



Technical Assistance Report

Project Number: 53125-001
Knowledge and Support Technical Assistance (KSTA)
December 2019

Strengthening Safeguards Implementation in ADB Projects

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Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
CSO	–	civil society organization
DMC	–	developing member country
IED	–	Independent Evaluation Department
IFI	–	international financial institution
ISPTS	–	integrated safeguard performance tracking system
SDCC	–	Sustainable Development and Climate Change Department
SPS	–	Safeguard Policy Statement
TA	–	technical assistance

NOTE

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

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KNOWLEDGE AND SUPPORT TECHNICAL ASSISTANCE AT A GLANCE

1. Basic Data		Project Number: 53125-001
Project Name	Strengthening Safeguards Implementation in ADB Projects	Department/Division SDCC/SDSS
Nature of Activity Modality	Capacity Development Regular	Executing Agency Asian Development Bank
Country	REG (All DMCs)	
2. Sector	Subsector(s)	ADB Financing (\$ million)
✓ Water and other urban infrastructure and services	Urban policy, institutional and capacity development	0.30
Energy	Energy sector development and institutional reform	0.35
Transport	Transport policies and institutional development	0.35
	Total	1.00
3. Operational Priorities	Climate Change Information	
✓ Accelerating progress in gender equality	Climate Change impact on the Project	Low
✓ Tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability		
✓ Making cities more livable		
✓ Strengthening governance and institutional capacity		
Sustainable Development Goals	Gender Equity and Mainstreaming	
SDG 1.5	Some gender elements (SGE)	✓
SDG 12.6		
SDG 16.7		
	Poverty Targeting	
	General Intervention on Poverty	✓
4. Risk Categorization	Complex	
5. Safeguard Categorization	Safeguard Policy Statement does not apply	
6. Financing		
Modality and Sources		Amount (\$ million)
ADB		1.00
Knowledge and Support technical assistance: Technical Assistance Special Fund		1.00
Cofinancing		2.00
Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility (Full ADB Administration)		2.00
Counterpart		0.00
None		0.00
Total		3.00
Currency of ADB Financing: US Dollar		

I. INTRODUCTION

1. The knowledge and support technical assistance (TA) will strengthen the implementation of the Safeguard Policy Statement (SPS) (2009) of the Asian Development Bank (ADB) and support operational priority six of ADB's Strategy 2030 on strengthening governance and institutional capacity (in relation to upholding safeguards).¹ The TA will develop the capacity of executing agencies and implementing agencies for ADB projects to implement environmental and social safeguards through enhanced guidance; tools; good practice notes; training materials; and safeguard management and reporting systems, including integrated environmental and social assessment to address crosscutting thematic issues.² The TA was endorsed in the corporate priority framework meeting in November 2018 and is included in the ADB Management-approved 2019 results-based work plan of the Sustainable Development and Climate Change Department (SDCC).³

II. ISSUES

2. Since ADB's SPS was adopted in 2009, consideration of safeguard issues in ADB projects has been strengthened. However, implementation gaps remain. In 2014 and 2016, ADB's Independent Evaluation Department (IED) undertook an evaluation of the SPS, which concluded that safeguards implementation had improved, but still needed to be strengthened.⁴ The capacity of executing agencies and implementing agencies, their consultants, and their contractors to adequately assess the environmental and social impacts and risks of ADB projects, and to plan and manage safeguards implementation, is often insufficient, requiring ADB to provide extensive safeguard staff and consultant support during processing and implementation. IED also identified that more attention needs to be given to the quality and focus of safeguard documentation, project readiness for safeguards implementation, and monitoring and supervision. Better consideration of health and safety risks, livelihood restoration, grievance redress, and financial intermediaries is also needed.⁵ ADB has also been supporting the use of country safeguard systems in India, Indonesia, and Sri Lanka. Findings show that, while policy and legislation may be strong, there is often weak capacity among project developers and government regulators for implementation and enforcement of regulations.

