



Technical Assistance Report

Project Number: 46282
Regional—Capacity Development Technical Assistance (R-CDTA)
December 2013

Improving Safeguard Policy Applications in South Asia Developing Member Countries

Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
DMC	–	developing member country
EMP	–	environmental management plan
NGO	–	nongovernment organization
PIU	–	project implementation unit
PMU	–	project management unit
SARD	–	South Asia Department
TA	–	technical assistance
TASF	–	Technical Assistance Special Fund

TECHNICAL ASSISTANCE CLASSIFICATION

Type	– Regional—capacity development technical assistance (R-CDTA)
Targeting classification	– General intervention
Sector (subsectors)	– Multisector (large hydropower, electricity transmission and distribution, road transport, urban transport; water supply and sanitation, waste management)
Themes (subthemes)	– Capacity development (institutional development, organizational development, client relations, network, and partnership development), social development (indigenous people, other vulnerable groups), environmental sustainability (natural resources conservation, environmental policy and legislation)
Location (impact)	– Rural (medium), urban (medium), national (medium), regional (low)

NOTE

In this report, "\$" refers to US dollars.

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I. INTRODUCTION

1. The results and effectiveness of development efforts are quite often interrupted or delayed by flawed implementation of safeguard measures to mitigate adverse environmental and social effects of projects. The Asian Development Bank's (ADB's) South Asia Department (SARD) has prioritized the need to understand these issues and is currently implementing small-scale technical assistance (TA) to assess compliance with environmental and social safeguards in ADB-funded infrastructure projects in Bhutan, India, and Nepal.¹ The small-scale TA had identified an interrelated set of issues between the planning and the implementation of environmental and social safeguards, and had recommended an action plan that addresses capacity development needs in Bhutan, India, and Nepal. Through the small-scale TA SARD has engaged selected developing member countries (DMCs) in South Asia for the first time in a concerted dialogue about rationalizing safeguard implementation practices. The aim of the proposed regional capacity development TA is to deliver the improvements laid out in the action plan and extend similar investigations on the status of safeguard policy application as well as develop capacity in safeguard planning, implementation, and monitoring in Bangladesh, the Maldives, and Sri Lanka. The TA is based on findings that executing and implementing agencies are constrained by their lack of technical skills and resources, as well as findings of weaknesses in safeguard monitoring systems and communication between executing agencies, resident missions, and ADB headquarters.

2. The TA will enable sharing of best practices and cooperation between selected DMCs in South Asia. This is in line with ADB's Safeguard Policy Statement (2009), which emphasizes the need for ADB to work with borrowers to implement safeguard measures effectively. The TA is also in line with the South Asia regional cooperation strategy, 2011–2015, which supports project implementation and capacity development initiatives.² One of the salient features of the TA is a “train-the-trainer” program, which will develop a long-term, sustainable resource base in each DMC to handle nationwide projects. The training program will also cover contractors and nongovernment organizations (NGOs) working on ADB-funded projects, thus contributing directly to enhance field practices.

3. The impact, outcome, outputs, implementation arrangements, and financing plan have been shared with the participating governments and their concurrence is being pursued. The design and monitoring framework is in Appendix 1.³

II. ISSUES

4. A review of safeguard implementation practices and an institutional capacity assessment revealed at least five delivery tiers of safeguard entities in the development and implementation of environmental and social safeguards: (i) ADB staff, who guide borrowers and consultants in the design, content, and monitoring of safeguard planning documents; (ii) executing and implementing agencies, which usually have “safeguard cells” in project management units (PMUs) or project implementation units (PIUs) that monitor and report to ADB on safeguard implementation; (iii) supervising consultants, who often bridge PMUs, PIUs, and contractors by providing a safeguard monitoring and reporting function for PMUs; (iv) contractors, who usually assign site engineers to handle environmental safeguards, often as a secondary task (for social

¹ ADB. 2012. *Technical Assistance for Improving the Implementation of Safeguard Policy Applications in Selected South Asia Developing Member Countries*. Manila (TA 8274-REG, approved on 14 December). The small-scale TA is due to be completed by December 2013.

