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Asia Pacific Disaster Response Fund: Implementation Guidelines

Asian Development Bank

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Asia Pacific Disaster Response Fund Implementation Guidelines

I. INTRODUCTION

1. On 1 April 2009, the Asian Development Bank (ADB) established the Asia Pacific Disaster Response Fund (APDRF) with the objective of providing incremental grant resources to developing member countries (DMCs) for the restoration of life-preserving services to communities immediately after a disaster triggered by natural hazards, including disease outbreaks, has occurred.¹ These grants will help bridge the gap between existing ADB arrangements that support DMCs to reduce disaster risk and support post-disaster recovery and reconstruction.

2. On 5 October 2021, a second APDRF window was established to finance experts to provide speedy post-disaster technical support for the preparation of post-disaster needs assessments (PDNAs), recovery plans, and post-disaster projects, including emergency assistance loans (EALs).² This support will enable ADB to participate more consistently in PDNAs and the preparation of government recovery plans as part of multipartner teams and support the timely processing of post-disaster assistance.

II. GOVERNANCE STRUCTURE

3. The authority to approve assistance from the APDRF first window, focusing on the provision of grant resources to DMCs for the restoration of life-preserving services, is delegated to the President following the business process outlined in Section V below. The APDRF Fund Manager will approve direct charges under the APDRF second window.

4. ADB's Sustainable Development and Climate Change Department (SDCC) will manage the APDRF in close consultation with regional departments and resident mission disaster focal points and will be responsible for coordinating with various ADB departments with respect to activities to be supported by the APDRF.

5. The Director of Climate Change and Disaster Risk Management Division (SDCD) will be the APDRF Fund Manager, responsible for the day-to-day operations of the APDRF, including monitoring, evaluation, and reporting, with assistance from staff with relevant technical and administrative expertise.

6. ADB's Partner Funds Division (SDPF) will facilitate contributions and will act as the official channel of communications between external APDRF contributors and ADB for the financial aspects. SDPF will lead negotiations and discussions with contributors on procedural agreements for contributions to the APDRF.

¹ ADB. 2009. [Establishment of the Asia Pacific Disaster Response Fund](#). Manila.

² ADB. 2021. [Establishment of a Second Window of Assistance under the Asia Pacific Disaster Response Fund](#). Manila.

III. ELIGIBILITY

7. **General Criteria:** Assistance from the APDRF first window will be provided in the form of a grant in an amount totaling up to \$3 million per event. Factors that may influence the size of the grant can be (i) geographical extent of damage; (ii) initial estimate of death, injuries, and displaced persons; (iii) the response capacity of key government agencies in the country; and (iv) the date and magnitude of the last disaster that affected the country (thereby taking into account the cumulative effect of disasters on a country's ability to respond).

8. All DMCs will be eligible for grant assistance from the APDRF first window. Recipients will be central governments who may allocate funds to local governments, government agencies, and other suitable national or international entities, including, where appropriate, nongovernmental organizations. Due to the need to provide grant assistance immediately after the occurrence of a disaster, ADB will not enter into a legal agreement with these entities but only with the central government and will rely on the central government to ensure that the use of the grant is in accordance with the provisions of the grant agreement.

9. Under the APDRF second window, direct charges will be the only financing mechanism. Through this mechanism, APDRF resources can be directly drawn down by ADB, not as part of a loan, grant, or technical assistance, to finance eligible expenditures (para. 16). All DMCs are eligible for support via the second window. Total APDRF resources for the second window will be limited to a maximum of 8% of the total fund amount.³ Funding support will be limited to one direct charge not exceeding \$150,000 per disaster event. To ensure that the APDRF continues to fulfill its primary purpose of providing fast-tracked grants to restore life-saving services under the first window, the second window will not be available should the fund's balance fall below \$6 million.

10. **Conditions for assistance:** Assistance may only be granted once the following emergency conditions have been met:

- (i) a disaster triggered by a natural hazard has occurred in a DMC;
- (ii) an emergency has been officially declared that is of a scale beyond the capacity of the country and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations; and
- (iii) the United Nations humanitarian/resident coordinator (UN H/RC)⁴ has confirmed the scale and implications of the disaster and has indicated a general amount of funding that would be required to assist in alleviating the situation.⁵

11. These conditions for assistance apply to both APDRF windows. Access to the second window will not be contingent on application for a grant under the first window, and the two windows may be pursued separately.

³ The amount will be calculated based on 8% of the balance of the fund on the date of approval of the second window (excluding any remaining resources from the Government of Japan's \$75 million contribution to the APDRF in May 2020 for response to the coronavirus disease or COVID-19 pandemic). The amount will be increased on the date any replenishment of the fund is made based on 8% of the new amount contributed to the fund.

⁴ The UN H/RC is responsible for initiating the United Nations' Flash Appeal scheme, which is a request for funds from international donors, and the Central Emergency Response Fund, which is designed to jump-start relief operations within 72 hours of an emergency. Even with these instruments, however, only two thirds of UN humanitarian appeals are typically met each year.

⁵ The UN H/RC should indicate a general amount of total donor funding that would be required to assist in alleviating the situation, rather than a general amount of funding required specifically from ADB.

12. The second condition for assistance is interpreted flexibly and may be deemed to have been met if the national government has approved the allocation of resources in support of the disaster response efforts and indicated that external assistance is welcome.⁶ This is the case, in particular, (i) for DMCs which do not have legislation requiring the declaration of a state of emergency before national government resources can be approved to support the response efforts and international assistance can be requested; or (ii) when a government chooses not to declare a state of emergency following a major disaster because of valid strategic considerations, such as concerns for the country's tourism industry or business confidence.

13. Each distinct declaration of a disaster will be regarded as a separate event and hence be eligible for assistance irrespective of whether it occurred in the same disaster-affected DMC or in the same calendar year.

IV. USE OF FUNDS

14. The first window will provide quick-disbursing grants to assist DMCs meet immediate expenses to restore life-saving services to affected populations following a disaster and to augment aid provided by other donors in times of national crisis. These grants may support, but not be limited to, the following types of activities:

- (i) provision of emergency rescue equipment,
- (ii) provision of medical kits, food, and bottled drinking water,
- (iii) purchase of water purification and sanitation systems,
- (iv) provision of transitional shelter,
- (v) provision of personal hygiene kits,
- (vi) purchase of emergency communication equipment,
- (vii) debris sifting,
- (viii) site clearance,
- (ix) safe disposal of useless rubble,
- (x) provision of medical care-related goods and equipment,
- (xi) payment of overtime for first responders, and
- (xii) bulk purchase of aviation fuel.

15. Retroactive financing of disaster relief costs totaling up to 30% of grant proceeds will be permitted where such expenditure has been incurred after the disaster occurred and before grant effectiveness.⁷ An appropriate cut-off date for the eligible expenditures for purposes of retroactive financing should be determined in discussion with the Office of the General Counsel (OGC) and the APDRF team in SDCC (e.g., the actual date of the emergency event, the date of the declaration of a state of emergency, the date of allocation of resources for disaster/emergency response, or some other date after the occurrence of the emergency event deemed as appropriate and agreed with the government).

16. The second window will provide direct charges to finance experts to engage in PDNAs and the preparation of government recovery plans, and to support any aspect of post-disaster assistance processing (other than for grants under the first APDRF window). The second window cannot support the implementation of post-disaster projects.

⁶ ADB. 2010. *Amendment to Condition for Assistance of the Asia Pacific Disaster Response Fund*. Manila.

⁷ Retroactive financing up to 30% is permitted for emergency assistance financing under ADB's Disaster and Emergency Assistance Policy. ADB. 2021. [Revised Disaster and Emergency Assistance Policy](#). Manila.

