Republic of Uzbekistan: Surkhandarya Water Supply and Sanitation Project

This Project administration manual (PAM) is an active document, progressively updated and revised as necessary, particularly following any changes in project costs, scope, or implementation arrangements. This PAM shall be read along with the Report and Recommendations of the President, Loan and Project Agreements and relevant ADB publications. This PAM incorporates agreements reached between CWUS and Executing Agency as of 22 September 2008. In case of discrepancy, the Loan and Project Agreements shall prevail.

Asian Development Bank
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Main Text

I. INTRODUCTION

The Project will work with both the national and the provincial governments. At the national level, the Project will help the Government strengthen sector planning and management by developing a sector strategy, a road map, and an investment program. A public–private partnership (PPP) framework will also be prepared together with the sector strategy to enable the Government to promote private sector involvement in the sector more effectively. At the provincial level, the Project will provide safe, reliable, and sustainable water supply and improved sanitation services in seven districts and one city in Surkhandarya Province. The services can be used as a model that can be replicated and expanded in other provinces. Besides investments in physical infrastructure for system rehabilitation and necessary upgrading, the Project will address the critical planning, management, financial, operational, and customer relations needs of the vodokanals (water supply and sanitation agencies) to improve service delivery efficiency.

II. PURPOSE

When it is completed in 2014, the Project will improve living standards and public health for about 340,000 people living in Surkhandarya Province. The outcome will be safe, reliable, inclusive, and sustainable water supply and sanitation services and improved community hygiene, in particular: (i) an increase in the duration of water supply services to 20 hours a day by 2014 and 24 hours a day by 2020, (ii) a reduction in UFW to less than 40%, (iii) full cost recovery for all project vodokanals from 2014 onward, and (iv) prompt recording of and response to customer complaints. The Project will achieve this impact and these outcomes by (i) strengthening sector planning, management, and regulation capacity, (ii) rehabilitating water supply and sanitation systems and facilities, (iii) addressing social and gender impediments to equality of access to services; (iv) enhancing public awareness and practice of good hygiene, and (v) improving the management and the skills and capability of vodokanals.

III. OVERVIEW

Annex 1 Project Definition
Annex 2 Project Management
Annex 3 Procurement Plan
Annex 4 Safeguards Plan
Annex 5 Financing Plan
Annex 6 Investment (Cost) Plan
Annex 7 Execution Plan
Annex 8 Performance Monitoring and Evaluation
Annex 9 Major Covenants
Annex 10 Appendixes
IV. KEY PERSONS INVOLVED IN THE PROJECT

A. ADB Staff

The department responsible for the implementation of the Project is the Central and West Asia Department (CWRD), represented by the Urban Services Division (CWUS). CWUS has the overall responsibility for the implementation of the Project in ADB.

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Website Address:
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B. Executing Agency

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Facsimile:  
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V. LOAN PROCESSING HISTORY

(a) Approval of PPTA  
28 June 2006

(b) TA Completion  
31 December 2008

(c) Fact-Finding Mission  
18 June - 1 July 2008

(d) Management Review Meeting  
25 July 2008

(e) Appraisal Mission  
6-15 August 2008

(f) Staff Review Committee Meeting  
2 September 2008

(g) Loan and Grant Negotiations  
18-19, 22 September 2008

(h) Board Circulation  
8 October 2008

(i) Board Consideration and Approval  
3 November 2008

(j) Loan Agreement Signing

(k) Loan Effectiveness, including Conditions
Annex 1: Project Definition

1.1 Sponsors, Stakeholders and External Agencies

(i) Sponsors:
- Ministry of Finance (MOF) of Uzbekistan
- Uzbekistan Communal Services Agency (UCSA)
- Surkhandarya Provincial Government (SPG)
- Asian Development Bank (ADB)

(ii) Stakeholders:
- Central government
- Surkhandarya Provincial Government
- Termez city vodokanal
- Angor, Djarkurgan, Kizirik, Kumkurgan, Muzrabad, Sariasiya, and Shurchi district vodokanals
- Residents in Termez city and Angor, Djarkurgan, Kizirik, Kumkurgan, Muzrabad, Sariasiya, and Shurchi district

1.2 Impact and Outcomes

(i) Impact:
Improved living standards, environment, and public health in urban centers of Surkhandarya

(ii) Outcomes:
Safe, reliable, and sustainable water supply and sanitation services and improved community hygiene in participating urban centers of Surkhandarya

1.3 Outputs

The Project has five components:

a) Strengthening of Sector Strategy and Management - This component will promote the economic use of water resources and improve water supply and wastewater sector planning and management.

b) Water Supply Development - This component will develop safe, affordable, and reliable piped water supply systems.

c) Sanitation and Hygiene - This component will develop improved sanitation practices and positive hygiene behavior among schoolchildren to prevent disease and ensure maximum health benefits from the improved infrastructure services. Safe drinking water will be provided to all schools in the project areas as part of the water supply component.

d) Capacity Development for Service Delivery - This component will improve management capacity and efficiency, foster professionalism among the vodokanals, and develop a better customer orientation to improve services in the long term.

e) Project Implementation Assistance - This component will provide project management support to the project management unit (PMU) and the project implementation unit (PIU) in implementing the Project.
2.1 Project Management Organization

(i) Project Organization Structure

Asian Development Bank —— Ministry Of Finance

Uzbekistan Communal Services Agency (Project Management Office)

Surkhandarya Provincial Government (Project Implementation Office)

(ii) Project Management Office – Organization Chart

Project Steering Committee

Project Director

Strategy Coordination Unit —— Engineering and Technical Unit —— Financial Management Unit —— Procurement Unit —— Social and Environment Unit —— Administrative Support Unit

(iii) Project Implementation Office – Organization Chart

Project Management Office —— Surkhandarya Provincial Government

Project Manager

Technical Unit —— Accounting Unit —— Resettlement and Monitoring Unit —— Administrative Support Unit
Annex 2: Project Management

2.2 Roles and Responsibilities

(i) Strategic and Management Level

- Project Steering Committee – provide overall policy direction and guidance, facilitate cooperation and coordination among the agencies concerned, and ensure the timely implementation of the policy and institutional reform agenda of the Project.

- Director General, UCSA – oversee project implementation activities

- Governor, Surkhandary Provincial Governor – coordinate the project activities in Surkhandary Province, including the resettlement issues

(ii) Operational Level

- Project Management Unit – implement, manage, and coordinate all project activities. Detailed responsibilities include:
  - continue the project preparatory work;
  - supervise overall project implementation, budgeting, financial planning, and accounting;
  - recruit the consultants and coordinate and supervise their activities, administer their contracts, and procure civil works and goods for the Project;
  - provide administrative and technical support to the PIU; prepare consolidated project progress reports and a project completion report;
  - consolidate project accounting, auditing, and monitoring and reporting to ADB, the Government, and other stakeholders.

- Project Implementation Unit – carry out day-to-day subproject implementation in Surkhandarya Province. Detailed responsibilities include:
  - participate in project planning, detailed design, and bid evaluation;
  - coordinate the activities of consultants and contractors in the province;
  - overseeing construction activities;
  - coordinate resettlement activities;
  - monitor the social and gender and environmental impact of the project activities;
  - supervise local capacity building activities;
  - prepare and consolidate subproject accounting, auditing, and monitoring reports for submission to the PMU.
Annex 3: Procurement Plan

3.1 Process Thresholds and Reviews

(i) **Thresholds** – Except as ADB may otherwise agree, the following process thresholds shall apply to procurement of goods and works:

<table>
<thead>
<tr>
<th>Procurement Method</th>
<th>Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Competitive Bidding for Works</td>
<td>$\geq 2,000,000</td>
</tr>
<tr>
<td>International Competitive Bidding for Goods</td>
<td>$\geq 500,000</td>
</tr>
<tr>
<td>National Competitive Bidding for Works</td>
<td>Beneath that stated for ICB, Works</td>
</tr>
<tr>
<td>National Competitive Bidding for Goods</td>
<td>Beneath that stated for ICB, Goods</td>
</tr>
<tr>
<td>Shopping for Works</td>
<td>Below $100,000</td>
</tr>
<tr>
<td>Shopping for Goods</td>
<td>Below $100,000</td>
</tr>
</tbody>
</table>

(ii) **Reviews** – Except as ADB may otherwise agree, the following prior or post review requirements apply to the various procurement and consultant recruitment methods used for the project:

<table>
<thead>
<tr>
<th>Procurement Method</th>
<th>Prior or Post</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>ICB Works</td>
<td>Prior</td>
<td></td>
</tr>
<tr>
<td>ICB Goods</td>
<td>Prior</td>
<td></td>
</tr>
<tr>
<td>NCB Works</td>
<td>Prior/Post</td>
<td>Usage will follow NCB annex. Prior review applies to the procurement of the first NCB contract by the project management unit. If the first contract is procured satisfactorily, thereafter, post review.</td>
</tr>
<tr>
<td>NCB Goods</td>
<td>Prior/Post</td>
<td>Usage will follow NCB annex. Prior review applies to the procurement of the first NCB contract by the project management unit. If the first contract is procured satisfactorily, thereafter, post review.</td>
</tr>
<tr>
<td>Shopping for Works</td>
<td>Post</td>
<td>Usage will follow NCB annex.</td>
</tr>
<tr>
<td>Shopping for Goods</td>
<td>Prior/Post</td>
<td>Usage will follow NCB annex. Prior review applies to the procurement of the first shopping contract by the project management unit. If the first contract is procured satisfactorily, thereafter, post review.</td>
</tr>
</tbody>
</table>

**Recruitment of Consulting Firms**

<table>
<thead>
<tr>
<th>Method</th>
<th>Prior</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other selection methods: Consultants Qualifications (CQS)</td>
<td>Prior</td>
<td>——</td>
</tr>
</tbody>
</table>

**Recruitment of Individual Consultants**

<table>
<thead>
<tr>
<th>Method</th>
<th>Prior</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Consultants</td>
<td>Prior</td>
<td>Applied in accordance with Section 2.34, <em>Guidelines on the Use of Consultants</em> (2007, as amended from time to time)</td>
</tr>
</tbody>
</table>
### 3.2 Goods and Works Contracts Estimated to Cost More than US$1 million

The following table lists goods and works contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

<table>
<thead>
<tr>
<th>General Description</th>
<th>Contract Value</th>
<th>Procurement Method</th>
<th>Prequalification of Bidders (y/n)</th>
<th>Advertisement Date (quarter/year)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major Repair Equipment, i.e., Crane, excavator</td>
<td>600,000</td>
<td>ICB</td>
<td>Y</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Angor</td>
<td>2,345,000</td>
<td>ICB</td>
<td>Y</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Kizirik</td>
<td>1,114,000</td>
<td>NCB</td>
<td>N</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Muzrabad</td>
<td>6,908,000</td>
<td>ICB</td>
<td>Y</td>
<td>III/2010</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Djarkurgan</td>
<td>2,208,000</td>
<td>ICB</td>
<td>Y</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Surkhan</td>
<td>4,026,000</td>
<td>ICB</td>
<td>Y</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Shurchi</td>
<td>1,133,000</td>
<td>NCB</td>
<td>N</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Sariasiya</td>
<td>1,808,000</td>
<td>NCB</td>
<td>N</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities and Distribution Network - Kumkurgan</td>
<td>1,104,000</td>
<td>NCB</td>
<td>N</td>
<td>IV/2009</td>
<td></td>
</tr>
<tr>
<td>Water Production Facilities - Termez</td>
<td>7,035,000</td>
<td>ICB</td>
<td>Y</td>
<td>III/2010</td>
<td></td>
</tr>
<tr>
<td>Distribution Network - Termez</td>
<td>6,449,000</td>
<td>ICB</td>
<td>Y</td>
<td>III/2010</td>
<td></td>
</tr>
</tbody>
</table>
Annex 3: Procurement Plan

3.3 Consulting Services Contracts Estimated to Cost More Than $100,000

The following table lists consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

<table>
<thead>
<tr>
<th>General Description</th>
<th>Contract Value</th>
<th>Recruitment Method</th>
<th>Advertisement Date (quarter/year)</th>
<th>International or National Assignment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strengthening of Sector Strategy and Management</td>
<td>1,000,000</td>
<td>QCBS (80:20)</td>
<td>IV 2008</td>
<td>International Assignment</td>
<td>Through a Firm</td>
</tr>
<tr>
<td>Detailed Design</td>
<td>800,000</td>
<td>QCBS (80:20)</td>
<td>IV 2008</td>
<td>National Assignment</td>
<td>Through a Firm</td>
</tr>
<tr>
<td>Project Implementation Assistance</td>
<td>600,000</td>
<td>QCBS (80:20)</td>
<td>IV 2008</td>
<td>International Assignment</td>
<td>Through a Firm</td>
</tr>
<tr>
<td>Hygiene Program</td>
<td>200,000</td>
<td>CQS</td>
<td>II 2009</td>
<td>National Assignment</td>
<td></td>
</tr>
<tr>
<td>Construction Supervision</td>
<td>400,000</td>
<td>ICS</td>
<td>II–IV 2010</td>
<td>National Assignment</td>
<td>8 contracts, Individual Consultants</td>
</tr>
</tbody>
</table>

3.4 Goods and Works Contracts Estimated to Cost Less than $1 Million and Consulting Services Contracts Less than $100,000

The following table groups smaller-value goods, works and consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

<table>
<thead>
<tr>
<th>General Description</th>
<th>Value of Contracts (cumulative )</th>
<th>Number of Contracts</th>
<th>Procurement/Recruitment Method</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mobile Workshop, Compressors, tools,</td>
<td>650,000</td>
<td>4</td>
<td>NCB/Shopping</td>
<td></td>
</tr>
<tr>
<td>Vehicles, and Office Equipment</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capacity Development</td>
<td>80,000</td>
<td>3</td>
<td>ICS</td>
<td>National Assignment</td>
</tr>
</tbody>
</table>

3.5 National Competitive Bidding Annex

This has been posted on the ADB website:


Note: ADB's Guidelines for Procurement require the use of appropriate Standard Bidding Document (SBD) issued by ADB for the procurement of ADB-financed civil works, goods, and related services. These SBDs and other procurement documents are posted on the internet at http://www.adb.org/Procurement/prequalification-bid-documents.asp

A detailed Procurement Plan is found in Appendix 1.
Annex 4: Safeguards Plan

4.1 Environment

- The Project is classified as category B according to ADB’s Environmental Policy (2002) and Environmental Assessment Guidelines (2003)
- Initial environmental examination (IEE), including separate assessments for each of the eight subprojects, has been carried out for the Project (Supplementary Appendix I of the RRP)
- The provision of safe drinking water and proper sanitation facilities is expected to have a significant positive impact on the environment
- Negative environmental impact expected will mainly be short term, possibly occurring during construction, and can be minimized by the proposed mitigation measures and environmentally sound engineering and construction practices
- The environmental mitigation and monitoring procedures in the environmental management and monitoring plan (EMMP) will be followed
- UCSA will ensure that the EMMP is incorporated in the bidding documents
- A report on the implementation of the EMMP during construction will be submitted to ADB every 6 months

4.2 Land Acquisition and Resettlement (LAR)

- The Project will not require any land acquisition and resettlement (LAR), and there will be no impact on structures since the pipelines will be laid along existing roads and pathways.
- Only one subproject (Djarkurgan) will have some impact in the form of crop losses and temporary land occupation, and will require a short resettlement plan that conforms to ADB’s Involuntary Resettlement Policy (1995)
- The short resettlement plan for Djarkurgan and the due-diligence reports for other subprojects will be reviewed after detailed design, and updated plans and reports will be submitted to ADB for approval before construction
- The resettlement will be monitored by UCSA, with the help of international and national resettlement experts

4.3 Indigenous People

The ethnicity or the indigenous nature of the beneficiaries is not relevant as the Project is essentially a rehabilitation project and the beneficiaries will be largely the same as they were before the Project.
Annex 5: Financing Plan

5.1 Funds Flow

5.2 Financing Plan

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
<th>Share (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asian Development Bank (ADF)</td>
<td>30.0</td>
<td>75.0</td>
</tr>
<tr>
<td>Multi-Donor Trust Fund-under the Water Financing Partnership Facility (WFPP)(^a)</td>
<td>1.5</td>
<td>3.7</td>
</tr>
<tr>
<td>Government(^b)</td>
<td>8.5</td>
<td>21.3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>40.0</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

Notes:

\(^a\) Contributors: the Governments of Australia, Austria, and Norway. Administered by ADB.

\(^b\) Includes taxes and duties of $5.7 million.

Source: Asian Development Bank estimates.
5.3 Disbursement Arrangements

The loan and grant proceeds will be disbursed according to ADB’s Loan Disbursement Handbook (2007, as amended from time to time), and subject to the provision of Schedule 3 of the Loan Agreement.

(i) Disbursement arrangements for ADB Loan/Grant in summary

- Direct payment procedures will generally be used for large civil works contracts, good supply contracts, and consulting services
- Imprest Fund along with Statement of Expenditure procedure will be used for others, with a ceiling of $100,000 per individual payment for loan and $10,000 for grant

(ii) Required actions prior to initial withdrawal

- Authorized signatory letter from the Ministry of Finance of Uzbekistan addressed to ADB
- Specimen signatures of authorized signatories
- Submission of withdrawal application (initial advance) and duly accomplished estimate of expenditures sheet (please refer to Loan Disbursement Handbook, Appendix 29 [sample form])

(iii) Imprest account

- UCSA will establish and maintain imprest accounts immediately after the loan takes effect in accordance with ADB’s Loan Disbursement Handbook
- UCSA will be responsible for the use, management, replenishment, and liquidation of the project imprest accounts, under the supervision of the Ministry of Finance
- Currency of the imprest accounts will be US dollar
- The imprest accounts will be exclusively used to finance the ADB share of eligible expenditures
- The initial amount to be deposited into each imprest account will not exceed the estimated expenditure to be funded from the imprest account in the first 6 months or 10% of the amount of the loan or grant, whichever is lower.

(iv) Subproject accounts

- PIU will set up subproject accounts with a commercial bank acceptable to ADB
- PIU will be responsible for the use, management, replenishment, and liquidation of the accounts, based on the submission of full supporting documentation to the PMU.

Note: Withdrawal applications and other loan disbursement information are available at ADB Controller’s Department’s website http://lfis.adb.org. A disbursement monitoring information sheet is found in Appendix 2 which should be used to reconcile ADB and EA’s records.
Annex 5: Financing Plan

5.4 Allocation Table

<table>
<thead>
<tr>
<th>Number</th>
<th>Item</th>
<th>Amount Allocated SDR</th>
<th>Percentage and Basis for Withdrawal from the Loan Account</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Civil Works</td>
<td>12,970,000</td>
<td>88 percent of total expenditure*</td>
</tr>
<tr>
<td>2</td>
<td>Equipment</td>
<td>4,310,000</td>
<td>100 percent of total expenditure*</td>
</tr>
<tr>
<td>3</td>
<td>Consulting Services (including detailed design, construction supervision, and project audit)</td>
<td>1,290,000</td>
<td>100 percent of total expenditure*</td>
</tr>
<tr>
<td>4</td>
<td>Recurrent Costs</td>
<td>342,000</td>
<td>100 percent of total expenditure*</td>
</tr>
<tr>
<td>5</td>
<td>Interest Charge</td>
<td>445,000</td>
<td>100 percent of amounts due</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>19,357,000</td>
<td></td>
</tr>
</tbody>
</table>

*Exclusive of taxes and duties imposed within the territory of the Borrower

5.5 Government Financing and Fund Flow

(i) $8.5 million equivalent will take the form of counterpart funds from the Government’s resources.

(ii) Fund Flow - please refer to 5.1

5.6 Other Financiers

(i) The Multi-Donor Trust Fund under the Water Financing Partnership Facility (MDTF-WFPF)¹ will provide grant cofinancing equivalent to $1.5 million, to be administered by ADB. The entire proceeds of the grant from the MDTF-WFPF will be provided by the Government to UCSA for components 1 and 4 of the Project.

### Annex 6: Investment (Cost) Plan

#### 6.1 Detailed Cost Estimate by Expenditure Category

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Cost</th>
<th>% of Total Base Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Investment Costs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Civil Works</td>
<td>18.38</td>
<td>54.75</td>
</tr>
<tr>
<td>2. Mechanical and Equipment</td>
<td>5.25</td>
<td>15.64</td>
</tr>
<tr>
<td>3. Environment and Social Mitigation</td>
<td>0.17</td>
<td>0.50</td>
</tr>
<tr>
<td>4. Consultants</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Detailed Design and Construction Supervision</td>
<td>1.2</td>
<td>3.57</td>
</tr>
<tr>
<td>c. Hygiene Program</td>
<td>0.20</td>
<td>0.60</td>
</tr>
<tr>
<td>d. Project Implementation Assistance</td>
<td>0.60</td>
<td>1.79</td>
</tr>
<tr>
<td>5. Taxes and Duties</td>
<td>5.74</td>
<td>17.10</td>
</tr>
<tr>
<td><strong>Subtotal (A)</strong></td>
<td><strong>33.04</strong></td>
<td><strong>98.42</strong></td>
</tr>
<tr>
<td><strong>B. Recurrent Costs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Salaries</td>
<td>0.35</td>
<td>1.04</td>
</tr>
<tr>
<td>2. Equipment Operation and Maintenance</td>
<td>0.18</td>
<td>0.54</td>
</tr>
<tr>
<td><strong>Subtotal (B)</strong></td>
<td><strong>0.53</strong></td>
<td><strong>1.58</strong></td>
</tr>
<tr>
<td><strong>Total Base Cost</strong></td>
<td><strong>33.57</strong></td>
<td><strong>100.00</strong></td>
</tr>
<tr>
<td><strong>C. Contingencies</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Physical</td>
<td>2.58</td>
<td>7.69</td>
</tr>
<tr>
<td>2. Price</td>
<td>3.16</td>
<td>9.41</td>
</tr>
<tr>
<td><strong>Subtotal (C)</strong></td>
<td><strong>5.74</strong></td>
<td><strong>17.10</strong></td>
</tr>
<tr>
<td><strong>D. Financing Charges during Implementation</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Interest during Implementation</td>
<td>0.69</td>
<td>2.06</td>
</tr>
<tr>
<td><strong>Subtotal (D)</strong></td>
<td><strong>0.69</strong></td>
<td><strong>2.06</strong></td>
</tr>
<tr>
<td><strong>Total Project Cost (A+B+C+D)</strong></td>
<td><strong>40.00</strong></td>
<td><strong>119.16</strong></td>
</tr>
</tbody>
</table>

---

*a* In May 2008 prices. Includes land compensation of $12,450.

*b* Capacity development includes training activities identified in the gender action plan.