² ADB. 2011. *South Asia: Regional Cooperation Strategy, 2011–2015*. Manila.

³ The TA first appeared in the business opportunities section of ADB's website on 23 September 2013.

safeguards, NGOs engaged to implement resettlement plans may not be fully integrated with the PMU or PIU); and (v) local communities, which may assume the default position of being the on-site safeguard monitors, often without adequate skills, knowledge of the environmental management plan (EMP) and resettlement plan, and reporting tools and other competencies. At each tier, safeguard entities face challenges in implementing their assigned tasks effectively. Furthermore, the functional links between entities sometimes get blurred or overlap, causing one agency to rely on others to do the work, which can lead to less accountability and delays in implementation.

5. Each DMC in South Asia has legislation and regulations pertaining to environmental planning and management systems that recommend mitigation measures to reduce negative environmental impacts to an acceptable level. Such environmental planning and management systems are generally adequate to meet ADB's criteria for project review and approval. But lack of follow-up by the borrower on implementation and monitoring of environmental safeguards and nominal oversight by the in-country regulator following environmental clearance often lead to poor implementation of safeguards. In many projects, although environmental safeguard plans may comply with procedural requirements, there are no site-specific EMPs. As a consequence, project staff, supervising consultants, and contractors do not know what is required to prevent or resolve environmental issues at project locations. There is a need for more rigorous EMPs that are based on cross-checking environmental issues and impacts for all combinations of activities and locations, and a need for verification of these details by ADB, the project staff, and the community, so that the key stakeholders in the environmental management process have the same understanding and expectations. A related issue is that EMPs usually do not evaluate the cost of environmental mitigation measures. Furthermore, many contractors may find it difficult to engage a dedicated environmental officer. Rather than make the site engineer responsible for environmental safeguards, as often happens, environmental management capacity needs to be developed and made available to such contractors.

6. Other environmental implementation issues include (i) belated implementation of site mitigation measures, such as building retaining walls long after a road has been cut through a hill or mountain and soil has been exposed to erosion for long periods; (ii) work site safety; and (iii) anomalies in monitoring and reporting. Monitoring anomalies include sampling at inappropriate times and locations. Most contractors have an obligation for self-monitoring and reporting, but they tend to repeat daily observations about environmental safeguard implementation with little variation. Furthermore, on many occasions, environmental breaches noted by supervising consultants have not been fixed, at least not quickly. Monitoring variables, including parameters and specifications, therefore need to be tailored to project-specific activities and conditions, and monitoring procedures need to be more rigorously applied and documented. In some projects, the remoteness of subproject locations discourages frequent site monitoring, and resources (time and money) are inadequate for diligent monitoring. As a result, the monitoring reports submitted by executing or implementing agencies may not reflect the environmental quality of such sites.

7. In South Asia DMCs, social safeguards fall under the purview of land acquisition laws and associated regulations, which provide the mechanisms for redressing grievances and determining compensation rates. Delays in land acquisition contribute to delays in project implementation. Country-specific policy and legal requirements, times to complete those requirements, and government agencies' procedures all need to be examined, especially because time frames for the preparation and implementation of resettlement plans are sometimes unrealistic. In the Bihar State Road Highway Project, for example, the executing agency initiated land acquisition under the urgency clause of the Land Acquisition Act, 1894

(amended in 1984).⁴ But despite the application of the urgency clause, the acquisition took 2 years. In Bhutan, land for the Urban Infrastructure Development Project was acquired through land pooling, which took almost 3 years to complete as, in many cases, the people affected did not understand exactly how much land the project would use.⁵

8. Payment of compensation and implementation of resettlement plans get delayed for a number of reasons: (i) non-titled landholders are not recognized by local legislation; (ii) frequent changes or delays in finalizing the detailed project design (even when the resettlement plan is at an advanced stage of implementation); (iii) lack of communication with NGOs that are engaged to implement resettlement and indigenous peoples plans but often not used cost-effectively, especially when the project encounters late changes to design; (iv) lack of consultation with people affected by the project during the preparation of resettlement plans, leading to consequent challenges to compensation rates and resettlement options; (v) lack of coordination between the design team and the social safeguard specialists; and (vi) poor understanding by executing and implementing agencies of basic elements of the concept of replacement cost and their variability with country-specific norms. There is a need to describe the process of calculating replacement cost for each project from a country perspective.

