



# Technical Assistance Report

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Project Number: 53136-001  
Transaction Technical Assistance (F-TRTA)  
November 2019

## Improving Safeguard Implementation in South Asia

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Asian Development Bank



### ABBREVIATIONS

ADB	–	Asian Development Bank
DMC	–	developing member country
EA	–	executing agency
IA	–	implementing agency
SARD	–	South Asia Department
TA	–	technical assistance
TRTA	–	transactional technical assistance

### NOTE

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

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## TRANSACTION TECHNICAL ASSISTANCE FACILITY AT A GLANCE

<b>1. Basic Data</b>		<b>Project Number:</b> 53138-001
<b>Project Name</b>	Improving Safeguard Implementation in South Asia	<b>Department/Division</b> SARD/SAOD
<b>Nature of Activity</b>	Project Preparation, Capacity Development	<b>Executing Agency</b> Asian Development Bank
<b>Modality</b>	Facility	
<b>Country</b>	REG (BAN, BHU, IND, MLD, NEP, SRI)	
<b>2. Sector</b>	<b>Subsector(s)</b>	<b>ADB Financing (\$ million)</b>
✓ Energy	Electricity transmission and distribution	0.60
Agriculture, natural resources and rural development	Water-based natural resources management	0.60
Education	Education sector development	0.15
Finance	Finance sector development	0.30
Health	Health sector development and reform	0.15
Transport	Road transport (non-urban)	0.60
Water and other urban infrastructure and services	Other urban services	0.60
		<b>Total</b> <u>3.00</u>
<b>3. Operational Priorities</b>		<b>Climate Change Information</b>
✓ Addressing remaining poverty and reducing inequalities		Climate Change impact on the Project <span style="float: right;">Low</span>
✓ Tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability		
✓ Making cities more livable		
✓ Promoting rural development and food security		
✓ Strengthening governance and institutional capacity		
✓ Fostering regional cooperation and integration		
<b>Sustainable Development Goals</b>		<b>Gender Equity and Mainstreaming</b>
SDG 1.4		No gender elements (NGE) <span style="float: right;">✓</span>
SDG 3.9		
SDG 4.a		<b>Poverty Targeting</b>
SDG 6.4		Geographic Targeting <span style="float: right;">✓</span>
SDG 9.1		
SDG 10.3		
SDG 11.1		
SDG 12.4		
<b>4. Risk Categorization</b>	Complex	
<b>5. Safeguard Categorization</b>	Safeguard Policy Statement does not apply	
<b>6. Financing</b>		
<b>Modality and Sources</b>	<b>Amount (\$ million)</b>	
<b>ADB</b>	<b>3.00</b>	
Transaction technical assistance: Technical Assistance Special Fund	3.00	
<b>Cofinancing</b>	<b>0.00</b>	
None	0.00	
<b>Counterpart</b>	<b>0.00</b>	
None	0.00	
<b>Total</b>	<b>3.00</b>	
Currency of ADB Financing: US Dollar		



## I. THE TECHNICAL ASSISTANCE FACILITY

### A. Justification

1. The transaction technical assistance facility (TRTA facility) will provide environment and social risk management, capacity building, and support to future and ongoing projects within the South Asia region. The TRTA facility will build on and expand the scope of TA 8569-REG, an earlier technical assistance (TA) that enhanced safeguards policy application in selected South Asia region developing member countries (DMC).<sup>1</sup> Notwithstanding the achievements of TA 8569-REG, the expansion of Asian Development Bank (ADB) operations in the region indicates that it is imperative to maintain TA support. This is particularly relevant for infrastructure projects that typically involve significant environment and social risks such as urban transport and services, and renewable energy. This proposed TRTA facility will strengthen the capacity of key government units, civil society, academe, consultants, and contractors to design, implement, and monitor robust measures that address project risks to people and the environment.

