Technical Assistance Report

Project Number: 52014-001
Knowledge and Support Technical Assistance (KSTA)
November 2018

Strengthening Integrated Flood Risk Management

Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
DMC	–	developing member country
IFRM	–	integrated flood risk management
NBS	–	nature-based solution
SDG	–	Sustainable Development Goal
UCCRTF	–	Urban Climate Change Resilience Trust Fund
WSG	–	Water Sector Group

NOTE

In this report, "$" refers to United States dollars.

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KNOWLEDGE AND SUPPORT TECHNICAL ASSISTANCE AT A GLANCE

1. Basic Data — **Project Number:** 52014-001

Project Name	Strengthening Integrated Flood Risk Management	**Department/Division**	SDCC/SDSC-WAT
Nature of Activity	Capacity Development	**Executing Agency**	Asian Development Bank
Modality	Regular		
Country	BAN, IND, INO, MYA, NEP, PAK, PHI, VIE		

2. Sector — **Subsector(s)** — **ADB Financing ($ million)**

	Total	**0.00**

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)	Disaster risk management Global and regional transboundary environmental concerns Natural resources conservation Urban environmental improvement		

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 Institutional development	Some gender elements (SGE)	✓
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas Knowledge sharing activities		
Partnerships (PAR)	Bilateral institutions (not client government) Foundations Official cofinancing		

5. Poverty and SDG Targeting — **Location Impact**

Geographic Targeting	No	Not Applicable	
Household Targeting	No		
SDG Targeting	Yes		
SDG Goals	SDG6, SDG11, SDG13, SDG15		

6. Risk Categorization Low

7. Safeguard Categorization Safeguard Policy Statement does not apply

8. Financing

Modality and Sources	Amount ($ million)
ADB	**0.00**
None	0.00
Cofinancing	**3.00**
Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility (Full ADB Administration)	3.00
Counterpart	**0.00**
None	0.00
Total	**3.00**

I. INTRODUCTION

1. The knowledge and support technical assistance (TA) will strengthen the design and implementation of integrated flood risk management (IFRM) solutions and enhance knowledge and application of IFRM strategies in Asian Development Bank (ADB) developing member countries (DMCs).[1] The TA will provide targeted support for program and project preparation, and promote more holistic, basin-scale IFRM solutions that incorporate nonstructural and nature-based solutions (NBSs).[2] These will deliver greater sustainability and long-term effectiveness, including adaptive capacity to climate change, urbanization, and human interventions, thereby increasing resilience.

2. The TA is included as a firm 2018 project in the Water Sector Group (WSG) 2018–2019 work plan approved by ADB Management.[3]

II. ISSUES

3. **Increasing flood risks.** Asia and the Pacific faces increasing risks from water-related disasters such as floods, droughts, rainstorms, and landslides. Frequent and severe floods are already causing significant loss of life and property.[4] In 2017 alone, Asia and the Pacific experienced 5,125 flood and storm-related deaths, and reported $35 billion in losses from disasters, of which 96% are flood and storm-related.[5] About 13% of the world's urban population live in large cities in low-elevation coastal zones, rendering them highly exposed to floods; Asia has an even higher concentration.[6] Many Asian coastal cities are also confronted with land subsidence from uncontrolled water abstraction for water supply, storm surges, and probable climate-change-induced sea-level rise.

4. Without improved institutional coordination, proper responses, and suitable investments, economic losses from floods in key areas such as agriculture, energy, transport, health, water, and tourism are expected to increase significantly, making poverty reduction and sustainable development more difficult to achieve.

5. **Traditional responses.** Flood mitigation civil works have been the primary focus of flood risk management, with an emphasis on evacuating floodwater as quickly as possible or storing it temporarily by protecting developed areas through structural measures such as dams or levees. However, complete flood mitigation is not always technically feasible, desirable, or economically justified, and localized structural solutions without a wider basin approach can also exacerbate flooding in other parts of the basin. Piecemeal flood risk reduction approaches can also create impact inequalities, contribute to ecological degradation, and may be less adaptable to new circumstances induced by land-use and climate changes.

