



Technical Assistance Report

Project Number: 52140-001
Knowledge and Support Technical Assistance (KSTA)
December 2018

India: Strategic Interventions for Economic Transformation—Strengthening Knowledge for Enhancing Development Outcomes

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Asian Development Bank

CURRENCY EQUIVALENTS

(as of 4 December 2018)

Currency unit	–	Indian rupee/s (₹)
₹1.00	=	\$0.014215
\$1.00	=	₹70.3455

ABBREVIATIONS

ADB	–	Asian Development Bank
CKP	–	country knowledge plan
CPS	–	country partnership strategy
GDP	–	gross domestic product
TA	–	technical assistance

NOTES

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

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KNOWLEDGE AND SUPPORT TECHNICAL ASSISTANCE AT A GLANCE

1. Basic Data		Project Number: 52140-001
Project Name	Strategic Interventions for Economic Transformation—Strengthening Knowledge for Enhancing Development Outcomes	Department/Division SARD/INRM
Nature of Activity	Capacity Development, Policy Advice, Research and Development	Executing Agency Asian Development Bank
Modality	Regular	
Country	India	
2. Sector	Subsector(s)	ADB Financing (\$ million)
✓ Transport	Road transport (non-urban)	0.74
Agriculture, natural resources and rural development	Irrigation	0.74
Education	Technical and vocational education and training	0.74
Energy	Electricity transmission and distribution	0.74
Water and other urban infrastructure and services	Urban water supply	0.74
	Total	3.70
3. Strategic Agenda	Subcomponents	Climate Change Information
Inclusive economic growth (IEG)	Pillar 2: Access to economic opportunities, including jobs, made more inclusive Pillar 3: Extreme deprivation prevented and effects of shocks reduced (Social Protection)	Climate Change impact on the Project Low
4. Drivers of Change	Components	Gender Equity and Mainstreaming
Governance and capacity development (GCD)	Client relations, network, and partnership development to partnership driver of change Institutional development	Some gender elements (SGE) ✓
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas Knowledge sharing activities Pilot-testing innovation and learning	
Partnerships (PAR)	Implementation Regional organizations	
5. Poverty and SDG Targeting		Location Impact
Geographic Targeting	No	Nation-wide High
Household Targeting	No	
SDG Targeting	Yes	
SDG Goals	SDG6, SDG7, SDG9, SDG11	
6. Risk Categorization	Low	
7. Safeguard Categorization	Safeguard Policy Statement does not apply	
8. Financing		
Modality and Sources		Amount (\$ million)
ADB		3.70
Knowledge and Support technical assistance: Technical Assistance Special Fund		3.70
Cofinancing		0.00
None		0.00
Counterpart		0.00
None		0.00
Total		3.70
Currency of ADB Financing: USD		

I. INTRODUCTION

1. This knowledge and support technical assistance (TA)¹ assists the knowledge-driven operational approach of the country partnership strategy (CPS) for India, 2018–2022 of the Asian Development Bank (ADB) and the associated India Country Knowledge Plan (CKP), 2018–2022.² The CPS and the CKP emphasize strategic and analytical studies at geographical (state, regional, corridor), sector, and thematic levels as a means to identify viable development pathways, transformative investment opportunities, and policy advice, while filling critical knowledge and capacity gaps. This approach aims to drive ADB operations to (i) contribute to the CPS goal of accelerating inclusive economic transformation; and (ii) respond to India’s emerging needs as a rapidly growing country, including the relevant priority agendas in ADB’s Strategy 2030.³ The TA is included in the country operations business plan, 2019–2021, in which TA resources were augmented in response to (i) the fast buildup of operational pipelines aligned with CPS architecture, and (ii) the need to swiftly put into operation the priority themes of ADB’s Strategy 2030 for client agencies concerned.⁴

II. ISSUES

2. With an average gross domestic product (GDP) growth rate of over 7% since 2012, India is among the fastest-growing economies in the world, contributing to 3% to the world’s GDP in 2016. The country has been successful in reducing its poverty rate by more than half since 2004, and it has achieved most of the Millennium Development Goals. However, to further accelerate its growth trajectory, India needs to address the remaining and emerging structural challenges:

