

Project Administration Instructions

PAI 5.09
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ADMINISTERING TECHNICAL ASSISTANCE

A. Introduction

1. This Project Administration Instruction (PAI) provides guidelines for administering technical assistance (TA) financed or administered by the Asian Development Bank (ADB).¹
2. These guidelines apply to both sovereign and non-sovereign TAs including TA cluster, regional technical assistance (RETA), small-scale TA (SSTA), transaction advisory services, and knowledge partnerships.² Sovereign TAs are further classified under developing member country (DMC)-specific TA, regional TA, and multi-region³ TA under the new operating model.
3. These guidelines do not cover
 - (i) TA processing, which is covered by the *Staff Instruction on Business Processes for Technical Assistance*; and
 - (ii) administration of TA loans, which is covered by the PAIs on implementing loan projects.
4. For TAs funded by the Japan Fund for Prosperous and Resilient Asia and the Pacific (JFPR), this PAI will be applied in conjunction with the [JFPR Implementation Guidelines](#), as amended from time to time.

B. Responsibilities During Implementation

5. The TA team assigned during processing continues to assist the TA team leader in administering the TA. The TA supervising unit (TASU) director or head appoints a new TA team leader, if needed, and requests nominations from the concerned departments/offices for any change. The concerned departments/offices may request to change the assigned TA team member. The TA team regularly reviews the TA progress in accordance with the design and monitoring framework to achieve outputs and outcomes. The TA team member responsible for each functional area should coordinate with the respective departments/offices, if needed, in accordance with applicable policies and guidelines.
6. The TASU⁴ for each TA supervises and administers its implementation, including all administrative changes to a component or output of the TA, in consultation with respective country operations heads (COH) for DMC-specific and regional head, operations coordination (RHOC) for regional TAs. TASU makes sure that the TA's outcome and outputs are achieved and that the

¹ This PAI applies after TA commitment.

² This PAI also applies to ongoing TAs classified under the previous TA types—project preparatory, policy and advisory, capacity development, and research and development. If needed, they may be recategorized into the new TA types defined in the *Staff Instruction on Business Processes for Technical Assistance*.

³ Multi-region TAs typically include corporate TAs without involvement of any activities in a particular country.

⁴ In case of the Sectors Group, TASU director or head is the sector director, not the regional sector project administration unit (PAU) head.

consultants and executing agency (EA) perform satisfactorily.⁵ For cofinanced TAs, TASU should, in coordination with the Partner Funds Division (CCPF) of the Climate Change and Sustainable Development Department, fulfill the reporting requirements stipulated in the cofinancing agreement. The TASU will also oversee the charging of eligible expenditures to appropriate fund sources in coordination with the Technical Assistance Section (CTLA-TA) and Loan Administration Division (CTLA) of the Controller's Department (CTL). The Procurement, Portfolio, and Financial Management Department (PPFD) monitors and administers consultants' contracts, advises staff on issues that arise during implementation, and reports to the Management and the Board on implementation progress. CCPF advises staff on issues that arise during the implementation of cofinanced TAs and may coordinate with cofinanciers. CTLA-TA controls and monitors disbursements. The Office of the General Counsel (OGC) advises staff on legal issues that arise including contract-related issues. The Office of Anticorruption and Integrity advises staff on integrity issues, including guidelines on conflict of interest.

7. For RETA with components or outputs involving two or more departments/offices, a primary TASU will be identified which will serve as the coordinator responsible for TA administration and supervision, including supervising outputs and managing contracts of consultants, submitting request for payments, confirming fund source allocation, and preparing TA completion reports.

C. Review Missions

8. For most TA operations, the first review mission is an inception mission which has a significant effect on the performance of the TA.⁶ TASU conducts the mission in collaboration with the EA (if applicable) and/or implementing agency(ies), as applicable, and consultants and prepares an aide-mémoire or memorandum of understanding (MOU) upon completion of the mission. The purposes of the inception mission include:

- (i) ensuring that the EA and/or implementing agencies (IAs) and consultants understand the TA's objectives and consultant's terms of reference (TOR);
- (ii) reviewing the consultant's TOR and agreeing on the inception report including objectives of activities, methodologies, role of stakeholders and the method of stakeholder consultations, work plan, and budget for each activity, making alterations as necessary;
- (iii) resolving any issues that may impede the consultant in completing the assignment;
- (iv) confirming availability of EA counterpart support as indicated in the TA paper; and
- (v) establishing the timetable and budget for the completion of the assignment, including any further tripartite meetings during the TA implementation.

9. TASU fields review missions as required to check the progress of TA implementation including consultant's performance, reassess the expected TA completion date, and review the TA's finances.

10. TASU arranges tripartite meetings with the EA and/or IAs and consultants to ensure common understanding of the progress of the TA and follow a participatory approach in reviewing

⁵ In this PAI, the term "consultants" also refers to knowledge partners, suppliers or service providers. The term "executing agency" also refers to implementing agencies unless the context requires otherwise.