3. Persistent challenges and emerging issues related to the implementation of ADB's SPS need to be addressed. Technical assessments (e.g., biodiversity or noise assessments) need to be more robust, particularly for projects having high environmental or social risk. In addition, projects need to consider the interlinkages between environment and social safeguards and related issues (including climate change, disaster risk, gender, and core labor standards) through integrated assessment approaches.⁶ More use is being made of project modalities that require

¹ ADB. 2019. *Strategy 2030 Operational Plan for Priority 6: Strengthening Governance and Institutional Capacity, 2019–2024*. Manila.

² Includes private sector borrowers or clients in the case of nonsovereign operations.

³ The TA first appeared in the business opportunities section of ADB's website on 23 September 2019.

⁴ IED. 2014. *Corporate Evaluation Study: Safeguards Operational Review—ADB Processes, Portfolio, Country Systems, and Financial Intermediaries*. Manila: ADB; and IED. 2016. *Thematic Evaluation Study: Real-Time Evaluation of ADB's Safeguard Implementation Experience Based on Selected Case Studies*. Manila: ADB. An ongoing IED evaluation study, due for completion in 2020, is reviewing the SPS's effectiveness, taking changes at other international finance institutions into account.

⁵ IED identified a need to improve the formulation and implementation of livelihood restoration programs, recommending that they be incorporated into resettlement plans.

⁶ Consideration needs to be given to non-land acquisition social impacts that fall between environmental and social safeguards; and proactive environment, climate change, gender, and social development agendas as related to

different approaches in assessing and managing safeguards compared with project loans; these include financial intermediaries, general corporate finance, policy-based loans, and results-based loans. Private sector operations are also increasingly using financing modalities that were not originally anticipated by the SPS. The size of the ADB portfolio has also increased and become more diverse, with more projects being approved in non-infrastructure sectors such as health and education.

4. The cumulative impact of these changes has made safeguards implementation increasingly challenging for executing and implementing agencies as well as for consultants, contractors, and other parties involved in safeguards implementation.⁷ For example, implementation delays because of project readiness are a key challenge, especially in relation to land acquisition and resettlement.⁸ Further, monitoring of safeguards performance and reporting at the executing and implementing agency level remains weak and does not provide critical safeguards information that would help developing member countries (DMCs) and ADB identify project portfolio-level risks early on, and enable limited safeguards resources to be more effectively targeted toward their management.

5. There are also emerging vulnerabilities and risks that need to be addressed, including issues related to labor; sexual abuse, exploitation, and harassment; and climate change mitigation and adaptation. Stakeholder engagement needs to be inclusive and include engagement with people with disabilities and with the lesbian, gay, bisexual, transgender, plus community. Some of these issues are already being addressed by thematic groups but addressing them at the project level often falls to those also responsible for safeguards assessment. These issues are partly covered by SPS requirements, but they are now being included in safeguard policies of international finance institutions (IFIs), such as the World Bank's Environmental and Social Framework.⁹ Stakeholders, including cofinanciers with their own safeguard policies, are increasingly asking how ADB addresses these issues.

6. Several good and innovative approaches to strengthening capacity for safeguards implementation at the project and country levels exist in ADB. For example, ADB's South Asia Department has developed a cloud-based safeguard monitoring system to monitor and track its portfolio. The use of information and communication technology for safeguard monitoring work is also being piloted.¹⁰ Other operations departments are planning to have systems similar to that of the South Asia Department or a bespoke system to meet their requirements. Opportunities also exist to benefit from lessons and tools developed by other IFIs to facilitate effective due diligence and monitoring of safeguards implementation, such as the World Bank's environmental and social incident response tool. These good and innovative practices and lessons need to be identified

interlinkages with environmental and social safeguards. Safeguard tools, such as strategic environmental assessments, should be used early in the policy-making process when there is greater potential for adverse impacts to be avoided. Use of integrated assessment and management approaches can complement consideration of individual safeguard requirements at the project level by making more efficient and effective use of limited project resources to address safeguards and crosscutting thematic issues, which would ultimately improve project design, implementation, and development outcomes

⁷ Other parties include environment, housing, and resettlement agencies.