- (i) **Large infrastructural deficits.** ADB estimated that India needs to invest \$230 billion per year in infrastructure.⁵ As the demand for critical infrastructure grows and becomes more complex, the country’s capacities, systems, and resources to strategically plan, design, implement, and sustain infrastructure call for substantial augmentation, with mobilization of private capital and innovative financing instruments.
- (ii) **Widening income gaps among and within states.** While India has become the fastest-growing large economy of the world with an average annual GDP growth rate of more than 7% since 2012, the variation in GDP per capita among different regions in India remains high.⁶ Achieving strong and balanced regional development is key to inclusive economic growth. This calls for faster and strategic investments and systematic capacity building to better address issues faced by low-income states and regions, including infrastructure, industrial potential, human capital, and governance including implementation constraints.
- (iii) **Need to create quality jobs.** The rate of formal job creation needs to be commensurate with the growth rate in GDP. Faster manufacturing and modern services sector growth are

¹ The TA first appeared in the business opportunities section of the Asian Development Bank (ADB) website on 21 August 2018.

² ADB. 2017. *Country Partnership Strategy India, 2018–2022—Accelerating Inclusive Economic Transformation*. Manila. <https://www.adb.org/sites/default/files/institutional-document/363331/cps-ind-2018-2022.pdf> India Country Knowledge Plan, 2018–2022 (accessible from the list of linked document in Appendix 3) Manila. <https://www.adb.org/sites/default/files/linked-documents/cps-ind-2018-2022-ld-04.pdf>.

³ ADB. 2018. *Strategy 2030: Achieving a Prosperous, Inclusive, Resilient, and Sustainable Asia and the Pacific*. Manila. <https://www.adb.org/sites/default/files/institutional-document/435391/strategy-2030-main-document.pdf>.

⁴ ADB. 2018. *Country Operations Business Plan: India, 2019–2021*. Manila. <https://www.adb.org/sites/default/files/institutional-document/448116/india-cobp-2019-2021-27-aug-18-president-approved.pdf>.

⁵ ADB. 2017. *Meeting Asia’s Infrastructure Needs*. Manila. <https://www.adb.org/sites/default/files/publication/227496/special-report-infrastructure.pdf>.

⁶ Organization for Economic Co-operation and Development. 2017. *OECD Economic Surveys: India*. Paris. <https://www.oecd.org/eco/surveys/INDIA-2017-OECD-economic-survey-overview.pdf>.

central to India's economic growth strategy, as this growth (a) could absorb rural and agricultural labor, and (b) is important for the country to cope with megatrends such as "Industry 4.0" and rapid technological advancement.⁷ Building sound human capital also remains critical.

- (iv) **Climate change and inadequate disaster resilience.** Environmental degradation in India costs about \$80 billion annually, which is 5.7% of GDP.⁸ Air pollution, urban congestion, forest degradation, and depleted water resources have emerged as major challenges. India is also one of the most vulnerable countries in the world to natural hazards and the impacts of climate change. Building (a) robust management plans and systems to monitor and control environmental degradation, (b) a knowledge base to cope with climate challenges, and (c) resilient infrastructure against these vulnerabilities are therefore critical priorities.
- (v) **Inadequate private sector participation.** The private sector needs to play a vital role in India to accelerate economic growth by (a) increasing the market share of export, (b) rapidly expanding domestic markets with higher competitiveness and integration with value chains, and (c) filling the large gap between the requisite and current trend of infrastructure investments. The government is making efforts to improve the ease of doing business for the private sector to attract investments from foreign and domestic sources, and it is pursuing reforms to revitalize public-private partnerships in infrastructure investments.

