



# Technical Assistance Report

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Project Number: 53190-001  
Transaction Technical Assistance Facility (F-TRTA)  
July 2021

## Southeast Asia Facility for Resilient Cities

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Asian Development Bank

## ABBREVIATIONS

ADB	–	Asian Development Bank
COVID-19	–	coronavirus disease
DMC	–	developing member country
O&M	–	operation and maintenance
SURF	–	Southeast Asia Urban Services Facility
TA	–	technical assistance

## NOTE

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

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<sup>a</sup>Outposted to the Indonesia Resident Mission.

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## TRANSACTION TECHNICAL ASSISTANCE FACILITY AT A GLANCE

<b>1. Basic Data</b>		<b>Project Number: 53190-001</b>	
Project Name	Southeast Asia Facility for Resilient Cities	Department/Division	SERD/SEUW
Nature of Activity	Project Preparation, Capacity Development, Policy Advice Facility	Executing Agency	Asian Development Bank
Modality	REG (All DMCs)		
Country			
<b>2. Sector</b>		<b>ADB Financing (\$ million)</b>	
✓ Water and other urban infrastructure and services	Other urban services		1.00
	Urban policy, institutional and capacity development		0.50
	Urban sanitation		0.50
	Urban solid waste management		0.50
	Urban water supply		1.00
	<b>Total</b>		<b>3.50</b>
<b>3. Operational Priorities</b>		<b>Climate Change Information</b>	
✓ Addressing remaining poverty and reducing inequalities		GHG Reductions (tons per annum)	0.000
✓ Accelerating progress in gender equality		Climate Change impact on the Project	Low
✓ Tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability		<b>ADB Financing</b>	
✓ Making cities more livable		Adaptation (\$ million)	0.00
✓ Strengthening governance and institutional capacity		Mitigation (\$ million)	0.00
		<b>Cofinancing</b>	
		Adaptation (\$ million)	0.00
		Mitigation (\$ million)	0.00
<b>Sustainable Development Goals</b>		<b>Gender Equity and Mainstreaming</b>	
SDG 5.c		Effective gender mainstreaming (EGM)	✓
SDG 6.1, 6.2, 6.3			
SDG 11.1, 11.7, 11.a		<b>Poverty Targeting</b>	
SDG 12.2		Geographic Targeting	✓
<b>4. Risk Categorization</b>	Complex		
<b>5. Safeguard Categorization</b>	Safeguard Policy Statement does not apply		
<b>6. Financing</b>			
<b>Modality and Sources</b>		<b>Amount (\$ million)</b>	
ADB		3.50	
Transaction technical assistance: Technical Assistance Special Fund		3.50	
<b>Cofinancing</b>		<b>0.00</b>	
None		0.00	
<b>Counterpart</b>		<b>0.00</b>	
None		0.00	
<b>Total</b>		<b>3.50</b>	
Currency of ADB Financing: US Dollar			



## I. THE TECHNICAL ASSISTANCE FACILITY

### A. Justification

#### 1. The Proposal

1. The transaction technical assistance (TA) facility will provide project preparation and implementation support, policy advice, and capacity development for projects and investment programs in the urban development and water sector of the Southeast Asia (SEA) region.<sup>1</sup> It will support the Southeast Asia Urban Development and Water Division (SEUW) in delivering integrated and innovative solutions for cities by forging long-term partnerships with these cities through investments in resilient urban infrastructure and policy and regulatory support to enhance institutional effectiveness. The TA facility is aligned with ADB's Strategy 2030 operational priorities and will support the delivery of solutions for (i) addressing remaining poverty and reducing inequalities; (ii) accelerating progress in gender equality; (iii) making cities more livable; (iv) tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability; and (v) strengthening governance and institutional capacity.<sup>2</sup> The TA facility also supports implementation of the country partnership strategies and country operations business plans for ADB developing member countries (DMCs) in the SEA region.