⁸ During 2016–2018, there were annual increases in the number of complaints from project-affected people to ADB's Accountability Mechanism. Resettlement, compensation, and land acquisition were the major issues raised, followed by community and social issues, consultation and participation, and environment.

⁹ World Bank. 2017. *World Bank Environmental and Social Framework*. Washington, DC.

¹⁰ For example, the Safeguards Division of SDCC piloted the use of handheld tablets and software for resettlement assessment, and ADB's Sri Lanka Resident Mission developed and is using a geographic information system for supervising and monitoring environmental safeguards implementation. There are also opportunities to use remote sensing and drones for baseline surveys and implementation monitoring.

and transferred within and between DMCs. Operations departments have ongoing safeguard TA projects to support such work at departmental level, but better coordination to foster knowledge sharing and exchange between them is required. Executing and implementing agencies need access to technical expertise, guidance, tools, case studies, and trainings to support the application of good and innovative practices, including integrated assessment, at the project level.

7. Urban development projects (including operations in the water and other urban infrastructure and services, energy, and transport sectors) are often located in settings that face multidimensional challenges such as rapid increases in population, densely populated residential areas, aging societies, infrastructure deficits, increasing risks from climate change and disasters, environmental stresses, and fast-paced technological advancement. The TA will support integrated assessment approaches on linear projects in urban areas, to help executing and implementing agencies better address crosscutting thematic issues in urban development projects, including climate change.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

8. The TA is aligned with the following impact: ADB environmental and social safeguards upheld (footnote 1). The TA will have the following outcome: capacity to implement safeguards in ADB projects strengthened.¹¹

B. Outputs, Methods, and Activities

9. **Output 1: Safeguard management systems, technical resources, and trainings improved.** This output will develop safeguard resources (including guidelines, tools, good practice notes, and training materials) to strengthen due diligence, supervision, and monitoring of safeguard implementation.¹² These resources will address identified gaps and seek to enhance good practices related to (i) safeguard management systems, (ii) technical assessments, (iii) different lending modalities and implementation arrangements for both sovereign and nonsovereign operations, and (iv) crosscutting thematic issues.¹³ At least 12 safeguard resources will be developed, including 6 addressing crosscutting thematic issues. Topics for safeguard resources include risk-based monitoring and management systems; effective project grievance redress mechanisms; cumulative and induced impact assessment; transboundary assessment tools; biodiversity assessment; physical cultural resources assessment; and land acquisition and resettlement, including voluntary land donation and indigenous peoples safeguards. Crosscutting thematic topics related to integrated environmental and social assessment will take into account gender, including meaningful consultation and sexual abuse, exploitation, and harassment risks; community health impacts and risks; climate change mitigation and adaptation; disaster risks;

¹¹ The design and monitoring framework is in Appendix 1.

¹² Safeguard resources developed, including lessons and good and innovative practice case studies from within and outside ADB, will build on resources of SDCC, operations departments, resident missions, and other IFIs. Safeguard resources for output 1 will be disseminated to executing and implementing agencies, and their consultants and contractors through ADB knowledge portals and trainings. Crosscutting thematic safeguard resources will be developed and disseminated with the support of thematic groups.

¹³ Lending modalities include general corporate finance, financial intermediaries including those onlending to other financial intermediaries, policy-based loans, and results-based loans. Design–build–operate and public–private partnership approaches will also be considered.

fragile and conflict-affected situations; livelihood development; occupational health and safety risks; and core labor standards.¹⁴

10. The TA will carry out diagnostic studies (considering ADB's existing portfolio) to identify existing challenges, capacity gaps, and good practices. The TA will take into consideration lessons and the outputs of previous TA projects on safeguards; DMC contexts; current corporate practices at other IFIs; relevance to sovereign and nonsovereign operations; draft IED evaluation findings, if available; stakeholder consultations and policy dialogue, including with civil society organizations (CSOs); and examples of international good practices, including the use of technology.¹⁵ For crosscutting thematic issues, diagnostic studies will pay particular attention to entry points in the project cycle to undertake assessments, including during the planning stages of country partnership strategies and country operations business plans.