V. BUSINESS PROCESS FOR ACCESSING APDRF

A. First Window

17. The business process for accessing funds under the first window is outlined in Appendix 1. Whenever possible, within 24 hours of the first two conditions for assistance referred to in Section III having been met, the concerned regional department director general, in consultation with the resident mission country director, will assign a disaster coordinator.

18. The disaster coordinator will contact the UN H/RC to confirm the scale and implications of the disaster and to indicate a general amount and the nature of assistance the UN H/RC is recommending or intends to recommend to the international community. A template is provided in Appendix 3. The disaster coordinator will also provide a copy of the grant regulations to the government for information.

19. The disaster coordinator will, as quickly as conditions permit, prepare, and transmit a brief memorandum from the regional department director general to the President providing

- (i) an overview of the crisis,
- (ii) an outline of the rationale for ADB's emergency grant including the date of the government's request for ADB support from the APDRF and confirmation of an official declaration of an emergency beyond the capacity of the country and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations,
- (iii) indicative use of the grant,
- (iv) safeguard screening and categorization
- (v) a summary of the assistance the UN H/RC is recommending or intends to recommend to the international community,
- (vi) to the extent possible, the initial and proposed type and amount of assistance from other donor agencies, and
- (vii) a recommendation of whether ADB should provide grant assistance from the APDRF and the total amount of the grant (not to exceed \$3 million).

20. All grants will be screened and categorized for safeguards applying an expedited process consistent with the [Safeguard Policy Statement](#) (2009) and [Disaster and Emergency Assistance Policy](#) (2021) requirements. Potential environmental and social risks and impacts include management and disposal of disaster waste, including asbestos or asbestos-containing materials; community and occupational health and safety risks, such as land and water contamination and electrocution; impacts on vulnerable groups, including indigenous peoples, who may be disproportionately impacted; sexual exploitation, abuse, and harassment of affected people; and physical and/or economic displacement.

21. In line with the safeguards screening flowchart outlined in Appendix 4, the disaster coordinator will complete a safeguard screening list as provided in Appendix 5 to determine safeguard categorization. Indicative expenditure activities are generally anticipated to be category C for all three safeguards (Environment, Involuntary Resettlement, and Indigenous Peoples). A combined safeguard categorization form, as provided in Appendix 6, should be completed in such cases, and endorsed by Safeguards Division (SDSS), with no further requirements for safeguard assessment and planning. If, however, the outcome of the initial screening exercise indicates potential environment and/or social safeguards impacts (outcome other than category C), the [Environment](#), [Indigenous Peoples](#), and [Involuntary Resettlement Impact](#) Categorization forms must be completed and filed in place of the combined safeguards categorization form. Any grant activity

with potential adverse safeguard impacts and risks will require preparation of the appropriate safeguard frameworks (an environmental assessment and review framework, a resettlement framework, and/or an indigenous peoples planning framework, as appropriate). Further assessment and safeguard documents will be prepared in accordance with the requirements set out in the safeguard frameworks after grant approval to avoid, manage, and/or compensate against the impacts. Should the use of the grant proceeds change during implementation to activities with potential safeguards impacts, the grant activities should be reassessed and recategorized. APDRF grants cannot be used to finance activities that would trigger Category A and Category FI, or that are included in the Prohibited Investment Activities List.⁸

22. Supporting documents will be attached to the memorandum to the President pertaining to the government's request for APDRF assistance, satisfaction of the conditions for assistance, and confirmation from the APDRF Fund Manager (Director, SDCD) that all such conditions have been met and that the fund has sufficient resources to provide the proposed grant. A memorandum template is provided in Appendix 7.

23. The regional department director general's recommendation will be communicated to the respective operations vice president for consideration and endorsement to the President (and copied to the General Counsel and the Controller for information). It is expected that the operations vice president will be apprised of the regional department director general's recommendation within 48 hours of the conditions for assistance being met.

24. When the situation permits, within 72 hours of the conditions for assistance being met, the operations vice-president will convey his/her recommendation to the President for approval. The President's decision will be copied to the General Counsel, the Controller, the regional department director general, the resident mission country director, and the APDRF Fund Manager.

25. The regional department director general should communicate the President's approval to the DMC within 24 hours. A template is provided in Appendix 8. The communication will be in the form of a letter, with

- (i) an attached Grant Agreement signed by ADB and ready for countersignature by the DMC;⁹ and
- (ii) the withdrawal application wherein the full amount of the grant will have been inserted.

26. In the letter, the government should be (i) advised that the validity of ADB's approval of the grant will lapse automatically after 30 days following the date of the letter if the grant agreement is not signed within that period, unless such period of validity is extended (see the procedure set out in para. 28 below); (ii) advised to submit sufficient evidence of the authority of the signatory of the grant agreement; (iii) informed that the withdrawal application should either be signed by the same person or by any person authorized in writing to sign the withdrawal application on behalf of the government; (iv) advised to submit sufficient evidence of the authority of the signatory of the withdrawal application if different people sign the grant agreement and withdrawal application, along with that person's authenticated specimen signature;¹⁰ and (v) informed that the statement of expenditure should be submitted to ADB within 4 months of the grant closing date, any outstanding advances refunded to

⁸ ADB. 2009. *Safeguard Policy Statement*. Manila (Appendix 5: ADB Prohibited Investment Activities List). page 76.

⁹ It would normally be expected that the grant agreement would be signed by the same governmental official who is authorized to execute financing agreements for regular ADB operations in the DMC (typically from the Ministry of Finance, or equivalent, of the DMC). However, it is possible that, in certain DMCs, this may vary in the context of disaster and emergency operations.

¹⁰ The DMC should provide an original of the authorized signatory listing to ADB (a copy of which can initially be provided via Sharepoint to the Controller's Department with the original document to follow).

ADB within a further 2 months, and an audit report submitted to ADB within 6 months of the grant closing date. There is no need for a specimen signatory letter from the recipient if the person who signs the grant agreement also signs the withdrawal application. The letter from the regional department director general to the DMC should also include a paragraph listing documents already provided in advance to the government (i.e., the APDRF paper, amendments, implementation guidelines, and grant regulations).

27. The grant agreement may be signed in ADB's Headquarters or in the DMC concerned. The grant agreement will be signed on behalf of ADB by an officer designated in Administrative Order 1.03, para. 2.1.¹¹ In the absence of the designated officer, the officer-in-charge has the authority to sign the grant agreement (see Administrative Order 1.03, para. 4).

28. In DMCs which do not have a resident mission/country office, ADB will inform the government in writing that the ADB coordination office is authorized to receive the signed APDRF grant agreement and withdrawal application on ADB's behalf on a one-off basis. The coordination office will forward scanned copies to its supervising office for endorsement. Original copies will follow.

29. If the grant agreement has not been signed by the 20th day after the date of the letter communicating the grant approval to the DMC, the relevant regional department shall inform the government of the impending lapse of such approval and inquire whether any extension of the validity period will be required. Any request by the DMC for extension of the validity of ADB approval of the grant prior to grant signing should be communicated by letter to ADB within 30 days from the date of the letter communicating the grant approval to the DMC (i.e., prior to the signing deadline for the grant agreement) and shall include compelling justification of the grounds for extension and the requested length of extension.¹² This letter should be signed by an authorized signatory on behalf of the government. Such requests shall be approved by the Director General of the relevant regional department. If approved,¹³ a revised extension date for signature of the grant agreement will be set and communicated to the DMC. Any extension will be for a further period of 30 days. Multiple extensions may be considered only where strongly justified.