3. The CPS for India, 2018–2022 is structured to address the critical challenges outlined in para 2 and accelerate inclusive economic transformation by establishing three strategic pillars: (i) boosting economic competitiveness to create more and better jobs, (ii) providing inclusive access to infrastructure networks and services, and (iii) addressing climate change and increasing climate resilience (footnote 2). The CPS has prioritized six sectors (transport; energy; water and other urban infrastructure and services; public sector management; agriculture, natural resources and rural development; and education), with three crosscutting thematic priorities of private sector development, regional cooperation and integration, and gender and social inclusion. The CPS provides a basis to implement these priorities through a knowledge-driven approach, by providing partner agencies with strategic and analytical studies to define effective development strategies, transformative investments, and policy and capacity building advice. ADB has launched a number of studies, including on industrial corridors in east coast states, the Uttar Pradesh infrastructure framework in employment zones, and the Assam vision for regional integration with Southeast Asia.

4. In July 2018, the ADB Board of Directors approved Strategy 2030, mandating ADB to deliver stronger, better, and faster services, with a country-focused approach. It draws attention to (i) fast-growing middle-income countries requiring integrated solutions and new technologies to address new and complex challenges; and (ii) remaining poverty, where ADB's more effective value addition could be explored, including social sectors. Thus, Strategy 2030 promotes exploring new opportunities and fostering deeper engagements in priority areas to provide comprehensive solutions, including (i) building livable cities with holistic urban planning and municipal reforms; (ii) improving multimodal logistics and transport networks; (iii) making smart and new technology-driven power sector investments and reforms; (iv) accelerating regional

⁷ Industry 4.0 is a name given to the current trend of automation and data exchange in manufacturing technologies. It includes cyber-physical systems, the Internet of things, cloud computing and cognitive computing. Industry 4.0 is commonly referred to as the fourth industrial revolution.

⁸ World Bank. 2013. India – Diagnostic Assessment of Select Environmental Challenges: An Analysis of Physical and Monetary Losses of Environmental Health and Natural Resources. Washington, DC.

<http://documents.worldbank.org/curated/en/220721468268504319/pdf/700040v10ESW0P0box0374379B00PUBLI C0.pdf>

cooperation and integration with Southeast and East Asian countries; (v) developing integrated water, environment, and disaster- and climate-risk management with resilient infrastructure; (vi) and institution building to effectively deliver integrated solutions.

5. As development challenges evolve faster in a rapidly growing economy, ADB needs to respond to India's evolving needs with quality knowledge solutions in a timely manner. This includes responding to short-term needs with short analytical studies and policy briefs on critical issues, undertaking surveys and initial analyses while awaiting the mobilization of TA resources and expert teams, providing short-term expert inputs and capacity support to government agencies, and undertaking in-country and overseas exposure for government officials in the form of study tours and other knowledge engagements. Knowledge transfer and dissemination also play a critical role in effective and strategic policy decision-making.

6. Building a knowledge-driven economic development mechanism helps accelerate and sustain strong, robust, and inclusive economic growth in the long term. India has built pockets of knowledge-driven growth, which need to be translated into a broader sphere of its economy. To strengthen the country's knowledge-driven development, the range of knowledge services, approaches, and models based on best practices from successful knowledge-based advanced economies needs to be developed, and the unique knowledge and strengths of the country need to be exploited by aggressively pursuing and applying new technologies.⁹ The TA aims to meet India's knowledge needs within the framework of the CPS and Strategy 2030.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcomes

7. The TA is aligned with the following impact: knowledge base to support the rapid growth of the Indian economy and its fast-evolving socioeconomic development needs improved (project defined). The TA will have the following outcomes: strategic interventions for economic transformation (including sector and thematic reforms) commenced, and investment pipeline for ADB and other external funding agencies developed.¹⁰

B. Outputs, Methods, and Activities

8. **Output 1: Analytical, sectoral, and crosscutting thematic studies prepared.** The TA will undertake strategic and analytical studies incorporating crosscutting themes to support central and state government departments and agencies in the implementation of strategic interventions in areas relevant to ADB's CPS for India, 2018–2022 and Strategy 2030. The studies will be at three levels:

- (i) **Sectoral level.** The studies and reports will include integrated climate change and disaster-resilient infrastructure plans; industry skills demand analyses; skills development plans for enhancing employability of human resources; transport studies for enhancing connectivity projects that are sustainable; urban studies to design and implement green, competitive, and inclusive urban projects; energy infrastructure gap studies to identify and develop green energy corridors and projects; studies for strengthening the finance sector; and studies for enhancing agriculture value chains, irrigation, and innovative water management solutions in rural areas.
- (ii) **Geographical level.** The studies and reports will include state vision documents for comprehensive **economic** development of low-income states; industrial cluster studies to

⁹ ADB. 2014. *Innovative Asia: Advancing the Knowledge-Based Economy—The Next Policy Agenda*. Manila. <https://www.adb.org/publications/innovative-asia-advancing-knowledge-based-economy-next-policy-agenda>.