9. The quality of reporting on social safeguard monitoring needs improvement. Because no standard guidelines address what should be covered, the effectiveness of mitigation measures and benefits for people affected by projects cannot be evaluated objectively.

10. The small-scale TA piloted a web-based system for tracking safeguard performance in Nepal, and there is a need to test its applicability in other DMCs. The tracking system requires accurate and timely inputs from project work sites, which can remain the weak link, especially where oversight by ADB staff, the contractor, and the supervising consultant is limited. There is thus a need to overhaul the way project-specific safeguard requirements are documented—from location-specific safeguard design, to contractor review processes and sign-off, to safeguard implementation effectiveness. A safeguard tracking system needs to be established in ADB's headquarters and resident missions, and should be readable from both locations with appropriate access for executing and implementing agencies.

11. The proposed TA will address these safeguard issues by providing systematic guidance and capacity development for all relevant stakeholders involved in processing and implementing ADB-funded projects in SARD.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

12. The impact of the TA will be better safeguard implementation practices in ADB-funded projects in DMCs in South Asia. The outcome will be stronger capacity of both ADB and key government agencies to systematically design, implement, and monitor environment and social safeguard aspects of ADB projects.

⁴ ADB. 2008. *Report and Recommendation of the President to the Board of Directors: Proposed Loan to India for the Bihar State Highways Project*. Manila.

⁵ ADB. 2006. *Report and Recommendation of the President to the Board of Directors: Proposed Loan and Technical Assistance Grant to the Kingdom of Bhutan for the Urban Infrastructure Development Project*. Manila.

B. Methodology and Key Activities

13. The TA will have three outputs: (i) safeguard implementation manuals, including guidelines, procedures, and training materials, will be developed; (ii) training programs will be implemented; and (iii) a web-based automated system for tracking safeguard performance will be developed.

14. **Output 1: Safeguard implementation manuals, including guidelines, procedures, and training materials developed.** For participating DMCs in South Asia, safeguard manuals including guidelines and procedures will be formulated. The manuals will cover environmental considerations, involuntary resettlement, and indigenous peoples. They will summarize safeguard policies, laws, and regulations in a coherent form that indicates their degree of congruence with ADB's safeguard policy requirements, and recommend actions to fill gaps (if any) when ADB-funded projects are developed. Due consideration will be given to any completed or ongoing TA work under Strengthening and Use of Country Safeguard Systems.⁶ The guidelines for the implementation of countries' safeguard requirements and ADB Safeguard Policy Statement requirements will be formulated in the most comprehensive manner that allows simplified tracking of activities and optimal use of time. Each safeguard manual will be user-friendly, with ample examples and references to projects. The manuals will also list national, state, and local resources that can be mustered to apply safeguard requirements.

15. The TA consultants will develop training materials in consultation with SARD staff and borrowers in ADB-sponsored projects and programs. The materials will contain ample first-hand examples from the field. Along with summaries of workshop discussions, they will serve as useful references on the application of safeguard requirements in diverse sociocultural and economic contexts.

16. **Output 2: Training programs implemented.** In each participating DMC, the international TA consultants will train a core group of national safeguard trainers on local and ADB safeguard policy requirements. The resident missions will help identify the core national trainers, in consultation with government officials, NGOs, and other stakeholders who participate in ADB project planning and implementation. Among others, the core group of trainers may include relevant staff from the executing and implementing agencies and NGOs. The train-the-trainers program will use TA manuals and field examples as training material. During the training sessions, this documentation will be further refined with input from the national trainers. Output 2 will ensure that in-country training resources are established with the ability to replicate training and increase national coverage of trained safeguard personnel.