2. **Alignment with Strategy 2030.**<sup>2</sup> To operationalize the priority of Strategy 2030 on strengthening governance and institutional capacity, the TRTA facility will uphold environment and social standards through more effective safeguards implementation and management. While the focus on ADB-supported operations, the intervention is relevant and applicable to all projects regardless of financing.

3. The policy frameworks that govern safeguards, including the ADB Safeguard Policy Statement (SPS),<sup>3</sup> seek to avoid, minimize, or mitigate adverse environment and social impacts of investment projects. In particular, the safeguard policies of DMCs and multilateral finance institutions promote the mitigation of vulnerability, a major risk to social and environment sustainability of projects, as well as protecting the rights of persons likely to be affected by the projects. Implementation of safeguard measures has thus necessarily become embedded in the process of project preparation and implementation as it enhances project sustainability.

4. The TRTA facility seeks to maintain ADB's role as a trusted development partner, delivering quality operations while adding practical value to projects that fit local conditions, identifying lessons learned, and replicating good practices in environment and social risk management. It will support environment and social safeguards due diligence, consultation, supervision, monitoring, and grievance redress in ADB-funded projects in all the South Asian countries and sectors within these countries. This will be essential for the smooth preparation and implementation of the ADB's 2020-2022 programs in South Asia DMCs. The programs include some 140 proposed projects involving a total of \$22 billion in ADB funding.<sup>4</sup> Of these projects, about 24% may have significant adverse environment and/or involuntary resettlement impacts, around 66% may have less significant adverse impacts, and only approximately 10% are expected to have no impacts. Projects with significant adverse and less adverse impacts require thorough impact assessment, timely preparation of the safeguard plans and strong implementation support.

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<sup>1</sup> Asian Development Bank (ADB). 2013. *Improving Safeguard Policy Applications in South Asia Developing Member Countries*. Manila.

<sup>2</sup> ADB. 2018. *Strategy 2030: Achieving a Prosperous, Inclusive, Resilient, and Sustainable Asia and the Pacific*. Manila.

<sup>3</sup> ADB. 2009. *Safeguard Policy Statement*. Manila.

<sup>4</sup> ADB estimates based on SARD's 2020-2022 program.

5. Since the proposed TRTA facility will cover all the South Asian countries, and ultimately sectors within these countries, it will not be appropriate or suitable to incorporate the proposed TRTA facility into a single loan-financed operations. This TRTA facility is not listed in the current Country Operations Business Plans (COBPs) of South Asia DMCs but will support projects listed in the respective COBPs (Appendix 1).<sup>5</sup> Further, it will complement other TA projects in supporting improved project implementation and will not duplicate ongoing assistance which addresses portfolio management in general.

## **B. Outputs and Activities**

6. **Output 1: Environment and social risk management capacity improved.** The TRTA facility will support environment and social safeguards capacity building of government agencies in the region. It will continue to improve safeguard results by providing hands-on support to executing and implementing agencies (EAs/IAs) upon request or assessment by ADB project teams. This will include providing assistance to civil society, academe, contractors, and consultants on the timely submission and improved quality of impact assessments and mitigation plans. The support would cover as necessary the entire project cycle, from the preparation of detailed project reports, due diligence reports, impact assessment and mitigation plans, internal and external monitoring reports, and assessments of safeguard results at project completion. The TRTA facility will support workshops and related training programs on environment and social safeguards.<sup>6</sup> The training programs would be identified based on the assessment of capacity of project implementation agencies. In addition, consultants will be engaged to review and provide analysis of issues and proposed measures for safeguards strengthening.

7. At least ten training programs will be conducted for staff of EAs/IAs, civil society, academe, contractors, and consultants on environment and social impact assessment, management plan, and monitoring reports in line with national, agency, and sectoral policies and ADB SPS.<sup>7</sup> Individual consultants will be engaged to conduct at least four studies on international safeguard best practices and standards. Individual consultants will undertake activities in close interaction with EAs/IAs, ADB, and other stakeholders.

