



Technical Assistance Report

Project Number: 49157-001
Regional—Capacity Development Technical Assistance (R-CDTA)
July 2016

Supporting the Adoption of Low Carbon Technologies in Developing Member Countries (Financed by the Japan Fund for the Joint Crediting Mechanism)

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Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
CO ₂	–	carbon dioxide
DMC	–	developing member country
JCM	–	joint crediting mechanism
JFJCM	–	Japan Fund for the Joint Crediting Mechanism
MRV	–	Monitoring, recording, and verification
PDD	–	project design document
SDES	–	Environment and Safeguards Division
TA	–	technical assistance

NOTE

In this report, "\$" refers to US dollars.

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CAPACITY DEVELOPMENT TECHNICAL ASSISTANCE AT A GLANCE

1. Basic Data		Project Number: 49157-001	
Project Name	Supporting the Adoption of Low Carbon Technologies in Developing Member Countries	Department /Division	SDCC/SDDES
Country	REG	Executing Agency	Asian Development Bank
2. Sector	Subsector(s)	Financing (\$ million)	
Energy	Energy efficiency and conservation	0.30	
	Renewable energy generation - geothermal	0.30	
Transport	Urban public transport	0.30	
Water and other urban infrastructure and services	Urban solid waste management	0.30	
	Urban water supply	0.30	
		Total	1.50
3. Strategic Agenda	Subcomponents	Climate Change Information	
Inclusive economic growth (IEG)	Pillar 2: Access to economic opportunities, including jobs, made more inclusive	Climate Change impact on the Project	Low
Environmentally sustainable growth (ESG)	Global and regional transboundary environmental concerns		
Regional integration (RCI)	Pillar 4: Other regional public goods		
4. Drivers of Change	Components	Gender Equity and Mainstreaming	
Governance and capacity development (GCD)	Client relations, network, and partnership development to partnership driver of change	No gender elements (NGE)	✓
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas		
Partnerships (PAR)	Bilateral institutions (not client government) Official cofinancing		
5. Poverty Targeting		Location Impact	
Project directly targets poverty	No	Not Applicable	
6. TA Category:	B		
7. Safeguard Categorization	Not Applicable		
8. Financing			
Modality and Sources		Amount (\$ million)	
ADB		0.00	
None		0.00	
Cofinancing		1.50	
Japan Fund for the Joint Crediting Mechanism		1.50	
Counterpart		0.00	
None		0.00	
Total		1.50	
9. Effective Development Cooperation			
Use of country procurement systems		No	
Use of country public financial management systems		No	

I.

II. INTRODUCTION

1. Supporting the adoption of low-carbon technologies in developing member countries (DMCs) is imperative for mitigating climate change. The Japan Fund for the Joint Crediting Mechanism (JFJCM) was established in June 2014 to support implementation of the joint crediting mechanism (JCM), which is a new carbon market mechanism initiated by the Government of Japan to promote greenhouse gas emission-reduction projects. It is a market mechanism between two countries, with a structure and procedures similar to those of the Clean Development Mechanism. The JCM implements greenhouse gas emission-reduction projects in developing countries with which Japan has a bilateral JCM agreement.¹

2. The JFJCM promotes advanced low-carbon technologies in eligible DMCs through provision of grants and technical assistance (TA) that encourage adoption of advanced low carbon technologies in ADB-financed and administered sovereign and nonsovereign projects using the principles of the JCM. To promote low carbon technologies using JFJCM, projects should include a component that will adopt an advanced low-carbon technology that can considerably reduce carbon dioxide (CO₂) emissions in the long term. For nonsovereign projects, a proof of additionality (i.e., need for concessional financing for the project to be viable or acceptable from a risk-reward perspective) will be required.²

3. The TA will support the increased adoption of low-carbon technologies and promote climate change mitigation and environmentally sustainable growth. The initial focus of the TA will be on those ADB DMCs that have a bilateral agreement (or are currently negotiating) with the Government of Japan for implementation of the JCM.³ The country partnership strategies of eligible DMCs have identified climate change mitigation as a priority. The TA is aligned with the country partnership strategies of these eligible DMCs.

