in Bangkok:** In consultation with the Task Team and based on their advice, a dedicated project management team would be engaged in ADPC Bangkok to manage the critical aspects of the project covering Management Support, Procurement, Finance, Environment and Social risk management, Reporting, etc. Some positions would be filled by deploying existing staff of ADPC and others by procuring consulting services as indicated in the list below:
 - a. Project Director and Resilience Specialist (PD) – ADPC staff
 - b. Project Technical Coordinator – Consultant
 - c. Financial Management Specialist - Consultant
 - d. Procurement and Contract Management Specialist - Consultant
 - e. Monitoring and Reporting (M&R) Specialist – ADPC staff
 - f. Gender and Inclusion in Climate Change Specialist – ADPC Staff
 - g. Grants Management Specialist – Consultant
 - h. Stakeholder Engagement Specialist – Consultant
 - i. Environment and Social Development Specialist - Consultant
 - j. Communications and Knowledge Management Specialist – ADPC staff
 - k. Project Officer – ADPC staff

As mentioned above, as the ADPC’s management capacity develops the positions initially filled by consultants are gradually to be replaced by ADPC staff. This transition will be progressive over the implementation period of the project.

In addition to the PIU, a team of technical experts would be mobilized (deployment of existing staff and recruitment of new staff) at ADPC headquarters in Bangkok to support the regional cooperation activities as well as to provide direct technical support to the countries through the national counterparts. Candidates for several positions and technical inputs have already been identified among existing ADPC staff members who will be deployed for the implementation of the project. Table 5 below summarizes technical expertise of ADPC to be leveraged at regional and national levels through its existing staff and through those who will be recruited in the future. Additional expertise in the form of consultants (individual and through contracting firms) would be engaged in accordance with the procurement plan approved by the Task Team.

Table 5: ADPC’s List of in-house Technical Expertise for CARE

#	Title	Description of Expertise
Bangkok		

#	Title	Description of Expertise
1	Project Director & Resilience Specialist (PD)	The Project Director & Resilience Specialist (PD) will lead the CARE team at ADPC and will be in charge of overall management, providing strategic direction in the design, management, and implementation of the project. The PD will also provide overall supervision and technical guidance on enhancing resilience across sectors under the project. <i>(70 percent of the PD's monthly salary will be charged to operational budget and the remaining 30 percent will be charged to component 2 as indicated in the work plan as well as in the budget sheet)</i>
2	Climate Resilience Specialist	The Climate Resilience Specialist will provide technical inputs on climate resilience activities in all components of the CARE project, ensuring technically sound and innovative climate-resilient interventions across focused sectors (road, agriculture, and water) at the regional level and in focus countries. The Climate Resilience Specialist will also lead in providing technical guidance in all activities and technical oversights of deliverables.
3	Climate Policy and Planning Specialist	The Climate Policy and Planning Specialist will lead and provide technical inputs on climate-resilient policy review and analysis, policy and strategic options and policy reform, as well as augment operationalization of existing climate change frameworks and actions plans in focus countries. The Climate Policy and Planning Specialist will also play a key role in facilitating policy dialogues at the regional and country level, policy advocacy on climate resilience and climate-resilient development planning.
4	Communications & Knowledge Management Specialist	The Communications & Knowledge Management Specialist will take lead on knowledge management, south-south learning, advocacy and communication under the project. The Knowledge Management and Communication Specialist is responsible communicating for CARE project through impactful media and outreach initiatives.
5	Integrated Water Resources Management Specialist	The Integrated Water Resource Management Specialist will provide overall technical guidance and inputs on integrated water resource management for augmenting climate resilience for the water sector. The Integrated Water Resource Management Specialist will lead in developing technical solutions for the water sector in the focus countries to inform adaptation options and priorities of water resource strategies and drought risk management
6	Road Sector Risk Assessment Specialist	The Road Sector Risk Assessment Specialist will provide overall technical supervision/guidance and inputs on climate inclusive risk assessment of the transport sector, including vulnerability and impact assessment in Nepal and Bangladesh. The Road Sector Risk Assessment Specialist will lead in developing a climate inclusive risk profile of the identified transport sectors in the focus countries which would help in augmenting climate resilience of the sector and lead to a climate resilient transport infrastructure. S/he will work closely with Resilient Transport Specialist for the resilient road transport sector works under WB CARE i.e. slope stabilization & bio engineering slope stabilization solutions guidelines, developing climate resilient strategy/design standards for rural roads, support revision of standards, trainings, etc. in the focus countries.
7	Climate Data Analyst	The Data Analyst will provide technical inputs on climate data analysis to support in developing climate modeling and climate risk information to inform climate resilient policy, planning and sectoral guidelines. The Data Analyst will provide support remotely and in-country with CARE country team and consultants.
8	Capacity Development Specialist	The Capacity Development Specialist will lead in development capacity building initiatives through training needs assessment to identify current gaps climate change adaption, climate public policy, climate finance, among other relevant topics. The specialist will further coordinate rational and national capacity development activities to support gender mainstreaming
9	Resilient Agriculture Specialist	The Senior Resilient Agriculture Specialist will provide overall technical support to implement agriculture sector activities in the project countries and also provide technical guidance to agriculture sector activities under CARE project.
10	Climate Public Finance Management Specialist	The Climate Public Finance Management Specialist will provide technical inputs carrying out activities related to supporting the Ministries of Finance in mainstreaming climate resilience in MoF's budgeting and macro-fiscal work. This includes, but not limited to, analyzing existing climate related public expenditure and supporting use of climate modeling and climate risk information to inform climate resilient policy, planning and sectoral guidelines. The Data Analyst will provide support remotely and also face-to-face with CARE country team and consultants.
11	Resilient Infrastructure Specialist	The resilient infrastructure specialist is critical to the success of the CARE project, ADPC requires specialist expertise on an individual with DRR and CCA background who has strong infrastructure

#	Title	Description of Expertise
		capacities. This position is expected to have experience and technical expertise as a public works engineer.
12	Gender and Inclusion in Climate Change Specialist	The specialist will ensure that CARE is able to effectively and efficiently ensure that policies developed considers gender and inclusion throughout its development processes. The specialist will implement the position-specific technical activities of CARE projects as well as strengthening the technical capacity of the team on gender and inclusion.
Pakistan		
1	Country Project Lead	The Country Project Lead will be responsible for planning, coordinating and managing all the country level activities of the Project
2	Climate Resilience Specialist	Climate Resilience Specialist will play a key role at the national level to provide technical inputs on climate resilience activities in all component of the CARE project, ensuring technically sound and innovative climate-resilient interventions across focused sectors (road, agriculture, and water) at the regional level and in focus countries.
3	Groundwater Management Specialist	The Groundwater Management Specialist will be working specifically to build the provincial groundwater strategy of Pakistan, build the drought risk management capacity and will also be responsible for ensuring high quality of deliverable in all aspects pertaining to Water Resources Management across Pakistan
4	Resilient Agriculture Specialist	Resilient Agriculture Specialist will play a key role at national level specific to enhancing climate-resilient intervention in the agriculture sector and will be responsible for ensuring high quality of deliverables in all aspects pertaining to agriculture resilience and Climate-Smart Agriculture (CSA) across country specific activities in Pakistan. Resilient Agriculture Specialist, Pakistan will closely work with Resilient Agriculture Specialist (ADPC Bangkok)
Bangladesh		
1	Country Project Lead	The Country Project Lead will be responsible for planning, coordinating and managing all the country level activities of the Project
2	Climate Policy and Planning Specialist	The Climate Policy and Planning Specialist will play an essential role in Bangladesh to ensure local expertise is available with a strong understanding of the processes in developing development policy and plans to mainstream climate change. The Climate Policy and Planning Specialist will work closely with the Climate Policy and Planning Specialist in ADPC-Bangkok
3	Resilient Agriculture Specialist	Resilient Agriculture Specialist will play a key role at national level specific to enhancing climate-resilient intervention in the agriculture sector and will be responsible for ensuring high quality of deliverables in all aspects pertaining to agriculture resilience and Climate-Smart Agriculture (CSA) across country specific activities in Bangladesh. Resilient Agriculture Specialist, Bangladesh will closely work with Resilient Agriculture Specialist (ADPC Bangkok)
4	Water Resource Management Specialist	National Level Water Resources Management Specialist will be working specifically to enhance climate-resilient policy intervention, water accounting, risk financing and relevant implementations in the water sector and will be responsible for ensuring high quality of deliverables in all aspects pertaining to Water Resources Management across Bangladesh
Nepal		
1	Country Project Lead	The Country Project Lead will be responsible for planning, coordinating and managing all the country level activities of the Project
2	Climate Finance Specialist	The Climate Finance Specialist, Nepal will be working specifically on rolling out the climate change financing framework of Nepal in selected provinces. The Specialist will also be taking lead on the capacity development of officials in this technical area
3	Resilient Transport Specialist	The Resilient Transport Specialist (Nepal) will be the technical national lead for the Transport sector work under the CARE project in Nepal.

Additionally, PIU at the headquarters, will be seeking support from three Project Coordinators (ADPC staff) in the three project countries.

2. **Technical expertise procured by ADPC:** In addition to the experts deployed by ADPC, a large amount of highly specialized services will be procured through consultants for intermittent or longer-term inputs whereas practicable technical expertise will be

procured through firms as to reduce the supervision and administrative support. However, at the national level, the best and most appropriate expertise may only be available through individually contracted consultants. For details of the technical services procured by ADPC for CARE please refer to the Procurement Plan. The list of consultants (table 6 below) will be updated regularly along with the other revisions and updates in the Operations Manual.

Table 6: List of Consultants for CARE (as of 31st December 2020)

#	Title	Description of Expertise
Bangkok		
1	Project Technical Coordinator	The Project Technical Coordinator will assist the Project Director in providing technical support and coordination on enhancing resilience across sectors under the CARE project.
2	Disaster Risk Financing and Insurance Specialist	The Disaster Risk Financing and Insurance Specialist will lead in creating linkages between disaster and climate financing in Nepal, Bangladesh, and Pakistan by assessing national policies, plans, strategies, frameworks and guidelines related to disaster and climate public financing.
3	Resilient Transport Sector Specialist	The Resilient Transport Sector Specialist will provide technical support in revising guidelines (regional and countries) on climate-risk informed design and construction in the transport sector, as well as reviewing existing climate-related hazard and risk-assessment approaches to develop inclusive risk assessment and climate change methodologies for strategic and rural roads in Bangladesh and Nepal. The Consultant will further support in reviewing regional guidelines and standards for climate resilient transportation infrastructure to identify key gaps and issues to support in capacity building.
4	Environment and Social Development Specialist	The Environment and Social Development Specialist will provide technical and advisory support to screen, assess, manage, supervise and report the Environment and Social Risks associated with project implementation by adhering to the environmental and social commitment plan (ESCP). This support will include direct advice on key E&S issues, risks and impacts pertaining to the CARE project activities.
5	E-Learning Specialist	The E-Learning Specialist will enhance capacity in climate change adaptation, climate public policy and climate finance in the South Asia Region, including Pakistan, Bangladesh and Nepal through localized (national and regional) e-learning courses.
6	GIS Specialist	The GIS Specialist will take a leading role in all the geospatial data related tasks for Bangladesh, Pakistan and Nepal, which include determining, with transportation and agriculture sectoral experts, the data needed to characterize climate change exposure and vulnerability, climate inclusive hazard and risk mapping; and developing geospatial databases of the sectoral related data using satellite data and data obtained from the governments and other relevant sources. The GIS specialist will also support in the capacity building and development of strategies and frameworks related to transport and agriculture sector based on risk assessment applications. Additionally, he/she will provide GIS technical support for water sector particularly related to Sindh Irrigation in Pakistan and Ministry of Water Resource (MoWR) in Bangladesh, and Ministry of Energy, Water Resource and Irrigation (MOEWRI) of Nepal.
7	Stakeholder Engagement Specialist	The Stakeholder Engagement Specialist will work in collaboration with the CARE team of specialists by providing technical support across project activities in the focus countries to engage non-governmental stakeholders. The specialist would focus on cross-cutting contribution by providing a strategy and plan to enhance stakeholder engagement throughout the relevant project activities across the focus countries.
8	Agriculture Sector Risk Assessment Specialist	The Agriculture Sector Risk Assessment Specialist will provide overall technical guidance and inputs on climate risk assessment of the agriculture sector, including vulnerability and impact assessment. The Agriculture Sector Risk Assessment Specialist will lead in developing a climate risk profile of the agriculture sector in the focus countries which would help in augmenting climate resilience of the sector and lead to a better agro-climatic zoning, climate-smart and resilient agriculture. The inputs intent to inform adaptation options, priorities and development of sectoral guidelines and standards.

