



**Development Partnership Program for South Asia
(DPPSA)
funded by
Australia-ADB South Asia Development Partnership Facility
(AASADPF)
Guidelines
for
July 2006-June 2007**

11 October 2006

**Country Coordination and Regional Cooperation Division
South Asia Department**

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA GUIDELINES IMPLEMENTATION

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PURPOSE

1. The purpose of the guidelines is to provide the necessary information to ADB staff for the preparation and submission of applications for funding under the Development Partnership Program for South Asia (DPPSA) through the Australia-ADB South Asia Development Partnership Facility (AASADPF), which is financed on a grant basis by the Government of Australia.¹ Guidance is also given on the implementation of activities funded under DPPSA.

DEVELOPMENT CHALLENGES

2. The global community views South Asia as the next rapid growth area after East Asia. The human development realities in the region are sobering, however. For example, South Asia has the most people living below the US\$1 per day poverty line, the largest proportion of illiterate people, the most out-of-school children, and the most children dying before reaching the age of 5.

3. AusAID and ADB see the following significant development challenges emerging in South Asia.

- (i) There is a growing need to institute measures to ensure enhancement of governance. In particular, there is a need to build (a) more effective mechanisms for delivery of social services to end users (e.g. through devolution), and more streamlined public administration systems to facilitate development of such mechanisms; and (b) sound foundations of good governance in institutions addressing public resource management, gender mainstreaming, judicial administration, and anticorruption.
- (ii) It is necessary to take steps to ensure inclusive growth in South Asia. Future economic growth and employment opportunities will demand skills that school dropouts lack, effectively reducing employment opportunities for the illiterate poor. In addition, economic growth in South Asia has not necessarily led to substantial improvements in the quality of life of the poor.
- (iii) South Asia is experiencing rapid urbanization and the rise of megacities, bringing both immense opportunities in relation to ongoing globalization, but also challenges. By 2015, five of the world's 13 megacities will be located in South Asia. These megacities can spur economic growth, but also pose challenges, including the "urbanization of poverty" phenomenon. The importance of appropriate urban management—which secures infrastructure financing, effectively delivers services, and

¹ The Australia-ADB South Asia Development Partnership Facility (AASADPF) which will finance innovative development services that address some major challenges faced by developing member countries (DMCs) in South Asia, comprising Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan, and Sri Lanka. Although the realignment of the regional departments effective 1 May 2006 has transferred Afghanistan and Pakistan from the South Asia Department (SARD) to the Central and West Asia Department (CWRD), AusAID has agreed to continue to include Afghanistan and Pakistan under AASADPF. Thus, in this paper, South Asia covers all eight DMCs mentioned above. ADB's Board of Directors approved the establishment of the AASADPF on 7 June 2006. The AASADPF will be supported by A\$11 million (about US\$8.5 million equivalent at the current exchange rate) from the Government of Australia (the Government) over the next 5 years. Regional TA on DPPSA was approved on 18 August 2006.

promotes responsible urban development (e.g. secondary towns and cities) and participatory local governance—will increase in the future.

- (iv) Even as South Asia searches for appropriate approaches to the management of megacities, balanced and sustainable development requires significant increases in the provision and effectiveness of public and private social services, in areas such as education, health, and water supply and sanitation. Significant improvements in human resources are required to deliver the needed high quality and timely social services.
- (v) The Islamabad Declaration developed during the 12th Summit (January 2004) of the South Asian Association for Regional Cooperation (SAARC) pledged to intensify cooperation and eradicate poverty in South Asia, and to resolve any conflict and disputes through peaceful means. During the 13th SAARC Summit, held in Dhaka in November 2005, the heads of state or government of the SAARC member countries (the SAARC leaders) stressed that accelerating cooperation in core economic areas was of vital importance to making South Asia truly vibrant, dynamic, and secure.² South Asia's interest in developing closer cooperation with regional groupings in Southeast Asia, the Greater Mekong Subregion (GMS), and the Association of Southeast Asian Nations (ASEAN) is also increasing. Countries in South and Southeast Asia have started interregional cooperation initiatives, such as the Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation (BIMSTEC).

4. Efforts to enhance the quality of and access to basic services must focus on the institutions responsible for delivery of basic services, in addition to more commonly emphasized sector-specific issues. Many institutional issues are multisectoral, involving complex governance and financing considerations. The core issue—underlying the need for institutional reform, and for enhanced basic service delivery mechanisms—is ensuring enhanced governance in the countries of the region.³ As the pace of economic globalization has increased, economic interdependence among countries in South Asia has progressively deepened. South Asia has recently achieved remarkable economic growth, leading to intensification of linkages with international and regional markets. Further strengthening of regional cooperation and integration has become essential to maintaining economic growth and reducing poverty.

² At the Summit, the SAARC leaders agreed to invite Afghanistan to join as SAARC's eighth member.

³ Enhanced governance implies a greater focus on accountability of service providers, transparency in the provision of services, and end users' participation in the design and delivery of such services. Participation by end users throughout the process increases the likelihood of positive impacts on the population.

IMPACT AND OUTPUTS

5. **Impact.** The intended overall impact of the regional TA (RETA)—the Development Partnership Program for South Asia (DPPSA)—is sustained progress made by participating DMCs in South Asia toward attaining the Millennium Development Goals (MDGs)⁴ through funding of projects which must address one or more of five prioritized areas:

- (i) enhanced governance, particularly at the local level, where service delivery interfaces with end users, and including an emphasis on decentralization and devolution in countries of the region;
- (ii) urban infrastructure and service delivery, including in megacities and secondary cities and towns, and associated issues such as municipal financing for much needed infrastructure and participatory local governance;⁵
- (iii) inclusive growth, so that gains from economic development are shared by as wide a population base as possible;
- (iv) human resource development, particularly in targeting improved service delivery in education, health,⁶ water and sanitation, and other social services; and
- (v) regional cooperation and integration.⁷

6. **Outputs.** DPPSA outputs comprise (i) development and implementation of innovative programs that will address key development challenges; (ii) targeted assessments aimed at enhancing the analytical basis for policy dialogue and raising awareness on, and building capacity for, key development challenges; (iii) regional cooperation and integration activities; and (iv) information dissemination activities that will identify, compile, and disseminate good practices and lessons learned for addressing the major challenges facing South Asia. These outputs will support the impact and outcome of the RETA.

- **Output 1: Innovative Interventions.**⁸ The RETA will support innovative ideas that demonstrate unique institutional arrangements, participatory approaches, or

⁴ The MDGs comprise eight goals: (i) eradicate extreme poverty and hunger; (ii) achieve universal primary education; (iii) promote gender equality and empower women; (iv) reduce child mortality; (v) improve maternal health; (vi) combat HIV/AIDS, malaria, and other diseases; (vii) ensure environmental sustainability; and (viii) develop a global partnership for development.