4. The TA will provide capacity building and technical support to DMCs in identifying and preparing grant proposals for the adoption of low-carbon technologies. The TA will also support the identification and dissemination of best practices in the use of low-carbon technologies. The design and monitoring framework is in Appendix 1.⁴

III. ISSUES

5. Rapid economic growth in Asia and the Pacific have resulted in the region becoming a major source of greenhouse gas emissions. The region's CO₂ emissions accounted for 42.8% of world CO₂ emissions in 2010 and could reach more than half of world CO₂ emissions in 2035.⁵ Decoupling the region's growth from carbon emissions is crucial for global efforts to mitigate climate change. Considerable investments will be required to enable developing countries to transition to a low-carbon development pathway. With limited public sector financing available, carbon market mechanisms play an important role in mobilizing financing for low-carbon

¹ As of March 2016, the Government of Japan has signed agreements for the JCM with 16 countries, 10 of which—Bangladesh, Cambodia, Indonesia, the Lao People's Democratic Republic, Maldives, Myanmar, Mongolia, Palau, Thailand, and Viet Nam—are DMCs of the Asian Development Bank (ADB). Discussions are ongoing with the Government of the Philippines with respect to entering into a JCM bilateral agreement for the promotion of the JCM. JFJCM implementation guidelines were issued in October 2014.

² The detailed criteria for projects to be supported by the JFJCM are in Section IV of the JFJCM guidelines.

³ As of March 2016, the Philippines has officially initiated discussions on the JCM with the Government of Japan. Countries that officially initiate discussions on the JCM during TA implementation will be covered under the TA.

⁴ The TA first appeared in the business opportunities section of ADB's website on 5 May 2016.

⁵ ADB. 2015. *Energy Outlook for Asia and the Pacific*. Manila.

development. Since 2005, the Clean Development Mechanism under the Kyoto Protocol has supported countries with emissions-reduction commitments and promoted the mobilization of low-carbon investments.⁶

6. The 21st Conference of Parties of the United Nations Framework Convention on Climate Change (held in Paris in 2015) adopted the Paris Agreement, which reaffirmed the role of carbon market mechanisms, although not in their past form. Article 6, para. 2 of the Paris Agreement creates cooperative approaches that allow parties to pursue voluntary cooperation in implementing their nationally determined contributions through the use and transfer of emission reductions to other countries. This enables: (i) various national and/or regional emissions trading systems to be linked; and (ii) further development of bilateral mechanisms such as the JCM⁷.

7. As an incentive to promote low carbon technologies in DMCs, donor support will be sought. Current recipients and those expected to enter into bilateral agreements will need capacity building and technical support to identify opportunities for adoption of low-carbon technology in their projects and develop proposals for funding under financing mechanisms such as the JFJCM. In the case of JFJCM, assessment of the low-carbon technology will include: (i) the level of the advanced technology and data regarding its technical effectiveness; (ii) the incremental cost of deploying advanced low-carbon technologies (compared with normally employed technology); and (iii) the evaluation and qualification criteria, including technical performance-related criteria and technical specifications to enable the life-cycle cost of the facility to be calculated. Capacity building support will focus on:

- (i) identifying opportunities for the adoption of low-carbon technologies in ADB projects;
- (ii) increasing the knowledge of DMC officials on the financing mechanisms such as the JFJCM;⁸
- (iii) developing projects that adopt low-carbon technologies and preparing project design documents (PDDs) in accordance with the donor procedures and guidelines; and
- (iv) monitoring grant implementation, submitting reports, and verifying implementation of projects in accordance with the donor requirements.

8. The TA will build on the capacity building support provided under ongoing ADB TA for Supporting the Use of Carbon Financing from New Carbon Market Mechanisms to Promote Green Growth in Asia and the Pacific.⁹ The TA will focus on providing hands-on support for

⁶ Under the Kyoto Protocol, countries with emissions-reduction or emissions-limitation commitments are known as Annex B parties.