*c* 10% of civil works, mechanical, and equipment.

*d* Escalation of foreign components: 6.8% in 2008, 0.7% in 2009, 1.4% in 2010, 0.4% in 2011, 0.5% in 2012. Escalation of local components: 10.9% in 2008, 10.5% in 2009, 10.0% in 2010, 9% in 2011, 9% in 2012, 5% in 2013 and onward.

*e* Interest during construction of 1% yearly.

Source: Asian Development Bank estimates.
### Annex 6: Investment (Cost) Plan

#### 6.2 Detailed Cost Estimate by Financier

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Cost</th>
<th>ADB Loan</th>
<th>ADB Cofinancing from MDTF-WFPF&lt;sup&gt;a&lt;/sup&gt;</th>
<th>Government</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total Cost</td>
<td>Amount</td>
<td>% of Cost Category</td>
<td>Amount</td>
</tr>
<tr>
<td>A. Investment Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Civil Works</td>
<td>18.38</td>
<td>16.08</td>
<td>87.50</td>
<td>0.00</td>
</tr>
<tr>
<td>2. Mechanical and Equipment</td>
<td>5.25</td>
<td>5.25</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>3. Environment and Social Mitigation</td>
<td>0.17</td>
<td>0.17</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>4. Consultants</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Strengthening of Sector Strategy and Management and Capacity Development for Service Delivery</td>
<td>1.50</td>
<td>0.00</td>
<td>0.00</td>
<td>1.50</td>
</tr>
<tr>
<td>b. Detailed Design and Construction Supervision</td>
<td>1.20</td>
<td>1.20</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>c. Hygiene Program</td>
<td>0.20</td>
<td>0.20</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>d. Project Implementation Assistance</td>
<td>0.60</td>
<td>0.60</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>5. Taxes and Duties</td>
<td>5.74</td>
<td>-</td>
<td>-</td>
<td>5.74</td>
</tr>
<tr>
<td>Subtotal (A)</td>
<td>33.04</td>
<td>23.50</td>
<td>71.13</td>
<td>1.50</td>
</tr>
<tr>
<td>B. Recurrent Costs</td>
<td>0.53</td>
<td>0.53</td>
<td>100.00</td>
<td>-</td>
</tr>
<tr>
<td>Total Base Cost</td>
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<td>24.03</td>
<td>71.58</td>
<td>1.50</td>
</tr>
<tr>
<td>C. Contingencies</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Physical</td>
<td>2.58</td>
<td>2.41</td>
<td>93.41</td>
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<td>Price</td>
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<td>2.86</td>
<td>90.51</td>
<td>0.00</td>
</tr>
<tr>
<td>Subtotal (C)</td>
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<td>5.27</td>
<td>91.81</td>
<td>0.00</td>
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<tr>
<td>D. Financing Charges during Implementation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Interest during Implementation</td>
<td>0.69</td>
<td>0.69</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Subtotal (D)</td>
<td>0.69</td>
<td>0.69</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Total Project Costs (A+B+C+D)</td>
<td>40.00</td>
<td>30.00</td>
<td>75.00</td>
<td>1.50</td>
</tr>
</tbody>
</table>

<sup>a</sup>Contributors: the governments of Australia, Austria, and Norway, and administered by ADB.
Annex 6: Investment (Cost) Plan

6.3 Forecast of Cost to Complete ($ million)

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Cost</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Civil Works</td>
<td>18.38</td>
<td>0.00</td>
<td>1.84</td>
<td>6.43</td>
<td>7.35</td>
<td>2.76</td>
<td>18.38</td>
</tr>
<tr>
<td>2 Mechanical and Equipment</td>
<td>5.25</td>
<td>0.00</td>
<td>0.00</td>
<td>2.10</td>
<td>2.63</td>
<td>0.53</td>
<td>5.25</td>
</tr>
<tr>
<td>3 Environment and Social Mitigation</td>
<td>0.17</td>
<td>0.00</td>
<td>0.00</td>
<td>0.07</td>
<td>0.09</td>
<td>0.02</td>
<td>0.17</td>
</tr>
<tr>
<td>4 Consultants</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Strengthening of Sector Strategy and Management and Capacity Development for Service Delivery</td>
<td>1.50</td>
<td>0.60</td>
<td>0.60</td>
<td>0.30</td>
<td>0.00</td>
<td>0.00</td>
<td>1.50</td>
</tr>
<tr>
<td>b. Detailed Design and Construction Supervision</td>
<td>1.20</td>
<td>0.60</td>
<td>0.60</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>1.20</td>
</tr>
<tr>
<td>c. Hygiene Program</td>
<td>0.20</td>
<td>0.00</td>
<td>0.00</td>
<td>0.07</td>
<td>0.07</td>
<td>0.06</td>
<td>0.20</td>
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<tr>
<td>d. Project Implementation Assistance</td>
<td>0.60</td>
<td>0.09</td>
<td>0.09</td>
<td>0.15</td>
<td>0.15</td>
<td>0.12</td>
<td>0.60</td>
</tr>
<tr>
<td>5 Taxes and Duties</td>
<td>5.74</td>
<td>0.00</td>
<td>0.57</td>
<td>2.01</td>
<td>2.30</td>
<td>0.86</td>
<td>5.74</td>
</tr>
<tr>
<td>Subtotal (A)</td>
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<td>3.70</td>
<td>11.13</td>
<td>12.58</td>
<td>4.34</td>
<td>33.04</td>
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<td>Recurrent Costs</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
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<td>1 Salaries</td>
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<td>0.07</td>
<td>0.07</td>
<td>0.07</td>
<td>0.07</td>
<td>0.07</td>
<td>0.35</td>
</tr>
<tr>
<td>2 Equipment Operation and Maintenance</td>
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<td>0.09</td>
<td>0.09</td>
<td>0.00</td>
<td>0.18</td>
</tr>
<tr>
<td>Subtotal (B)</td>
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<td>0.07</td>
<td>0.07</td>
<td>0.16</td>
<td>0.16</td>
<td>0.07</td>
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<tr>
<td>Total Base Cost</td>
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<td>1.36</td>
<td>3.77</td>
<td>11.29</td>
<td>12.74</td>
<td>4.41</td>
<td>33.57</td>
</tr>
<tr>
<td>Contingencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Physical</td>
<td>2.58</td>
<td>0.00</td>
<td>0.26</td>
<td>0.90</td>
<td>1.03</td>
<td>0.39</td>
<td>2.58</td>
</tr>
<tr>
<td>2 Price</td>
<td>3.16</td>
<td>0.00</td>
<td>0.32</td>
<td>1.11</td>
<td>1.26</td>
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<td>3.16</td>
</tr>
<tr>
<td>Subtotal (C)</td>
<td>5.74</td>
<td>0.00</td>
<td>0.57</td>
<td>2.01</td>
<td>2.30</td>
<td>0.86</td>
<td>5.74</td>
</tr>
<tr>
<td>Financing Charges during Implementation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Interest during Implementation</td>
<td>0.69</td>
<td>0.01</td>
<td>0.04</td>
<td>0.13</td>
<td>0.24</td>
<td>0.27</td>
<td>0.69</td>
</tr>
<tr>
<td>Subtotal (D)</td>
<td>0.69</td>
<td>0.01</td>
<td>0.04</td>
<td>0.13</td>
<td>0.24</td>
<td>0.27</td>
<td>0.69</td>
</tr>
<tr>
<td>Total Project Cost (A+B+C+D)</td>
<td>40.00</td>
<td>1.37</td>
<td>4.39</td>
<td>13.43</td>
<td>15.27</td>
<td>5.54</td>
<td>40.00</td>
</tr>
<tr>
<td>Completion Percentage</td>
<td>3%</td>
<td>11%</td>
<td>34%</td>
<td>38%</td>
<td>14%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cumulative Completion Percentage</td>
<td>3%</td>
<td>14%</td>
<td>48%</td>
<td>86%</td>
<td>100%</td>
<td></td>
<td></td>
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</tbody>
</table>
Annex 7: Execution Plan

### 7.1 Work Breakdown Structure (WBS)

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Responsible Parties</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>UCSA/PMU</td>
</tr>
<tr>
<td><strong>1. Pre-Start Up</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Board Approval</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>1.2 Loan Signing</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>1.3 Loan Effectiveness</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>1.4 Sign Co-Financing Agreement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5 Establish Imprest Account</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>1.6 Issue CSRNs</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td><strong>2. PMU and PIU established</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Set up PMU and PIU office</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 Recruit PMU and PIU office staff</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>2.3 Procure office equipment and materials</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>2.4 Engage project management consultants by May 2009</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td><strong>3. Strengthening of Sector Strategy Management</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Engage Strategy Development Consultants by May 2009</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>3.2 Inception report by July 2009</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>3.3 Draft national WSS strategy and PPP framework prepared by July 2010</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>3.4 Strategy approved by Government by July 2011</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>3.5 Road map developed and approved by July 2012</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td><strong>4. Water Supply Development</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Engage Detailed Design Consultants by May 2009</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>4.2 Detailed design completed by July 2010</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>4.3 Due Diligence Reports and Resettlement Plan updated by July 2010</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>4.4 Rehabilitation and new facilities constructed, commissioned, and made operational between July 2010 and month July 2012</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>4.5 Machinery and equipment procured and delivered by month Aug 2010</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td><strong>5. Sanitation and Hygiene</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Schools identified for participation by May 2009</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>5.2 School latrines and hand-washing facilities constructed, commissioned, and made operational between month July 2010 and month July 2012</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>5.3 Hygiene promotion implementation plan prepared by month Nov 2009</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>5.4 Hygiene promotion activities carried out regularly in all schools between Apr 2010 and Oct 2012</td>
<td></td>
<td>✓*</td>
</tr>
<tr>
<td>5.5 Baseline survey conducted by Dec 2009, and follow-up surveys in 2012 and 2014</td>
<td></td>
<td>✓*</td>
</tr>
</tbody>
</table>
### 6. Capacity Development for Service Delivery

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
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### 7. Project Management and Administration

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* with primary responsibility
Annex 7: Execution Plan

7.2 Responsibility Allocation by Activity

- Please refer to Appendix 3
### Annex 7: Execution Plan

#### 7.3 Gantt Chart

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**Project:** IMPLEMENTATION PLAN
**Date:** Wed 8/20/08

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Annex 7: Execution Plan

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<td>77</td>
<td>Conduct study tours</td>
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<td></td>
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<tr>
<td>84</td>
<td>Capacity monitoring &amp; review</td>
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Project: IMPLEMENTATION PLAN Mk
Date: Wed 8/20/08
## 7.4 Annual Operational Plan–2009

<table>
<thead>
<tr>
<th>No.</th>
<th>Activities</th>
<th>Starting Date</th>
<th>Due Date</th>
<th>Responsible Parties</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Appoint PMU Director</td>
<td>Sep-09</td>
<td>Sep-08</td>
<td>✓</td>
</tr>
<tr>
<td>2</td>
<td>Issue CSRNs for PIA and Strategy Development</td>
<td>Jan-09</td>
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<tr>
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<td>Issue RPF for PIA and Strategy Development</td>
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<td>4</td>
<td>Issue RPF for Detailed Design</td>
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<td>Feb-09</td>
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<tr>
<td>5</td>
<td>Shortlisting of Consulting Firms for PIA and Strategy Development</td>
<td>Feb-09</td>
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<td>6</td>
<td>Sign the Loan Agreements and Project Agreements</td>
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</tr>
<tr>
<td>7</td>
<td>Appoint PIU Director and Staff</td>
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<td>Mar-09</td>
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</tr>
<tr>
<td>8</td>
<td>Loan Effectiveness</td>
<td>Mar-09</td>
<td>Mar-09</td>
<td>✓</td>
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<td>9</td>
<td>Evaluate the Proposal for PIA and Strategy Development</td>
<td>Mar-09</td>
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<td>Appoint PMU Staff</td>
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<td>Mar-09</td>
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<tr>
<td>12</td>
<td>Establish Imprest Account</td>
<td>Mar-09</td>
<td>Mar-09</td>
<td>✓</td>
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<tr>
<td>13</td>
<td>Establish Subproject Accounts</td>
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<td>Mar-09</td>
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<td>14</td>
<td>Review of the Evaluations for PIA and Strategy Development</td>
<td>Apr-09</td>
<td>Apr-09</td>
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<td>15</td>
<td>Review of the Evaluation for Detailed Design</td>
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<td>Apr-09</td>
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<td>16</td>
<td>Approval of Evaluations for PIA and Strategy Development</td>
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<td>17</td>
<td>Approval of Evaluation for Detailed Design</td>
<td>Apr-09</td>
<td>Apr-09</td>
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<tr>
<td>18</td>
<td>Procure PMU and PIU Office Equipment and Materials</td>
<td>Apr-09</td>
<td>Jun-09</td>
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<tr>
<td>19</td>
<td>Contract Negotiations for PIA and Strategy Development</td>
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<td>May-09</td>
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<td>Contract Negotiations for Detailed Design</td>
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<td>May-09</td>
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<tr>
<td>21</td>
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<td>May-09</td>
<td>May-09</td>
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<td>22</td>
<td>Sign Contracts for Detailed Design</td>
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<td>Field the Consultants for PIA and Strategy Development</td>
<td>Jun-09</td>
<td>Jun-09</td>
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<td>Field the Consultants for Detailed Design</td>
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<td>Jun-09</td>
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<td>25</td>
<td>Develop the Project Performance Monitoring System (PPMS)</td>
<td>Jun-09</td>
<td>Jul-09</td>
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<td>26</td>
<td>Undertake the Detailed Design for the Project</td>
<td>Jun-09</td>
<td>Sep-09</td>
<td>✓</td>
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<td>27</td>
<td>Undertake Strategy Development Study</td>
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<td>Jul-12</td>
<td>✓</td>
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<td>28</td>
<td>Implement the Project Performance Monitoring System (PPMS)</td>
<td>Jul-09</td>
<td>Jun-14</td>
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<td>29</td>
<td>Conduct the trainings for PMU and PIU Staff for Project Management and Financial Management Systems and Procedures</td>
<td>Jul-09</td>
<td>Dec-09</td>
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<tr>
<td>30</td>
<td>Identify Schools for Participation in Hygiene Program</td>
<td>Jul-09</td>
<td>Sep-09</td>
<td>✓</td>
</tr>
<tr>
<td>31</td>
<td>Prepare Equipment Tender Documents</td>
<td>Aug-09</td>
<td>Nov-09</td>
<td>✓</td>
</tr>
<tr>
<td>32</td>
<td>Prepare Hygiene Promotion Implementation Plan</td>
<td>Sep-09</td>
<td>Nov-09</td>
<td>✓</td>
</tr>
</tbody>
</table>
Annex 8: Performance Monitoring and Evaluation

8.1 Deliverables

- **Physical:**
  - Increased quality, coverage, and reliability of water supply and sanitation services in participating urban centers of Surkhandarya.
  - Improved community hygiene practices in participating urban centers of Surkhandarya.

- **Non-Physical:**
  - Strengthened sector planning and management.
  - Improved vodokanal operational efficiency, financial conditions, and customer focus.

8.2 Performance Indicators

- **Outcomes:**
  - Safe, reliable water is provided to 340,000 people by 2014, and to 367,000 by 2020
  - Water supply is available at least 20 hrs a day by 2014, and 24 hrs a day by 2020
  - UFW is reduced to less than 40% by 2014
  - Water quality complies with national drinking water standards from 2014 onward
  - Customer complaints are recorded and responded to promptly from 2014 onward; the number of complaints is reduced over time; each customer care unit has a gender focal point to receive and address women’s complaints
  - Vodokanals cover O&M costs from 2010 onward, and O&M and depreciation costs from 2014 onward
  - Collection rate of water supply and sanitation charges increases to 90% by 2014
  - 80% of schoolchildren wash their hands with soap by 2014

- **Outputs – Physical:**
  - Rehabilitated water supply infrastructure in urban centers of 7 districts and Termez City
    - 19 reservoirs, 47 boreholes, 44 pumping stations, 53 km of trunk mains, and 148 km distribution networks are rehabilitated
    - 8 reservoirs, 11 boreholes, 4 pumping stations, 24.4 km of trunk mains, and 108 km distribution networks are constructed
    - Water meters are installed in 70,000 households, connecting them to the water supply system
  - Improved latrines (with hand-washing facilities) in selected schools in project areas
  - At least 17 schools are provided with improved latrine facilities
  - All schools in project areas are provided with piped water supply
  - Improved and well-maintained vodokanal offices, equipment and infrastructure
  - Subproject vodokanals receive new furniture and equipment, and keep well-maintained
  - Training program to improve operations, management, and customer relations skills developed, implemented, and evaluated
    - Customer care units and customer representative groups are established in each vodokanal by 2010
b) Consumer databases are developed and all consumers are registered by 2014
c) Computerized financial management systems are adopted
d) An O&M manual is developed for each vodokanal and adopted

- Outputs - Non-Physical:
  - WSS sector strategy including PPP framework
    a) A sector strategy with a long-term and coherent vision and a holistic approach to sector development and PPP promotion is prepared and approved by December 2011
    b) A profile of private operators in the sector is prepared in December 2011
  - WSS development road map and investment plan for 2020
    a) Road map is prepared and adopted by the Government by December 2012
  - Innovative hygiene promotion activities in school communities in project areas
    a) Hygiene promotion activities are carried out in all schools in the project areas; at least 5 women are trained in each makhalla in the project area
    b) One baseline and two follow-up surveys are carried out to gather gender-disaggregated information
  - Performance monitoring system for participating vodokanals
    a) A simple performance benchmarking system is developed by 2012, all vodokanals attend performance benchmarking workshops, and the performance benchmarking system is adopted by 2013
  - Study tours to places with good-practice examples
    a) Study-tour participants actively discuss and participate in the preparation of frameworks and WSS strategy, and in running the vodokanal offices throughout the project implementation period
    b) At least 20% of participants in the training activities and study tours are women

8.3 Process Controls and Monitoring

- Project Performance Report (PPR) – the PPR is part of overall project performance management system, which is being updated basically on a semi-annual basis. A sample format is in Appendix 4.

<table>
<thead>
<tr>
<th>Outputs - Non-Physical</th>
<th>Due Time</th>
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</thead>
<tbody>
<tr>
<td>WSS sector strategy including PPP framework</td>
<td>Loan Agreement, Sched. 5, para. 17</td>
</tr>
<tr>
<td>- Establishment of the system</td>
<td>Project Agreement</td>
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<tr>
<td>- develop comprehensive PPMS procedures and plans</td>
<td>Sched. 1, para. 13</td>
</tr>
<tr>
<td>- Collection of baseline Data</td>
<td>Sep 2009</td>
</tr>
<tr>
<td>WSS development road map and investment plan for 2020</td>
<td>Dec 2009</td>
</tr>
<tr>
<td>a) Road map is prepared and adopted by the Government by December 2012</td>
<td></td>
</tr>
<tr>
<td>Innovative hygiene promotion activities in school communities in project areas</td>
<td></td>
</tr>
<tr>
<td>a) Hygiene promotion activities are carried out in all schools in the project areas; at least 5 women are trained in each makhalla in the project area</td>
<td></td>
</tr>
<tr>
<td>b) One baseline and two follow-up surveys are carried out to gather gender-disaggregated information</td>
<td></td>
</tr>
<tr>
<td>Performance monitoring system for participating vodokanals</td>
<td></td>
</tr>
<tr>
<td>a) A simple performance benchmarking system is developed by 2012, all vodokanals attend performance benchmarking workshops, and the performance benchmarking system is adopted by 2013</td>
<td></td>
</tr>
<tr>
<td>Study tours to places with good-practice examples</td>
<td></td>
</tr>
<tr>
<td>a) Study-tour participants actively discuss and participate in the preparation of frameworks and WSS strategy, and in running the vodokanal offices throughout the project implementation period</td>
<td></td>
</tr>
<tr>
<td>b) At least 20% of participants in the training activities and study tours are women</td>
<td></td>
</tr>
</tbody>
</table>

- Project Performance Monitoring System (PPMS) | |
  - Loan Agreement, Sched. 5, para. 17 | Sep 2009 |
  - Project Agreement | Sep 2009 |
  - Collection of baseline Data | Dec 2009 |

- Quarterly Progress Reports | Project Agreement, Section 2.08, para. (b) |
  - Within one month after the end of each quarter |

- Audited Financial Statements | Project Agreement, Section 2.09, para. (a) |
  - Within 6 months after each financial year |

- Project Completion Report | Project Agreement, Section 2.08, para. (c) |
  - Within 3 months of physical completion of the Project |

| a | a system framework and indicative indicators have been prepared and provided in Appendix 5. |
| b | for QPR format, refer to Appendix 6. |
| c | for audit requirements, refer to Appendix 7. |
Annex 9: Major Covenants

9.1 Sector Covenants

1. Project Executing Agency and Project Implementing Agency
The Borrower shall designate UCSA as the Project Executing Agency with responsibility for the overall Project coordination and implementation, and liaison with ADB and government agencies concerned. UCSA shall be directly responsible for the planning, design, and development and rehabilitation of water supply systems under the Project. The SPG shall be the Project Implementing Agency responsible for the day-to-day implementation of the Project. (Schedule 5, para. 1 of the LA)

2. Project Management Unit
The Borrower shall ensure that the PMU is established within UCSA. The PMU shall be responsible for (a) supervising project implementation, budgeting, financial planning, and accounting; (b) carrying out procurement activities; (c) providing administrative and technical support to the PIU; (d) preparing consolidated Project progress reports and completion report; and (e) consolidating Project accounting, auditing, and monitoring, and reporting to ADB, the Borrower, and other stakeholders. The Borrower shall ensure that throughout the Project implementation period the PMU remains headed by Project Director and comprised of (a) one deputy project director, who will also serve as the sector strategy study manager; (b) a financial specialist/accountant; (c) a water supply and sanitation specialist; (d) a procurement specialist; (e) a monitoring and environment specialist; (f) a driver; and (g) an office manager/translator. (Schedule 5, para. 2 of the LA)

3. Project Implementation Unit
The Borrower shall ensure that the PIU shall be established by SPG in Termez to be responsible for the day-to-day implementation of the Project at the local level. The major responsibilities of the PIU shall include (a) participating in Project planning, detailed design, and bid evaluation; (b) coordinating the activities of consultants and contractors; (c) overseeing construction activities; (d) coordinating resettlement activities; (e) monitoring the environment and social impacts of the Project activities; (f) supervising capacity building activities; and (g) preparing and consolidating subproject accounting, auditing and monitoring reports for submission to the PMU. The Borrower shall ensure that throughout the Project implementation period the PIU remains headed by a Project coordinator acceptable to ADB, and comprised of (i) a financial specials/accountant, (ii) a water supply and design specialist, (iii) a monitoring and social and resettlement specialist, (iv) a driver, and (v) an office manager/translator. (Schedule 5, para. 3 of the LA)