11. To help ADB projects better address crosscutting thematic issues, an integrated assessment tool kit will be developed for use by executing and implementing agencies. It will address (i) screening and scoping, and affected person and stakeholder mapping (including CSO identification) for all types of projects; and (ii) the assessment and management of the construction of linear projects (e.g. roads, pipelines, transmission and distribution lines) in urban areas in a format that can be tailored by the operations departments to address the specific needs of DMCs or executing and implementing agency situations.¹⁶ The tool kit will consider existing formats and templates and will make use of smart technologies (e.g., app-based technologies and, for spatial elements, the use of geographical information systems and other innovative practices) to capture the results of assessments and store information digitally for future use in project design and implementation.

12. To strengthen DMC knowledge and capacity at the project level, an online foundational safeguard training course with references to relevant safeguard resources and good practice examples will be developed, tested, and rolled out.¹⁷ It will be designed to be regionally applicable, but in a format that can be (i) modified by the operations departments to address the specific needs of DMCs or executing and implementing agencies, and (ii) used (if desired) for the purposes of basic safeguard certification for those working on projects.

13. To help ADB projects improve risk management and monitoring of their safeguards performance, and to better allocate safeguard resources to address identified risks, the TA will introduce a system (to be cascaded down to safeguards monitoring by executing and implementing agencies) that records and monitors risks during project planning and

¹⁴ ADB's Technical Assistance Special Fund (TASF 6) will fund support for (i) safeguard management systems, (ii) technical assessments, and (iii) different lending modalities and implementation arrangements for both sovereign and nonsovereign operations. The Urban Climate Change Resilience Trust Fund will fund crosscutting thematic topics.

¹⁵ Research findings will be shared internally and with other IFIs during joint safeguards community of practice meetings and through other safeguards networks. For crosscutting thematic issues, thematic groups will be consulted in developing terms of reference to avoid conflict and maximize synergies with their ongoing and proposed studies. Areas for collaboration include diagnostic studies, tool development, and the selection of common projects under output 2.

¹⁶ The focus is on linear projects since these often involve a range of environmental issues (e.g., habitat loss and fragmentation, pollution risks, occupational and community health and safety risks, and loss of and/or damage to physical and cultural resources) and have high involuntary resettlement risk. Urban, transport, and energy projects, many of which are linear in nature, are most often the subject of complaints filed with the Accountability Mechanism. However, the toll kit will be designed for adaptation to a range of nonlinear projects. To identify the environmental and social impacts and opportunities early in the policy-making process (when there is greater potential for adverse impacts to be avoided), strategic integrated assessment of plans and programs will be considered.

¹⁷ The online course will be made available through [ADB eLearn](#) and on [Development Asia](#).

implementation. The TA will establish, test, and roll out an integrated safeguard performance tracking system (ISPTS), which will be an interactive project-level and portfolio-wide project risk management and monitoring system. The ISPTS will have repository and decision-support functions to enable easy report generation at the project and portfolio levels. To ensure consistency with existing systems and minimize duplication of effort, an analytical study will be conducted to evaluate existing and planned safeguard monitoring tools within ADB, as well as similar tools used by other multilateral development banks and private sector institutions. This analytical study will help to define the data to be captured.