⁷ The JCM aims to: (i) facilitate the diffusion of advanced low-carbon technologies, products, systems, services, and infrastructure as well as the implementation of other mitigation actions to contribute to the sustainable development of developing countries; and (ii) estimate contributions to greenhouse gas emission reductions through mitigation actions implemented in developing countries and the use of those emission reductions to achieve the emission reduction targets of developed countries.

⁸ The JFJCM process includes the following steps: (i) conduct preliminary screening to identify the project pipeline and low-carbon technologies to be supported by the JFJCM; (ii) evaluate advanced low-carbon technologies related to the project pipeline, including assessing their benefits and costs, operational record, and other technology-related information required by JFJCM; (iii) prepare and submit PDDs required by the JCM, including methodologies applicable to JCM projects for calculating emission reductions and monitoring the JCM project (JCM methodology); (iv) request validation of PDDs by third-party entities and register PDDs with the JCM joint committee; and (v) monitor, submit reports, and verify project implementation in accordance with JCM requirements.

⁹ ADB. 2014. *Technical Assistance for Supporting the Use of Carbon Financing from New Carbon Market Mechanisms to Promote Green Growth in Asia and the Pacific*. Manila (TA 8654-REG). The TA will help DMCs build

development of technology-related criteria and integrating technological aspects of the monitoring, recording, and verification (MRV) methodology with the preparation of project proposals for donor funding. The TA will also help coordinate with the Government of Japan and JCM joint committee members in DMCs participating or preparing to participate in the JCM to provide updates on JCM implementation.

IV. THE CAPACITY DEVELOPMENT TECHNICAL ASSISTANCE

A. Impact and Outcome

9. The impact will be increased adoption of low carbon technologies in DMCs. The outcome will be increased capacity of DMCs to develop low-carbon technology projects and access finance.

B. Methodology and Key Activities

10. The TA will have two outputs: (i) increased knowledge on low-carbon technologies and financing mechanisms delivered; and (ii) hands-on support for low carbon project development provided.

11. **Increased knowledge on low-carbon technology and financing mechanisms delivered.** This output will conduct workshops for DMC officials and project developers from eligible DMCs on developments in low-carbon technologies and opportunities for use in ADB projects; and financing mechanisms. These workshops will also provide knowledge about JCM structures and requirements for processing and implementation, including monitoring; JFJCM and financing mechanisms procedures and requirements; case studies of several projects that apply advanced low-carbon technologies; and best practices on the use of low-carbon technologies.

12. **Hands-on support for low carbon project development provided.** This output will provide hands-on support for project development, in tandem with the loan preparation process for ADB projects, in order to meet donor requirements. It will provide support for (i) identifying projects with the potential to contribute to greenhouse gas emissions reduction; (ii) assessing the opportunities for the use of advanced low-carbon technologies in the ADB project pipeline, including their incremental cost; (iii) research on advanced low-carbon technologies, particularly those that can potentially be used by ADB projects; and (iv) drafting PDDs.

13. Potential risks are identified in the design and monitoring framework in Appendix 1. To minimize the risk that DMCs do not have pipeline projects that can utilize low-carbon technologies, the TA will review the Nationally Appropriate Mitigation Actions of participating countries and work with ADB's operations departments to identify projects with potential to use advanced low-carbon technologies.

institutional capacity to effectively participate in, and take advantage of, bilateral mechanisms such as JCM. The ongoing TA has held capacity development workshops in Bangladesh, Indonesia, the Lao People's Democratic Republic, the Philippines, Thailand, and Viet Nam, and will be closed by September 2016. The JFJCM TA will cover all DMCs with bilateral agreements with the Government of Japan, but will prioritize those DMCs that were not covered by the ongoing TA. This is in order to broaden the scope of the JCM.

C. Cost and Financing

14. The TA is estimated to cost \$1,500,000, which will be financed on a grant basis by the JFJCM and administered by ADB. The cost estimates and financing plan are in Appendix 2.