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[1] IFRM—a specific focus within integrated water resources management—is a process that promotes the coordinated development and management of water resources to maximize economic and social welfare equitably without compromising the sustainability of vital ecosystems.

[2] NBSs means using nature in tackling environmental and societal challenges.

[3] The TA first appeared in the business opportunities section of ADB's website on 1 June 2018.

[4] 2017. Natural Disasters: The Year in Figures. *Munich RE*. 27 March. https://www.munichre.com/topics-online/en/2017/topics-geo/overview-natural-catastrophe-2016.

[5] EM-DAT. The International Disaster Database. https://www.emdat.be (accessed 18 July 2018).

[6] United Nations Human Settlements Programme. 2011. *Global Report on Human Settlements 2011: Cities and Climate Change*. London: Earthscan.

6. **New approaches**. A more comprehensive and integrated approach, taking a basin or catchment perspective that includes NBSs is gaining conceptual acceptance among flood risk and water management professionals.[7] This IFRM approach incorporates social, economic, financial, environmental, and institutional aspects, as well as engineering, disaster preparedness, insurance, and emergency response requirements. IFRM rests on the principle that land use planning and water management should combine structural and nonstructural measures to manage water and achieve flood mitigation together with other benefits. This approach (i) reduces flood hazards by managing water using a basin-wide approach and integrating NBSs where appropriate; (ii) mixes strategies to limit exposure to floods, combining infrastructure with nonstructural and nature-based or climate-resilient and -adaptive solutions; (iii) regulates land use to integrate land and water management into a single plan; (iv) raises awareness among stakeholders to ensure a participatory approach; (v) includes flood preparedness measures; and (vi) reduces residual risk through response and recovery plans and ex ante IFRM financing instruments. This integrated approach may also consider the flood, wastewater, and solid-waste management nexus.

7. While recognizing the need to adopt such approaches in rural and urban areas, some DMCs still need technical support for introducing integrated approaches and international best practices in their flood risk management and climate change adaptation strategies. IFRM is also an area where innovation is needed to meet increasing investment demand from DMCs.

8. **Lessons learned**. Multiple regional and national capacity development TA projects have laid the groundwork for IFRM implementation in several countries.[8] ADB support has included (i) broad capacity and institutional development activities in Afghanistan, Bhutan, and Nepal; (ii) interventions related to disaster risk management in Armenia, Bangladesh, Fiji, and the Philippines; and (iii) sponge city approaches in the People's Republic of China.[9] Overall findings suggest that continuous efforts are needed to promote and integrate innovative flood risk management approaches into ADB operations to effectively reduce flood risks in its DMCs.

9. The TA is aligned with ADB's Strategy 2030, particularly for the operational priorities that involve (i) tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability; (ii) making cities more livable; and (iii) promoting rural development and food security.[10] It supports the implementation of ADB's Water Operational Plan, 2011–2020, which identifies flood resilience as a key priority; Urban Operational Plan, 2012–2020; Operational Plan for Integrated Disaster Risk Management, 2014–2020; and Climate Change Operational Framework, 2017–2030.[11] The TA will contribute to the Sustainable Development Goals (SDGs)

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[7] World Wildlife Fund. 2017. *Natural and Nature-Based Flood Management: A Green Guide*. Washington, DC; World Meteorological Organization. 2009. *Integrated Flood Management Concept Paper.* Geneva; A. Jha, R. Bloch, and J. Lamond. 2012. *Cities and Flooding: A Guide to Integrated Urban Flood Risk Management for the 21st Century*. Washington, DC: World Bank.