⁶ Refer also to PAI 6.02 (Project Administration Missions) for TA administration missions.

the consultants' outputs. TASU usually schedules a tripartite meeting shortly after receiving each major report. The anticipated schedule of tripartite meetings is shown in the consultant's work plan and staffing schedule. For TAs delegated to the recipient country, the EA arranges tripartite meetings with the IA, ADB, and the consultant.

D. Progress Reports

11. TASU updates information in eOperations to record the progress of implementation at least quarterly. For cofinanced TAs, TASU provides progress reports to donors by the agreed timeframe.

E. Disbursement

12. TA disbursement will follow the TA Disbursement Handbook, as amended from time to time, and special provisions in the TA report, if any.

13. A TA is typically financed in US dollars, unless otherwise specially approved. Ideally, contracts under the TA are to be signed in US dollars or other currencies. ADB can settle, for which TASU should consult with the Treasury Department.

F. Financing and Monitoring of Goods and Services

14. At TA processing stage, TASU needs to discuss with the EA and/or IAs whether goods and services need to be provided under the TA. If they are needed, the implementation arrangement section of the TA report should state the goods and services to be procured under the TA and indicate the institution/s (the government/recipient, consultant or ADB) which will procure them. If the consultant will procure the goods and services under the TA, the consultant's TOR attached to the TA report should include the procurement arrangement for goods and services.⁷

15. All TA-financed goods and services shall be procured in accordance with ADB Policy documents⁸ stated in the approved TA report and/or cofinancing agreement for donor-funded TAs administered by ADB. TASU, the DMC government, or consultants may procure goods and services for TAs. Procurement of goods and services should be limited to indispensable items that the TA needs to finance. It is generally recommended that goods be leased for administrative efficiency to avoid additional procedures for monitoring and disposal.

16. At least three quotations are required when procuring goods and services below \$100,000. When procuring items in a remote area with few suppliers, the consultant or TASU should try to obtain at least one or two quotations locally, and, if practical, to obtain additional quotations from the capital or a regional city. Purchase order is required for each procurement contract. Signing authority of the contract is defined in line with the TA report and Administrative Order 1.03 on [Signature of Written Instruments](#). Appendix 1 provides an overview of the standard procurement and asset management procedures.

⁷ Contract variation is needed to change the procurement arrangement.

⁸ Policy document refers to either ADB Procurement Policy and Regulations, Guidelines on Use of Consultants by ADB and its Borrowers, or ADB Procurement Guidelines.

17. Goods purchased under the TA remain as ADB property except when they are procured by the government. If usage of goods is under the control of the government, it is recommended that the government procures them using TA funds. Goods procured by the government will be owned by them upon delivery, under the condition that the goods will be used for TA activities until the completion of the TA. This arrangement should be confirmed by the government through a signed MOU during the TA processing stage and as described in the TA report. The government is responsible for monitoring the goods based on agreement with ADB.

18. It is not recommended for ADB to procure goods under TAs. In case it is indispensable for ADB to purchase goods, TASU needs to establish a plan to monitor goods during TA implementation and disposal plan at TA completion. In exceptional cases when such arrangements are needed, TASU will follow the ADB Procurement Policy after consultation with the assigned PPF Procurement Specialist. TASU should ensure eligibility of procurement of goods and services in line with the approved TA report, and cofinancing agreement for externally-funded TAs administered by ADB. If ADB procures the goods, TASU shall monitor the assets and report item losses immediately to the TASU director or head.

19. The TA assets to be monitored are non-consumable goods with an acquisition cost of \$100 or more. The non-consumable assets include, in addition to physical assets, software, licenses, electronic documents, websites, and social media.

20. When the consultant procures goods, the ownership of the procured goods shall remain with ADB until the end of the consulting contract. The consultant will be able to use such goods without charge during TA implementation period. Consultants shall cover equipment with appropriate insurance in case of damage or loss. The cost of such insurance is an eligible expense under TA consulting contract. The consultant should monitor the assets and report item losses immediately to TASU director or head. If the consultant causes damage or loss to goods, then the consultant should shoulder the cost of the loss.

21. Goods procured by ADB or consultants remain ADB's property until transferred to the government or disposed by ADB even after CTLA-TA closes the TA account.

G. Use of TA Funds

22. TASU is responsible for ensuring that adequate due diligence is carried out, and that conference, event and hospitality expenditures are in line with the approved scope of the TA.