#### 2. Sector Challenges

2. **Rapid urbanization and increased climate change risks.** Countries in the SEA region continue to experience rapid urbanization and its cities are particularly exposed to climate change-related events such as temperature and sea level rises, changes in rainfall patterns, flooding, and drought. These natural hazards are increasing in frequency and severity. Risks are exacerbated by the lack of resilient urban infrastructure to respond to such challenges and threats.

3. **Impact of the coronavirus disease.** Given the strong water–sanitation–hygiene–health linkage, water shortage, deterioration in water quality and lack of basic sanitation services will adversely impact the health of communities in SEA cities, disproportionately for the poor and vulnerable. The coronavirus disease (COVID-19) pandemic has highlighted the importance of universal access to safe drinking water and sanitation. It has also shown the fundamental need for resilient operation of water services to ensure uninterrupted supply to all water consumers. Women and girls have traditionally played vital roles in both securing sufficient water for the household and ensuring the health of family members, including caring for the sick, and this has been in greater evidence during the COVID-19 pandemic.

4. **Service delivery gaps and low resilience.** It is estimated that the total annual infrastructure investment requirement in the SEA region is about \$210 billion.<sup>3</sup> The associated gap in service delivery remains even more pressing in many SEA countries, where robust efforts to address the inadequate levels of resilience of urban infrastructure are lacking. Many cities in the SEA region exhibit declining livability and increasing levels of poverty, which are further exacerbated by the COVID-19 pandemic.

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<sup>1</sup> A list of ensuing projects supported by the TA facility is detailed in Appendix 2. The ensuing projects are listed in the relevant country operations business plans. Additional projects may be added as they are agreed with the relevant governments.

<sup>2</sup> ADB. 2018. [Strategy 2030: Achieving a Prosperous, Inclusive, Resilient, and Sustainable Asia and the Pacific](#). Manila.

<sup>3</sup> ADB. 2017. [Meeting Asia's Infrastructure Needs](#). Manila.

5. **Inadequate technical capacity.** Lack of effective urban planning has resulted in unplanned development and urban sprawl in SEA cities, compounded by inadequate technical standards for planning, design, and construction of urban infrastructure, and insufficient attention to asset management, and operation and maintenance. This hinders local governments' and service providers' ability to respond to the increasing need for well-planned urban development and reliable service delivery. Resilience should be a key objective for all urban infrastructure projects; however, often it is given due consideration only in a subset of projects.

6. **Weak institutional capacity.** Key urban services delivery entities in many SEA countries have inadequate institutional structures and fragmented arrangements to deliver improved and expanded urban services. Typically, multiple institutions oversee management of urban services, which often have complex relationships and overlapping mandates. The enabling environment for policy and regulatory frameworks, planning, and financing systems is weak and poorly framed.

7. **Lack of financial sustainability.** Many of the urban service providers in the SEA region receive limited financial support through tax, tariff, and other income sources, while some receive modest subsidy from central government. However, many do not receive intergovernmental support and have limited local income source and are in financial distress—the growth rate of operating expenses exceeds that of revenue, with little capital for expansion of services. Most urban services providers are hampered by an inadequate revenue stream, compounded by the absence of well-regulated tariff systems and prudent financial management practices.

8. **Lack of inclusive participation of stakeholders.** Resilient cities can absorb, recover from, and prepare for natural hazards and human-made disasters and can manage the impact of shocks. While engagement with communities is critical to have their opinions and needs reflected and addressed in the planning and operation of basic urban services, this is often lacking. For example, women and girls face additional challenges because they are often responsible for managing household services and have different sanitation needs. However, women, girls, and other marginalized groups are disproportionately affected by limited participation in key decisions.

### 3. Delivery of Integrated Solutions

9. The future urban and water projects of ADB's Southeast Asia Department will focus on enhancing livability by mainstreaming innovative approaches to the development of resilient urban infrastructure and service delivery. The TA facility will be pivotal in driving SEUW's projects to have a sharper focus on holistic approaches to developing cities that are inclusive, competitive, livable, and resilient. Further, the TA facility will adopt a strong focus on gender mainstreaming<sup>4</sup> as a cross-cutting theme.