⁵ Including knowledge generation and dissemination protocols that enable local experiences to be fed back into national policy-making processes.

⁶ AusAID and ADB have agreed not to finance the following family planning activities without the prior written consent of the Government of Australia: (i) family planning services, including counseling; (ii) training in the practice of family planning; (iii) distributing contraceptives for family planning purposes; (iv) developing and distributing family planning information, education, and communication materials; and (v) capacity building for organizations that deliver family planning. Other activities, which target diseases such as HIV/AIDS, and avian influenza and other emerging diseases, may be financed by the Government over and above A\$11 million, through a separate agreement between AusAID and ADB.

⁷ Regional cooperation and integration activities will include those undertaken by SARD and CWRD, and also the work of ADB's Office of Regional Economic Integration (OREI); the latter proposals should have South Asia as a primary focus in order to access financing from the RETA.

technical solutions that fit the domestic situation in participating DMCs, while clearly identifying the potential for successful replication, mainstreaming, and/or upscaling in one or more countries. Public–private partnership (PPP) opportunities and working with nongovernment organizations (NGOs) will be encouraged.

- **Output 2: Targeted Assessments.** This component will include activities aimed at enhancing the analytical basis for policy dialogue and raising awareness on, and building capacity for, addressing key development challenges faced by South Asia. Activities include focused studies; action research; and targeted activities aimed at removing regulatory, policy-related, institutional, organizational, social, technical, and financial barriers to improved basic service delivery at the local level, including identifying opportunities for PPP and working with NGOs. Assessments will have strong linkages to ADB operations for implementation of the findings, will answer some of the key development challenges⁹ faced by South Asia, and will be an important discussion base for policy dialogue.
- **Output 3: Regional Cooperation and Integration.** This component will include activities to enhance regional cooperation and integration among DMCs in South Asia and support their efforts to cooperate and integrate with other economies within and outside Asia. Activities will include, among others, strategically important regional conferences, workshops, and assessments.
- **Output 4: Information Dissemination.** This component will identify, compile, and disseminate good practices and lessons learned for addressing development issues covered by the RETA. The component will include awareness campaigns, capacity-building activities, conferences and workshops, publication of lessons learned, and integration of the knowledge gained into the information dissemination and the knowledge management activities of the Regional and Sustainable Development Department (RSDD). As part of ADB's information dissemination effort, a communication and information dissemination plan will be developed to identify effective dissemination methods and venues, including internet and intranet-based information management.

Appendix 1 shows some typical interventions for each DPPSA priority area. Each proposal consisting of activities is referred to as a project in this paper.

⁸ An innovative intervention may have the following four components: (i) preparatory activities; (ii) actual implementation; (iii) monitoring and evaluation; and (iv) knowledge dissemination and capacity building. An innovative pilot intervention without conducting on-the-ground activities that actually improve the socio-economic well-being of the target beneficiary communities in the project site is not considered an innovative intervention. For example, using participatory approaches to design interventions is not considered an innovative intervention unless there is a conduct of implementing such work plans or interventions.

⁹ One particular challenge is the relationship between improved basic service delivery and the impact on poor people's livelihood, health, and vulnerability.

ELIGIBILITY AND FUNDING

7. **Eligibility.** Countries eligible for financing under the RETA are Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan, and Sri Lanka¹⁰ (Appendix 2). All participating DMCs have sent non objection letters to ADB indicating their willingness to participate in the DPPSA.

8. Eligibility criteria for the four types of interventions are given in Appendix 3. Each proposal consisting of activities is referred to as a project in this document.

9. The DPPSA does not fund activities such as pure academic or scientific research, formal academic training programs, ongoing institutional support (such as equipment unrelated to the DPPSA), scholarships, fellowships, study programs, conferences (without specific outputs that respond to the DPPSA program objectives), and training course materials development.

10. Proposed activities should be additional to and should not replace regular on-going or programmed activities that would typically be included in a preparatory TA or loan-funded project.

11. **Funding.** The total amount of funds available for financing projects during five years is A\$11 million (about US\$8.5 million equivalent at the current exchange rate).¹¹ Funding will be available annually in the following timing:

June 2006	A\$2 million (deposited and converted to US\$1.468 million)
August 2006	A\$1 million (deposited and converted to US\$0.732 million)
August 2007	A\$2 million
August 2008	A\$2 million
August 2009	A\$2 million
August 2010	A\$2 million

12. **Annual commitment level.** The total annual funding available for July 2006-June 2007 is US\$2.2 million and the maximum limit for funding a proposal is US\$500,000.¹² Total numbers of approved projects during the first year of operations will depend on the actual sizes of proposals. Assuming US\$500,000 per project, four project proposals would be accommodated.

¹⁰ AusAID and ADB have agreed that support to Afghanistan under the RETA will focus solely on regional integration and cooperation, because the operation area of the AusAID counterpart office—North and South Asia Section—does not include Afghanistan. In addition, AusAID is phasing out its development cooperation with India as a result of the Government of India's decision in 2003 to limit its development engagement to a reduced number of bilateral aid donors. AusAID and ADB have thus agreed that support to India under the RETA will focus primarily on integration and cooperation activities.

¹¹ 75% of the total amount excluding contingency (US\$7.23 million equivalent at the current exchange rate) have been indicatively allocated to Output 1: Innovative Intervention, followed by Output 3: Regional Cooperation and Integration (15%), Output 2: Targeted Assessment (5%), and Output 4: Information Dissemination (5%).

¹² This threshold amount is proposed based on assessments of the average project size financed under existing trust funds provided by the Governments of Japan, United Kingdom, and the Netherlands. Under special cases, with advisory panel approval, proposals greater than US\$500,000 may be considered.

ROLES AND RESPONSIBILITIES

13. Country Coordination and Regional Cooperation Division (SAOC) is responsible for the overall administration of DPPSA where the AASADPF secretariat is located. The AASADPF secretariat conducts the initial reviews of proposals, and provides guidance to applicants and recommendations to the Advisory Panel. The members of the secretariat and the Advisory Panel are in Appendix 4. The Advisory Panel has the authority to approve projects. The originator of a proposal (Project Officer) will be responsible for the implementation of the individual project.

SCHEDULE FOR PROPOSAL SUBMISSION AND SELECTION

14. Below is the proposed schedule for proposal submission and selection for the initial year of operations (July 2006-June 2007). Review and approval of proposals have been tentatively scheduled three times a year as indicated below.