17. On the basis of individual DMC requests and ADB experience, key government agencies in DMCs will be targeted for capacity development from the initial stages of TA implementation. The consultants, with the assistance of safeguard staff at the resident missions, will hold regular consultations with key government agencies, selected project contractors including NGOs, and other project stakeholders on safeguard requirements, application, and performance monitoring. To improve the formulation and effective implementation of EMPs, a new approach will be explored, including site-specific assessments of cost estimates for safeguard mitigation measures in contractors' proposals. The consultants will share the draft manuals and training materials with the national trainers and identified stakeholders, and consider suggestions to improve and make them relevant to a given project. The national trainers produced through the

⁶ ADB. 2010. *Technical Assistance for Strengthening and Use of Country Safeguard Systems*. Manila.

train-the-trainer program will deliver on-the-job training for the targeted group of key government agencies and other identified stakeholders.

18. **Output 3: Web-based automated system for tracking safeguard performance developed.** The safeguard performance tracking system will enable ADB and the DMCs to check the current state of affairs of any ADB-funded project or subproject. Executing and implementing agencies will be able to update safeguard implementation records regularly and ADB can validate them. The tracking system will cover safeguards for the environment, involuntary resettlement, and indigenous peoples. It will track the performance and progress of safeguard planning and implementation activities in projects and assign different weights to key activities. On the basis of the values assigned to each key activity, the staff and relevant project authority will be able to ascertain the level of compliance of a project at different stages. This tracking system will be piloted in Bhutan, India, and Nepal, and will be expanded to cover all other DMCs in South Asia.

C. Cost and Financing

19. The TA is estimated to cost \$1.5 million which will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF-V).⁷ The cost estimates and financing plan is in Appendix 2.

D. Implementation Arrangements

20. The TA is expected to start in February 2014 and be completed by February 2017. ADB will be the executing agency, and SARD will implement the proposed activities, in coordination with safeguard staff in the resident missions. The participating governments will provide support in the form of data and other information, counterpart staff, office accommodations and facilities, and transportation to site visits for training purposes.

21. On an intermittent basis, ADB will engage individual consultants in accordance with the Guidelines on the Use of Consultants (2013, as amended from time to time). Two international consultants, an environmental safeguard specialist and a social safeguard specialist, will be engaged for a total of 31 person-months. Their main tasks will be to enhance the overall quality of environmental and social safeguard design and planning, implementation, monitoring, and reporting on ADB projects in Bhutan, India, and Nepal by preparing the necessary manuals and training materials. ADB will engage 19 national consultants for a total of 56 person-months. Detailed terms of reference for the consultants are in Appendix 3. Disbursements under the TA will be made in accordance with ADB's *Technical Assistance Disbursement Handbook* (2010, as amended from time to time). No activity will be financed in any DMC until ADB receives a letter of no objection in respect of such activity from the government of such DMC.

IV. THE PRESIDENT'S DECISION

22. The President, acting under the authority delegated by the Board, has approved the provision of technical assistance not exceeding the equivalent of \$1,500,000 on a grant basis for Improving Safeguard Policy Applications in South Asia Developing Member Countries, and hereby reports this action to the Board.

⁷ As funds become available, the TA budget will be augmented to cover additional priority countries such as Bangladesh, the Maldives, and Sri Lanka.

DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
Impact Better safeguard implementation practices in ADB-funded projects in DMCs in South Asia	By 2020: No major issue raised in external audits of project environmental management plans and social safeguard plans Fewer safeguard complaints filed against ADB-funded projects from 2017 ^a onward	External monitor report Annual reports of sector agencies Annual reports on ADB's Accountability Mechanism Complaints recorded with grievance redress committees and shown in the web-based safeguard performance tracking system	Assumption Government executing and implementing agencies invest the required time, funds, and human resources
Outcome Stronger capacity of both ADB and key government agencies to systematically design, implement, and monitor environment and social safeguard aspects of ADB projects	By 2017, 100% compliance of safeguard planning documents with ADB Safeguard Policy Statement at the Management Review Meeting stage Timely approval and percentage of disclosure of safeguard monitoring reports improved from 2013 level (baseline data)	ADB internal monitoring reports Management Review Meeting minutes Project environmental and social safeguard monitoring reports Project progress reports	Assumption Training participants are able to incorporate new skills into their routine safeguard work
Outputs 1. Safeguard implementation manuals, including guidelines, procedures, and training materials developed 2. Training programs implemented	Manuals and training materials on safeguard issues approved by 2017 18 national trainers from participating DMCs—nine environment specialists and nine social safeguard specialists—complete the train-the-trainer program by 2015	TA progress reports Review reports on training evaluations Training effectiveness follow-up interviews (6 months after training)	Assumption Proposed training participants are available for the duration of training programs Risks Inappropriate people are nominated by government agencies for training Lack of post-training support by government and enabling environment Web-based database