D. Implementation Arrangements

15. As the executing and implementing agency, ADB will administer the TA activities through the Sustainable Development and Climate Change Department's Environment and Safeguards Division (SDES) in close coordination with the operations departments and resident missions.¹⁰ An SDES staff member will act as the TA team leader. TA implementation will be from July 2016 to June 2018 (24 months). The capacity building and knowledge-dissemination activities to be implemented by the TA will be determined based on the needs of DMCs.

16. The TA will finance consulting services, workshops and training, and report preparation. An individual international consultant (Low Carbon Project Development Specialist) will be engaged for 22 person-months and a national consultant (TA Coordinator) will be engaged for 18 person-months. Consultants will be under the direct supervision of SDES. Individual consultants (Low Carbon Technology Expert, Clean Development Mechanism Expert and National Project Coordinator) and will be recruited on an as-needed basis to provide direct support for project preparation and implementation for low carbon projects that will be identified by operations departments. Consultant terms of reference will be developed on an as-needed basis, covering market surveys and technology identification, and methodology and PDD development. The outline terms of reference for consultants (in Appendix 3) will be finalized based on the pipeline and DMCs to be covered. Consultants will assist in developing the technology-related requirements for the advanced low-carbon technologies that have the potential to be used for ADB's pipeline, and support project developers and sponsors in writing PDDs and the new MRV methodologies. Individual consultants will have expertise on low-carbon technology and MRV methodologies in various sectors, including energy efficiency, renewable energy, water, and transport. All consultants will be engaged as individual consultants following ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).

17. All procurement will be in accordance with ADB's Procurement Guidelines (2015, as amended from time to time). Disbursement will be in accordance with ADB's *Technical Assistance Disbursement Handbook* (2010, as amended from time to time). Support and advice will be provided to JCM secretariats in DMC governments for coordination with project developers, to organize workshops, and to provide hands-on support regarding low carbon technology project requirements.¹¹

18. The TA will be monitored by the TA Team Leader and peer reviewed by the technical advisory group established under the JFJCM.¹² Good practices and lessons will be

¹⁰ ADB's operations departments and resident missions in charge of eligible countries of the JFJCM will be engaged in the TA. As of May 2016, DMCs from the East Asia Department, Pacific Department, Private Sector Operations Department, South Asia Department, and Southeast Asia Department have signed bilateral agreements with the Government of Japan for the JCM.

¹¹ The JCM secretariat helps manage the implementation of JCM activities by working with the host country and Japan. Its main function is to support the JCM joint committee and relevant stakeholders, to act as a center of JCM information and communication, and to collaborate with all stakeholders to ensure smooth implementation.

¹² The technical advisory group constitutes representatives from relevant ADB communities of practice (agriculture, energy, transport, urban, water, and environment).

disseminated through TA workshops and posted on the ADB website. After the TA closes, the fund secretariat will operate and maintain information on ADB's website.

V. THE PRESIDENT'S DECISION

19. The President, acting under the authority delegated by the Board, has approved ADB administering technical assistance not exceeding the equivalent of \$1,500,000 to be financed on a grant basis by the Japan Fund for the Joint Crediting Mechanism for Supporting the Adoption of Low Carbon Technologies in Developing Member Countries, and hereby reports this action to the Board.

DESIGN AND MONITORING FRAMEWORK

Impact the TA is Aligned with			
Adoption of low-carbon technologies in DMCs increased (defined by the project)			
Results Chain	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Risks
Outcome Increased capacity of DMCs to develop low-carbon technology projects and access finance	a. Six low carbon technology projects developed and financed by 2018	a. Reports from concerned government agencies, and other sources.	
Outputs 1. Increased knowledge on low-carbon technology and financing mechanisms delivered 2. Hands-on support for low carbon project development provided	1a. More than 100 project developers, local experts, and government officials trained by Q1 2018 (2016 baseline: 0) 1b. 70% of trained participants reported improved knowledge and understanding of low-carbon technologies and financing mechanisms by Q1 2018 (2016 baseline: Not applicable) 2a. JCM methodologies developed for at least six new project pipelines (2016 baseline: 0) 2b. Project design documents developed for at least six new projects (2016 baseline: 0) 2c. At least six assessment reports of advanced low carbon technology prepared (2016 baseline: Not applicable)	1a. Workshop report and TA progress report 1b. Post-training feedback 2a–c. TA progress report	Risk DMCs do not have pipeline projects that can utilize low carbon technologies