23. TAs are essentially for direct assistance to eligible recipients (as defined under *Staff Instruction on Business Processes for Technical Assistance*). Only direct and identifiable costs are charged to the TA, including but not limited to TA consultants, training, seminar materials including mailing, cost of publications, conference room charges, and eligible participants' costs (per diem plus travel as required). In cases where ADB staff act as resource persons⁹ for purpose of effectiveness, travel costs are charged to the TA but their salaries and benefits are absorbed by ADB's internal administrative expense budget. Support services (travel and related costs for secretarial and administrative services) by ADB staff for assisting TA implementation and

⁹ ADB staff acting as a resource person is someone (i) having a sector, thematic, or specific technical expertise, and (ii) engaged as a facilitator, speaker, trainer, or panelist in a conference, workshop, or seminar, financed under a TA.

administration can be covered by the TA only when clearly specified in the TA paper and included within its cost components.

24. Generally, all travel to and from a conference or event shall be arranged by the most economical and direct route possible. In cases where deviations from benchmark routes are requested for personal reasons, the cost difference will need to be charged to the event participant. Subsistence allowances payable to out-of-town event participants may be adjusted if meals are provided as part of the accommodation booking or conference package. The TA Disbursement Handbook provides guidance on computation of allowance.

25. Meals may be provided when it is integral to the structure and the purpose of the event; the participants' dispersal at meal times including breaks would be counterproductive to the efficiency and effectiveness of the event, and the standard of the meal or hospitality is appropriate for a development institution.

26. TASU is expected to supervise conference and hospitality events funded by ADB TAs. Where such direct supervision is not possible, TASU will submit a proper completion report with clear evidence for all expenditure items.

27. Representation may be charged to the TA, only if directly identifiable to the TA and clearly specified in the TA paper including costs in its budget estimates. The cost of representation should be kept at minimal level and the TA recipient should follow ADB's guidelines for representation provided in Administrative Order 4.03 on [Representation](#) and the guidelines for beverage services subsidy for field offices. TASU is responsible for verifying and validating the eligibility and reasonableness of the costs.

28. Costs of rental for office space and related overhead expenses (e.g., cost of utilities) directly identifiable to the TA can be covered by TA funds when clearly specified in the TA paper and included within its cost components.

H. Increasing the Budget

29. To increase the TA amount, TASU submits a memorandum, after consultation with CTL, Operations Planning and Coordination Division of the Strategy, Policy, and Partnerships Department [for Technical Assistance Special Fund (TASF)], and CCPF if the TA is cofinanced, to the concurring(s) and decider as set out in the *Staff Instruction on Business Processes for Technical Assistance*. If the increase in TA amount will involve a major/minor change, the increase in TA amount and major/minor change will be processed together and procedures in paras. 32–39 also apply.¹⁰ A sample memorandum format for an increase in TA amount which does not need to be approved by the Board is attached as Appendix 2. For an increase in TA amount which requires Board approval, refer to [e-Board, Board documents and references](#).

¹⁰ If the approval authority of the major/minor change are in the same department/office line with the approval authority of the increase in TA amount as indicated in the *Staff Instruction on Business Processes for Technical Assistance*, TASU seeks approval only from the higher approval authority.

I. Changing the Scope or Implementation Arrangements

30. TASU sometimes needs to change a TA's scope or implementation arrangements in order to achieve the TA's objectives. A change in a TA's scope or implementation arrangements is classified as 'major' or 'minor'. A 'major' change substantially affects the TA's outcome, components, benefits or implementation arrangements. A 'minor' change does not substantially affect the TA's outcome, components, benefits or implementation arrangements. A sample memorandum format for a change of scope and implementation arrangements which does not involve an increase in TA amount is attached as Appendix 3.

31. TASU project administration unit (PAU) head¹¹ decides if a change is 'major' or 'minor'. If necessary, TASU PAU head may consult with PPF, OGC, and CCPF if cofinanced, on whether the change of scope is 'major' or 'minor'. If the consultation is inconclusive, the TASU director or head decides whether the change is 'major' or 'minor'.

a. Major Change

32. For major change, the TA team leader drafts a memorandum with support from TA team members on their respective functional areas. The TA team members proactively contribute to and take responsibility within their functional area. The TA team members will seek guidance and clearance from their functional reporting line, where necessary. The TA team leader retains the overall responsibility for compliance with relevant requirements.

33. In addition to the contribution from the TA team members in their respective functional areas, the TA team leader should consult with the respective COH for DMC-specific TAs and CCPF if the TA is cofinanced. The TA team leader should consult other departments/offices as necessary. The role of other departments/offices is to provide advice and support to the TA team in their respective functional areas.

34. If any unresolved issues remain between the TA team leader and the concerned departments/offices, the TASU director or head convenes a Resolution Meeting based on request from the TA team leader or director from concerned departments/offices to resolve the issues. The TASU director or head will chair the Resolution Meeting, facilitate the resolutions and make the decision to proceed with the proposed change or instruct the TA team to take further actions.

35. If no issues remain, the TA team leader submits the memorandum through the TASU director or head to the country director (CD) for DMC-specific TA, RHOC for regional TA. TASU director or head approves for multi-region TAs¹² (footnote 10). TASU sends a copy of the approved memorandum to PPF, CTL, and CCPF if cofinanced. PPF reports the outline of the approved major change to the Board through the Quarterly Portfolio Updates.