4. Project Steering Committee
The Borrower shall establish an inter-ministerial PSC to provide overall policy direction and guidance, including overseeing Project implementation, facilitating cooperation and coordination among concerned agencies, and ensuring timely implementation of the policy and institutional reform agenda of the Project. The PSC shall be chaired by a Deputy Prime Minister, and comprised of senior officials from UCSA, the Borrower’s Ministry of Finance, Ministry of Economy, Ministry of Foreign Economic Relations, Investment and Trade, State Committee of Natural Protection, Ministry of Health, Ministry of Public Education, SPG, and other agencies concerned. The PSC will meet at least every 6 months to review and discuss the Project implementation. (Schedule 5, para. 4 of the LA)

5. Project Executing Agency and Project Implementing Agency
The Recipient shall designate UCSA as the Project Executing Agency with overall responsibility for Project coordination and implementation, and liaison with ADB and government agencies concerned. UCSA shall be directly responsible for the planning, design, and development and rehabilitation of water supply systems under the Project. (Schedule 2, para. 1 of the GA)

6. Study Tours
The Recipient shall ensure that candidates for study tours are selected through a transparent and competitive process following the criteria agreed with ADB. The Recipient shall also ensure that those who completed the training through the study tours will be required to share the knowledge gained in a reporting-back workshop with wider stakeholders. (Schedule 2, para. 2 of the GA)

7. Sector Strategy, Roadmap and Investment Plan
The Borrower shall ensure that development of a new water supply and wastewater sector strategy (the “Sector Strategy”), a roadmap, and an investment program is carried out in accordance with the agreed process in consultation with stakeholders in the sector so that the agreed Sector Strategy is approved by the Government by 31 December 2011. The Borrower shall keep ADB informed of any major changes in the sector programs and plans that may impact the Project and any future projects to be financed by ADB. (Schedule 5, para. 6 of the LA)

8. Collection Efficiency and Water Tariffs
The Borrower shall ensure that the SPG (a) takes necessary measures to improve the collection efficiency to
achieve a collection rate of 90% by 2013; (b) reviews semi-annually and adjusts as necessary the level and structure of water tariffs so that (i) from 2010, each vodokanal will be able to fully recover O&M and capital replacement costs; and (ii) from 2014, each vodokanal will be able to fully recover O&M and capital replacement costs of the water supply scheme under the subproject, serve debt-servicing obligations under the subproject, and maintain a debt service coverage ratio of 1.2:1. (Schedule 5, para. 7 of the LA)

9. Tariff
The Borrower shall ensure that (a) tariff plan is prepared for annual tariff settings that take into account the service costs including inflation, which will be implemented by 10 January 2009; and (b) the tariff to be adopted in January 2010 fully covers the operating cost.
The Borrower shall ensure that results of the reviews and adjustments, if any, are reported by UCSA to ADB within three (3) months of each review.
(Schedule 5, para. 7 and 8 of the LA)

10. Water Bills
The Borrower shall ensure that the SPG (a) takes appropriate measures, including financial incentives and/or penalties, to reduce the level of water bill arrearages, and (b) protects their water resources and facilities through vigorous prosecution for violations, such as water meter tampering and water theft in accordance with applicable laws of the Borrower.
(Schedule 5, para. 9 of the LA)

9.2 Financial Covenants

11. Counterpart Funds
Without limiting the generality of Section 6.06 of the Loan Regulations, the Borrower shall make adequate annual budget allocations and release in a timely manner the counterpart funds and other resources, as shall be necessary or required, in addition to the proceeds of the Loan, for the successful implementation of the Project. (Schedule 5, para. 5 of the LA)

9.3 Environmental Covenants

12. The Borrower shall, and cause UCSA to, ensure that (a) the Project facilities are constructed, operated, maintained and monitored in conformity with all applicable laws and regulations of the Borrower, including regulations and standards for environmental protection, health, labor and occupational safety, ADB’s Environment Policy (2002), the IEE, and the SIEE for the Project; (b) any adverse environmental impacts during construction and operation are minimized by implementing mitigation measures and monitoring program detailed in the EMMP set forth in the IEE; (c) the progress on the EMMP implementation and any violations of environmental standards are reported to ADB semi-annually in accordance with the specifications set forth in the IEE; and (d) the EMMP is incorporated in the bidding documents. (Schedule 5, para. 10 of the LA)

9.4 Social Covenants

13. Involuntary Resettlement
The Borrower shall ensure and shall cause UCSA to ensure that (a) the Project is carried out in accordance with applicable laws and regulations of the Borrower, ADB’s Involuntary Resettlement Policy (1995), and the RP; (b) the RP and due diligence reports are updated based on detailed design of the subprojects, disclosed to all affected persons, and resubmitted to ADB for approval; (c) no civil works contract is awarded for the Djarkurgan subproject until the updated RP has been approved by ADB, and (d) the contractors are not given a notice to proceed under the Djarkurgan subproject until the RP has been implemented in accordance with its terms.
(Schedule 5, para. 11 of the LA)

14. Gender and Labor
The Borrower shall cause UCSA to ensure that (a) the GAP is implemented in a timely manner during the Project implementation period, (b) adequate resources are allocated for this purpose, and (c) the implementation of the GAP is closely monitored and reported to ADB through quarterly progress reports.
The Borrower shall cause UCSA to ensure that all civil works contractors (a) employ women and local people, including disadvantaged people, living in the vicinity of the relevant subproject; (b) provide safe working conditions and equal pay to male and female workers for work of equal type; (c) abstain from child labor; and (d) conduct an information and education campaign on sexually transmitted diseases and HIV/AIDS for construction workers as part of the health and safety program at camp sites during the construction period. All civil works contracts shall include specific clauses on these undertakings, and compliance shall be strictly monitored during Project implementation.
(Schedule 5, para. 12 and 13 of the LA)
## 9.5 Other Covenants

### 15. Maintenance Plan
The Borrower shall cause USCA to ensure that (a) a set of major repair equipment (such as cranes and excavators) provided under the Project is managed and maintained by the Surkhandarya provincial vodokanal; (b) the Surkhandarya provincial vodokanal prepare, in consultation with vodokanals, a maintenance plan covering the proposed station to place such major repair equipment to be shared by the district vodokanals, standards, procedures, other arrangements for the maintenance and use of such equipment. UCSA shall, by 30 September 2009, submit the draft plan to ADB for review.

(Schedule 5, para. 15 of the LA)

### 16. Hygiene Promotion Activities
The Borrower shall cause USCA to ensure that (a) by 31 December 2009, the implementation arrangements and implementation plan for the hygiene promotion activities are prepared to be carried out in all schools in the Project Area; (b) by 30 June 2010, the hygiene baseline survey is completed; and (c) the follow up surveys are carried out in 2012 and 2014.

(Schedule 5, para. 16 of the LA)

### 17. Project Performance Monitoring System
The Borrower shall cause USCA to ensure that the implementation of the Project, the operation of the Project facilities, and the benefits derived from the Project are monitored and evaluated annually by the PMU. Within six (6) months of the Effective Date, a PPMS shall be established by UCSA. The establishment of baseline data and benchmarks, collection of information, monitoring and evaluation of benefits, and evaluation of social impact, shall be undertaken by the PMU with the consultants support. Data collection shall be carried out (a) prior to physical implementation of each subproject in conjunction with socioeconomic surveys, (b) regularly during Project implementation, and (c) for three (3) months after physical completion of the Project. The results shall be incorporated into the Project progress and completion reports.

(Schedule 5, para. 17 of the LA)

### 18. Project Reviews
The Borrower, UCSA and ADB shall jointly conduct semi-annual reviews during the first two (2) years of the Project, and annual reviews thereafter. A comprehensive mid-term review shall be undertaken after the third year of Project implementation. These reviews shall include evaluation of project implementation arrangements, detailed evaluation of the Project scope, the actual implementation progress, resettlement and environment safeguards, community involvement, health education and hygiene practice, feedback from the PPMS, performance of consultants, institutional and capacity development progress, and possible reallocation of the Loan and Grant proceeds. The cost recovery mechanisms for each subproject shall also be evaluated and remedial action shall be instituted as needed.

(Schedule 5, para. 18 of the LA)
# Annex 10: Appendixes

<table>
<thead>
<tr>
<th>Appendix 1</th>
<th>Procurement Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix 2</td>
<td>Disbursement Monitoring Information Sheet</td>
</tr>
<tr>
<td>Appendix 3</td>
<td>Work Allocation by Activity</td>
</tr>
<tr>
<td>Appendix 4</td>
<td>Project Performance Report</td>
</tr>
<tr>
<td>Appendix 5</td>
<td>Design and Monitoring Framework</td>
</tr>
<tr>
<td>Appendix 6</td>
<td>Quarterly Progress Report</td>
</tr>
<tr>
<td>Appendix 7</td>
<td>Audit Requirements</td>
</tr>
<tr>
<td>Appendix 8</td>
<td>Terms of Reference – Detailed Design</td>
</tr>
<tr>
<td>Appendix 9</td>
<td>Terms of Reference – Strategy Development</td>
</tr>
<tr>
<td>Appendix 10</td>
<td>Terms of Reference – Capacity Development</td>
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<td>Appendix 11</td>
<td>Terms of Reference – Hygiene Promotion</td>
</tr>
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<td>Appendix 12</td>
<td>Terms of Reference – Construction Supervision</td>
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</table>
### APPENDIX 1
Project Procurement Plan

<table>
<thead>
<tr>
<th>Cat.</th>
<th>Oblast</th>
<th>Contract Type</th>
<th>Contract Value</th>
<th>Prequalification of Bidders (Y/N)</th>
<th>Review</th>
<th>Bid Invite Plan</th>
<th>Bid Invite Actual</th>
<th>Variance</th>
<th>Bid Opening Plan</th>
<th>Bid Opening Actual</th>
<th>Variance</th>
<th>Bid Evaluation Plan</th>
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</thead>
<tbody>
<tr>
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<td>Water Production Facilities &amp; Distribution Network</td>
<td>Angor</td>
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<td>2,345,000</td>
<td>Y</td>
<td>Prior</td>
<td>IV 2009</td>
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<td>III 2010</td>
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<td>Water Production Facilities &amp; Distribution Network</td>
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**TOTAL:**
# UZB: Surkhandarya Water Supply and Sanitation Project

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### UZB: Surkhandarya Water Supply and Sanitation Project

**APPENDIX 1**

**Project Procurement Plan**

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### UZB: Surkhandarya Water Supply and Sanitation Project

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<td>Total Project Cost</td>
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</table>
## UZB: Surkhandarya Water Supply and Sanitation Project

### APPENDIX 3

**Work Allocation by Activity**

<table>
<thead>
<tr>
<th>Categories:</th>
<th>Sub-categories</th>
</tr>
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<tbody>
<tr>
<td>1</td>
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</tr>
<tr>
<td>2</td>
<td>Procurement</td>
</tr>
<tr>
<td>3</td>
<td>Project Performance Monitoring</td>
</tr>
<tr>
<td>4</td>
<td>Project Implementation</td>
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</tbody>
</table>

---

**Categories**

1. Project Management
2. Procurement
3. Project Performance Monitoring
4. Project Implementation
## UZB: Surkhandarya Water Supply and Sanitation Project
### APPENDIX 3
#### Work Allocation by Activity

**Project Execution Plan - Surkhandarya Water Supply and Sanitation Project**

**As of 10 Aug 08**

<table>
<thead>
<tr>
<th>No.</th>
<th>Actions/Activities</th>
<th>Starting Date</th>
<th>Due Date</th>
<th>Primary Responsible Party</th>
<th>Secondary Responsible Party</th>
<th>Status</th>
<th>Category</th>
<th>Sub Category</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Establish PMU</td>
<td>Aug-08</td>
<td>Sep-08</td>
<td>UCSA</td>
<td>N/A</td>
<td>TBD</td>
<td>Project Management</td>
<td>Preparatory Activities</td>
</tr>
<tr>
<td>2</td>
<td>Assign the Procurement Specialist and Water Supply and Sanitation Specialist to PMU</td>
<td>Aug-08</td>
<td>Dec-08</td>
<td>UCSA</td>
<td>N/A</td>
<td>TBD</td>
<td>Project Management</td>
<td>Preparatory Activities</td>
</tr>
<tr>
<td>3</td>
<td>Assign the Accountant/Financial Specialist to PMU</td>
<td>Nov-08</td>
<td>Feb-09</td>
<td>UCSA</td>
<td>N/A</td>
<td>TBD</td>
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<td>Preparatory Activities</td>
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<tr>
<td>4</td>
<td>Assign the PMU Accountants</td>
<td>Feb-09</td>
<td>Mar-09</td>
<td>UCSA</td>
<td>N/A</td>
<td>TBD</td>
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<td>5</td>
<td>Establish the Procurement Steering Committee</td>
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<td>The Government</td>
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<td>Preparatory Activities</td>
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<td>6</td>
<td>Establish the Strategy Steering Committee</td>
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<td>Assign the Strategy Study Managers/Deputy PMU Director to PMU</td>
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<td>Feb-09</td>
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<td>Establish the Sector Strategy Study (SSS)</td>
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<td>43</td>
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<td>Bidding Process</td>
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<tr>
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<td>Establish Water and Sanitation Procedures and Reporting Templates</td>
<td>Jun-09</td>
<td>Jul-09</td>
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<td>Institutional Development</td>
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<td>Jul-09</td>
<td>PMU Consultants</td>
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<td>TBD</td>
<td>Project Management</td>
<td>Institutional Development</td>
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<tr>
<td>49</td>
<td>Establish Environmental Procedures and Templates Training to ADB and PIU Staff</td>
<td>Jun-09</td>
<td>Sep-09</td>
<td>Consultants</td>
<td>PMU</td>
<td>TBD</td>
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<tr>
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<td>Provide Financial Management Training to PMU and PIU Staff</td>
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<td>Aug-09</td>
<td>Consultants</td>
<td>PMU</td>
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<td>Upload the Project Information to UCSA Website</td>
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<td>52</td>
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<td>Nov-09</td>
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<td>The Government</td>
<td>PMU</td>
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<td>Financial Management</td>
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<td>Tariff review</td>
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<td>TBD</td>
<td>Project Management</td>
<td>Financial Management</td>
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<tr>
<td>54</td>
<td>Conduct annual audit of project accounts</td>
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<td>Mar-14</td>
<td>PMU</td>
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<td>Audit and Reporting</td>
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<td>Mar-14</td>
<td>PMU</td>
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<td>Audit and Reporting</td>
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<tr>
<td>56</td>
<td>Repair and maintenance plan</td>
<td>Sep-09</td>
<td>Nov-09</td>
<td>SPOM/UI</td>
<td>PMU</td>
<td>TBD</td>
<td>Project Management</td>
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<tr>
<td>57</td>
<td>Update resettlement plan and Social Due Diligence Report</td>
<td>May-09</td>
<td>Aug-09</td>
<td>PMU</td>
<td>Design Institute</td>
<td>TBD</td>
<td>Project Management</td>
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<td>Implement resettlement plan</td>
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<td>Mar-11</td>
<td>SPG/PIU</td>
<td>PMU</td>
<td>TBD</td>
<td>Project Management</td>
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<td>Feb-10</td>
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<td>Monitoring</td>
<td>Social Impact Monitoring</td>
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**Notes**
- Due within 6 months after close of each fiscal year
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<td>Jul-09</td>
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<td>Jul-09</td>
<td>Mar-14</td>
<td>PMU</td>
<td>SDP/PIU</td>
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<td>Social Impact Monitoring</td>
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<td>Project Management</td>
<td>Preparatory Activities</td>
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<td>Mar-14</td>
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<td>Audit and Reporting</td>
<td>Can within 2 weeks after close of each quarter</td>
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## Project Execution Plan - Surkhandarya Water Supply and Sanitation Project

### APPENDIX 3

#### Work Allocation by Activity

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<th>No.</th>
<th>Actions/Activities</th>
<th>Starting Date</th>
<th>Due Date</th>
<th>Primary Responsible Party</th>
<th>Secondary Responsible Party</th>
<th>Status</th>
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**Execution Plan Template**

Appendix 3: Work Allocation by Activity

4 of 6
## Project Execution Plan - Surkhandarya Water Supply and Sanitation Project

### APPENDIX 3

#### Work Allocation by Activity

**Execution Plan Template**

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### Project Execution Plan - Surkhandarya Water Supply and Sanitation Project

**As of 10 Aug 08**

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<td>Jan-10</td>
<td>Feb-10</td>
<td>PMU</td>
<td>NA</td>
<td>TBD</td>
<td>Procurement</td>
<td>Bidding Process</td>
<td></td>
</tr>
<tr>
<td>210</td>
<td>Bids received - Muzerabad</td>
<td>Apr-10</td>
<td>May-10</td>
<td>Contractor</td>
<td>PMU</td>
<td>NA</td>
<td>Procurement</td>
<td>Bidding Process</td>
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<td>211</td>
<td>Evaluate and Select Contractors - Muzerabad</td>
<td>May-10</td>
<td>Jun-10</td>
<td>PMU</td>
<td>NA</td>
<td>TBD</td>
<td>Procurement</td>
<td>Bidding Process</td>
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<tr>
<td>212</td>
<td>PMU Approval of Evaluation Results - Muzerabad</td>
<td>Jun-10</td>
<td>Jul-10</td>
<td>ADB</td>
<td>NA</td>
<td>TBD</td>
<td>Procurement</td>
<td>Bidding Process</td>
<td></td>
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<tr>
<td>213</td>
<td>Negotiation, award, registration of Construction Contract - Muzerabad</td>
<td>Sep-10</td>
<td>Sep-10</td>
<td>PMU</td>
<td>PIU</td>
<td>TBD</td>
<td>Procurement</td>
<td>Contract Awards</td>
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<td>214</td>
<td>Construction works Implementation - Muzerabad</td>
<td>Sep-10</td>
<td>Sep-12</td>
<td>Contractor</td>
<td>PMU/PIU</td>
<td>TBD</td>
<td>Project Implementation</td>
<td>Physical Infrastructure</td>
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<td>215</td>
<td>Prepare the Subproject Quarterly Progress Report - Muzerabad</td>
<td>Mar-09</td>
<td>Dec-13</td>
<td>PIU</td>
<td>Shurchi Vodokanal</td>
<td>TBD</td>
<td>Project Performance Monitoring</td>
<td>Physical Progress Monitoring</td>
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<tr>
<td>216</td>
<td>Prepare the Subproject Quarterly Progress Report - Muzerabad</td>
<td>Mar-09</td>
<td>Dec-13</td>
<td>PIU</td>
<td>Shurchi Vodokanal</td>
<td>TBD</td>
<td>Project Performance Monitoring</td>
<td>Social Impact Monitoring</td>
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<td>217</td>
<td>Prepare the Subproject Quarterly Progress Report - Muzerabad</td>
<td>Mar-09</td>
<td>Dec-13</td>
<td>PIU</td>
<td>Shurchi Vodokanal</td>
<td>TBD</td>
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<td>Environmental Impact Monitoring</td>
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<td>218</td>
<td>Prepare the Subproject Quarterly Progress Report - Muzerabad</td>
<td>Mar-09</td>
<td>Dec-13</td>
<td>PIU</td>
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<td>Disbursement</td>
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<td>Commissioning and Certificate of Acceptance - Muzerabad</td>
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<td>Oct-12</td>
<td>Contractor</td>
<td>PMU</td>
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<tr>
<td>220</td>
<td>B. Machinery &amp; Equipment Purchase</td>
<td>Dec 2009 - May 2012</td>
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<td>Physical Infrastructure</td>
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<td>221</td>
<td>Prepare Equipment specifications &amp; tender documents</td>
<td>Dec-09</td>
<td>May-10</td>
<td>PMU</td>
<td>PIU</td>
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<td>Bidding doc preparation</td>
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<tr>
<td>222</td>
<td>Advertise &amp; Preselect Equipment</td>
<td>May-10</td>
<td>Jun-10</td>
<td>PIU</td>
<td>PMU</td>
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<td>223</td>
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<td>Jun-10</td>
<td>Jun-10</td>
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<td>Sep-10</td>
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<td>TBD</td>
<td>Procurement</td>
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<td>226</td>
<td>Bids received - Equipment</td>
<td>Dec-10</td>
<td>Dec-10</td>
<td>PMU</td>
<td>PIU</td>
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<td>Procurement</td>
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<td>227</td>
<td>Evaluate &amp; Select Suppliers - Equipment</td>
<td>Jan-10</td>
<td>Jan-10</td>
<td>PIU</td>
<td>NA</td>
<td>TBD</td>
<td>Procurement</td>
<td>Bidding Process</td>
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<td>228</td>
<td>ADB Approval of Evaluation Results - Equipment</td>
<td>Jan-10</td>
<td>Jan-10</td>
<td>PIU</td>
<td>NA</td>
<td>TBD</td>
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<td>Bidding Process</td>
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<td>229</td>
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<td>Jan-10</td>
<td>Mar-15</td>
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<td>PIU</td>
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<td>Apr-10</td>
<td>May-12</td>
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<td>June 2009 - Mar 2014</td>
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<td>Physical Infrastructure</td>
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<td>Jul-09</td>
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<td>PIU</td>
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<td>Aug-09</td>
<td>Sep-09</td>
<td>PMU</td>
<td>PIU</td>
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<td>Procurement</td>
<td>Contract Awards</td>
<td></td>
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<tr>
<td>234</td>
<td>Prepare work plan &amp; inception report</td>
<td>Oct-09</td>
<td>Nov-09</td>
<td>Consultants</td>
<td>PMU</td>
<td>NA</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
<td></td>
</tr>
<tr>
<td>235</td>
<td>Develop Material/message development plan</td>
<td>Nov-09</td>
<td>Dec-09</td>
<td>Consultants</td>
<td>PMU</td>
<td>NA</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
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<tr>
<td>236</td>
<td>Implement program</td>
<td>Dec-10</td>
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<td>Consultants</td>
<td>PMU</td>
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<td>Project Implementation</td>
<td>Institutional Development</td>
<td>Intermittent Inputs</td>
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<tr>
<td>237</td>
<td>Prepare &amp; Submit Hygiene Component Quarterly Progress Reports to PMU</td>
<td>Oct-09</td>
<td>Mar-14</td>
<td>Consultants</td>
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<td>Project Implementation</td>
<td>Physical Progress Monitoring</td>
<td>Due within 2 weeks after close of each quarter</td>
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<td>Behavioural change surveys</td>
<td>Dec-13</td>
<td>Feb-14</td>
<td>Consultants</td>
<td>PMU</td>
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<td>Social Impact Monitoring</td>
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<td>239</td>
<td>V CAPACITY BUILDING</td>
<td>July 2009 - Apr 2014</td>
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<td>240</td>
<td>Shortlist Equipment Suppliers under Capacity Building Program</td>
<td>Sep-10</td>
<td>Dec-10</td>
<td>PMU</td>
<td>PIU</td>
<td>TBD</td>
<td>Procurement</td>
<td>Bidding Process</td>
<td></td>
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<tr>
<td>241</td>
<td>Approve of shortlisted Equipment Suppliers under Capacity Building Program</td>
<td>Dec-10</td>
<td>Jan-11</td>
<td>PIU</td>
<td>PMU</td>
<td>TBD</td>
<td>Procurement</td>
<td>Bidding Process</td>
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<td>242</td>
<td>Collect Price Quotes for Equipment under Capacity Building Program</td>
<td>Jan-11</td>
<td>Feb-10</td>
<td>PMU</td>
<td>PIU</td>
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<td>Procurement</td>
<td>Bidding Process</td>
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<td>243</td>
<td>Evaluate and select equipment suppliers under Capacity Building Program</td>
<td>Feb-11</td>
<td>Mar-10</td>
<td>PMU</td>
<td>PIU</td>
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<td>Bidding Process</td>
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<td>ADB Approval of Evaluation Results for Equipment under Capacity Building Program</td>
<td>Mar-10</td>
<td>Mar-10</td>
<td>ADB</td>
<td>PIU</td>
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<td>Bidding Process</td>
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<td>Award Supply contract for Equipment under Capacity Building Program</td>
<td>Apr-10</td>
<td>Apr-10</td>
<td>ADB</td>
<td>PIU</td>
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<td>Procurement</td>
<td>Contract Awards</td>
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<td>246</td>
<td>Solicit Equipment delivery under Capacity Building Program</td>
<td>May-10</td>
<td>Jun-10</td>
<td>PIU</td>
<td>PMU</td>
<td>NA</td>
<td>Procurement</td>
<td>Bidding Process</td>
<td></td>
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<tr>
<td>247</td>
<td>Prepare training curriculum &amp; plan</td>
<td>Jul-09</td>
<td>Dec-09</td>
<td>PMU/Consultants</td>
<td>PMU</td>
<td>NA</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
<td></td>
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<tr>
<td>248</td>
<td>Implement financial &amp; management training</td>
<td>Jan-10</td>
<td>Dec-13</td>
<td>PMU/Consultants</td>
<td>PMU</td>
<td>NA</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
<td>Intermittent Inputs</td>
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<td>Implement Technical training</td>
<td>Jan-10</td>
<td>Dec-13</td>
<td>PIU</td>
<td>PIU/Consultants</td>
<td>PMU</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
<td>Intermittent Inputs</td>
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<tr>
<td>250</td>
<td>Establish &amp; Implement Benchmarks</td>
<td>Aug-10</td>
<td>Aug-13</td>
<td>Consultants</td>
<td>PIU/PMU</td>
<td>NA</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
<td>Intermittent Inputs</td>
</tr>
<tr>
<td>251</td>
<td>Identify &amp; Prepare Study tours</td>
<td>Aug-10</td>
<td>Sep-13</td>
<td>PMU/PIU/ADB</td>
<td>Consultants</td>
<td>PMU</td>
<td>Project Implementation</td>
<td>Institutional Development</td>
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<td>Conduct study tours</td>
<td>Sep-10</td>
<td>Oct-10</td>
<td>PIU</td>
<td>PMU</td>
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<td>Capacity monitoring and Review</td>
<td>Aug-10</td>
<td>Mar-14</td>
<td>Consultants</td>
<td>PIU/PMU</td>
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<td>Project Implementation</td>
<td>Institutional Development</td>
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<td>254</td>
<td>Prepare and Submit Capacity Building Component Quarterly Progress Reports to PMU</td>
<td>Jun-09</td>
<td>Mar-14</td>
<td>Consultants</td>
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<td>Project Performance Monitoring</td>
<td>Physical Progress Monitoring</td>
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</table>