10. The TA facility will support the preparation of SEUW's investment projects from 2021 to 2024 to promote integrated solutions that will benefit from long-term partnerships with cities and key government agencies, in consideration of the need for effective regulation, enhanced urban service delivery, and robust institutional effectiveness. It aims to provide complementary interventions to holistically address multiple urban issues and foster close cooperation with other development partners. In leveraging outcomes from this integrated approach, the TA facility will also identify good practice for dissemination and replication.

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<sup>4</sup> All ensuing loan projects supported by the TA facility will have gender category of effective gender mainstreaming.



#### 4. Benefits of a TA Facility

11. The Southeast Asia Urban Services Facility (SURF),<sup>5</sup> the proposed TA facility's predecessor, has demonstrated that this modality (i) optimizes the use of ADB resources and enhances implementation effectiveness; (ii) reduces the response time in providing solutions to the needs of DMCs through consistent approaches to urban solutions; (iii) increases the quality of outputs through efficient delivery systems; (iv) allows partnerships with service providers for access to a wider range of competent and reputed expertise; and (v) provides sector assessment, policy support, and knowledge sharing.

12. The TA facility will engage an international consulting firm across multiple projects and related assignments. This modality demonstrates economies of scale in service delivery and contributes to enhanced value-for-money by reducing repetitive transaction costs and eliminating the need for relationship-building with each individual firm appointed under typical standalone, project-specific TAs. The adoption of a TA facility with a single consulting firm as delivery partner will bring consistency, cost effectiveness, and efficiency in the preparation of SEUW's investment projects. The TA facility will incorporate the lessons learned from the implementation of SURF.<sup>6</sup> In managing the service providers, there will be a focus on the consistency and quality of services delivered. The consulting firm's work will be assessed during and at the end of each task order, allowing for improvement and corrective action. If necessary, an additional consulting firm (or firms) may be recruited to supplement or replace the one initially recruited.

#### B. Outputs and Activities

13. **Output 1: Implementation readiness of resilient urban services projects enhanced.** The TA facility will support the development of integrated solutions to prepare ensuing investment projects.<sup>7</sup> It will support technical assessment and due diligence, and will support SEUW activities on (i) development of innovative design approaches; (ii) cross-cutting climate assessments, including potential for robust climate-proofing interventions;<sup>8</sup> (iii) improving the enabling environment (policy and regulatory frameworks, institutional reforms, planning and financing systems); (iv) sector assessments, diagnostics, and master planning; (v) cross-cutting gender activities that facilitate equitable access to and participation in project-related decision making; (vi) economic analyses; (vii) financial management assessments and financial analyses; (viii) social development and gender assessments including monitoring of action plans; (ix) risk assessments and development and/or monitoring of risk management plans; (x) credit assessment and review of municipal and sub-sovereign entities; and (xi) safeguards due diligence to enhance safeguards outcomes and to mitigate adverse impacts from project interventions as far as reasonably practicable. Gender perspectives will be promoted to include women, girls, and other marginalized groups in key elements of project decision making. The TA facility will also support ongoing country-level initiatives with civil society.

<sup>5</sup> ADB. 2018. [Southeast Asia Urban Services Facility](#). Manila.

<sup>6</sup> Lessons learned include improving consulting recruitment and contract administration, such as including the requirements for defining and retaining key specialists and streamlining and simplifying task order preparation. In addition, the importance of fielding a strong and experienced national team will be emphasized under implementation of the TA facility. The management of the consulting firm will build on lessons from SURF where frequent monitoring of performance will be adopted to ensure consistent quality outputs.

<sup>7</sup> Detailed engineering designs are not eligible expenditures for TASF financing and will not be accommodated with the TA facility's current financing plan. Should the need arise, additional funds via cofinancing will be secured for detailed engineering designs.

