



ASEAN AUSTRALIA SMART CITIES TRUST FUND

2020 ANNUAL PROGRESS REPORT



ASEAN
AUSTRALIA
SMART CITIES
TRUST FUND
Asian Development Bank



Australian Government
Department of Foreign Affairs and Trade





Photo credit: Asian Development Bank

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ABBREVIATIONS

| | |
|----------|---|
| AASCTF | ASEAN-Australia Smart Cities Trust Fund |
| ADB | Asian Development Bank |
| APR | Annual Progress Report |
| ASCN | ASEAN Smart Cities Network |
| ASEAN | Association of Southeast Asian Nations |
| ASUS | ASEAN Sustainable Urbanization Strategy |
| COVID-19 | Coronavirus disease |
| CRM | City Resource Mobilization |
| DFAT | Department of Foreign Affairs and Trade, Australia |
| DMF | Design and Monitoring Framework |
| FEWS | Flood early warning system |
| GESI | Gender Equality and Social Inclusion |
| LSIP | Livable Settlements Investment Project |
| M&E | Monitoring and evaluation |
| OTJ | On-the-Job |
| SERD | Southeast Asia Regional Department |
| SEUW | Southeast Asia Urban Development and Water Division |
| SURF | Southeast Asia Urban Services Facility |

OVERVIEW

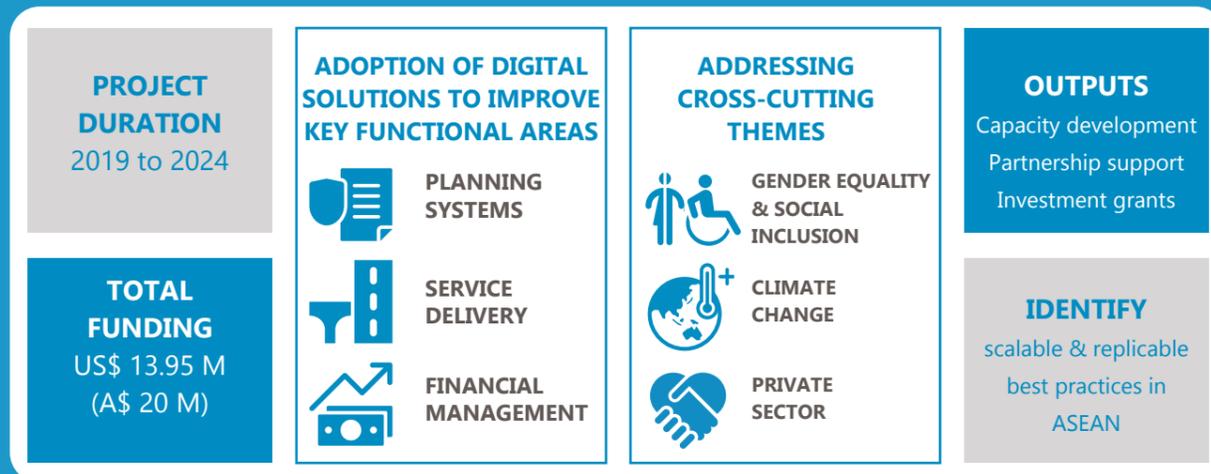


Figure 1: Overview of AASCTF



Figure 2: AASCTF participating cities

On 1 April 2019, the Asian Development Bank (ADB) approved the establishment of the ASEAN Australia Smart Cities Trust Fund (AASCTF or the Fund) under the Urban Financing Partnership Facility. On 2 April 2019, the Government of Australia, through its Department of Foreign Affairs and Trade (DFAT), committed to contribute A\$20 million (about US\$13.94) towards the Fund. The Fund is currently scheduled to close on or before 30 June 2024. This Annual Progress Report (APR) covers activities for the 2020 calendar year.

The Fund’s envisioned impact aligns with ADB’s Strategy 2030, with its operational focus on building livable cities that are green, competitive, inclusive and resilient, and ASEAN’s Sustainable Urbanization Strategy (ASUS) which aims to promote high quality of life, competitive economies, and sustainable environments.^{1,2} The expected outcome of the Fund will be that through the adaptation and adoption of digital solutions, across three core functional areas (planning systems, service delivery and financial management), systems and governance in participating ASEAN cities are improved, in particular by way of:

- Strengthening city **planning systems** and processes by enhancing the collection, storage, analysis and utilization of data on geospatial platforms.
- Promoting the use of integrated and smart network management systems to strengthen operational systems and to improve quality and efficiency of **service delivery**.
- Introducing integrated **financial management** information systems to improve institutional credit worthiness and fiscal standing.

Across all the Fund’s work lies three important cross-cutting themes that are addressed and embedded within every activity – gender equality and social inclusion, climate change and private sector. Through the adoption of digital solutions to improve the three core functional areas, and by addressing the cross-cutting issues throughout, the AASCTF will deliver capacity development, partnerships support, and investment grants, with the intent that scalable and replicable best and next practices across ASEAN are identified (see Figure 1).

Subsequent sections of this APR are structured in accordance with the Fund’s three workstreams:

- **Foundational Activities** refer to activities which are either preparatory or provide overarching/cross-cutting strategic direction to the Fund’s activities.
- **Implementing Activities** refer specifically to technical assistance and investment grant targeted city interventions undertaken in the pilot cities.
- **Influencing Activities** refer to widely targeted communication/knowledge sharing activities, regional twinning/networking activities and targeted capacity development activities.

¹ Asian Development Bank. 2018. *Strategy 2030, Achieving a Prosperous, Inclusive, Resilient and Sustainable Asia and the Pacific*.

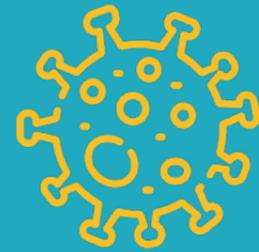
² ASEAN Secretariat. 2018. *ASEAN Sustainable Urbanization Strategy*. Jakarta.

SNAPSHOT OF AASCTF 2020 ACHIEVEMENTS

FOUNDATIONAL ACTIVITIES



6
CONCEPT NOTES
delivered



COVID-19 DISCUSSION NOTE
endorsed



'DIGITAL SOLUTIONS MATRIX' & 'CO-CREATION COMMUNITY'
established



3
TASK ORDERS
endorsed

ENHANCED 'GENDER EQUALITY & SOCIAL INCLUSION STRATEGY'
endorsed



ENHANCED 'MONITORING AND EVALUATION STRATEGY'
endorsed

INFLUENCING ACTIVITIES



5
DIGITAL SOLUTIONS BRIEFS
published



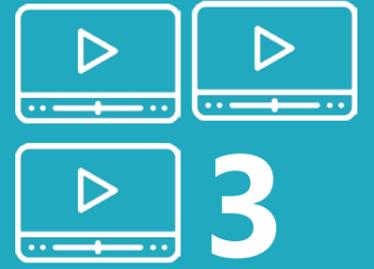
SOCIAL MEDIA CHANNELS
established & maintained



1ST
QUARTERLY NEWSLETTER
issued



5
WEBINARS
successfully organized



3
SMART CITIES COVID-19 RESPONSE VIDEOS
produced



BAGUIO TASK ORDER: "ON-THE-JOB" TRAINING PLAN
draft submitted

IMPLEMENTING ACTIVITIES



KAYSONE TASK ORDER: CONCEPT WORKSHOP REPORT
draft submitted



BAGUIO TASK ORDER: BASELINE ASSESSMENT REPORT
draft submitted



MAKASSAR TASK ORDER: URBAN SITUATION ASSESSMENT REPORT
draft submitted



Photo credit: Shutterstock.com



Photo credit: Baguio City Local Government

IMPACT STORY

Supporting Baguio City's resilient and smart city ambitions

Background

The city of Baguio in the northern part of the Philippines is home to 345,366 people and is popularly known as the country's "summer capital" due to its unique topography and cooler climate. Aside from being a major tourist destination, the city also serves as the prime education center of Northern Luzon, a center for health and wellness services, trade and industry, and a seat of national government agency offices catering to the local community and neighboring provinces in the region.

Despite being high up in the mountains, the city has not been spared from hazards such as flash floods and rain-induced landslides. In 2018, strong rains brought by Typhoon 'Manghut' caused raging floods in low-lying areas and landslides, killing 5 people, and causing significant damage to properties and road closures. Among the ongoing challenges cited by the city as contributing factors to flooding within the city are: drains blocked by the accumulation of garbage, the limited capacity

of the city's drainage system, siltation, and the narrowing of waterways due to the encroachment of settlements along easement areas. Climate change is only expected to exacerbate rain-induced landslides and flooding events due to the frequency and intensity of rainfall in the city.

Specific Interventions Supported

The 'Baguio City Smart Flood Warning, Information and Mitigation System' project will establish a flood early warning information system using satellite data, hydrological and hydraulic modelling, and real-time data captured in strategic locations in all four rivers in the city.

"The Smart Flood Early Warning, Information and Mitigation System Project is indeed very timely, as we are updating the city's Comprehensive Land Use Plan so that we can mainstream disaster risk reduction and climate change adaptation in the plan, and eventually improve the resilience of the local communities from any disaster, including the current COVID-19 pandemic."

***- Benjamin Magalong
Baguio City Mayor***

"Aligned with the development direction of the city, the AASCTF 'Baguio City Smart Flood Warning, Information and Mitigation System' project will help improve the city's flood early warning systems, responses, and mitigation measures," shares Baguio City Planning and Development Officer, Ms. Antonette Anaban.

The project will also develop a data dissemination plan that will design various outreach dissemination products and platforms such as a website, dashboard, mobile and web applications, and SMS alert systems, establish roles and responsibilities among key stakeholders, and prepare information and training materials to improve community awareness and disaster preparedness.

Also included is the preparation of a flood mitigation action plan that integrates nature-based solutions to prevent and minimize the extent of flood damages and losses. The system is being developed together with the Baguio City Local Government Unit, and other key city stakeholders in order to improve community disaster preparedness, raise awareness, and ensure ownership.

Results and Impact

The project has been received as a welcome addition to the roster of smart city initiatives that the city is currently implementing.

"The project will soon be connected to our smart city system for early disaster warning and monitoring purposes," adds Ms. Anaban. "We are thankful for the support that DFAT and ADB is providing to our city."

In December 2020, the AASCTF team conducted a virtual Baseline Assessment Workshop to seek feedback and insights from city stakeholders as key inputs to the early stage development of the project. During the highly interactive workshop, stakeholders affirmed flooding and landslides as the main hazards in the city, and insufficiencies in budget, data, and knowledge as the top challenges shaping Baguio's response to climate hazards.

The project builds upon Baguio City's acknowledgement of the relevance of innovation and technology in efficiently carrying out critical government services. Baguio City Mayor Benjamin Magalong has expressed his enthusiasm for the project:

"The Smart Flood Early Warning, Information and Mitigation System Project is indeed very timely, as we are updating the city's Comprehensive Land Use Plan so that we can mainstream disaster risk reduction and climate change adaptation in the plan, and eventually improve the resilience of the local communities from any disaster, including the current COVID-19 pandemic," Mayor Magalong said.

YEAR IN REVIEW



AASCTF team city mission to Baguio, March 2020

Photo credit: AASCTF

Foundational Activities

CITY SELECTION

Under the AASCTF programme, identification and selection of participating ASEAN cities has proceeded till now in accordance with the individual city's alignment with those considerations as set out in Figure 3.

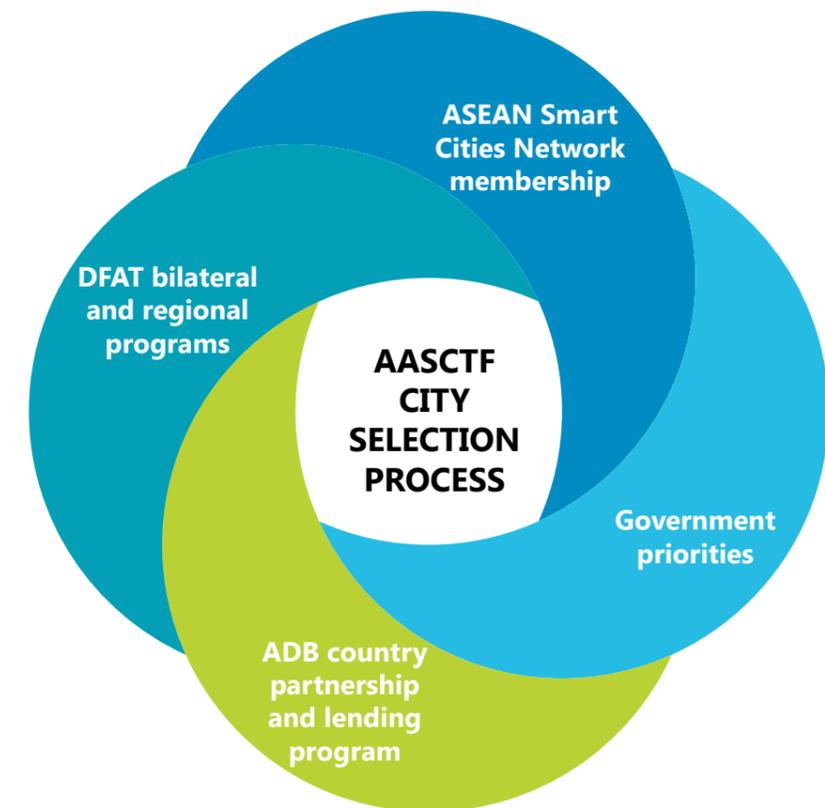


Figure 3: AASCTF city selection process

In total 26 cities are currently participating in the AASCTF programme (see Figure 2). Following bilateral dialogues between ADB and DFAT, Vientiane (Lao PDR) was brought in as a participating AASCTF city in August 2020.