**Abbreviations**

- ADB - Asian Development Bank
- NA - Not applicable
- PIU - Project Implementation Unit
- PMU - Project Management Unit
- SPG - Surkhandarya Provincial Government
- TBD - To be done
# Appendix 4

## PROJECT PERFORMANCE REPORT

**As of 31 Jan 2009**

### BASIC DATA

**NAME**

2466: SURKHANDARYA WATER SUPPLY AND SANITATION

**PROJECT AT RISK**

<table>
<thead>
<tr>
<th>Last</th>
<th>Current</th>
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<tbody>
<tr>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>S</td>
<td>S</td>
</tr>
<tr>
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**Targeting Classification**

**Themes**

**Subthemes**

### FINANCING PLAN (LOAN)

<table>
<thead>
<tr>
<th>Description</th>
<th>Total</th>
<th>Counterpart Funds Adequate</th>
<th>Current Value of Bank Loan: Approved</th>
<th>Balance Available for Commitment</th>
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<td>MDTF-WFPF</td>
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<td>Government</td>
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### FINANCING PLAN (GRANT)

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<td>Project Cost</td>
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### LOAN UTILIZATION

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<tr>
<th>Description</th>
<th>ADB</th>
<th>Others</th>
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<th>Cumulative Disbursements to Net Loan(S): 0%</th>
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<tbody>
<tr>
<td>Dec 08</td>
<td>0.00</td>
<td>0.00</td>
<td></td>
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</tr>
<tr>
<td>31 Jan 09</td>
<td>0.00</td>
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<tr>
<td>Proj 09</td>
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### GRANT UTILIZATION

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<th>Cumulative Disbursements to Net Grant(S): 0%</th>
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<tr>
<td>Dec 08</td>
<td>0.00</td>
<td>0.00</td>
<td></td>
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<tr>
<td>31 Jan 09</td>
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<td>Proj 09</td>
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### COVENANTS

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<td>Agency Financial Statements / Delay</td>
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<td>Sector Covenants</td>
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<td>Environmental Covenants</td>
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<tr>
<td>Social Covenants</td>
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<td>Economic Covenants</td>
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<td>MAJOR ISSUES/PROBLEMS (IP, Impact and Outcome, Covenants)</td>
<td>ACTION TAKEN/PROPOSED</td>
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<tr>
<td>----------------------------------------------------------</td>
<td>------------------------</td>
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<td>PROBLEM(S)</td>
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</table>

Ma. Rosario A. Romasanta  
Project Officer.

Ye Yong  
Urban Economist

PAU ASSISTANT  
PROJECT SPECIALIST

Legend: ECO - Economic Growth  HD - Human Development  GD - Gender and Development  GG - Good Governance  ENV - Environmental Protection  PSD - Private Sector Development

REG - Regional Cooperation  CAD - Capacity Development
# IMPACT AND OUTCOME

<table>
<thead>
<tr>
<th>Impact</th>
<th>Description</th>
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<tbody>
<tr>
<td></td>
<td>Improved living standards, environment, and public health in urban centers of Surkhandarya</td>
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<table>
<thead>
<tr>
<th>Outcome</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Safe, reliable and sustainable water supply and sanitation services and improved community hygiene in participating urban centers of Surkhandarya.</td>
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</table>

<table>
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<th>Performance Targets/Indicators</th>
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<th>Progress/Status</th>
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<tr>
<td>1. Sector strategy with long-term and coherent vision and holistic approach to sector development and PPP promotion is prepared and approved by Dec 2011</td>
<td>S</td>
<td>not yet due</td>
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<tr>
<td>2. Profile of private operators in the sector is prepared by Dec 2011</td>
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<tr>
<td>3. Road map prepared and adopted by the Government by Dec 2012</td>
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<tr>
<td>4. 19 reservoirs, 47 boreholes, 44 pumping stations, 53 km of trunk mains, and 148 km distribution networks are rehabilitated</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>5. 8 reservoirs, 11 boreholes, 4 pumping stations, 24.4 km of trunk mains, and 108 km distribution networks are constructed</td>
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<td></td>
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<tr>
<td>6. Water meters are installed in 70,000 households, connecting them to the water supply system</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>7. At least 17 schools are provided with improved latrine facilities and all schools in project areas are provided with piped water supply</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>8. Hygiene promotion activities are carried out in all schools in the project areas; at least 5 women are trained in each mahalla in the project areas</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>9. One baseline and 2 follow-up surveys are carried out to gather gender-disaggregated information</td>
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<td></td>
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<tr>
<td>10. 8 subproject vodokanal receive new furniture and equipment, and keep them well maintained</td>
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</tr>
<tr>
<td>11. Customer care units and customer representative groups are established in each vodokanal by 2010</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>12. Consumer databases are developed and all consumers are registered by 2014</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>13. Computerized financial management systems are adopted, QM manual is developed for each vodokanal and adopted</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>14. Simple performance benchmarking system is developed by 2012, all vodokanal attend performance benchmarking workshops, and the performance benchmarking system is adopted by 2013.</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>15. Study-tour participants actively discuss and participate in the preparation of the frameworks and WSS strategy, and in running the vodokanal offices through the project implementation period. At least 20% of participants in the training activities and study tours are women.</td>
<td>S</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Assumptions/Risks</th>
<th>Rating (HS,S,PS,U)</th>
<th>Assessment of Current Status</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assumptions:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Active participation by all stakeholders in strategy development</td>
<td>S</td>
<td>not yet due</td>
</tr>
<tr>
<td>2. Competence of consultants and contractors</td>
<td>S</td>
<td>not yet due</td>
</tr>
<tr>
<td><strong>Risks:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Delays in internal approval procedures of the Government</td>
<td>Mitigated (Y/N)</td>
<td>Yes</td>
</tr>
</tbody>
</table>
### Recent Development (Date: 31/01/2009)
Loan approved on 3 November 2008. Loan Agreement expected to be signed by end February 2009.

### Problems with Impact and Outcome

<table>
<thead>
<tr>
<th>Description</th>
<th>Action Taken/Proposed</th>
</tr>
</thead>
</table>

### Project Quality (one time input)

<table>
<thead>
<tr>
<th>Capacity Building Component</th>
<th>Training Component</th>
<th>Participatory Process</th>
<th>Project Manager/Project Office prior to Loan approval</th>
<th>Incorporated Lessons Learned in Sector/Country</th>
<th>Logical Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

- Update Control: Ma. Rosario A. Romasanta
- Last Updated by: COSO Monthly Uploading
- Last Modified on: 23/02/2009 05:52 AM
- Created on: 10/12/2008 11:12 AM
## IMPLEMENTATION PROGRESS

<table>
<thead>
<tr>
<th>Project Outputs</th>
<th>Indicators / Targets</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. WSS sector strategy including PPP framework</td>
<td>A sector strategy with a long-term and coherent vision and a holistic approach to sector development and PPP promotion is prepared and approved by December 2011</td>
<td>Loan Agreement yet to be signed.</td>
</tr>
<tr>
<td>2. WSS development road map and investment plan for 2020</td>
<td>Road map is prepared and adopted by the Government by December 2012</td>
<td></td>
</tr>
<tr>
<td>3. Rehabilitated water supply infrastructure in urban centers of seven districts and Termez City</td>
<td>19 reservoirs, 47 boreholes, 44 pumping stations, 53 km of trunk mains, and 148 km distribution networks are rehabilitated</td>
<td></td>
</tr>
<tr>
<td></td>
<td>8 reservoirs, 11 boreholes, 4 pumping stations, 24.4 km of trunk mains, and 108 km distribution networks are constructed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Water meters are installed in 70,000 households, connecting them to the water supply system</td>
<td></td>
</tr>
<tr>
<td>4. Improved latrines (with hand-washing facilities) in selected schools in project areas</td>
<td>At least 17 schools are provided with improved latrine facilities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>All schools in project areas are provided with piped water supply</td>
<td></td>
</tr>
<tr>
<td>5. Innovative hygiene promotion activities in school communities in project areas</td>
<td>Hygiene promotion activities are carried out in all schools in the project areas; at least 5 women are trained in each makhalla in the project areas</td>
<td></td>
</tr>
<tr>
<td></td>
<td>One baseline and two follow-up surveys are carried out to gather gender-disaggregated information</td>
<td></td>
</tr>
<tr>
<td>6. Improved and well-maintained vodokanal offices, equipment and infrastructure</td>
<td>8 subproject vodokanals receive new furniture and equipment, and keep them well maintained</td>
<td></td>
</tr>
<tr>
<td>7. Training program to improve operations, management and customer relations skills developed, implemented, and evaluated</td>
<td>Customer care units and customer representative groups are established in each vodokanal by 2010</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Consumer databases are developed and all consumers are registered by 2014</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Computerized financial management systems are adopted</td>
<td></td>
</tr>
<tr>
<td></td>
<td>An O&amp;M manual is developed for each vodokanal and adopted</td>
<td></td>
</tr>
<tr>
<td>8. Performance monitoring system for participating vodokanals</td>
<td>A simple performance benchmarking system is developed by 2012, all vodokanals attend performance benchmarking workshops, and the performance benchmarking system is adopted by 2013</td>
<td></td>
</tr>
<tr>
<td>9. Study tours to places with good-practice examples</td>
<td>Study-tour participants actively discuss and participate in the preparation of frameworks and WSS strategy, and in running the vodokanal offices throughout the project implementation period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>At least 20% of participants in the training activities and study tours are women</td>
<td></td>
</tr>
</tbody>
</table>

### Key Project Inputs

<table>
<thead>
<tr>
<th>Loan Categories from LFIS/Logical Framework</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Civil Works</td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td></td>
</tr>
<tr>
<td>Consulting Services</td>
<td></td>
</tr>
<tr>
<td>Recurrent Costs</td>
<td></td>
</tr>
</tbody>
</table>
Appendix 4

<table>
<thead>
<tr>
<th>Key Assumptions/Risks (Input-Output)</th>
<th>Assessment of Current Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active participation by all stakeholders in strategy development</td>
<td></td>
</tr>
<tr>
<td>Competence of consultants and contractors</td>
<td></td>
</tr>
<tr>
<td>Delays in internal approval procedures of the Government</td>
<td></td>
</tr>
<tr>
<td>Inadequate counterpart financing</td>
<td></td>
</tr>
</tbody>
</table>

**Implementation Progress**

<table>
<thead>
<tr>
<th>Loans Not Yet Signed</th>
<th>As of: 31/01/2009</th>
<th>IP Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2.9 months after loan approval</td>
<td>Satisfactory</td>
</tr>
</tbody>
</table>

**Design Changes**

None

**Recent Development (Date: 31/01/2009)**

Loan approved on 3 November 2008. Loan Agreement yet to be signed.

**Problems with IP**

<table>
<thead>
<tr>
<th>Description</th>
<th>Action Taken/Proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Rating Criteria for the Assessment of Implementation Progress

**Project:** 40007 - SURKHANDARYA WATER SUPPLY AND SANITATION

<table>
<thead>
<tr>
<th>Loan Number:</th>
<th>2466-U2B(SF)</th>
<th>Department:</th>
<th>CWRD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Number:</td>
<td>0131-U2B</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approval Date:</td>
<td>03/11/2008</td>
<td>Signing Date:</td>
<td></td>
</tr>
<tr>
<td>Original Closing Date:</td>
<td>30/09/2014</td>
<td>Effectivity Date:</td>
<td></td>
</tr>
<tr>
<td>Status:</td>
<td>ACTIVE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Loans Not Yet Signed

<table>
<thead>
<tr>
<th>As of: 31/01/2009</th>
<th>2.9 months after loan approval</th>
<th>IP Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Satisfactory</td>
</tr>
</tbody>
</table>

**Note:** This is for recording purposes only and does not affect in any way the overall IP Rating. For guidelines in calculating project progress, please refer to Appendix 2 of PAI5.01.

**Project Progress:** 0%

### IP Rating Updates

<table>
<thead>
<tr>
<th>New IP Rating:</th>
<th>Effective Date:</th>
<th>Date of Lifting:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Remarks

Update Control: Ma. Rosario A. Romasanta  
Last Updated by: COSO Monthly Uploading  
Last Modified on: 11/02/2009 06:17 AM  
Created on: 10/12/2008 02:03 PM
### POTENTIAL PROBLEM PROJECT

<table>
<thead>
<tr>
<th>Rating Criteria</th>
<th>Flag (Yes/NO)</th>
<th>Actual Rating</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Project Implementation Delays</td>
<td>No</td>
<td>NYE</td>
<td></td>
</tr>
<tr>
<td>2. Poor Compliance with Covenants</td>
<td>No</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>3. Established, Staffed, and Operating PMU/PIU</td>
<td>No</td>
<td>HS</td>
<td></td>
</tr>
<tr>
<td>4. Fielding of Consultants</td>
<td>No</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>5. Shortage of Counterpart Funds/Cofinancing</td>
<td>No</td>
<td>NYE</td>
<td></td>
</tr>
<tr>
<td>6. Cost Overrun</td>
<td>No</td>
<td>NYE</td>
<td></td>
</tr>
<tr>
<td>7. Poor Compliance with Audited Project Accounts and Agency Financial Statements</td>
<td>No</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>8. Environmental or Social Problems</td>
<td>No</td>
<td>S</td>
<td></td>
</tr>
<tr>
<td>9. Significant Disbursement Delays</td>
<td>No</td>
<td>0.000 / 0.000=</td>
<td></td>
</tr>
<tr>
<td>10. In Risk Sector in a Country with History of Past Problems</td>
<td>No</td>
<td>40%</td>
<td></td>
</tr>
<tr>
<td>11. Project Fielded Missions</td>
<td>Yes</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**Overall Rating:** No < 4 flags

---

**New PP Rating:**

**Effective Date:**

**Date of Lifting:**

---

**Update Control:** Ma. Rosario A. Romasanta

**Last Updated by:** COSO Monthly Uploading

**Last Modified on:** 11/02/2009 06:18 AM

**Created on:** 10/12/2008 02:14 PM
Appendix 4

COVENANTS

Project and EA Accounts

<table>
<thead>
<tr>
<th>EA</th>
<th>FY End</th>
<th>FY</th>
<th>Months Due After FY</th>
<th>Due</th>
<th>Date Received</th>
<th>Months Delayed</th>
<th>Acceptable Y / N</th>
<th>Auditor’s Opinion (Q, U or A)</th>
<th>Status of Compliance</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uzbekistan Communal Services Agency (UCSA)</td>
<td>Dec 09</td>
<td>6</td>
<td>30/06/2010</td>
<td>-</td>
<td>0</td>
<td>-</td>
<td>-</td>
<td>NYD</td>
<td>S</td>
<td></td>
</tr>
</tbody>
</table>

Submission of Agency Financial Statements (AFS): Not Required

Overall Compliance and Rating: NYD S

Findings/Actions Taken or To be Taken and other Remarks:

Project Specific Covenants

<table>
<thead>
<tr>
<th>Project-specific covenants</th>
<th>Date Due</th>
<th>Date Complied</th>
<th>Delays (mo.)</th>
<th>Status of Compliance</th>
<th>Rating (S,PS,U)</th>
<th>Remarks/Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sector S</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Project Executing Agency and Project Implementing Agency</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Borrower shall designate UCSA as the Project Executing Agency with responsibility for the overall Project coordination and implementation, and liaison with ADB and government agencies concerned. UCSA shall be directly responsible for the planning, design, and development and rehabilitation of water supply systems under the Project. The SPG shall be the Project Implementing Agency responsible for the day-to-day implementation of the Project. (Schedule 5, para. 1 of the LA)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Ongoing S</td>
</tr>
</tbody>
</table>

2. Project Management Unit
The Borrower shall ensure that the PMU is established within UCSA. The PMU shall be responsible for (a) supervising project implementation, budgeting, financial planning, and accounting; (b) carrying out procurement activities; (c) providing administrative and technical support to the PIU; (d) preparing consolidated Project progress reports and completion report; and (e) consolidating Project accounting, auditing and monitoring, and reporting to ADB, the Borrower, and other stakeholders. The Borrower shall ensure that throughout the Project implementation period the PMU remains headed by Project Director and comprised of (a) one deputy project director, who will also serve as the sector strategy study manager; (b) a financial specialist/accountant; (c) a water supply and sanitation specialist; (d) a procurement specialist; (e) a monitoring and environment specialist, (f) a driver, and (g) an office manager/translator. (Schedule 5, para. 2 of the LA) | | | | | | Ongoing S |

3. Project Implementation Unit
The Borrower shall ensure that the PIU shall be established by SPG in Termez to be responsible for the day-to-day implementation of the Project at the local level. The major responsibilities of the PIU shall include (a) participating in Project planning, detailed cipating design, and bid evaluation; (b) coordinating the activities of consultants and contractors; (c) overseeing construction activities; (d) coordinating resettlement activities; (e) monitoring the environment and social impacts of the Project activities; (f) supervising capacity building activities; and (g) preparing and consolidating subproject accounting, auditing and monitoring reports for submission to the PMU. The Borrower shall ensure that throughout the Project implementation period the PIU remains headed by a Project coordinator acceptable to ADB, and comprised of (i) a financial specialist/accountant, (ii) a water supply and design specialist, (iii) a monitoring and social and resettlement specialist, (iv) a driver, and (v) an office manager/translator. (Schedule 5, para. 3 of the LA) | | | | | | Ongoing S |

4. Project Steering Committee
The Borrower shall establish an inter-ministerial PSC to provide overall policy direction and guidance, including overseeing Project implementation, facilitating cooperation and coordination among concerned agencies, and ensuring timely implementation of the policy and institutional reform agenda of the Project. The PSC shall be chaired by a Deputy Prime Minister, and comprised of senior officials from UCSA, the Borrower’s Ministry of Finance, Ministry of Economy, Ministry of Foreign Economic Relations, Investment and Trade, State Committee of Natural Protection, Ministry of Health, Ministry of Public Education, SPG, and other agencies concerned. The PSC will meet at least every 6 months to review and discuss the Project implementation. (Schedule 5, para. 4 of the LA) | | | | | | Ongoing S |

5. Project Executing Agency and Project Implementing Agency
The Recipient shall designate UCSA as the Project Executing Agency with overall responsibility for Project coordination and implementation, and liaison with ADB and | | | | | | Ongoing S |
Appendix 4