¹¹ In case there is no PAU head in the TASU, the TASU director or head may designate an equivalent staff as TASU PAU head. In case the TASU director or head does not designate, the TASU director or head will assume the responsibility. This applies to all references to "TASU PAU head" in this PAI.

¹² Multi-region TAs typically include corporate TAs without involvement of any activities in a particular country. For those TAs with involvement of activities in a particular country, concurrence is required from the respective RHOC.

b. Minor Change

36. For minor change, the TA team leader should consult with TA team members on their respective functional areas. The TA team leader retains the overall responsibility for ensuring compliance with relevant requirements.

37. The TA team leader should consult with other departments/offices,¹³ if necessary. If the TA was initially cofinanced or later through additional financing from the special funds and/or ADB-administered external funds, CCPF should be consulted.

38. The TA team leader submits a memorandum to the TASU PAU head for approval (footnote 10). TASU sends a copy of the approved memorandum to PPF, CTL, and CCPF if cofinanced. In case the change will not affect the TA activities significantly and the TA is fully-funded by TASF, the TA team leader may seek approval from the TASU PAU head by email in lieu of a memorandum. In case the change is limited to revising the cost estimates and financing plan (reallocation) and clarification on eligible expenditures, for fully TASF-funded TAs, the TA team leader may decide and report the change to the TASU PAU head by email. The email should be copied to the relevant departments/offices similar to the memorandum.

39. After approval of major and minor change, the TASU should update the TA eOperations record.

40. When a TA is converted to a TA cluster or RETA, the change memorandum would need to confirm fulfillment of the requirements specified in the *Staff Instruction on Business Processes for Technical Assistance*.

J. Full Cancellation of a TA

41. When a TA requires cancellation of the entire amount after the effective date, TASU prepares a memorandum.

42. For DMC-specific and regional TAs, if the TA became effective upon ADB's receipt of the TA signed letter or upon expiration of the period specified in the TA letter, TASU needs to confirm no-objection from the government before the cancellation in consultation with CD for DMC-specific TAs or RHOC for regional TAs, and CCPF if cofinanced. Once confirmed, TASU seeks approval, through the TASU director or head, from CD for DMC-specific TAs or RHOC for regional TAs.

43. For multi-region TAs, TASU director or head approves in consultation with CCPF if cofinanced (footnote 12).

44. TASU sends a copy of the approved memorandum to the Portfolio Management Division (PFPM) of PPF, CTL, and CCPF if cofinanced. If the TA is cancelled, the TA funds are no longer available for any disbursements.

¹³ CTL may be consulted on matters relating to financing plan, cost allocation/reallocation, funds flow (advance, etc.), disbursement currency, and others.

K. Partial Cancellation of a TA

45. At least once every 6 months, TASU monitors the financial progress of a TA it is administering to identify the funds needed to achieve the expected outputs. Surplus funds are uncommitted funds that the TASU does not plan to use for a specific purpose or not needed to successfully complete the TA. When a surplus is identified, after TASU consults the government (for DMC-specific and regional TAs), the TASU PAU head approves the cancellation, in consultation with COH for DMC-specific TAs and RHOC for regional TAs, and CCPF, if cofinanced (footnote 12). TASU sends a copy of the approved memorandum to RHOC (as applicable), PFPM, CTL, and CCPF, if cofinanced. This is applied in cases where part of TA committed funds are cancelled but the TA is kept active. Cancelled TA funds may not be reinstated.

L. TA Completion

46. The TA completion date (which is indicated in the TA report or latest extension memorandum) is the date on which all the activities financed by the TA are completed. It is sometimes called the physical completion date. The TA completion date determines the eligibility of TA funded activities. Any costs incurred and paid after the TA completion date are not eligible for TA financing. The TA financial closing date (normally 90 days after TA completion date) is the date on which all TA-related financial transactions are finalized and the respective TA account is closed in ADB's books. Reimbursements from the TA recipient must be received by the TASU and paid prior to TA financial closing.

47. The contract completion date of a consultant, supplier, knowledge partner, and service provider engaged under the TA must fall within the TA completion date. For example, the TASU should receive the consultant's acceptable final report by the TA completion date, if applicable.

48. If the overall TA implementation period (including the proposed extension) is 5 years or less from the TA commitment date, the TASU submits a memorandum for extensions to seek approval from the TASU director or head, in consultation with COH for DMC-specific TAs or RHOC for regional TAs.¹⁴ If the overall TA implementation period (including the proposed extension) exceeds 5 years from the TA commitment date, TASU submits a memorandum to seek approval from the head of the department/office,¹⁵ with the concurrence of CD for DMC-specific TAs or regional director general for regional TAs (footnote 14). TASU needs to consult with CCPF on proposed extensions for cofinanced TAs and need to obtain concurrence of cofinanciers if required.