AASCTF is working with different types of approaches and methodologies towards defining, designing, and implementing its city-focused activities. The approaches and methodologies applied in a certain city varies, mainly according to:

- Level of intervention – bronze, silver and gold, with a deepening engagement at the gold tier;
- Entry points, in terms of sector or themes as prioritized by local government counterparts; and
- Timeline of ongoing and planned ADB lending activities.

An overview of the current designation of participating AASCTF cities is shown in Table 1, with some further specifications on the three different levels of engagement provided in Figure 4.



Figure 4: Levels of city intervention

Since the establishment of the Fund, 6 first batch pilot cities – *Makassar (Indonesia), Baguio (Philippines), Battambang (Cambodia), Kaysone Phomvihane (Lao PDR), Yangon (Myanmar) and Hue (Viet Nam)* – and 2 second batch pilot cities – *Penang (Malaysia) and Chonburi (Thailand)* – have been selected for pilot intervention.

Table 1. City designation by level of intervention

| COUNTRY | CITY | BRONZE | SILVER | GOLD |
|-------------|-------------------------|--------|--------|------|
| Cambodia | Battambang | X | X | |
| | Bavet | X | | |
| | Kampot | X | | |
| | Poipet | X | | |
| | Phnon Phen | X | | |
| Indonesia | Banjarmasin | X | | |
| | Cirebon | X | | |
| | Makassar | X | X | X |
| | Palembang | X | | |
| Lao PDR | Sorong | X | | |
| | Kaysone | X | X | X |
| | Luang Prabang | X | | |
| | Pakse | X | | |
| Malaysia | Vientiane | X | | |
| | Penang | X | X | |
| Myanmar | Yangon | X | X | X |
| Philippines | Baguio | X | X | X |
| | Coron | X | | |
| | El Nido | X | | |
| | Metro Manila | X | | |
| Thailand | Chonburi | X | X | |
| Vietnam | Gia Nghia | X | | |
| | Ho Chi Minh | X | | |
| | Hue | X | X | |
| | Phan Rang Phan Thiet | X X | | |

³ Following discussions and deliberations with DFAT's Thailand Post the decision was taken in third quarter of 2020 that Chonburi would replace Khon Kaen as a participating and 2nd batch pilot city.

CONCEPT NOTE/TASK ORDER DEVELOPMENT

On the basis of consultations by the AASCTF team with city government and key administrative staff over the reporting period, entry points for support have been identified in each of the first batch pilot cities, as well as in Penang. Within the reporting period, task orders were finalized, and implementation activities commenced in Makassar, Baguio and Kaysone. The Yangon Task Order was also significantly progressed within the reporting period, with full local buy-in attained by end-year. Refined concepts for proposed city intervention pilot projects in Battambang, Hue and Penang have also been delivered, and are currently awaiting local buy-in/endorsement.

The AASCTF team pursues concept note/task order development in line with the seven-step approach outlined in Figure 5.

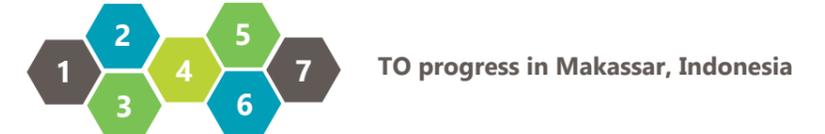


Figure 5: Task order development approach

Task Orders Completed



Makassar Task Order: *INO Strategic Urban Framework for Makassar City*, was endorsed by Project Procurement Division in ADB on 27 July 2020. The DFAT posts in Jakarta and Makassar were consulted during task order development. The process of developing the concept note and task order was highly consultative, including the undertaking of a city mission by the AASCTF team in January 2020.



Baguio Task Order: *PHI Baguio City Smart Flood Warning, Information and Mitigation System*, was endorsed by Project Procurement Division in ADB on 12 August 2020. The DFAT Post in Manila was consulted on the task order. The process of developing the concept note and task order was highly consultative, including the undertaking of a city mission by the AASCTF team in February 2020, followed by a virtual consultation meeting with the mayor and other key stakeholders of Baguio in May 2020.





Kaysone Task Order: *LAO Enhanced Employment Service Platform and Matching Tool and E-Learning Modules (Phase 1)*, was endorsed by Project Procurement Division in ADB on 09 October 2020. The DFAT post in Vientiane was actively engaged in the preparation of the task order. During the concept note and task order development phases, extensive stakeholder consultations were conducted with both private and public sector entities.



Task Orders Under Development



In **Yangon, Myanmar** the intervention concept was initially well progressed in Q2 of 2020 though progress slowed in Q3 as a result of various issues related to COVID-19. In Q4 of 2020 consultations resumed with a meeting held on 09 November 2020, with the Yangon Water Resources and Water Supply Authority, to discuss and agree on the proposed concept note. Official government endorsement/buy-in was attained in December 2020. The task order for Yangon, with a focus on 'Smart Water Management and Resilience' was well progressed by the end of 2020. The DFAT post in Yangon was engaged during task order development.



In **Penang, Malaysia** discussions between the city and the AASCTF team began in October 2020, with 3 exploratory meetings conducted in Q4 of 2020. At the first virtual exploratory meeting held on 23 October 2020, options including smart creative place making, digital community mapping and smart mobility solutions were discussed. Penang City reverted in early November 2020 with a proposed AASCTF intervention having a focus on traffic simulations in the historic Georgetown district for the purpose of road-capacity planning. In response to Penang's request, a concept note for 'Penang Smart Mobility Micro-Simulation Model Development' was drafted and refined in close dialogue and deliberation with Digital Penang and Penang City Council. The DFAT post in Penang is being consulted in the intervention concept development phase.



In **Hue, Viet Nam** the intervention concept options were well progressed in the second half of 2020, following initial identification of potential entry points in Q2 of 2020. On the basis of initial city consultations, an expanded concept note was produced by the AASCTF team in September 2020 setting out a number of options across diverse sectors from urban planning and mobility to health and e-government. A second city consultation on the expanded concept note was held 02 December 2020. The AASCTF team delivered a final consolidated concept note on 23 December 2020, elaborating the preferred/proposed intervention on 'Smart Digital City Model for Master Planning'. Consultations with the DFAT post in Hanoi are running in parallel to the city consultations and the concept development process.





In **Battambang, Cambodia** a highly consultative process has ensued over the duration of the reporting period, which included an initial city mission by the AASCTF team in February 2020, a virtual workshop with the Battambang Provincial Government on 05 June 2020 and numerous dialogues with the designated city champion on a more iterative and continuous manner. By the closing of the current reporting period an assignment letter had been sent to the Provincial Governor for Battambang Province to seek official endorsement and selection from among four proposed intervention options, each with a particular focus on smart financial management. An official government response/endorsement of the assignment letter is expected early 2021, after which time a refined concept note and full task order will be developed. The DFAT post in Phnom Penh has been consulted throughout the concept development phase.



In **Chonburi, Thailand** a meeting was held with DFAT, Austrade and ADB resident mission on 11 September 2020 to discuss possible entry points for AASCTF work in Chonburi. Following this meeting, Austrade introduced AASCTF to the Eastern Economic Corridor agency. In addition, the department of ASEAN Affairs, Ministry of Foreign Affairs of Thailand introduced the AASCTF team to the Digital Economy Promotion Agency under the Ministry of Digital Economy and Society. Based on these introductions, further discussions are scheduled for early 2021 to finalize a task order benefiting Chonburi in Q2 of 2021.



Photo credit: Asian Development Bank

OVERARCHING/CROSS-CUTTING THEMES

During the reporting period guiding strategy documents were developed/enhanced for each of the three cross-cutting themes: (i) gender equality and social inclusion (GESI); (ii) private sector participation; and (iii) climate change.

COVID-19 was, furthermore, an emergent cross-cutting and high priority issue of 2020, which has been addressed within the reporting period through the development and refinement of a Discussion Note and the operational pivoting of the AASCTF team.

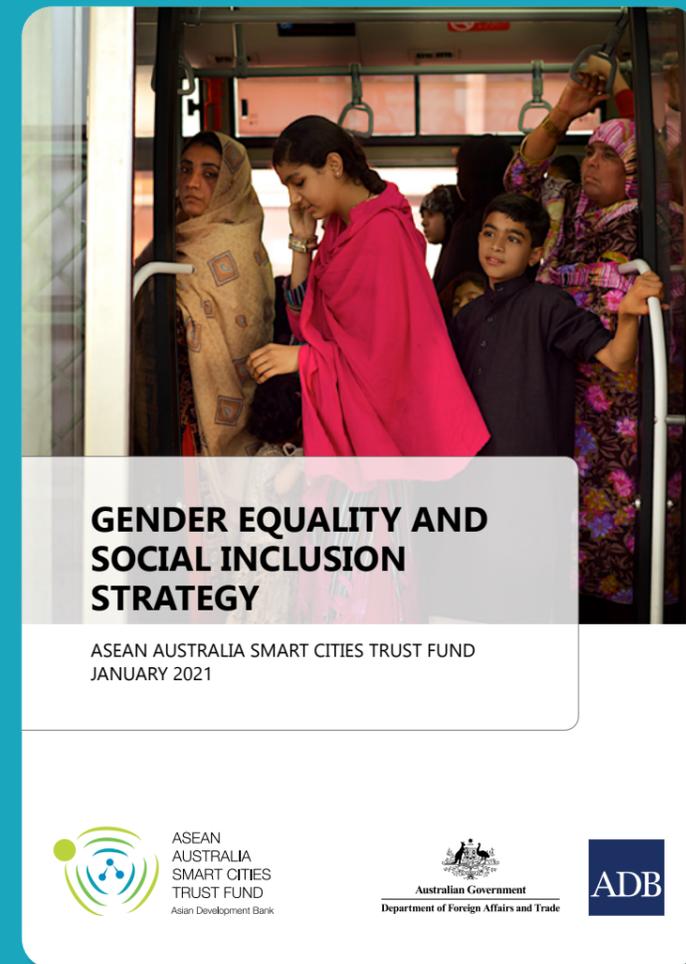
All AASCTF overarching strategies are considered living documents and will as such continue to be expanded, developed and updated throughout the Fund’s implementation period.

Gender Equality and Social Inclusion

The elaborated and enhanced [AASCTF Gender Equality and Social Inclusion \(GESI\) Strategy](#) was approved in December 2020, following the appointment of a GESI Specialist to the AASCTF team in August 2020 and, thereafter, extensive bilateral consultations and workshopping between DFAT and the AASCTF team in Q3/Q4 of 2020. The GESI Strategy builds on core principles to foster gender equality and social inclusion throughout the project cycle supported by AASCTF, applying a twin track approach in which GESI is mainstreamed in all project activities via GESI Action Plans, along with the identification of specific, targeted activities at a strategic and city intervention level within the AASCTF action areas.

Targeted GESI activities have been initiated, including submission in December 2020 of a draft task order for ‘Gender Transformative Approach for Strengthened Development, Application and Replication of the Baguio City Flood Early Warning System’. Concept development for a regional level AASCTF intervention in the area of ‘Smart Cities- Inclusive Cities: Facilitating Dialogue on Inclusive Urban Governance’ progressed in Q4 of 2020, following extensive consultation with The Asia Foundation as a key implementing partner on such initiative.

In addition to GESI targeted activities, GESI mainstreaming through development and implementation of GESI Action Plans as part of upcoming and ongoing task orders is being conducted. This includes for the Makassar and Kayson Task Orders, where the AASCTF GESI Specialist has been involved in the design and delivery of key outputs, consistent with the approved GESI Strategy.



AASCTF GESI PRINCIPLES

-  **Valuing Diversity**
-  **Prioritizing Accessibility**
-  **Generating and Sharing Evidence and Learning**
-  **With Us, Not for Us**
-  **Capacity Building**
-  **Disaggregating Data**

Figure 6: AASCTF GESI Strategy

Table 2: AASCTF’s Approach to GESI Mainstreaming

| Activities | GESI Mainstreaming |
|---------------------|--|
| Foundational | <ul style="list-style-type: none"> • GESI-focused initiatives and priorities are identified in Annual / Semi-Annual Progress Reports and Work Plans. GESI issues / entry points are considered and inform the direction / purpose of city intervention planning/design. • Ensure gender-balanced representation in intervention (task order) teams as part of planning/design. |
| Influencing | <ul style="list-style-type: none"> • Communication, awareness materials, and media on GESI that are developed are cognizant of digital illiteracy and disability. • All knowledge sharing events will aim for a balance of male and female experts and include/invite representatives from GESI focus groups. |
| Implementing | <ul style="list-style-type: none"> • All meetings/workshops/Focus Group Discussions will aim to be held in universally accessible premises, with timing for events and meetings to be gender-sensitive, recognizing that outside normal business hours may not be suitable for GESI focus groups and depending on the context, consulting to ensure the optimal time to maximize participation is chosen. • Task order teams to prepare GESI Action Plan for task orders where GESI is a core theme to include actions/targets to address GESI adequately through the intervention. • Involve women and marginalized groups in the design/delivery/evaluation of Implementing activities as much as possible. |

Private Sector

AASCTF views private sector engagement as an important aspect for each intervention to not only deliver best and next practice, but to also enable cities to sustain the implemented solutions in the long-term. Implementation of this cross-cutting theme is achieved at multiple levels across the Fund’s activities:

- **Strategic:** A private sector engagement strategy note will be developed in Q1 of 2021 for activities supported by AASCTF.
- **Operational:** The private sector is considered as a key stakeholder from the initial stages of consultation with selected cities, and a range of engagements will be explored.
- **Institutional:** The AASCTF team is in close dialogue and collaboration with ADB’s Office for Public-Private Partnership as well as ADB’s Private Sector Operations Department.