30. The grant agreement will become effective on the date the grant agreement is signed by ADB and countersigned by the recipient government and is delivered to ADB staff and confirmed by OGC.¹⁴

B. Second Window

31. The business process for accessing funds under the second window is outlined in Appendix 2. Following a request from the government for ADB post-disaster support and once the conditions for assistance referred to in Section III have been met, regional departments may apply for a direct charge from the second window. A template is provided in Appendix 9. The direct charge application may cover the engagement of a single or multiple national and international individual consultants and/or consulting firms. It cannot be used for any other purpose. Each proposed consultant position,

¹¹ Administrative Order No. 1.03. [Signature of Written Instruments](#).

¹² Given that APDRF is intended to respond to the urgent resource needs of DMCs immediately after a disaster has occurred, under normal circumstances there is a high expectation that the grant agreement will be signed by the DMC promptly following ADB's approval of the grant. Delay in signing the grant agreement may suggest that the DMC does not require immediate assistance from ADB or that the DMC has sufficient resources to cover the unforeseen humanitarian relief expenses.

¹³ Any approval of an extension of the validity period would normally be expected to be made prior to expiration of the then-applicable validity period.

¹⁴ Delivery of a scanned copy by electronic means by an ADB staff of the relevant resident mission/country office/coordination office to OGC counsel may be deemed to constitute delivery of the grant agreement for this purpose.

including a terms of reference, should be indicated in the application form. An application for direct charges should not exceed \$150,000 and must have an implementation period of a maximum of 6 months from date of approval.

32. Applications for direct charges will originate from the project team leader with endorsement from the respective sector division director or country director. These will be submitted for review and approval by the APDRF Fund Manager within 5 working days.

VI. FUND DISBURSEMENT AND IMPLEMENTATION

A. First Window

33. **Disbursement:** Where possible, funds will be disbursed within 24 hours¹⁵ upon receipt by ADB of

- (i) the APDRF Grant Agreement duly signed by the DMC; and
- (ii) the withdrawal application duly completed and signed by the DMC.

34. For purposes of timely disbursement, a copy of the signed withdrawal application should be uploaded by the relevant regional department or resident mission/country office to the Controller's Department (CTL) Withdrawal Application Submission (CWAS) site¹⁶ for processing by CTL provided that the relevant resident mission/country office confirms that the original signed withdrawal application has been delivered to the resident mission/country office.¹⁷ In DMCs which do not have a resident mission/country office, the ADB coordination office will receive the original signed APDRF withdrawal application on ADB's behalf and forward a scanned copy to its supervising office for endorsement¹⁸ and uploading in CWAS. Original copies should subsequently and promptly be sent to CTL.¹⁹

35. For disaster response activities, speed and flexibility are required. Disbursements will be allowed up to 100% of eligible expenditures (including applicable taxes and duties). An advance account will be used to expedite disbursements. The advance account details will be included on the withdrawal application. The entire grant will be disbursed to the advance account in a single advance. The recipient will not be required to submit an estimate of ADB's share of eligible expenditures to be paid through the advance account. The use of advance account and statement of expenditures procedures will be in accordance with the [Loan Disbursement Handbook](#) (2017, as amended from time to time) and arrangements agreed upon between the recipient and ADB.

36. **Procurement:** Resources from the APDRF will be used by recipients to procure goods, works, and services related to disaster response efforts following procurement procedures suitable for emergency response. The [ADB Procurement Policy](#) (2017, as amended from time to time) and [Procurement Regulations for ADB Borrowers](#) (2017, as amended from time to time) will not apply.²⁰ In particular, given the need to respond quickly to immediate needs following a disaster, coordinate

¹⁵ Excluding bank holidays and weekends.

¹⁶ [CTL Withdrawal Application Submission - Power Apps](#)

¹⁷ Confirmation of receipt of the original signed withdrawal application will be in accordance with prevailing CTL requirements.

¹⁸ Endorsement of the scanned copy of the withdrawal application will be in accordance with prevailing CTL requirements.

¹⁹ Receipt and submission of the evidence of authority to sign the withdrawal application, where required (see para 25), may follow the same procedures indicated for receipt and submission of the withdrawal application to CTL, except such evidence of authority should be uploaded to Sharepoint, instead of CWAS.

²⁰ The size of the grant to be provided should take into consideration the system's capacity of the affected DMC. If, for example, national procurement procedures are complex, the Government may choose to transfer funds to a UN agency or a nongovernment organization. The procurement processes of the recipient agency would then apply.

closely with other international organizations, and facilitate work with potential cofinanciers, the procurement of goods, works, and services will be permitted both from ADB member and nonmember countries.

37. Recipients of financing from the APDRF must ensure that such financing will be used for its intended purpose on the same terms, conditions, and principles as set forth in this paper.

38. **Grant Closing Date:** Unless otherwise agreed by ADB, the grant closing date will be 6 months after the signing of the grant agreement.²¹ Extensions of the grant closing date will only be considered on an exceptional basis. Any potential request for extension should be closely coordinated with SDCD and the APDRF Fund Manager's concurrence obtained prior to approval by the head of the respective sector division.²²

39. **Liquidation:** Statements of expenditure will be submitted to ADB within 4 months of the grant closing date. Any outstanding advances will be refunded within a further 2 months. The government will retain underlying documentation, such as contracts, invoices, and receipts. ADB reserves the right to review these documents.

40. **Monitoring and reporting:** Disaster coordinators will meet implementing and executing agencies periodically (preferably monthly) to monitor progress in grant administration, implementation, liquidation, and auditing and to provide guidance on ADB policies and procedures as relevant to the APDRF. An initial meeting between the disaster coordinator and the implementing and executing agencies is encouraged during the early part of implementation. A brief 3 to 5-page grant closing report will be prepared for approval by the head of the respective department and submitted to the APDRF Fund Manager within 4 months following the financial closing date (Appendix 10).²³ These reports will include information on project beneficiaries, including sex-disaggregated data, where available; and will assess grant performance, achievements, and lessons learned. Following interdepartmental review and finalization, the grant closing reports will be disclosed by disaster coordinators on the ADB website, following standard procedure for the disclosure of project and technical assistance closure reports.

41. **Tracking of Safeguards Indicators under the Project Performance Rating (PPR) tool:** APDRF grants which are category "B" for any of the three safeguards are required to be tracked for safeguards indicators in the Performance Rating Tool on a bi-annual basis during the implementation phase. Tracking of the safeguards indicator is not required for grants categorized as "C" for all safeguards and if category "C" is maintained during the grant implementation period.

42. **Audit:** Within 6 months of the grant closing date, each recipient of an APDRF grant will provide an audit report on the use of the grant, including the advance account and the statement of expenditure.²⁴ The audit will be conducted by an auditor acceptable to ADB. The cost for auditing

²¹ Grant closing date is the date after which ADB may terminate the right of the recipient to make any withdrawals from the Grant Account. Expenditures incurred after this date are not eligible for financing.

²² Extensions beyond 2 years will be submitted for approval by the respective regional department director general in accordance with PAI 4.03.

²³ Financial closing date is the date on which all project-related financial transactions financed from the grant account are finalized and the respective grant account is closed in ADB's books.

²⁴ Where applicable, the provisions of [OM J7](#) and [PAI 5.07](#) (as amended from time to time) shall apply. ADB. 2015. Project Financial Reporting and Auditing. *Operations Manual*. OM J7/BP. Manila; and ADB. 2018. Financial Reporting and Auditing of Loan- and Grant-Financed Projects. *Project Administration Instructions*. PAI 5.07. Manila.

completed after the grant closing date may be financed by the grant,²⁵ subject to the satisfaction of conditions specified in the [Loan Disbursement Handbook](#) (2017, as amended from time to time). The requirements for financing audit costs under the grant should be explained to the government by the disaster coordinator no later than 1 month following signing of the grant agreement.