49. TASU is required to review and financially close TAs that have been implemented for more than 5 years from approval and has uncontracted balance of less than \$100,000.

50. After the extension of the TA completion date is approved, TASU processes or requests PPF to process the consultant's contract variation and provides a copy of the TA extension

¹⁴ Multi-region TAs typically include corporate TAs without involvement of any activities in a particular country. For those TAs with involvement of activities in a particular country, consultation is required from the respective RHOCs (for extensions with total implementation period of 5 years or less) or respective regional directors general (for extensions with total implementation period of more than 5 years).

¹⁵ For sectors, senior sector directors are treated as heads of department/office.

approval and variation order to CTLA-TA. An extension of a consultant's contract beyond the TA completion date first requires approval of TA extension.

51. TASU immediately advises CTLA-TA of extensions to ensure that final payments are disbursed before the TA financial closing date.

52. Upon completion of assignment, TASU promptly advises the consultant to submit their final claim and, if applicable, certificate of turnover or disposal of goods purchased under their contract. TASU will resolve outstanding payment issues. In the event of a dispute between TASU and the consultant, TASU and the consultant will try to amicably resolve the dispute. If it appears that the dispute will be submitted for arbitration, TASU will consult with PPF and OGC to seek appropriate advice.

M. Turn Over or Disposal of Assets at TA Completion

53. The consultant must promptly turn over any purchased goods to the government. It is recommended that the consultant submits the certificate of turnover within 2 weeks of completing the assignment, together with consultant's final claim. If the consultant does not submit the certificate by the deadline but has confirmed in writing (e.g., email) compliance with required turnover of goods and equipment, TASU confirms the turnover and completes the certificate.

54. When goods are intended to be procured by ADB, TASU should consult with the assigned PPF Procurement Specialist about procurement and disposal arrangements for such goods before initiating procurement. Any funds realized from disposal of items should be returned to the fund that financed the purchase of the item. TASU should coordinate with CTLA-TA and consult with CCPF on return to the fund (if the fund is cofinanced). If ADB hosted a website or social media account procured by ADB and there is no maintenance and financing plan beyond the TA completion date, the websites and/or social media will be automatically deactivated by the Department of Communications and/or Information Technology Department within 3 months after the TA completion date. Appendix 1 provides an overview of the standard asset management procedures including the disposal.

N. Financial Closing of the Technical Assistance Account

55. TASU requests CTLA-TA to close the TA account after the closure of contracts have been completed as set out in PAI 2.06 (Consultant Contract Management) and Procurement Staff Instructions (Part I, Section B). TAs that remain active after 90 days of TA completion date are reported in the Quarterly Portfolio Update circulated by PPFM.

56. When there is no disbursement under a TA during a continuous period of 12 months, CTLA notifies TASU that the TA has an inactive disbursement status, and requests TASU's confirmation whether to close the account 30 days after the notice or not.

57. CTLA-TA can no longer disburse funds after closing the account. CTLA-TA makes the cancelled funds available for new commitments.

Financing, Monitoring and Disposal of Goods Procured Under Technical Assistance^a

Type of Good or Services		General	Procurement organizations		
			Government	Consultants	ADB
Goods	Procurement	During TA processing stage, TASU should discuss with the government and/or recipient whether goods need to be provided under the TA. If they are needed, the TA report should state goods to be procured under the TA and how they are to be procured (by the government, consultants or ADB).	If goods are to be used under the control of the government, it is recommended that the government procures them. The government will own the goods they procured once delivered, under the condition that they should be used for TA activities until the completion of the TA. This arrangement should be confirmed by the government through a signed MOU during TA processing stage and described in the TA report.	It is recommended that goods be leased. Goods should not be procured by consultants except when the government requests ADB to procure through the consultants and the government agrees that the goods are turned over to the government after the completion of the TA.	It is not recommended for ADB to procure goods under TAs. In exceptional cases when such arrangements are needed, TASU will follow the ADB Procurement Policy after consultation with the assigned PPFID Procurement Specialist.
	Monitoring	TA assets to be monitored are non-consumable goods with an acquisition cost of \$100 or more. The non-consumable assets include, in addition to physical assets, software, licenses, electronic documents, websites and social media.	The ownership of procured goods is the government. The government will monitor them as per the agreement with ADB. It is recommended that software licensing and similar intangible assets are procured directly by the EA to avoid problems where such ownership rights are not transferable to other parties. The EA shall follow ADB Procurement Policy if procurement is conducted by EA.	Until the end of the consulting contract, the ownership of procured goods shall remain with ADB. Consultants shall cover equipment with appropriate insurance in case of damage or loss. The cost of such insurance is an eligible expense under TA consulting contract. The consultant should monitor the assets and report item losses immediately to TASU. If the consultant causes damage or loss to goods, then the consultant should shoulder the cost of the loss.	TASU shall monitor the assets and report item losses immediately to TASU director or head.
	Disposal		Government will be responsible for disposal of goods.	The consultant must promptly turn over any purchased goods to the government. The consultant should submit the certificate of turnover within 2	When goods are intended to be procured by ADB, TASU should consult with the assigned PPFID Procurement Specialist