[8] ADB. 2005. *Report and Recommendation of the President to the Board of Directors: Proposed Loan and Technical Assistance Grants to the People's Republic of Bangladesh for the Emergency Flood Damage Rehabilitation Project*. Manila (Appendix 12); ADB. 2009. *Technical Assistance for Supporting Investments in Water-Related Disaster Management*. Manila; ADB. 2015. *Technical Assistance for Applying Space-Based Technology and Information and Communication Technology to Strengthen Disaster Resilience*. Manila; and ADB. 2016. *Technical Assistance for Strengthening Integrated Water Resources Management in Mountainous River Basins*. Manila.

[9] A sponge city approach refers to mainstreaming urban water management into the urban planning policies and designs to implement, maintain and adapt the infrastructure systems to collect, store and treat (excess) rainwater.

[10] ADB. 2018. *Strategy 2030: Achieving a Prosperous, Inclusive, and Sustainable Asia and the Pacific*. Manila.

[11] ADB. 2011. *Water Operational Plan, 2011–2020.* Manila*;* ADB. 2013. *Urban Operational Plan, 2012–2020.* Manila; ADB. 2014. *Operational Plan for Integrated Disaster Risk Management, 2014–2020.* Manila; and ADB. 2017. *Climate Change Operational Framework, 2017–2030: Enhanced Actions for Low Greenhouse Gas Emissions and Climate-Resilient Development*. Manila.

by (i) promoting integrated water resources management and restoration of ecosystems (SDG 6), (ii) reducing the number of deaths and people affected by disasters (SDG 11), (iii) strengthening resilience and adaptive capacity to climate-related hazards and natural disasters (SDG 13), and (iv) halting and reversing land degradation (SDG 15).[12]

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

10. The TA is aligned with the following impact: flood risks and impacts in selected DMCs reduced.[13] The TA will have the following outcome: use of innovative IFRM solutions increased.[14] The TA will support IFRM awareness raising and capacity development activities in selected DMCs, which will contribute to the integration of IFRM approaches into flood risk management and investment strategies, including actual project designs.

B. Outputs, Methods, and Activities

11. **Output 1: Knowledge to implement integrated flood risk management projects enhanced**. Output 1 will strengthen IFRM knowledge in DMCs to build the resilience of people and assets through reduced flood risk and impacts. It will cover different types of flooding (e.g., fluvial, coastal, tidal, pluvial, groundwater, dam breach, and glacial lake outburst flooding) and their possible linkages. Technical notes and guides will consolidate key elements of IFRM approaches and project design, such as (i) country- or basin-wide approaches, including transboundary waters and information-sharing aspects; (ii) the integration of gray (engineering), green (nature-based ecosystem services), and nonstructural interventions to build resilient infrastructure; (iii) basin-wide flood risk mapping and assessment;[15] (iv) land use planning (primarily urban); (v) flooding, wastewater, and solid-waste linkages; (vi) forecasting and early warning, including hydrometeorological and hydrometric networks; (vii) mapping and data management, including the collection of relevant and quality data; (viii) consequences of climate, land use, and population change; (ix) community awareness and engagement; (x) economic and loss of life metrics; (xi) IFRM project financing and the financial management of residual flood risk (insurance and other IFRM financing solutions); (xii) flood risk management strategies under limited resources; (xiii) analysis of the benefits of and barriers to implementing IFRM; and (xiv) the selection of flood return periods and other technical considerations for project design using existing tools, methodologies, and studies. The technical notes will cover international best practice and practices that are leveled appropriately for sustainable implementation within each DMC, including ADB projects.