**Project-Specific Covenants**

<table>
<thead>
<tr>
<th>6. Study Tours</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Recipient shall ensure that candidates for study tours are selected through a transparent and competitive process following the criteria agreed with ADB. The Recipient shall also ensure that those who completed the training through the study tours will be required to share the knowledge gained in a reporting-back workshop with wider stakeholders. (Schedule 2, para. 2 of the LA)</td>
</tr>
<tr>
<td>Ongoing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7. Sector Strategy, Roadmap and Investment Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Borrower shall ensure that development of a new water supply and wastewater sector strategy (the &quot;Sector Strategy&quot;), a roadmap, and an investment program is carried out in accordance with the agreed process in consultation with stakeholders in the sector so that the agreed Sector Strategy is approved by the Government by 31 December 2011. The Borrower shall keep ADB informed of any major changes in the sector programs and plans that may impact the Project and any future projects to be financed by ADB. (Schedule 5, para. 6 of the LA)</td>
</tr>
<tr>
<td>Not Yet Due</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>8. Collection Efficiency and Water Tariffs</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Borrower shall ensure that the SPG (a) takes necessary measures to improve the collection efficiency to achieve a collection rate of 90% by 2013; (b) reviews semi-annually and adjusts as necessary the level and structure of water tariffs so that (i) from 2010, each vodokanal will be able to fully recover O&amp;M and capital replacement costs; and (ii) from 2014, each vodokanal will be able to fully recover O&amp;M and capital replacement costs of the water supply scheme under the subproject, serve debt-servicing obligations under the subproject, and maintain a debt service coverage ratio of 1.2:1. (Schedule 5, para. 7 of the LA)</td>
</tr>
<tr>
<td>Ongoing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>9. Tariff</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Borrower shall ensure that (a) tariff plan is prepared for annual tariff settings that take into account the service costs including inflation, which will be implemented by 10 January 2009; and (b) the tariff to be adopted in January 2010 fully covers the operating cost. The Borrower shall ensure that results of the reviews and adjustments, if any, are reported by UCSA to ADB within three (3) months of each review. (Schedule 5, para. 7 and 8 of the LA)</td>
</tr>
<tr>
<td>Ongoing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>10. Water Bills</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Borrower shall ensure that the SPG (a) takes appropriate measures, including financial incentives and/or penalties, to reduce the level of water bill arrears and (b) protects their water resources and facilities through vigorous prosecution for violations, such as water meter tampering and water theft in accordance with applicable laws of the Borrower. (Schedule 5, para. 9 of the LA)</td>
</tr>
<tr>
<td>Ongoing</td>
</tr>
</tbody>
</table>

**Environmental**

| 1. Borrower shall, and cause UCSA to, ensure that (a) the Project facilities are constructed, operated, maintained and monitored in conformity with all applicable laws and regulations of the Borrower, including regulations and standards for environmental protection, health, labor and occupational safety, ADB’s Environmental Policy (2002), the IEE, and the SIEE for the Project; (b) any adverse environmental impacts during construction and operation are minimized by implementing mitigation measures and monitoring program detailed in the EMMP set forth in the IEE; (c) the progress on the EMMP implementation and any violations of environmental standards are reported to ADB semi-annually in accordance with the specifications set forth in the IEE; and (d) the EMMP is incorporated in the bidding documents. (Schedule 5, para. 10 of the LA) |
| Ongoing | S |

**Social**

<table>
<thead>
<tr>
<th>1. Involuntary Resettlement</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Borrower shall ensure and shall cause UCSA to ensure that (a) the Project is carried out in accordance with applicable laws and regulations of the Borrower, ADB's Involuntary Resettlement Policy (1995), and the RP; (b) the RP and due diligence reports are updated based on detailed design of the subprojects, disclosed to all affected persons, and resubmitted to ADB for approval; (c) no civil works contract is awarded for the Djarkurgan subproject until the updated RP has been approved by ADB, and (d) the contractors are not given notice to proceed under the Djarkurgan subproject until the RP has been implemented in accordance with its terms. (Schedule 5, para. 11 of the LA)</td>
</tr>
<tr>
<td>Ongoing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Gender and Labor</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Borrower shall cause UCSA to ensure that (a) the GAP is implemented in a timely manner during the Project implementation period, (b) adequate resources are allocated for</td>
</tr>
</tbody>
</table>
this purpose, and (c) the implementation of the GAP is closely monitored and reported to ADB through quarterly progress reports.
The Borrower shall cause UCSA to ensure that all civil works contractors (a) employ women and local people, including disadvantaged people, living in the vicinity of the relevant subproject; (b) provide safe working conditions and equal pay to male and female workers for work of equal type; (c) abstain from child labor; and (d) conduct an information and education campaign on sexually transmitted diseases and HIV/AIDS for construction workers as part of the health and safety program at camp sites during the construction period. All civil works contracts shall include specific clauses on these undertakings, and compliance shall be strictly monitored during Project implementation. (Schedule 5, para. 12 and 13 of the LA)

<table>
<thead>
<tr>
<th>Appendix 4</th>
<th>Project Specific Covenants</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ongoing</strong></td>
<td><strong>S</strong></td>
</tr>
</tbody>
</table>

**Financial**

1. UC SA shall (maintain separate accounts for the Project and for its overall operations; (ii) have such accounts and related financial statements audited annually; (iii) furnish to ADB, promptly after their preparation but in any event not later than six (6) months after the close of the fiscal year to which they relate, certified copies of such audited accounts and financial statements, all in the English language. (Section 2.09(a) of the LA) |

   **Not Yet Due**

2. UC SA shall enable ADB, upon ADB's request, to discuss UC SA financial statements and its financial affairs from time to time with the auditors appointed by UC SA pursuant to Section 2.09(a) above. (Section 2.09(b) of the LA).

   **Not Yet Due**

**Counterpart Funds**

Without limiting the generality of Section 6.06 of the Loan Regulations, the Borrower shall make adequate annual budget allocations and release in a timely manner the counterpart funds and other resources, as shall be necessary or required, in addition to the proceeds of the Loan, for the successful implementation of the Project. (Schedule 5, para. 5 of the LA)

| **Ongoing** | **S** |

**Others**

1. Established, Staffed, and Operating PMU/PTU

   **Compiled**

   **HS**

2. Fielding of Consultants

   **Selection of design works consultants ongoing.**

   **Ongoing**

3. Borrower shall establish an inter-ministerial PSC to provide overall policy direction and guidance, including overseeing Project implementation, facilitating cooperation and coordination among concerned agencies, and ensuring timely implementation of the policy and institutional reform agenda of the Project. (Schedule 5, para. 4 of the LA)

   **Not Yet Due**

4. Borrower shall ensure that development of a new water supply and wastewater sector strategy, a roadmap, and an investment program is carried out in accordance with the agreed process in consultation with stakeholders in the sector so that the agreed Sector Strategy is approved by the Government by 31 Dec 2011. (Schedule 5, para. 6 of the LA) |

   **31/12/2011**

5. During Project implementation, the Borrower shall: (a) apply, and cause USCA and the SPG to apply, ADB’s Anti-corruption Policy, it being understood that ADB reserves the right to investigate directly, or through its agents, any possible corrupt, fraudulent, collusive or coercive practices relating to the Project. To support these efforts, the Borrower shall ensure that (i) UC SA includes in the bidding documents for the Project; and in all contracts financed by ADB in connection with the Project the provisions specifying the right of ADB to audit and examine the records and accounts of PMU, PIU and vodokanal’s, and all contractors, suppliers, consultants and other service providers as they relate to the Project; (ii) periodic inspections of the contractors’ activities related to fund withdrawals and settlements under the Project are carried out; and (iii) the Project auditors have the right to conduct random or spot audits for contract implementation activities under the Project. The cost of this auditing will be borne by the Project; and (b) cause UC SA to maintain and update its website to present information on externally-funded projects, including this Project. With regard to this Project, the website shall provide information on, among other things, water tariff review procedures, results of annual reviews and adjustments, collection efficiency, financial statements of this Project procurement activities and details on the adopted bidding procedures, amounts of the contracts awarded, the list of goods and/or services purchased, and their intended and actual utilization. (Schedule 5, para. 14 of the LA)

   **Ongoing**

6. Maintenance Plan

The Borrower shall cause UC SA to ensure that (a) a set of major repair equipment (such as cranes and excavators) provided under the Project is managed and maintained by the Surkhandarya provincial vodokanal; (b) the Surkhandarya provincial vodokanal prepare, in consultation with vodokanal’s, a maintenance plan covering the proposed station to place such major repair equipment to be shared by the district vodokanal’s, standards,
procedures, other arrangements for the maintenance and use of such equipment. UCSA shall, by 30 September 2009, submit the draft plan to ADB for review. (Schedule 5, para. 15 of the LA) Not Yet Due -

7. Hygiene Promotion Activities
The Borrower shall cause UCSA to ensure that (a) by 31 December 2009, the implementation arrangements and implementation plan for the hygiene promotion activities are prepared to be carried out in all schools in the Project Area; (b) by 30 June 2010, the hygiene baseline survey is completed; and (c) the follow up surveys are carried out in 2012 and 2014. (Schedule 5, para. 16 of the LA) 31/12/2009 Not Yet Due -

8. Project Performance Monitoring System
The Borrower shall cause UCSA to ensure that the implementation of the Project; the operation of the Project facilities, and the benefits derived from the Project are monitored and evaluated annually by the PMU. Within six (6) months of the Effective Date, a PPMS shall be established by UCSA. The establishment of baseline data and benchmarks, collection of information, monitoring and evaluation of benefits, and evaluation of social impact, shall be undertaken by the PMU with the consultants support. Data collection shall be carried out (a) prior to physical implementation of each subproject in conjunction with socioeconomic surveys, (b) regularly during Project implementation, and (c) for three (3) months after physical completion of the Project. The results shall be incorporated into the Project progress and completion reports. (Schedule 5, para. 17 of the LA) Not Yet Due -

9. Project Reviews
The Borrower, UCSA and ADB shall jointly conduct semi-annual reviews during the first two (2) years of the Project, and annual reviews thereafter. A comprehensive mid-term review shall be undertaken after the third year of Project implementation. These reviews shall include evaluation of project implementation arrangements, detailed evaluation of the Project scope, the actual implementation progress, resettlement and environment safeguards, community involvement, health education and hygiene practice, feedback from the PMMS, performance of consultants, institutional and capacity development progress, and possible reallocation of the Loan and Grant proceeds. The cost recovery mechanisms for each subproject shall also be evaluated and remedial action shall be instituted as needed. (Schedule 5, para. 18 of the LA) Not Yet Due -

| Overall Rating | S |

### Problems/Remarks/Issues with Covenants
## DESIGN AND MONITORING FRAMEWORK

<table>
<thead>
<tr>
<th>Design Summary</th>
<th>Performance Targets/Indicators</th>
<th>Data Sources/ Reporting Mechanism</th>
<th>Assumptions and Risks</th>
</tr>
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<tbody>
<tr>
<td><strong>Impact</strong></td>
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</table>
| • Improved living standards, environment, and public health in urban centers of Surkhandarya | • 90% of the population is provided with safe and reliable water supply at least 20 hours a day by 2020  
• Waterborne infections per 100,000 children under 14 years in Surkhandarya are decreased by 40% by 2020 | • National statistics  
• Reports of multilateral and bilateral agencies  
• Baseline and follow-up socioeconomic surveys | • Clear and coherent government sector development vision and strategy  
• Continued government commitment to sector development and reforms |
| **Outcome**    |                                 |                                   |                       |
| • Safe, reliable, and sustainable water supply and sanitation services and improved community hygiene in participating urban centers of Surkhandarya | • Safe, reliable water is provided to 340,000 people by 2014, and to 367,000 by 2020  
• Water supply is available at least 20 hrs a day by 2014, and 24 hrs a day by 2020  
• UFW is reduced to less than 40% by 2014  
• Water quality complies with national drinking water standards from 2014 onward  
• Customer complaints are recorded and responded to promptly from 2014 onward; the number of complaints is reduced over time; each customer care unit has a gender focal point to receive and address women’s complaints  
• Vodokanals cover O&M costs from 2010 onward, and O&M and depreciation costs from 2014 onward  
• Collection rate of water supply and sanitation charges increases to 90% by 2014  
• 80% of schoolchildren wash their hands with soap by 2014 | • ADB project performance audit report  
• Vodokanal records, financial reports, and performance benchmarking reports  
• Review missions  
• Project completion report | • Government commitment to the institutional and financial reforms made by the Project  
• Increasing awareness in communities of relationship between health, hygiene and sanitation, and clean water use  
• Adequate capacity and motivation of Vodokanal staff to manage, operate, and maintain the new system properly |
<p>| <strong>Output</strong>     |                                 |                                   |                       |
| 1.1 WSS sector strategy, including PPP framework | • A sector strategy with a long-term and coherent vision and a holistic approach to sector development and | • Government document or resolution | • Active participation by all stakeholders in strategy |</p>
<table>
<thead>
<tr>
<th>Design Summary</th>
<th>Performance Targets/Indicators</th>
<th>Data Sources/Reporting Mechanism</th>
<th>Assumptions and Risks</th>
</tr>
</thead>
</table>
| 1.2 WSS development road map and investment plan for 2020 | PPP promotion is prepared and approved by December 2011  
• A profile of private operators in the sector is prepared by December 2011  
• Road map is prepared and adopted by the Government by December 2012  
• 19 reservoirs, 47 boreholes, 44 pumping stations, 53 km of trunk mains, and 148 km distribution networks are rehabilitated  
• 8 reservoirs, 11 boreholes, 4 pumping stations, 24.4 km of trunk mains, and 108 km distribution networks are constructed  
• Water meters are installed in 70,000 households, connecting them to the water supply system  
• At least 17 schools are provided with improved latrine facilities  
• All schools in project areas are provided with piped water supply  
• Hygiene promotion activities are carried out in all schools in the project areas; at least 5 women are trained in each makhalla in the project areas  
• One baseline and two follow-up surveys are carried out to gather gender-disaggregated information  
• 8 subproject vodokanals receive new furniture and equipment, and keep them well maintained  
• Customer care units and customer representative groups are established in each vodokanal by 2010  
• Consumer databases are developed and all consumers are registered by 2014  
• Computerized financial management systems are adopted  
• An O&M manual is developed for each vodokanal and adopted  
• A simple performance benchmarking system is developed by 2012, all vodokanals attend performance benchmarking workshops, and the | ADB project performance audit report  
Project progress reports  
Review missions  
Project completion report  
Baseline and follow-up hygiene surveys  
Training evaluation reports  
Study tour reports and feedback in reporting-back workshop | Development  
• Competence of consultants and contractors  
Risks  
• Delays in internal approval procedures of the Government  
• Inadequate counterpart financing |
### Design Summary

**Performance Targets/Indicators**
- Performance benchmarking system is adopted by 2013
- Study-tour participants actively discuss and participate in the preparation of frameworks and WSS strategy, and in running the vodokanal offices throughout the project implementation period
- At least 20% of participants in the training activities and study tours are women

### Data Sources/Reporting Mechanism

### Assumptions and Risks

### Activities with Milestones

#### 1. Strengthening of Sector Strategy and Management
- Inception report prepared by month 8
- Draft national WSS strategy and PPP framework prepared by month 21
- Strategy approved by Government by month 33
- Road map developed and approved by month 45

#### 2. Water Supply Development
- Detailed design completed by month 21
- Rehabilitation and new facilities constructed, commissioned, and made operational between month 21 and month 45
- Machinery and equipment procured and delivered by month 22

#### 3. Sanitation and Hygiene
- Schools identified for participation by month 6
- School latrines and hand-washing facilities constructed, commissioned, and made operational between month 21 and month 45
- Hygiene promotion implementation plan prepared by month 8
- Hygiene promotion activities carried out regularly in all schools between month 18 and month 48
- Baseline survey conducted by June 2010, and follow-up surveys in 2012 and 2014

#### 4. Capacity Development for Service Delivery
- Equipment tender documents prepared by month 12 and procured by month 24
- Training plan, performance monitoring system plan, and draft study tour plan developed by month 12
- Training providers identified and contracted and training implemented between month 18 and month 55.
- Performance benchmarking systems developed and implemented between month 36 and month 55
- Study tours and reporting-back workshops carried out between month 18 and month 55

#### 5. Project Implementation Assistance
- PMU and PIU established by January 2009
- Consultants recruited by month 6
- Project implementation assistance provided between month 9 and month 60

### Inputs

For activities 2, 3, and 5:
- ADB ADF loan: $30 million
- Government: $8.5 million

For activities 1 & 4:
- WFPF grant: $1.5 million

---

**Notes:**

- ADB = Asian Development Bank, ADF = Asian Development Fund, O&M = operation and maintenance, PIU = project implementation unit, PMU = project management unit, PPMS = project performance monitoring system, PPP = public–private partnership, UFW = unaccounted-for water, WFPF = Water Financing Partnership Facility, WSS = water supply and sanitation.
Appendix 6

Loan No. 2466–UZB: Surkhandarya Water Supply and Sanitation Project

Quarterly Progress Report
For the Period __________________

A. Overall Status

Project Management
1. Provide comment on present project management structure as compared in the original plan. Please mention any deviation from original plan.

Subproject Selection, Preparation, and Appraisal
2. Same as above.

Implementation Period
3. Same as above

Consultant Recruitment
4. Same as above

Procurement
5. Same as above

Disbursement
6. Same as above

Reporting requirements
7. Same as above

B. Technical Part

<table>
<thead>
<tr>
<th>Performance Targets/Indicators</th>
<th>Progress/Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Sector strategy with long-term and coherent vision and holistic approach to sector development and PPP promotion is prepared and approved by Dec 2011</td>
<td></td>
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<tr>
<td>2. Profile of private operators in the sector is prepared by Dec 2011</td>
<td></td>
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<tr>
<td>3. Road map prepared and adopted by the Government by Dec 2012</td>
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<tr>
<td>4. 19 reservoirs, 47 boreholes, 44 pumping stations, 53 km of trunk mains, and 148 km distribution networks are rehabilitated</td>
<td></td>
</tr>
</tbody>
</table>
5. 8 reservoirs, 11 boreholes, 4 pumping stations, 24.4 km of trunk mains, and 108 km distribution networks are constructed

6. Water meters are installed in 70,000 households, connecting them to the water supply system

7. At least 17 schools are provided with improved latrine facilities and all schools in project areas are provided with piped water supply

8. Hygiene promotion activities are carried out in all schools in the project areas; at least 5 women are trained in each makhalia in the project areas

9. One baseline and 2 follow-up surveys are carried out to gather gender-disaggregated information

10. 8 subproject vodokanals receive new furniture and equipment, and keep them well maintained

11. Customer care units and customer representative groups are established in each vodokanal by 2010

12. Consumer databases are developed and all consumers are registered by 2014

13. Computerized financial management systems are adopted, O&M manual is developed for each vodokanal and adopted

14. Simple performance benchmarking system is developed by 2012, all vodokanals attend performance benchmarking workshops, and the performance benchmarking system is adopted by 2013.

15. Study-tour participants actively discuss and participate in the preparation of the frameworks and WSS strategy, and in running the vodokanal offices throughout the project implementation period. At least 20% of participants in the training activities and study tours are women.

<table>
<thead>
<tr>
<th>Description</th>
<th>Assessment of Progress-to-date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. WSS sector strategy including PPP framework</td>
<td></td>
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<tr>
<td>2. WSS development road map and investment plan for 2020</td>
<td></td>
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<tr>
<td>3. Rehabilitated water supply infrastructure in urban centers of seven districts and Termez City</td>
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<tr>
<td>4. Improved latrines (with hand-washing facilities) in selected schools in project areas</td>
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<tr>
<td>5. Innovative hygiene promotion activities in school communities in project areas</td>
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<tr>
<td>6. Improved and well- maintained Vodokanal</td>
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<td></td>
<td>offices, equipment and infrastructure</td>
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<tr>
<td>7.</td>
<td>Training program to improve operations, management and customer relations skills developed, implemented, and evaluated</td>
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<tr>
<td>8.</td>
<td>Performance monitoring system for participating vodokanals</td>
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<tr>
<td>9.</td>
<td>Study tours to places with good-practice examples</td>
</tr>
</tbody>
</table>

In the event of “nil” activity for any of the above component during the reporting period, “no progress during the period” should be stated under relevant heading with reasons.

C. Financial Part

I. Counterpart Funds

| Amount requested by the Executing Agency for allocation in the annual budget | US$_______ |
| Amount approved by the Government in the annual budget | US$_______ |
| Amount of utilization to date | US$_______ |
| Difficulties in getting the allocated amount released due to budgetary or other procedures |   |

D. Loan Covenants and Other Miscellaneous Matters

Attach Annex 3, Appendix 6 (Loan Covenants)

II. Expected Progress for the next half of the year

*narrative description of the expected progress for the next reporting period*

III. Problems encountered which significantly affected the implementation of the Project / Action Taken and/or Proposed

Problems:

______________________________________________________________________
______________________________________________________________________
______________________________________________________________________

Actions Taken and/or Proposed:

______________________________________________________________________
______________________________________________________________________
______________________________________________________________________
E. Implementation Schedule with Activity and Weights

Attach here the implementation Schedule with Activity and Weights Chart, Sample is in Annex 1, Appendix 6

In Annex 2, Appendix 6, Framework and Guidelines in Calculating Project Progress is attached.

F. Design Changes (if any)

Major or minor changes in project scope, design, costs, and implementation arrangements are described in Project Administration Instructions (PAI) 5.04 which can be downloaded from the following website http://www.adb.org/Documents/Manuals/PAI/default.asp. The approval date of changes should be recorded in the following matrix.

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<tr>
<th>Description</th>
<th>Date Approved by ADB</th>
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</table>
### Loan no. 2466–UZB: Surkhandarya Water Supply and Sanitation Project

#### Project Implementation Schedule

<table>
<thead>
<tr>
<th>Start-up Stage</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>(a) Assigned Weight</th>
<th>(b) Actual Progress</th>
<th>(a) x (b) Weighted Average</th>
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<tr>
<td>Establish PCU and PMU</td>
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<td>Recruitment of Project Director</td>
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<td>Recruitment of Project Staff</td>
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<td>Recruitment of Individual Consultants (Construction Supervision)</td>
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<td>Recruitment of Individual Consultants (Capacity Development)</td>
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<td>Loan Effectiveness</td>
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<td>Prequalification of Contractors</td>
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**Note:** The table details the project implementation schedule with specific actions and their assigned weights for each phase.
<table>
<thead>
<tr>
<th>Description</th>
<th>Weight</th>
<th>Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2 WSS development road map and investment plan by 2020</td>
<td>10%</td>
<td>0%</td>
</tr>
<tr>
<td>2.1 Rehabilitate WS infrastructure in urban centers of seven districts and</td>
<td>20%</td>
<td>0%</td>
</tr>
<tr>
<td>Termez City</td>
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<tr>
<td>3.1 Improved latrines (with hand-washing facilities) in selected schools in</td>
<td>10%</td>
<td>0%</td>
</tr>
<tr>
<td>project areas</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2 Innovative hygiene promotion activities in school communities in project</td>
<td>10%</td>
<td>0%</td>
</tr>
<tr>
<td>areas</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Improved and well-maintained vodokanal offices, equipment and</td>
<td>5%</td>
<td>0%</td>
</tr>
<tr>
<td>infrastructure</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2 Training program to improve operations, management, and customer</td>
<td>5%</td>
<td>0%</td>
</tr>
<tr>
<td>relations skills developed, implemented, and evaluated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3 Performance monitoring system for participating vodokanals</td>
<td>5%</td>
<td>0%</td>
</tr>
<tr>
<td>4.4 Study tours to places with good-practice examples</td>
<td>5%</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Total Weight</strong></td>
<td><strong>100%</strong></td>
<td><strong>0%</strong></td>
</tr>
<tr>
<td><strong>Implementation Progress Weighted Percentage</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Framework and Guidelines in Calculating Project Progress

A. Introduction

1. To ensure that all implementation activities are reflected in measuring implementation progress against the project implementation schedule, the term "physical completion" in the Project Performance Report (PPR) has been changed to "project progress."