At the strategic level, a Discussion Note for ‘Increased Private Sector Participation’ was developed in April 2020. In Q4 of 2020 several developments have taken place in the area of private sector engagement on the project, including the development of the AASCTF Digital Solutions Matrix and it’s evolution into the establishment of the AASCTF Smart City Co-Creation Community site (see Figure 7).⁴ These various developments, which are catching momentum, have sparked a need to relook at the existing Discussion Note and update accordingly in early 2021. Looking ahead AASCTF will seek to expand different types of engagement with the private sector including knowledge sharing, collaboration, co-creation, resource sharing, and co-investment.

Operationally, at the city-intervention level, several entry points have been identified in the selected cities, which are being pursued during concept note and task order preparation. In Kaysone, key informant interviews and consultations with the Savan-Seno Special Economic Zone Authority were conducted in Q2 of 2020, and subsequently supported the phased scoping of the pilot intervention whereby a prerequisite of moving to Phase 2 would be a firm commitment from, and engagement with the private sector. In Hue some of the private sector companies that participated as speakers in Part 4 of the AASCTF webinar series have continued dialogue with the AASCTF team in relation to the ongoing Hue concept note/task order development. This underlines how the AASCTF webinar series is another great entry point for the private sector.

On the more institutional side, over the reporting period AASCTF team has held continued discussions with colleagues from the recently created ADB Ventures Financing Partnership Facility, which will de-risk, finance, and scale impactful technology solutions.

⁴ <https://ideas-ramboll.wazoku.com/#/community/5a0d84e2efc04ca6a8e178ac74a897fd/home-page>

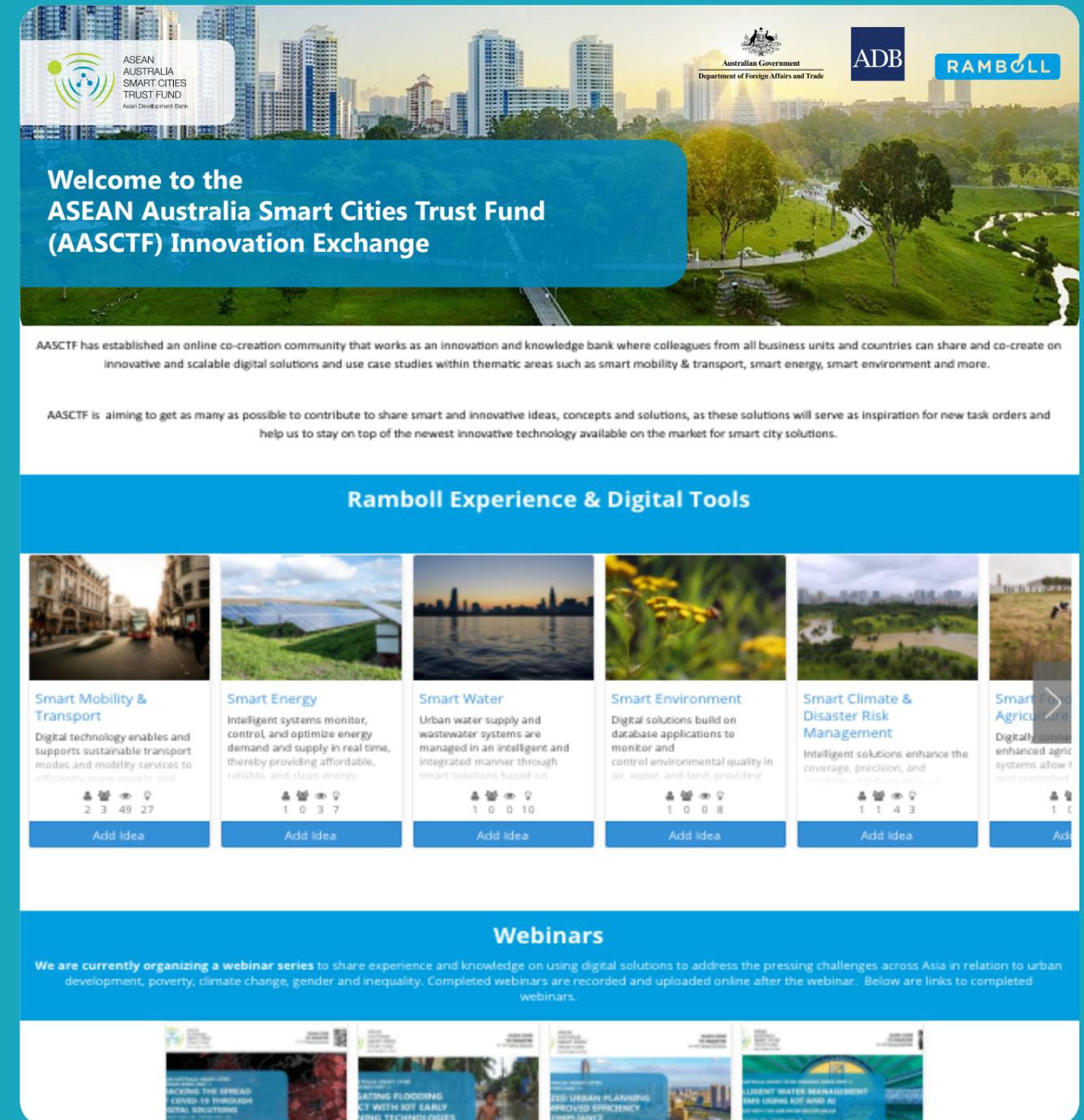


Figure 7: AASCTF Smart City Co-Creation Community site

Climate Change

Climate change mitigation and adaptation are high priorities for the cities involved in the AASCTF pilot activities. On a planning level, reducing emissions from greenhouse gasses through changes in the energy, transportation and housing sectors, are important focus areas for the AASCTF, as well as development of energy-efficient service delivery across all sectors. At the city intervention level, preparatory work in Baguio will focus specifically on climate change adaptation measures, through the development and implementation of a new flood early warning system (FEWS) and associated measures, including the development of a flood mitigation action plan. This FEWS is aimed at increasing the city's resilience towards weather-induced flood events such as flash floods and landslides. In Makassar, AASCTF is working to onboard the Commonwealth Scientific and Industrial Research Organisation (CSIRO) in order to properly assess and incorporate climate impact to the planning process.

Implementation of this cross-cutting theme will primarily be done at an operational/pilot project intervention level, with both climate change mitigation and adaptation entry points, as well as tools and approaches identified/developed for activities implemented through technical assistance and investment grants. Climate change will be a theme that will be communicated through various influencing activities, such as knowledge sharing and capacity building activities (e.g. videos, webinars, trainings, twinning/networking events, etc.).

COVID-19

COVID-19 was an emergent cross-cutting and high priority issue in 2020. From March 2020 throughout the end of the current reporting period the AASCTF team adapted its operations and approach to accommodate the unprecedented circumstances wrought by COVID-19. This included shifting to largely virtual and digital means of stakeholder engagement, city consultations and pilot project implementations.

A Discussion Note on '[Post-Pandemic Recovery and How it Alters AASCTF's Focus and Scalability](https://www.dfat.gov.au/sites/default/files/partnerships-for-recovery-australias-covid-19-development-response.pdf)' was developed and finalised in the reporting period. The Discussion Note builds on DFAT's 'Partnership for Recovery: Australia's COVID-19 Development Response' and ADB's sectoral guidance notes and coordinated COVID-19 response.^{5,6} The note further makes the case for AASCTF support to rather be focused and directed toward the targeted enhancement of city-wide resiliency through holistic, sustainable and truly smart interventions, achieving, among others, increased health security, stability and economic recovery.

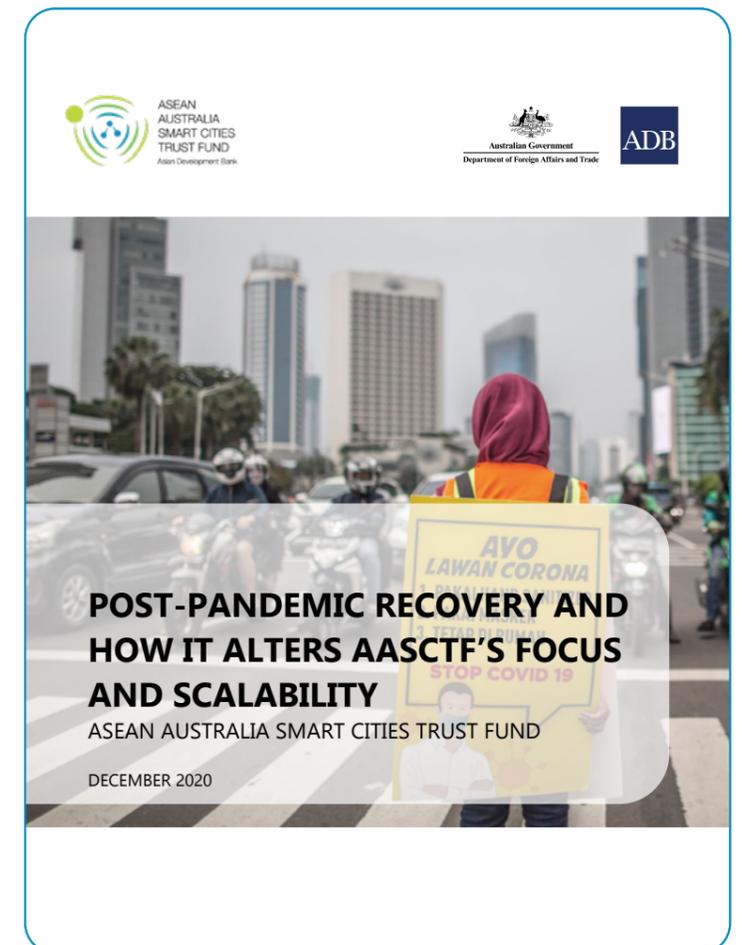
⁵ <https://www.dfat.gov.au/sites/default/files/partnerships-for-recovery-australias-covid-19-development-response.pdf>

⁶ <https://www.adb.org/what-we-do/covid19-coronavirus>

In a concerted effort to support ASEAN countries and participating AASCTF cities affected by COVID-19, the Discussion Note sets out how AASCTF is seeking to identify and support initiatives which will improve broader resilience and capacity of cities/citizens to respond to future shocks and stresses, like, but not limited to, COVID-19.

Additionally, a number of immediate/short-term initiatives were taken up and/or supported by AASCTF within the reporting period, including foundational activities, implementing activities (Makassar Ur-scape and Makassar digital stakeholder engagement tool), and influencing activities (videos, webinar, digital solutions brief and a social media opinion poll).

In terms of Foundational Activities, all concept notes have been developed considering entry points/links to COVID-19 adapted responses, both short- and long-term. As an example, in Penang, the intervention is currently proposed to include a pedestrian mobility simulation module that can act to support and guide crowd management efforts. Furthermore, in Kaysone, the current intervention is setting out the feasibility to develop a platform and/or e-learning modules to supporting distance learning and job preparedness.



Implementing Activities

TECHNICAL ASSISTANCE PROJECTS

Makassar, Indonesia

Following the AASCTF Task Team mobilization in August 2020, a soft kick-off was held virtually on 6 August 2020 with participation of key city administration officials. A formal kick-off meeting, with participation of the City Mayor among other key stakeholders was subsequently successfully executed on 23 September 2020. Due to the COVID-19 pandemic, special effort has been put into the work plan to ensure seamless and frequent correspondence between the international and national experts as well as the overall project execution. Also, the development of a digital stakeholder engagement tool within the project has been fast-tracked as this now plays an even stronger role in the project providing insights from stakeholder analysis.

The AASCTF Task Team is closely collaborating with the Livable Settlements Investment Project (LSIP) with a view to identify an investment package (approx. US\$ 30M) to form part of the full LSIP loan package, scheduled for approval in 2021. The AASCTF Task Team is also collaborating with Future Cities Laboratory on using Ur-scape and working to identify the level of integration of outputs in that regard. Furthermore, ADB is also now in the process of onboarding the CSIRO via a direct engagement (resource person) contract

to collaborate with the Task Team in providing direct inputs to the climate risk profiling of Makassar as required to deliver a truly future-proofed urban framework.

On 24 December 2020 the Task Team delivered the first of three deliverables, the draft Urban Situation Assessment. The project time schedule was revised in Q4 of 2020 to accommodate and ensure adequate buy-in of the 'Smart and Livable City Plan' by the incoming mayor, such that the final deliverable is now targeted for Q2 of 2021.