12. Training workshops (possibly combined with study tours) and policy dialogues will be held with ADB and DMC government staff to disseminate IFRM knowledge and information.[16]

13. **Output 2: Evaluations of developing member country flood risk management and investment strategies conducted**. Output 2 will be carried out in parallel with output 1 and in collaboration with ADB operations departments and DMCs. It will consist of IFRM-based benchmarking evaluation exercises of the selected DMCs (or a portion of a DMC) to analyze their

[12] United Nations. 2015. *Transforming Our World: The 2030 Agenda for Sustainable Development*. New York.
[13] ADB. 2011. *Water Operational Plan, 2011–2020*. Manila.
[14] The design and monitoring framework is in Appendix 1.
[15] As an example of a local initiative, in 2011, the National Remote Sensing Centre in India, in coordination with other related agencies, prepared a flood hazard atlas for Assam state using a geospatial approach.
[16] Selected key publications will be printed for easier use by the DMC participants during the training workshops.

vulnerability and exposure to the full range of floods and possible climate change impacts, in line with their currently adopted flood risk management practice. The evaluations will seek to assess the effectiveness and sustainability of current structural and nonstructural interventions. Output 2 will (i) conduct an analysis to fill existing gaps; (ii) engage and train national and local stakeholders during the analyses, modeling, and assessments as part of the broader program of work identified to strengthen IFRM; and (iii) assess options to establish accessible and reliable data platforms that support the use of the required data by all relevant stakeholders. These could cover data, methodologies, and mapping requirements for risk levels, emergency planning, community preparedness, institutional arrangements and relevant policies, and engagement with development partners. Climate risk and vulnerability assessments will be conducted as necessary.

14. The geographic scope of the evaluations in the eligible DMCs[17] will be selected based on the ADB operations departments' initial assessment of flood vulnerability and potential flood losses, the relevance of pipeline projects, government interest, and the priorities of the Urban Climate Change Resilience Trust Fund (UCCRTF).[18] Potential opportunities for ADB engagement in IFRM in each DMC will be identified. In collaboration with ADB operations departments and DMCs, the TA will carry out (i) an IFRM analysis for selected basins and areas in the participating DMCs, including flood hazard mapping, if feasible; and (ii) economic analyses of structural and nonstructural interventions to develop an IFRM-based program of interventions and policy reforms for the selected basins and areas.[19]

15. **Output 3: Integrated flood risk management concepts integrated into ADB investments**. Output 3 covers technical support to integrate innovative IFRM approaches into the design of at least three integrated flood management investment projects to be selected from the assessment conducted in output 2. The projects will be identified with ADB operations departments, based on demand from the DMCs. Output 3 deliverables are expected to complement ongoing or planned transaction TA projects from the operations departments that will help prepare and integrate the IFRM interventions.[20] IFRM solutions will cover structural and nonstructural measures, with emphasis on resilience and NBSs.

C. Cost and Financing

16. The TA is estimated to cost $3.0 million, which will be financed on a grant basis by the UCCRTF under the Urban Financing Partnership Facility and administered by ADB.[21] The key expenditure items are listed in Appendix 2.

D. Implementation Arrangements

17. ADB will be the executing agency for the TA. The WSG Secretariat of the Sustainable Development and Climate Change Department will lead TA administration in coordination with ADB operations departments, including team membership in the selected countries. ADB will obtain written no-objection from the relevant DMC before conducting or financing any TA activities

[17] These are Bangladesh, India, Indonesia, Myanmar, Nepal, Pakistan, the Philippines, and Viet Nam.
[18] Study areas will be decided with the DMC and may cover catchment, city, or country. Preference will be given to areas associated with the 25 UCCRTF priority cities. ADB proposes to use the Spatial Data Analysis Explorer, a web-based geospatial data repository, in support of the TA outputs. The repository was developed under ADB TA (ADB. 2015. *Technical Assistance for Promoting Urban Climate Change Resilience in Selected Asian Cities*. Manila).
[19] An appropriately leveled IFRM analysis must take into consideration data availability and resolution, as well as a DMC's ability to mainstream the IFRM methodology into government policies and strategies.
[20] The TA will make sure that traditional local methods of flood risk adaptation are considered to promote their acceptability and ownership by affected communities.
[21] Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom.

in that DMC's territory. As a multisector initiative, the WSG Secretariat will work closely with the Sustainable Development and Climate Change Department's Agriculture, Rural Development, and Food Security Unit; Climate Change and Disaster Risk Management Division; Environment and Safeguards Division; Finance Sector Group; and Urban Sector Group. Implementation arrangements are summarized below.