43. **Donor coordination:** Disaster coordinators will report the approval of APDRF grants to the UN H/RC and any relevant government-led development partner coordination mechanism. SDCC will report contributions to the global Financial Tracking Service. These reporting activities will support coordination of the humanitarian response effort, in turn helping to ensure that APDRF grants are used to maximum effect.

B. Second Window

44. SDCC will establish and manage a pool of technical experts on behalf of regional departments to support the rapid engagement of consultants under the second window. These experts will be retained through a framework agreement.

45. Regional departments will be responsible for the engagement and management of consultants. They can engage consultants from the roster of technical experts through the framework agreement. They can also directly engage other consultants to meet specific needs and country contexts. Procurement of consulting services will be carried out following the [ADB Procurement Policy](#) (2017, as amended from time to time). The period of engagement will not exceed the implementation period of the direct charge (para. 30). Extensions of the implementation period for direct charges and the consultant engagement period will only be considered on an exceptional basis. Any change in the title and role of consultants to be engaged should be communicated to APDRF Fund Manager, together with the revised terms of reference, for email endorsement.

46. A direct charge closing report will be prepared by the regional department and submitted to the APDRF Fund Manager within 6 months of the financial closing date of the direct charge. A template is provided in Appendix 11.

VII. APDRF IMPLEMENTATION

47. **Progress Reports and Frequency.** The APDRF Fund Manager, in consultation with the regional departments, will prepare simple annual reports covering the full calendar year on APDRF activities for external financing partners. The reporting format and monitoring indicators will be developed in consultation with the external financing partners. The reports will be submitted to the financing partners within 60 days of the reporting period.

48. **Anticorruption.** The APDRF and activities funded thereunder will be subject to ADB's [Anticorruption Policy](#) (1998, as amended to date) and [Integrity Principles and Guidelines](#) (2015, as amended from time to time). ADB's Anticorruption Policy requires staff, consultants, borrowers, beneficiaries, and contractors executing the APDRF and activities thereunder, to observe the highest standards of ethics and personal integrity. Any party found in breach of ADB's Anticorruption Policy may be subject to disciplinary measures and/or sanctions in accordance with ADB's Integrity Principles and Guidelines.

²⁵ To finance audit costs under the grant, (i) the recipient should sign a contract for the audit prior to the grant closing date, and (ii) the contract should be a lump-sum or fixed-price contract that requires completion of the audit within 6 months after the grant closing date. If the final audit fee cannot be paid during the 4-month winding-up period, the final audit fee may be paid through an escrow account, and full supporting documents should be attached to the WA for this purpose. See [Loan Disbursement Handbook](#) (2017 as amended from time to time) and consult CTL for further guidance.

49. **Fund Accounting:** CTL will provide accounting functions for the funds and prepare financial statements. Resources for both the first and second windows will be held and managed by ADB in a single account.

50. **Annual Audits:** SDPF will collaborate with CTL for financial statements of the APDRF which will be prepared annually to be audited by ADB's external auditors, with the cost of these audits to be charged to the account of APDRF. For the purposes of the audited financial statements, the end of the fiscal year is 31 December. The audited financial statements will be submitted to the financing partners and the Board of Directors.

51. **Amendments:** ADB may, at any time, amend these Guidelines provided that such amendments are consistent with the terms and conditions of the APDRF establishment paper as amended from time to time (footnotes 1, 2 and 6). Such amendments will be approved by Director General, SDCC in consultation with relevant departments. Further, the requirements concerning safeguards and disclosure of grant closing reports, as described in paras 20 and 39, respectively, will only apply to grants for which formal government requests for assistance were received after the date of approval of the revised implementation guidelines. The requirements concerning audit, as described in para 40, apply to all new APDRF grants approved since Board endorsement on 5 October 2021 of the paper on the [Establishment of a Second Window of Assistance under the Asia Pacific Disaster Response Fund](#) (footnote 2).

Business Process for Accessing the APDRF First Window

STEPS	UNIT	ACTIONS AND RELATED NOTES
<p>Trigger (Satisfaction of first two conditions for assistance)</p>		<p>(i) A disaster triggered by a natural hazard an (extreme weather event, geophysical hazard, or disease outbreak) has occurred in a developing member country (DMC) and</p> <p>(ii) an emergency has been officially declared that is of a scale beyond the capacity of the DMC government and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations.</p>
<p>1</p>	<p>Regional Department (RD) Director General (DG) (in consultation with concerned Country Director)</p>	<ul style="list-style-type: none"> • Appoints a Disaster Coordinator within 24 hours of emergency conditions being met. • Emails the name of the Disaster Coordinator to Director, Climate Change and Disaster Risk Management Division (SDCD), Sustainable Development and Climate Change Department (SDCC) with copy to Principal Disaster Risk Management Specialist, SDCD.
<p>2</p>	<p>SDCC/SDCD</p>	<ul style="list-style-type: none"> • Advises the following departments/offices about the likelihood of a request for assistance and the name of the designated Disaster Coordinator: <ul style="list-style-type: none"> ➤ Controller' Department (CTL)/Loan and Grant Disbursement Section (CTLA-LGD) ➤ Office of the General Counsel (OGC) (designated Asst. General Counsel/Country Counsel) ➤ Procurement, Portfolio and Financial Management Department (PPFD)/ Portfolio Management Division (PFPM) ➤ Sustainable Development and Climate Change Department/ Safeguards Division (SDSS) ➤ Treasury Department (TD)/ Treasury Services Division (TDTS) ➤ Vice President (Knowledge Management and Sustainable Development) and DG, SDCC to be copied.
<p>3</p>	<p>Disaster Coordinator</p>	<ul style="list-style-type: none"> • Obtains a copy of the relevant documents confirming satisfaction of the first two conditions for assistance. • Contacts the United Nations humanitarian/resident coordinator (UN H/RC) to confirm the scale and implications of the disaster and to indicate a general amount and the nature of assistance the UN H/RC is recommending or intends to recommend to the international community. Forwards record of discussion to SDCC. • Provides a copy of the grant regulations to the government for information. • Obtains a copy of the letter from government requesting support from the Asia Pacific Disaster Response Fund (APDRF). • Obtains letter from UN H/RC indicating the assistance the UN H/RC is recommending or intends to recommend to the international community for attachment to the memo to the President seeking approval to access the APDRF. In the absence of an official confirmation from the UN H/RC, email communications will be acceptable. (This is the third condition for assistance.)

STEPS	UNIT	ACTIONS AND RELATED NOTES
	OGC TD SDSS	<ul style="list-style-type: none"> Prepares draft memo to the President seeking approval to access the APDRF in accordance with template provided as an annex to the implementation guidelines and seeks comments from SDCC/SDCD. Prepares the draft grant agreement (GA) for review by the Disaster Coordinator. Ensures that funds will be available for disbursement upon receipt by ADB of the signed GA and Withdrawal Application (WA). Reviews and confirms safeguard categorization (within 24 hours of receipt of proposed categorization from the RD)
4	Disaster Coordinator	<ul style="list-style-type: none"> Reviews the draft GA, sends comments to OGC, and provides the project name. Sends the draft GA to the government for review and requests the government to open a bank account for the advance fund procedure. Creates eOps record for the proposed grant. Finalizes the memo to the President in consultation with SDCC/SDCD and OGC. Prepares Note to the President in preparation for submission to OPR.
5	SDCC/SDCD	<ul style="list-style-type: none"> APDRF Fund Manager (Director, SDCC) provides an email confirmation to the Disaster Coordinator that all conditions of assistance have been met and, and that there are sufficient resources in the fund to meet the proposed grant with copy to Directors General, {RD}, SDCC; Deputy Directors General, {RD}; Director, {relevant division and/or resident mission/office}; Senior Advisor to the President; OGC; APDRF Team
6	Regional Department Director General	<ul style="list-style-type: none"> Endorses the recommendation and submits to concerned operations vice president within 48 hours of the conditions for assistance being confirmed as met.
7	Operations Vice President	<ul style="list-style-type: none"> Endorses the recommendation and submits to the President for approval within 72 hours of the emergency conditions being met.
8	President	<ul style="list-style-type: none"> Approves the recommendation.
9	Disaster Coordinator	<ul style="list-style-type: none"> In coordination with DOC, prepares a news release, social media updates, and blurb for ADB Today. Shares a draft of the news release for comment by the APDRF Team prior to finalization.
10	Disaster Coordinator	<ul style="list-style-type: none"> Provides grant approval number to OGC for insertion in the GA's cover page.