#	Title	Description of Expertise
9	Slope Stabilization Expert/Geologist	The Slope Stabilization Expert will provide technical leadership as well as subject-matter- expert inputs to related project activities under the CARE for South Asia project's Resilient transport sector on slope stabilization, landslide investigation and risk management activities. The expert will take a leading role in all the landslide hazard assessment related tasks for Bangladesh, and Nepal, which include the data needed to characterize climate change exposure and vulnerability, climate inclusive hazard and risk mapping; and also facilitate in guideline developments for slope stabilization and protection measures.
Pakistan		
1	National Policy, Planning and Finance Lead	The National Policy, Planning and Finance Lead will assist the Project Director in providing technical support, oversight and coordination on enhancing policy, planning and finance aspects under the CARE project in Pakistan across the key sectors.
2	Water Resources Management Specialist	The Water Resources Management Specialist will provide support in reviewing regional and national guidelines for water sector. The Consultant will further support in identifying adaptation and investment needs to strengthen the water sector.
3	Climate Smart Policy Analyst	The Climate Smart Policy Analyst will support in reviewing various regional and national policies, plans and guidelines related to agriculture sector and climate change. The consultant will provide further support in collecting and reviewing data to support in scaling up climate smart agriculture in Pakistan.
4	Climate Policy and Planning Specialist	The Climate Policy and Planning Specialist will play an essential role in the project's presence in Pakistan to ensure National expertise is available with a strong understanding of the processes in developing climate policy and plans to mainstream climate change. The Climate Policy and Planning Specialist will work closely with the Climate Policy and Planning Specialist in ADPC-Bangkok and the Climate Finance Specialist in Pakistan.
5	Climate Public Finance Management Specialist	The Climate Public Finance Management Specialist will play an essential role in Pakistan to ensure National expertise is available with a strong understanding of the country climate public financing systems and support in reviewing frameworks and reports to support in scaling up climate smart investment in the country. The consultant will further support in development of action plans and adaptation plans for climate and disaster risk-informed investments.
6	Provincial Coordinator	The Provincial Coordinator will support in reviewing various water resource data, strategies and policies. The consultant will further conduct consultation and validation workshops to further compile good practices of water resource management.
7	Gender Consultant	The Gender Consultant will play an essential role in Bangladesh to provide support with regards to policy review, capacity building and other activities across sectors from gender perspective. The Consultant will ensure quality and timely delivery of in-country activities and outputs. S/he will liaise with government agencies and other Bangladesh-based stakeholders. The Consultant will be working on implementation and/or monitoring of the component activities in selected provinces, as required. The Consultant will coordinate the in-country capacity development activities.
Bangladesh		
1	Climate Resilience Specialist	The Climate Resilience Specialist will support in reviewing various national guidelines, policies, frameworks etc., to support in preparation of regional guidelines for the agriculture sector. The Consultant will further engage in conducting needs assessment and validation workshops.
2	Climate Smart Policy Analyst	The Climate Smart Policy Analyst will support in reviewing various regional and national policies, plans and guidelines related to agriculture sector and climate change. The consultant will provide further support in collecting and reviewing data to support in scaling up climate smart agriculture and livestock in Bangladesh.
3	Livestock Specialist	The Livestock Specialist will lead in national-level livestock specific activities under agriculture sector through reviewing various documents, assessing data for livestock sector and liaising with stakeholders in public and private sector. The consultant will provide further support in developing tools and guidelines to support in climate-smart agriculture and livestock.
4	Climate Public Finance Management Specialist	The Climate Public Finance Management Specialist will play an essential role in Bangladesh to ensure National expertise is available with a strong understanding of the country climate public financing systems and support in reviewing frameworks and reports to support in scaling up climate smart investment in the country. The consultant will further support in development of action plans and adaptation plans for climate and disaster risk-informed investments

#	Title	Description of Expertise
5	Resilient Transport Specialist	The Resilient Transport Specialist will work (collaboratively with the Resilient Transport Sector Specialist based in Bangkok) on the implementation of climate-resilience adaptive engineering design and solutions in transport and revision of the Construction Practices and Procedures Manual to incorporate climate-resilient design and practices for strategic and rural roads in Bangladesh. Additionally, s/he will also support Road Sector Risk Assessment Specialist (regional) in conducting climate inclusive hazard assessment and risk assessment for rural roads in Bangladesh. The Consultant will further support in mapping needs and issues on climate resilient roads to support in capacity building of relevant stakeholders, including supporting workshops and training efforts.
6	Gender Consultant	The Gender Consultant will play an essential role in Pakistan to provide support with regards to policy review, capacity building and other activities across sectors from gender perspective. The Consultant will ensure quality and timely delivery of in-country activities and outputs. S/he will liaise with government agencies and other Pakistan-based stakeholders. The Consultant will be working on implementation and/or monitoring of the component activities in selected provinces, as required. The Consultant will coordinate the in-country capacity development activities.
Nepal		
1	Water Resource Management Specialist	The Water Resources Management Specialist will provide support in reviewing regional and national guidelines for water sector. The Consultant will further support in identifying adaptation and investment needs to strengthen the water sector.
2	Resilient Agriculture Specialist	The Resilient Agriculture Specialist will provide support in reviewing regional and national guidelines for agriculture sector. The Consultant will further support in identifying adaptation and investment needs to strengthen the agriculture sector.
3	Climate Smart Policy Analyst	The Climate Smart Policy Analyst will support in reviewing various regional and national policies, plans and guidelines related to agriculture sector and climate change. The consultant will provide further support in collecting and reviewing data to support in scaling up climate smart agriculture and livestock in Nepal.
4	Climate Resilience Specialist	The Climate Resilience Specialist will support in reviewing various national guidelines, policies, frameworks etc., to support in preparation of regional guidelines for the agriculture sector. The Consultant will further engage in conducting needs assessment and validation workshops.
5	Climate Policy and Planning Specialist	The Climate Policy and Planning Specialist will play an essential role in Nepal to ensure National expertise is available with a strong understanding of the processes in developing development policy and plans to mainstream climate change. The Climate Policy and Planning Specialist will work closely with the Climate Policy and Planning Specialist in ADPC-Bangkok
6	Provincial Coordinator	The Provincial Coordinator will support in conducting a series of trainings with relevant provincial stakeholders to facilitate development of a local adaptation plan of action. The consultant will further conduct vulnerability and adaptation assessments, alongside local level forums, to support in the development of a provincial adaptation plan.
7	Gender Consultant	The Gender Consultant will play an essential role in Nepal to provide support with regards to policy review, capacity building and other activities across sectors from gender perspective. The Consultant will ensure quality and timely delivery of in-country activities and outputs. S/he will liaise with government agencies and other Nepal-based stakeholders. The Consultant will be working on implementation and/or monitoring of the component activities in selected provinces, as required. The Consultant will coordinate the in-country capacity development activities.

In addition to the consultants, the project will also involve firms for inputs on:

#	Title	Description of Engagement
1.	Communication and Knowledge Management	The firm will assist ADPC design and implement a multilingual knowledge-sharing and awareness-raising campaign to stimulate dialogue on climate adaptation and resilience for South Asia with a focus on agriculture, integrated water resource management, road

#	Title	Description of Engagement
		infrastructure. The firm will play a key role in creating an enabling environment for climate resilience policies and investments across South Asia through enhanced regional cooperation and knowledge exchange for climate resilience and adaptation and mainstreaming of resilience and adaptation in national policies, plans and investments.
2.	Climate Policy, Planning and Finance in Pakistan and Bangladesh	The regional firm will support the policy, planning and finance sector team in developing technical outputs such as a report on gaps and a sequence action plan for climate and disaster risk-informed investment, appraisal and approval framework in Pakistan and Bangladesh utilizing the existing Climate Change PER, design climate-related fiscal risk mitigation, CCFF implementation plans, support in formulation of climate indicators, develop regional guidelines and provide support in building capacity of government officials vis-à-vis the outputs developed. The firm will be working closely with key beneficiary ministries and departments in the project countries of Bangladesh and Pakistan
3.	Water accounting in Bangladesh	The firm will work closely with General Economic Division, Bangladesh Planning Commission, Ministry of Finance, Ministry of Water Resources and Bangladesh Water Development Board as part of the assignment. Local collaboration with relevant agencies working in water sector is also required. The firm will support the review of regional and national guidelines for water sector; Gaps and Need assessment for water sector in including Water Accounting in Bangladesh and ;Develop and finalize the regional guidelines through consultative process
4.	Water resources management in Pakistan	The firm will work closely with Irrigation Departments in Pakistan, Pakistan Geological Survey, Pakistan Council of Research in Water Resources and other relevant provincial stakeholders to develop a digital groundwater database leading to preparation of a digital groundwater atlas as part of Integrated Water Resources Management in Sindh Province, Pakistan
5.	Project Management Information System (PMIS)	The firm will assess the existing setup, which includes a review of the current processes in place, submit a comprehensive design brief consisting of PMIS architecture (process mapping, proposed software and hardware solutions, human resource capacity building, user manuals and any other related ancillary scope), scope and extent of the system, specifications as well as detailed costing and proposal for the supervision of the installation, commissioning and user acceptance testing, amongst others, for the successful Implementation of a PMIS for ADPC
6.	Innovation Grants Pilot	The firm will provide technical support to the two innovation challenges under Component 2.4 and monitor and evaluate technical aspects and implementation of the pilot projects
7.	Technical studies and assessments in the agriculture sector in Pakistan	The consultancy firm will conduct a situation analysis of agriculture sector to strengthen climate-resilient policy actions in Punjab Province (Pakistan) under CARE for South Asia project and will require working closely with the Ministry of Planning, Development and Special Initiatives (MOPDSI), the Ministry of Climate Change (MOCC), the Ministry of National Food Security and Research (MNFSR), and The Department of Agriculture (DOA), Government of Punjab in Pakistan

4. Procurement Management

Procurement for the CARE for South Asia project will be carried out in compliance with the World Bank Procurement Regulations for IPF Borrowers, dated July 2016, revised November 2017 and August 2018, hereafter referred to as "Procurement Regulations", and the provisions of the Grant Agreement, including the Procurement Plan. In addition, the Project will also follow the Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants, Dated October 15, 2006, and Revised in January 2011 and July 2016. The relevant documents are provided in the following appendices of this Manual:

- Appendix 1: Financing and Grant Agreements between ADPC and World Bank
- Appendix 2: Procurement Plan dated 29 March 2020
- Appendix 8: World Bank Procurement Regulations
- Appendix 17: World Bank Anticorruption Guidelines

ADPC is in the process of further enhancing its procurement procedure and other related operational and administrative procedures. Once ADPC has completed this process, application to CARE project of these revised procedures will be discussed and agreed upon with the World Bank and then reflected in the updating of the Procurement Plan and this OM.

Procurement Responsibility

ADPC will have the overall responsibility of fiduciary oversight for the implementation of CARE including developing and monitoring of the respective procurement plans. The PIU will be supported by the ADPC's Human Resource and Administration (HRA) Department staffed with well qualified and experienced procurement and contract management staff to ensure procurements are carried out in compliance with the World Bank's Procurement Regulations.

Procurement activities and use of STEP

Contracts to be procured for the project will be in small (less than US\$ 50,000) and large size (US\$ 50,000 and above) for the employment of individual consultants, the establishment of data centers, computer software, office equipment and furniture, hiring of firms for the provision of various types of consulting and non- consulting services in the field of climate change related policy studies and planning, and events management, etc. The PIU will use the Bank's online procurement planning and tracking tool Systematic Tracking of Exchanges in Procurement (STEP) to prepare, clear and update its procurement plans and interact with the Bank in respect of all procurement activities under the project.

Project Procurement Strategy Development (PPSD) and Procurement Plan.

As per the requirement of the Procurement Regulations, a PPSD has been developed by ADPC. The goods and services required for the project are considered of common nature and generally available from the market of Thailand, where ADPC is hosted with its headquarters or markets of the beneficiary counties. For highly specialized services from consultants and firms, ADPC will procure internationally. Based on the PPSD, ADPC and the Bank have agreed on a Procurement Plan for the initial 18 months of implementation. The Plan sets out the selection methods and Bank's review requirements to be followed by the agencies during the project implementation in the procurement of goods, non-consulting and consulting services

financed by the Bank. It will be published at the WBG's website. It will be updated at least annually with the Bank's prior agreement. A General Procurement Notice of the project will be published in the UNDB online and the Bank's website before any specific procurement activities are advertised/launched.

4.1: Procurement of Goods, and Non-consulting Services

Methods for procurement of works, goods, and non-consulting services are provided in the Procurement Plan as approved by the Bank. For more details, please refer to Section VI of the Procurement Regulations. Typical methods include the following:

- (a) Request for Proposals (RFP) and Request for Bids (RFB);
- (b) Request for Quotations (RFQ);
- (c) Direct Selection;

When the international market is approached, the Bank's Standard Procurement Documents will be used. To procure relatively small contracts using RFQ or Direct Selection, ADPC will use project-specific procurement documents as agreed with the Bank in advance.

4.2: Method for Procurement of Consulting Services

Methods for procurement of consulting services are provided in the Procurement Plan as approved by the Bank. For more details, please refer to Section VII of the Procurement Regulations. Typical methods include the following:

- a) Quality and Cost-based Selection (QCBS)
- b) Quality-based Selection (QBS)
- c) Fixed Budget-based Selection (FBS)
- d) Least Cost-based Selection (LCS)
- e) Consultant's Qualification-based Selection (CQS)
- f) Direct Selection (CDS)
- g) Individual Consultant Selection (INDV)

Procurement of Individual Consultants

In order to provide technical or specialized managerial assistance to the project, particularly relevant at the national level, individual consultants will be contracted. Procurement will be done in accordance with clause 7.34-7.39 of the Procurement Regulations. Subject to the Bank's agreement, relevant requirements from the ADPC administrative, financial and HR procedures will be incorporated in the contract form to be used with respect to travel authorization, DSA, air tickets, visas, liquidation of travel expenses for consultants, etc.