Implementation Arrangements

Aspects	**Arrangements**		
Indicative implementation period	October 2018–March 2021		
Executing agency	ADB		
Implementing agency	Water Sector Group Secretariat of the Sustainable Development and Climate Change Department		
Consultants	To be selected and engaged by ADB		
	Firm: QCBS (90:10)	Performance-based terms of reference with full technical proposal	$2,500,000
	Individual: ICS (3 contracts)	International (9 person-months) National (22 person-months)	$325,000
Procurement	To be procured by consultants		
	Shopping	3 contracts	$20,000
Advance contracting	QCBS contract		
Disbursement	The TA resources will be disbursed following ADB's *Technical Assistance Disbursement Handbook* (2010, as amended from time to time).		
Asset turnover or disposal upon TA completion	Goods and equipment purchased for specific DMC projects will be turned over to the respective project counterparts at the end of the TA.		

ADB = Asian Development Bank, DMC = developing member country, ICS = individual consultant selection, QCBS = quality- and cost-based selection, TA = technical assistance.
Source: ADB estimates.

18. **Consulting services.** ADB will engage a firm and individual consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated project administration instructions and/or staff instructions.[22]

19. **ADB's procurement.** Procurement will follow the ADB Procurement Policy (2017, as amended from time to time) and Procurement Regulations for ADB Borrowers (2017, as amended from time to time).

20. **Cofinancier requirements.** Project implementation, supervision, and monitoring will be conducted following ADB's standard policies, procedures, and guidelines, including consulting services and procurement, financial management and reporting, monitoring and evaluation of the program, and anticorruption and governance.

IV. THE PRESIDENT'S DECISION

21. The President, acting under the authority delegated by the Board, has approved the Asian Development Bank administering technical assistance not exceeding the equivalent of $3,000,000 to be financed on a grant basis by the Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility for Strengthening Integrated Flood Risk Management, and hereby reports this action to the Board.

[22] Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3). The terms of reference for the firm will be performance based.

DESIGN AND MONITORING FRAMEWORK

Impact the TA is Aligned with Flood risks and impacts in selected DMCs reduced[a]			
Results Chain	**Performance Indicators with Targets and Baselines**	**Data Sources and Reporting Mechanisms**	**Risks**
Outcome Use of innovative IFRM solutions increased	By 2021: a. At least five supported DMCs considered IFRM approaches for national government strategies (2017 baseline: 0) b. At least three integrated flood management investments in selected ADB DMCs incorporating IFRM approach developed under the TA (2017 baseline: 0)	a–b. ADB programming and project documents, including CPSs, COBPs, PCPs, and RRPs	Selected DMCs have limited acceptance of the IFRM approach and low prioritization of flood risk management investments.
Outputs 1. Knowledge to implement IFRM projects enhanced	By 2021: 1a. At least five technical notes covering aspects of IFRM best practices and approaches completed and published (2017 baseline: 0) 1b. 400 participants attended learning activities (workshops, training workshops, or roundtables), at least 30% of whom are women (2017 baseline: 0) 1c. 50% of participants indicated willingness to adopt innovative IFRM in their respective agencies (2017 baseline: 0)	1a. Technical notes on IFRM and SDCC internal website, with limited hard copies distributed to ADB DMCs and key partners 1b. TA progress reports and workshop proceedings 1c. Post-training evaluation	Qualified experts are not available for or interested in taking on the consulting assignments.
2. Evaluations of DMC flood risk management and investment strategies conducted	2a. Flood and climate risk assessment and vulnerability benchmarking reviewed in eight DMCs (2017 baseline: 0) 2b. A program of potential IFRM interventions and policy reforms developed for eight DMCs (2017 baseline: 0)	2a. Flood risk and vulnerability report 2b. TA progress reports and mission back-to-office reports	
3. IFRM concepts integrated into ADB investments	3. Project preparatory work for three selected projects provided during the early stage of the project design process (2017 baseline: 0)	3. TA progress reports or ADB operations departments' transaction TA reports	