¹⁰ The design and monitoring framework is in Appendix 1.

help low-income states move away from overdependence on agriculture (with its low productivity) to more productive jobs in industry and services by exploiting agglomeration economies and regional dynamics; industrial corridor studies, including regulatory and institutional analyses to identify infrastructure spending packages; regulatory assessments for developing a conducive business environment; and global value chain studies for greater integration with global production and logistics networks.

- (iii) **Thematic level.** These studies and reports will include those that outline the development of innovative models for partnerships between the public and private sectors for financing infrastructure projects and reports for enhancing regional cooperation, including developing multimodal transport linkages between India's northeast states and the rest of Asia. Studies will also focus on gender mainstreaming and gender assessments in urban, skill development, transport, and energy projects.

9. **Output 2: Capacity of government agencies strengthened.** The TA will synthesize knowledge products and programs for capacity development and cross-learning of project agencies and other institutions in low-income states. The support will aim at strengthening the governance and institutional capacity of government agencies to (i) improve the business and regulatory environment for greater economic activity; (ii) improve their capacity for developing climate change mitigation, disaster resilience, and gender mainstreaming measures in project preparation; (iii) enable the planning and development of smart cities; and (iv) support the development of innovative modalities for renewable energy infrastructure financing. Based on requests made by the central and state governments, institutional capacity building programs (including workshops, conferences, roundtable discussions, and knowledge sessions) will be organized in low-income states and other locations on various topics, including climate change, gender equality, and disaster management. Just-in-time knowledge requests of the government will be supported through short policy notes and knowledge forums for government agencies.

10. **Output 3: Knowledge products produced and disseminated.** In line with the CKP, important studies, research, conference outcomes, and good practices will be delivered to stakeholders (including government agencies and policy makers, businesses, and concerned national and international audiences). They will be delivered through (i) publications in the form of (preferably digital) reports, books, working papers, and blog posts; and (ii) periodic and focused conferences, seminars, workshops, and other knowledge-sharing and dissemination activities (e.g., presentations at investment forums and intergovernmental summits). Examples include regional connectivity studies; research reports on application of advanced and new technologies for disaster management; synthesis of gender mainstreaming in prioritized sectors including challenges for women contractors in ADB-financed projects and time-saving infrastructure technologies from a gender perspective. The TA will also focus on building the skills of officials in central and state government agencies and capturing and sharing their experiences and insights through Development Asia.¹¹

C. Cost and Financing

11. The TA is estimated to cost \$3,885,000, of which \$3,700,000 will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF-other sources). The government will provide counterpart support in the form of counterpart staff, workshop venues, office accommodation, office supplies, secretarial assistance, domestic transportation, and other in-kind contributions. The key expenditure items are listed in Appendix 2.

¹¹ Development Asia is ADB's knowledge collaboration platform for sharing development experience and expertise, best practice, and technology relevant to the Sustainable Development Goals.

D. Implementation Arrangements

12. The TA will be implemented from 15 December 2018 to 14 December 2021. ADB will administer the TA through India Resident Mission, South Asia Department in consultation with its sector divisions. Under the overall guidance and coordination of the Government of India's Department of Economic Affairs, under the Ministry of Finance, the TA will be executed by the resident mission in consultation with central and state government departments and agencies involved in industrial policy and promotion, road transport and highways, power, housing, and urban affairs, among others. The resident mission will select, supervise, and evaluate consultants; and undertake knowledge products, including studies, workshops, and study tours.