Proposed Schedule for Submission and Selection for 2006-2007¹³

ADB Staff's Deadline for Submission to the AASADPF secretariat	AASADPF Secretariat's Deadline for Submission to the Advisory Panel for Selection
Batch I: 17 November 2006	1 December 2006
Batch II: 23 February 2007	23 March 2007
Batch III: 8 June 2007	13 July 2007

PROPOSAL REVIEW AND APPROVAL

15. Proposals should be submitted by ADB staff from South Asia Department (SARD),¹⁴ Central and West Asia Department (CWRD),¹⁵ relevant Resident Missions (RMs)¹⁶ or other relevant departments such as OREI to the AASADPF secretariat (Ms. Cheryl De Leon, SAOC).

16. Proposal review and approval involves: (i) concept paper submission by the ADB Staff to the AASADPF secretariat; (ii) fact-finding mission; (iii) peer review and proposal submission by ADB staff with endorsement from relevant Director or Country Director; (iv) initial screening and review by the AASADPF secretariat, followed by recommendation of project proposals by the AASADPF secretariat to the Advisory Panel; and (v) review and approval of proposals by the Advisory Panel.

Step 1: Concept paper submission by the ADB staff to the AASADPF secretariat

- ADB staff (Project Officer) prepares a concept paper on the proposed project before preparing a full-fledged proposal to ensure that the proposal satisfies the eligibility criteria. The concept paper should follow the format (Appendix 5). Project Officer sends the concept paper to the AASADPF secretariat (Ms. Cheryl De Leon, SAOC).

¹³ If the total amount available for the first year of operations has been committed after the approvals of the batch II proposals, batch III will be cancelled. New proposals will be considered during the second year of operations and the earliest timing of proposal reviews and approvals would be August/September 2007.

¹⁴ SAGF, SAUD, SANS, and SAOC.

¹⁵ CWGF, CWSS, CWAE, and CWOC.

¹⁶ These are AFRM, BRM, INRM, NRM, PRM, and SLRM.

Kindly note that the AASADPF secretariat's confirmation that a proposal meets the eligibility criteria does not constitute approval of funding for the proposal.

- Prior to the submission, the relevant Division or RM should ensure the contents of the proposal and its compliance with the eligibility criteria and secure clearance from director or country director.

Step 2: Fact-finding mission

- Contact the AASADPF secretariat for the mission budget as BPBM, in consultation with SAOC, has allocated relevant mission budgets for DPPSA purposes.
- The Project Officer may consult NGOs or do some preparatory work during the fact-finding mission or any other missions related to the Department's country operations to prepare a proposal.
- The Project Officer should send a copy of the BTOR of the fact-finding mission to the AASADPF secretariat.

Step 3: Peer review and proposal submission by ADB staff with endorsement from relevant Director or Country Director

- The Project Officer should follow the standard proposal format (Appendix 6) and should not exceed 5 pages. The proposal should include **auditing costs** in the project costs. 15% of the total project cost should be allocated for **contingency**. Should the project require cash advance to ensure project implementation like the case of the Poverty and Environment Program (PEP), kindly include such requirement in the proposal.
- The Project Officer should **ensure the quality of the proposal by completing a peer review of the proposal** by at least two technical staff members of the proposing division or a relevant sector division in the case of a RM as an applicant. The Project Officer should also ensure that the comments on the proposal received from Office of the General Counsel (OGC); Central Operations Services Office (COSO); Controller's Department (CTL); Environment and Social Safeguards Division (RSES); and Gender, Social Development and Civil Society Division (RSGS) are fully incorporated in the proposal and the final proposal has been cleared by them before sending it to the AASADPF secretariat.
- The Project Officer should be accountable for the quality of the proposal by securing clearance and signatures on the proposal from all staff members who have been involved in the peer review.
- The Project Officer should obtain endorsement from the relevant director or country director on the proposal before its submission to the AASADPF secretariat.
- The AASADPF secretariat will assist the Project Officer in identifying technical peer reviewers, should such assistance be required.
- The Project Officer should ensure the high quality of the proposal.

Step 4: Screening, review and recommendation of project proposals by the AASADPF secretariat

- The AASADPF secretariat will screen and review the proposals.
- Subject to a favorable rating of the proposals, the AASADPF secretariat will send the proposals with its recommendation to the Advisory Panel for its approval.

Step 5: Review and approval of the proposal by the Advisory Panel

- The AASADPF secretariat will send the proposals and related recommendations to the Advisory Panel at least one week prior to the Advisory Panel meeting.
- The Advisory Panel members will review the proposals and recommendations.
- It will send to the AASADPF secretariat their comments, which will indicate: (i) support for approval, (ii) non approval, or (iii) deferment for further improvement. The Advisory Panel will make a final decision on the proposals. Advisory Panel's meetings will be normally arranged within 2 weeks from the AASADPF's submission of proposals.

PROJECT IMPLEMENTATION

17. The Project Officer is responsible for monitoring and reporting the implementation of the approved project including performance monitoring and reporting.

LETTER OF AGREEMENT (LOA)

18. AASADPF secretariat will send the e-file of the standard format of LOA to the Project Officer upon request. For LOAs that deviate from the standard format, a draft must be submitted to OGC for clearance. A copy of the signed LOA must be forwarded to COSO, CTL, OGC, and the AASADPF secretariat.

CONTRACTUAL ARRANGEMENTS

19. Once the project proposal has been approved, the AASADPF secretariat promptly informs the Project Officer to start working with COSO to prepare and finalize the contractual arrangements between ADB and the implementing organization/consultants in accordance with the ADB's *Guidelines on the Use of Consultants* and *Procurement Guidelines*.¹⁷ A copy of the signed contract (including the final version of the proposal) is to be submitted to the AASADPF secretariat. In case NGOs' participation is required to implement the project, the Project Officer is required to conduct due diligence¹⁸ on the proposed NGOs to ensure the legitimate status and institutional capacity to implement the project.

¹⁷ Staff consultants cannot be financed under the DPPSA.

¹⁸ Due diligence includes the conduct of obtaining the following information: (i) complete list of NGO's senior staff and board of directors; (ii) most recent audited annual financial statement listing income sources; (iii) NGO's projected income and expense budget for current fiscal year, listing income sources; (iv) copy of the NGO's registration in the country where the project will be implemented; and (v) latest annual report.

GRANT CANCELLATION

20. The time between approval of the proposal by the Advisory Panel and the finalization of the contractual arrangements should normally not exceed 6 months, failing which the approval may lapse. The financing of the proposal will be cancelled if there has been no implementation progress including no disbursement for more than 6 months after the signing of the LOA. The chairman of the Advisory Panel has the authority to approve an extension if it considers that the circumstances warrant such action. A written request from the Project Officer to the AASADPF secretariat is required to grant the extension.