Key Activities with Milestones

1. Knowledge to implement IFRM projects enhanced

1.1 Draft ADB technical notes and references covering different aspects of IFRM (Q4 2018–Q2 2019)
1.2 Develop a compendium of existing IFRM resource materials for ADB staff and DMC counterparts (Q4 2018 – Q2 2019)
1.3 Select and invite DMC participants for workshops and roundtables on IFRM (Q1–Q2 2019)

2. Evaluations of DMC flood risk management and investment strategies conducted

2.1 Conduct benchmarking exercises to analyze the vulnerability and exposure to floods and current flood risk management strategies and relevant government policies (Q4 2018–Q1 2019)
2.2 Identify potential opportunities for ADB engagement in IFRM in each selected DMC (Q1 2019)

3 IFRM concepts integrated into ADB investments

3.1 In cooperation with ADB staff, identify and assess potential investment projects where the DMCs are willing to adopt IFRM approaches (Q2 2019)
3.2 Conduct the necessary studies in cooperation with DMC counterpart and relevant ADB staff (Q3 2019–Q3 2020)
3.3 Integrate the findings in the respective transaction TA reports or project concept papers (Q3 2019–Q3 2020)
3.4 Disseminate the findings and results (Q3 2020)

Technical Assistance Management Activities

Mobilize international consultants (Q4 2018)
Engage individual experts to support project officers (Q4 2019)
Review and finalize the midterm progress report (Q3 2019)
Review and finalize the TA final report (Q4 2020)

Inputs

Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility: $3,000,000

Assumptions for Partner Financing

Not Applicable

ADB = Asian Development Bank, COBP = country operations business plan, CPS = country partnership strategy, DMC = developing member country, IFRM = integrated flood risk management, PCP = project concept paper, Q = quarter, RRP = report and recommendation of the President, SDCC = Sustainable Development and Climate Change Department, TA = technical assistance.

[a] Aligned with ADB. 2011. *Water Operational Plan, 2011–2020*. Manila.

Source: Asian Development Bank.

COST ESTIMATES AND FINANCING PLAN
($'000)

Item	Amount
Urban Climate Change Resilience Trust Fund[a] under the Urban Financing Partnership Facility	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	1,936.6
ii. National consultants	393.6
b. Out-of-pocket expenditures	
i. International and local travel	87.0
ii. Goods (rental and/or purchase)[b]	20.0
iii. Surveys	170.0
iv. Training, seminars, and conferences	30.0
v. Reports and communications	5.0
vi. Printed external publications	5.0
vii. Miscellaneous administration and support costs[c]	5.0
2. Surveys[d]	5.0
3. Training, seminars, workshops, forum, and conferences	
a. Facilitators	25.0
b. Travel cost of ADB staff acting as a resource person	20.0
c. Venue rental and related facilities	30.0
d. Participants	8.0
e. Representation	2.0
4. Contingencies	257.8
Total	**3,000.0**

ADB = Asian Development Bank, DMC = developing member country, TA = technical assistance.

[a] Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom. Administered by ADB.

[b] These include computers, printers, photocopiers, and training materials. At the end of the TA, all goods and equipment procured for specific projects in the DMCs will be turned over to the respective project counterparts.

[c] Miscellaneous administration and support costs include general operating costs and office supplies for the provincial project management offices.

[d] Administered directly by ADB.

Source: ADB estimates.

LIST OF LINKED DOCUMENTS

http://www.adb.org/Documents/LinkedDocs/?id=52014-001-TAReport

1. Terms of Reference for Consultants