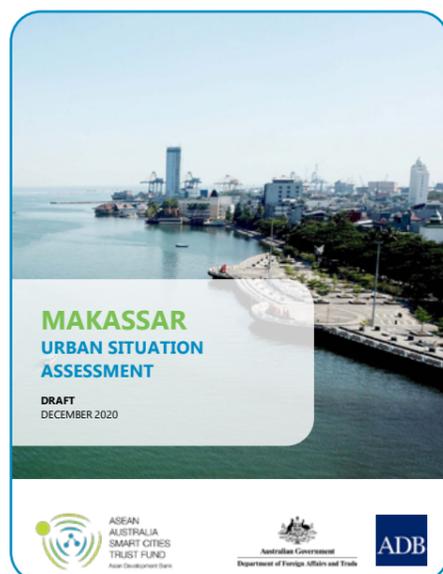


Photo credit: Asian Development Bank

Box 1: Indonesia: Designing post-COVID Cities

In September 2020, AASCTF engaged two (2) resource persons (Spatial Data Platform Lead and Spatial Data Platform Coordinator) from Future Cities Laboratory, Singapore, to analyse spatial data and design guidelines for robust post-COVID-19 cities in rapidly urbanizing Asia. The guidelines will include two steps: (i) data collection, and (ii) cross analysis of various sets of best available data.

Deliverables (slated for 2021) include:

- presentation of data and correlations
- report on design charette
- webinar
- illustrated booklet
- illustrated video

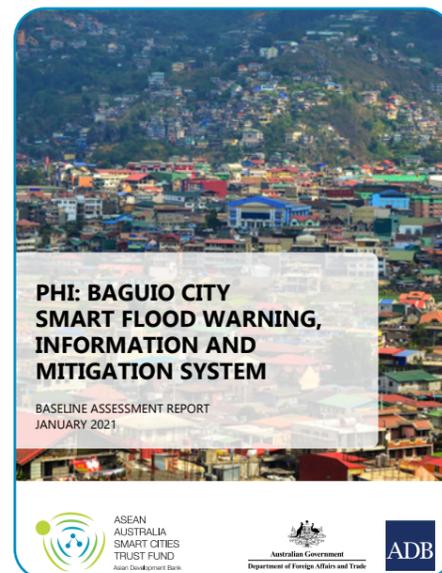


Baguio, Philippines

The AASCTF Task Team mobilized immediately following ADB endorsement mid-August 2020 and is currently working according to the overall project timeline to be achieved within December 2021. An official project kick-off meeting, in the presence of Baguio's Mayor, was successfully executed on 30 September 2020.

The AASCTF Task Team, at project outset, commenced close coordination with the other ongoing ADB projects/initiatives in Baguio, which has proven instrumental in the early data collection and baseline assessment phase of the project.

On 16 December 2020 the Consulting team facilitated a highly interactive Baseline Assessment Workshop, which was followed on the 21 December 2020 with the delivery of the draft Baseline Assessment Report.



Kaysone, Lao PDR

The AASCTF Task Team for Kaysone mobilized swiftly upon ADB endorsement/approval mid-October 2020. A kick-off meeting was combined with the planned first Concept Workshop which was conducted on 18 November 2020. Following that first workshop a draft Concept Workshop Report was delivered on 27 November 2020. The project workplan continued largely on schedule, despite challenges from COVID-19 and seasonal storms, with a second workshop on the developed e-learning/gamification samples conducted on 21 December 2020.



GRANT PROJECTS

As part of the ongoing task orders, the AASCTF team is actively working to identify potential grant projects through the pilot interventions themselves (e.g. in Makassar, such a potential grant project is targeted to be derived from the 'Smart and Livable City Plan' in Q2 of 2021).

DIRECT CHARGE PROJECTS

In Q3 of 2020 the development of a City Resource Mobilization (CRM) framework for Indonesian cities was kicked off. The CRM framework will be a standardized template for analysis and identification of strategies for domestic resource mobilization, both internally and externally, to meet a city's medium-term investment needs. For internal resource identification and mobilization, the analysis will focus on raising more revenues through elements of tax and tariff reform, improved tax administration, land value capture mechanisms, and fee pricing, among others. For external resource mobilization, the analysis will develop a credit profile for the city by including and expanding on credit rating agencies' financial assessment for cities.

It is expected that the application of the CRM framework and its resulting recommendations will help cities to develop (i) financial management and creditworthiness; and (ii) a strategy for resource mobilization and prudent borrowing to meet medium-term infrastructure needs.

Influencing Activities

COMMUNICATION & KNOWLEDGE SHARING

Social Media

Acknowledging the role of social media in facilitating awareness on social issues, a social media strategy was drafted and approved in July 2020 to guide the implementation of the programme’s outreach through various social media channels. This was followed by the creation of AASCTF’s Facebook, Twitter, LinkedIn, and YouTube accounts to improve the Fund’s online presence, generate awareness for the Fund’s various activities and share knowledge and updates from the various project/city interventions. The AASCTF team is continuing to expand and build the online following and engagement across these platforms.

Table 3: Overview of AASCTF social media platforms and basic statistics as of 31 December 2020.

| |  |  |  |  |
|-----------------------|---|---|--|---|
| | Facebook | Twitter | LinkedIn | YouTube |
| Handle | @AASCTF | @AASCTF | AASCTF | bit.ly/30zLuo0 |
| Launch of date | 3 Aug 2020 | 3 Aug 2020 | 3 Aug 2020 | 3 Aug 2020 |
| # of followers | 729 followers, 713 likes | 88 followers | 327 followers | 43 subscribers |
| # of posts | 117 posts | 117 tweets | 117 posts | 13 videos |

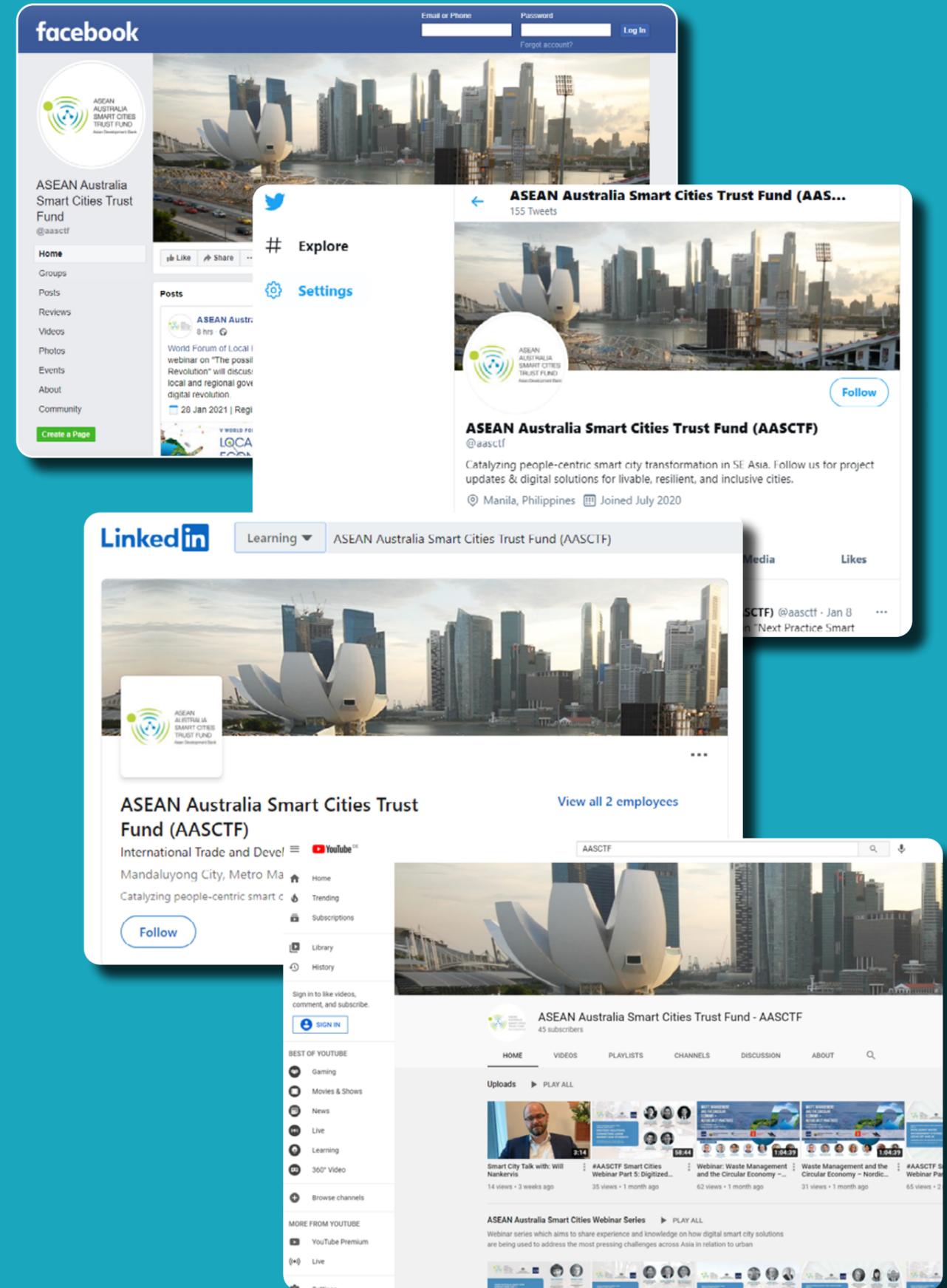


Figure 8: screenshots of AASCTF social media pages.

ASEAN Australia Smart Cities Webinar Series

During the reporting period, AASCTF initiated the [ASEAN Australia Smart Cities Webinar Series](#) to facilitate the sharing of smart, digital solutions that are helping cities around the world to improve their planning systems, service delivery, and financial management. The series currently consists of six (6) webinars spaced out over a 7-month period from August 2020 to February 2021, with each webinar focusing on a different digital solution directly derived from the AASCTF Digital Solution Matrix. Sessions also utilized interactive engagement tools such as audience polls, online Q&A, and digital evaluation forms with good results and overall positive feedback. The webinar recordings and speaker presentations were also uploaded on ADB's Knowledge Events repository and shared through AASCTF social media channels.

Table 4: Overview of completed webinar feedback and statistics.

| Webinar Title | No. of Participants | Location of Participants | Nat/ City Govt participation | Gender Balance of Speakers | Overall rating of webinar |
|---|---------------------|--------------------------|------------------------------|----------------------------|---|
| Tracking the Spread of COVID-19 through Digital Solutions | 210 | 20 countries | 31.6% | 50% | Extremely satisfied: 49% Very satisfied: 45% |
| Mitigating Flooding Impact with IOT Early Warning Technologies | 101 | 20 countries | 20.7% | 33% | Extremely satisfied: 38% Very satisfied: 62% |
| Digitized Urban Planning for Improved Efficiency and Compliance | 130 | 25 countries | 33% | 33% | Extremely satisfied: 43% Very satisfied: 43% |
| Intelligent Water Management Systems Using IOT and AI | 87 | 16 countries | 20% | 40% | Extremely satisfied: 53% Very satisfied: 47% |
| Digitized solutions connecting labor market and students | 49 | 29 countries | 11.1% | 60% | Extremely satisfied: 56% Very satisfied: 44% |



Figure 9: Promotional social media graphics for the ASEAN Australia Smart Cities Webinar Series

Digital Solutions Briefs

To elaborate on the specific digital solutions highlighted throughout the webinar series and to maximize the learnings from the webinars, individual two-page briefs relating to each specific webinar topic have been developed. Within the reporting period five (5) briefs in total have been developed, circulated to all participants of the respective webinars, uploaded on ADB's Knowledge Events repository and shared through AASCTF social media channels. Aside from key learnings from the webinar, the brief sets out the opportunities, benefits and prerequisites for implementing the digital solutions and presents two (2) use cases which showcase practical and/or city-wide application of such next practice technologies in the ASEAN region and beyond.



Figure 10: Front page snapshots of Digital Solutions Briefs #2 to #5 developed based on content and discussions from the ASEAN Australia Smart Cities Webinar Series.



DIGITAL SOLUTIONS: BIG DATA FOR COVID-19 TRACKING

TRACKING THE SPREAD OF COVID-19 THROUGH DIGITAL SOLUTIONS

OPPORTUNITY

The COVID-19 crisis presents a pressing opportunity to rethink public health, infrastructure provision, and social protection systems. With an eye toward the future, we must find ways to make our cities more resilient without compromising the interdependence that holds our society — including the urban poor — together.

The first phase of the COVID-19 pandemic has brought a lot of uncertainty on how the coronavirus is spreading. As a response, many countries were forced to impose various containment measures such as stay-at-home orders and border closures in an attempt to control the spread of the virus. Given our still-evolving understanding of the nature of the disease, the challenge is to track and contain the virus to avoid extended or repeated lockdown measures. Governments must be able to observe and predict when, where, and how diseases are spreading to be able to set up efficient safety measures towards disease outbreaks. By using digital tools and technologies, governments have efficiently applied big data analytics and artificial intelligence (AI) to analyze spread patterns in the urban landscape. New data sources serve as timely indicators, and citizens' input has proven to be an efficient new way of collecting data through apps and websites.

Technology companies such as Amazon and Google have developed shared data platforms and dashboards to assist governments and citizens in COVID-19 surveillance. Many governments have used digital platforms for data-driven surveillance operations to identify disease hotspots and strengthen decision-making on pandemic strategies for city- and public health stakeholders.

BENEFITS

- Supports rapid response for city and public health actors.
- Strengthens insights on the efficacy of applied safety measures and advice to the public.
- Enhances short-term policymaking on responses, e.g. social distancing to minimise transmission of COVID-19.
- Enhances long-term policymaking efforts for the post-COVID-19 era and interrelated economic recovery phase.