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p>3. Web-based automated safeguard system for tracking safeguard performance developed</p>	<p>By 2017, at least 50 participants from the participating DMCs complete the on-the-job training by national trainers</p> <p>At least 20 controlled input and read-only safeguard tracking systems in operation at SARD, resident missions, and participating project offices in DMCs by end of 2017</p>	<p>Review reports on the content and access procedures of the safeguard tracking system</p> <p>Cross-checking with hardcopy safeguard compliance reports from projects in each of the South Asia DMCs</p>	<p>accessed by external users can be prone to hacking</p>
<p>Activities with Milestones</p> <p>Output 1: Safeguard implementation manuals, including guidelines, procedures, and training materials developed</p> <ol style="list-style-type: none"> 1.1 Select two international consultants—one environmental and one social safeguard specialist—by February 2014 1.2 Confirm small-scale TA findings and finalize training needs for Bhutan, India, and Nepal between March and August 2014 1.3 Take stock of safeguard capacity-building activities and status of competency in implementation practices in Bangladesh, the Maldives, and Sri Lanka as supplementary funds become available by 2016 1.4 Develop safeguard implementation manuals, including guidelines and procedures, and training materials between May 2014 and June 2015 1.5 Assess the adequacy of manuals and training materials and modify as required for Bangladesh, the Maldives, and Sri Lanka when supplementary funds are available by 2017 <p>Output 2: Training programs implemented</p> <ol style="list-style-type: none"> 2.1 Select national consultants to be trained as trainers by April 2015 2.2 Deliver train-the-trainer program by two international consultants for national trainers in Bhutan, India, and Nepal using the training material from output 1 between July and December 2015 2.3 Select national consultants to be trained as trainers for Bangladesh, the Maldives, and Sri Lanka; deliver the train-the-trainer program as supplementary funds become available by 2016 2.4 Select targeted group of trainees from three government agencies in Bhutan, India, and Nepal by August 2015 2.5 Select contract staff working on ADB projects by August 2015 2.6 Deliver on-the-job training to the targeted groups by national trainers by 2016 2.7 Extend activities 2.4–2.6 to Bangladesh, the Maldives, and Sri Lanka as supplementary funds become available by 2017 2.8 Enhance quality of safeguard planning documents and monitoring reports for SARD between February 2014 and February 2017 			<p>Inputs</p> <p>Asian Development Bank: \$1.5 million (TASF-V)</p>

Activities with Milestones	Inputs
<p>Output 3: Web-based automated system for tracking safeguard performance developed</p> <p>3.1 Finalize the pilot system following testing in the Nepal resident mission with participating executing and implementing agencies between February and July 2014</p> <p>3.2 Organize pilot runs for India resident mission and Bhutan with participating executing and implementing agencies between July 2014 and July 2015</p> <p>3.3 Following all necessary approvals, organize permanent resources for maintenance of the system between August 2015 and February 2016</p> <p>3.4 As supplementary funds become available, trial-run the web-based database in the Bangladesh resident mission, the Sri Lanka resident mission, and the Maldives with participating executing and implementing agencies by 2017</p>	

ADB = Asian Development Bank, DMC = developing member country, NGO = nongovernment organization, SARD = South Asia Department, TA = technical assistance.

^a The web-based safeguard performance tracking system under output 3 will start to record complaints in 2017, thus effectively establishing the baseline conditions.