4.3: Procurement Oversight by the Bank

Procurement activities under this project are all subject to the Bank’s oversight in accordance with the Procurement Regulations. The Procurement Plan - textual part provides the following thresholds to determine which contracts are subject to prior review or post review by the Bank:

Table 7: Expenditure Classifications

Expenditure Category	Contract Value (Threshold)	Selection Method (thresholds as guidance)	Contracts Subject to Prior Review (thresholds as mandatory)
Goods and non-Consulting Services	≥ US\$150, 000	Open- Competitive-International	All contracts above US\$ 2,000,000
	< US\$150,000	Request for Quotations	
	Per the requirements of Procurement Regulations 6.8 to 6.10	Direct Selection (as agreed in the Procurement Plan)	
Consultant Services (firms)	≥ US\$300,000	All competitive methods; advertise internationally	All contracts over US\$ 1,000,000 equivalent
	< US\$300,000	All competitive methods; advertise locally	
	-----	Consultant’s Qualification-based Selection	
	-----	Selection of Particular Types of Consultants - UN Agencies (as agreed in the Procurement Plan)	
Individual Consultants	Per the requirements of Procurement Regulations 7.13 to 7.15	Direct Selection (as agreed in the Procurement Plan)	All contracts over US\$300,000 equivalent
	Per the requirements of Procurement Regulations 7.34 to 7.38	Individual Consultant Selection	
Individual Consultants	Per the requirements of Procurement Regulations 7. 39	Direct Selection (as agreed in the Procurement Plan)	All contracts over US\$300,000 equivalent
	Per the requirements of Procurement Regulations 7. 39	Direct Selection (as agreed in the Procurement Plan)	

4.3.1 Contract management and records keeping

ADPC’s procurement and contract management team to be supported by a procurement specialist and the Human Resources and Administration (HRA) Department, in consultation with the Project Director, is responsible for procuring the services of individual consultants, consulting firms, goods, complex equipment, and software and data. The team also provides a seamless end-to-end contract management solution to deliver the required services of any complexity to any country of the region.

Procurement records-keeping: All documents relating to procurement and contract management shall be kept safely for future reference and inspection by auditors and the World Bank supervision missions in line with ADPC's existing procedures under the HRA Department. These documents shall be kept for two years after the project's Closing Date. Detailed lists of documents to be retained are provided in clauses 8 and 9, Annex II of the Bank's Procurement Regulations. Typically, the following documents should be kept in the procurement records:

- i. Published notices of procurement opportunities
- ii. Issued procurement documents (such as RFP, RFB, RFQ, etc.) and addenda
- iii. Bids/proposals opening information
- iv. Bids/proposals evaluation reports
- v. Formal appeals/complaints by bidders and outcomes
- vi. Signed contract documents and addenda and amendments, performance securities, advance payment guarantees, etc.
- vii. Records on claims and dispute resolutions
- viii. Supplier's or consultant's requests for payment, and records of payments made

4.3.2 Complaints management and dispute resolution systems

Procurement-related Complaints:

Procurement-related complaints shall be handled in accordance with the Procurement Regulations (clause 3.26-3.31, Section III). Consistent with this requirement and guided by its existing policy, ADPC's internal procedure for handling procurement-related complaints will be followed.

When the Bank's Standard Procurement Documents are used, the complaints shall be handled in accordance with Annex III of the Procurement Regulations, including submission for Bank's prior review.

All complaints received and replies sent to the complaints shall be recorded in the STEP system.

Resolution of Contractual Disputes

All contractual disputes shall be resolved in accordance with the contract. Modifications to the contract shall be subject to the Bank's prior or post review as required by Annex II of the Procurement Regulations.

The following is the applicable ADPC procedure in the resolution of contractual disputes:

Most minor contractual disputes may be resolved by sensible discussion and agreement between ADPC and the Supplier or Contractor to rectify the cause of complaint. Any formal written complaints received from a Supplier or Contractor should be fully investigated and referred to the ED after initial screening by the PD to seek ways and means of addressing the complaints.

- The Procurement team shall examine the Contract carefully to be aware of all contract conditions relating to the Resolution of Disputes;
- The ADPC Legal Counsel shall determine if ADPC is at fault or partly at fault, and if so, take appropriate action to rectify the problem;
- ADPC may seek external legal advice on the interpretation of specific contractual clauses when necessary;
- The Procurement team shall invite the Supplier or Contractor to a formal meeting⁹, within 10 calendar days of the complaint, to discuss the issues and try to agree on a compromise acceptable to both parties;
- Ensure that accurate written minutes of any such meeting are kept;
- If an agreement is reached which changes any of the conditions of the Contract, approval of the ED is required before the agreement can be implemented;
- If no initial agreement is reached and negotiations conducted fail, the Legal Counsel shall advise on the use of conciliation or arbitration services as specified in the contract; and
- The Procurement team shall prepare any necessary amendment to the Contract for review and approval by the ED.

⁹ With the consent of the Supplier or Contractor this meeting may be done virtually over the internet.

5. Financial Management

ADPC will maintain a financial management system to ensure that the funds transferred from the WBG for CARE are utilized for the project purposes and are properly accounted for. The detailed policies, procedures and internal controls prescribed in the ADPC's Financial Manual¹⁰ and other relevant manuals (e.g., Administration Manual) will be used as the applicable financial management framework for the CARE project. Few sections of the Financial Manual have been included as appendices to this Operations Manual, and for detailed guidance, the staff should refer to the Financial Manual itself. ADPC follows the period of January 1 to December 31 as the financial year that will also be the financial year for the CARE Project. United States Dollar (USD) will be the accounting and reporting currency for the CARE Project.

5.1 Project budget preparation and activity planning

The activity-based budget shall be prepared to capture expenditures by activity under each component and sub-component. The Financial Manual provides guidelines on preparing the activity-based budget, and the extracts from Chapter 16 of the Financial Manual related to budgeting are presented as Appendix 6. ADPC will prepare the project budget for each fiscal year, and the following are the key milestones of the budget cycle:

- Draft Work Plan and Budget of the Project for the coming fiscal year submitted to the World Bank for review and approval. *Responsibility: Project Director; Due Date: 30 September*
- Incorporate the Work Plan and Budget for the Project into the ADPC Annual Work Plan and Budget for review by ExCom. *Responsibility: Project Director; Due Date: 10 October*
- World Bank to approve the Work Plan and Budget, with or without comments. *Responsibility: World Bank's Task Team Leader; Due Date: 15 October*
- Submit the ADPC Annual Work Plan and Budget, approved by the World Bank, to the ADPC Board of Trustees. *Responsibility: Chair of ExCom; Due Date: 15 October*
- Approval of ADPC Annual Work Plan and Budget. *Responsibility: ADPC Board of Trustees; Due Date: 15 November*

5.2 Fund management

5.2.1 Designated bank account

A designated bank account in USD will be opened to receive IDA and DFID grants for CARE project in a financial institution acceptable to the WBG. Chapter 7 of the ADPC's Financial Manual prescribes the policies and procedures related to bank account management that will apply to the CARE for South Asia project's bank account. ADPC's Executive Director will approve the signatories to operate the bank account and dual bank signatory control will apply where each cheque or payment instruction will be signed by two bank signatories. A bank reconciliation and fund-cash reconciliation will be done on a monthly basis. If there is any

¹⁰ Financial Manual means ADPC's Financial Management Policies and Accounting Manual.

interest earned from the advance provided by the Bank, it shall be reported to the Bank and be utilized for project activity with the consent from the Bank.

ADPC has a Petty Cash Fund (PCF) denominated in Thai Baht (THB) to improve efficiency and to limit the need and frequency for writing small value cheques. Maximum amount per disbursement through petty cash is THB 1,000. Any disbursement which exceeds petty cash limit shall be paid through cheque or electronic fund transfer. The PCF operates as an Imprest system with a maximum of THB 10,000. Any request for additional amount requires prior approval by the Executive Director. The PCF custodian is nominated by and reports to the Chief of Finance. The PCF custodian shall be responsible and liable for the safe keeping of funds. The PCF is kept in the safe. The PCF is physically segregated from the PCF custodian's personal and other funds on hand.

Loan Handbook for the World Bank Borrowers dated February 2017 will govern the project disbursement arrangements. The World Bank will provide an advance up to of USD 3.5 million (USD 2.5 million under IDA and USD 1 million under TF referred to in the DFIL) to the designated account to finance eligible expenditure. At the end of each fiscal quarter, ADPC will prepare a Statement of Expenditure (SOE), as per template agreed with the Bank, to report the expenditure incurred from the earlier advance. The Bank will document eligible expenditure based on the review of the SOE and will replenish the account.

5.2.2 ADPC accounting Policies

For accounting purposes, ADPC follows a modified cash basis. All receipts are recognized as income on a cash basis. For grants where expenditure is reimbursed, and if the expenses are eligible as per grant terms which can be claimed and invoiced, grants revenue can be recognized on an accrual basis. This can be used for the last payment of the grant that the funding is considered to be completed within the year or for on-going grants at the end of the year.

Apart from property and equipment, expenditures are recognized on an accrual basis. Purchase and leasehold improvements related to movable (fixtures, furniture, equipment, etc.) and immovable assets are recorded on a cash basis. ADPC maintains an asset register which includes the movable and immovable assets.

ADPC uses SUN systems to account for its income and expenditures. The CARE project will be designated the project code "WBCAR", from which all the necessary sub-systems in the accounting system will be derived. The system is capable of analyzing financial transactions by nature of accounts, by project, by activity, by donor funding and etc.

5.2.3 Exchange Rate

ADPC's functional currency is US dollar. All transactions incurred in a foreign currency other than US dollar will be converted into US dollar by using United Nations announced monthly exchange rates unless it is supported by the actual exchange rate from the established financial institution.

Foreign exchange differences arising on the transactions are recognized in ADPC’s financial management system under “Exchange gains/losses” in ADPC fiscal reporting. ADPC is managing these gains/losses on a corporate level across all projects and programs.

5.2.4 Expenditure Management

ADPC shall ensure that all costs incurred are reasonable, allocable and allowable. All disbursement should be properly approved by the authorized person and should be supported with relevant documents.

All of ADPC’s operational, financial and administrative transactions have to be (i) authorized/approved in accordance with ADPC’s Schedule of Approval and Authorization Levels; and (ii) substantiated and supported by an appropriate and relevant original document which evidences the transaction and provides all significant details (e.g., vendor, nature, costs, incidence, etc.) pertaining to the transaction. These supporting documents provide substantiation of the relevance, validity, category and cost of the expenditure. Importantly, supporting documents are necessary and important because all Donors typically require the originals of such supporting documents to be maintained and made available for verification by their auditors; this being also the case for the annual institutional audit of ADPC’s annual financial statements by the organization’s auditors.

Table 8 identifies the types of the original documentation that must be provided and attached to the respective standard ADPC financial transaction forms that are required to be submitted for management approval and for processing by Finance Unit.

Abbreviations used:

RFP: Request for Payment

PCV: Petty Cash Voucher

TA: Travel Authorization

TV: Transportation Voucher

LCA: Liquidation of Cash Advance

RCAR: Request for Charging, Adjustment, classification

RCC: Request for Cross-Charging

Table 8: Supporting document needed for financial transactions

TRANSACTION TYPE		SUPPORTING DOCUMENTATION
Basic Documents Required for Goods (purchases/acquisitions) and Services		
•	Up to USD 100 (per invoice)	original invoice/receipt
•	USD 101-25,000 (per invoice)	original invoice + purchase order + purchase requisition + comparative Bid Analysis + 3 quotations
•	Above USD 25,000	Refer to ADPC Procurement Manual for detail
Petty Cash Reimbursement		
•	Up to 1,000 THB (per reimbursement)	original receipt
Additional/Supplementary Documentation Required according to Category of Expense		
Travel (by airplane/train/ship/vehicle rental with driver) – Payment to Travel Agent		

	TRANSACTION TYPE	SUPPORTING DOCUMENTATION
•	Employee	original invoice + assigned TA number on invoice
•	Participant	original invoice + list of participants
•	Resource person	original invoice + invitation letter
•	Consultant	original invoice + consultant contract number
•	Visitor	original invoice + invitation letter
Fees to Non-Staff Members		
•	Consultant	
	initial/interim payment	copy of consultant contract + timesheet (if any) + output certificate (if any)
	final payment	copy of consultant contract + timesheet (if any) + output certificate + evaluation
•	Resource Person	
	single payment	invitation letter stating scope of work, schedule, fees
•	Short-Term Appointment	
	time-based - scheduled payment	short term agreement + timesheet
	- final payment	short term agreement + timesheet
	output-based - scheduled payment	short term agreement
	- final payment	short term agreement + output certificate
Sub-Grantee		
•	1 st Advance Payment	1. sub-grantee advance request form 2. copy of signed grant agreement
•	Interim Advance Payment	1. sub-grantee advance request form 2. original periodic disbursement/financial report, duly signed (if required under the contract) 3. original periodic counterpart contribution report (if required under the contract)
•	Final Payment	1. original final disbursement/financial report, duly signed 2. all vouchers/receipts (if required under the contract) 3. final financial review reports (if required under the contract) 4. original final counterpart contribution report (if required under the contract)
Contractor		
•	Cash Advance/Payment	1. copy of agreement 2. original invoice (if provided by contractor) 3. detailed budget breakdown of the amount requested
•	Interim Payment	1. original periodic disbursement/financial reports, duly signed 2. original invoice (if provided by contractor) 3. all vouchers/receipts (if required under the contract) 4. signed original periodic counterpart contribution report (if required under the contract) 5. detailed budget breakdown of the amount requested
•	Final Payment	1. final signed original disbursement/financial reports