<sup>8</sup> It is intended to attract potential climate cofinancing resources to projects supporting low-carbon and climate-resilient initiatives.

14. The TA facility will also seek to enhance financial sustainability of ensuing loan projects. The TA facility will promote engagement with the private sector and leverage existing ADB initiatives that focus on project preparation to attract private sector participation. It will also explore incorporation of advanced technologies in project design which are appropriate to local conditions.

15. **Output 2: Capacity in project implementation and resilient urban services delivery improved.** Capacity building in SEA countries will include project administration oversight, and support in establishing inclusive design standards, policy, and regulatory frameworks. Assistance will be provided in specific fields of expertise, including (i) technical expertise in advanced technology in core urban services; (ii) developing operation and maintenance (O&M) programs and strategies; (iii) addressing climate change by tackling resilience in a holistic, cross-cutting manner and avoiding formulaic “climate-proofing”, and adopting industry recognized tools where appropriate; (iv) social, gender, and environment safeguard monitoring; and (v) developing inclusive recruitment and employment opportunities at all levels.

16. **Output 3: Knowledge management and sharing good practices promoted.**<sup>9</sup> The TA facility will support knowledge management and sharing among SEA countries through training, workshops, and conferences at both regional and national levels. The TA facility will also support the preparation of knowledge products. The TA facility will help promote close collaboration with ADB’s urban, water, and health sector groups, and ADB’s environment, gender, and other thematic groups to collect and disseminate appropriate lessons to SEA countries and beyond. The TA facility will also support peer-to-peer learning through twinning arrangements between appropriate DMC urban services entities and selected mentors. This will focus on sound operational best practice to enhance resilience in service providers and where appropriate the use of industry recognized tools to improve O&M and asset management.

### C. Cost and Financing

17. The TA facility is estimated to cost \$3.5 million, which will be financed on a grant basis by ADB’s Technical Assistance Special Fund (\$1.5 million from TASF-7 and \$2.0 million from TASF-other sources). The key expenditure items are listed in Appendix 1. The TA facility scope is expected to be expanded to cover other additional activities, and the TA facility will be replenished from time to time as funds are required and as additional projects in SEUW’s pipeline are identified. During implementation of the TA facility, additional financing requirements will be identified, and additional funds will be sourced on an incremental basis. The governments will provide counterpart support and other in-kind contributions.<sup>10</sup>

### D. Implementation Arrangements

18. ADB is the executing agency for the TA facility and will administer and implement the TA facility through SEUW. Output 1 activities for any ensuing project will commence only after ADB approves the project concept paper of the ensuing project. Other activities may commence upon TA facility approval. The TA facility will be implemented from August 2021 to August 2024.

19. The implementation arrangements are summarized in Table 1.

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<sup>9</sup> All relevant reports produced under this output will be published digitally.

<sup>10</sup> Each government will be informed that approval of the TA does not commit ADB to finance any ensuing project.

**Table 1: Implementation Arrangements**

Aspects	Arrangements		
Indicative implementation period	August 2021–August 2024		
Executing agency	ADB		
Implementing agency	SEUW		
Consultants	To be selected and engaged by ADB		
	Firm: QCBS (80:20)	Facility consultant	\$2.8 million
	Individual: Individual selection <sup>a</sup>	International and national expertise	\$0.3 million
Advance contracting	Consulting contracts are proposed for advance contracting.		
Disbursement	The TA resources will be disbursed following ADB's <i>Technical Assistance Disbursement Handbook (2020, as amended from time to time)</i> .		
Asset turnover or disposal arrangement upon TA completion	Fixed asset turnover and disposal arrangement upon TA completion follow the provisions in the relevant staff instructions on ADB administered procurement of goods.		

ADB = Asian Development Bank, QCBS = quality- and cost-based selection, SEUW = Southeast Asia Urban Development and Water Division, TA = technical assistance.