STEPS	UNIT	ACTIONS AND RELATED NOTES
		<ul style="list-style-type: none"> • Advises the DMC to provide a draft WA with the bank account details for the Advance fund procedure so that CTLA-LGD can verify in advance. • Informs the DMC in writing that, for DMCs without a resident mission, the ADB coordination office is authorized to receive the signed GA and WA on ADB's behalf on a one-off basis. • Prepares letter using template in Appendix 8 of the fund implementation guidelines informing the DMC of grant approval. • In cases where the WA will not be signed by the same person signing the GA (see para 21), advises the DMC that the evidence of authority to sign WA (EAP) needs to be submitted.
11	Regional Department Director General	<ul style="list-style-type: none"> • Signs the GA. <ul style="list-style-type: none"> - (Note - the GA may be signed by an officer designated in Administrative Order 1.03, para. 2.1 who is not necessarily the RD Director General. The Country Director, in particular, can sign the GA.) • Prepares a letter informing DMC of the grant approval. The GA and the WA form for the advance account are attached to the letter. <ul style="list-style-type: none"> - Note that the 2 copies of the final execution version for signing of the GA should only be provided to the government after the President's approval and the issuance of the grant approval number. • Provides blind carbon copies (bcc:) of the letter to Directors General, {RD}, SDCC; General Counsel; Controller; Senior Advisor to {VP}; Deputy Directors General, {RD}; Director, SDCC; Assistant General Counsel; Assistant Controller; Directors, {RD}; concerned Counsel; APDRF Team; and concerned RD staff.
12	DMC	<ul style="list-style-type: none"> • Countersigns GA confirms advance account details, and signs WA. • Submits an original copy of the GA duly executed by both parties and an original copy of the signed WA together with an original evidence of the authority of government signatory to both documents to the Disaster Coordinator. No legal opinion will be required. <p>If the grant agreement has not been signed by the 20th day after the date of the letter communicating the grant approval to the DMC, the relevant RD shall inform the government of the impending lapse of such approval and inquire whether any extension of the validity period will be required.</p>
13	Disaster Coordinator	<ul style="list-style-type: none"> • Sends one original signed copy of the GA to OGC, uploads a copy of the signed GA to Sharepoint, and notifies OGC. • Prepares cover memo addressed to CTL confirming that the original signed WA has been delivered to the resident mission (RM)/country office (CO) or received by the ADB coordination office. The cover memo should be signed by the relevant authority in accordance with prevailing CTL requirements.

STEPS	UNIT	ACTIONS AND RELATED NOTES
		<ul style="list-style-type: none"> • Uploads signed cover memo and copy of original signed WA to CWAS and notifies CTL for processing. • Promptly sends original signed WA to CTLA-LGD. <p>(In DMCs which do not have a RM/CO, the scanned copy of the signed WA and cover memo is sent via email to the supervising office for e-signature in accordance with prevailing CTL requirements. The CO then uploads the signed memo and WA to CWAS. Original copies should subsequently and promptly be sent to CTL).</p>
14	OGC	<ul style="list-style-type: none"> • Reviews whether the conditions for effectiveness of the GA have been met (signatures of the recipient and ADB, and receipt of the GA by ADB staff and confirmed by OGC) and advises Disaster Coordinator of the result of the review, with copy to CTLA-LGD's Portfolio Management and Reporting Unit (CTLA-LGD-PMR).
15	Country Director/ Director (relevant division or resident mission/office)	<ul style="list-style-type: none"> • Notifies the recipient of the date of effectiveness of the GA.
16	Disaster Coordinator	<ul style="list-style-type: none"> • Upon receipt of OGC's advice on effectiveness, prepares a Grant Milestone Event Dates (GMED) indicating dates of approval, signing, effectivity, and closing date. • Uploads signed GA to eOps and submits for disclosure in compliance with ADB's Access to Information Policy. • Submits GMED to CTLA-LGD-PMR for inputting to the Integrated Disbursement System (IDS, cc: CTLA-LGD focal) with a copy of the signed GA.
17	CTL/CTLA-LGD	<ul style="list-style-type: none"> • Reviews original WA (or uploaded copy in CWAS) and authorizes the disbursement.
18	TD	<ul style="list-style-type: none"> • Disburses grant proceeds in full to advance account within 24 hours of receipt by ADB of the signed GA and WA (excluding bank holidays and weekends).
19	Disaster Coordinator	<ul style="list-style-type: none"> • Informs the UN H/RC that the GA has been signed.
20	Disaster Coordinator	<ul style="list-style-type: none"> • Meets implementing and executing agencies periodically (preferably monthly) to monitor progress in grant administration, implementation, liquidation, and auditing; and to provide guidance on ADB policies and procedures as relevant to the APDRF, particularly on eligible expenditures and preparation of statements of expenditure. • Explains requirements for financing audit costs under the grant to the government no later than 1 month following GA signing. • Informs and seeks advice of CTL, OGC, SDSS, PFFM, TDTS and APDRF team in SDCC in any cases where monitoring indicates that the grant use and implementation may be inconsistent with ADB policies and procedures relevant to the APDRF.

STEPS	UNIT	ACTIONS AND RELATED NOTES
		<ul style="list-style-type: none"> • Prepares a grant closing report and circulates it for interdepartmental review to CTL, OGC, PPF, SDSS, TDTS, and APDRF team in SDCC. • Discloses finalized and HOD-approved grant closing report on the ADB website.
21	DMC	<ul style="list-style-type: none"> • Submits statement of expenditures within 4 months of the grant closing date. • Submits an audit report on the use of the grant within 6 months of the grant closing date.

ADB = Asian Development Bank; APDRF = Asia Pacific Disaster Response Fund; CO = country office; CTL = Controller's Department; CTLA-LGD = Loan and Grant Disbursement Section; CTLA-LGD-PMR = Portfolio Management and Reporting Unit; DG = director general; DMC = developing member country; GA = grant agreement; GMED = Grant Milestone Event Dates; HOD = head of department; OGC = Office of the General Counsel; PPF = Procurement, Portfolio and Financial Management Department; PPFM = Portfolio Management Division; RD = regional department; RM = resident mission; SDCC = Sustainable Development and Climate Change Department; SDCD = Climate Change and Disaster Risk Management Division; TD = Treasury Department; TDTS = Treasury Services Division; UN H/RC = United Nations humanitarian/resident coordinator; WA = withdrawal application.