Type of Good or Services	General	Procurement organizations			
		Government	Consultants	ADB	
			weeks of completing the assignment, together with their final claim. If the consultant does not submit the certificate by the deadline, but has complied with required turnover of goods, TASU confirms the turnover of goods and completes the certificate.	about procurement and disposal arrangements for such goods before initiating procurement.	
Vehicles	Procurement	<p>It is recommended that vehicles be leased. If vehicles are needed for occasional meetings and workshops, hiring vehicles only for these days should be considered. When vehicles need to be purchased, TASU makes sure they are appropriate for the TA activities and within the budget.</p> <p>ADB does not finance the purchase of luxury vehicles (for example, more expensive sedan or saloon cars, multipurpose vehicles, and 4-wheel-drive vehicles with luxury accessories) under the TA.</p> <p>When vehicles need to be purchased, TASU must justify its purchase in the TA paper, why it is necessary for TA activities, and should keep cost within the approved budget. TASU makes sure that the</p>	<p>It is recommended that vehicles be leased. If the purchase of vehicles is indispensable for TA activities and they are to be used under the control of the government, it should be procured by the government.</p>	<p>Vehicles should not be procured by consultants. If needed, vehicles should be leased.</p>	<p>Vehicles should not be procured by ADB. Vehicles should be leased if they are needed.</p>

Type of Good or Services		General	Procurement organizations		
			Government	Consultants	ADB
		registration fees and insurance premiums for vehicles are paid during the TA implementation.			
	Disposal	N/A	The ownership was already transferred to the government at the time of delivery. Disposal procedure will be decided by the government.	N/A	N/A
IT equipment (mainly computers and printers)	Procurement	It is preferable that IT equipment be leased. The type of the IT equipment must be defined in the TA paper.	If IT equipment is to be used under the control of the government, it is recommended that the government procures them.	Consultants are expected to use their own computers. IT equipment including computers should not be procured by consultants except when the government requests ADB to procure IT equipment through the consultants and the government agrees that the IT equipment is turned over to the government after the completion of the TA. If IT equipment is required (e.g., projector or printer), it should be leased, or supplied by consultants.	It is not recommended for ADB to purchase IT equipment. However, if ADB needs to purchase IT equipment and use them at the ADB premises, TASU will follow the ADB Procurement Policy after consultation with the assigned PPFD Procurement Specialist.
	Disposal		The ownership was already transferred to the government at the time of delivery. Disposal procedure will be decided by the government.	The ownership will be transferred to the government after the completion of the TA as per the agreement.	When goods are intended to be procured by ADB, TASU should consult with the assigned PPFD Procurement Specialist about procurement and disposal arrangements for such goods before initiating procurement.
Websites and social media	Procurement	The TA report should provide a maintenance and financing plan beyond the date of TA account closing.	If websites and social media accounts are to be maintained by the government, it is	The consultant contract should include the maintenance and financing plan during the TA implementation and beyond the	If websites and social media are to be maintained by ADB, ADB may procure them. It is

Type of Good or Services		General	Procurement organizations		
			Government	Consultants	ADB
			recommended that the government procures them. The maintenance and financing plan beyond the date of TA account closing should be agreed through the signed MOU during TA processing stage and described in the TA report. The agreement should also include that the ownership of the websites and social media belongs to the government under the condition that websites and social media are used for the TA activities. “Software-as-service” option is preferred, where provision of IT services is based on periodic fee and ownership is not transferred to the user. The data, however, shall be transferable to the government without further charge.	date of TA account closing. This arrangement should be confirmed by the government through the signed MOU during TA processing stage and described in the TA report.	recommended that the maintenance and financing plan beyond the date of TA account closing be included.
	Monitoring		The ownership of procured websites and social media is the government. The government will monitor them as per the agreement with ADB.	The consultants shall maintain websites and social media as per the contracts.	TASU shall monitor the websites and social media.
	Disposal		The government will maintain or dispose as per the agreement.	The ownership will be transferred to the government after the completion of the TA or deactivated as per the contract.	If there is no maintenance and financing plan beyond the TA completion date, the websites and/or social media account hosted by ADB will be automatically deactivated by the Department of