14. **Output 2: Safeguard support to developing member countries provided.** This output will focus on testing and disseminating the safeguard resources and integrated assessment tool kit developed under output 1. This will be achieved through their application to selected projects and early support prior to project concept development, including at plan or program level. In coordination with the operations departments, consultant support will be provided to support the use of safeguard resources and the integrated assessment tool kit, including the provision of trainings, field visits, technical studies, and project outputs reviews. The selection of projects will be done in consultation with the operations departments and thematic groups, and will be distributed across regions and sectors.¹⁸ Project support will enable good and innovative practice case study examples, including the use of integrated assessment, as well as technologies, to be obtained and the draft safeguard resources and working version of the integrated assessment tool kit to be refined prior to finalization. Projects selected for testing will share their experiences during regional trainings to promote the use of the final safeguard resources and integrated assessment tool kit, and to support peer-to-peer learning between executing and implementing agencies.

15. Four regional trainings on crosscutting thematic issues and integrated assessment will be developed and delivered to DMC participants and targeted to executing and implementing agencies that have long-term relationships with ADB, and that could potentially use the final safeguard resources and integrated assessment tool kit during future ADB projects.¹⁹ At the DMC level, ADB will work with safeguard learning centers (or their equivalent) on the delivery of trainings; training materials will be packaged and kept in a readily accessible location. Training materials will be regionally applicable but developed in a format that can be tailored by the operations departments to address the specific needs of DMCs or executing and implementing agencies. To scale up the availability of training opportunities, options for online learning and accreditation of training providers, including regional safeguard learning centers, will be explored.

16. To improve the capacity of DMCs to deal with “sensitive” issues or “problematic” implementation situations, the TA will provide technical expertise to support selected DMCs in conducting research studies and capacity development activities.²⁰ Knowledge and lessons from these research studies will be used to help build a library of good practice case studies to be

¹⁸ Selection Criteria (accessible from the list of linked documents in Appendix 3).

¹⁹ Trainings will be open for the participation of executing and implementing agencies and their contractors and consultants, including CSOs acting as consultants and other parties involved in safeguards implementation and regulation in DMCs, including environment, housing, and resettlement agencies.

²⁰ “Sensitive” refers to the presence of natural or critical habitats, protected areas, nationally or internationally important physical cultural resources, or particularly disadvantaged or vulnerable individuals or groups at risk. “Problematic” refers to high environmental or social risk implementation situations in DMCs with weak country safeguard systems. Technical expertise to be funded by ADB’s Technical Assistance Special Fund (TASF 6) will include suitably qualified and internationally experienced experts in biodiversity conservation, pollution, physical cultural resources, labor, health and safety risks, involuntary resettlement, livelihood restoration, and indigenous peoples. Selection Criteria (accessible from the list of linked documents in Appendix 3).

disseminated across DMCs through ADB knowledge portals (e.g., Development Asia) and trainings.

C. Cost and Financing

17. The TA is estimated to cost \$3,000,000, of which (i) \$1,000,000 will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF 6) and (ii) \$2,000,000 will be financed on a grant basis by the Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility and administered by ADB.²¹ Key expenditure items are listed in Appendix 2.

D. Implementation Arrangements

18. ADB will administer the TA through SDCC with the support of counterparts of SDCC from the operations departments and in collaboration with the social development, gender, climate change and disaster risk management, and environment thematic groups. To facilitate implementation, the TA will establish a working group including focal points from the Safeguards Division of SDCC; thematic groups; the operations departments (including resident missions); the Office of the General Counsel; the Office of Information Systems and Technology; the Office of the Special Project Facilitator; and the Procurement, Portfolio, and Financial Management Department. In addition, for each consultant package, a coordination team (comprising representatives from the Safeguards Division of SDCC and safeguard focal persons from the operations departments) shall be formed to oversee its design and implementation and review deliverables, calling on the thematic group focal points as is needed. For the DMCs involved in output 2, appropriate implementation arrangements will be established at the DMC level with the support of resident missions. The platform, system, or software used to host the safeguard resources and online training course and for the integrated assessment tool kit and IPSTS will be selected to ensure long-term sustainability. Risk assessment will be undertaken in consultation with the Office of Information Systems and Technology before determining if a cloud-based technology solution should be used. The implementation arrangements are summarized in the table.