TRANSACTION TYPE		SUPPORTING DOCUMENTATION
		<ol style="list-style-type: none"> 2. original invoice (if provided by contractor) 3. all vouchers/receipts (if required under the contract) 4. final signed original counterpart contribution report (if required under the contract) 5. output certificate/evaluation form 6. any other document that required under the contract
Authorization and Cash Advance for Project Travel/Activity		
•	Project-travel	no supporting document required
•	Project activity	<ol style="list-style-type: none"> 1. detailed computation cash advance requested 2. calculation of per diem for sponsored participants/facilitators/employees, if any 3. activity agenda 4. list of expected participants/facilitators/employees
Liquidation of Cash Advance – Travel		
•	Execution of travel	E-ticket + Copy of approved TA
•	Per diem	Per Diem calculation sheet + boarding pass + used ticket + e-ticket
•	Accommodation within DSA limit	hotel receipt + folio/Statement
•	Accommodation exceeds DSA limit	hotel receipt + folio/Statement + documented ED approval of excess
•	Actual exchange rate	receipt from bank or money changer
•	Visa, re-entry, airport tax	receipt
•	Domestic airfare	receipt + used ticket
•	Train fare / ferry	receipt + used ticket
•	Car rental with driver	receipt + certified copy of driver's ID
•	Taxi, bus, BTS, other transportation	receipt or Transportation Voucher
•	Phone, fax, internet (business center)	receipt indicating phone/fax number, person, reason, project-charged
•	Sundry purchases - stationery, photocopy, supplies, etc.	receipt
•	Mobile phone prepaid card - (only on official/project travel/activities outside their duty station country, for work related calls)	receipt or prepaid card - indicating prepaid value
Liquidation of Cash Advance - Project Activity (e.g., Training, meeting, workshop, conference, study tour, etc.)		
•	Hotel Facilities/Accommodations	<ol style="list-style-type: none"> 1. original receipt/invoice 2. hotel statement/folio 3. agenda of project activity 4. folio list of participants 5. invitation letter/contract for resource person
•	Liquidation of cash advance	copy of RFP
•	Per diem - participant, resource person	1. receipt signed by participant, resource person (indicating full name and contact details)

TRANSACTION TYPE		SUPPORTING DOCUMENTATION
		<ol style="list-style-type: none"> certified copy of passport/ID (photo page, signature page) details of per diem calculation original boarding pass + e-ticket
•	Airfare reimbursement	<ol style="list-style-type: none"> receipt signed by participant/resource person (indicating full name and contact details) certified copy of passport/ID (photo page, signature page) official air ticket receipt (invoice will not be accepted)
•	Fees/honorarium for resource person	<ol style="list-style-type: none"> receipt signed by resource person (indicating full name and contact details) certified copy of passport/ID (photo page, signature page) invitation letter indicating scope of work, schedule, fees
•	Sundry services engaged on location (e.g., interpreter, researcher, general labor, translator, administrative assistant, etc.)	<ol style="list-style-type: none"> receipt signed by resource person (indicating full name and contact details) certified copy of passport/ID copy (photo page, signature page)
•	Car rental with driver	receipt + certified copy of driver's ID
•	Taxi, bus, BTS, other transportation	receipt or Transportation Voucher
•	Phone, fax, internet (business center)	receipt indicating phone/fax number, person, reason, project-charged
•	Mobile phone prepaid card <i>(only for activities outside duty station country)</i>	Receipt or prepaid card - indicating prepaid value
•	Welcome / Farewell dinner	itemized receipt from venue (indicating purpose of function/number of attendees, price per head/per dish)
•	Plaque, souvenirs, gifts, donation	vendor invoice/receipt and evidence of Executive Director approval
•	Any other expense not covered above	receipt indicating nature/reason/cost of and approval for expense
Non-Project related Travel/Activity		
•	Non-project Travel (e.g., meeting/conference/representation/staff training/marketing/networking, visa run, etc.)	relevant documentation evidencing registration, confirmation, invitation, participation, etc. <i>or</i> Executive Director's approval (see section 1.3 of Administration Manual)
•	Sponsored travel/activity	invitation letter / sponsor letter (with sponsorship details)
Accounting Adjustments		
	Reclassification of account coding/charging	provide justification for reclassification
	Cross-support time charging	staff should ensure this charging is correctly reflected in timesheet

	TRANSACTION TYPE	SUPPORTING DOCUMENTATION
	Internal inter-account charging of project expenditures (e.g., for certificate, bag, souvenir, T-shirt, etc)	- none -
ADPC Invoicing to External Entities		
	Preparation and dispatch of ADPC Invoice	1. instructions regarding project, who to invoice for what, how much 2. copy of relevant page of Agreement

5.3 Liquidation of Travel/Activities

The process for liquidation of travel or activities is detailed in Appendix 9 (Liquidation of Travel or Activities).

5.4 Timesheets

ADPC has established a time-keeping system where all staff are required to record their time involved in the project(s) through on-line timesheet system. The resolution of the timesheet is half day increment. Staff time shall be charged to project(s) on a monthly basis as per the number of days recorded in the timesheet.

The procedure is each staff must complete a monthly Timesheet and submit it online to his/her supervisor by the 25th of each month. The Timesheet must show all time worked, which project code the time is charged to as well as all days taken as leave days, sick days, holidays, etc. An official list of project codes that employees can charge their time to when filling out their Timesheet is on the intranet including guidelines and instructions on how to correctly apply the list.

This information is used for calculating annual leave status, allocating costs charged to project accounts, time estimation for project proposal budgets, employee Performance Evaluations and other related matters. Detection of intentional misrepresentation of information on the Timesheets is grounds for disciplinary action.

5.5 Financial Reports

ADPC regularly produces financial reports for management, project team, and donors. The financial reports will be in US Dollar. Project Statement which covers project budget, actual expenditure for the month and for life-to-date; and the variance or the remaining budget shall be prepared for each project on a monthly basis for PD to review. Any variance which exceeds 10% will be highlighted and required explanation from the PD. For external reporting to donor, the format, requirements and frequency of submitting report shall follow the terms of agreement. Apart from the project statements and donor financial reports, ADPC also prepares quarterly consolidated financial statement covering all non-project and project expenditures for ADPC Management.

5.6 Internal control

ADPC follows a comprehensive internal control framework which composes of prevention control, detective control, and corrective control. Some of the key internal control activities are.

5.6.1 Segregation of duties

This ensures that certain functions such as initiating, authorizing, recording, and reconciling transactions are performed by different individuals. To prevent staff from committing errors or engaging fraudulent activities, no single individual is given the authority to execute two conflicting duties.

ADPC has segregation of duties as it relates to the verification, payment process, data entry, and reporting. In a situation where there is not possible to segregate the duties due to the size of the operation or not economical to have more staff (limited scale/budget in-sub-center), Chief of Finance Department will impose an alternative way to ensure check and balance e.g. having an officer from another department periodically review the transactions.

The resource persons responsible for ADPC's typical finance, human resources and administration -related transactions are summarized in Table 9. ADPC staff can address any enquiries/questions that they may have to the relevant resource persons.

Table 9: Segregation of Duties

TRANSACTIONS	RESOURCE
Payroll/Tax	
Payroll deduction (travel refund, personal call, etc.)	Senior Finance Manager
Withholding tax, Double Taxation Treaty	Financial Analyst
Accounting	
Reclassification, adjustment or charging (RCAR form)	Finance Analyst
Cross-time charging (RCC form)	Finance Analyst
Check source documents, CV & JV	Account Associate
Project Agreements/Proposals/Budgets	
Financial proposal, budget proposal	Chief of Finance Senior Finance Manager
Total staff cost	Chief of Finance
Review grant agreement, MOU, Sub-grantee	Chief of Finance
Donor Reporting	Financial Analyst
Monthly Project Statement	
Project transaction details	
Create activity code for new project	Senior Finance Manager
ADPC Financial Management	
Policy and procedure	Chief of Finance Senior Finance Manager

**HUMAN RESOURCES & ADMINISTRATION-RELATED
TRANSACTIONS**

TRANSACTIONS	RESOURCE
<i>Payroll/Benefits</i>	
Payroll processing and salary details (e.g. addition, deduction,	HRA Officer
Withholding Income tax/ income tax payment, income tax certificate	
ISF, SSF contribution and deduction	
Health insurance, benefits and coverage	
ISOS card	
Insurance claims	
<i>Benefits and Allowances</i>	
Benefits/Allowances Entitlement (i.e. location/relocation allowance, education	Chief of HRA
Leave record/leave balance	Procurement and Employee Relations Coordinator
Time sheet	
<i>Procurement/Purchasing/Inventory</i>	
Obtain quotations for office stationery, printing materials	Procurement and Employee Relations Coordinator
Purchase Order	
Inventory of office equipment	
Obtain quotations for office equipment (e.g., computer, laptop, scanner, etc.)	Senior IT Coordinator
Rental equipment and price	Procurement and Employee Relations Coordinator
Request for souvenir and price of souvenir	
<i>Recruitment</i>	
Vacancy Advertisement/ Announcement	HRA Officer
<i>Contract</i>	
Employment contract terms/conditions (staff, consultant, short-term, intern)	Chief of HRA
Personnel files and database	HRA Officer
Employment certification letter	
Issue consultant contract	Senior Government Liaison Associate
Consultant files and database	Senior Government Liaison Associate
<i>Visa</i>	
Visa application/ renewal and other related matter (e.g., transfer visa, cancellation of visa etc.)	Senior Government Liaison Associate
Letter of non-immigrant visa (for entering Thailand)	Procurement and Employee Relations Coordinator
Letter for visa application (for entering other country)	
<i>Office Management</i>	
Office furnishing & maintenance	Procurement and Employee Relations Coordinator

TRANSACTIONS	RESOURCE
Electronic and Office equipment maintenance	Senior IT Coordinator
Equipment maintenance	Receptionist and Administrative Assistant
Office Utilities and Staff telephone directory updates	
Coordinate messenger service	
Dispatching/Receiving mail and courier documents	
Parking lot	Host Country Relations Manager
Other HR Management	
Grade/Salary Matrix	Chief of HRA

5.6.2 Delegation of authority

To improve the efficiency and effectiveness of business performance, ADPC delegates authority to various levels. The table of ADPC's Approving and Authorization Levels states who has the responsibility to make decisions, commit expenditure, and sign legal undertakings, so there is no confusion about responsibility.

Details of the delegation could be seen in table 10 of ADPC Authorizing and Approving Level.

Table 10: ADPC authorization and approval levels

No.	Description	Next-in Line	Country	Director	Chief	Chief	Deputy	Executive
		Supervisor	Rep		HRA	Finance	Executive Director	Director
A	INSTITUTIONAL							
A1	Financial Agreements /Contracts with Outside Organizations (contract values > 3 million USD or equivalent on other currencies)					Verify	Endorse	Approve
A2	Financial Agreements /Contracts with Outside Organizations (contract values ≤3 million USD or equivalent other currencies)					Verify	Endorse	Approve
A3	Memorandum of Understanding / Letter of Association or equivalent				Review		Endorse	Approve
A4	Project Proposals						Endorse	Approve
A5	Financial Audit Report					Verify		Approve
A6	Invitations to BoT meeting Invitations to VIP/ High-Level Officials							Approve
A7	Invitation for workshops / training courses or project activities			Approve				

A8	ADPC Fee-Based Training Course Fee Waiver/ Sponsor/ Discount							Approve
A9	Project financial reports			Approve		Approve		
A10	Invoices to Donors					Approve		
A11	All Exceptions or Exemptions from established ADPC Policies and Regulations							Approve
B	OPERATIONAL							
B1	Request for Personnel Action				Review	Verify	Endorse	Approve
B2	Letter of Offer				Review	Verify	Endorse	Approve
B3	Employment Contracts				Review	Verify	Endorse	Approve
B4	Consultant Contract (Firm/Individual)				Review	Verify	Endorse	Approve
B5	Short-Term appointment (contract values less than USD 1,500 and/or not more than 2 months duration)			Approve		Approve		
B6	Internship Agreement				Verify			Approve
B7	Service Contract for Headquarters (e.g. renting, cleaning and other services provided by third party)							
	1. Up to USD 2,000			Approve	Approve			
	2. Above USD 2,001				Review	Verify	Endorse	Approve
B8	Service Contract in Country/Project Offices							
	1. Up to USD 2,000			Approve	Approve			
	2. Above USD 2,001				Approve	Verify	Endorse	Approve
B9	Staff Benefits and Allowances in compliance from ERM				Approve			
B10	Staff Benefits and Allowances Deviations from ERM				Verify		Endorse	Approve
B11	Personal Loan/ Salary Advance/ Staff Compassionate Support/ Training Scholarship				Verify		Endorse	Approve
B12	Travel Authorizations/ Amendments to Travel Authorizations							
	1. Executive Director					Approve		

	2. Deputy Executive Director							Approve
	3. Directors/Chiefs							
	a. Department's Project/ Fund							Approve
	b. Cross-Department's Project / Fund			Endorse				Approve
	4. Director of Thematic Department							
	a. Department's Project/ Fund						Approve	
	b. Cross-Department's Project / Fund			Endorse			Approve	
	5. All other staff							
	a. Department's Project/ Fund			Approve				
	b. Cross-Department's Project / Fund			Approve				
	* Non-Project related travel							Approve
	** OIC - To follow the same levels of authority of his/her Director/ Chief							
B13	Liquidation Report - To follow the same levels of authority as mentioned on B12							
B14	Memo	-	-	-	Verify	Endorse (if/any)	Endorse	Approve
C	FINANCIAL							
C1	Petty Cash (THB 1,000)	Approve						
C2	Transportation Voucher/ Personal Vehicle Usage							
	1. Up to 50 USD	Approve						
	2. Above 50 USD	Endorse		Approve				
C3	Hospitality (applicable only for Director/ Chief and above). For all other staff, it is required to get prior approval from respective Director/ Chief either through email or other communication means							
	1. Office Visitors; 10 USD per person			Approved by Director or Chief				
	2. Mission Travel; 20 USD per person						Approved by ED or DED	
	3. VIP Guest; 20 USD per person						Approved by ED or DED	
C4	Gift/Souvenir/Donation							
	1. Standard ADPC souvenir (from HRA department)			Approved by Director or Chief				
	2. Non-standard ADPC souvenir							Approve

C5	Purchase Requisition (PR) (Up to USD 100)			Approved by Director or Chief			
C6	Purchase Order (PO)						
	1. USD 101 – 2,000				Approve		
	2. Above USD 2,001						Approve
C7	Request for Payment / Cash Advance/ Reimbursement/ Payment Instruction						
	1. Up to 3,000 USD			Approved by Director or Chief			
	2. 3,001 - 8,000 USD			Verify		Approve	
	3. Above 8,000 USD			Verify		Endorse	Approve
C8	Income Tax Payment						Approve
C9	Intra-ADPC Bank accounts transfer				Approve		
C10	Bank Instruction/ Check Signatories						
	1. Up to 3,000 USD or equivalent					Any two of Chief, Deputy Executive Director and Executive Director jointly sign	
	2. Above 3,000 USD or equivalent					1. Executive Director or Deputy Executive Director jointly signs with any one of Chief of Finance; or 2. Executive Director and Deputy Executive Director jointly sign	
	3. Monthly Payroll Instruction						

Verification - Any payment request or expenditure items should be subjected to fund availability. The requesting department has the responsibility to ensure fund availability before submitting the request to the Finance Department. Finance Department will check that the request is in line with the allocated budget before processing the payment.