2. Physical and pre-commencement activities are considered in calculating project implementation progress. These activities, which may include recruitment of consultants, capacity building, detailed design, preparation of bid and prequalification documents, etc., could constitute a significant proportion of overall implementation and therefore should be counted.

3. Each activity in the implementation schedule will be weighted according to its overall contribution (using time as a reference) to progress of project implementation. These weights will then be used to calculate the percentage of project progress along the entire time span of the project. This is to provide a holistic view of the pace of implementation.

B. Framework for Compiling Activity List and Assigning Weights

4. As implementation activities and their corresponding weights will vary according to the type of project, sector, and country, sector divisions or RMs will be responsible for determining and including them in the project administration memorandum. The actual project implementation progress of these activities should be reported regularly through the EA’s quarterly project progress report. To ensure ADB-wide consistency, the following framework has been established; its application will be monitored through the PPR.

1. Compilation of Activity List

5. Sector divisions or RMs concerned should identify major implementation activities and include them in the implementation schedule, which is attached as an appendix in the report and recommendation of the President (RRP). The implementation schedule should follow the critical path of the project’s major activities in project implementation taking account of various country, sector, and project constraints.

2. Assignment of Weights

6. Corresponding weights for each activity should be assigned to ensure that “project progress” measures the percentage of achievement (nonfinancial except when the project has credit components) for all events during the entire duration of the implementation schedule. To avoid disproportionate assignment of weights, to the extent possible these should be evenly distributed along the implementation schedule. When activities are concurrent, avoid “double counting.”

3. Computation of Project Progress

7. Once all activities are identified and corresponding weights assigned, project progress should be calculated using the following steps:

   (i) Determine the actual percentage progress (nonfinancial) of each activity.
(ii) Multiply these percentages by the assigned weight of each activity to arrive at the weighted progress.

(iii) Add up the resulting weighted progress of all activities to determine the project progress.

Page 3 of this Appendix provides an illustration of this calculation using a generic sample implementation schedule and this Appendix, page 4, a specific example in the education sector.
1. Sum of all weights should equal 100 percent \((a+b+c+d+e+f+g = 100\%)\)
2. When calculating the percentage of "project progress," all completed activities should be counted as accomplished, regardless of when they were scheduled to be completed. For example, when calculating the percentage of "project progress" after year 3, if activity D is completed in year 3 rather than in year 2, it should still be included in the computation.
3. Total weight of each activity is as follows: Activity A–a; Activity B–b; Activity C–c; Activity D–d; and Activity E–\(e + f + g\)
4. Project progress of a project is the summation of the actual percentage of progress for each activity multiplied by the total weight of each activity.
## Sample Implementation Schedule

<table>
<thead>
<tr>
<th>Activities</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>(a) Assigned Weight</th>
<th>(b) Actual Progress</th>
<th>(a) x (b) Weighted Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish PIU</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5%</td>
<td>100%</td>
<td>6%</td>
</tr>
<tr>
<td>Establish Accreditation Board, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Appoint Staff and Budget</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4%</td>
<td>75%</td>
<td>3%</td>
</tr>
<tr>
<td>Adopt Architecture Plans</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2%</td>
<td>100%</td>
<td>2%</td>
</tr>
<tr>
<td>Shortlist Consulting Firms</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6%</td>
<td>100%</td>
<td>6%</td>
</tr>
<tr>
<td>Prepare Fellowship Program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6%</td>
<td>76%</td>
<td>4%</td>
</tr>
<tr>
<td>Prepare Civil Works Tendering</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>30%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Civil Works: Classrooms, Dorms, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Procurement of Furniture and Equipment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>16%</td>
<td>10%</td>
<td>2%</td>
</tr>
<tr>
<td>Field Work of Consultants</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Provide Fellowships</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Conduct Study Tours</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Provide Curriculum Standards</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Total Weight</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>100%</strong></td>
<td></td>
<td><strong>24%</strong></td>
</tr>
<tr>
<td><strong>Imp. Progress</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(a) Assigned weight for each activity  
(b) Actual progress of each activity  
(a) x (b) weighted progress for each activity  
Project progress = sum of all weighted progress for each activity
<table>
<thead>
<tr>
<th>Sector Covenants</th>
<th>Status Date Complied (if required)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Project Executing Agency and Project Implementing Agency</strong></td>
<td></td>
</tr>
<tr>
<td>The Borrower shall designate UCSA as the Project Executing Agency with</td>
<td></td>
</tr>
<tr>
<td>responsibility for the overall Project coordination and implementation, and</td>
<td></td>
</tr>
<tr>
<td>liaison with ADB and government agencies concerned. UCSA shall be directly</td>
<td></td>
</tr>
<tr>
<td>responsible for the planning, design, and development and rehabilitation of</td>
<td></td>
</tr>
<tr>
<td>water supply systems under the Project. The SPG shall be the Project</td>
<td></td>
</tr>
<tr>
<td>Implementing Agency responsible for the day-to-day implementation of the</td>
<td></td>
</tr>
<tr>
<td>Project. (Schedule 5, para. 1 of the LA)</td>
<td></td>
</tr>
<tr>
<td>2. <strong>Project Management Unit</strong></td>
<td></td>
</tr>
<tr>
<td>The Borrower shall ensure that the PMU is established within UCSA. The PMU</td>
<td></td>
</tr>
<tr>
<td>shall be responsible for (a) supervising project implementation, budgeting,</td>
<td></td>
</tr>
<tr>
<td>financial planning, and accounting; (b) carrying out procurement activities;</td>
<td></td>
</tr>
<tr>
<td>(c) providing administrative and technical support to the PIU; (d) preparing</td>
<td></td>
</tr>
<tr>
<td>consolidated Project progress reports and completion report; and (e)</td>
<td></td>
</tr>
<tr>
<td>consolidating Project accounting, auditing and monitoring, and reporting to ADB,</td>
<td></td>
</tr>
<tr>
<td>the Borrower, and other stakeholders. The Borrower shall ensure that</td>
<td></td>
</tr>
<tr>
<td>throughout the Project implementation period the PMU remains headed by</td>
<td></td>
</tr>
<tr>
<td>Project Director and comprised of (a) one deputy project director, who will</td>
<td></td>
</tr>
<tr>
<td>also serve as the sector strategy study manager; (b) a financial</td>
<td></td>
</tr>
<tr>
<td>specialist/accountant; (c) a water supply and sanitation specialist; (d)</td>
<td></td>
</tr>
<tr>
<td>a procurement specialist, (e) a monitoring and environment specialist, (f) a</td>
<td></td>
</tr>
<tr>
<td>driver, and (g) an office manager/translator. (Schedule 5, para. 2 of the LA)</td>
<td></td>
</tr>
<tr>
<td>3. <strong>Project Implementation Unit</strong></td>
<td></td>
</tr>
<tr>
<td>The Borrower shall ensure that the PIU shall be established by SPG in Termez</td>
<td></td>
</tr>
<tr>
<td>to be responsible for the day-to-day implementation of the Project at the local</td>
<td></td>
</tr>
<tr>
<td>level. The major responsibilities of the PIU shall include (a) participating</td>
<td></td>
</tr>
<tr>
<td>in Project planning, detailed design, and bid evaluation; (b) coordinating the</td>
<td></td>
</tr>
<tr>
<td>activities of consultants and contractors; (c) overseeing construction</td>
<td></td>
</tr>
<tr>
<td>activities; (d) coordinating resettlement activities; (e) monitoring the</td>
<td></td>
</tr>
<tr>
<td>environment and social impacts of the Project activities; (f) supervising</td>
<td></td>
</tr>
<tr>
<td>capacity building activities; and (g) preparing and consolidating subproject</td>
<td></td>
</tr>
<tr>
<td>accounting, auditing and monitoring reports for submission to the PMU. The</td>
<td></td>
</tr>
<tr>
<td>Borrower shall ensure that throughout the Project implementation period the</td>
<td></td>
</tr>
<tr>
<td>PIU remains headed by a Project coordinator acceptable to ADB, and comprised of</td>
<td></td>
</tr>
<tr>
<td>(i) a financial special specialist/accountant, (ii) a water supply and design</td>
<td></td>
</tr>
<tr>
<td>specialist, (iii) a monitoring and social and resettlement specialist, (iv) a</td>
<td></td>
</tr>
<tr>
<td>driver, and (v) and an office manager/translator. (Schedule 5, para. 3 of the</td>
<td></td>
</tr>
<tr>
<td>LA)</td>
<td></td>
</tr>
<tr>
<td>4. <strong>Project Steering Committee</strong></td>
<td></td>
</tr>
<tr>
<td>The Borrower shall establish an inter-ministerial PSC to provide overall</td>
<td></td>
</tr>
<tr>
<td>policy direction and guidance, including overseeing Project implementation,</td>
<td></td>
</tr>
<tr>
<td>facilitating cooperation and coordination among concerned agencies, and</td>
<td></td>
</tr>
<tr>
<td>ensuring timely implementation of the policy and institutional reform agenda of</td>
<td></td>
</tr>
<tr>
<td>the Project. The PSC shall be chaired by a Deputy Prime Minister, and</td>
<td></td>
</tr>
<tr>
<td>comprised of senior officials from UCSA, the Borrower’s Ministry of Finance,</td>
<td></td>
</tr>
<tr>
<td>Ministry of Economy, Ministry of Foreign Economic Relations, Investment and</td>
<td></td>
</tr>
<tr>
<td>Trade, State Committee of Natural Protection, Ministry of Health, Ministry of</td>
<td></td>
</tr>
<tr>
<td>Public Education, SPG, and other agencies concerned. The PSC will meet at least</td>
<td></td>
</tr>
<tr>
<td>every 6 months to review and discuss the Project implementation. (Schedule 5,</td>
<td></td>
</tr>
<tr>
<td>para. 4 of the LA)</td>
<td></td>
</tr>
</tbody>
</table>
5. **Project Executing Agency and Project Implementing Agency**
   The Recipient shall designate UCSA as the Project Executing Agency with overall responsibility for Project coordination and implementation, and liaison with ADB and government agencies concerned. UCSA shall be directly responsible for the planning, design, and development and rehabilitation of water supply systems under the Project. (Schedule 2, para. 1 of the GA)

6. **Study Tours**
   The Recipient shall ensure that candidates for study tours are selected through a transparent and competitive process following the criteria agreed with ADB. The Recipient shall also ensure that those who completed the training through the study tours will be required to share the knowledge gained in a reporting-back workshop with wider stakeholders. (Schedule 2, para. 2 of the GA)

7. **Sector Strategy, Roadmap and Investment Plan**
   The Borrower shall ensure that development of a new water supply and wastewater sector strategy (the “Sector Strategy”), a roadmap, and an investment program is carried out in accordance with the agreed process in consultation with stakeholders in the sector so that the agreed Sector Strategy is approved by the Government by 31 December 2011. The Borrower shall keep ADB informed of any major changes in the sector programs and plans that may impact the Project and any future projects to be financed by ADB. (Schedule 5, para. 6 of the LA)

8. **Collection Efficiency and Water Tariffs**
   The Borrower shall ensure that the SPG (a) takes necessary measures to improve the collection efficiency to achieve a collection rate of 90% by 2013; (b) reviews semi-annually and adjusts as necessary the level and structure of water tariffs so that (i) from 2010, each vodokanal will be able to fully recover O&M and capital replacement costs; and (ii) from 2014, each vodokanal will be able to fully recover O&M and capital replacement costs of the water supply scheme under the subproject, serve debt-servicing obligations under the subproject, and maintain a debt service coverage ratio of 1.2:1. (Schedule 5, para. 7 of the LA)

9. **Tariff**
   The Borrower shall ensure that (a) tariff plan is prepared for annual tariff settings that take into account the service costs including inflation, which will be implemented by 10 January 2009; and (b) the tariff to be adopted in January 2010 fully covers the operating cost. The Borrower shall ensure that results of the reviews and adjustments, if any, are reported by UCSA to ADB within three (3) months of each review. (Schedule 5, para. 7 and 8 of the LA)

10. **Water Bills**
    The Borrower shall ensure that the SPG (a) takes appropriate measures, including financial incentives and/or penalties, to reduce the level of water bill arrearages, and (b) protects their water resources and facilities through vigorous prosecution for violations, such as water meter tampering and water theft in accordance with applicable laws of the Borrower. (Schedule 5, para. 9 of the LA)

11. **Financial Covenants**
    **Counterpart Funds**
    Without limiting the generality of Section 6.06 of the Loan Regulations, the Borrower shall make adequate annual budget allocations and release in a timely manner the counterpart funds and other resources, as shall be necessary or required, in addition to the proceeds of the Loan, for the successful implementation of the Project. (Schedule 5, para. 5 of the LA)

12. **Environmental Covenants**
    The Borrower shall, and cause UCSA to, ensure that (a) the Project facilities are
constructed, operated, maintained and monitored in conformity with all applicable laws and regulations of the Borrower, including regulations and standards for environmental protection, health, labor and occupational safety, ADB’s *Environment Policy* (2002), the IEE, and the SIEE for the Project; (b) any adverse environmental impacts during construction and operation are minimized by implementing mitigation measures and monitoring program detailed in the EMMP set forth in the IEE; (c) the progress on the EMMP implementation and any violations of environmental standards are reported to ADB semi-annually in accordance with the specifications set forth in the IEE; and (d) the EMMP is incorporated in the bidding documents. (Schedule 5, para. 10 of the LA)

**Social Covenants**

### 13. Involuntary Resettlement

The Borrower shall ensure and shall cause UCSA to ensure that (a) the Project is carried out in accordance with applicable laws and regulations of the Borrower, ADB’s *Involuntary Resettlement Policy* (1995), and the RP; (b) the RP and due diligence reports are updated based on detailed design of the subprojects, disclosed to all affected persons, and resubmitted to ADB for approval; (c) no civil works contract is awarded for the Djarkurgan subproject until the updated RP has been approved by ADB, and (d) the contractors are not given a notice to proceed under the Djarkurgan subproject until the RP has been implemented in accordance with its terms.

(Schedule 5, para. 11 of the LA)

### 14. Gender and Labor

The Borrower shall cause UCSA to ensure that (a) the GAP is implemented in a timely manner during the Project implementation period, (b) adequate resources are allocated for this purpose, and (c) the implementation of the GAP is closely monitored and reported to ADB through quarterly progress reports.

The Borrower shall cause UCSA to ensure that all civil works contractors (a) employ women and local people, including disadvantaged people, living in the vicinity of the relevant subproject; (b) provide safe working conditions and equal pay to male and female workers for work of equal type; (c) abstain from child labor; and (d) conduct an information and education campaign on sexually transmitted diseases and HIV/AIDS for construction workers as part of the health and safety program at camp sites during the construction period. All civil works contracts shall include specific clauses on these undertakings, and compliance shall be strictly monitored during Project implementation.

(Schedule 5, para. 12 and 13 of the LA)

**Other Covenants**

### 15. During Project implementation, the Borrower shall: (a) apply, and cause UCSA and the SPG to apply, ADB’s *Anticorruption Policy*, it being understood that ADB reserves the right to investigate directly, or through its agents, any possible corrupt, fraudulent, collusive or coercive practices relating to the Project. To support these efforts, the Borrower shall ensure that (i) UCSA includes in the bidding documents for the Project, and in all contracts financed by ADB in connection with the Project the provisions specifying the right of ADB to audit and examine the records and accounts of PMU, PIU and vodokanals, and all contractors, suppliers, consultants and other service providers as they relate to the Project; (ii) periodic inspections of the contractors’ activities related to fund withdrawals and settlements under the Project are carried out; and (iii) the Project auditors have the right to conduct random or spot audits for contract implementation activities under the Project. The cost of this auditing will be borne by the Project; and

(b) cause UCSA to maintain and update its website to present information on externally-funded projects, including this Project. With regard to this Project, the website shall provide information on, among other things, water tariff review procedures, results of annual reviews and adjustments, collection efficiency, financial statements of this Project procurement activities and details on the adopted bidding procedures, amounts of the contracts awarded, the list of
<p>| | |</p>
<table>
<thead>
<tr>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>16. <strong>Maintenance Plan</strong></td>
<td>The Borrower shall cause UCSA to ensure that (a) a set of major repair equipment (such as cranes and excavators) provided under the Project is managed and maintained by the Surkhandarya provincial vodokanal; (b) the Surkhandarya provincial vodokanal prepare, in consultation with vodokanals, a maintenance plan covering the proposed station to place such major repair equipment to be shared by the district vodokanals, standards, procedures, other arrangements for the maintenance and use of such equipment. UCSA shall, by 30 September 2009, submit the draft plan to ADB for review. (Schedule 5, para. 15 of the LA)</td>
</tr>
<tr>
<td>17. <strong>Hygiene Promotion Activities</strong></td>
<td>The Borrower shall cause UCSA to ensure that (a) by 31 December 2009, the implementation arrangements and implementation plan for the hygiene promotion activities are prepared to be carried out in all schools in the Project Area; (b) by 30 June 2010, the hygiene baseline survey is completed; and (c) the follow up surveys are carried out in 2012 and 2014. (Schedule 5, para. 16 of the LA)</td>
</tr>
<tr>
<td>18. <strong>Project Performance Monitoring System</strong></td>
<td>The Borrower shall cause UCSA to ensure that the implementation of the Project, the operation of the Project facilities, and the benefits derived from the Project are monitored and evaluated annually by the PMU. Within six (6) months of the Effective Date, a PPMS shall be established by UCSA. The establishment of baseline data and benchmarks, collection of information, monitoring and evaluation of benefits, and evaluation of social impact, shall be undertaken by the PMU with the consultants support. Data collection shall be carried out (a) prior to physical implementation of each subproject in conjunction with socioeconomic surveys, (b) regularly during Project implementation, and (c) for three (3) months after physical completion of the Project. The results shall be incorporated into the Project progress and completion reports. (Schedule 5, para. 17 of the LA)</td>
</tr>
<tr>
<td>19. <strong>Project Reviews</strong></td>
<td>The Borrower, UCSA and ADB shall jointly conduct semi-annual reviews during the first two (2) years of the Project, and annual reviews thereafter. A comprehensive mid-term review shall be undertaken after the third year of Project implementation. These reviews shall include evaluation of project implementation arrangements, detailed evaluation of the Project scope, the actual implementation progress, resettlement and environment safeguards, community involvement, health education and hygiene practice, feedback from the PPMS, performance of consultants, institutional and capacity development progress, and possible reallocation of the Loan and Grant proceeds. The cost recovery mechanisms for each subproject shall also be evaluated and remedial action shall be instituted as needed. (Schedule 5, para. 18 of the LA)</td>
</tr>
</tbody>
</table>
AUDIT REQUIREMENT

A. Introduction

1. Article 14 (xi) of ADB’s Articles of Agreement (the Charter) provides that ADB loan proceeds be used only for the purposes for which the loan/grant was approved with due attention to economy and efficiency. To meet these requirements, executing agencies (EAs) are to submit audited project accounts (APA) regularly during project implementation, and, in some cases, until the loan/grant has been fully repaid. Requirements would be defined by the ADB letter as shown in the attached sample as Annex 1.

2. A management letter, by reporting entity, is also required. The management letter is a report on the internal controls and operating procedures of the entity covering all aspects included during the normal course of the audit. For non-revenue generating EAs, that do not submit AFS, a management letter should be provided covering internal controls and procedures associated with the maintenance of project accounts and preparation of APA.


B. Audit Objective and Scope

4. An audit’s overall objective is for the auditor to express an opinion as to whether the financial statements present a true and fair view of the project and, where applicable, of the EA, or are similarly presented fairly in all material respects, in conformity with International Audit Standard (IAS) or other ADB-accepted standards, and applied on a basis consistent with that of the preceding year.

5. The auditor’s opinion is necessary to establish the credibility, or otherwise, of the financial statements of an EA. The examination should be of such scope and depth to allow the auditor to give an opinion and make a report on the veracity, accuracy and fairness as regards the presentation of the financial statements of an EA.

a. ADB Requirement

6. ADB requires the borrower and the EA to have the required financial statements for each year audited by an independent auditor acceptable to ADB, and in accordance with standards on auditing that also are acceptable to ADB (see attached letter). An Audit Checklist (Annex 2) has been prepared by ADB to guide the auditor on the items required by ADB in the audit of the project expenditures. Furthermore, an audit of such financial statements includes:

   (i) an assessment of the adequacy of accounting and internal control system with respect to project expenditures and other financial transactions, and to ensure safe custody of project-financed assets;
   (ii) a determination as to whether the borrower and project implementing entities have maintained adequate documentation on all relevant transactions;
   (iii) confirmation that expenditures submitted to ADB are eligible for financing and identification of any ineligible expenditures; and
(iv) compliance with loan covenants and ADB’s requirements for project management.

7. An audit report must include: (i) title of the auditor; (ii) date of the report; (iii) addressee (EA and/or borrower); (iv) identification of the financial information audited; (v) a reference to auditing standards or practices followed; (vi) an expression of opinion, including a qualification; disclaimer or declining of an opinion, on the financial information; (vii) the auditor’s signature; (viii) auditor’s address; and (ix) date of signing of the report.

b. Audit Procedures

8. Auditors engaged to audit project expenditures should understand the project and the entity being audited, including the contents of the Report and Recommendation of the President (RRP) and legal agreements.