PRECONDITIONS

- Data sources are required, and data collected must be relevant to make valuable correlations for decision-making.
- Data sources must be reliable and must comply with rules of privacy, ethics and data protection.
- A shared data platform must be set up, both to undertake analytics and to visualize results.



bit.ly/2HLqRrn

KEY TAKEAWAYS ON BIG DATA
From the ASEAN Australia Smart Cities Webinar Series Part 1: Tracking the Spread of COVID-19 through Digital Solutions:

- Big data can be used to support the analysis of highly interconnected and complex policy problems.
- COVID-19 underlines the need for multisectoral urban planning through methods such as digital cross-analysis tools that integrate big data to enable swift, fact-driven and holistic decision-making among local government stakeholders.
- The use of big data during the COVID-19 pandemic shows excellent use cases on how smart digital technologies can support local governments in flattening the curve and achieving longer-term and more far-reaching urban resilience.

SCAN CODE FOR DIGITAL VERSION



bit.ly/30uOzXb

Figure 11: Front page snapshot of Digital Solutions Brief #1 developed on the topic of 'Big Data for COVID-19 Tracking'.

Digital Solutions Videos

During the reporting period, AASCTF has developed three (3) videos showcasing how participating local governments in three (3) pilot cities have adopted digital solutions to respond to pandemic-related challenges. These videos have been uploaded on the AASCTF's YouTube channel, and disseminated through Facebook, Twitter, and LinkedIn.

- The [first video](#) (released 06 August 2020) highlights the city of Makassar's use of Ur-scape, a GIS-based visualization and data tool developed by the Future Cities Laboratory, in tracking and managing the spread of COVID-19 in the community.
- The [second video](#) (released 13 August 2020) looks at how the city of Hue's water utility provider is using digital technology to ensure safe and reliable water supply and encourage its customers to shift to digital payments to reduce physical contact in payment centers.
- The [third video](#) (released 09 September 2020) focuses on how digital technologies are being used by the Philippines' tourism department and the local government of Baguio to aid in their efforts to restart tourism activities in the 'new normal'.

A fourth video was developed as part of the introduction to bronze cities on "how to get involved with AASCTF" (see more under Regional Twinning and Networking).

Quarterly Newsletter

AASCTF developed the ASEAN Smart Cities quarterly newsletter as an additional outreach to its target stakeholders. The newsletter serves as a digest of AASCTF activities and stories during the period, with the [first edition](#) being released as a year-end special on 18 December 2020. The newsletter was sent to a total of 1,852 recipients, consisting of DFAT headquarters and mission staff, ADB staff, city and national government officials, and various other individuals across diverse regions, sectors and industries who have become part of the AASCTF network by signing up to the Fund's [email distribution list](#).



Figure 12: Thumbnail images from the digital solution videos developed to highlight participating cities COVID-19 responses.

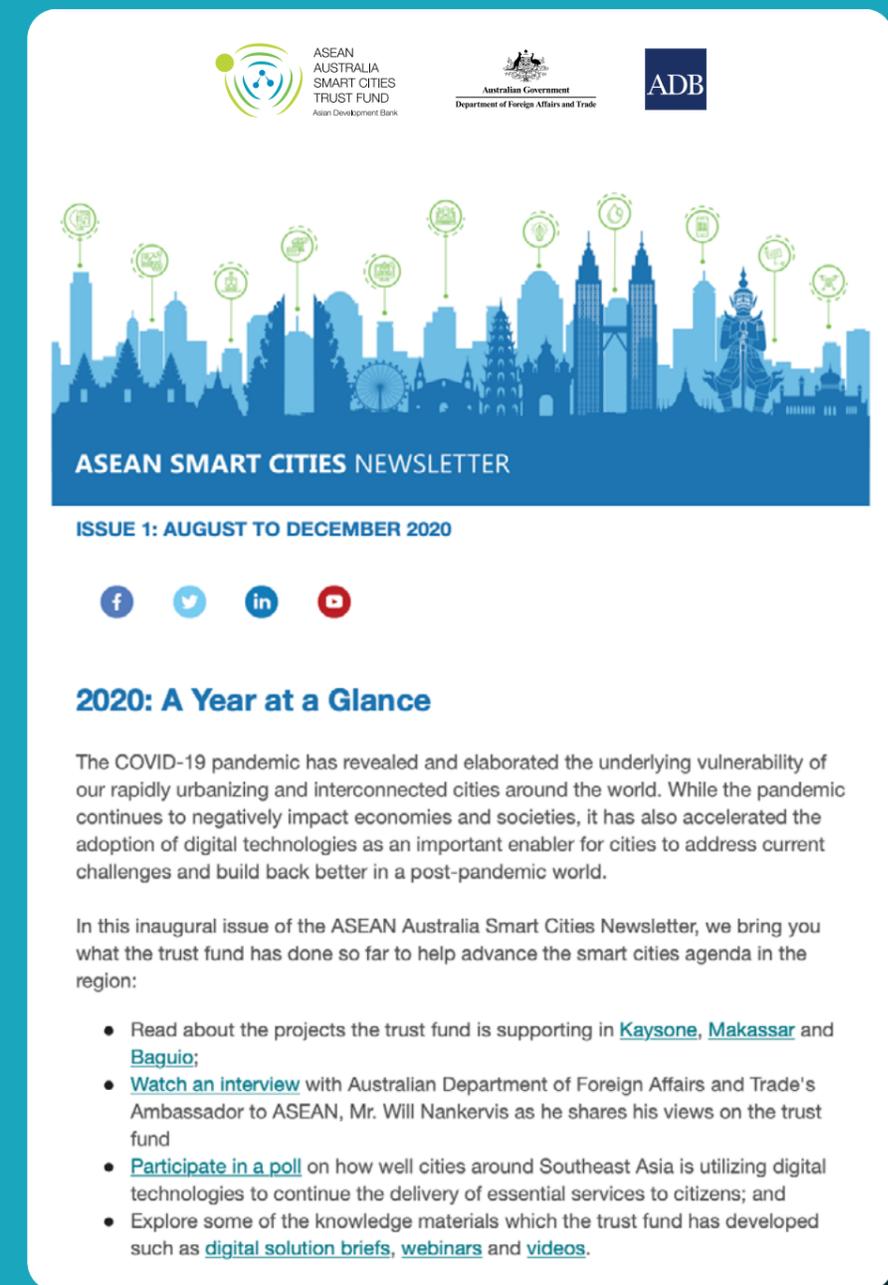


Figure 13: A screenshot of the first issue of the AASCTF Quarterly Newsletter

REGIONAL TWINNING & NETWORKING

During 2020, the AASCTF team held initial informal talks on the needs for twinning support with pilot city representatives. In the second half of 2020, consultations were held with the Smart Cities Council Australia New Zealand to develop ideas on how to operationalize the twinning approach, in particular, how to identify and engage relevant mentor cities.

Within the reporting period, the AASCTF team also developed an interactive introduction workshop format for city officials from Bronze cities, and potentially Gold and Silver cities, with the aim to not only introduce the Fund and potential support areas, but also to provide a crash course in the AASCTF Smart City concept and approach. Furthermore, the workshop will support in the assessment of the city officials use of digital tools in planning, service delivery and financial management, and their potential further need for support from AASCTF in these areas. In December 2020 an introductory video was developed for the purpose of supporting to facilitate this workshop across all Bronze cities. The workshop format is set to be piloted in Q1 of 2021.

Also developed in Q4 of 2020, the AASCTF Bronze City Baseline Survey, a web-based questionnaire, will be forwarded to city officials to fill in prior to the workshop. Responses to the questions will form part of a needs assessment for twinning, networking and capacity building activities, as well as part of the baseline survey for the Design and Monitoring Framework (DMF).

Before conducting the workshops, all workshop materials, including videos and questionnaires, will be translated into national languages of the countries where Bronze cities have been identified.

CAPACITY DEVELOPMENT

Capacity development activities in this reporting period focused on developing a city-based needs assessment (see also Regional Twinning and Networking) and on identifying training needs and gaps through initial situation and baseline analyses in the six (6) pilot cities.

Makassar, Kaysone and Baguio AASCTF Task Teams all held 1-2 workshops with local stakeholders over the reporting period. Baguio Task Order has a particular focus on On-The-Job (OTJ) Training, and in Q4 of 2020 the OTJ Plan was drafted and four (4) recipients of the OTJ training named by the Local Government Unit.

NETWORKING ACTIVITIES

- Workshops on specific topics
- Pilot and mentor city presentations
- Webinars
- Online training

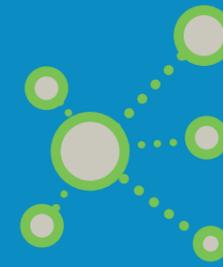


Figure 14: AASCTF networking targeted activities.

TWINNING ACTIVITIES

- Introduction course on project identification
- Contact to mentor cities
- Matchmaking discussions
- Signing MoU on twinning arrangement (specific and time-limited)
- On-line sparring on project implementation activities
- On-line training on planning, management and technical topics

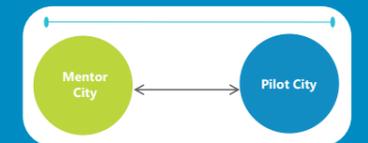


Figure 15: AASCTF twinning (one-on-one) targeted activities.

PROGRESS AGAINST DMF TARGETS

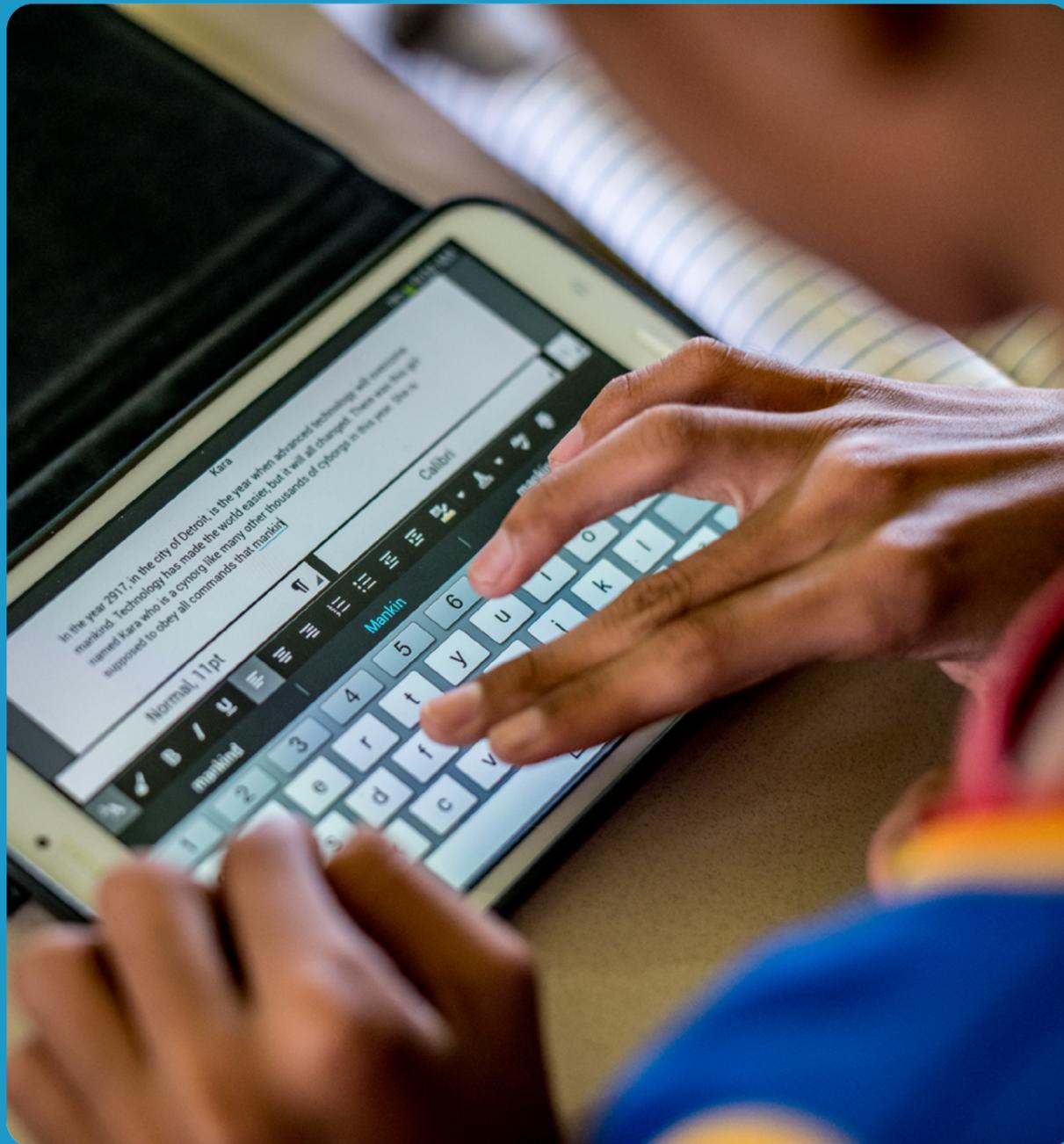


Photo credit: Asian Development Bank

Following bilateral consultations between DFAT and the AASCTF team throughout the second half of the reporting period, an enhanced [Monitoring and Evaluation \(M&E\) Strategy](#) was delivered and accepted at the end of 2020. The enhanced Strategy presents the M&E requirements that must be complied with across all the Fund's activities. Furthermore, it provides a short evaluability assessment, and, most importantly, it describes the AASCTF Design and Monitoring Framework (DMF), including a specific DMF for each functional area (i.e. planning systems, service delivery, and financial management) and for the programme as a whole.