21. **Performance Measurement.** Four types of indicators are to be used to measure implementation progress and achievement of the objectives of the project: (i) input; (ii) activity; (iii) output; and (iv) outcome. The design and monitoring framework of RETA paper on DPPSA is in Appendix 7, for the benefits of ADB staff members who would like to prepare DPPSA proposals. Such staff members are requested to ensure that when they design proposals, such proposals will support the overall design and monitoring framework of RETA.

- *Input Indicators* - Input indicators are those related to financial, human, and material resources used for the interventions.
- *Activity Indicators* – Activities can be measured in quantitative and qualitative terms.
- *Output Indicators* – Outputs are the products, capital, goods and services provided by the project intervention; and/or changes resulting from the intervention which are relevant to the achievement of outcomes.
- *Outcome Indicators* - Outcomes are the likely or achieved short-and /or mid-term results of project implementation.

22. Project Officers are responsible for ensuring appropriate systems are in place for monitoring and reporting. Key outputs and milestones need to be outlined for the relevant period and progress against stated output and activity targets indicated. Any problems encountered in meeting objective, and output targets need to be reported, along with remedial action.

23. **Disbursement.** Advance given to the implementing organizations will be liquidated through submission of supporting documents such as receipts, invoices, and other evidence of payment. The proposed format for the liquidation of advance is shown in Appendix 8.

24. **Reallocation of Funds by Expenditure Categories or Components.** For reallocation up to 30% of the amount for an approved expenditure category or component, the Project Officer should request approval from the relevant sector Director and provide a copy of the approved memorandum to COSO, CTL, OGC, and the AASADPF secretariat. Increases or decreases above 30% of the amount for an approved expenditure category or component, or dropping or adding new categories or components, require concurrence from the AASADPF secretariat. The request, endorsed by the relevant sector Director, should be submitted to the AASADPF secretariat.

25. **Change in Scope or Implementation Arrangements.** Changes in scope and implementation arrangements are considered with respect to their impact on the project. A change in a project's scope or implementation arrangements is major if it (a) has a fundamental, substantial, or material effect on the project's purpose, objectives, components, benefits, impact, procurement or other implementation arrangements; and/or (b) involves reallocation of more than 30% of the amount for an approved expenditure category or component. The sector or country director decides whether a proposed change is major or minor. If necessary, the sector or country director consults with COSO, CTL, and OGC. For major changes in scope or implementation arrangements, a request, endorsed by the country or sector director and approved by the Director General, must be sent to the AASADPF secretariat for concurrence.

26. **Change in the Project Objectives.** For significant changes in the project objectives, a request, endorsed by the sector director and approved by the Director General, must be sent to the AASADPF secretariat which will determine if approval by the chairperson of the Advisory Panel is required. If the approval by the chairperson is deemed necessary, the AASADPF secretariat will send the request to the chairperson who will approve or reject the proposed change. Necessary amendments to the LOA require clearance from OGC.

27. **Progress reports.** A progress report after 90 days of project implementation and semi-annual reports, thereafter will need to be prepared and submitted by the Project Officer to the AASADPF secretariat to provide the overall summary of the project implementation and financial status (Appendix 9).

28. **Audit report.** The audit report from the external auditor must be submitted to CTL, with a copy to the AASADPF secretariat, not more than 6 months following the end of each fiscal year applied to the implementing organization or project closing date (whichever comes first). The report should include certified copies of the audited accounts and financial statements and the report of the auditors relating to said statements, including the auditors' opinion on the use of the DPPSA funds.

29. **Project completion report.** The Project Officer will prepare a project completion report (Appendix 10) which (i) describes whether or not results were achieved as planned, (ii) explains the major factors influencing good and/or bad performance and causes of the shortfalls, and (iii) describes lessons learned with recommendations for adoption for future projects. In addition, the completion report should describe what added benefits the approaches adopted under the DPPSA-funded project provided that would not be realized under traditional governance, social service delivery improvement, or regional cooperation initiatives. A participatory evaluation approach, including a stakeholder/beneficiary workshop, is encouraged for an assessment of the project's results.

30. The project completion report needs to be submitted to the AASADPF secretariat within 3 months of the project completion. The PCR will be disclosed on the DPPSA website and will be included in semiannual reports on DPPSA.

31. Based on the completion reports, the AASADPF secretariat will identify common themes that contributed to the good performance across sectors and to use as basis for discussion in a regional workshop that will be organized in the final RETA program year.

32. ***Australia Identity.*** In accordance with ADB's rules, regulations and procedures, the Project Officer will, where feasible, endeavor to maximize opportunities to highlight the identity of the contributions from the Government of Australia (the Government) to DPPSA activities funded from AASADPF (e.g. through related signage, documentation and public information about the activities, including the use of the Government's logo). The Project Officer will invite Government representatives to participate in key events related to DPPSA or significant activities funded from it. The cost of participation of Government representatives in these events will be borne by the Government.

33. A diagram showing the overall proposal processing and project implementation is in Appendix 11.

CONTACT INFORMATION

34. Ms. Cheryl De Leon is the program manager of DPPSA and the full time staff of the AASADPF secretariat. For further information on DPPSA and AASADPF, contact her by phone (70238) or e-mail (csdeleon@adb.org).

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA

Potential Interventions

Prioritized Areas		Outputs	Examples
Enhanced Governance	Enhanced governance, particularly at the local level, where service delivery interfaces with end users, and including an emphasis on decentralization and devolution in countries of the region	<ul style="list-style-type: none"> • Innovative interventions • Targeted Assessments • Information Dissemination 	<ul style="list-style-type: none"> • Local Governance and Fiscal Management Project in the Philippines
Urban infrastructure and service delivery	Urban infrastructure and service delivery, including in megacities and secondary cities and towns, and associated issues such as municipal financing for much needed infrastructure and participatory local ¹ governance	<ul style="list-style-type: none"> • Innovative interventions • Targeted Assessments • Information Dissemination 	<ul style="list-style-type: none"> • Framework for Support of Devolved Social Services Program in Pakistan • Mega City Development, Karachi
Inclusive growth	Inclusive growth, so that gains from economic development are shared by as wide a population base as possible	<ul style="list-style-type: none"> • Innovative interventions • Targeted Assessments • Information Dissemination 	<ul style="list-style-type: none"> • Framework for Support of Devolved Social Services Program in Pakistan
Human resource development	Human resource development, particularly in targeting improved service delivery in education, health, ² water and sanitation, and other social services	<ul style="list-style-type: none"> • Innovative interventions • Targeted Assessments • Information Dissemination 	<ul style="list-style-type: none"> • Framework for Support of Devolved Social Services Program in Pakistan
Regional cooperation and integration	Regional cooperation and integration	<ul style="list-style-type: none"> • Regional cooperation and integration • Innovative interventions • Targeted Assessments • Information Dissemination 	<ul style="list-style-type: none"> • Study on Economic Cooperation between East Asia and South Asia

¹ Including knowledge generation and dissemination protocols that enable local experiences to be fed back into national policy-making processes.