<sup>a</sup> It is anticipated that, during implementation, requirements for specific and specialized technical expertise will arise. To respond to these needs efficiently and effectively, the TRTA facility requires services of individual consultants who will deliver specialized technical inputs outside of the scope of the consulting firm.

Source: Asian Development Bank.

20. **Consulting services.** ADB will engage the consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated project administration instruction and/or staff instructions.<sup>11</sup> Survey and other support services will be acquired by the consultant following the ADB Procurement Policy (2017, as amended from time to time) and its associated staff instructions.

## E. Governance

21. ADB is the executing agency, and thus the financial management, procurement, and integrity risks during implementation are assessed to be low. However, the TA will conduct thorough risk assessments of these governance areas for ensuing investment projects.

## II. 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 \$3,500,000 on a grant basis for the Southeast Asia Facility for Resilient Cities, and hereby reports this action to the Board.

<sup>11</sup> Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3).

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

Item	Amount
<b>A. Asian Development Bank<sup>a</sup></b>	
1. Consultants	
a. Remuneration and per diem	2,559.0
i. International consultants	2,173.0
ii. National consultants	386.0
b. Out-of-pocket expenditures	577.6
i. International and local travel	37.5
ii. Office space rental and related facilities	40.0
iii. Goods (rental and/or purchase) <sup>b</sup>	20.0
iv. Surveys	200.0
v. Training, seminars, and conferences <sup>c</sup>	100.0
vi. Reports and communications	45.0
vii. Others <sup>d</sup>	135.1
2. Surveys	80.0
3. Training, seminars, and conferences	140.3
a. Facilitators	0.3
b. Travel cost of ADB staff acting as a resource person <sup>e</sup>	30.0
c. Venue rental and related facilities	70.0
d. Participants	20.0
e. Representation	20.0
4. Miscellaneous TA Administration <sup>f</sup>	0.5
5. Contingencies	142.6
<b>Total</b>	<b>3,500.0</b>

ADB = Asian Development Bank, TA = technical assistance, TASF = Technical Assistance Special Fund.

Note: The government will provide counterpart support in the form of counterpart staff, office accommodation, secretarial assistance, domestic transportation (on a country-specific basis), and other in-kind contributions.

<sup>a</sup> Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF 7 \$1,500,000 and TASF-others \$2,000,000).

<sup>b</sup> Office equipment to be used by the consulting firm, in case not provided by counterpart support.

<sup>c</sup> In-country capacity building activities related to the ensuing projects, allocated under each Task Order.

<sup>d</sup> Includes contingencies under each Task Order.

<sup>e</sup> In accordance with ADB (Budget, Personnel, and Management Systems Department; and Strategy and Policy Department). 2013. Use of Bank Resources: Regional Technical Assistance and Technical Assistance vs. Internal Administrative Expenses Budget. Memorandum. 26 June 2013 (internal).

<sup>f</sup> May be used to charge goods, works and non-consulting services under the TA facility (i.e., translation/interpretation services, internet and telecommunication services, software license, and others).

Source: Asian Development Bank estimates.

## PROJECTS UNDER TECHNICAL ASSISTANCE FACILITY

Table A2.1: Indicative Consultants' Input Allocation  
(person-month)