Source: Asian Development Bank.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Amount
Asian Development Bank^a	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	508.68
ii. National consultants	444.42
b. International and local travel	200.00
c. Reports and communications	10.00
2. Equipment ^b	5.00
3. Seminars, workshops, and training ^{c,d}	251.90
4. Miscellaneous administration and support costs	5.00
5. Contingencies	75.00
Total	1,500.00

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

^b A nominal amount has been assigned to make provisions for hiring or purchasing basic environmental monitoring equipment for demonstration purposes. Any equipment purchased will be left with the pertinent government agency for their use. Any procurement will be carried out in accordance with the Procurement Guidelines (2013, as amended from time to time).

^c Indicated amount is an estimate for conducting train-the-trainer programs and on-the-job training for key government agencies and their contractors in Bhutan, India, and Nepal. Details on distribution of the funds will be worked out with the consultants once selected and will be subject to ADB's approval. Consequently, substantial provisions are also made in the contingency amount, which is subject to ADB approval.

^d Technical assistance can be used for travel by resource staff to meetings and training workshops.

Source: Asian Development Bank estimates.

OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

1. The primary aim of the regional capacity development technical assistance (TA) is to improve the quality of safeguard documentation and implementation across developing member countries (DMCs) of the Asian Development Bank (ADB) in South Asia.

A. Scope of Work

2. A salient feature of the TA is to build in-country capacity to deliver training, to ensure follow-through capability after the training period has ended. This will be realized by providing a “train-the-trainer” program in which two international consultants will provide training to 18 national trainers, who in turn will train key government agencies and their contractors as well as staff of nongovernment organizations (NGOs).

3. **Environmental management specialist and team leader** (international, 16 person-months including 4 person-months of field time over 36 months). The specialist will have at least a master’s degree or equivalent academic qualifications in environmental science, environment management, environmental engineering, or a related field from a recognized university. The specialist will also have at least 10 years of experience in environmental planning, implementation, and monitoring. Work experience in major infrastructure development projects in roads or transportation, energy, and urban development sectors in South Asia will be helpful. A good grasp of ADB’s environmental safeguard policy, procedures, and their application and evaluation methods is expected. Good writing skills in English are essential. The specialist will work under the direction of the safeguard specialist of the Portfolio, Results, and Quality Control Unit, Office of the Director General, South Asia Department (SARD), and will cooperate and work with the staff of resident missions of ADB in South Asia throughout the assignment period (2014–2017).

4. As team leader, the specialist will
- (i) organize and manage the TA to ensure quality and timeliness, including coordinating activities, providing oversight, and leading the preparation and delivery of TA outputs, as guided by ADB;
 - (ii) work with the SARD safeguard specialist, resident mission staff, and national safeguard trainers throughout TA implementation;
 - (iii) where necessary, continue the dialogue initiated under the small-scale TA with government agencies, project authorities, and NGOs in South Asia DMCs that implement major infrastructure projects to identify the key safeguard policy issues of such projects;¹
 - (iv) ascertain the degree of congruence of country- and sector-level safeguard policies, laws, and regulations in each DMC with ADB’s Safeguard Policy Statement (2009) requirements regarding environmental safeguards; and where relevant, obtain this information from work done under the ADB TA for Strengthening and Use of Country Safeguard Systems;²
 - (v) assess local capacity to deal with safeguard policy compliance issues at the sector, state, and national levels, and identify opportunities for improvement; and where relevant, obtain this information from work done under the ADB TA for Strengthening and Use of Country Safeguard Systems;

¹ ADB. 2012. *Technical Assistance for Improving the Implementation of Safeguard Policy Applications in Selected South Asia Developing Member Countries*. Manila (TA 8274-REG, approved on 14 December).

² ADB. 2010. *Technical Assistance for Strengthening and Use of Country Safeguard Systems*. Manila.