Type of Good or Services	General	Procurement organizations			
		Government	Consultants	ADB	
				Communications and/or Information Technology Department within 3 months after the TA completion date.	
Goods procured as part of pilot testing activity	Procurement	Goods and services required for the pilot testing are listed in the implementation arrangements described in the TA report.	If goods are used under the control of the government, it is recommended that the government procure them. If goods are procured by the government, they will be owned by the government upon delivery, under the condition that they should be used for the TA activities until the completion of the TA. This arrangement should be confirmed by the government through a signed MOU during TA processing stage and described in the TA report.	When the consultant procures goods, it is recommended that goods be leased. Goods should not be procured by consultants except when the government requests ADB to procure goods through the consultants and the government agrees that such goods are turned over to the government after the pilot testing (even if the government agrees to this arrangement, consultants are not allowed to purchase vehicles). Consultants may assist the government/TA beneficiary in the procurement process.	It is not recommended to procure goods by ADB. If there is no EA, goods should be procured by the consultant as part of pilot testing. If goods are installed within the ADB premises and ADB procures goods for pilot testing, the TA report should indicate that ADB Procurement Policy will be followed.
	Monitoring		The ownership of procured goods is the government. The government should monitor them as per the agreement with ADB.	The owner of procured goods is ADB. However, the consultant uses procured goods without charge during the pilot testing period. The consultant should monitor the assets and report item losses immediately to TASU. If the consultant causes damage or loss to goods, then the consultant should shoulder the cost of the loss.	TASU shall monitor the procured goods and report losses immediately to TASU director or head.

Type of Good or Services	General	Procurement organizations			
		Government	Consultants	ADB	
Disposal		Disposal of goods is under the responsibilities of the government.	The consultant must promptly turn any purchased goods over to the government/ recipient after the pilot testing. The consultant should normally submit the certificate within a week or two of completing the assignment, together with its final claim. If the consultant does not submit the certificate by the deadline, but has complied with required turnover of goods, TASU confirms that the consultant turned over and completes the certificate.	When goods are intended to be procured by ADB, TASU should consult with the assigned PPFD Procurement Specialist about procurement and disposal arrangements for such goods before initiating procurement.	
Civil works procured as part of pilot testing	Procurement	Civil works procurement under TA funding shall be avoided, unless essential. The major consideration for avoidance is the need for obtaining permits, licensing which should only be done by the government/TA recipient.	Procedures necessary for making civil works feasible need to be covered by the MOU between ADB and the government/TA recipient. All necessary permits, licenses, land ownership or associated issues need to be resolved prior to the civil works procurement. ADB reviews procurement procedures/ procurement documents and assists the government/ recipient in payment procedures (reimbursement or direct payment in accordance with TA Disbursement Handbook).	The consultant shall not procure any civil works directly. The consultants may assist the government/TA recipient in preparation of the procurement documents and procurement support (bid evaluation or similar activities).	ADB should not procure civil works within the ADB premises.
	Monitoring	Monitoring method of the infrastructure after civil works during pilot study should be confirmed with the government/TA recipients by			

Type of Good or Services	General	Procurement organizations		
		Government	Consultants	ADB
	MOU before the procurement.			
Disposal	The infrastructure after civil works should belong to the government/TA recipient. It should be confirmed by MOU.			

ADB = Asian Development Bank, EA = executing agency, IT = information technology, MOU = memorandum of understanding, N/A = not applicable, PPF = Procurement, Portfolio, and Financial Management Department, TA = technical assistance, TASU = technical assistance supervising unit.

^a In case of discrepancy with the *Staff Instruction on Business Processes for Technical Assistance*, the provisions set out in the Staff Instruction will apply.

Source: Asian Development Bank.

Memorandum for an Increase in TA Amount¹

FOR APPROVAL OF PARA. 1

To: Approval Authority

From: TA Supervising Unit

Subject: **TA No. ___ - [DMC mnemonic]: Title of the TA
– Increase in TA Amount [and Change in Scope and/or Implementation
Arrangement]**

I. Matter for Consideration

1. Pursuant to para. 29 of PAI 5.09, it is recommended that [approval authority] approves the increase of the amount of the TA by \$[*amount of the increase in figures*] as described in paras. [] to [] {which will finance the change in [scope] [and] [implementation arrangements] as described in paras. [] to []}.²
2. [Pursuant to para. 35/38 of PAI 5.09, it is recommended that [approval authority] approves the [minor] / [major] change in [scope] [and] [implementation arrangements]].

II. Background Information

3. Provide brief information on type of TA (TA cluster, RETA, or SSTA), classification, TA amount, date of approval, date of TA letter, TA completion date, financing plan, TA components, executing agency, etc.

III. Current Status of TA Implementation

4. Provide information on contracted amount and disbursed amount.
5. Provide brief information on the TA status including implementation progress (what has been done and what remains to be done), and the major issues and problems.

[IV. Change in TA Scope and/or Implementation Arrangements]³

6. [Describe the proposed change in the TA's scope and/or implementation arrangements and the reasons for it. Describe the implications for TA costs, the financing plan, implementation

¹ This template should be used for an increase in TA amount where the approval of the Board is not required.

² Only include where the increase in TA amount is required to finance a change in TA scope and/or implementation arrangements.