Item	Total	Output 1		Output 2	Output 3
		TIM DUWSP Low risk	CAM LCIP 2 Complex		
Indicative risk category					
<b>a. International</b>					
Assignment Leader and Urban Development Specialist	18.0	7.0	7.0	2.0	2.0
Deputy Assignment Leader and Safeguards Coordinator	12.0	5.0	5.0	1.0	1.0
Task Team Leader	12.0	6.0	6.0	-	-
Water Supply and Treatment Engineer	3.5	1.5	2.0	-	-
Wastewater and Sanitation Engineer	3.0	-	3.0	-	-
Electro-mechanical Engineer	2.0	2.0	-	-	-
Geotechnical Engineer	0.5	0.5	-	-	-
GIS Specialist	1.0	0.5	-	-	0.5
Urban Planner	2.0	1.0	-	1.0	-
Climate Change Resilience Specialist	4.0	1.3	1.3	0.5	1.0
Procurement Specialist	5.0	1.0	1.0	3.0	-
Water Utility Specialist	3.0	1.5	-	-	1.5
Institutional Specialist	5.5	0.8	0.8	0.5	3.5
Private Sector Participation/ Public-Private Partnership Specialist	2.0	1.0	1.0	-	-
Resettlement Specialist	4.5	1.8	1.8	0.5	0.5
Environmental Specialist	4.5	1.8	1.8	0.5	0.5
Social Development Specialist	2.0	1.0	1.0	-	-
Gender Specialist	4.5	1.8	1.8	0.5	0.5
Financial Management Specialist	4.5	1.0	2.0	1.0	0.5
Economist	2.0	1.0	1.0	-	-
<b>b. National</b>					
Deputy Task Team Leader	10.0	6.0	4.0	-	-
Water Supply Engineer	3.0	3.0	-	-	-
Wastewater/ Sanitation Engineer	4.0	2.0	2.0	-	-
GIS Specialist	2.0	2.0	-	-	-
Procurement Specialist	3.0	2.0	1.0	-	-
Quantity Surveyor/ Cost estimator	2.5	1.5	1.0	-	-

Item	Total	Output 1		Output 2	Output 3
		TIM DUWSP Low risk	CAM LCIP 2 Complex		
Indicative risk category					
National Institutional Specialist	4.5	1.0	0.5	-	3.0
Economist	2.0	1.0	1.0	-	-
Financial Management Specialist	3.0	1.0	1.0	-	1.0
Resettlement Specialist	5.0	2.0	2.0	-	1.0
Environment Specialist	4.0	2.0	2.0	-	-
Social Development Specialist	4.0	2.0	2.0	-	-
Gender Specialist	5.0	2.0	2.0	-	1.0

CAM LCIP 2 = Cambodia: Livable Cities Investment Project 2, GIS = geographic information systems, TIM DUWSP = Timor-Leste: Dili Urban Water Supply Project

Note: Numbers may not sum precisely because of rounding.

Source: Asian Development Bank estimates.

**Table A2.2: Indicative Technical Assistance Budget Allocation per Output**  
(\$'000)

Item	Total	Output 1		Output 2	Output 3
		TIM DUWSP Low risk	CAM LCIP 2 Complex		
Indicative risk category					
Remuneration	2,416.5	1,095.8	1,020.8	150.0	150.0
International per diem	112.5	57.4	55.1	-	-
National per diem	30.0	17.4	12.6	-	-
Air travel	37.5	19.1	18.4	-	-
Office space rental and related facilities	40.0	20.0	20.0	-	-
Goods (rental and/or purchase)	20.0	10.0	10.0	-	-
Surveys and investigations	280.0	100.0	100.0	80.0	-
Training, seminars, and workshops	240.3	50.0	50.0	-	140.3
Reports and communications	45.0	20.0	25.0	-	-
Miscellaneous TA Administration	0.5	-	-	0.3	0.3
Contingencies	277.7	69.5	65.6	71.3	71.3
<b>Total</b>	<b>3,500.0</b>	<b>1,459.2</b>	<b>1,377.4</b>	<b>301.6</b>	<b>361.8</b>

CAM LCIP 2 = Cambodia: Livable Cities Investment Project 2, TIM DUWSP = Timor-Leste: Dili Urban Water Supply Project.

Note: Numbers may not sum precisely because of rounding.

Source: Asian Development Bank estimates.

**LIST OF LINKED DOCUMENTS**

<http://www.adb.org/Documents/LinkedDocs/?id=53190-001-TAReport>

1. Terms of Reference for Consultants
2. Southeast Asia Urban Development and Water Division Current and Future Portfolio