² AusAID and ADB have agreed not to finance the following family planning activities without the prior written consent of the Government of Australia: (i) family planning services, including counseling; (ii) training in the practice of family planning; (iii) distributing contraceptives for family planning purposes; (iv) developing and distributing family planning information, education, and communication materials; and (v) capacity building for organizations that deliver family planning. Other activities, which target diseases such as HIV/AIDS, and avian influenza and other emerging diseases, may be financed by the Government over and above A\$11 million, through a separate agreement between AusAID and ADB.

Appendix 2

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA
Eligible Developing Member Countries and Outputs

<i>DMC</i>	<i>Innovative Intervention</i>	<i>Targeted Assessment</i>	<i>Regional Cooperation</i>	<i>Information Dissemination</i>
Bangladesh	✓	✓	✓	✓
Bhutan	✓	✓	✓	✓
India	Limited	Limited	✓	✓
Maldives	✓	✓	✓	✓
Nepal	✓	✓	✓	✓
Sri Lanka	✓	✓	✓	✓
Afghanistan	Not eligible	Not eligible	✓	✓
Pakistan	✓	✓	✓	✓

✓ = eligible

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA

Eligibility Criteria

General Criteria		
<p>The proposed interventions</p> <ul style="list-style-type: none"> • must be approved during the Australia-ADB South Asia Development Partnership Facility (AASADPF) period;¹ • must be implemented within the participating developing member countries (DMCs) during the proposed regional technical assistance (TA) period;² • must focus on interventions in one or more of the five prioritized areas identified for the Development Partnership Program for South Asia (DPPSA) and be in keeping with ADB's overall vision for Asia and the Pacific, the Medium-Term Strategy II (2006-2008), regional cooperation strategy and programs, and country strategy and programs for eligible countries and road maps relevant to the proposed TA;³ • must be in addition to, and not substitute for, ongoing or programmed activities; • should normally not cost more than US\$500,000;⁴ and • must have clear objectives, performance indicators, monitoring mechanisms, a realistic budget, and appropriate cost control systems for managing expenditures. 		
Specific Criteria		
<p style="text-align: center;"><u>Innovative Interventions</u></p> <p>Proposed pilot interventions should</p> <ul style="list-style-type: none"> • have at least a 25% partner contribution, in cash and/or in kind • have sustainable project benefits • use participatory approaches with strong collaboration among stakeholders • demonstrate innovation • have potential for upscaling or replication • be in support of CSP, RCSP, PRS, as well as other relevant thematic/road maps • have government support for direct financial flow to NGOs, if appropriate 	<p style="text-align: center;"><u>Targeted Analytical Studies</u></p> <p>Proposed analytical studies should</p> <ul style="list-style-type: none"> • aim at enhancing the analytical basis for policy dialogue and raising awareness on, and building capacity for addressing, the five key development challenges selected for DPPSA. • aim at removing problem-specific regulatory, policy-related, institutional, organizational, social, technical, and financial barriers to improving environmental management at the local level, including PPP opportunities and working with NGOs. • have strong linkages to ADB operations so that the findings of the assessments will be implemented. • Priority will be given to the relationships between improved basic service delivery and its impact on the livelihoods, health, and vulnerability of the poor. 	<p style="text-align: center;"><u>Information Dissemination Activities</u></p> <p>Proposed activities should</p> <ul style="list-style-type: none"> • focus on the development challenges and eligible activities identified for DPPSA. • focus on good practices and lessons learned in conjunction with DPPSA activities. • aim at replication of best practices and lessons learned in conjunction with DPPSA activities for practical application in participating DMCs and other DMCs in Asia. • Priority will be given to activities that improve basic service delivery and positively impact the livelihoods, health, and vulnerability of the poor. • Priority will also given to activities that encourage PPP opportunities and working with NGOs. <p style="text-align: center;"><u>Regional Cooperation and Integration</u></p> <p>Proposed activities should</p> <ul style="list-style-type: none"> • include enhancing regional cooperation and integration among DMCs in South Asia and supporting their efforts to cooperate and integrate with other parts of the economies within and outside Asia. • will include, among others, strategically important regional conferences, workshops, and assessments on regional cooperation and integration
Ineligible projects		
<ul style="list-style-type: none"> • research programs (purely academic or scientific with no practical application) • formal academic training programs • ongoing institutional core support (such as equipment unrelated to the DPPSA activities) • scholarships, fellowships, or study programs • conferences (those without specific outputs that respond to the DPPSA program objectives) • training/course materials development (those that are not integral part of the pilot interventions) 		

- 1 Five years from June 2006. Extension may be considered if AusAID and ADB agree to such a necessity.
- 2 Six years from the approval of the proposed regional TA to give sufficient time for the implementation of projects or programs approved in the 5th year of the AASADPF operations. Extension may be considered if AusAID and ADB agree to such a necessity.
- 3 Including confirmation of approvals by participating DMC governments of the proposed projects or programs and budgetary appropriations to such projects and programs.
- 4 Under special cases, with advisory panel approval, proposals greater than US\$500,000 may be considered.

AASADPF SECRETARIAT AND DPPSA ADVISORY PANEL MEMBERS

I. AASADPF SECRETARIAT

1. Technical Reviewers

Consistency with RPS/CPS

- Newin Sinsiri, Senior Regional Cooperation Specialist, SAOC (RCI)
- Abid Hussain, Senior Country Programs Specialist, SAOC (Bhutan and Maldives)
- Meriaty Subroto, Country Programs Specialist, SAOC (Bangladesh and Nepal)
- Tadateru Hayashi, Country Programs Specialist, SAOC (India and Sri Lanka)
- Anjum Ibrahim, Country Programs Specialist, CWOC (Afghanistan and Pakistan)

Urban and inclusive growth

- Narul Huda, Principal Project Specialist/PAU Head, SAUD or Gulfer Cezayirli, Senior Urban Development Specialist, SAUD
- Shakeel Khan, Urban Development Specialist, CWSS or his alternate

Governance and inclusive growth

- Claudia Buentjen, Senior Capacity Building Specialist, RSCG (Governance) or
- Raza Ahmad, Capacity Development Specialist, RSCG (Governance)

Education, health, and inclusive growth

- Leah C. Guitierrez, Senior Social Sector Specialist, SANS or her alternate

Inclusive growth (rural development)

- Allan Kelly, Principal Project Economist, CWAE, or Lourdes Adriano, Poverty Reduction Specialist, CWAE