Within Q1/Q2 of 2021 the following will be developed:

- Data Collection and Reporting Tools, e.g. monitoring tool (activities tracker);
- Baseline development in all participating cities;
- Dashboard and visuals development;
- Evaluation guidelines and tools, reporting templates, etc.

M&E requirements are also progressively being integrated into knowledge and capacity building activities (e.g. evaluation survey for webinars) and task orders.

Tables 5-7 presented here provide an overview of progress up-to-date against the DMF targets in each functional area. For a detailed definition on the indicators kindly refer to section 3 of the AASCTF M&E Strategy.⁷

⁷ <https://events.development.asia/materials/20210115/aasctf-monitoring-and-evaluation-me-strategy>

Table 5: Functional Area A – Planning Systems

| Results chain | Objective | | |
|---|--|-------|---|
| Outcome | By 2025, Planning systems in participating ASEAN cities have improved | | |
| Output | By 2024, Projects for improving planning systems in participating ASEAN cities have been implemented | | |
| Indicator | Target | Value | Evidence |
| Outcome # cities where emerging evidence shows that planning systems have improved | 4 | ● | |
| Implementing activities | | | |
| Outcome # cities where smart solutions designed, tested and/or implemented for urban planning show potential for being sustained and/or scaled up | 4 | ● | |
| Output # cities where smart solutions were designed, tested and/or implemented to enhance urban planning systems | 4 | ● | Makassar Baguio |
| Output # cities where smart solutions were designed, tested and/or implemented to enhance planning for climate resilience | 2 | ● | Baguio |
| Output # cities where smart solutions were designed, tested and/or implemented to enhance planning for gender equity and social inclusion | 2 | ● | Baguio |
| Outcome # smart solutions designed, tested and/or implemented for urban planning that show potential for being replicated in other cities | 4 | ● | |
| Output # smart solutions designed, tested and/or implemented to enhance urban planning systems | 8 | ● | Digital Citizen Engagement Tool (Makassar) 'Smart and Liveable City Plan' (Baguio) Flood Mitigation Action Plan (Baguio) |
| Output # smart solutions designed, tested and/or implemented to enhance planning for climate resilience | 4 | ● | Smart Flood Early Warning System (Baguio) Flood Mitigation Action Plan (Baguio) |
| Output # smart solutions designed, tested and/or implemented to enhance planning for gender equity and social inclusion | 4 | ● | Smart Flood Early Warning System (Baguio) |
| Influencing activities | | | |
| Outcome # cities where awareness, knowledge and/or capacity in urban planning has increased | 8 | ● | |
| Output # cities that took part in influencing activities for increased awareness, knowledge and/or capacity in urban planning | 8 | ● | |
| Outcome # participants in influencing activities who consider that their knowledge and/or capacity in urban planning has increased | 2,000 | 309 ● | Calculated for Webinars #1, #2 and #3 on the basis of the % of respondents who rate the 'Overall webinar quality' 9-10 out of 10 or "agree / fully agree" that their 'knowledge of the topic has improved' |
| Output # participants who took part in influencing activities for increased awareness, knowledge and capacity in urban planning | 3,000 | 441 ● | Webinar #1 Tracking the Spread of COVID-19 through Digital Solutions Webinar #2 Digitized Urban Planning for Improved Efficiency and Compliance Webinar #3 Mitigating Flooding Impact with IOT Early Warning Technologies |
| Output # participants who took part in influencing activities for increased awareness, knowledge and capacity in urban planning for gender equity and social inclusion | 500 | ● | |

● Achieved ● In Progress ● Not started

Table 6: Functional Area B – Service Delivery

| Results chain | Objective | | |
|--|--|-------|--|
| Outcome | By 2025, Service delivery in participating ASEAN cities have improved | | |
| Output | By 2024, Projects for improving service delivery in participating ASEAN cities have been implemented | | |
| Indicator | Target | Value | Evidence |
| Outcome # cities where emerging evidence shows that service delivery has improved | 4 | ● | |
| Implementing activities | | | |
| Outcome # cities where smart solutions designed, tested and/or implemented for service delivery show potential for being sustained and/or scaled up | 4 | ● | |
| Output # cities where smart solutions were designed, tested and/or implemented to enhance quality and efficiency of service delivery | 4 | ● | Kaysone |
| Output # cities where smart solutions were designed, tested and/or implemented to enhance services for women and vulnerable groups | 2 | ● | |
| Outcome # smart solutions designed, tested and/or implemented for service delivery that show potential for being replicated in other cities | 4 | ● | |
| Output # smart solutions designed, tested and/or implemented to enhance quality and efficiency of service delivery | 8 | ● | Job Matching Tool (Kaysone) E-learning modules using gamification (Kaysone) |
| Output # smart solutions designed, tested and/or implemented to enhance services for women and vulnerable groups | 4 | ● | |
| Influencing activities | | | |
| Outcome # cities where awareness, knowledge and/or capacity in service delivery has increased | 8 | ● | |
| Output # cities that took part in influencing activities for increased awareness, knowledge and/or capacity in service delivery | 8 | ● | |
| Outcome # participants in influencing activities who consider that their knowledge and/or capacity in service delivery has increased | 2,000 | 119 ● | Calculated for Webinars #4 and #5 on the basis of the % of respondents who rate the 'Overall webinar quality' 9-10 out of 10 or "agree / fully agree" that their 'knowledge of the topic has improved' |
| Output # participants who took part in influencing activities for increased awareness, knowledge and capacity in service delivery | 3,000 | 136 ● | Webinar #4 Intelligent Water Management Systems Using IOT and AI Webinar #5 Digitized Solutions Connecting Labor Market and Students |
| Output # participants who took part in influencing activities for increased awareness, knowledge and capacity to enhance services for women and vulnerable groups | 500 | ● | |

● Achieved ● In Progress ● Not started

Table 7: Functional Area C – Financial Management

| Results chain | Objective | | | |
|--------------------------------|---|--------|-------|----------|
| Outcome | By 2025, Financial management in participating ASEAN cities have improved | | | |
| Output | By 2024, Projects for improving financial management in participating ASEAN cities have been implemented | | | |
| Indicator | | Target | Value | Evidence |
| Outcome | # cities where emerging evidence shows that financial management has improved | 2 | ● | |
| Implementing activities | | | | |
| Outcome | # cities where smart solutions designed, tested and/or implemented for financial management show potential for being sustained and/or scaled up | 2 | ● | |
| Output | # cities where smart solutions were designed, tested and/or implemented to enhance quality and efficiency of financial management | 2 | ● | |
| Output | # cities where smart solutions were designed, tested and/or implemented to enhance financial inclusion for women and vulnerable groups | 1 | ● | |
| Outcome | # smart solutions designed, tested and/or implemented for financial management that show potential for being replicated in other cities | 2 | ● | |
| Output | # smart solutions designed, tested and/or implemented to enhance quality and efficiency of financial management | 4 | ● | |
| Output | # smart solutions designed, tested and/or implemented to enhance financial inclusion for women and vulnerable groups | 2 | ● | |
| Influencing activities | | | | |
| Outcome | # cities where awareness, knowledge and/or capacity in financial management has increased | 4 | ● | |
| Output | # cities that took part in influencing activities for increased awareness, knowledge and/or capacity in financial management | 4 | ● | |
| Outcome | # participants in influencing activities who consider that their knowledge and/or capacity in financial management has increased | 1,000 | ● | |
| Output | # participants who took part in influencing activities for increased awareness, knowledge and capacity in financial management | 1,500 | ● | |
| Output | # participants who took part in influencing activities for increased awareness, knowledge and capacity to enhance financial inclusion for women and vulnerable groups | 250 | ● | |

● Achieved ● In Progress ● Not started



Photo credit: Asian Development Bank

FINANCIALS



Photo credit: Asian Development Bank

Resource Allocation

TECHNICAL ASSISTANCE

In May 2019, a technical assistance grant of US\$10 million was approved to support the Southeast Asia Urban Services Facility (SURF) in the implementation of various AASCTF activities.

In November 2019, Ramboll Denmark A/S was engaged under a framework contract to implement the AASCTF activities, with a total contract value of approximately US\$9 million. Ramboll's Core Team leads all Foundational Activities and supports across all Influencing and Implementing Activities. Ramboll, furthermore, mobilises Task Teams to undertake and drive Implementing and Influencing Activities under dedicated task orders.

In September 2020, the technical assistance grant also funded approximately US\$0.05 million for the recruitment of two (2) resource person contracts for Indonesia's Geospatial platform to support COVID-19 analysis in Makassar.

INVESTMENT GRANTS

No investment grants were approved during the review period.

DIRECT CHARGES

One (1) direct charge of \$195,000 (\$0.185 million) was approved on 19 May 2020 to finance the development of a City Resource Mobilization (CRM) framework for Indonesian cities.

Fund Flow

CONTRIBUTIONS

The indicative total contribution from the Government of Australia, through DFAT, for AASCTF is US\$13.94 million (A\$20 million).⁸ The contribution is to be released in tranches, with its last tranche envisioned in Q4 of 2022. As of 31 December 2020, actual DFAT contribution received was US\$9.37 million (A\$13,184,717).

COMMITMENTS

More than 70% of the expected total contribution from DFAT has been committed to date, including the US\$10 million for utilisation by SURF; and \$270,000 (\$0.27 million) for two (2) direct charges.⁹

DISBURSEMENTS

Of the \$10.27 million committed, only about 6.3% (cumulative) have been disbursed as of 31 December 2020.

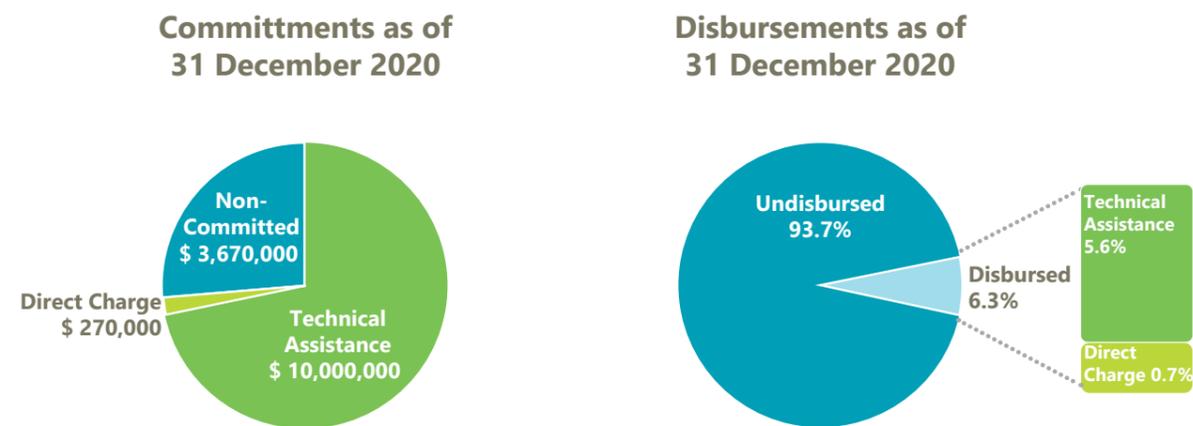


Figure 16: Commitments and Disbursements as of 31 December 2020.

⁸ A\$1 = \$0.697 (exchange rate as of 30 June 2019).

⁹ One direct charge of US\$75,000 to support the Asian Livable Cities Forum on Digital Solutions for Livable Cities; and another US\$195,000 direct charge to support Indonesia's CRM Framework.



Photo credit: Asian Development Bank

WORK PLAN FOR 2021



Photo credit: Asian Development Bank

The work plan for the entire fund period is shown in Table 8. Activities are organised in accordance with the Fund’s main workstreams, namely: Trust Fund start-up, Foundational Activities, Implementing Activities, and Influencing Activities.

Table 8: Work Plan over full Fund duration.

| MILESTONES | 2019 | | 2020 | | | | 2021 | | | | 2022 | | | | 2023 | | | | 2024 | | |
|--------------------------------|-----------------------------------|----|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|
| | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 |
| Trust Fund Start-up | | | | | | | | | | | | | | | | | | | | | |
| 1 | Establish Trust Fund | | | | | | | | | | | | | | | | | | | | |
| 2 | Engage and mobilize consultants | | | | | | | | | | | | | | | | | | | | |
| 3 | Prepare and approve frameworks | | | | | | | | | | | | | | | | | | | | |
| Foundational Activities | | | | | | | | | | | | | | | | | | | | | |
| 1 | City Selection | | | | | | | | | | | | | | | | | | | | |
| 2 | Concept/Task Order Development | | | | | | | | | | | | | | | | | | | | |
| 3 | Overarching/Cross-Cutting Themes | | | | | | | | | | | | | | | | | | | | |
| Implementing Activities | | | | | | | | | | | | | | | | | | | | | |
| 1 | Technical Assistance Projects | | | | | | | | | | | | | | | | | | | | |
| 2 | Investment Grant Projects | | | | | | | | | | | | | | | | | | | | |
| Influencing Activities | | | | | | | | | | | | | | | | | | | | | |
| 1 | Communication & Knowledge Sharing | | | | | | | | | | | | | | | | | | | | |
| 2 | Regional Twinning & Networking | | | | | | | | | | | | | | | | | | | | |
| 3 | Capacity Development | | | | | | | | | | | | | | | | | | | | |

Foundational Activities

CITY SELECTION

No city selection activities are currently foreseen for 2021. Should a lack of traction or other issue arise with any of the currently selected participating cities, the AASCTF team will work closely with DFAT to determine the appropriate course of action, including any potential change of city selection.