Implementation Arrangements

Aspects	Arrangements		
Indicative implementation period	December 2019–November 2022		
Executing agency	ADB, Safeguards Division		
Consultants	To be selected and engaged by ADB		
	Firm: FBS, output-based	Diagnostic studies and safeguard resources ^a (various contracts)	\$1,135,500
	Firm: FBS, output-based	Integrated assessment tool kit	\$440,000
	Individual: Individual Selection	Online foundational training course (7 person months)	\$87,500
	Individual: Individual selection	Integrated safeguard performance tracking system (7 person months)	\$87,500
	Individual: Framework agreement	Subject-specific technical experts for research studies	\$97,500

²¹ Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom. ADB. 2015. *Urban Climate Change Resilience Trust Fund Implementation Guidelines*. Manila (Section III, 9C, Integration and Leverage; Section III, 11.1, Urban Climate Change Resilience Planning, Institution, and Community Capacity Building, and Study Projects; and Section III, 11.8, Knowledge Generation, Dissemination, and Use).

Aspects	Arrangements		
		(international) (3 person months)	
	Individual: Individual consultant selection, time-based	TA administration (national) (22 person months)	\$96,000
Procurement	To be procured by consultants		
	Request for quotation	Handheld devices, 6 contracts	\$20,900
	Request for quotation	Software package, 2 contracts	\$62,600 ^b
Disbursement	<p>The TA resources will be disbursed following ADB's <i>Technical Assistance Disbursement Handbook</i> (2010, as amended from time to time).</p> <p>The TA has two finance sources, with disbursements to be pro rata—33% (TASF 6) and 67% (UCCRTF)—for all components except the following: (i) subject-specific technical experts for research studies, which are to be disbursed 100% against TASF 6; and (ii) goods, which are to be disbursed 100% against the UCCRTF.</p>		
Asset turnover or disposal arrangement upon TA completion	Purchased goods will be donated to participating implementing agencies of projects to which support is provided.		

ADB = Asian Development Bank, FBS = fixed-budget selection, TA = technical assistance, TASF = Technical Assistance Special Fund, UCCRTF = Urban Climate Change Resilience Trust Fund.

^a Either individual consultants or consulting firms will be employed to undertake the diagnostic studies and develop and test safeguard resources for the various crosscutting thematic issues, depending on how the required level of expertise is best secured since it will vary by thematic area.

^b Estimate for the integrated assessment tool kit and/or integrated safeguard performance tracking system, if required. Source: ADB.

19. **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.²² ADB will disburse the TA funds in accordance with ADB's *Technical Assistance Disbursement Handbook* (2010, as amended from time to time).²³

20. **ADB's procurement.** Under the supervision of ADB, the consulting firms will undertake the procurement of (i) handheld devices, such as tablets for use when testing the safeguard resources and integrated assessment tool kit; and (ii) any software required to deliver the integrated assessment tool kit or ISPTS, if required. The detailed specifications of the items to be procured will be prepared during TA implementation. Procurement will follow the ADB Procurement Policy and its associated project administration instructions and/or staff instructions and the Procurement Regulations for ADB Borrowers (2017, as amended from time to time).²⁴

IV. THE PRESIDENT'S DECISION

21. The President, acting under the authority delegated by the Board, has approved (i) the Asian Development Bank (ADB) administering a portion of technical assistance not exceeding the equivalent of \$3,000,000 to be financed on a grant basis by the Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility and (ii) ADB providing the balance not exceeding the equivalent of \$1,000,000 on a grant basis for Strengthening Safeguards Implementation in ADB Projects, and hereby reports this action to the Board.

²² Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3).

²³ Output-based and/or lump-sum contracts will be considered for consulting services, where appropriate, with the concurrence of ADB's Procurement, Portfolio, and Financial Management Department.

²⁴ Procurement Plan (accessible from the list of linked documents in Appendix 3).