Guidance on the overall management

- To be determined, SAOC

2. Full Time Secretariat Member

- Cheryl De Leon, AASADPF Secretariat, Program Manager, SAOC

II. DPPSA ADVISORY PANEL

1. Panel Members

- Director, SAOC (Chair)
- Director, SAUD or senior staff assigned by Director
- Director, SAGF or senior staff assigned by Director
- Director, SANS or senior staff assigned by Director
- Director, CWSS or senior staff assigned by Director
- Director, CWGF or senior staff assigned by Director
- Director, CWAE or senior staff assigned by Director

2. Supporting Members

- To be determined, SAOC
- Cheryl De Leon, AASADPF Secretariat, Program Manager, SAOC

Please see MS Excel file: Due Diligence worksheet 1

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA

Concept Proposal Format

Name of Project:	
Director/ Country Director	
Project Officer	
Project Cost	
Amount Requested	
Project Location	
Project Duration	
Eligibility Criteria	State how the proposed project meets the following eligibility criteria
<p>must address one or more of five prioritized areas: (i) enhanced governance, particularly at the local level, where service delivery interfaces with end users, and including an emphasis on decentralization and devolution in countries of the region; (ii) urban infrastructure and service delivery, including in megacities and secondary cities and towns, and associated issues such as municipal financing for much needed infrastructure and participatory local governance; (iii) inclusive growth, so that gains from economic development are shared by as wide a population base as possible; (iv) human resource development, particularly in targeting improved service delivery in education, health, water and sanitation, and other social services; and (v) regional cooperation and integration</p>	
<p>must have operational relevance to ADB's on-going operations in the relevant DMCs, CPS, and RPS</p>	
<p>must be additional to, and should not replace any regular ongoing or pipelined ADB activities</p>	

should involve maximum funding request of \$500,000 ¹	
must have clear objectives, performance indicators, monitoring mechanisms, a realistic budget, and appropriate cost control systems for managing expenditure	
Intervention is in one or more of the DPPSA focal areas	
For innovative intervention	
Has a 25% partner contribution, in cash and/or in kind	
Has sustainable project benefits	
Uses participatory approaches with strong collaboration among stakeholders	
Demonstrates innovation	
Has potential for upscaling or replication	
Be in support of CPS and RPS, as well as other thematic/road maps	
Has government support for direct financial flow to NGOs, if appropriate	
For Targeted Assessments	
aim at enhancing the analytical basis for policy dialogue and raising awareness on, and building capacity for addressing, the five key development challenges selected for DPPSA.	
aim at removing problem-specific regulatory, policy-related, institutional, organizational, social, technical, and financial barriers to improving environmental management at the local level, including PPP opportunities and working with NGOs.	
have strong linkages to ADB operations so that the findings of the assessments will be implemented.	

¹ This threshold amount is proposed based on assessments of the average project size financed under existing trust funds provided by the Governments of Japan, United Kingdom, and the Netherlands.

Priority will be given to the relationships between improved basic service delivery and its impact on the livelihoods, health, and vulnerability of the poor.	
<i>Regional Cooperation and Integration</i>	
include enhancing regional cooperation and integration among DMCs in South Asia and supporting their efforts to cooperate and integrate with other parts of the economies within and outside Asia.	
include enhancing regional cooperation and integration among DMCs in South Asia and supporting their efforts to cooperate and integrate with other parts of the economies within and outside Asia.	
<i>For Information Dissemination Activities</i>	
focus on the development challenges and eligible activities identified for DPPSA.	
focus on good practices and lessons learned in conjunction with DPPSA activities.	
aim at replication of best practices and lessons learned in conjunction with DPPSA activities for practical application in participating DMCs and other DMCs in Asia.	
Priority will be given to activities that improve basic service delivery and positively impact the livelihoods, health, and vulnerability of the poor.	
Priority will also given to activities that encourage PPP opportunities and working with NGOs.	
Project Rationale and Objectives:	
Methodology/Activities	
Expected Outcomes and Completion Date	

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA

Proposal Format

Items	Check
Project is included in CPS/RPS or concept clearance has been obtained	
Proposal is in compliance with the DPPSA criteria	
Project framework has been signed by Country Director/Director concerned	
The quality of the proposal is ensured by a peer review conducted by at least two technical staff members of the proposing division or a relevant sector division in the case of a RM as an applicant.	
The comments on the proposal received from OGC are fully incorporated in the proposal and the proposal has been cleared by OGC.	
The comments on the proposal received from COSO are fully incorporated in the proposal and the proposal has been cleared by COSO.	
The comments on the proposal received from RSES are fully incorporated in the proposal and the proposal has been cleared by RSES.	
The comments on the proposal received from RSGS are fully incorporated in the proposal and the proposal has been cleared by RSGS.	
The comments on the proposal received from CTL are fully incorporated in the proposal and the proposal has been cleared by CTL.	
ADBBO listing rules have been complied with	
Factual information in the proposal is consistent, especially with regard to the cost estimates	
Proposal has been proofread and is ready for the DPPSA website	
<p>The proposal submitted for your approval is in compliance with the relevant sections of Operations Manual, Project Administration Instructions, and relevant safeguard and other ADB policies. It has been proofread. Factual information has been checked for correctness and consistency throughout the proposal. We are satisfied that this document is ready for consideration/approval, as requested in the attached submission.</p>	

 Director/Country Director
 Date:

 Mission Leader
 Date:

 Peer Reviewer 1
 Date:

 Peer Reviewer 2
 Date:

A. Basic Data
1. Activity Title:
2. Project Officer:
3. Request Date:
4. Implementing Organization:
5. Types of Interventions:
6. Amount Requested:
7. Period this funding request will cover:
8. Region/Country:
B. Description of Implementing Organization <i>Nature of implementing organization (NGO, community group, or government), and its previous relevant experience for the proposed activity; track record in community based work/experience with participatory approaches; details of the organization (governance and funding of the lead organization, i.e. when established, structure, number of staff and their expertise, total annual budget; and capacity to carry out the proposed activity.</i>
C. Proposed Project
1. Background and Rationale: <i>Describe briefly the current situation of the proposed project areas and needs or issues you will address. Describe how the proposed activity is linked to the objectives of the DPPSA focal areas and how they are relevant to the ADB's CSP, RCSP, and other policies. Approaches and efforts that have been undertaken in the past to address similar issues and problems should be outlined. The nature of previous lessons that are being used to formulate the current proposed work program need to be specified.</i>
2. Objectives: <i>Objectives (short-or mid-term) of the proposed activity need to be specified. Describe a targeted group and/or constituency served and how they will participate/benefit.</i>
3. Scope of Work/Description of Proposed Approaches: <i>Specify proposed activities according to the four categories of pilot intervention components. Describe each of the major activities associated with each output. Describe whether the proposed activity is new or on-going on the part of the implementing organization and how the implementing organization will support the activity in the future. Explain consultation process and participatory approach with performance targets. Describe relevant stakeholders as executing, co-executing agents or as collaborations in the project activities; and their roles and responsibilities; and their capacity to participate in the project activities. Describe key social and participation issues of the project, such as needs of vulnerable groups; anticipated project related conflicts, etc.</i>
4. Workplan and Reporting <i>Provide a brief timetable for implementation of activity. If the project requires consultant inputs, areas of expertise, duration, and expected results may be specified and outline terms of reference need to be included in an appendix. Specify the reporting schedule. Each project requires a progress report after 90 days of project implementation, thereafter semi-annual monitoring and a final report.</i>
5. Expected Outputs and Outcomes <i>The nature of anticipated results (such as impacts on participants/beneficiaries related to their health, social, environment, economic and financial conditions) arising from the project should be defined using appropriate performance indicators. Appropriate performance indicators (both quantitative and/or qualitative) should be selected in each of the four categories: i) input; ii) activity; iii) output; and iv) outcome. Where possible, potential benefits should be quantified. The potential for replication of project outputs needs to be described. Outline potential constraints to achievement of project goal, objectives, outputs, and activities. Elements of project risks need to be addressed.</i>