CONCEPT NOTE/TASK ORDER DEVELOPMENT

Despite the expected continued travel limitations due to COVID-19, which will likely persist throughout much (if not all) of 2021, coordination with the participating AASCTF local governments and key stakeholders will continue (largely unimpeded) through virtual meetings and correspondence. It is aimed to have all outstanding 1st and 2nd batch of city intervention task orders approved within Q1/Q2 of 2021.

Endorsement of the Yangon Task Order by Project Procurement Division in ADB is targeted for start-February 2021. For both Hue and Penang Task Orders development activities are on-track to be concluded within March 2021. In Battambang the AASCTF team is targeting to close out the stakeholder consultations and buy-in on the proposed intervention concept within start-February 2021, such that the further closing out of a full task order can be achieved within March 2021. In Chonburi, initial consultations and entry point identification will be pursued in an expedient manner by the AASCTF team in early 2021, with the aim to also here close out the concept note/task order development process, to the extent possible, within Q1/Q2 of 2021.

Following the successful conclusion in Q1 of 2021 of the currently ongoing (Phase 1) Kaysone Task Order, including the necessary confirmation of viability of the proposed pilot intervention project, a second (Phase 2) task order will be developed and subsequently implemented, following ADB Project Procurement Division endorsement, targeted for early Q2 of 2021.

A second (Phase 2) task order is likewise foreseen in Yangon and potentially also Battambang, where for each the initial task order is more of a planning/options analysis focused intervention to identify the right/optimal smart solution to pilot. It is foreseen that for each of these phased task orders, Phase 2 will be endorsed and implementation teams mobilised, within the second half of 2021.

OVERARCHING/CROSS-CUTTING THEMES

The AASCTF Gender Equality and Social Inclusion (GESI) Strategy will be finalised for publication in January 2021. The focus for 2021 will be on operationalising the twin track approach outlined therein, whereby GESI is mainstreamed in project activities via GESI Action Plans, along with the identification and implementation of specific, targeted GESI activities that seek to address an identified need or issue. For 2021, the AASCTF team is currently in discussions to finalise a complimentary scope of works for Baguio such as to integrate gender transformative approaches to the project's flood early warning system development. It also includes a regional training and awareness task order on the topic of building inclusive cities, targeted at city government officials and related city institutions across all AASCTF participating cities. On GESI mainstreaming in task orders where GESI is identified as a core theme, the focus for 2021 will be on working with Task Teams to develop and implement GESI Action Plans that clearly and simply articulate how activities and outputs can be designed and implemented to foster understanding and to meet the needs of GESI focus groups. Inclusion of GESI Specialist(s) time and expertise in CN/TOs is a primary way in which GESI mainstreaming will be practically achieved, including in design, implementation and M&E.

In Q1 of 2021, the private sector engagement strategy discussion note (April 2020) will be updated, in particular to further elaborate on the objectives and key approaches/targets with regard to private sector engagement under AASCTF activities. A strategy note is furthermore being developed for the AASCTF Smart City Co-Creation Community site setting out the objectives and success measures for the site, and new means for private sector engagement on this site will be explored in 2021 with a particular focus on including Australian expertise. As an example, the city of Bandung in Indonesia has reached out to ADB to seek support on their yearly datathon. Arrangements to host such datathons potentially through the AASCTF Smart City Co-Creation Community site is a target for AASCTF within 2021.

In Q1 of 2021, the final AASCTF COVID-19 Discussion Note will be transformed into a blog post with the aim to spur wider online discussion and debate and ultimately increase awareness and visibility of the AASCTF vision and ideas on the achievement of smart and resilient cities. The main target is to influence and move the general discussion from the specific COVID-19 situation to the broader and more holistic strategic approach towards creating resiliency against all shocks and stresses. Sub-targets are to participate in (potentially host) public discussions/conferences in Asia and around the world with the focus on smart resiliency planning, technological support systems and financial implications of moving towards enhanced urban resiliency.

Implementing Activities

TECHNICAL ASSISTANCE PROJECTS

Makassar, Indonesia

In Makassar, the AASCTF Task Team is forging ahead along the timeframe of the revised project schedule, with end-date April 2021. Within January 2021 the Task Team should deliver the final version of the first output, Urban Situation Assessment Report. The second output, Urban Development Scenario, is slated to be delivered within March 2021. As specified, the third and final output, Makassar Smart and Livable City Plan, is set to be delivered in April 2021.

A digital Citizen Engagement Tool has been developed and a workshop is planned for January 2021 with city administration officials to discuss the strengths and weaknesses of the proposed Citizen Engagement Tool, and to discuss possible twinning arrangements in the near future between the City of Makassar and a mentor city. The AASCTF Task Team is also collaborating with Future Cities Laboratory through data-sharing, integrating analysis of the correlation between access to services and the spread of COVID-19, and exploring ways to integrate Ur-scape⁸ planning support tool into the final deliverables to allow Makassar city administration officials to explore and benefit from a Smart and Livable City Plan for years to come.

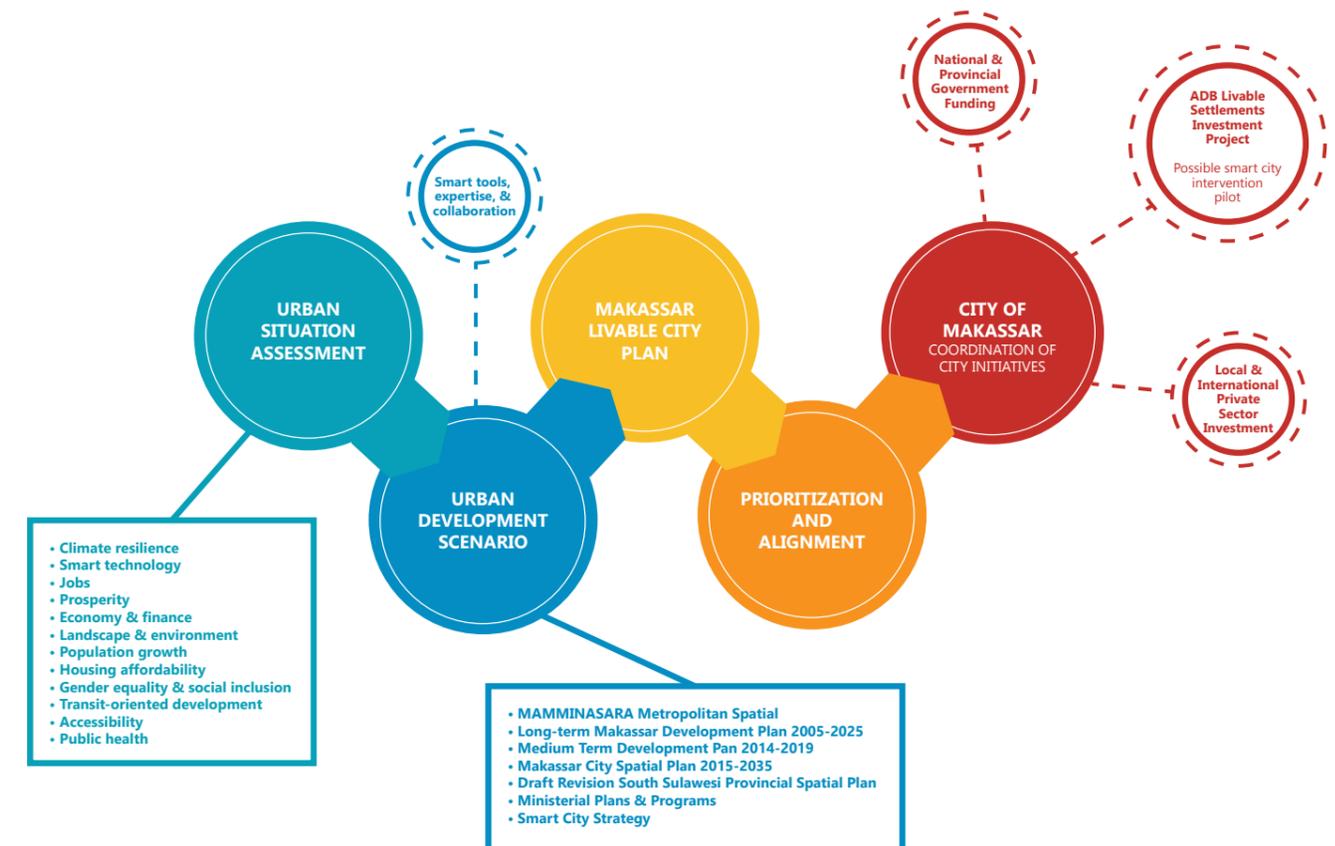


Figure 17: Schematic of Makassar City Task Order main deliverables/outputs.

⁸ <https://fcl.ethz.ch/research/research-to-application/urscape.html>

Baguio, Philippines

In Baguio, the AASCTF Task Team is currently working to deliver the project in accordance with the original timeline which sets out full project completion within December 2021. The first output on the project, Baseline Assessment Report, will be finalized in January 2021. Also in Q1 of 2021, the Task Team will carry out survey works of four major rivers in Baguio; the output of which will provide a much better data foundation and will support the overall implementation of the project. In April 2021, the Task Team is targeted to deliver the second output, Hydraulic Model and Hazard and Risk Mapping Assessment Report. Also expected in Q2 of 2021 is the delivery of the Flood Early Warning System Report. In Q3 of 2021 the Task Team is set to deliver the Data Dissemination and Outreach Plan, and in Q4 of 2021 the Flood Mitigation Action Plan followed by the Final Project Report.

A complimentary GESI-focused task order for Baguio, to ensure that the FEWS is gender transformative, is currently being discussed following the mayor of Baguio’s expressed interest in GESI following his participation in the 2nd AASCTF Webinar.

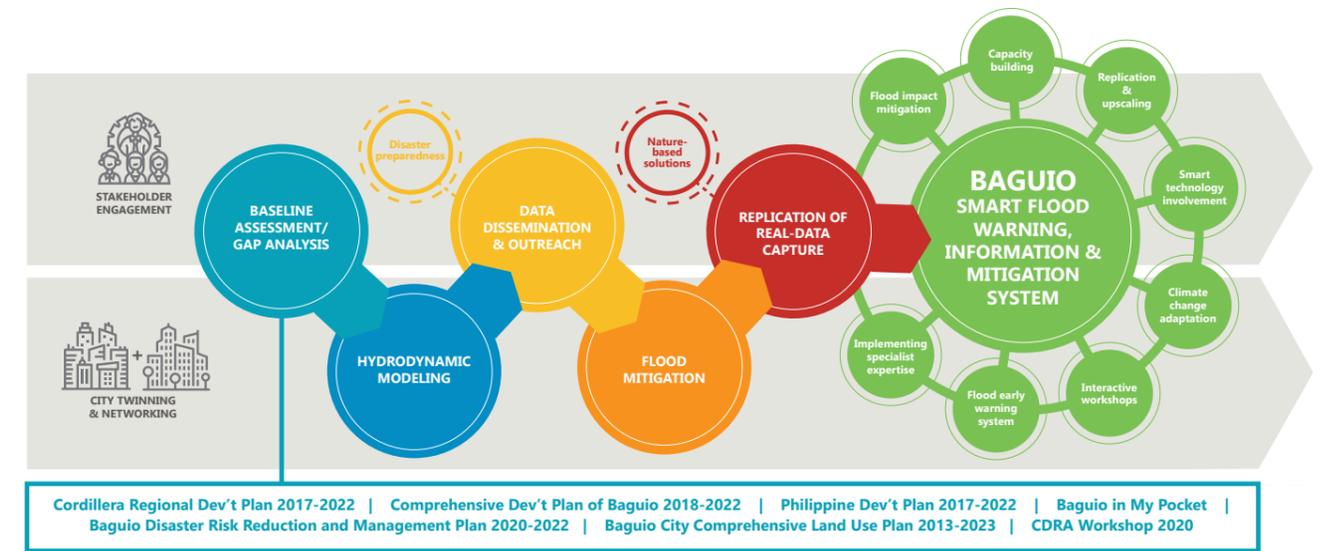


Figure 18: Schematic of Baguio City Task Order main deliverables/outputs.

Kaysone, Lao PDR

In Kaysone, the AASCTF Task Team is expected finalise all project outputs within Q1 of 2021. Assuming that the current task order and final Pre-Feasibility Report output confirm the viability of the current proposed intervention, a second (Phase 2) task order will be developed/finalized within Q2 of 2021.

Yangon, Myanmar

In Yangon, the AASCTF Task Team is expected to mobilise within mid-February 2021. The project will run over four (4) months with a completion expected by June 2021. The ADB's Smart City Analytical Framework will be a guiding document applied to holistically and inclusively analyzing the water sector of Yangon city, by undertaking key steps of City Diagnostics and Readiness Assessment.⁹ The Yangon Task Order contains scope to develop a second (Phase 2) task order which is then expected to pilot 1-2 high potential/priority smart water solutions starting from Q3 of 2021.

Other TA projects

It is expected that Task Teams will mobilise in each of the remaining four pilot cities (Penang, Hue, Battambang and Chonburi) within Q2 of 2021. Timelines and outputs for each of these task orders are still in the early stages of development. Also in progress and planning, are a number of resource person contracts in addition to those that were initiated in 2020, including two (2) in Cambodia, two (2) in Indonesia and two (2) in Myanmar.