³ Only include this section if the increase in the TA amount is required to finance a change in the TA scope (new component, additional activities in an existing component, etc.) and/or implementation arrangements.

schedule, and implementation, consulting services and procurement arrangements, disbursement arrangements or inclusion of special items such as Advance Payment Facility, or Statement of Expenditure, inclusion of knowledge partnerships, delegated portion of TA operation to government EA, where applicable.]

V. Increase in the TA Amount

7. Provide information on the current TA amount, proposed increase in TA amount and revised TA amount (after increase). Provide information on source(s) of funding for the increase in TA amount. If the source of funding is not from ADB funds (TASF, other Special Funds of ADB), specify whether ADB administers the funds (single-donor trust funds, multi-donor trust funds, or a TA specific grant). If the increase in TA amount is not due to a change in TA scope and/or implementation arrangements, explain the reason for the increase in TA amount (for example, increase in TA costs due to currency fluctuation or increase in price).

8. If increase in TA amount is funded from cofinanced funds, a special para needs to be added like one required in TA templates for multi-funded new TAs, such as:

- (i) *{For each ADB-administered fund, list the ineligible and/or eligible expenditure items as reflected in the R-paper on establishment of the trust fund, relevant fund regulation, implementation guidelines, or cofinancing agreements (e.g., vehicle and civil servants travel costs are ineligible expenditures under JFPR.)}*
- (ii) *{Cofinancier requirements.} {If financed by an ADB-administered fund, describe the additional monitoring and reporting requirements specific to the trust funds or cofinanciers (in consultation with SDPF and/or respective fund managers). In cases where the donor requires an audit, consult CTL; Public Financial Management Division of Procurement, Portfolio, and Financial Management Department; and OAG before making a commitment.}*
- (iii) *{If additional financing results that TA is financed by two or more funding sources, define the disbursement arrangements (e.g., front-loading ADB-administered funds, cost-sharing, or pro-rata).}*

9. The TA cost estimates and financing plan should be revised accordingly to include the reallocation process. In case the original and current cost estimates are not aligned and some cost categories are running negative balances, TA cost estimates and financing plan should also be adjusted to include the reallocation process.

VI. Staff Views

10. Provide the views of TASU. Include consultations with PPF, CTL, CCPF,⁴ OGC, and OAI and other departments/offices concerned, where applicable.

Attachments: Revised Cost Estimates and Financing Plan (when applicable)
[Updated] Design Monitoring Framework (when applicable)
[Updated] List of projects to be supported (when applicable)
Comments Matrix

cc: PPF, CTL, CCPF (footnote 4), OGC and other departments/offices concerned.

⁴ Only when CCPF is required.

Memorandum for a Change in TA Scope or Implementation Arrangements¹

FOR APPROVAL OF PARA. 1

To: Approval Authority

From: TA Supervising Unit

Subject: **TA No. ___ - [DMC mnemonic]: Title of the TA**
- [Minor] / [Major] Change in TA Scope or Implementation Arrangements

I. Matter for Consideration

1. Pursuant to para. 35/38 of PAI 5.09, it is recommended that [approval authority] approves the [minor] / [major] change in [scope] [and] [implementation arrangements].

II. Background Information

2. Provide brief information on type of TA (TA cluster, RETA, or SSTA), classification, TA amount, date of approval, date of TA Letter, TA completion date, financing plan, TA components, executing agency, etc.

III. Current Status of TA Implementation

3. Provide information on contracted amount and disbursed amount.
4. Provide brief information on the TA status including implementation progress (what has been done and what remains to be done), and the major issues and problems.

IV. Change in TA Scope and/or Implementation Arrangements

5. Describe the proposed change in the TA's scope and/or implementation arrangements and the reasons for it. Describe the implications for TA cost categories (whether there is a need to reallocate funds from one category to another category, adding new category), the financing plan, implementation schedule, and implementation, consulting services and procurement arrangements, disbursement arrangements or inclusion of special items such as Advance Payment Facility, or Statement of Expenditure, inclusion of knowledge partnerships, delegated portion of TA operation to government EA, where applicable. In case the original and current cost estimates are not aligned and some cost categories are running negative balances, TA cost estimates and financing plan should be adjusted to include the reallocation process.

V. Staff Views

¹ This template should be used only for change in TA scope and/or implementation arrangements where there is no increase in the TA amount, and where the approval of the change in scope and/or implementation arrangements by the Board is not required.

6. Provide the views of TASU. If required include consultations with PPF, CTL, CCPF,² and OGC, and other departments/offices concerned, where applicable.

Attachments: Revised Cost Estimates and Financing Plan (when applicable)³
[Updated] Design Monitoring Framework (when applicable)
[Updated] List of projects to be supported (when applicable)
Comments Matrix

cc: PPF, CTL, CCPF (footnote 2), OGC and other departments/offices concerned.

² Only when CCPF is required.

³ A revised cost estimate and financing plan should be attached where the change in scope or implementation arrangements requires a reallocation between cost categories.