- (vi) review environmental safeguard training programs in each DMC and document their main objectives, results, and recommendations;
- (vii) work with SARD safeguard specialists to understand safeguard standards and issues in order to prepare relevant manuals, including guidelines and procedures, and training materials;
- (viii) prepare an environmental safeguard manual, including guidelines and procedures, that addresses issues identified in the small-scale TA;
- (ix) using the country-specific action plans developed under the small-scale TA and observations of the quality of environmental safeguard planning documents, plan training programs for participating DMCs;
- (x) prepare training materials for capacity development programs for national safeguard trainers;
- (xi) assist resident mission staff in selecting national environmental safeguard trainers from each participating DMC;
- (xii) conduct training for national environmental safeguard trainers in participating DMCs through a train-the-trainer program;
- (xiii) prepare the TA completion report, with input from the rest of the international and national consultant team;
- (xiv) using the training material prepared under the TA, assess and recommend whether there is scope for development of e-learning modules; and
- (xv) undertake any other task within his or her area of expertise at the request of ADB.

5. **Social safeguard specialist** (international, 15 person-months including 4 person-months of field time over 36 months). The specialist will have a master's or equivalent degree in sociology or social anthropology or in a relevant social science discipline from a recognized university. At least 10 years of field experience in South Asia pertaining to planning, implementing, and monitoring involuntary resettlement and indigenous peoples programs is required. A good grasp is expected of ADB's safeguard policies related to involuntary resettlement and indigenous peoples, as well as its safeguard procedures, their application, and evaluation methods. Good writing skills in English are essential. The specialist will work under the direction of the SARD safeguard specialist and will cooperate and work closely with the staff of resident missions in South Asia throughout the assignment.

6. The specialist will

- (i) where necessary, continue the dialogue initiated under the small-scale TA with government agencies, project authorities, and NGOs in DMCs that implement major infrastructure projects to identify the key safeguard policy issues of such projects;
- (ii) ascertain the degree of congruence of country- and sector-level safeguard policies, laws, and regulations in each participating DMC with ADB's Safeguard Policy Statement (2009) requirements regarding involuntary resettlement and indigenous peoples; and where relevant, obtain this information from work done under the ADB TA for Strengthening and Use of Country Safeguard Systems;
- (iii) assess local capacity to deal with safeguard policy compliance issues at the sector, state, and national levels, and identify opportunities for improvement. Where relevant, obtain this information from work done under the ADB TA for Strengthening and Use of Country Safeguard Systems;
- (iv) review social safeguard training programs in each selected DMC and document their main objectives, results, and recommendations;
- (v) work with SARD safeguard specialists to understand safeguard standards and issues in order to prepare relevant manuals, including guidelines and procedures,

- and training materials;
- (vi) prepare a social safeguard manual, including guidelines and procedures, that addresses issues identified in the small-scale TA;
- (vii) using the country-specific action plans developed under the small-scale TA and findings and observations on the quality of social safeguard planning documents, plan training programs for participating DMCs;
- (viii) prepare training materials for capacity development programs for national safeguard trainers;
- (ix) assist resident mission staff in selecting national social safeguard trainers from each of the participating DMCs;
- (x) conduct training for national social safeguard trainers in each of the participating DMCs through a train-the-trainer program; and
- (xi) undertake any other task within his or her area of expertise at the request of the team leader and ADB.

7. **Trainers** (18 positions, national, 3 person-months each, including 1.5 person-months in the field; intermittent). Nine environment specialists and nine social safeguard specialists from Bhutan (4), India (10), and Nepal (4) will be required. Each trainer will have an academic degree in environment, environmental engineering, ecology, sociology, anthropology, or applied sciences from a recognized university; and professional qualifications as trainers in environment (nine of them) or social sciences (the other nine). At least 5 years of training experience in issues related to environment, resettlement, or indigenous and tribal peoples is expected. Experience in training on environment or social safeguards will be helpful.

8. The national trainers are the core group in each DMC for conducting local capacity development of key government agencies. They will undergo a 5-day safeguard training in their DMC, conducted by the international environment and social safeguard specialists. During this period, in addition to undergoing safeguard training, they will contribute to the finalization of the training modules by sharing their safeguard training experience with the international specialists. Each national trainer will be expected to spend about 6 weeks of a 12-week assignment in outstations in the country, conducting safeguard training programs for staff in key government agencies, their contractors and NGOs, as planned by the international safeguard specialists in conjunction with ADB resident mission staff.