13. Proposals for TA support will be discussed with various ministries or agencies of the Government of India as well as state governments in coordination with the Department of Economic Affairs. The resident mission will be the activity owner and will be tasked to implement the proposed activity, including delivering respective studies and publications and organizing knowledge events. The implementation arrangements are summarized in the table.

Implementation Arrangements			
Aspects		Arrangements	
Indicative implementation period		15 December 2018–14 December 2021	
Executing agency		ADB	
Implementing agencies		Central line ministries and/or state government departments or agencies/think tanks	
Consultants		To be selected and engaged by ADB	
	Firm (QCBS with a 90:10 ratio)	3–4 consulting firms 35 person-months (cumulative)	\$1,000,000
	Individual: Individual consultant selection	National expertise (370 person-months) (expertise: economists; and industry, corridor, transport, urban, energy, regulatory, and gender experts)	\$1,950,000
	Individual: Individual consultant selection	International expertise (38 person-months) (expertise: economists; and industry, corridor, transport, urban, energy, regulatory, and gender experts)	\$750,000
Disbursement		The technical assistance resources will be disbursed following ADB's <i>Technical Assistance Disbursement Handbook</i> (2010, as amended from time to time).	

ADB = Asian Development Bank, QCBS = quality- and cost-based selection.
Source: ADB.

14. **Consulting services.** ADB will engage the consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated staff instructions.¹² The TA will engage consulting firms as well as individual consultants based on the requirements of various studies to be conducted under the TA. Based on indicative activities, a total of 443 person-months of consulting services is estimated, including 38 person-months of international inputs, 370 person-months of national inputs, 35 person-months for surveys (based on requirements of associated studies and government requests), and associated study inputs by a firm.

IV. THE PRESIDENT'S DECISION

15. The President, acting under the authority delegated by the Board, has approved the provision of technical assistance not exceeding the equivalent of \$3,700,000 on a grant basis to the Government of India for Strategic Interventions for Economic Transformation—Strengthening Knowledge for Enhancing Development Outcomes, and hereby reports this action to the Board.

¹² Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3).

DESIGN AND MONITORING FRAMEWORK

Impact the TA is Aligned with Knowledge base to support the rapid growth of the Indian economy and its fast-evolving socioeconomic development needs improved (project defined) ^a			
Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
Outcomes Strategic interventions for economic transformation (including sector and thematic reforms) commenced, and investment pipeline for ADB and other external funding agencies developed	By 2021: a. Sector and thematic reforms and investments by state and central agencies identified (2018 baseline: Not applicable) b. Key infrastructure projects prioritized by central and state governments (2018 baseline: Not applicable)	a–b. Government of India and ADB papers and reports pertaining to planned policies and projects	Change in political leadership may adversely affect policy and/or project prioritization
Outputs 1. Analytical, sectoral, and crosscutting thematic studies prepared	By 2021: 1a. 10 state vision documents, strategic studies, infrastructure framework plans, master planning, business and regulatory environment studies produced (2018 baseline: 0) 1b. 6 industrial corridor supporting studies undertaken (2018 baseline: 0) 1c. 3 policy briefs delivered (2018 baseline: 0) 1d. 10 sectoral studies on development issues, new techniques related to financial sustainability, and operation and maintenance in the CPS priority sectors (2018 baseline: 0) 1e. 4 gender policy briefs with sector-specific focus undertaken (2018 baseline: 0) 1f. 2 India-centric studies with regional cooperation and integration implications produced (2018 baseline: 0)	1a–1f. TA review documents, stakeholder consultations, studies, reports, and presentations	Incomplete and/or unavailable data and information may delay the studies

Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
2. Capacity of government agencies strengthened	2a. 4 study tours undertaken (2018 baseline: 0) 2b. 8 workshops and conferences on government's development priority topics completed (2018 baseline: 0) 2c. 3 workshops on demonstrating the best practices of gender mainstreaming in ADB projects and on gender policies and strategies of the government and ADB completed (2018 baseline: 0) 2d. 4 workshops on dissemination of good project implementation practices in targeted states completed (2018 baseline: 0)	2a–2d. Workshop modules, presentations, assessments, and participant lists	
3. Knowledge products produced and disseminated	3a. 4 sector-specific operational reports highlighting best practices; technology transfer; innovations and elements for improved systems, business processes, and delivery mechanisms published (2018 baseline: 0) 3b. 2 operational reports related to challenges and enabling factors for gender mainstreaming published (2018 baseline: 0) 3c. 2 India-centric studies on regional cooperation and integration published (2018 baseline: 0) 3d. 6 blog posts uploaded (2018 baseline: 0) 3e. 5 conferences, seminars, and workshops to disseminate knowledge products held (2018 baseline: 0)	3a–3e. Online publications and blogs	

Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
<p>Key Activities with Milestones</p> <p>1. Analytical, sectoral, and crosscutting thematic studies and reports prepared</p> <p>1.1 Identify key development issues and discuss with the Government of India topics for studies (commence in February 2019 and undertaken annually)</p> <p>1.2 Recruit consultants and services to prepare knowledge services (commence in March 2019 and undertaken periodically)</p> <p>1.3 Submit draft knowledge studies including industrial corridor, vision documents, infrastructure frameworks, policy and gender briefs. (commence in June 2019 and undertaken periodically)</p> <p>1.4 Implement mechanism for monitoring and prepare timely response to just-in-time knowledge requests (continuous during the TA period)</p> <p>2. Capacity of government agencies strengthened</p> <p>2.1 Conduct dialogue with the government to understand the changing development needs and areas of capacity development (quarterly every year or as needed)</p> <p>2.2 Schedule knowledge publications, events, study tours, seminars, and conferences (commence in April 2019 and continuous during the TA period)</p> <p>2.3. Support policy responses on emerging issues and challenges (continuous during the TA period)</p> <p>3. Knowledge products produced and disseminated</p> <p>3.1 Support and collaborate with academic institutions, think tanks, development partners, and business chambers on the production of knowledge products (commence in March 2019 and continuous during the TA period)</p> <p>3.2 Establish arrangements for hosting knowledge events (commence in March 2019 and ongoing)</p> <p>3.3 Update web-based facilities for disseminating knowledge activities (commence in March 2019 and continuous during the TA period)</p>			
<p>Inputs</p> <p>ADB: \$3,700,000 Technical Special Assistance Fund (TASF-other sources)</p> <p>Note: The government will provide counterpart support in the form of counterpart staff, workshop venues, office accommodation, office supplies, secretarial assistance, domestic transportation, and other in-kind contributions.</p>			
<p>Assumptions for Partner Financing</p> <p>Not applicable</p>			

^a Defined by the TA

ADB = Asian Development Bank, TA = technical assistance.

Source: ADB.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Amount
Asian Development Bank^a	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	600.0
ii. National consultants	1,500.0
b. Out-of-pocket expenditures	
i. International and local travel	130.0
ii. Reports and communications	50.0
iii. Miscellaneous administration and support costs	250.0
2. Reports and publications ^b	250.0
3. Surveys	250.0
4. Training, seminars, workshops, forums, and conferences ^c	400.0
5. Contingencies	270.0
Total	3,700.0

Note: The technical assistance is estimated to cost \$3,885,000, of which contributions from the Asian Development Bank are presented in the table above. The government will provide counterpart support in the form of counterpart staff, workshop venues, office accommodation, office supplies, secretarial assistance, domestic transportation, and other in-kind contributions. The value of the government contribution is estimated to account for 5% of the total technical assistance cost.

^a Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF-other sources).

^b Includes cost of printing of reports, publications, and other knowledge material to be used during workshops and seminars. Wherever possible, electronic versions of reports and publications will be used and printing will only be undertaken based on requests of various state government counterparts.

^c Includes hiring of venues; resource persons; expenses-related to travel and lodging of guests and speakers; and other relevant expenses relating to trainings, seminars, workshops, forums, and conferences.

Source: Asian Development Bank estimates.

LIST OF LINKED DOCUMENTS

<http://www.adb.org/Documents/LinkedDocs/?id=52140-001-TARreport>

1. Terms of Reference for Consultants