6. Project Evaluation and Information Dissemination

Describe how the activity's results will be evaluated (participatory approach) and shared/disseminated as lessons learned.

7. Scope of Replication/Use in other DMCs

Describe potential for adoption/replicability of project outputs. Factors such as how well outputs are packaged for adoption, what steps to be undertaken to ensure adoption.

D. Cost Estimate and Disbursement Schedule

The proposed project budget and the all sources of financing as well as disbursement schedule need to be specified according to activities. An example is provided below. Describe how cost recovery mechanisms will be built into the project to encourage environmental responsibility and financial sustainability in the absence of continued ADB support.

Item	Partner Contribution	Requested	Total	Disbursement
1. Preparatory Activities (specify)				
-Consultants				
-Travel				
-Equipment (specify)				
-Others (specify)				
2. Implementation activities (specify)				
-Consultants				
-Travel				
-Equipment (specify)				
-Others (specify)				
3. Monitoring and Evaluation				
-Consultants				
-Travel				
-Equipment (specify)				
-Others (specify)				
4. Training and Capacity Building (specify)				
-Consultants				
-Travel				
-Equipment (specify)				
-Others (specify)				
5. Auditing				
Total Expenses				

E. Proposed Project Management System

Describe how the proposed project will be managed, monitored, and reported.

DESIGN AND MONITORING FRAMEWORK¹

{Read and delete: Text inside frame must be left-aligned.}

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks {it is not essential for all rows to include both assumptions and risks}
Impact {Previously goal}			Assumptions Risks {Outcome + Assumptions and Risks contribute to Impact}
Outcome {Previously purpose}			Assumptions Risks {Outputs + Assumptions and Risks = Outcome}
Outputs 1. 2. 3.			Assumptions Risks {Activities + Assumptions and Risks = Outputs}
Activities with Milestones 1.1 1.2 2.1 2.2. 3.1. 3.2. 4.1 4.2 5.1 5.2			Inputs {include the following as applicable} ADB Government Cofinancing Beneficiaries Private sector Others Inputs

{List alphabetically and define all abbreviations used in the table. Font is Arial 9 pt.}

¹ {Read then delete: Following the approval of the Project Performance Management System Action Plan by the President on 29 April 2004, the director of the originating division and the director general of the department should sign the project framework in the draft of the RRP circulated for interdepartmental comment and submitted for Management consideration at the management review meeting. Both parties should also sign on the final version submitted for Management approval. The copy submitted for printing should not be signed.}

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA

Design and Monitoring Framework

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
<p>Impact Sustained progress made by participating developing member countries (DMCs) in South Asia toward attaining the Millennium Development Goals (MDGs)¹</p>	<p>Yearly improvement in the project areas in the sectors and areas identified in the MDGs</p>	<p>Regional and national statistics</p> <p>United Nations Human Development reports</p> <p>Reports on attainments of the MDGs</p>	<p>Assumption Flexible financing is available for activities that address the changing development challenges in South Asia</p> <p>Risk External developments may negatively impact progress toward attaining the MDGs</p>
<p>Outcome Innovative approaches in addressing key development challenges in South Asia will be implemented, evaluated, documented, and disseminated within the region and to other Asian countries</p>	<p>At least 3–4 innovative projects or programs ready for upscaling and replication of interventions, through Asian Development Bank (ADB) operations</p>	<p>Overall technical assistance (TA) progress and monitoring reports</p> <p>Progress reports on each project/program</p>	<p>Assumption A cost-effective and simple monitoring and management system is adopted in order to ensure that activities will be accurately monitored and that lessons learned will be documented</p> <p>Risk Emerging differences in perspectives and priorities in the future among the following: participating DMCs; Australian Agency for International Development (AusAID); ADB's South Asia Department (SARD), Central and West Asia Department (CWRD), and resident missions; and partner organizations</p>
<p>Outputs</p> <ol style="list-style-type: none"> 1. Innovative projects and/or programs that address major development challenges faced by South Asia 2. Targeted assessment reports that address the major development challenges faced by South Asia 3. Strategic regional conferences or workshops to further enhance regional cooperation and integration 4. Strategic information dissemination workshops and publications 	<p>Implementation of at least 10 innovative projects or programs</p> <p>Completion of at least five targeted assessments</p> <p>Completion of at least two strategic regional conferences or workshops</p> <p>Completion of at least two strategic information dissemination workshops</p>	<p>Due diligence records to be prepared by the advisory panel and the Australia-ADB South Asia Development Partnership Facility (AASADPF) secretariat</p> <p>Overall management records and reports to be prepared by the AASADPF secretariat</p> <p>Records of regular joint reviews and strategy meetings by AusAID and ADB</p> <p>Reports on reviews of targeted assessments</p> <p>Reports on workshops and conferences</p> <p>Consultants' reports, website usage and number of publications</p>	<p>Assumption Proposals are of high quality</p> <p>Risks Implementation weakness in DMCs</p> <p>Lack of cause and effect relationships in TA activities</p>