9. ADB expects audits to include: (i) an examination of assets and liabilities; (ii) an examination of commitments and contingent liabilities; (iii) confirmation of debtors, creditors and inventory; (iv) an audit of statement of expenditure procedures [SOEs (where required)] as part of the overall project audit; and (v) an audit of the imprest accounts (if required). Audited financial statements provided to ADB in accordance with the Loan and Grant Agreements should be accompanied by the report of the auditor that contains their opinion on the financial statements. An example of an audit letter is in Annex 3.

c. Auditor Selection and Appointment

10. ADB will ask the borrower to remove unacceptable restrictions, or otherwise arrange for an acceptable audit to be conducted. A borrower is responsible for the selection, appointment and performance of an auditor. ADB wishes to be informed by a borrower of an ongoing or proposed appointment of an auditor, who should meet required standards in terms of independence, experience and competence. More specifically, ADB will indicate the acceptability of an auditor in the form of “no objection”.

11. An auditor to be acceptable to ADB must be:

   (i) impartial and independent of the control of the entity to be audited and of the person appointing them. In particular, they should not, during the period covered by the audit—be employed by, serve as directors of, or have family, financial, or close business relationships with the entity, except as auditors, during the period of the audit;
   (ii) well established and reputable, use procedures and methods confirming with international audit standards and employ adequate staff with appropriate skills and competence required for their responsibilities;
   (iii) experienced in types of assignments they are to undertake for the ADB project; and
   (iv) able to fulfill their terms of reference within the specified timetable.

C. Monitoring Compliance with Submission of APA

a. Three Months before the Due Date

22. ADB reminds the EA and implementing agency (IA) three months before APA or AFS is due.
b. **On the Due Date**

23. When the APA or AFS is not received by the due date, ADB immediately writes to the EA and IA stating that the APA or AFS is overdue and, if it is not received within six months, requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.

c. **Six Months after Due Date**

24. When the APA or AFS is not received within six months after the due date, ADB will hold processing of requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters. ADB informs the EA and IA of ADB’s actions and advises that if the situation is not remedied within next six months, the loan may be suspended.

d. **Twelve Months after the Due Date**

25. When the APA or AFS is not received within 12 months after the due dates, ADB determines whether the loan is to be suspended. With joint reference to the Regulations, ADB recommends loan suspension to ADB Management.
Financial Reporting and Auditing Requirements

12. This letter is generally to seek your timely compliance with the grant covenants and the quality of financial information as required by ADB. ADB's *Financial Reporting and Auditing of Projects Financed by ADB* is enclosed to guide you. You will note (para 4 below) that the audit for 2009 will become due by end June 2010.

13. ADB, by its Charter, is required to ensure that the proceeds of any loan and/or grant made, guaranteed, or participated in by ADB are used for the purposes for which the loan and/or grant was/were approved. ADB requires accurate and timely financial information from its borrowers to be assured that expenditure was for the purposes stated in the grant agreement.

14. For this loan and grant, the following are the main requirements:

- **ADB requires** the EA to maintain separate project accounts and records exclusively for the Project to ensure that the loan and grant funds were used only for the objectives set out in the Loan and Grant Agreements. The first set of project accounts to be submitted to ADB covers the fiscal year ending 2009. They are to be submitted within 6 months after the end of the fiscal year. For this Loan and Grant, the deadline is by June 2010. A sample report format with explanatory note is attached as Annex A.

- The accounts and records for the Project are to be consistently maintained by using sound accounting principles. Please stipulate that your external auditor is to express an opinion on whether the financial report has been prepared using international or local generally accepted accounting standards and whether they have been applied consistently.

- ADB prefers project accounts to use international accounting standards prescribed by the International Accounting Standards Committee.

- Please ensure that your external auditor specifies in the Auditor's Report the appropriate auditing standards they used, and direct them to expand the scope of the paragraph in the Auditor's Report by disclosing the key audit procedures followed. Your external auditor is also to state whether the same audit procedures were followed for all supplementary financial statements submitted.

- ADB wishes that auditors conform to the international auditing standards issued by the International Federation of Accountants. In cases where other auditing standards are used, request that your external auditor indicate in the Auditor's Report the extent of any differences and their impact on the audit.
The external auditor's opinion is also required on whether:

(i) the proceeds of the ADB's loan and grant have been utilized only for the Project as stated in the Loan and Grant Agreements;
(ii) the financial information contains data specifically agreed upon between the Uzbekistan Republic and ADB to be included in the financial statements;
(iii) the financial information complies with relevant regulations and statutory requirements; and
(iv) compliance has been met with all the financial covenants contained in the Loan and Grant Agreements.

The Auditor's Report is to clearly state the reasons for any opinions that are qualified, adverse, or disclaimers.

Actions on deficiencies disclosed by the external auditor in its report are to be resolved by the Uzbekistan Republic within a reasonable time. The external auditor is to comment in the subsequent Auditor's Report on the adequacy of the corrective measures taken by the Ministry of Finance.

15. Compliance with these ADB requirements will be monitored by review missions and during normal Project supervision, and followed up regularly with all concerned, including the external auditor.

Very truly yours,

Hong Wei
Country Director
Uzbekistan Republic Resident Mission
# Appendix 7

## Annex 3

### AUDIT COMPLETION CHECKLIST

*(To be completed by External Auditor of EA/Borrower and returned with the auditor's report)*

### I. CHECKLIST OF ITEMS TO BE REPORTED TO ADB

#### A. Accounting/Auditing Standards

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
<th>Ref.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Was the audit conducted in accordance with generally accepted auditing standards? For revenue earning EAs/Borrowers, do the financial statements indicate whether generally accepted accounting principles were applied on a basis consistent with that of the preceding year.</td>
<td></td>
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</tbody>
</table>

#### B. Opinion/Findings

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
<th>Ref.</th>
</tr>
</thead>
</table>
| 2. | Does your audit report include an opinion as required by the Bank on the:  
• utilization of loan and grant funds?  
• compliance with specific covenants?  
• use of imprest funds?  
• statement of expenditure procedures?  
• conformity with ADB’s procurement guidelines? (Splitting of payments to avoid ADB approval thresholds)  
In addition, for revenue earning EAs/Borrowers, does your audit report include an opinion covering all the applicable financial statements? |  |  |  | |
| 3. | Are significant findings included in detail, such as:  
• utilization of loan and grant proceeds (e.g. diversion of ADB funds, utilization for aspects where counterpart funds should have been used, etc.)  
• project implementation (delays, bottlenecks, procedural lapses in procurement to the extent it comes to your attention)  
• statement of expenditures [also refer to Section IIA5(b) of this checklist].  
• imprest fund [also refer to Sections IIA1(b) and IIA5(c) of this checklist].  
• agreed upon matters by the Bank and Borrower that require special audit attention.  
• for revenue earning EA/Borrower, significant increases/decreases in balances in financial statements between past/present fiscal year, significant bad debts, unrecorded liabilities, etc. |  |  |  | |
| 4. | Did your audit examine the efficiency of systems of internal control? If so, does your audit report disclose any material deficiencies or weaknesses in the accounting system or overall system of internal control. |  |  |  | |

### II. CHECKLIST OF AUDIT PROCEDURES THAT WERE PERFORMED

#### A. ADB Project Funds

##### 1. Utilization of ADB funds

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>Were ADB funds utilized for the purpose as indicated in the loan and grant agreements?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Were ADB funds, including withdrawals from imprest account, used against aspects meant to be funded out of counterpart funds?</td>
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</table>
### Annex 2

#### 2. Bank Account

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>Where applicable, were funds received from different sources kept in different cash books and bank accounts (e.g. ADB fund kept separately from counterpart funds)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Was reconciliation of balances per cash book and per bank account performed regularly, including the imprest account? Was bank balance independently checked by the auditor?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Is the bank account maintained in the name of the institution and not in a personal name? Is separate bank account maintained in the name of any officials in addition to the above? If so, has any withdrawal been made for credit to the above account?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d.</td>
<td>Were checks kept in sequential order and were any missing checks reported to the Project Manager/Director? Was action taken on stale checks?</td>
<td></td>
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</table>

#### 3. Procurement

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>a.</td>
<td>Was International Competitive Bidding/International Shopping/National Competitive Bidding/Direct Purchase or Single Tender/Limited Tendering or Repeat Order/Force Account followed as per ADB’s guidelines?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Was approval obtained from ADB for various procurement, whenever required?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Was contract split to avoid prior approval from ADB?</td>
<td></td>
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<tr>
<td>d.</td>
<td>In regard to supplementary contract(s), was price allowed significantly higher than that in the original/main contract?</td>
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</tbody>
</table>

#### 4. Payments authorized by EA/Borrower

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>Were expenditures prepared/signed by Project Accountant and authorized by Project Manager/Director or the designated staff? Indicate any finding based on review of propriety of expenditure.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Where applicable, were payments claimed in running bill reconciled to the measurement book?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Where applicable, was there any monitoring mechanism for ensuring the full recovery of mobilization advance?</td>
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</table>

#### 5. Withdrawal Application

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>Were withdrawal applications submitted in anticipation of expenditure?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>In case of claims under SOE, were amounts split to avoid submission of supporting documents.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Was request for imprest account (replenishment/first request) submitted when the need for funds would arise much later?</td>
<td></td>
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</tbody>
</table>

Approved by:

_____________________________

External Auditor
SAMPLE AUDIT LETTER

IMPREST ACCOUNT

We have examined the Statement of Imprest Account of ADB Loan No. 2466 and Grant No. 0131-UZB: Surkhandarya Water Supply and Sanitation Project for the period DD MM YY up to DD MM YY, pursuant to the Loan and Grant Agreements dated DD MM YY.

Our examination was made in accordance with generally accepted auditing standards emphasizing the adequacy and completeness of the supporting documents of the Imprest Account and other auditing procedures as we considered necessary in the circumstances.

In our opinion, the Statement of Imprest Account and supporting documents and information submitted with them can be fairly relied on to support the applications for reimbursement/payment in accordance with the Asian Development Bank’s (ADB) requirements as set out in the Loan and Grant Agreements.

STATEMENT OF EXPENDITURES

We have examined the Statement of Expenditures submitted to ADB during the period in support of applications for liquidation of the Imprest Account pursuant to the above mentioned Loan and Grant Agreements. Our examination was made in accordance with generally accepted auditing standards and, accordingly included such tests of the accounting records, verification of assets and other such auditing procedures as we considered necessary in the circumstances.

In our opinion, the Statement of Expenditures submitted, together with the internal control and procedures involved in their preparation, can be fairly relied on to support the applications for liquidations in accordance with the requirement of the above mentioned ADB Loan and Grant Agreements.
Appendix 8
Page 1

TERMS OF REFERENCE
Detailed Design

1. Detailed project and tender documents on construction works should be developed under each subproject and correspond to Management of ADB on procurements.

2. General designer (Adviser) needs to give all prospecting (switching hydro-geological) and design services in preparation tender documents and detailed projects divided on three priorities, so that the realization of various components of the project was carried out according to procedures and Diagram of ADB and Uzbekistan. Adviser also should give services in expert support by the customer and contractor design and tender documents and field supervision for construction work which are carried out by the local or international contractors.

3. Adviser should lead all additional researches both prospecting works and any other services described in the given document for achievement of the purposes of the project.

4. Feasibility Study is developed by "ISLOHOTKONSA LTSERVIS" LTD, Tashkent city. Given Feasibility Study will be given to Adviser.

5. Adviser will work in close cooperation with Group of Project Management Unit (PMU), Project Implementation Unit (PIU) of Surkhandarya region, water supply organizations, and representatives of village communities and Advisers for management of project. Adviser (General designer) will bear full responsibility for interpretation all received or assembled information, submitted conclusions and recommendations.

6. By development of documentation the designer should be guided by following conditions:

   (i) Components of project should be directed on decision of basic problems of drinking water supply and sanitation of population living in district centre and rural settlements of Surkhandarya region;
   
   (ii) Components of project should correspond to Feasibility Study to reflect strategy in system of water supply developed by Government of Republic of Uzbekistan, and to not contradict design strategy spent within the bounds of other works, financed by the international funds and Republic of Uzbekistan;
   
   (iii) Population covered with the project, should take part in its realization;
   
   (iv) Components of project should be developed so that to greatest degree promote availability of water supply to all population living in design settlements and to pay special attention to needy, socially vulnerable layers of population and women;
   
   (v) Accepted technical decisions on Components of project should be proved and economic;
   
   (vi) Subprojects should correspond to ecological requirements of Republic of Uzbekistan and ADB;
   
   (vii) Structures, equipment and materials given within the bounds of subprojects, should have rate and characteristics appropriate to calculated requirements, subject to the future expansion of water supply systems;
   
   (viii) Duration of performance of researches and development of separate parts of project is accepted within the limits of terms specified in "Diagram of works performance";
Components of project should be developed with condition of opportunity of their construction during the period of subprojects' realization, according to Diagram of works performance;

To provide the maximal application in project of modern durable pipes; modern pump, chlorination equipment, automatics both dispatching and introduction of modern methods of water measurement on main conduit and inputs in houses.

**Necessary professional skills of Adviser**

7. The adviser should supply attraction of qualified experts on following posts:

<table>
<thead>
<tr>
<th>No</th>
<th>Post</th>
<th>Quantities of works</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Chief engineer of project</td>
<td>Responsible for organization and duly execution of all works on development design and tender documents including prospecting works, coordination and realization of all components of Feasibility Study of object, conformity of Project to requirements both standards of Republic of Uzbekistan and international norms, coordination tender documents with all interested organizations. Realization of examination and architectural supervision.</td>
</tr>
<tr>
<td>2</td>
<td>Leader of group of engineers on water supply</td>
<td>Responsible for study of existing condition of water supply systems and choice of appropriate system of water distribution in view of site of construction of water intake structures or structures of water distribution. Interaction with the topographers and adjacent experts. Performance of hydraulic account, choice of material and types of connection of pipes, arrangement of pipelines, definition of quantity both site stop valve and measuring-fixture; designing of structures of technological systems -pump stations of 1” and 2nd rises, tanks, chlorination; selection pump and chlorination equipment. Conducting architectural supervision.</td>
</tr>
<tr>
<td>3</td>
<td>Leader of construction group</td>
<td>Responsible for architectural -building part of project, designing new both reconstruction of existing buildings and structures in view of normative requirements and local conditions. Performance of all necessary accounts on metal and concrete designs, choice of building materials. Designing of general plans, access roads, accomplishment and protection of sites of water structures. Conducting architectural supervision.</td>
</tr>
<tr>
<td>4</td>
<td>Leader of group of electrical engineer/ automatic</td>
<td>Responsible for designing of electrosupply of new design sites or reconstruction working (choice of transformer - substations, switching centers, systems of electroprotection and grounding, power supplies of engines, outside and internal illumination), connection to existing system of external electrosupply. Designing of systems of automation of objects. Conducting architectural supervision</td>
</tr>
<tr>
<td>5</td>
<td>Leader of group of engineers of heating-ventilating system</td>
<td>Responsible for designing of heating-ventilating systems in new and reconstruction structures. Conducting architectural supervision</td>
</tr>
</tbody>
</table>
| 6  | Engineer-hydrogeologist                   | Responsible for check of data "Uzbekgidrogeologiya" about presence of underground waters in design areas and
8. The Adviser should involve in work quantity necessary for it for the qualified experts, sufficient for duly realization of additional researches and development of design documentation according to Diagram of works performance.

9. **Reports, materials given on consideration, diagram of works performance**

   Documentation and drawings should be submitted in Russian and English languages. Diagram of works performance will be submitted in given below Table (diagram is updated during contact negotiation for reflection of actual date started of realization of Contract), which defines time for completion given in months from the moment of award of Contract, on various components and phases of design works given on Contract. The adviser will develop own detailed program on basis of following information and any additional information, which can be submitted by customer during granting services.

10. **Information, local services, personnel and other, render by Customer**

    Customer will give the following data:

    1. Feasibility Study developed by "ISLOHOTKONSALTSERVIS", Tashkent city
    2. Architectural -designing tasks
    3. Specifications


<table>
<thead>
<tr>
<th>No</th>
<th>Kinds of Works</th>
<th>Term of Performance</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td><strong>Subprojects of I priority (Angor, Kizirik, Muzrabad) by stages of each subproject</strong></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Realization engineering survey (geological, hydro-geological, topographical, etc.)</td>
<td>15 May 2009–15 July 2009</td>
</tr>
<tr>
<td>1.2</td>
<td>Development detailed design and bid documentation</td>
<td>1 July 2009–1 October 2009</td>
</tr>
<tr>
<td>1.3</td>
<td>The coordination and examination of the documentation</td>
<td>1 October 2009–1 November 2009</td>
</tr>
<tr>
<td>II</td>
<td><strong>Subprojects of II priority (Jarkurgan Shurchi, Surkhan) by stages of each subproject</strong></td>
<td></td>
</tr>
<tr>
<td>2.1</td>
<td>Realization engineering survey (geological, hydro-geological, topographical, etc.)</td>
<td>16 July 2009–1 October 2009</td>
</tr>
<tr>
<td>2.2</td>
<td>Development detailed design and bid documentation</td>
<td>1 Septeber 2009–15 December 2009</td>
</tr>
<tr>
<td>2.3</td>
<td>The coordination and examination of the documentation</td>
<td>16 December 2009–15 January 2010</td>
</tr>
<tr>
<td>III</td>
<td><strong>Subprojects of III priority (Sarasiya, Kumkurgan, Termez) by stages of each subproject</strong></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>Realization engineering survey (geological, hydro-geological, topographical, etc.)</td>
<td>1 November 2009–1 February 2010</td>
</tr>
<tr>
<td>3.2</td>
<td>Development detailed design and bid documentation</td>
<td>1 January 2010–1 June 2010</td>
</tr>
<tr>
<td>3.3</td>
<td>The coordination and examination of the documentation</td>
<td>1 June 2010–1 July 2010</td>
</tr>
</tbody>
</table>
UZB: Surkhandarya Water Supply and Sanitation Project

Terms of Reference
—Sector Strategy and Investment Program Preparation

1. The study will promote the economic use of water resources and improve the performance and efficiency of the water supply and wastewater management sector in Uzbekistan, by helping the Government articulate a coherent vision and strategy for the development of the sector. The study will at the same time enable the Government to coordinate more effectively the activities of its development partners in the sector, and specifically identify areas proposed for ADB’s support during 2010 to 2020.

2. The study, which will be implemented over 2 years, will require a total of 137 person-months of consulting services: 27 international and 110 domestic. An international consulting firm in association with domestic consultants will form a team to provide the services. The international consulting services will cover urban water supply and sanitation, rural water supply, water resource planning, institutional development, regulatory framework, and private sector participation. The domestic consulting services will cover urban water supply and sanitation, rural water supply, water resource management, wastewater management, irrigation and drainage, social analysis, environment, institutional development, resource economics, regulatory framework, legislation, and water quality. The team leader (international, 10 person months) should have expertise in water supply and sanitation with experience in institutional development and strategy formation. The tasks to be undertaken by the consultant team will include (but not limited to) the three Phases of work described below.

Phase I: Developing an Integrated Water Sector Profile

(i) review and summarize the Government’s development goals for the water and wastewater subsectors;
(ii) review and describe the current status of the subsectors, with respect to efficient utilization of land and water resources, water rights, system infrastructure, and policy and institutional frameworks;
(iii) review and select demand and supply projections at a regional level over the next 20 years, based on a range of economic and social development scenarios;
(iv) present the projections for resource availability, water use forecasts by subsector, and water quality forecasts;
(v) analyze existing and emerging areas of water use competition and conflicts among water subsectors;
(vi) review current water use allocations, management, and coordination mechanisms and procedures; assess the strengths and weaknesses of the mechanisms and procedures; and recommend actions to enhance the economic allocation and use of water resources; and
(vii) identify an action agenda incorporating improvements in stakeholder awareness, institutional arrangements, coordination framework for effective and sustainable water use, legal and regulatory base, information base, capacity development, and resolution of other subsector management issues.
Phase II: Formulating a Water Supply and Wastewater Development Strategy

(i) assess roles and responsibilities of government agencies in water supply and wastewater, examine the strengths and weaknesses of the present organizational setup for the water supply and wastewater subsectors, and propose any changes for improvement;

(ii) review the Government policies, strategies, and development plans that govern or affect the development of the water supply and wastewater sector;

(iii) review the previous strategic studies on subsector development, including those related to private sector participation;

(iv) review the design and service standards, quality control and enforcement, and pricing mechanisms in the water supply and wastewater sector;

(v) carry out an in-depth analysis on the status of existing water supply and wastewater facilities and their performance; relate the analytical results to the major performance targets in the sector; identify gaps; and analyze the major obstacles to filling these gaps

(vi) review the roles of interregional/regional trunk mains in the water supply subsector, explore and examine other options, and assess future necessities and roles of interregional/regional trunk mains in supplying water to their respective servicing areas;

(vii) summarize and assess the current water supply and wastewater management models for urban and rural settlements, explore and recommend alternative models for water supply and wastewater management, particularly for rural water supply where piped water supply networks covering large service areas are not considered as economical;

(viii) assess the capacity of the government officials and service providers in the water supply and wastewater sector;

(ix) review the sector’s financing mechanisms;

(x) review experiences in private sector participation (PSP) in the water and wastewater sector, and analyze the factors that have contributed to the success or failure of these experiences;

(xi) review and map existing/potential private sector operators in the water and wastewater sector;

(xii) review the existing models of PPP in the sector;

(xiii) present a complete list of PPP operational models including: their definition; their weaknesses and strengths; operating mechanisms; design and implementation procedures; roles and responsibilities of government agencies, the regulator, and the private sector; and applicable conditions for each model;

(xiv) identify constraints to PSP in the water supply and wastewater sector, particularly the legislation, institutional and regulatory framework;

(xv) develop legislative base and mechanism for introducing new water system management methods, including: attracting private sector to manage and operate water supply through concession agreements; establishing water committees (water user associations) in rural areas to operate, maintain, and develop local water supply systems; transferring water distribution and bill collection functions to private sector;

(xvi) identify measures to address the constraints that limit PSP in water supply and wastewater service provision;

(xvii) prepare a PPP framework, presenting the findings and recommendations from the strategic study concerning PSP in the water supply and wastewater sector, identifying strategic priorities for promoting PSP, and recommending an action
plan with a holistic and systematic approach to supporting PSP in the water supply and wastewater sector;

(xviii) explore the potential of applying an appropriate PPP model in the Surkhandarya Water Supply and Sanitation Project; and design and assist implementing a pilot PPP project under the Project, if potentially beneficial;

(xix) based on the findings from the review and analytical work, which identified the subsector constraints and weaknesses, i.e. restructuring for economic scale, least costs technical options/models, corporate governance and management, regulatory framework and proper PPP models, tariff and cost recovery, and capacity development; recommend the needed reforming, restructuring, reorganization, institutional strengthening, and capacity development interventions to address these constraints and weaknesses, and prioritize the needed interventions; and

(xx) prepare, in close collaboration with the Government, a strategy for development of the water supply and wastewater sector, which articulates a coherent vision and targets for sector development, principles for making demand and investment projections, needed interventions in addition to physical investment, and prioritization criteria for investment and other interventions in the subsector.