DESIGN AND MONITORING FRAMEWORK

Impact the TA is aligned with ADB environmental and social safeguards upheld (operational priority six, Strategy 2030) ^a			
Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
<p>Outcome</p> <p>Capacity to implement safeguards in ADB projects strengthened</p>	<p>By 2022:</p> <p>a. Projects with overall safeguards indicator rating <i>on track</i> increased by 10% (2019 baseline: Not applicable)</p> <p>b. Projects rated <i>on track</i> in terms of having a functional grievance redress mechanism in place increased by 10% (2019 baseline: Not applicable)</p> <p>c. At least six projects in urban areas that used the integrated environmental and social assessment tool kit incorporated recommendations from the process into project design and implementation (2019 baseline: Not applicable)</p>	<p>a. Project performance rating system report^b</p> <p>b. Project performance rating system report^b</p> <p>c. Project concept paper, report and recommendation of the President, and consultant reports</p>	<p>Change in priorities of executing or implementing agencies shifts resources (or emphasis) away from the use of integrated environmental and social assessment</p>
<p>Outputs</p> <p>1. Safeguard management systems, technical resources, and trainings improved</p>	<p>1a. By 2022, at least 12 new safeguard resources^c developed based on the findings of diagnostic studies, including six on crosscutting thematic issues (2019 baseline: Not applicable)</p> <p>1b. By 2021, an integrated environmental and social assessment tool kit utilizing smart technologies with a focus on urban linear projects disseminated (2019 baseline: Not applicable)</p> <p>1c. By 2021, an online foundational training course developed, tested, published, and rolled out (2019 baseline: Not applicable)</p>	<p>1a. Safeguard resources^c</p> <p>1b. Integrated assessment tool kit</p> <p>1c. Report on the online training course</p>	<p>Transfer of TA-trained executing or implementing agency staff and consultants to other non-safeguard-related roles disrupts the implementation schedule</p>

Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
	1d. By 2021, an integrated portfolio-wide project safeguard risk management and monitoring system established, tested, and rolled out (2019 baseline: Not applicable)	1d. Corporate safeguard risk management and monitoring system report	
2. Safeguard support to DMCs provided	<p>2a. By 2022, at least 150 DMC participants (with at least 40% women) demonstrated enhanced knowledge and skills on crosscutting thematic issues and integrated assessment (2019 baseline: Not applicable)</p> <p>2b. By 2022, at least six projects in urban areas supported to apply the new safeguard resources on crosscutting issues and integrated assessment tool kit (2019 baseline: Not applicable)</p> <p>2c. By 2022, at least three research studies on “sensitive” issues or “problematic” implementation situations supported (2019 baseline: Not applicable)^d</p>	<p>2a. Post-training evaluation report</p> <p>2b. Consultant and project reports</p> <p>2c. Consultant and project reports</p>	
<p>Key Activities with Milestones</p> <p>1. Safeguard management systems, technical resources, and trainings improved</p> <p>1.1 Engage consultants for diagnostic studies and to develop safeguard resources, deliver trainings, and provide select project support under output 2 (Q1 2020).</p> <p>1.2 Undertake diagnostic studies to inform safeguard resources and trainings to be developed (Q3 2020).</p> <p>1.3 Determine the scope and content of the integrated assessment tool kit and engage a consulting firm to develop it and to subsequently test it under output 2 (Q3 2020).</p> <p>1.4 Develop safeguard resources (Q2 2021).</p> <p>1.5 Develop integrated assessment tool kit incorporating the use of smart (e.g., app-based) technologies (Q4 2021).</p> <p>1.6 Determine the scope and content of the online foundational training course and engage consultants (Q2 2020).</p> <p>1.7 Develop, test, publish, and roll out online foundational training course (Q2 2021).</p> <p>1.8 Determine the scope and content of the integrated safeguard risk management and monitoring system to be developed in consultation with the operations departments and engage consultants (Q2 2020).</p> <p>1.9 Organize activities to develop, test, and roll out integrated safeguard risk management and monitoring system (Q4 2021).</p>			