Business Process for Accessing the APDRF Second Window

Undertaking a Post-Disaster Needs Assessment, Preparation of a Government Recovery Plan, and/or Preparation of a Post-Disaster Project

STEPS	ACTIONS	PARTICULARS
Trigger <i>(Request and satisfaction of first two conditions for assistance)</i>		Direct charges under the APDRF second window can be triggered if: <ul style="list-style-type: none"> (i) a request is received from a DMC government for ADB assistance to undertake a post-disaster needs assessment or prepare a government recovery plan or a communication is received from a DMC government that a post-disaster project is under consideration (other than, or in addition, to an APDRF grant); (ii) a disaster triggered by a natural hazard (extreme weather event, geophysical hazard, or disease outbreak) has occurred in a DMC; and (iii) an emergency has been officially declared that is of a scale beyond the capacity of the DMC government and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations.
1	Concerned RD initiates coordination with SDCC/SDCC (APDRF fund manager) and assigns an officer	<ul style="list-style-type: none"> • The relevant division or country director assigns an officer.
2 <i>(Duplicate submission of common supporting documents is not necessary if a grant under the first window has satisfied conditions of assistance or has been approved.)</i>	The officer collates documentation substantiating the request for funding (i.e., that the conditions ^a for APDRF assistance are met), and submits to APDRF fund manager (SDCC).	<ul style="list-style-type: none"> • The officer submits to the APDRF fund manager: <ul style="list-style-type: none"> – the letter from the DMC government requesting ADB assistance); – the latest disaster/emergency situation report particular to the affected DMC^b (<i>first condition for assistance</i>); – a copy of the government’s Declaration of State of Emergency (<i>second condition for assistance</i>); and – letter from the United Nations humanitarian/resident coordinator confirming the scale and implications of the disaster/emergency (<i>third condition for assistance</i>). • Subject to eligibility and availability of funding, the APDRF fund manager issues confirmation by email that a direct charge application can be considered.
3	The officer prepares the application for a direct charge under the APDRF second window, and submits to APDRF fund manager (SDCC) for approval	<ul style="list-style-type: none"> • The officer prepares the direct charge application using the template provided in Appendix 9 of the APDRF Implementation Guidelines.^c • The relevant division/country director endorses the direct charge application prior to its submission to APDRF fund manager for review and approval within 5 working days of receipt.
4	APDRF fund manager approves the direct charge	<ul style="list-style-type: none"> • SDCC reviews and, if eligible for support, approves the direct charge and assigns an approval number. • SDCC notifies the division/country director, indicating that the direct charge has an implementation period of up to 6 months from the date of approval.

STEPS	ACTIONS	PARTICULARS
5	Concerned RD (assigned officer) engages consultants	<ul style="list-style-type: none"> The officer recruits the consultants through CMS, utilizing the pool of experts retained through the framework arrangement or directly engages other consultants if required skills and experience are not available from the pool.
6	Concerned RD (assigned officer) manages consultants	<ul style="list-style-type: none"> The officer informs the APDRF fund manager of any proposed changes in the composition or scope of consultants to be engaged and provides related justification. The APDRF fund manager considers proposed changes and, if supported, provides email endorsement.
7	On completion, concerned RD (assigned officer) submits a direct charge closing report to APDRF fund manager	<ul style="list-style-type: none"> The officer prepares a direct charge closing report using the template provided in Appendix 11 of the APDRF Implementation Guidelines^c and submits to the APDRF fund manager within 6 months of the financial closing date.

APDRF = Asia Pacific Disaster Response Fund, DMC = developing member country, RD = Regional Department, SDCC = Sustainable Development and Climate Change Department, SDCD = Climate Change and Disaster Risk Management Division.

^a ADB. 2009. [Establishment of the Asia Pacific Disaster Response Fund](#). Manila (page 3, para. 12); ADB. 2010. [Amendment to Condition for Assistance of the Asia Pacific Disaster Response Fund](#). Manila; and ADB. 2021. [Establishment of a Second Window of Assistance under the Asia Pacific Disaster Response Fund](#). Manila (page 4, para. 17).

^b Preferably, a United Nations Situation Report.

^c ADB. 2022. [Asia Pacific Disaster Response Fund: Implementation Guidelines](#). Manila.

Letter from the UN Resident Coordinator (Template)

{Note: In preparing this letter from the UN Resident Coordinator, the processing department may revise and include additional country-specific details in the letter but should generally include information provided in this template.}

{Date}

XXX
XXX
XXX

Dear {ADB Disaster Coordinator},

Subject: Assistance to the Government of XXX for {cite type of disaster}

The United Nations Country Team has been supporting the Government of XXX with coordination and planning during the course of response. We can confirm that the Government of XXX has declared a state of emergency in {location of disaster} on {date of disaster}.

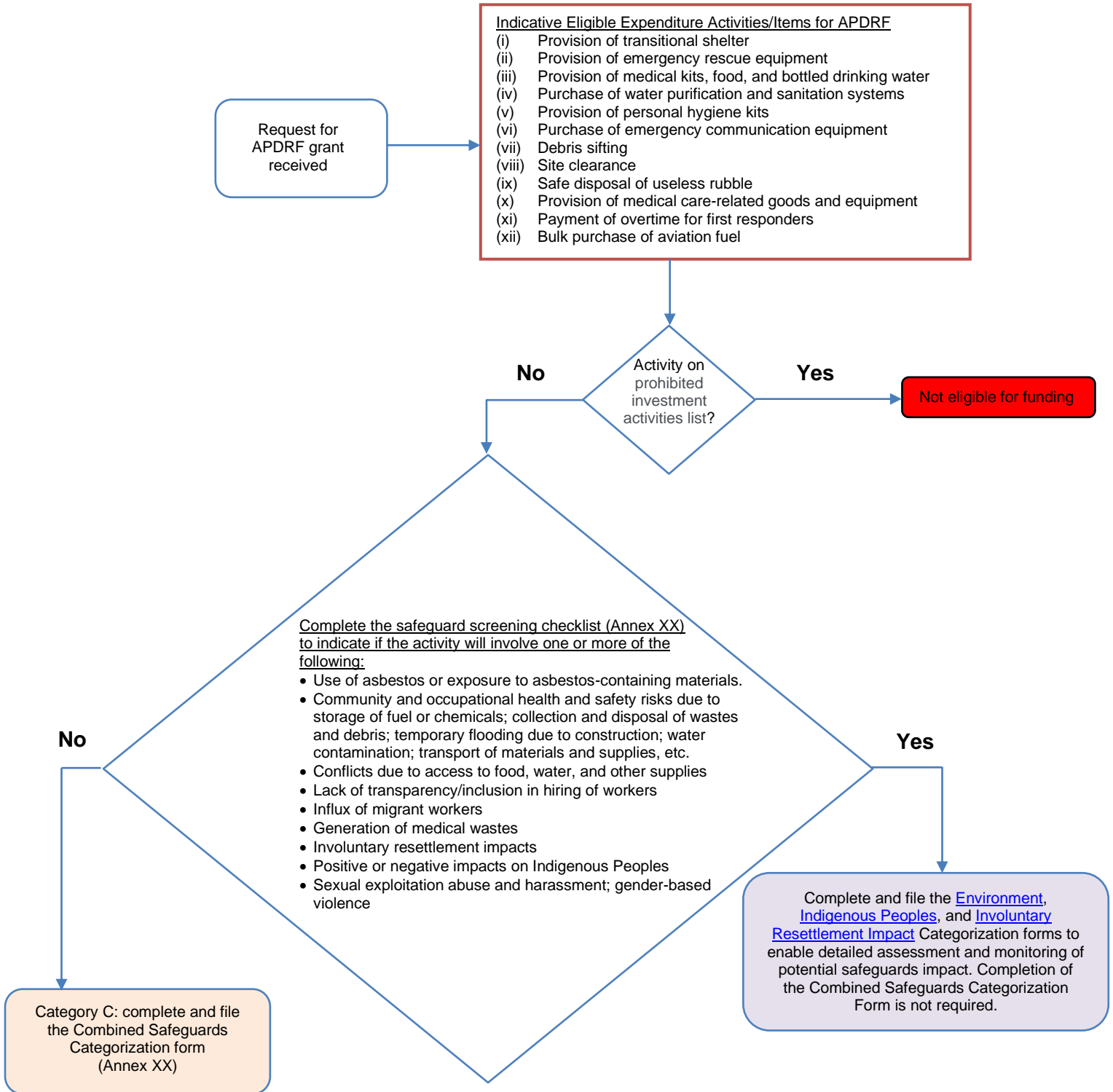
Based on initial assessments, an estimated \$XXX is required to support relief efforts.