GRANT PROJECTS

The AASCTF Team is targeting to have one (1) grant project clearly identified and scoped within end-2021. In Makassar, significant progress is being made with the likelihood there of achieving this target.

DIRECT CHARGE PROJECTS

The City Resource Mobilization (CRM) framework for Indonesian cities is progressing towards the development of a City Resource and Finance Tool (CRAFT). A preliminary draft of the tool is currently under discussion both with the AASCTF team and the ADB Creating Investable Cities team. Data collection to support the development of the credit rating component of the tool is ongoing.

⁹ Asian Development Bank. December 2020. Smart Cities Pathways for Developing Asia. ADB Sustainable Development Working Paper Series No. 71. DOI: <http://dx.doi.org/10.22617/WPS200342-2>.



Photo credit: Asian Development Bank

Influencing Activities

COMMUNICATION & KNOWLEDGE SHARING

AASCTF capacity building and knowledge sharing activities planned for 2021 include the continuation of the ASEAN Australia Smart Cities Webinars Series, digital solutions briefs, updated digital solutions matrix, video products, daily social media posts and quarterly newsletters.

The sixth session of the ASEAN Australia Smart Cities Webinar Series is scheduled for 2 February 2021, and will focus on next practice smart mobility solutions. The session will adopt a panel discussion format instead of the usual presentation format utilized in the prior five (5) sessions concluded in 2020. Three (3) more webinar sessions are planned between March 2021 to May 2021 (Table 9), with the expectation that this will be further extended thereafter.

Table 9: An overview of the upcoming sessions of the ASEAN Australia Smart Cities Webinar Series

| Webinar # | Date | Title/Topic |
|------------------|-------------|--|
| Webinar 6 | 2 Feb 2021 | Next Practice Smart Mobility Lab |
| Webinar 7 | 2 Mar 2020 | Promoting Smart Tourism Recovery via Virtual Reality |
| Webinar 8 | 13 Apr 2020 | Digital Tools to Enhance Community Engagement in Urban Planning |
| Webinar 9 | 4 May 2020 | Digital payment systems for water and sanitation with e-wallets and mobile money * |

* Webinar title to be confirmed

In each pilot city, 1-2 videos are targeted to be produced highlighting the specific innovation/smart solution in focus within the respective task orders. As such, development of video/multi-media products is foreseen to be an ongoing activity throughout 2021.

The AASCTF team is also looking to develop a number of blogs/articles over the coming year, covering a range of subjects e.g. GESI, COVID-19, smart financial management, etc. Furthermore in 2021, the AASCTF team will continue to seek out opportunities to participate in regional conferences, and will look into the possibility of hosting/co-hosting a regional conference towards the end of the year.

REGIONAL TWINNING & NETWORKING

The city twinning and networking framework developed in 2020 will be rolled out in the 26 bronze, silver and gold cities during the first half of 2021, following the first three steps outlined in Figure 21:

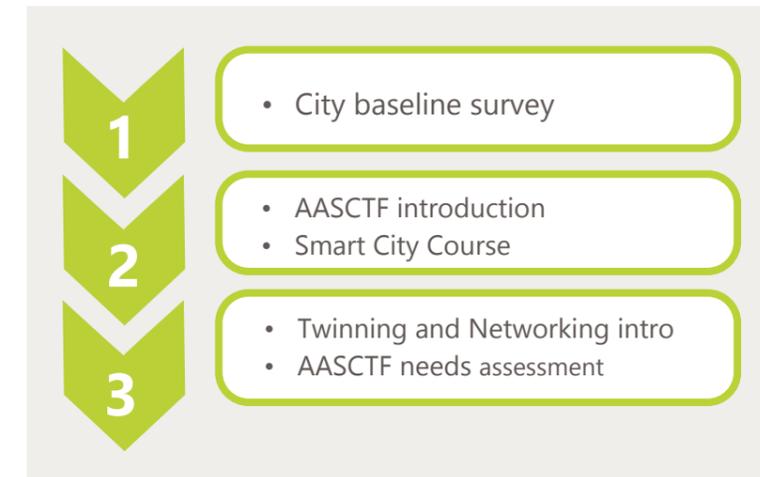


Figure 19: First 3 steps in the twinning and networking process under AASCTF

The aim is that the achievement of Step 1 and 2 (Figure 21) will provide an overview of city challenges, specific needs and possible topics for workshops and online trainings, as well as specific areas of interest for recipient cities, as an outset for discussions with mentor and pilot cities within the twinning/networking arrangements.

With the possible assistance of the Smart Cities Council Australia New Zealand, contacts to mentor cities in Australia and abroad will be initiated in Q1/Q2 of 2021 linking up to the specific needs and interests identified in Makassar and Baguio. The AASCTF team will facilitate matchmaking discussions, eventually leading to the identification of specific online sparring activities between peers in recipient and mentor cities. As face-to-face encounters are expected to be limited due to COVID-19 in the first half of 2021, it will be challenging to get the initial matchmaking activities off the ground, but it is targeted to have two (2) twinning arrangements up running in the first half of 2021. As far as possible, bureaucratic "red tape" will be avoided, and connections and agreements primarily established at more entity/technical levels.

CAPACITY DEVELOPMENT

Capacity development will accelerate during 2021 as the task orders are progressing from the data and preparation stages towards design and implementation stages. The following capacity development activities are currently targeted to be implemented during 2021:

- **Smart city introduction courses for 26 Bronze cities**
As the first step in the capacity building process, a short training course is being developed where the participants from the pilot cities will be given a training session with the focus on answering the question “What is Smart?”. The same session will be offered the bronze cities. Through engagement in the training session all participants will be brought to the same level of understanding regarding the concept of ‘Smart’.
- **GESI targeted workshops & engagements**
AASCTF is currently in discussion with The Asia Foundation to potentially support the facilitation of a series of interactive workshops with ‘bronze’ and ‘silver’ cities in the AASCTF on the topic of Inclusive Cities in Q2/Q3 of 2021.
- **On-The-Job Training**
On-the-job (OTJ) training is targeted to be a key capacity development tool and an integral part of task orders wherever such can be appropriately accommodated. Baguio is one example where such OTJ is underway and planned to be conducted throughout all of 2021 in order to equip the Local Government Unit staff with the necessary skills and knowledge for operating and maintaining the FEWS system to achieve long-term sustainability.
- **Project development workshops in selected twinning cities**
As part of the twinning process, and following on discussions in Q4 of 2020, it is envisaged to potentially engage with the Smart Cities Council Australia New Zealand on developing short online courses vis-a-vis how to develop smart city ideas into concrete pilot projects.
- **Workshops conducted under city intervention task orders**
Each task order workplan includes engagement with key stakeholders through interactive and meaningful workshops and dialogues.



Photo credit: Asian Development Bank

RISKS AND MITIGATION

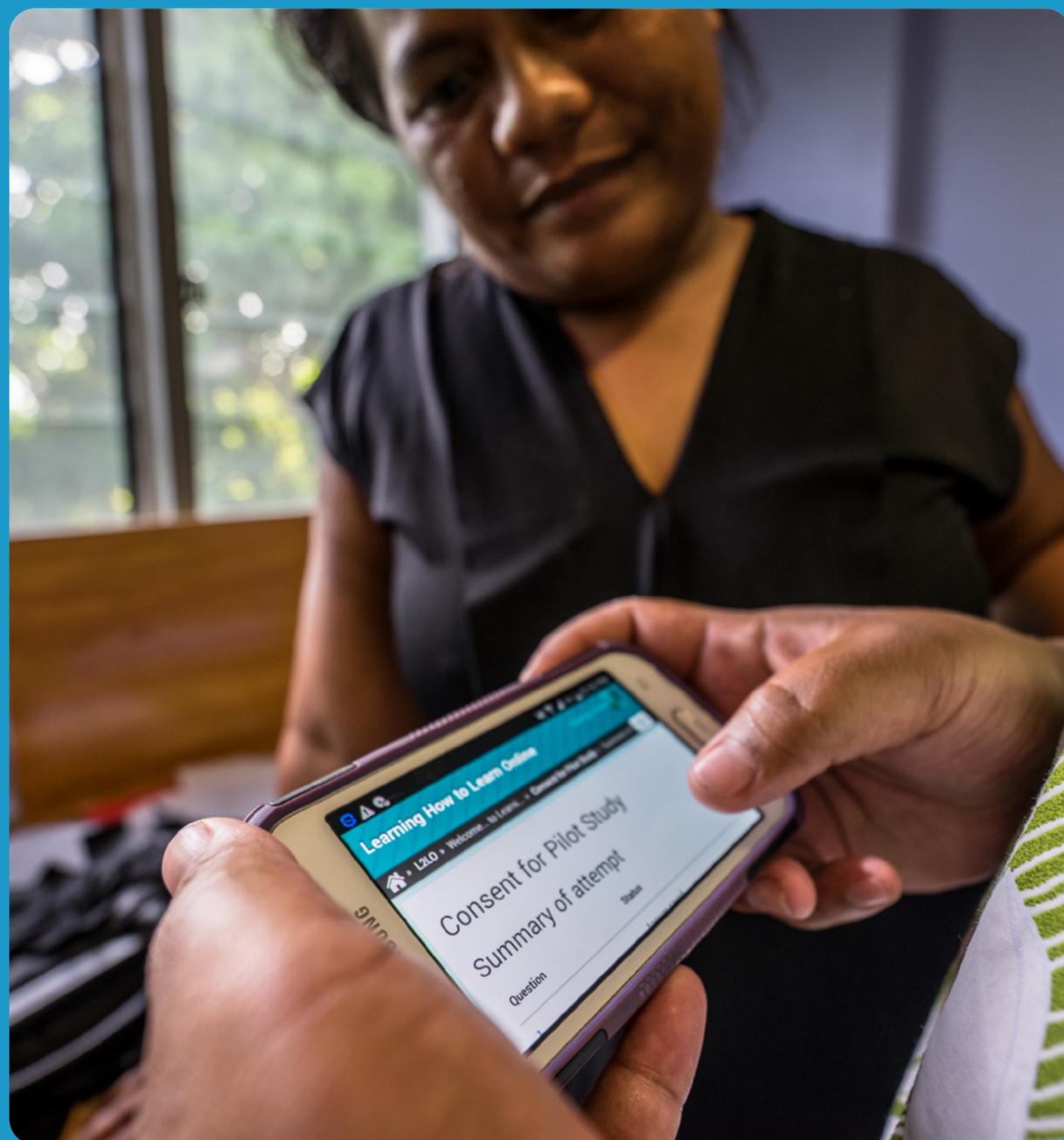


Photo credit: Asian Development Bank

Table 10: AASCTF implementation risks and mitigation measures.

| Risk | Mitigation Measure |
|---|--|
| Change in political support of local governments | The cities selected to participate in AASCTF have significant collaborations with ADB (including ongoing of planned loans and grants). As such, ADB through the respective project officers, has a vested interest to maintain good working relationships with each of these cities and its political leadership. |
| Delays in completing procedures required to implement investment projects | In many of the ASEAN countries, ADB cannot work directly work with cities without proper endorsement by the national government. As the AASCTF uses an existing technical assistance facility for which countries have already provided No Objection Letters, technical assistance can start right away. However, for investment projects, other regulations govern ADB's ability to finance construction of pilots. Project officers responsible for selected countries will pro-actively collaborate with relevant national government agencies to ensure compliance with national procedures. |
| Economic disruption has changed the ability and willingness of the private sector to engage | Disruption has affected all economic sectors, ushering lesser/greater opportunities for digital innovation in cities. Disruption exacerbates existing inequalities, and AASCTF will work to ensure gender, vulnerable communities and the informal sector are embedded as outcome beneficiaries in all proposed investments. In this environment, the AASCTF appears more relevant, and will guarantee to provide a platform for cities to exchange ideas with the private sector. |
| Lack of alignment with other DFAT priorities in country | Relevant DFAT project officers to be kept informed of the project progress through distribution of AASCTF progress reports and regular exchanges with ADB project officers. In addition, DFAT project officers to contribute to concept note/task order development and support to establish relations and stakeholder consultations where relevant/possible. |
| Lack of data availability or permission to retrieve data | All project interventions are dependent on data and information. Lack of data and/or permission to retrieve data and information will lead to delays and can imply a less consolidated project or even that the project is not implementable. |
| Delays incurred due to COVID-19 pandemic (and other shocks and stresses such as typhoons, etc.) | Travel restrictions have been in place for the majority of 2020 with the expectation that they will remain for at least the first six months of 2021. This inhibits the ability of the Core Team to consult with cities and undertake scoping activities as part of the identification of appropriate concepts. |
| Alignment and direction of task order preparation due to COVID-19 pandemic | Preparation and implementation of task orders has continued, however, as has been experienced, there have been delays as a result of non-acceptance of proposed concepts that could have been ameliorated by the physical presence of Core Team members. Notwithstanding, ongoing scoping activities and implementation is being conducted remotely through videoconferencing, electronic file sharing, etc. |



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ABOUT THE ASEAN AUSTRALIA SMART CITIES TRUST FUND

The ASEAN Australia Smart Cities Trust Fund (AASCTF) assists ASEAN cities in enhancing their planning systems, service delivery, and financial management by developing and testing appropriate digital solutions and systems. Digital solutions address vital cross-cutting themes such as social inclusiveness, gender equity & women's empowerment, climate change & environmental sustainability, and public-private partnerships. By working with cities, AASCTF facilitates their transformation to become more livable, resilient, and inclusive, while in the process identifying scalable best practices to be replicated across cities in Asia and the Pacific.



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