Reconciliation – On a monthly basis, ADPC prepares bank reconciliation to reconcile balances in the bank and balances in the book. For the project that required to maintain a separate bank account, a reconciliation between fund balance and cash balance also done on a monthly basis. Besides, ADPC also conducts a reconciliation between records of ADPC head office and Sub-centers on monthly basis.

Surprise Cash Count - an unannounced surprise cash count will be performed at least once in every quarter however it may be carried out more frequent where necessary to uncover irregularities.

5.7 Audit

CARE for South Asia project will be part of the overall institutional annual audit of ADPC, which will be conducted by an independent auditor¹¹ in accordance with International Standards of Auditing.

¹¹ This is currently by KPMG but it may change if the ADPC Board of Trustees deems it necessary.

ADPC will submit the audited financial statements to the Bank within six (6) months of the close of the fiscal year. The Bank agreed to accept ADPC's audited financial statements with a separate note on the project. For each fiscal year ending 31 December, ADPC will submit its audited financial statements and the Management Letter issues by the auditors to the Bank with six months i.e., by 30 June.

6. Implementation of Sub-Component 2.4

Under the CARE project component 2.4, the Program for Asia Resilience to Climate Change Multi Donor Trust Fund (PARCC TF Grant) is to support innovation in climate resilience building through the provision of grants. The sub-grants¹² will be awarded through competitive submission selections up to a maximum of USD 200,000 for any single submission. The PIU will have a dedicated staff member for the sub-grant management supported by the Finance and HRA Departments.

Appendix 7 (Implementation of Sub-Component 2.4 – Innovation for Climate Adaptation and Resilience) provides details of how the sub-granting mechanism is managed by ADPC.

Chapter 6 provides the specific details of the management of the Challenge fund under the CARE project.

6.1. Purpose

This UKFCDO-financed sub-component will support two activities in IDA and non-IDA SAR countries, which will crowdsource innovative and disruptive technology solutions for resilience through grant awards, matchmaking and pilot-testing. This sub-component is expected to involve a number of actions (e.g. detailed challenge formulation, challenge call, judging, award, presentation of results, documentation, and outreach) in phases and is expected to stimulate innovators (especially the youth) to explore more climate-smart approaches to development in the region.

- *Climate Innovation Challenge* will promote innovation in the South Asia Region (SAR) through award of grants to eligible and qualifying innovators. This would include problem statements around Climate Data and information including short-term EWS and longer-term climate outlook data. The *Climate Innovation Challenge* will, therefore, aim to facilitate innovative solutions for their application and scale-up across different sectors, and tiers (national, sub-national and local/community) for greater impact.

TechEmerge Resilience Challenge (ADAPTECH): This activity will be undertaken in collaboration with the International Finance Corporation (IFC) as a technical partner with an aim to crowd in private-sector expertise and market-based innovation for resilience through the use of disruptive technologies to address climate and disaster resilience challenges. After a comprehensive needs-assessment, an open global call will be launched to source relevant proven well-tested solutions, that can be customized for the region. With the support of a network of technical advisors, the most relevant innovators will be selected and matched with beneficiary users to adopt and implement local pilot projects and form new partnerships. CARE will provide grant funding to winning innovators and provide appropriate support for field testing/pilot activities.

¹² In ADPC terminology grants are agreements providing financial support to ADPC and sub-grants are financial support provided by ADPC to other agencies.

6.2. Eligibility Criteria

6.2.1: Climate Innovation Challenge (CIC): CIC grants are for applications from medium sized not-for-profit, private-sector, academic, and non-governmental entities.

6.2.2: TechEmerge Resilience Challenge: While the criteria will be further defined, the overall eligibility criteria include the following:

- Privately owned companies with experience in deploying solutions in low-income or developing countries
- Companies larger than \$100m in size should have local partners
- Has proven product(s) that meets the needs of the SAR market
- Demonstrated managerial capacity and scalability

Ability to allocate time and resources to participate in the Project, including attending periodic meetings, and implementation of field testing/pilot project in SAR region.

6.3. Grant size

6.3.1: For CIC, applicants can apply for funding of between USD 150,000 – USD 200,000 per application.

6.3.3: For TechEmerge Resilience Challenge, a total grant funding of up to \$1 million (an approx. 7-10 grants of around USD 100,000 – USD 120,000 each, depending on the kind of solutions being proposed) will be available for winning innovators to pilot their solutions.

Applicant organizations must provide organizational accounts of 3 years and relevant documentation to prove that they are financially viable to carry out the activities.

New organizations with fewer than 3 years of accounts may also apply but in such cases, average annual income will be calculated based on the organization's length of operation.

6.4. Selection Jury

This sub-component would be coordinated through grants management team, headed by the Senior Technical Advisor who would also serve as a member of the jury which will be established for reviewing and selecting proposals obtained through a process for "call for proposals". The jury will comprise of ADPC, representatives from DFID and the participating countries, and technical experts. The jury will select high-performing innovators with proven technologies that can meet the needs of participating local organizations. Jury composition and awards would require no objection by the Bank for finalization

The selection would be following the procedure as described in Section 6 of Appendix 7, but before awarding a sub-grant contract ADPC will undertake due diligence assessment which includes considering the technical capacity of an organization to manage the grant. The ADPC Finance team may visit the organization for an on-site review.

6.5. Project countries

The grant can only be used for implementing the activities within the SAR Region.

6.6. Partnerships

All applicants will need to demonstrate how they are working with national and sub-national level partners to create and build partnerships that can drive relevant sustainable development results.

6.7. Duration

A maximum of 12 months for implementing and reporting.

6.8. Key Process for the Climate Innovation Challenge

6.8.1: Consortium applications

For the purpose of the Challenge Innovation Funds, ADPC defines consortium applications as those submitted by formal consortia only, i.e. where 2 or more organizations come together to create a new, formally constituted organization, with its own organizational accounts.

6.8.2: Key Considerations

The applications must be clear and explicit to justify donor funding, through transparency in the application and selection process.

Applications should be assessed regarding the extent to which the Challenge Fund support makes a difference to the chances of the project achieving commercial sustainability and development impact. Questions to assess these criteria include:

- Would the project take place at the same scale or rate, or have the same development impact in the time-frame without challenge funding?
- Is the project able to secure funding from other sources? (If not, these reasons should be explained).
- Would the project be implemented differently with challenge fund support?
- What is the risk the challenge fund bears that the project will not achieve its stated development and commercial objective? *Vis-à-vis*, what is the development impact that will be achieved if the project is successful?
- In this regard, where does the project lie within a risk/return portfolio for the challenge fund beneficiary projects?

6.8.3: Selection Process

The selection process will be conducted with adequate due diligence and evidenced in an objective, consistent, transparent and timely manner. The process involves the following main steps:

- Establishment of a selection jury headed by the Executive Director with ADPC Deputy Executive Director (representing ADPC ExCom), the CARE Project Director (Serves as the Secretary to the Committee), Senior Technical Advisor, Grants Management Specialist, a representative from DFID, one independent expert, and ADPC HRA and Finance Chief in the jury
- The CARE Project PIU to prepare details of the component including defining the scope, thematic focus, geographical coverage, introductory brief, eligibility criteria for applicants/organizations, develop ToRs and details of the call for proposals
- Seek Approval of the World Bank Task Team Leader
- Call for Proposal by ADPC as per the Procurement Plan advertised on ADPC website as well as the CARE Project website. ADPC may use its network for further dissemination of the advertisement without any conflict of Interest
- ADPC HRA Team to prepare the list of applicant organizations and verification of their related documents by the Secretary to the jury;
- Grants Management Specialist, with advice from the Senior Technical Advisor, to prepare Key Selection Criteria and Indicator and analyze the application
- The jury's recommendations to the ED for the selected applicants
- Successful applications are submitted to the Task Team Leader of the World Bank for acceptance
- Initiate grant agreement process as per the ADPC Policy and Guideline mentioned the Operational Manual of the CARE Project
- The Project Director to ensure all paper work are completed for issuance of grant agreement Communication to applicant organizations of the outcome of the selection/retention process.

6.9. Process for TechEmerge Resilience Challenge

The TechEmerge Resilience, in partnership with the IFC, follows the standard TechEmerge process which is as follows:

- **Assess:** Identify challenges and needs of the authorities involved in preparation for and response to climate impacts and natural disasters, talking in person with local organizations to ensure we understand which technologies could best meet their needs.
- **Source:** An open call is for innovators from around the world who have market-relevant solutions to apply to join the program.
- **Select:** With the support of a network of expert advisors, high-performing innovators with proven technologies are selected that can meet the needs of participating local organizations.

- **Match:** Through a carefully curated process, events and meetings are arranged for the shortlisted innovators to meet local organizations, demo their products, and discuss working together in pilot projects.
- **Pilot:** With our support, selected innovators and participating organizations partner to test technologies in a local setting.

6.9.1 TechEmerge Resilience India Challenge Process

The TechEmerge Resilience India Challenge will consist of two tracks:

- Fast-Track 1: Disaster Management during Covid-19 Pandemic – for proven solutions
- Track 2: Resilience to Climate Change and Disasters – for prototype/proven solutions

At closing of the track deadline, an initial longlisting process will be carried out. The longlist will subsequently be shared with the Jury Members. These leaders in the field of technology and resilience will have a week to select their shortlist nominations.

Shortlisted applicants will be connected to the NDMA and participating SDMAs through a virtual matchmaking event. The matchmaking event will culminate in the SDMAs identifying solutions most appropriate to their needs and then working with the selected innovators to jointly develop sub-grant proposals to ADPC for review. On approval, the selected pairs will receive support and grant funding from ADPC to pilot solutions in India.

A request to submit sub-grant proposals shall make it clear that procurements under the sub-grants shall follow “World Bank Procurement Regulations for IPF Borrowers”, dated July 2016, revised November 2017 and August 2018, and the “Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants”, dated October 15, 2006, and revised in January, 2011, and as of July 1, 2016.

Sub-grant proposals and applying innovators should demonstrate ability and capacity to comply with the above regulations and requirements. Additionally, the Innovator must discuss and agree with the SDMAs, on the pilot project design, including timeline, required resources, roles and responsibilities, budget, key metrics to measure, etc. prior to submitting their proposals.

After the screening and selection of applications, in the implementation phase, ADPC will develop and conclude sub-grant agreements with selected teams, and disburse, monitor and evaluate grants as part of the implementation.

Requirements for Request for sub-grant Proposals

1. The request for proposals shall state that “A firm or individual shall not participate in this selection process if they are declared ineligible, sanctioned pursuant to the Bank’s Anti-Corruption Guidelines and in accordance with its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework”.

2. The sub-grant proposal shall include descriptions of the proposer’s procurement capacity, including institutional arrangement, personnel capacity, etc. and demonstrate how the above requirements can be complied with.
3. The selection criteria should include relevant criteria reflecting the above requirements and ensuring the selected proposer has the capacity to comply with the requirements.
4. ADPC has the obligation to supervise the sub-project execution and ensure the above compliance.

6.10. Documentation

The CARE PIU would upload the selected candidate on the project website as well as be announced on ADPC website. ADPC shall maintain all documents related to the selection process, grant agreement, disbursement etc for a minimum five (5) years.

6.11 Time Line

6.11.1: Climate Innovation Challenge: Description of activities and tasks required for the Climate Innovation Challenge along with the duration is provided in table 11.

Table 11. Climate Innovation Challenge Timeline

Description	Duration
<ul style="list-style-type: none"> ○ Prepare details of the component including defining the scope, thematic focus, geographical coverage, introductory brief, eligibility criteria for applicants/organizations ○ Develop ToRs and form proposal review committee ○ Develop details of the call for proposals ○ Organize workshop to finalize the details 	July - September 2020
<ul style="list-style-type: none"> ○ Publish call, review and finalize for proposals ○ Announce the winners ○ Award contracts 	January - February 2021
<ul style="list-style-type: none"> ○ Regional progress review workshop ○ Release quarterly payment 	March 2021
<ul style="list-style-type: none"> ○ Regional progress review workshop ○ Release quarterly payment ○ Document best practices ○ Communication and advocacy 	April – December 2021

6.11.2: TechEmerge Resilience Challenge Timeline: Details of activities and tasks along with the duration required for TechEmerge Resilience Challenge is provided in table 12.