ADB's contribution would be very much appreciated.

Yours sincerely,

{name}
UN Resident Coordinator

Safeguard Screening Flowchart



Safeguard Screening Checklist

Country/Project Title: _____
Sector Division: _____

Screening Questions	Yes	No	Comments
C. Environment			
<i>Will the type of activities involve or lead to:</i>			
• use of former construction materials for temporary shelter which may have asbestos or asbestos-containing materials?			
• risks to community health and safety due to transport, storage, and use and/or disposal of materials such as aviation fuel and other chemicals during clean-up and rehabilitation?			
• risks to occupational health and safety such as electrocution due to disposal of waste rubble, sifting of debris, and collection of other solid wastes?			
• any security issues to people accessing water, food, fuel, and other supplies?			
• nuisance to neighboring areas due to foul odor and influx of insects, rodents, etc.?			
• Injury or loss due to failure of structural elements of the project such as collapse of building or infrastructure?			
• recruitment of safety and security personnel to support the clean-up, recovery, and rehabilitation activities or to protect facilities and properties to ensure public safety?			
• influx of workers from other areas?			
• contamination of surface and ground waters due to improper waste disposal or the lack of waste management facilities?			
• community and occupational health risks due to increase in medical waste generation?			
• road blocking and temporary flooding due to excavation during rainy season?			
• traffic disturbances and road safety risks from transport of construction materials, supplies, and wastes?			
• creation of temporary breeding habitats for water-borne or other vector-borne diseases?			
• risks of communicable and noncommunicable diseases, mental, eating, and other nutritional disorders due to influx of workers, community displacement, and failure of some basic services?			
• alteration of landscapes, demolitions, and earth-moving, and potential damage to physical cultural resources?			

Screening Questions	Yes	No	Comments
• air pollution and noise?			
• use of pesticides or chemicals that may cause harm to the environment and human health?			
• potential increase in contribution to greenhouse gas emissions and in vulnerability to climate change impacts or disaster risks?			
• grievances or objections from affected persons and other stakeholders?			
B. Involuntary Resettlement			
• Will there be land acquisition			
• Will people lose access to natural resources, communal facilities, and services?			
C. Indigenous Peoples			
• Are there socio-cultural groups present in or use the project area who may be considered as “tribes” (hill tribes, schedules tribes, tribal peoples), “minorities” (ethnic or national minorities), or “indigenous communities” in the project area			
• Will the project directly or indirectly benefit or target Indigenous Peoples?			

Combined Safeguards Categorization

A. Project Data	
Country/Project No./Project Title	: _____
Indicative use of funds	: _____
Department/ Division	: _____
Processing Stage	: _____
Modality	Asia Pacific Disaster Response Fund
<input type="checkbox"/> Grant	
B.1 Environment Category (please tick one category based on the set of criteria in OMF1 (paras. 6-7))	
<input type="checkbox"/> New	<input type="checkbox"/> Recategorization — Previous Category []
<input type="checkbox"/> Category B	<input type="checkbox"/> Category C
B.2 Involuntary Resettlement Category	
<input type="checkbox"/> New	<input type="checkbox"/> Recategorization — Previous Category []
<input type="checkbox"/> Category B	<input type="checkbox"/> Category C
B.3 Indigenous Peoples Category	
<input type="checkbox"/> New	<input type="checkbox"/> Recategorization — Previous Category []
<input type="checkbox"/> Category B	<input type="checkbox"/> Category C
C. Project requires the broad community support of affected Indigenous Peoples communities.	
	<input type="checkbox"/> Yes <input type="checkbox"/> No
D. Basis for Categorization/ Recategorization (please attach supporting documents):	
<input type="checkbox"/>	Safeguard Screening Checklist
<input type="checkbox"/>	Memo to President
<input type="checkbox"/>	Others: _____
E. Comments	
Project Team Comments	SDSS Comments
F. Approval	
Proposed by:	Endorsed by:
Project Team Leader, {Department/Division}	Director, SDSS
Date:	Date:
Endorsed by:	Approved by:
Director, {Division}	Chief Compliance Officer
Date:	Date:

Request for ADB Financial Assistance from APDRF First Window (Memo Template)



Asian Development Bank

MEMORANDUM

XXXX Department

{Date}

For Approval of Para. XXTo: {Name}
PresidentThrough: {Name}
Vice President (Operations X)From: {Name}
Director General, XXXXSubject: **{Project Name}**
—Request for ADB Financial Assistance from the Asia Pacific Disaster Response Fund First Window**I. Disaster Overview**

- {Provide description of the disaster that happened in the developing member country (DMC), including preliminary estimates of loss of lives, numbers affected, magnitude of damage to infrastructure etc.; and preliminary assessment of the needs and resources required to alleviate the immediate humanitarian situation as indicated in the most recent situation report issued by the United Nations Office for the Coordination of Humanitarian Affairs (Attachment 1).}*
- Indicate whether (i) an emergency has been officially declared that is of a scale beyond the capacity of the DMC government and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations (Attachment 2).}*

II. Rationale for ADB Assistance

- {Provide information on the capacity and resources of the DMC government to restore life-saving services to the affected population in a reasonable amount of time, including budgetary and logistical constraints; the date of request from the DMC government for ADB grant support under the APDRF (Attachment 3); the indicative use of the APDRF grant; and safeguards categorization (See Section IV. Use of Funds in the Revised APDRF Implementing Guidelines).}*
- Describe fulfillment of the three conditions for assistance (See Section III. Eligibility in the Revised APDRF Implementing Guidelines).*

III. Coordination with Development Partners

5. *{Provide description on donor coordination and contributions announced to date in support of the relief effort; and a summary of the assistance the United Nations humanitarian/resident coordinator is recommending or intends to recommend to the international community}*

IV. Recommendation

6. The request from the government is considered eligible for financing under the APDRF. The conditions for assistance under the APDRF have been met:

- (i) A disaster triggered by a natural hazard has occurred in a developing member country (Attachment 1).
- (ii) An emergency has been officially declared that is of a scale beyond the capacity of the country and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations.
- (iii) The United Nations Humanitarian/Resident Coordinator has confirmed in a letter dated **XXX** the scale and implications of the disaster and indicated a general amount of funding that would be required to assist in alleviating the situation (Attachment 4).

7. Considering the scope of damages from the **{cite type of disaster}** and the government's constrained resources, it is recommended that an amount of **\$XXX** is provided to the government as a grant financed by the APDRF.

8. SDCC has been consulted and confirmed that the conditions for assistance have been met and that there are sufficient balances available under the APDRF to meet the proposed grant (Attachments 5 and 6).