<p>Key Activities with Milestones</p> <p>1. Increased knowledge on low-carbon technology and financing mechanisms delivered (Q2 2016–Q1 2018)</p> <p>1.1 Recruit consultants by Q2 2016.</p> <p>1.2 Develop the training module of updated financing mechanisms, requirements, and project samples by Q3 2016.</p> <p>1.3 Organize four technical workshops in participating countries for project developers of potential projects, relevant government officials including executing agencies, and other stakeholders by Q1 2018, including conduct of post-training survey.</p> <p>2. Hands-on support for low carbon project development provided (Q2 2016–Q2 2018)</p> <p>2.1 Provide regular updates to ADB’s operations departments on low carbon technology development.</p> <p>2.2 Assist operations departments in identifying projects with the potential for reduction of greenhouse gas emissions. (Q2 2016–Q1 2018)</p> <p>2.3 Assist operations departments in preparing project pipelines with opportunities for adoption of low carbon technologies. (Q2 2016–Q1 2018)</p> <p>2.4 Conduct an assessment of the trend, market for, and level of advanced low-carbon technologies in relation to the project pipeline, and provide support to develop the technology-related requirements of JFJCM by Q1 2018.</p> <p>2.5 Provide technical support in assessing emission reduction in low carbon projects (Q2 2016–Q1 2018).</p> <p>2.6 Provide support for the preparation of the draft project design document, in tandem with the loan preparation process by Q2 2018.</p>
<p>Inputs</p> <p>JFJCM: \$1,500,000</p>
<p>Assumptions for Partner Financing</p> <p>Not Applicable</p>

ADB = Asian Development Bank, DMC = developing member country, ITD = initial title and description, JCM = joint crediting mechanism, JFJCM = Japan Fund for Joint Crediting Mechanism, Q = quarter, TA = technical assistance
Source: Asian Development Bank.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Amount
Japan Fund for the Joint Crediting Mechanism^a	
1. Consultants	
a. Remuneration and per diem	
i. International consultant	932.3
iii. National consultants	166.3
b. International and local travel	100.0
c. Reports and communications	30.0
2. Equipment ^b	5.0
3. Publications ^c	15.0
4. Workshops, local training, seminars, and conferences ^d	90.0
5. Miscellaneous administration and support costs	50.0
6. Contingencies	111.4
Total	1,500.0

^a Administered by the Asian Development Bank (ADB).

^b Includes subscription to database and information services such as Carbon pulse and Environmental Finance. All procurement under the technical assistance (TA) will be carried out in accordance with ADB's Procurement Guidelines (2015, as amended from time to time). Administering Grant-Financed Technical Assistance Projects. *Project Administration Instructions*. PAI 5.09. Manila.

^c Publications include knowledge products.

^d Includes honorarium and travel costs for resource persons and facilitators, participants' travel costs, and staff travel if the staff acts as a resource person for the event.

Source: Asian Development Bank estimates.

OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

1. A team of international and national consultants with expertise and experience in the areas of the joint crediting mechanism (JCM) and low-carbon technologies will be engaged to assist in the implementation of the technical assistance (TA). The Asian Development Bank (ADB) will engage all consultants in accordance with its Guidelines on the Use of Consultants (2013, as amended from time to time). The duration of this TA is 2 years.

2. **Low Carbon Project Development Specialist** (international, 22 person-months). The specialist will undertake the following activities and participate in missions as required to perform tasks, including the following:

- (i) assist ADB TA team leader and/or TA team in coordinating team activities and consolidating individual outputs;
- (ii) track ADB's pipeline of projects and identify opportunities for adoption of low-carbon technologies;
- (iii) carry out capacity building activities as identified by the team leader;
- (iv) assist in negotiating, structuring, and completing documentation for funding of projects (e.g., term sheets, loan agreements, shareholder agreements, subscription agreements, and guarantees);
- (v) assist in drafting grant proposals;
- (vi) verify the evaluations completed by national consultants on the ADB project pipeline to determine the greenhouse gas emissions reduction potential;
- (vii) provide technical support to ADB operations departments;
- (viii) follow international developments on mitigation of greenhouse gas emissions and financing mechanisms, and apprise ADB project officers accordingly;
- (ix) perform other carbon market-related work under the TA as required; and
- (x) draft knowledge products on low carbon technologies.