Table 12. TechEmerge Resilience Challenge Timeline

Description	Duration
-------------	----------

Call for solutions and sourcing technologies	July-Aug 2020
Short-listing Innovators	Aug-Sep 2020
Matchmaking Event	Oct 2020
Pilot proposals submitted and grants awarded	December 2020
Technology Demonstration at CES2021	January 2021
Grant agreements concluded	February 2021
Pilot implementation begins	February 2021

6.12. Sub-grant Agreement to Innovators

The sub-grant agreements are to follow ADPC's guidelines presented in Section 8 of Appendix 7. The form of sub-grant agreement shall be agreed with the Bank in advance to ensure its terms and conditions comply with the Grant Agreement between the ADPC and the World Bank. The section outlines the different parts to be included in a sub-grant agreement covering the key areas:

- a) Purpose of the Agreement
- b) Duration of the Agreement
- c) Obligations and Disbursements
- d) Fixed and Capital Assets; purchase and use of capital equipment, and disposal method.
- e) Procurement: Thresholds and number of quotations, non-eligible items, eligibility requirements for suppliers, etc. The procurement under each sub-grant shall follow the World Bank's Procurement Regulations
- f) Financial Record Keeping and Reporting Requirements
- h) Program Reporting Requirements
- i) Auditing and liability
- j) Obligations, Modifications and Termination
- k) Attachments

A draft form for the sub-grant agreements is available on ADPC's intranet network under iEX (www.adpc.net/iex2)

The Procurement Specialist of the PIU will oversee point (e) in the list above to ensure that the Bank's Procurement Regulations are followed. The sub-grantees will have to provide clarity on the procurement methods to be used in the use of the sub-grant in the proposal. ADPC may decide on reviewing the procurement document if deemed needed.

6.13 Disbursement Processes and Time-line

Disbursement of funds to the sub-grantee is governed by the process described in Section 9 of Appendix 7. The provisional timeline and disbursement plan for the sub-grant program under the Challenge fund is summarized in Table 13.

Table 13: Provisional time line and disbursement plan for the Challenge Fund

Description	Duration	Budget (USD)
Preparatory Phase		
<ul style="list-style-type: none"> ○ Prepare details of the component including defining the scope, thematic focus, geographical coverage, introductory brief, eligibility criteria for applicants/organizations ○ Develop ToRs and form proposal review committee ○ Develop details of the call for proposals ○ Organize workshop to finalize the details 	July - September 2020	200,000
Implementation Phase		
<ul style="list-style-type: none"> ○ Publish call for proposals ○ Review proposals ○ Finalize proposals for funding ○ Announce the winners ○ Award contracts 	October – December 2020	1,000,000
<ul style="list-style-type: none"> ○ Regional progress review workshop ○ Release quarterly payment 	January – March 2021	
<ul style="list-style-type: none"> ○ Regional progress review workshop ○ Release quarterly payment ○ Document best practices ○ Communication and advocacy 	April – June 2021	500,000
<ul style="list-style-type: none"> ○ Regional progress review workshop ○ Release quarterly payment ○ Document best practices ○ Communication and advocacy 	July – September 2021	500,000
<ul style="list-style-type: none"> ○ Regional progress review workshop ○ Release final payment ○ Document best practices ○ Document project lessons ○ Communication and advocacy 	October – December 2021	1,300,000

7. Environment and Social Management

The proposed project is limited to Technical Assistance and Advisory Services that support the development of data and analytical services, decision support systems, regional policies and guidelines, advisory services, knowledge sharing and capacity strengthening for climate resiliency of regional institutions in participating SAR countries. This project will not support civil works of any kind. ADPC will be responsible to implement activities indicated under Component 2 of the CARE project. (Refer to Chapter 2. Project Description).

As a standard operating procedure of the project, every proposed activity/TA will be subjected to a detailed environmental and social screening (refer to Screening Checklist), by the Environment and Social Development Specialist on board, to assess any E&S risks and impacts and, where relevant, E&S risk assessment and management will be integrated into the TORs of various activities. TORs, work plans, guidelines, training programs and other documents to be supported by the project will be prepared and developed in compliance with the WB ESF.

The implementation of material measures and actions and the timing of those actions, as set out in the ESCP will be monitored and reported to the Bank by ADPC as stipulated by the ESCP and the conditions of the legal agreement. The World Bank will monitor and assess progress and completion of the material measures and actions throughout the implementation of the Project.

As agreed by the Bank and ADPC, the ESCP may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to the assessment of Project performance conducted under the ESCP itself. In such circumstances, ADPC will agree to the changes with the Bank and will update the ESCP to reflect such changes. Agreement on changes to the ESCP will be documented through the exchange of letters signed between the Bank and ADPC. The World Bank and ADPC will promptly disclose the updated ESCP when finalized.

Where Project changes, unforeseen circumstances, or Project performance result in changes to the risks and impacts during Project implementation, ADPC shall provide additional funds, if needed, to implement actions and measures to address such risks and impacts.

7.1 Grievance Mechanism (GM)

As defined in the SEP, ADPC will adhere to the process and procedures of the Grievance Mechanism (GM) summarized below to address and solve complaints and problems related to the project. Similarly, as mentioned in the ESCP, ADPC will adopt and use its Personnel/Grievance Policy (Appendix 18) which covers all related personnel who have a contract of employment with ADPC. ADPC's PIU will manage all complaints under the responsibility of the Project Director.

The aim of the ADPC's GM is to strengthen accountability through the process of receiving, evaluating, and handling complaints from the general public, affected persons, and/or

beneficiaries related to the project. GM users include, among others, the project beneficiaries, people who are directly or indirectly affected by the project and other organizations and persons who can use the GM for the purposes of the scope.

Key principles:

- Stakeholder engagement is vital toward ownership and sustainability of project initiatives and outcomes; thus, stakeholder feedback, including complaints, need to be heard
- Complaints shall be addressed promptly and transparently, and without retribution to the complainant
- The process of receipt, investigation, and resolution of complaints shall be fair, consistent, and respectful
- Complaints and grievances shall be resolved at the lowest possible level for resolution

ADPC will ensure recording all complaints (informal and formal), creating and updating a complaints database, and tracking the progress of complaint resolution until completion. The GM offers the following channels where stakeholders can make a complaint:

- **PIU of ADPC:** The PIU will be an access points for receiving complaints. A designated staff receives the complaint and evaluates if the issue is relevant to the project and could be resolved informally (which is the usual case for low grievance risk). If it can, the staff takes measures/advises steps to resolve the complaint. The staff records the complaint, complainant, discussion, and resolution/outcome. The document shall be signed by the PIU Lead and the complainant. Copies shall be provided to the complainant and to the PIU. If the issue cannot be resolved informally, the staff shall advise the complainant to lodge a written complaint.
- **Written Complaints.** A project email address will be established prior to project launch.

The complainant may lodge a written complaint within 20 days from the date of observing/experiencing the condition that gave rise to the grievance. The document shall state the nature of the complaint and the grievance. Receipt of complaints will be acknowledged with an action plan on next steps including arrangement for a grievance meeting. Anonymous complaints can be addressed in a project website link from ADPC (www.adpc.net) or a letter can be addressed to ADPC (Asian Disaster Preparedness Center, Head Office, SM Tower, 24th Floor, 979/69 Paholyothin Road, Phayathai, Bangkok 10400 Thailand).

- **Confidentiality and conflict of interest:** Complaints can be made anonymously through written complaints, and if done through dialogue with the relevant staff, a confidentiality agreement will need to be signed by both parties which outlines the confidential material, knowledge or information. The material, knowledge, or information will then be reported to the CWG anonymously by the designated staff.
- **Response to complaints:** Complaints will be presented during the Grievance Meeting convened by the CWG and will decide on necessary actions to take. Once a decision

has been made, the complainant will receive verification by mail or e-mail between 10-20 business days.

The CWG shall convene meeting to:

- State the purpose of the meeting
- Introduce everyone and explain each one's participation in the meeting
- Explain that the content of the meeting is confidential
- State that a decision regarding the complaint shall be made after the meeting, and that the complainant shall be notified in writing
- Describe how the meeting shall be conducted
- Give the complainant the opportunity to describe the exact nature of the complaint, and state the reasons for the grievance
- Allow the presentation of any statements made by witnesses
- Ask the complainant on any suggestion to solve the problem
- Summarize the main points made, and highlight any issues that need to be investigated further

Records: The Human Resource and Administration focal person shall record the entire process, which includes:

- The nature of the grievance
- The written grievance statement
- Highlights of the grievance meeting
- Supporting documents of the meeting
- The written statement of the decisions
- Outcome of implementation of the decisions

Appeal: The complainant has the right to appeal the decision of the project management committee. The appeal must be made in writing, within 20 days of receipt of the decision. The purpose of the appeal is to provide an independent view of the complaint, and to review the decision. The Appeals Committee, constituted by the CWG, shall receive the written appeal, convene the grievance appeal meeting, decide on the appeal, and advise the complainant in writing on the outcome of the appeal.

If the complainant does not accept the outcome of the appeal, the case will be closed. The complainant may seek redress through the courts. ADPC shall regularly report to the donor on the number of complaints received and resolved, not resolved, or referred to a third party.

8. Monitoring & Evaluation

8.1 ADPC Institutional M&E System

ADPC has an institutional M&E system for the consistent and systematic application of key M&E concepts, routines and tools. It does this to ensure that ADPC is effectively able to:

- Generate and apply evidence for learning and adaptive management of projects, programs, thematic areas and strategies.
- Demonstrate short, medium and long-term results at different organizational levels.
- Meet appropriate international standards for program transparency and accountability.

ADPC’s M&E approach is appropriate for ADPC’s work and responds to the organization’s needs, it is built around the following design principles:

Credibility	Evidence is generated using technically accurate and defensible definitions, approaches and methods.
Flexibility	M&E standards are suitably flexible to apply to different programme areas and types, and to meet the requirements of different funding agencies
Timeliness	M&E data facilitates course correction within the lifetime of programmes as well as assessment of achievement after programme completion.
Utility	The M&E processes are as user-oriented as possible, and evidence generation focuses on practical ends and clearly defined needs.
Holistic	Monitoring practices and evaluation approaches are complementary. Both quantitative and qualitative data are valued.

Figure 3: ADPC M&E design principles

8.2 ADPC M&E Minimum standards

Following are the minimum standards that apply to M&E in ADPC (see Table below). These are divided into four main areas: systems and planning, monitoring, reporting, and evaluation and learning. The position responsible, accountable, consulted and informed for each standard is specified.

Responsible (R) - Those who do the work to complete the tasks related to the standard.

Accountable (A) -The one ultimately answerable for the correct and thorough adherence to the standard, the one who ensures the prerequisites of the task are met and who delegates the work to those responsible.

Consulted (C) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.

Informed (I)- Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

Compliance with the minimum standards is monitored using the annual M&E System Quality and Compliance Assessment.

Table 12. ADPC M&E Minimum standards

M&E Area	M&E standard	R	A	C	I	Supporting guidelines
① Systeme	Adequate financial resources are allocated to achieve M&E standards in each project	Project Manager	Dept. Manager	M&E Manager / Finance	N/A	ADPC Guidance Note: M&E Resourcing

ms & planning	Each project has an assigned M&E focal point	Project Manager	Dept. Manager	Project Team	Department / M&E Manager	
	ADPC maintains M&E expertise and oversight through institutional M&E staffing (to support all departments)	Deputy Director	Exec Director	Human Resources	All staff	Roles and responsibilities
	A Theory of change is developed for all large or complex projects	Project team	Project Manager	M&E Manager	Dept. Manager/ Communications	ADPC Guidance Note: Theory of Change
	An M&E matrix is used for all projects	Project M&E focal point	Project Manager	Project team	Dept. Manager	Guidance Note: M&E Matrix
	All applicable ADPC standard indicators are included the M&E matrix	Project M&E focal point	Project Manager	Project team	M&E Manager	ADPC Guidance Note: Standard Indicators
② Monitoring	Protocols for obtaining informed consent are applied to all data collection exercises involving human subjects	Project team	Project Manager	Project team	N/A	ADPC Guidance Note: Informed Consent
	Data is collected for all applicable ADPC standard indicators irrespective of donor requirements	Project team	Project Manager	Project team	N/A	ADPC Guidance Note: Standard Indicators
	Data is collected for all applicable ADPC strategic indicators	Dept. M&E focal point	Dept. Manager	Department team	M&E Manager	M&E in ADPC Strategy
M&E Area	M&E standard	R	A	C	I	Supporting guidelines
	All indicators requiring data on individuals is disaggregated by sex	Project team	Project Manager	Project team	N/A	Guidance Note: Gender in M&E
③ Reporting	All departments report on ADPC standard indicators wherever applicable	Project M&E focal points	Dept. Manager	Project teams	M&E Manager	ADPC Guidance Note: Standard Indicators
	All departments report on ADPC strategic indicators wherever applicable	Dept. M&E focal point	Dept. Manager	Department team	M&E Manager	M&E and Reporting

8.3 Results Monitoring and Evaluation of CARE project

With the national and global momentum to scale up climate adaptation action, climate finance and strengthen resilience, it is becoming increasingly important for the CARE project to be able to report accurate, timely, and comparable data to stakeholders, development partners and communities. Therefore, it is important to have proper M&E system in place for the CARE project. The ADPC Institutional M&E Framework provides guidance on developing M&E system for CARE project. As one of the IAs, ADPC will **utilize its Institutional M&E Framework to support the CARE project.**

Purpose and objective

The purpose of the M&E System is to guide coordinated and efficient collection, analysis, use, and provision of information that will enable the tracking of the progress made by the CARE project in focused countries and sectors and enhance informed and sound decision making. The objectives of the System are to assist all project stakeholders: (a) To provide guidance for gathering of timely, accurate and complete information for monitoring and evaluating implementation of the CARE work plan for 2020 –2014 (b) To promote information sharing and utilization among users and producers of CARE project data/information (d) To generate an information base for timely reporting.