<p>2. Safeguard support to DMCs provided</p> <p>2.1 Consult operations departments and thematic groups to identify suitable projects on which to test the safeguard resources and integrated assessment tool kit (Q1 2021).</p> <p>2.2 Design and deliver executing and implementing agency trainings (Q2 2021).</p> <p>2.3 Support the testing of safeguard resources and integrated assessment tool kit on selected projects (Q4 2021).</p> <p>2.4 Design and deliver regional trainings on crosscutting thematic issues and integrated assessment (Q2 2022).</p> <p>2.5 Engage consultants to conduct research studies and deliver capacity-development activities on “sensitive” issues or “problematic” implementation situations (Q2 2022).^d</p>
<p>Inputs</p> <p>ADB: \$1,000,000</p> <p>Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility: \$2,000,000</p>
<p>Assumptions for Partner Financing</p> <p>Not applicable</p>

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

^a ADB. 2019. *Strategy 2030 Operational Plan for Priority 6: Strengthening Governance and Institutional Capacity, 2019–2024*. Manila.

^b A new safeguards performance tracking system under the project performance rating system is being piloted. The first set of new data (2020) under this new system will be available by Q1 2020. Target change in performance is from Q1 2020 to Q4 2022.

^c Safeguard resources may include guidance, tools, good practice case studies, or training materials. Existing good practices and innovative approaches to safeguard assessment and management will be incorporated into the resources developed.

^d “Sensitive” refers to the presence of natural or critical habitats, protected areas, nationally or internationally important physical or cultural resources, or particularly disadvantaged or vulnerable individuals or groups at risk. “Problematic” refers to high environmental or social risk implementation situations in DMCs with weak country safeguard systems.

Source: ADB.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Amount
A. Asian Development Bank^a	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	248.3
ii. National consultants	140.3
b. Out-of-pocket expenditures	
i. International and local travel	287.2
2. Printed external publications ^b	5.0
3. Trainings	
a. Resource persons ^c	15.0
b. Venue rental and related facilities	13.3
c. Participants	72.5
4. Surveys	166.7
5. Miscellaneous administration and support costs ^d	1.7
6. Contingencies	50.0
Subtotal (A)	1,000.0
B. Urban Climate Change Resilience Trust Fund^e under the Urban Financing Partnership Facility	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	413.2
ii. National consultants	280.7
b. Out-of-pocket expenditures	
i. International and local travel	574.3
ii. Goods ^f	83.5
2. Printed external publications ^b	10.0
3. Trainings	
a. Resource persons ^c	30.0
b. Venue rental and related facilities	26.7
c. Participants	145.0
4. Surveys	333.3
5. Miscellaneous administration and support costs ^d	3.3
6. Contingencies	100.0
Subtotal (B)	2,000.0
Total	3,000.0

Note: The technical assistance (TA) is estimated to cost \$3,000,000, of which contributions from the Asian Development Bank and the Urban Climate Change Resilience Trust Fund are presented in the table.

^a Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF 6).

^b External publications arising from the TA will be disseminated as an electronic document (e.g., HTML and/or PDF) and will be printed only for developing member country stakeholders on demand.

^c Includes travel cost of Asian Development Bank staff acting as a resource person.

^d Includes costs for translation of documents.

^e Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom. Administered by the Asian Development Bank.

^f Goods to be purchased include handheld devices, such as tablets to be used for the testing of safeguard resources and the integrated assessment tool kit, and software packages (if required) for the risk management and monitoring system and integrated assessment tool kit.

Source: Asian Development Bank estimates.

LIST OF LINKED DOCUMENTS

<http://www.adb.org/Documents/LinkedDocs/?id=53125-001-TARreport>

1. Terms of Reference for Consultants
2. Procurement Plan

Supplementary Document

3. Selection Criteria