3. **Project Development Support Team** (individual consultants). The individual consultants will provide technical support to ADB operations departments for low-carbon projects pipeline. The following tasks are typical, and will require effective and efficient coordination between support team consultants and with the Low Carbon Project Development Specialist. The anticipated input for each project will be about 8 person-months of international consultant and about 4 person-months of national consultant services.¹ The terms of reference will be finalized after receiving the project pipeline.

- (i) **Low-Carbon Technology Expert** (1 international, 4 person-months). The expert will:
 - (a) conduct reviews of emerging advanced low-carbon technologies that have the potential to be used in various sectors in the low-carbon projects pipeline in developing and project countries, and estimate the incremental cost of deploying advanced low-carbon technologies (compared with normally employed technology);
 - (b) track developments and experiences with new and more efficient low-carbon technologies and provide that information to developing member countries and ADB operations departments;
 - (c) develop economic analyses of the life-cycle cost of advanced low-carbon technologies, and assist in developing evaluation and qualification criteria

¹ National consultants will be nationals of the country where the project will be implemented.

- that incorporate technical performance-related criteria in addition to technical specifications to account for the life-cycle cost of the facility;
- (d) conduct an assessment of additionality (i.e., need for concessional financing for the project to be viable or acceptable from a risk-reward perspective) for nonsovereign projects; and
- (e) summarize the economic and social benefits of low-carbon technologies and undertake a case study of the adoption of advanced low-carbon technologies.

- (ii) **Monitoring, Reporting, and Verification (MRV) Expert** (1 international, 4 person-months). The expert will:
 - (a) develop the training module for the MRV technical workshop for training stakeholders of pipeline projects, and other future potential projects;
 - (b) prepare initial project assessment reports to coordinate with the low-carbon technology expert in order to draft an MRV methodology that considers the characteristics and status of the technology;
 - (c) develop new MRV methodologies;
 - (d) assist in developing project design documents; and
 - (e) assist project entities in obtaining validation by third-party entities, and in registering projects with the JCM joint committee.
- (iii) **Project Coordinator** (1 national, 4 person-months). The coordinator will:
 - (a) collect technical and market information on low-carbon technologies in project countries;
 - (b) assist in collecting data regarding emissions baseline and monitoring methodologies;
 - (c) assist project developers in implementing projects after loan execution; and
 - (d) draft progress reports on projects, and submit these to the team leader.

4. **TA Coordinator** (1 national, 18 person-months). The coordinator will provide overall assistance on implementation of TA activities and fund operations. The coordinator will:

- (i) prepare and update the overall TA work plan and budget;
- (ii) organize and participate in the technical workshop for training of stakeholders of pipeline and other future potential low-carbon technology projects, and provide assistance in preparing reports and proceedings in coordination with the JCM secretariat;
- (iii) create and manage the project database and records;
- (iv) draft evaluations of the ADB project pipeline to determine the potential for reducing greenhouse gas emissions;
- (v) prepare progress reports, briefing notes, correspondence, and other documents that may be required by ADB and its partners;
- (vi) assist in processing funding grants for sovereign and nonsovereign projects, TA projects, and administration of direct charges;
- (vii) support the implementation of fund operations, including the preparation of the annual work program and progress report, preparation of fund-related reports, and provision of support to the Technical Advisory Group and Climate Change Steering Committee for fund-related operations;

- (viii) support coordination and integration between the TA and the other fund activities;
and
- (ix) oversee the fund's financial transactions and maintain a financial management system in a way that is compliant with generally accepted accounting principles, harmonized with ADB policies and procedures, and closely coordinated with ADB.