9. Each national trainer will
- (i) attend environmental or social safeguard training programs conducted by the international safeguard specialists;
 - (ii) provide feedback to improve training materials, examples, and presentations;
 - (iii) at the training programs, after reviewing the training material prepared by the international specialists, (a) provide both written and oral presentations about their own training experience in the DMC and the key areas where additional safeguard training is required, and (b) describe the status of safeguard application at the sector, agency, and project levels;
 - (iv) where required, assist the international specialists in revising, updating, and preparing and finalizing training materials;
 - (v) assist the international specialists in providing logistical support for conducting training programs; selecting trainees from participating government agencies; and recording the proceedings of training programs;
 - (vi) conduct training programs for key government agencies, closely following the formats, presentations, and notes provided by the international specialists;

- (vii) record salient observations, findings, and recommendations to help improve training manuals and materials for future training programs; and

10. **Information technology consultant** (national, 2 person-months). The consultant will have a bachelor's degree in computer science or an equivalent field, and extensive experience in the preparation and programming of databases and in web-based querying.

11. The consultant will

- (i) finalize the web-based safeguard performance tracking system piloted under the small-scale TA by confirming the current operational practices in consultation with user groups, including project teams from the executing agencies, implementing agencies, and resident missions;
- (ii) where necessary, consult with ADB's Office of Information Services and Technology to obtain knowledge about the current system and evaluate compatibility requirements;
- (iii) organize pilot runs for the Bhutan and India resident missions, and debug the system where required;
- (iv) prepare technical procedures necessary for system design;
- (v) following necessary approvals, organize the launching of the system in iCloud; and
- (vi) train staff through face-to-face and video link interaction.

B. Deliverables by the International Consultants

12. All reports, training manuals, training materials, and summaries of training programs are to be submitted in English and in the languages of the participating DMCs. All reports will be a composite of environmental and social safeguard aspects. The team leader will submit the following reports, with contributions and assistance from the rest of the team.

- (i) **Inception report.** Within 30 days after commencement of the TA, the consultants will submit a report summarizing the findings and recommendations and safeguard action plans of the small-scale TA, and elaborating the consultants' approach to implementing the action plan, the methodology, and the schedule.
- (ii) **Interim report I.** At the end of the first 6 months of the TA, the consultants will report on progress in completing country assessments, any revision of the action plan, and the training needs assessment. The report will also include an outline of training programs for national trainers, and project executing and implementing agencies in selected DMCs.
- (iii) **Interim report II.** At the end of the first 12 months of the TA, the consultants will submit a report describing the activities completed at that point. The report will outline (a) results and findings of any further consultations with relevant government agencies, project-affected people, and NGOs; (b) comments on and revisions, if any, to the capacity assessment report and action plan; (c) summary findings about the quality of safeguard planning instruments, their implementation, and their monitoring; (d) manuals, including guidelines and procedures, and training materials; and (e) contents of the train-the-trainer program.
- (iv) **Interim report III.** In the 18th month of the TA, the consultants will submit a report outlining the progress in preparation of (a) the manuals, including guidelines and procedures, and training materials; and (b) the train-the-trainer program.
- (v) **Interim report IV.** In the 24th month of the TA, the consultants will submit an evaluation report for the train-the-trainer program.

- (vi) **Interim report V.** In the 30th month of the TA, the consultants will submit a report outlining achievements in capacity development training and workshops. Inputs to this report will be required from both the national and international consultants.
- (vii) **Final report.** The final report will be submitted within 1 month after the completion of the TA (after 36 months). It will assess the TA and its contribution to the development of capacity in the participating DMCs to apply safeguard policies in project planning, implementation, and monitoring.

C. Deliverables by the National Trainers

- 13. The national trainers will submit the following:
 - (i) contributions to the safeguard training materials, handouts, and web-based database;
 - (ii) training workshop minutes, including key observations, areas for further training, and recommendations; and
 - (iii) TA progress reports.