Scope

In line with the project objectives, **the M&E system will cover three aspects: Performance; Compliance; and Impact.** Performance monitoring will determine whether activities and processes are being executed and producing intended results as per agreed schedules and data gathered will help identify implementation challenges and improve project management. Compliance is expected to be assessed based on whether grant conditions and project implementation guidelines including safeguards policies, fiduciary regulations are being followed. Impact is expected to be measured based on the extent to which the Project contributes to the achievement of the project development goals.

M&E Framework

The M&E process starts with the CARE **M&E Results Framework as shown below:**

Table 13. CARE M&E Results Framework

Project Development Objectives(s) To contribute to an enabling environment for climate-resilient policies and investments in select sectors and countries in South Asia Project							
Development Objective Indicators							
Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
Regional cooperation and information for climate resilience enhanced							
Improved access to regional climate information and analytics for climate-informed decision making in select sectors (score-based) (Number)	-	0	1	2	3	4	5

National-level decision-making and planning tools are better climate risk informed in select sectors (Yes/No)	-	No	No	No	No	Yes	Yes
Climate resilience in policies, planning and investments in focus countries enhanced							
Regional climate resilience guidelines for select sectors incorporated into national standards (Yes/No)	-	No	No	No	Yes	Yes	Yes
Sectoral Investments supported to include climate risks and resilient design in select sectors (Number)	-	0	0	1	2	4	5
Institutional capacities within select sectors strengthened to undertake climate informed policies and planning (score- based) (Number)	-	0	0	3	6	9	12
Promoting Evidence-based Climate Smart Decision Making							
A regional-level resilience data and analytics services platform (RDAS) developed and accessible (Yes/No)	-	No	No	No	Yes	Yes	Yes
# of climate-informed decision-making tools and systems developed/enhanced in focus countries (Number)	-	0	0	5	10	10	10
# of new climate- informed decision-making tools and systems developed (Number)	-	0	0	3	6	6	6
# of existing sectoral decision-making tools and systems enhanced (Number)	-	0	2	4	4	4	4
% of gender- disaggregated data analytics developed that contributes to narrow the gender gap in climate change vulnerability (Percentage)	-	0	10	20	40	40	40
Enhancing Policies, Standards and Capacities							
# of regional climate resilience guidelines for key sectors developed (Number)	-	0	1	3	3	3	3
Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	1	2	1
# of national sectoral standards with climate resilience incorporated (Number)	-	0	3	6	6	6	6
% of officials trained in targeted unit/departments to apply climate resilient standards and data analytics in policies, planning and investments (Percentage)	-	0	0	5	10	20	30
At least fifty percent of the female staffs is trained among the staffs trained within targeted unit/departments (Yes/No)	-	No	-	-	-	-	Yes
# of national policies and plans supported to become climate risk informed (Number)	-	0	1	3	5	6	9
# of community-based organizations trained to plan, design and manage risk- informed community infrastructure (Number)	-	0	0	10	20	30	50
Number of innovative resilient solutions crowd sourced through Climate Innovation Challenge and TechEmerg Resilience Challenge (Number)	-	0	0	5	10	-	10

M&E Plan

An M&E Plan is a table that builds upon a project’s results framework to detail key M&E requirements for each indicator. This allows staff to track progress towards specific targets for better transparency and accountability within and outside the CARE project. This M&E Plan is to be used for data collection and M&E resourcing.

Table 14. PDO Indicators

PDO Indicators					
Indicator Name	Definition/Description	Frequency	Data source	Methodology for Data Collection	Responsibility for Data Collection
Improved access to regional climate information and analytics for climate-informed decision making in select sectors (score-based)	<p>RDAS will be developed to provide climate information and analytics across South Asia region. Each milestone represents one point each and should be completed in the following order. The end target will be five points:</p> <ul style="list-style-type: none"> - Regional data is collected and incorporated into the existing regional data sharing mechanism managed by RIMES. - Data analytics platform is developed and incorporate into the regional platform. - User-interface of the RDAS is created and available to be connected with the existing or new decision support tools. - A series of regional dialogues is organized at least twice in focus countries. - The RDAS is fully connected to, at least, the decision-support tools supported by the project. 	Annual/Mid and end of project	Mid and end term evaluation reports	Mid-term/end-term evaluation	RIMES
National-level decision-making and planning tools are better climate risk informed in select sectors	National-level Decision Support Systems (DSS) would be developed/enhanced. Once the RDAS is ready, these systems are fully connected with regional-level climate data through the RDAS.	Annual/Mid and end of project	Mid and end term evaluation reports	Mid-term/end-term evaluation	RIMES

Regional climate resilience guidelines for select sectors incorporated into national standards	Regional resilience guideline will be developed for mainstreaming climate resilient design and management for key sectors. National standards are updated and referred to the regional resilience guidelines.	Annual/Mid and end of project	Mid and end term evaluation reports	Mid-term/end-term evaluation	ADPC
Sectoral investments supported to include climate risks and resilient design in select sectors	Investments in key focus sectors are provided technical support to include Climate resilient design after review of available technologies adopted for resilience and identification of gaps. Two projects in each focus country will be targeted to be supported by the project.	Annual/Mid and end of project	Project management report Mid and end term evaluation reports	Project management report Mid and end term evaluation	ADPC
Indicator Name	Definition/Description	Frequency	Data source	Methodology for Data Collection	Responsibility for Data Collection
Institutional capacities within select sectors strengthened to undertake climate informed policies and planning (score-based)	Institutional capacities are strengthened in each focus country. The following indicators represent one point for each country once achieved/ completed. The end target will be total 12 (4 in each country). - Technical staffs are trained, at least, in one training in each country under Component 1.3 (Maximum 3). - Technical staffs are trained, at least, in two trainings under Component 2.3 in focus sectors in each country (Maximum 6). Focal points for climate change are appointed (Maximum 3).	Annual//Mid and end of project	Project management report Mid and end term evaluation reports	Project management report Mid and end term evaluation	ADPC and RIMES
Intermediate Results Indicators					
A regional-level resilience data and analytics services platform	RDAS is launched and becomes functional at RIMES.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Deliverable Mid and end term evaluation	RIMES

(RDAS) developed and accessible					
Number of climate-informed decision-making tools and systems developed/enhanced in focus countries	At least one national-level decision support system (DSS) is launched and eight existing sectoral DSSs and integrated into the existing government systems in focus countries with support from the project.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Deliverable Mid and end term evaluation	RIMES
Number of new climate-informed decision-making tools and systems developed	New national-level decision support systems is launched.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Deliverable/ Mid and end term evaluation	RIMES
Number of existing sectoral decision-making tools and systems enhanced	Existing sectoral decision-making tools are systems are enhanced by better climate related information and analytics.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Deliverable/ Mid and end term evaluation	RIMES
% of gender-disaggregated data analytics developed that contributes to narrow the gender gap in climate change vulnerability	New and existing sectoral decision support tools connected with RDAS supported by the project will incorporate disaggregated data analytics on gender differences such as vulnerabilities and gender-disaggregated hotspots and make available for decision makers to analyze and make climate change adaptation gender-responsive which will inform the design of substantial and innovative gender activities as part of South Asia DRM and Climate Change portfolio in the future.	Annual//Mid and end of project	Deliverables Mid and end term evaluation reports	Project Management Report/Deliverables Mid and end term evaluation	RIMES
Indicator Name	Definition/Description	Frequency	Data source	Methodology for Data Collection	Responsibility for Data Collection

Number of regional climate resilience guidelines for key sectors developed	Regional guidelines are developed based on consultations for three priorities sectors (agriculture, transport and water).	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Deliverable/ Mid and end term evaluation reports	ADPC
Number of national sectoral standards with climate resilience incorporated	Focus sectors would be selected according to the governments' priorities. Policy actions or adaptive design and operational maintenance for two out of seven thematic areas are adopted for investment in 3 focus countries.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Deliverable/ Mid and end term evaluation reports	ADPC
% of officials trained in targeted unit/departments to apply climate resilient standards and data analytics in policies, planning and investments	Relevant unit/departments in the target sectors will increase officials to learn the regional guidelines and national standards to apply climate resilient adoptive design as well as apply the RDAS and NDSS into sectoral policy planning more climate-risk informed.	Annual//Mid and end of project	Own Source/ Mid and end term evaluation reports	Policy dialogues/stakeholder consultation/questionnaire/ Mid and end term evaluation	ADPC/RIMES
At least 50% of the female staffs is trained among the staffs trained within targeted units/ departments	The training activities include at least 50% of female staffs among the targeted unit/departments.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Policy/dialogues/ stakeholder consultations/questionnaire/ Mid and end term evaluation	ADPC/RIMES
Number of community-based organizations trained to plan, design and manage risk-informed community infrastructure	This indicator will monitor the progress of capacity building activities targeting community-based organizations. The target is considered based on the total number of organizations in Nepal: 34,000; in Pakistan: 17,000; in Bangladesh: 190,000.	Annual//Mid and end of project	Own source/ Mid and end term evaluation reports	Progress monitoring report/ Mid and end term evaluation	ADPC

Data collection and management

Data collection is a process within data management that monitors the progress of outputs and outcomes. The primary basis for data collection is indicators from the CARE's Results

Framework in order to aggregate information at different levels. Data collection involves the use of data capture forms for output and outcome tracking. The following table list out some specific output and outcome data to be collected on a regular basis.

Table 15. Content of Data Capture Forms Per CARE project activities

Project activities	Output monitoring	Outcome monitoring
Training	Recipient/beneficiary of training	Change in knowledge & practice
Technical Support	Recipient/beneficiary of technical support	Change in knowledge & practice
Research & Knowledge Products	Recipient/beneficiary of research & knowledge products	Use/Utilization
Network Strengthening & Facilitation of Knowledge Exchange	Recipient/beneficiary of network strengthening & facilitation of knowledge exchange	Change in knowledge/perception/attitudes

M&E Specialist will provide guidance on data collection methods. Commonly used data collection methods in ADPC include:

- Administrative records (e.g. enrolment forms, participation lists)
- Surveys
- Key informant interviews
- Focus groups discussions
- Observation
- Mapping
- Various forms of assessment (e.g. capacity assessment, participant assessment)

The data collection forms and templates are attached in Appendix 13 (Data Collection Forms). Along with quantitative data, it is also important to consider what qualitative data can be collected to enable deeper insights into a situation or change. For example, quantitative data may tell us that something has happened, but qualitative can tell us how key stakeholders feel about that which has happened.

All data collected on CARE indicators must be entered into (MIS system). This ensures data is available for use within the project as well as at other relevant stakeholders and reduces further reporting requirements.

Any data collection exercise involving human subjects must include a protocol for gaining informed consent. That is, potential participants must be informed of the purpose of data collection, how it will be used, and with whom it will be shared before obtaining their consent to use the information in the manner described. All data on individuals should be disaggregated by relevant population variables and at a minimum must be disaggregated by sex. Sex disaggregated data is necessary for analysis bias in service provision and/or variation in outcomes based on gender.

The means of verification (i.e. the tool containing the raw data) for all data collection exercises must be stored in an accessible and known location and made available to evaluators and auditors as required.

8.4 Information reporting and utilization

Results monitoring, evaluation and reporting will be carried out in accordance with **the provisions of PAD clause No. 38 & 39, based on indicators acceptable to the World Bank, and set out in Results Framework. ADPC will assign an Operation/Monitoring and Evaluation Specialist on a full-time basis who carries out the M&E plan on a regular basis** in coordination with country focal points and reports to the Project Director. Monitoring and Reporting Specialist will review these indicators periodically during implementation, possibly update, and modify these requirements for the WB review. The M&E Specialist will review the PAD and establish the best means of achieving the PDO and indicators, including methods of measuring, resource requirements, data collection and reporting. The M&E Specialist will regularly provide reports on outputs and outcomes made under CARE and provide recommendations for improvements in project delivery. The ADPC will report, through the PIU, the overall performance of the project and its implementation. This includes:

- the extent to which project objectives are being achieved;
- the administrative, physical and financial progress achieved with respect to the implementation of the project components; and,
- the extent to which required implementation procedures, are being complied with.

The following matrix explains the information reporting and utilization.

Table 16. Information reporting and utilization matrix

Item	Description	Responsibility and Time line
Monthly Progress Report	<ul style="list-style-type: none"> • Budget / Planning Information • Narrative Report <ul style="list-style-type: none"> ○ Perspectives on current status ○ Issues and actions • Summary Outputs • Risks and Assumptions • Annexures 	<ul style="list-style-type: none"> • To be submitted by Country Project Leads, Sector Leads, Technical Leads and Project Officer based in Bangkok as per prescribed format. (not later than 7 days after the end of the period covered by such report) • M&R Specialist will compile/aggregate individual reports, and draft one report in consultation with Communication Specialist. • M&R specialist to submit draft report to Project Director for approval. (Not later than 7 days after the submission of all individual reports). • Project Director to share progress report internally with ADPC management. (After approval)
Quarterly Progress Report	<ul style="list-style-type: none"> • Budget / Planning Information • Narrative Report <ul style="list-style-type: none"> ○ Perspectives on current status ○ Issues and actions • Summary Outputs 	<ul style="list-style-type: none"> • To be submitted by Country Project Leads, Sector Leads, Technical Leads and Project Officer based in Bangkok as per prescribed format (not later than 7 days after the end of the period covered by such report).