8. **Output 2: Project management and supervision capacity of executing agencies strengthened using advanced technology applications.** Cost reduction is a measure for more effective and efficient safeguards implementation. One of the ways is using advanced technology to improve efficiency in data collection. Advanced technology includes remote sensing, satellite imaging, use of drones, global positioning and other hand-held devices, and web-based applications. The TRTA facility will maintain and enhance South Asia Department's (SARD) environment and social safeguard tracking systems and develop new platforms for impact assessment, monitoring, and grievance redress. Based on consultations between ADB and relevant agencies in each country, the TRTA facility will identify one or two projects in selected DMCs to be the focus of advanced technology application. Individual consultants on advanced technology will be engaged to assist in the use of new technology. The application of advanced

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<sup>5</sup> ADB. 2019. *Country Operations Business Plan: Bangladesh, 2020-2022*. Manila; ADB. 2019. *Country Operations Business Plan: Bhutan, 2020-2022*. Manila; ADB. 2019. *Country Operations Business Plan: India, 2020-2022*. Manila; ADB. 2019. *Country Operations Business Plan: Maldives, 2020-2022*. Manila; ADB. 2018. *Country Operations Business Plan: Nepal, 2019-2021*. Manila; ADB. 2019. *Country Operations Business Plan: Sri Lanka, 2020-2022*. Manila.

<sup>6</sup> The feasibility of the use of advanced technology application will be assessed by ADB safeguards staff in consultation with technical assistance (TA) consultants and executing agencies and implementing agencies (EAs/IAs).

<sup>7</sup> Consultants and contractors being referred to are in-country EA-administered consultants and contractors who are working on loans/grants. Consultants and contractors who will attend training programs as participants shall be nominated by EAs/IAs.

technology can be done through workshops, training sessions, and project management applications, and in consultation with the project agency, assist the project's management with implementing the proposed approaches. The feasibility of the use of advanced technology application will be assessed by ADB safeguards staff in consultation with TRTA facility consultants and EAs/IAs.

9. At least two workshops and related training programs will identify and focus on critical needs and problems that can be addressed by advanced technology. Good practices and lessons will be documented, shared, and replicated. Visits to institutions in regional countries where advanced technology is effectively implemented, and partnerships can be developed will also be considered.

10. **Output 3: Guidance material and knowledge products enhanced.** The TRTA facility team will select suitable projects programmed for ADB processing during the period 2020-2022 and use them to apply the knowledge acquired in related capacity building initiatives with a view of highlighting best practices in safeguards implementation.

11. Individual consultants will be engaged to conduct at least four studies on international safeguard best practices and standards, and prepare guidance notes and manuals on environment and social safeguards.

### C. Cost and Financing

12. The TRTA facility is estimated to cost \$3.0 million which will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF 6). The key expenditure items are listed in Appendix 2.

### D. Implementation Arrangements

13. The TRTA facility activities for an ensuing project will start only after ADB approves the project concept paper on the ensuing project.

14. ADB will administer the TRTA facility. The TRTA facility will commence in November 2019 and will be completed by November 2022. SARD's Portfolio, Results and Quality Control Unit is the focal point within ADB and will be responsible for the coordination, supervision, and implementation of all TRTA facility activities. The unit will be responsible for the selection, engagement and evaluation of consultants and will manage and oversee TRTA facility implementation, working closely with the sector divisions, and resident missions within SARD, and EAs/IAs in South Asia DMCs.

15. The implementation arrangements are summarized in Table 1.

**Table 1: Implementation Arrangements**

<b>Aspects</b>	<b>Arrangements</b>
Indicative implementation period	November 2019 – November 2022
Executing agency	ADB
Implementing agency	Portfolio, Results and Quality Control Unit, SARD
Consultants	To be selected and engaged by Portfolio, Results and Quality Control Unit, SARD

Aspects	Arrangements		
	Individual selection	International expertise: 50 person-months	<b>\$1,000,000</b>
	Individual selection	National expertise: 100 person-months	<b>\$850,000</b>
Disbursement	The TRTA facility resources will be disbursed following ADB's <i>Technical Assistance Disbursement Handbook</i> (2010, as amended from time to time).		
Asset turnover or disposal arrangement upon TA completion <sup>a</sup>	There will be provisions for hiring or purchasing basic safeguards monitoring equipment for demonstration purposes. Any equipment purchased will be left with the pertinent government agency for their use. Any procurement will be carried out in accordance with ADB Procurement Policy (2017, as amended from time to time).		