Attachments:

- (1) United Nations Situation Report No. **X** dated **XXX**
- (2) Declaration of State of Disaster for **{DMC}** dated **XXX**
- (3) Letter from DMC Government dated **XXX** requesting grant assistance from the APDRF.
- (4) Letter from United Nations Humanitarian/Resident Coordinator dated **XXX**
- (5) SDCC confirmation
- (6) Status of APDRF Resources
- (7) Safeguard Screening Checklist
- (8) Combined Safeguard Categorization form for Environment, Indigenous Peoples, and Involuntary Resettlement Impact Categorization forms, as relevant

cc: VPKM; The Secretary; Directors General, PPF, SPD, SDCC; General Counsel; Controller; Deputy Directors General, **XXXX**; Senior Advisor to the Vice President, **VPOX** {relevant Operations VP}; Directors, {relevant division and/or resident mission/office}, SDPF; SDSS; Director, **SDCD and APDRF Fund Manager**, C. Benson, S. Goldfinch, G. Saldevar, SDCD

Letter to DMC on Approval of Grant (Template)

{Note: In preparing the letter to the recipient government, the processing department may revise and include additional country-specific details in the letter but should generally include information provided in this template.}

{Date}

XXX
XXX
XXX

Dear XXX:

Subject: Asia Pacific Disaster Response Fund
—Approval of Grant for {cite type of disaster}

We would like to inform you that an amount of \$XXX has been approved from the Asian Development Bank's (ADB) Asia Pacific Disaster Response Fund (APDRF) to support the Government of XXX's life-saving efforts for the people affected by the {cite type of disaster}. The grant agreement and withdrawal application are hereby attached for the government's signature.

We would like to request the Government to submit to ADB sufficient evidence of the authority of the signatory for the grant agreement. Please be informed that the withdrawal application should either be signed by the same person or by any person authorized in writing to sign the withdrawal application on behalf of the government. If different people will sign the grant agreement and withdrawal application, please submit sufficient evidence of the authority of the signatory of the withdrawal application together with the signatory's authenticated specimen signatures. There is no need for a specimen signatory letter if the person who signs the grant agreement also signs the withdrawal application.

The validity of ADB approval of the grant will lapse automatically 30 days after the date of this letter if the grant agreement is not signed within that period, unless otherwise agreed with ADB within that 30-day period. Any extension request should be communicated to ADB by letter including a justification of the grounds for extension and the requested length of extension. This letter should be signed by an authorized signatory on behalf of the government. If approved, a revised extension date for signature of the grant agreement will be communicated to the recipient government by letter.

The grant closing date will be 6 months after the signing of the grant agreement. The APDRF Implementation Guidelines requires the submission of the statement of expenditures to ADB within 4 months of the grant closing date. Any outstanding advances should be refunded to ADB within a further 2 months. Further, an audit report on the use of the grant, including the advance fund and statement of expenditures procedures, should be submitted to ADB within 6 months of the grant closing date.

For further guidance on the above requirements, please refer to the APDRF paper, amendments, implementation guidelines, and grant regulations that have been provided in advance to your office on {date}.

ASIAN DEVELOPMENT BANK
6 ADB Avenue, Mandaluyong City
1550 Metro Manila, Philippines
Tel +63 2 8632 4444
Fax +63 2 8636 2444
www.adb.org

Again, we would like to express ADB's continued support to the Government of XXX during these difficult times.

Sincerely,

Director General, XXX Department

Attachments: (1) Grant Agreement
 (2) Withdrawal Application

ASIA PACIFIC DISASTER RESPONSE FUND SECOND WINDOW**Direct Charges Application Form**

Date: _____

To: Director, SDCD and Fund Manager, APDRF
Through: <Regional/Country Director>
From: <Project team leader>

Re: Approval for Fund Allocation

Event name: _____

Date of occurrence: _____

Country/Region: _____

Activities for support:

Post-disaster needs assessment
 Preparation of government recovery plan
 Processing of post-disaster assistance

Amount Requested from APDRF: _____

A. Summary of Disaster Situation

{Brief description of the disaster event and government response. Include details relevant to the activities proposed for ADB support as indicated above, including government request for assistance. Include reference to letter from government requesting ADB assistance and provide that letter as Attachment 1}

B. Confirmation of Satisfaction of Conditions of Assistance

The conditions for assistance under the APDRF have been met:

- (i) A disaster triggered by a natural hazard has occurred in a developing member country (Attachment 2).
- (ii) An emergency has been officially declared that is of a scale beyond the capacity of the country and its own agencies to meet the immediate expenses necessary to restore life-saving services to the affected populations (Attachment 3).
- (iii) The United Nations humanitarian/resident coordinator has confirmed in a letter dated **XXX** the scale and implications of the disaster and indicated a general amount of funding that would be required to assist in alleviating the situation (Attachment 4).

C. Consultant Requirements

Title of assignment	Role	International/ national	Days required	Daily rate (\$)	Per diem and travel (\$)	Total cost
{Consultant 1}						
{Consultant 2}						
{Consultant 3}						
Total cost						

{Please add additional rows if necessary.}

D. Attachments

- (1) Letter from DMC government dated XXX requesting assistance from ADB to undertake a post-disaster needs assessment, prepare a government recovery plan, or support a post-disaster project (other than an APDRF grant)
- (2) United Nations Situation Report No. X dated XXX
- (3) Declaration of State of Disaster for {DMC} dated XXX
- (4) Letter from United Nations Resident Coordinator dated XXX indicating the assistance the UN H/RC is recommending or intends to recommend to the international community
- (5) Status of APDRF total and second window resources
- (6) Consultant terms of reference

Assigned by APDRF Fund Management Team:	
Fund Code: 1A	DC Application Number: APDRF-DC-
Amount approved for APDRF Second Window Allocation: \$	

**ASIA PACIFIC DISASTER RESPONSE FUND
GRANT CLOSING REPORT**

Division: _____

Grant No., Country and Name		Amount Approved:	
		Revised Amount:	
Grant Approval Date:	Grant Signing Date:	Grant Closing Date Original: Actual:	Financial Closing Date:
Description {Extract information on background and rationale from the approved grant memo and summarize.}			
Overall Assessment and Rating {Describe how the grant proceeds were used, explaining any deviations from the indicative purpose for which the grant was approved, and achievements. Provide information on grant beneficiaries, including sex-disaggregated data where available. Provide a brief discussion on safeguard implementation, including any issues arising. Assess client satisfaction with the assistance provided by ADB and categorize the performance of ADB and the recipient agency as highly satisfactory, satisfactory, less than satisfactory, or unsatisfactory. Categorize the grant as highly successful, successful, partly successful, or unsuccessful following the four-point scale in Independent Evaluation Department's guidelines.}			
Major Lessons {Discuss the significant lessons learned that can help improve delivery and implementation of APDRF grants.}			
Recommendations {Recommend any action required after grant completion and make suggestions for changes to policies and/or procedures that can improve effectiveness of APDRF grants in the future.}			

Prepared by: _____ Designation: _____

**ASIA PACIFIC DISASTER RESPONSE FUND
DIRECT CHARGE CLOSING REPORT**

Division: _____

Direct Charge Application No., Country, and Name	Amount Approved:
	Amount Utilized:
	Amount Returned to APDRF:
Direct Charge Approval Date:	Direct Charge Closing Date Original: _____ Actual: _____
Description {Extract information on background, rationale and purpose from the approved direct charge application.}	
Overall Assessment {Describe use of the direct charge, covering each consultant engaged and their accomplishments. Explain any deviations from the consultant recruitment plan against which the direct charge was approved. Assess client satisfaction with the assistance provided by ADB.}	
Major Lessons {Discuss significant lessons learned that can help improve delivery and implementation of the APDRF second window direct charges.}	
Recommendations {Recommend any changes to policies and/or procedures that can improve effectiveness of the APDRF second window in the future.}	

Prepared by: _____ Designation: _____