	<ul style="list-style-type: none"> • Summary Immediate Objectives • Risks and Assumptions • Performance issues • Compliance of safeguard, procurement and financial management • Lessons learned • Planned activity for next quarter • Annexures 	<ul style="list-style-type: none"> • M&R Specialist will compile/aggregate individual reports, and draft one report in consultation with Communication Specialist. • M&R specialist to submit draft report to Project Director for approval. (Not later than 7 days after the submission of all individual reports). • Project Director to share final report with ADPC management, SFPs, the World Bank task team. (Not later than 30 days after the end of the period covered by such report).
Annual Report	<ul style="list-style-type: none"> • Acronyms • Executive Summary • Budget / Planning Information • Narrative Report <ul style="list-style-type: none"> ○ Perspectives on current status ○ Issues and actions • Summary Outputs • Summary Immediate Objectives • Risks and Assumptions • Performance issues • Lessons learned • Integration Of Crosscutting Issues • Stakeholders Participation And Involvement • Compliance issue on safeguard • Compliance issue on procurement • Compliance issue on financial management • Planned Tasks/Interventions for The Next Reporting Period • Annexures 	<ul style="list-style-type: none"> • An annual narrative and financial report will be developed after every fiscal year. • The annual narrative will be shared with World Bank and presented during the annual SCC meetings. • The financial report will be shared directly to World Bank. • Annual Narrative and Financial report: the annual narrative will be developed under the direct responsibility of the Project Director with support from the Project Officer, the M&E Specialist, Procurement specialist, and the financial management specialist with support from the PIU and the country technical leads. In addition, this Annual Narrative will also be shared along with RIMES annual narrative. • The M&E Specialist will lead the preparation of the report with data supplied by country offices. The PIU will support the report preparation. (Not later than 60 days after the end of the period covered by such report).
Third party Validation (TPV) Report	<ul style="list-style-type: none"> • In line with the requirement delineated in PAD, PIU will organize the TPV study to assess the implementation of the project and the achievement of its objectives as spelled out in PAD. In this context, the following are the objectives of TPV: <ul style="list-style-type: none"> • To review key project deliverables' (on sample basis) across all sector in three countries. • Assess the features, quality, and improvements, if any, of the key deliverables. • Identify associated challenges and propose recommendations for future implementation. These can include technical comments on the deliverables themselves 	<ul style="list-style-type: none"> • ADPC and RIMES M&E Specialist will work together to draft TORs for third party validation. (2 weeks) • Draft TORs will be shared with ADPC and RIMES project management for review and onward submission to World Bank approval. (3 weeks) • Based on the approved TORs individual consultants or firm will be hired through STEP. (5 weeks) • Individual consultants or firm will complete independent third party assessment and submit draft report to ADPC and RIMES. (3 weeks) • ADPC and RIMES will finalize report. (2 weeks). • Project Director(s) to share final report with ADPC management, SFPs, the World Bank task team.
Mid-term Review report	<p>Evaluation TORs and Report</p> <p>The evaluation ToR should be written with enough clarity and detail for both</p>	<ul style="list-style-type: none"> • ADPC and RIMES M&E Specialist will work together to draft TORs for mid-term review of the Project. (2 weeks)

	<p>the ADPC and World Bank to design well-focused evaluation processes capable of answering the organizational learning and accountability goals, and the consultant to understand what is expected to be delivered out of his/her work. For this reason, well-considered and well-written ToRs are the foundation of a good evaluation. The content of the ToR should follow the outline indicated below.</p> <ul style="list-style-type: none"> • Introduction and rationale for evaluation • Brief background on project and context • Purpose, scope and clients of evaluation • Key evaluation questions • Methodology to be followed • Main outputs • Management arrangements, work plan, formatting requirements and time frame. <p>Main structure of the evaluation report:</p> <ul style="list-style-type: none"> • Cover Page with key intervention and evaluation data • Executive Summary • Brief background • Purpose, Scope and Clients of evaluation • Methodology • Review of implementation • Presentation of findings • Conclusions • Recommendations • Lessons Learned and Good Practices • Annexes: ToR, Questionnaires, list of informants, etc. 	<ul style="list-style-type: none"> • Draft TORs will be shared with Evaluation Management Committee (EMC) for review and approval. (2 weeks) • Based on the approved TORs individual consultants or firm will be hired through STEP. (5 weeks) • Individual consultants or firm will complete independent midterm review and submit draft report to ADPC and RIMES. (7 weeks) • ADPC and RIMES will finalize report. (2 weeks). • Project Director(s) to share final report with ADPC management, SFPs, and the World Bank task team. • An evaluation management response to be solicited. • Evaluation management response should be monitored regularly to ensure actions are completed as planned.
Item	Description	Responsibility and Time line
End-term Review report	<p>Evaluation TORs and Report</p> <p>The evaluation ToR should be written with enough clarity and detail for both the ADPC and World Bank to design well-focused evaluation processes capable of answering the organizational learning and accountability goals, and the consultant to understand what is expected to be delivered out of his/her work. For this reason, well-considered</p>	<ul style="list-style-type: none"> • ADPC and RIMES M&E Specialist will work together to draft TORs for end-term review of the Project. (2 weeks) • Draft TORs will be shared with Evaluation Management Committee (EMC) for review and approval. (2 weeks) • Based on the approved TORs individual consultants or firm will be hired through STEP. (5 weeks)

	<p>and well-written ToRs are the foundation of a good evaluation. The content of the ToR should follow the outline indicated below.</p> <ul style="list-style-type: none"> • Introduction and rationale for evaluation • Brief background on project and context • Purpose, scope and clients of evaluation • Key evaluation questions • Methodology to be followed • Main outputs • Management arrangements, work plan, formatting requirements and time frame. <p>Main structure of the evaluation report:</p> <ul style="list-style-type: none"> • Cover Page with key intervention and evaluation data • Executive Summary • Brief background • Purpose, Scope and Clients of evaluation • Methodology • Review of implementation • Presentation of findings • Conclusions • Recommendations • Lessons Learned and Good Practices • Annexes: ToR, Questionnaires, list of informants, etc. 	<ul style="list-style-type: none"> • Individual consultants or firm will complete independent end term review and submit draft report to ADPC and RIMES. (10 weeks) • ADPC and RIMES will finalize report. (2 weeks). • Project Director(s) to share final report with ADPC management, SFPs, and the World Bank task team. • An evaluation management response to be solicited. • Evaluation management response should be monitored regularly to ensure actions are completed as planned.
Item	Description	Responsibility and Time line
Learning Review report	<ul style="list-style-type: none"> • Learning reviews involve analyzing and synthesizing M&E data and using this to reflect on program progress, quality and logic. For example, indicator data should be mapped against the CARE's TOC to assess progress and to test key causal assumptions. Similarly, quality concerns, such as levels of satisfaction among recipients or gender variation in outcomes, should also be assessed. • Learning reviews should be inclusive exercises in which key project staff are involved in determining the implications of data for program design and work planning. • For efficiency as well as effectiveness, learning reviews should be scheduled 	<ul style="list-style-type: none"> • Learning review to be conducted jointly in consultation with project management and sector leads (on need basis minimum once a year). • Report will be compiled in consultation with project management and sector leads. (not later than 15 days after completion of data collection, review and analysis) • The final report will be submitted to Project Director for onward sharing within and outside ADPC. • CARE will also undertake a project closure learning review within two months of project closure. Project closure is defined here as the point at which outcome monitoring and evaluations are complete. The World Bank will compile its Implementation Results Report within 6 months after the closer of the project

	<p>at a time in the project where M&E data is most useful. This may include:</p> <ul style="list-style-type: none"> • Prior to annual work planning processes to assess progress against previous work plans and to inform new work plans. • Prior to scheduled reporting periods to facilitate high quality reporting. • At key moments defined by the program logic. CARE's TOC and intermediate results indicators under the Results Framework contain a number of crucial causal assumptions. These should be assessed in a timely manner to allow for course-corrections if required. For example, it is often important to assess how key stakeholders respond to outputs before implementation continues as the success of the program logic depends on a particular response (e.g. use of tools and guidelines provided). 	<p>and the learning review will contribute to the World Bank report.</p>
<p>Joint Missions report</p>	<ul style="list-style-type: none"> • The missions will conduct a comprehensive review of Project performance against the Results Framework and agree on planned actions (including financing plan). • It will examine progress in the implementation of CARE in accordance with its implementation plan, including: <ul style="list-style-type: none"> • disbursement of resources made available up to date, • possible bottlenecks and technical capacity shortfalls, • the likelihoods of CARE achieving its development objectives, and any necessary remedial corrective actions. 	<ul style="list-style-type: none"> • The Bank Task Team will participate in joint review missions with ADPC and key partners in order to formally review project implementation semi-annually. • The findings of the reviews will be discussed in detail with the ADPC and follow-up actions will be agreed upon. • One month prior to the joint review missions, ADPC shall provide the Bank with comprehensive progress reports on project activities. The first joint mission will be held no later than four months to review progress in the launching of CARE.

Project Management Information System (PMIS)	<ul style="list-style-type: none"> • To concurrently monitor and supervise the CARE project. • The MIS is envisioned to be a simplistic and light interface which can facilitate: • Creation of project monitoring frameworks • Collection and entry of data as per the frameworks • Data validation and authentication • Correction/Modification of Data • Custom query reports • Audit trail based due diligence • System generated correspondence/requests for data/information, approvals, iterations and revisions. 	<ul style="list-style-type: none"> • In consultation with RIMES and Work Bank Task, team ADPC will develop TORs for PMIS. (4 weeks) • The Firm will initially do the requirements analysis. (3 weeks) • Based on the requirements analysis firm will design the MPIS (12 weeks) • Once PMIS is designed and operational, monitoring and reporting will be shifted to PMIS. (3 weeks) • Monitoring and Reporting will be automated through MIS. (on going) • MIS will also support in data management for CARE activities, and results. (on going)
Set up a base line	<ul style="list-style-type: none"> • ADPC will set up a base line of the indicators in the CARE Results Framework for monitoring and evaluation of results. 	<ul style="list-style-type: none"> • ADPC and RIMES M&E Specialist will work together to draft TORs for Baseline study. (2 weeks) • Draft TORs will be shared with Evaluation Management Committee (EMC) for review and approval. (2 weeks) • Based on the approved TORs individual consultants or firm will be hired through STEP. (5 weeks) • Individual consultants or firm will complete independent midterm review and submit draft report to ADPC and RIMES. (7 weeks) • ADPC and RIMES will finalize report. (2 weeks). • Project Director(s) to share final report with ADPC management, SCC, NSCs, and the World Bank task team.

8.5 M&E resourcing

Sufficient M&E resourcing is needed to properly execute M&E activities. This includes M&E planning, output and outcome monitoring, learning reviews and evaluations. It also includes M&E staffing and the inclusion of M&E responsibilities in the work plans of non-M&E staff. To ensure adequate resources for M&E, CARE Management should establish an overall strategy for M&E financing. A crosscutting approach is recommended, whereby funds are pooled and made available for all programmes and M&E activities irrespective of specific donor conditions and even after a grant closes. It is important that M&E budgets are sufficient to meet the needs of both internal learning and external accountability requirements. An M&E budget should not be too small as to compromise the credibility of project data but neither too big to impair project implementation.

9. Communication and Branding

Communication, knowledge-sharing, awareness-raising is a cross-cutting area of the project that will directly feed into achieving proof of delivery of project outputs.

It will focus awareness raising campaign and work through different media platforms (Radio, TV, social media) to supplement CARE's objectives both at regional and national levels. A dedicated website for this purpose will be developed that will also serve as CARE Knowledge Management Hub and visibility tool. Broad guidelines for developing and dissemination content and branding are as following:

- i. Communication as the project is introduced:** ADPC will incorporate communication activities in the project design from the beginning. It will introduce the project and disseminate key messages through appropriate communication channels to promote an enabling environment for dialogue on climate adaptation in South Asia and enhance the understanding of the project. World Bank will provide orientation to ADPC's communications lead about the Bank's editorial policy. The Bank will review the introductory material of the project.
- ii. Communication as the project is scaled up:** ADPC will be responsible for producing and disseminating communication material to enhance the visibility and understanding of the project at regional and national levels. Mass media (print and electronic public documents, Web site and social media, radio, television, and dissemination of printed materials) will be utilized at this stage. The content will be developed in line with ADPC's and Bank's editorial policy, and the Project Director will approve the content. A mechanism to share and review outreach material will be developed in coordination with the World Bank.
- iii. Social Media:** ADPC's social media channel will be used for day-to-day to enhance the visibility of the project's activities. For the time-sensitive content, ADPC will be the approving authority for social media posts and tag the Bank and partners accordingly.
- iv. Blogs and other publications:** The Task Team will provide feedback on blogs or any publication that is not time-sensitive.
- v. Knowledge-sharing and awareness-raising:** All the relevant activities under component 2 should be designed in line with the Bank's and ADPC's editorial policy.
- vi. Branding:** Keeping in view the nature of the project, a unique identity of the project the project will be created with partner's logos displayed appropriately on relevant publications. A co-branding style guide will be developed to maintain a consistent visual identity of the project.