ADB = Asian Development Bank; SARD = South Asia Department; TA = technical assistance.  
Source: Asian Development Bank.

16. **Consulting services.** ADB will engage the consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated project administration instructions and/or staff instructions.<sup>8</sup> The TRTA facility will be implemented by international and national individual consultants (50 person months for international and 100 person months for national). Additional consultants may be recruited as needed. Given the diverse nature of the deliverables, some experts or resource persons as applicable for studies, training, or capacity development will be recruited individually on an as-need basis or to undertake specialized technical work as requested by participating agencies and implementing agencies.

17. A mid-term review of the TRTA facility will be undertaken after 18 months of implementation to assess progress, fine-tune outputs, and, if necessary, adjust key activities and implementation arrangements. A full assessment will be undertaken upon TRTA facility completion to report on the achievements and results, and to share the lessons learned.

## II. THE PRESIDENT'S DECISION

18. The President, acting under the authority delegated by the Board, has approved the provision of technical assistance not exceeding the equivalent of \$3,000,000 on a grant basis for Improving Safeguard Implementation in South Asia, and hereby reports this action to the Board.

<sup>8</sup> Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3).

## PROJECTS UNDER TRANSACTIONAL TECHNICAL ASSISTANCE FACILITY<sup>1</sup>

### Indicative Consultants' Input Allocation (person-month)

Item	Total	IND: Assam Power Sector Investment Program (complex)	SRI: Colombo Suburban Railway Project (complex)
<b>Individual Consultants</b>			
<b>A. International</b>			
Environment Safeguards Specialist	6.0	4.0	2.0
Social Safeguards Specialist (Resettlement)	8.0	4.0	4.0
Social Safeguards Specialist (Indigenous Peoples)	4.0	4.0	-
Social Safeguards Specialist (External Monitor)	6.0	3.0	3.0
<b>B. National</b>			
Environment Safeguards Specialist	7.0	6.0	1.0
Social Safeguards Specialist (Resettlement)	8.0	4.0	4.0
Social Safeguards Specialist (Indigenous Peoples)	4.0	4.0	-

Source: ADB estimates.

<sup>1</sup> Other ongoing and pipeline projects to be supported will be identified during TRTA facility implementation.

**COST ESTIMATES AND FINANCING PLAN**  
(\$'000)

<b>Item</b>	<b>Amount</b>
<b>Asian Development Bank<sup>a</sup></b>	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	1,000.0
ii. National consultants	850.0
b. Out-of-pocket expenditures	
i. International and local travel	100.0
2. Goods (rental or purchase) <sup>b</sup>	10.0
3. Training, seminars, and conferences <sup>c</sup>	750.0
4. Contingencies	290.0
<b>Total</b>	<b>3,000.0</b>

<sup>a</sup> Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF 6).

<sup>b</sup> A nominal amount has been assigned to make provisions for hiring or purchasing basic safeguards monitoring equipment for demonstration purposes. Any equipment purchased will be left with the pertinent government agency for their use. Any procurement will be carried out in accordance with ADB Procurement Policy (2017, as amended from time to time).

<sup>c</sup> ADB staff may travel for meetings, conferences, and workshops as resource persons.

Source: Asian Development Bank estimates.

**LIST OF LINKED DOCUMENTS**

<http://www.adb.org/Documents/LinkedDocs/?id=53136-001-TARreport>

1. Terms of Reference for Consultants
2. Approved Report and Recommendation to the President for IND (47101-004): Assam Power Sector Investment Program
3. Approved Concept Paper for SRI (49111-003): Colombo Suburban Railway Project