Activities with Milestones	Inputs
<p>1. Innovative Interventions</p> <ul style="list-style-type: none"> 1.1. Call for submission of proposals (twice a year on average) 1.2. Review and approval of proposals (twice a year on average) 1.3. Implementation and monitoring of approved projects and programs 1.4. Submission of project completion reports at the end of implementation <p>2. Targeted Assessments</p> <ul style="list-style-type: none"> 2.1. Call for submission of proposals (twice a year on average) 2.2. Review and approval of proposals (twice a year on average) 2.3. Implementation and monitoring of approved projects and programs 2.4. Submission of project completion reports at the end of implementation <p>3. Regional Cooperation and Integration</p> <ul style="list-style-type: none"> 3.1. Call for submission of proposals (twice a year on average) 3.2. Review and approval of proposals (twice a year on average) 3.3. Implementation and monitoring of approved projects and programs 3.4. Submission of project completion reports at the end of implementation <p>4. Information Dissemination</p> <ul style="list-style-type: none"> 4.1. Development of a communication and information dissemination plan to identify effective dissemination methods and venues, including internet and intranet-based information management 4.2. Website development 4.3. Compilation of good practices and lessons learned to address the development challenges selected for the TA and to attain the MDGs 4.4. Regular maintenance of the website (including regular updating of information) <p>5. Project Supervision and Administration (including reporting)</p> <ul style="list-style-type: none"> 5.1. Engage a national consultant to serve as Project Manager for the AASADPF secretariat 5.2. Establish the AASADPF secretariat and the procedures for the proposed TA 5.3. Conduct regular reviews 5.4. Prepare and submit TA reports regularly 5.5. Submit annual reports to AusAID, including submission of each proposal to AusAID (Colombo) within 2 weeks after approval 	<p>ADB: Overall management of the TA including the AASADPF secretariat; office space and ancillary facilities and services for the AASADPF secretariat; and ADB staff expertise</p> <p>Government of Australia: Financial contributions during 5 years (A\$11 million = US\$8.5 million equivalent) for consulting services (90%); civil works, equipment, and materials (5%); and miscellaneous including training, seminars, and conferences (5%)</p> <p>Governments: Active participation in formulating, implementing, and monitoring innovative interventions, targeted assessments, and regional cooperation and integration activities</p> <p>Beneficiaries: Active participation in implementing innovative interventions and targeted assessments</p> <p>Private sector: Active participation in innovative interventions and targeted assessments</p> <p>Others (development partners and nongovernment organizations): Active participation in implementing and monitoring innovative interventions and targeted assessments</p>

¹ The MDGs comprise eight goals: (i) eradicate extreme poverty and hunger; (ii) achieve universal primary education; (iii) promote gender equality and empower women; (iv) reduce child mortality; (v) improve maternal health; (vi) combat HIV/AIDS, malaria, and other diseases; (vii) ensure environmental sustainability; and (viii) develop a global partnership for development.

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA
Liquidation of Advance

 TA No: _____
 Project Name: _____

 Summary of Expenditures
 For the period: _____

Item No.	Description of Goods and Services	Payee (Supplier/Contractor)	Date of Payment	Amount Paid in Local Currency	US Dollar Equivalent	Remarks
Total						

It is hereby certified that the above amounts have been paid for the proper execution of the Technical Assistance activities, all within the terms and conditions of the Technical Assistance Agreement.

All supporting documentation substantiating these expenditures are attached.

 Name and Signature
 Team Leader

 Name and Signature
 Project Director or Manager

Development Partnership Program for South Asia

Progress Report Format

All recipients of DPPSA grant must submit regular financial and programmatic reports to the ADB in the following format. The frequency of reporting required is specified in each grant agreement. The format has been designed to be a useful project management tool. The programmatic reporting relates to demonstrating progress with respect to the performance indicators articulated in the project design. The financial reporting is based on the approved project budget.

A. Project Information	
Project Title:	
Implementing Organization:	
Project Start Date:	Planned/ Expected Completion Date:
Reporting Period:	
B. Activity Summary <i>The section should briefly describe the activities undertaken during the period. Briefly describe outstanding issues and problems and proposed solution to resolve the issue. It should also discuss the resolution of the issues identified in previous progress reports.</i>	
C. Performance <i>This section should evaluate progress in terms of the agreed performance indicators (refer to Section E of Proposal Format)</i>	
D. Financial	
1. Expenditures in the Period <i>This section should provide information on expenditure during the period in terms of the line items in the approved budget.</i>	
2. Expenditure Planned for Next Period <i>This section should provide information on expenditure for the next period</i>	
3. Expenditure to Date <i>This section should also provide information on total expenditure to date.</i>	
4. Request of Release on Next Tranche <i>This section should formally request the release of the next tranche of funding.</i>	

DEVELOPMENT PARTNERSHIP PROGRAM FOR SOUTH ASIA

Project Completion Report

A. Objective and Scope

A project completion report (PCR) based on PAI 6.08 is to be prepared to document the experience gained during the project implementation so that the knowledge gained can be used to improve planning, formulation, and implementation of future poverty-environment interventions.

B. Timing

A PCR is to be prepared within three months of project completion.

C. Format

Project No., Country, and Name	Amount Approved
Implementing Organization:	Amount Undisbursed:
Approval Date: Signing Date: Initiation Date:	Amount Utilized: Completion Date Original: Actual:
	Account Closing Date Original: Actual:
A. Description <i>Describe the overall project and the project performance indicator framework. Extract information on background and rationale from the approved technical assistance (TA) paper and summarize.</i>	
B. Objectives and Scope <i>Briefly describe the projects objectives, outcomes, outputs, and activities). Evaluate the relevance of project design (including appropriateness of objectives, work plan and approach, institutional arrangements, and implementation schedule) and formulation (including extent of stakeholder participation and ownership).</i>	
C. Evaluation of Inputs <ul style="list-style-type: none"> • <i>the economy of input provision (the relative cost of input provision)</i> • <i>the productivity of the inputs (conversion into outputs)</i> • <i>the quality of inputs</i> • <i>reasons for deviating from planned inputs and activities</i> • <i>client satisfaction with the inputs provided</i> • <i>the performance of ADB and the executing agency (EA) as highly satisfactory, satisfactory, less than satisfactory, or unsatisfactory</i> • <i>Assessment of the performance of consultants must be consistent with the performance evaluation of the consultant.</i> 	

D. Evaluation of Outputs (such as reports generated, institution building, training, analysis of quality, and comparison with terms of reference)

Evaluate

- *efficiency in the production of outputs (cost and process),*
- *effectiveness or efficacy (compare actual to planned results), timeliness of delivery of outputs*
- *quality of outputs (refer to qualitative benchmarks where possible)*
- *client satisfaction with outputs*
- *timeliness of delivery of outputs*

E. Overall Assessment

Provide an overall assessment including the issue of sustainability, and categorize the TA as highly successful, successful, partly successful, or unsuccessful following Operations Evaluation Department guidelines.

D. Major Lessons Learned

Discuss the significant lessons learned that can help improve formulation and implementation of similar activities

E. Recommendations

The section should provide recommendations on how the results and lessons learned of the project might: (i) be better disseminated; (ii) mainstreamed in ADB operations; (iii) sustained in the project area; (iv) upscaled in the project area or other areas; and/or (v) replicated in other areas or situations.

Prepared by: _____

Designation: _____