Phase III: Preparing a Water Supply and Wastewater Development Roadmap and Investment Program

(i) based on the strategic intervention and prioritization criteria identified under the sector strategy, prepare a comprehensive sector development roadmap incorporating: (a) examination of the appropriate technical options, (b) setting a strategic direction and priorities for sector reforms, and (c) inclusion of capacity building and private sector participation;

(ii) identify the investment needs in the sector based on the vision and targets articulated in the strategy, and apply the prioritization criteria to the investment needs;

(iii) formulate a strategic investment plan which includes the investment needs for physical infrastructure and other interventions through 2015, 2020, and 2025;

(iv) recommend high-priority infrastructure investment and intervention packages for ADB’s support; further define the scope of each infrastructure investment and action package; and develop terms of reference for major feasibility studies.
PROPOSED APPROACH TO FOSTER PRIVATE SECTOR INVOLVEMENT IN WATER SUPPLY SERVICES

A. Introduction

The creation of a competitive environment for communal services provision has been the Government of Uzbekistan (GOU)'s goal since the late 90’s.

As agreed with the GOU, a proportion of WFPF\(^1\) $1.5 million grant financing for Surkhandarya Water Supply and Sanitation (WSS) project will be used to develop private sector participation in the provision of water services, under the Strengthening Sector Strategy and Management component.

This note outlines the approach to reach this target, in urban areas unable to attract international operators. It has taken into account the GOU’s previous related works with donors' assistance (World Bank, KfW, EBRD), and the suggestions from MOF, MOE, and MOFERIT.

B. Approach

The objective is two-fold:

(i) **Establish a Public Private Partnership (PPP) model.** A legal, regulatory, and contractual framework will be designed to allow local governments to engage private operators, through management or lease contracts,\(^2\) following a competitive selection. The operator will be responsible for supplying water, maintaining the network, billing customers, and collecting payments. The local government and the local vodokanal will keep ownership of the infrastructure and the responsibility for all investments.\(^3\)

(ii) **Help domestic private players set up in the water services market.** Currently, state-owned enterprises have the monopoly to provide water services in urban areas. For Tashkent, Samarkand, and Bukhara, international private operators are a potential alternative to the public water utilities. For other cities and towns, no alternative exists, unless domestic private operators are set up. The barriers to entry into the water services market make it difficult without the GOU’s support.

This objective will be achieved through:

- inviting selected private parties to participate in the design of the PPP model with the GOU,
- strengthening the selected private parties’ capacity to operate water services,
- implementing pilots with the newly established operators to test the PPP model.

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\(^1\) Water Financing Partnership Facility.

\(^2\) In a management contract, the operator earns a performance-based fee from the lessor. In a lease contract, the operator earns the payments collected from the customers, but pays a rent to the lessor.

\(^3\) Khorezm Rural Water Supply Project, financed by KfW in 1998, is Uzbekistan’s unique experience of water services provision by the private sector. This model allows the operator to own the water distribution system; therefore it appears unsuitable for urban water supply. In Bukhara and Samarkand Water Supply Project, financed by the World Bank in 2002, the international operator hired through a service contract, was not directly responsible for providing water services to the population.
This pragmatic approach should avoid creating a theoretical and inefficient PPP framework.\(^4\)

The implementation steps are the following:

(i) Request for Expression of Interest from domestic private parties willing to set up in the urban water services market\(^5\).
(ii) Selection of 2 private parties\(^6\) to participate in the PPP design process with the GOU, and in the pilot projects. The selection will be based on criteria the GOU will establish.
(iii) Design of the PPP framework through extensive meetings between the GOU, the local governments, and the private parties. External specialists will assist in conducting the meetings and drafting the documentation.
(iv) Implementation of 2 PPP pilots with the selected operators, respectively in 2 Surkhandarya WSS subprojects. The concerned parties will agree on the pilots' location, duration, and performance targets.
(v) Implementation of a pilot competitive bidding for a PPP contract on a third Surkhandarya subproject, if the PPP pilots are successful, according to the performance indicators.
(vi) Mainstreaming of the PPP model.

For large cities, the engagement of an international water operator through a management, lease, or concession contract should be tackled in a separate program, as it raises many specific issues, especially regarding the implementation of a pilot.

Tariff setting and performance benchmarking are two crucial issues to allow private sector involvement. A separate working group will address these topics, under the WFPF grant financing.

C. Implementation Arrangements

Prior to commencement of the PPP design process, the GOU and the private parties will enter into a Cooperation Agreement describing:
- The objective of the cooperation.
- The terms of the cooperation.
- The rights and obligations of each party.

A Cabinet of Ministers’ official will be appointed as Director of a working group formed by officials of the following parties:
- MOF
- UCSA
- Hokhimyats concerned by the pilots
- Vodokanals concerned by the pilots
- The private operators
- ADB

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\(^4\) This approach has been inspired by Khorezm Rural Water Supply Project.
\(^5\) An initial survey will identify domestic companies potentially capable of starting this activity, such as consulting, engineering, and building firms working in the water sector.
\(^6\) Above 2, the PPP design process will be complicated by the number of participants involved.
Meetings will be held for up to 18 months, and are tentatively scheduled to start from June 2009.

Draft documentation will be circulated between the meetings.

Proposed experts team:

- Project manager (international)
- Sector economist/financial specialist (international)
- Local coordinator (local)
- Legal expert (local)

D. Output

- Standard PPP Contract
- Standard Subscriber Contract
- Report on the necessary changes to the legal and regulatory environment
- Draft Cabinet of Ministers Resolutions
- Draft PPP Guidelines and Methodology Documents
- PPP contracts signed with the private operators for the provision of water services in 2 Surkhandarya subprojects
UZB: Surkhandarya Water Supply and Sanitation Project

Terms of Reference
—Capacity Development

NATIONAL TRAINING SPECIALIST

A. Introduction

1. A total of 10 person-months of national consulting will be financed under the capacity development component to assist the Government of Uzbekistan (the Government) in developing and implementing training activities under the Surkhandarya Water Supply and Sanitation Project. Grant financing has been made available by ADB’s Water Financing Partnership in order to increase the capacity of vodokanals participating in the Project.

2. The capacity development component builds on the results/recommendations of the capacity assessment and performance diagnosis of vodokanals carried out during the preparation stage by: (a) implementing the recommended reforms and capacity development programs to improve: (i) corporate governance, (ii) business planning, (iii) financial management and accounting, (iv) tariff setting and billing and collection, (v) operation and maintenance, (vi) customer relationship, and (vii) performance measurement and benchmarking etc, and (b) establishing an internal capacity development facility for WSS enterprises that can accumulate the capacity development knowledge and products and utilize them for other WSS enterprises beyond the project.

3. The consultants should be familiar with operational policies and procedures of ADB and the Government, and have experience in involving stakeholders in planning, designing, and implementing capacity development and training programs for water supply and sanitation projects. The consultant will work closely and coordinate their work with all parts of the capacity development component and ensure that the timing of training activities and study tours are synchronized with the requirements of the vodokanals during design, construction and post-construction/commissioning activities. The consultant will also work closely with the Social, Poverty and Gender Specialist in developing training activities for Mahalla Committees, communities, school teachers and households and with the Performance Monitoring and Benchmarking Specialist in designing training activities that might support the performance monitoring process.

B. National Consultant

4. The specialists will undertake the following activities:

   (i) solicit training expectations and proposals from the vodokanals and other key stakeholders;
   (ii) carry out a training needs assessment and review existing training curriculum;
   (iii) develop a training curriculum, identify service providers and prepare and agree an implementation plan;
   (iv) monitor the efficacy of training activities;
   (v) carry out improvements to the training activities;
   (vi) monitor the office conditions of vodokanals;
   (vii) support the development of study tours and follow up on the report-back workshops and reports prepared after study tours
   (viii) collaborate on the performance monitoring and benchmarking activities
C. Detailed Tasks

Part 1: Training Program Development, Implementation and Monitoring

5. A training program shall be undertaken that shall consist of the following:

   (i) **Inception Workshop.** The inception workshop would be oriented to the needs of current professional staff of the PMU, vodokanals and relevant agencies and stakeholders regarding training and capacity development.

   (ii) **Analysis of Training Needs.** Conduct a training needs analysis to: (1) establish priorities for training and the schedule of training needs; and (2) interview existing staff at various levels to determine what training they perceive as necessary in order to perform these jobs successfully.

   (iii) **Development & Implementation of a Master Training Plan.** From the plans and objectives, a preliminary training program will be established. The master plan would include a combination of on-the-job training, seminars, international and national study tours etc and identify appropriate training service providers for the different activities.

   (iv) **Building Training Capacity.** To assure a self-sustaining training function within the vodokanals and the PMU, it is important to promote the development of a training environment in which: (1) there is an understanding, agreement and commitment by top management that the trainers and their program are responsive to management's vision of overall direction, efficiency, performance and use of staff resources; (2) the structure of the training function fits the needs of the vodokanals and the PMU, while maintaining its own lines of reporting relationships; and, (3) the training function is well managed and positioned as a service to the vodokanals, and is customer-oriented in its approach.

   (v) **Development of a Detailed Training Implementation Plan.** This training plan will answer the questions of who, what, when, how many, where and how much. This provides the essential information for development of detailed training objectives and plans, the cycle of courses that should be presented over the duration of the project, and periodic review to identify possible needed improvements in course content.

   (vi) **Monitoring of Training Efficacy.** The specialists will review the success of different training and capacity development activities and provide guidance for improving and building on training carried out.

Part 2: Other Key Areas for Capacity Development

6. The consultant shall advise and assist in strengthening the following key areas to build capacity of the vodokanals:

   (i) **Institutional & Managerial Improvements**

   (ii) **Strengthening of Financial Management**

   (iii) **Utility Tariff Setting, Billing and Income Collection**

   (iv) **Improvements in Management of Operations and Management**

      a. **Operations Contract**

      b. **Review of Operating Practices**

      c. **Setting of Operational Standards**

      d. **Maintenance Programs**

   (v) **Public Awareness, Customer Contracts and Customer Complaints**
NATIONAL PERFORMANCE MONITORING & BENCHMARKING SPECIALIST

A. Introduction

1. Grant financing has been made available by ADB’s Water Financing Partnership invest in capacity improvements in WSCs participating in the Project. A total of 10 person-months of National consulting services will be financed under the capacity development component to assist the Government of Uzbekistan (the Government) in developing and implementing a performance monitoring system for vodokanals in Surkhandarya Province.

2. The capacity development component builds on the results/recommendations of the capacity assessment and performance diagnosis of vodokanals carried out during the preparation stage by implementing a performance monitoring and benchmarking system. The performance monitoring and benchmarking system will be an important management and planning tool for vodokanal management in the Province. The immediate output will be the collection, analysis and comparison of key performance data between vodokanals in the Province. The task will require close participation by vodokanals and key government officials to design and implement. Ownership of the system will need to be firmly with the WSCs and will therefore require the consultant to take a facilitative and participatory approach.

B. National Specialist

The Performance Monitoring and Benchmarking Specialist will facilitate and support the development a performance monitoring and benchmarking system for vodokanals in Surkhandarya Province over a four year period.

(i) Development of an approach to benchmarking that will be applicable to vodokanals in Surkhandarya Province;

(ii) Organize and facilitate an inception workshop to (a) develop a frame of mind amongst vodokanals for a transparent benchmarking process, (b) launch and develop the benchmarking process, and (c) facilitate vodokanals in developing a preliminary list of simple and focused indicators for the key areas of performance management;

(iii) Organize and facilitate a workshop to develop the indicator list and an agreed methods for calculating the indicators so that a standard process is established;

(iv) Develop a simple but easy to use performance indicators framework, spreadsheets, and reporting format;

(v) Support the vodokanals in preparing a baseline performance report based on the framework and review these for consistency and accuracy;

(vi) Organize and facilitate a workshop with all vodokanals to share their performance reports and jointly develop realistic performance targets for each vodokanal for both the short terms (6 months, 1 year, 2 years) and the long term;

(vii) Facilitate the vodokanals to share their baseline and annual performance reports and performance targets with the public;

(viii) Facilitate the vodokanals in reflecting the performance targets in their annual business plans;

(ix) For the first 2 years, support the vodokanals in updating semi-annual performance reports and carrying out semi-annual workshops to share experiences. Thereafter performance reports would be prepared on an annual basis and annual workshops held;

(x) Support the vodokanals to share performance monitoring reports with the public on a yearly basis.
(xi) Prepare a consolidated annual performance monitoring report for the Province;
(xii) Consider options for joining with the International Benchmarking Networking (IBNET) Program towards the end of the activity
(xiii) Consider ways to link with ADB’s ongoing benchmarking activities in Central Asia
UZB: Surkhandarya Water Supply and Sanitation Project

Terms of Reference
—Hygiene Promotion Program

A. Objective

1. The objective is to develop and implement a comprehensive hygiene promotion program that ensures participating communities develop good hygiene practices in order to improve health.

2. The approach should be innovative and scientific and based on a solid understanding of the current behaviors and of the communication channels that work best in the project districts. The program will use three main approaches: (i) mass media, (ii) expert teams within the various districts organizing community and school events and, (iii) use existing government health channels. All three channels will deliver messages uniformly and simply, with a strong emotional impact.

B. Scope of Work

3. A comprehensive hygiene promotion program will be developed based on Knowledge, Practices and Attitudes (KAP) survey carried out in project areas. The program will rely on existing hygiene promotion techniques combined with innovative methods, including mass media, social marketing approaches and hygiene promotion teams. Working in close liaison with the PMU, the Provincial vodokanal and the district vodokanals, the consultants will prepare and implement a comprehensive hygiene promotion program, including the following key activities:

   (i) **Preliminary survey in project districts to define behavioral problems and channels of communication** that will reach children and their caregivers. This survey will establish a baseline and allow targets for behavior change to be set. It will also support the design of the hygiene program. This survey involves questionnaire format, structured observation, other data collection and a sanitation survey of households and schools.

   (ii) **Formative Research** will be used to find out how to motivate children (the primary target audiences) for hand-washing with soap, safe stool disposal and the use of safe water. Changing ingrained habits is difficult therefore strategies should be developed that capture the imagination. The traditional approach of lecturing about disease is less effective than motivating people with positive messages about looking and smelling good.

   (iii) **Develop the messages and materials.** The results of the formative research are then used to develop creative materials. These materials would then be tested. Additional materials from other projects, including ADB and UNICEF hygiene activities in Uzbekistan may be used to supplement the materials.

   (iv) **Design of the Hygiene Promotion Intervention**
      a) **Mass media** developed based on the outputs of the creative design stage. Various mass media methods can be used to distribute the materials and messages including print, radio, posters etc.
b) A team of hygiene promoters will be developed in each district to implement high impact activities in all schools, working through community based organizations and schools. Activities would be developed based on the communication channels which best reach children.

c) Existing government or health promotion activities could be supported. Training provided to key health promoters (doctors, clinics, visiting health workers, and teachers) on motivating behavior change and use of materials developed under the program.

(v) Training of key hygiene promoters would involve the following programs

a) Training of mobile hygiene promotion team on hygiene concepts to be promoted and the communication channels and materials

b) Training of supporting district staff, Community Based Organizations or teachers on concepts of the new hygiene promotion program

(vi) Monitoring and Evaluation of behavior change. Measuring changes in hygiene behavior is very difficult. Questionnaire surveys tend to produce false results. Using structure observation technique is felt to be a more accurate method. The KAP survey (activity 1) would form the baseline of the project and the behavior change section of the survey would be repeated after 2 years to assess the effectiveness of the program and feed into the further hygiene activities. A final survey would be carried out in year 4 to assess the impact of the activities.

C. Requirements

4. Reports. The key reports that will need to be shared with the PMU, districts and vodokanals are the 1) Baseline survey and follow up surveys. The techniques and materials for promoting safe water use would be shared with the vodokanals so they can be used for their own public communication activities.

5. Inputs. An experienced communications/marketing specialist or hygiene promotion specialist is required for 10 person-months over a four-year period to management the hygiene activities. Estimated costs are $200,000. Costs are detailed ($000’s) in Table 1 below.

<table>
<thead>
<tr>
<th>Item</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Total ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Mass media Creative Material Development</td>
<td>20,000</td>
<td>10,000</td>
<td>3,000</td>
<td>0</td>
<td>33,000</td>
</tr>
<tr>
<td>2. Events at schools Equipment</td>
<td>7,000</td>
<td>7,000</td>
<td>7,000</td>
<td>0</td>
<td>21,000</td>
</tr>
<tr>
<td>Training, travel etc</td>
<td>7,000</td>
<td>7,000</td>
<td>7,000</td>
<td>0</td>
<td>21,000</td>
</tr>
<tr>
<td>3. Government Program Training of school teachers, nurses, Mahalla</td>
<td>7,000</td>
<td>7,000</td>
<td>3,000</td>
<td>0</td>
<td>17,000</td>
</tr>
<tr>
<td>4. Materials Posters, brochures, kits, stickers, etc</td>
<td>10,000</td>
<td>10,000</td>
<td>10,000</td>
<td>5,000</td>
<td>35,000</td>
</tr>
<tr>
<td>Soap samples (free from soap companies)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>5. Survey Work Formative research</td>
<td>15,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>15,000</td>
</tr>
<tr>
<td>Baseline &amp; Follow up</td>
<td>0</td>
<td>15,000</td>
<td>0</td>
<td>15,000</td>
<td>30,000</td>
</tr>
<tr>
<td>6. Technical Assistance Local TA</td>
<td>6,000</td>
<td>6,000</td>
<td>4,000</td>
<td>4,000</td>
<td>20,000</td>
</tr>
<tr>
<td>Meetings/ exchange</td>
<td>2,000</td>
<td>2,000</td>
<td>2,000</td>
<td>2,000</td>
<td>8,000</td>
</tr>
<tr>
<td>Total</td>
<td>75,000</td>
<td>65,000</td>
<td>34,000</td>
<td>26,000</td>
<td>200,000</td>
</tr>
</tbody>
</table>
UZB: Surkhandarya Water Supply and Sanitation Project

Terms of Reference
—Construction Supervisor

A. Organization Arrangements

1. The Construction supervision will be carried out by the PMU through its staff members, but on site by construction supervision team (CST) under the supervision of PIU. The CST will comprise of a construction supervision coordinator, and eight construction supervisors (inspectors) – one for each subproject. The CST will be supported by the water supply engineer at PMU and the water supply design engineer at PIU when needed. Total required CST staff is given in the table below,

<table>
<thead>
<tr>
<th>CST Personnel</th>
<th>Num</th>
<th>Person-months</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Supervision Coordinator/Team Leader</td>
<td>1</td>
<td>40</td>
<td>Full time, to be engaged under the Project Implementation Assistance Component</td>
</tr>
<tr>
<td>Construction Supervisors</td>
<td>8</td>
<td>288</td>
<td>Full time, to be engaged using the ICS</td>
</tr>
<tr>
<td>Water Supply Engineer</td>
<td>1</td>
<td>48</td>
<td>Part time</td>
</tr>
<tr>
<td>Water Supply Design Engineer</td>
<td>1</td>
<td>48</td>
<td>Part time</td>
</tr>
</tbody>
</table>

B. Scope of the Work

2. The scope of the work of the CST includes:
   (i) Evaluating proposals of the Contractor, schedule, work procedure and work production technology;
   (ii) Monitoring on site and outside, verification and testing of executed works and used materials (including any survey);
   (iii) Verification and approval of building/design drawings;
   (iv) Verification and approval of as built drawings;
   (v) Work progress report;
   (vi) Deviation from the Contract, standby amounts and day-labor;
   (vii) Work execution control according to the Contractor’s schedule;
   (viii) Issuance of Certificate of Completion, Certificate of liability for defects
   (ix) Commissioning and handing over O&M manual;
   (x) Quality assurance;
   (xi) Safety engineering.

3. **Evaluation of Contractor’s proposals, procedure of execution of works and technology.** The CST shall agree with PMU and responses to all proposals of the Contractor, order and work production technology submitted by the Contractor.

4. **Monitoring, verification and tests on site and outside.** The CST shall undertake relevant monitoring (on site and outside), verification and testing.

5. The CST shall take responsibility for observance of discretion during construction supervision. Standard forms for approval/verification of works will be widely used to provide agreed approach between the Contractor and PMU/PIU staff.
6. The CST shall take responsibility for provision of agreed approach to quality control, solution of issues on site, materials, construction standards and skill of work execution over a period of the whole Contract.

7. The Contractor shall take responsibility for undertaking all required sampling and testing according to the specifications /or according to the instruction of the CST. The Contractor shall offer the CST suitable laboratory equipment that should be used only after approval of PMU. The cost of sampling and testing is included in the Contract cost of the Contractor.

8. Verification and approval of as built drawings of Contractor. The CST shall control registration as built drawings of the Contractor to assure that at the end of each part of work the Contractor can develop a full set of detailed as built drawings.

9. Verification and approval of building/design drawings of Contractor. Work at any scheme does not start until the Contractor prepares building/design drawings, and the CST gets approval from the PMU.

10. The Contractor shall take responsibility for preparation of these drawings according to the building drawings and actual conditions on site, as necessity may rise in construction of facilities.

11. Work progress report. The CST shall prepare and submit to PMU the work progress report. The Construction Supervision Coordinator shall ensure the subproject reports are submitted by each inspector according to agreed schedule and format.

12. Contract deviation, contingency sum and additional work. Where there is a necessity in deviation order, the CST shall make a copy of draft order for PMU's approval. Only after written confirmation is received, the deviation order is issued to the Contractor.

13. In case standby amounts or/and day-labor is required, a copy of draft order shall be submitted to PMU for approval.

14. Control over Contractor's operating schedule. Within the time indicated in the Contract Information (within 28 days after submission of the Letter of Acceptance), the Contractor shall submit their work schedule to the CST for approval indicating general technology, actions, order and timing for all works at the scheme.

15. Detailed work plan includes actual outputs for each kind of work and their influence on execution time of the remaining works, including any changes in succession of works. The Contractor submits the detailed work plan to the CST for approval with an interval not more than indicated in the Contract Information (the plan is specified within three month interval). If the Contractor does not submit the detailed action plan within this period, the CST can retain the amount from the next payment certificate and go on retaining this amount up to the next payment after submission of the delayed plan.

16. Approval of the plan by the CST does not make changes in the responsibilities of the Contractor. The Contractor can revise the plan and submit it again to the CST at any time. The revised plan does not influence on deviations and compensations.
17. **Issuance of Certificate of completion of work and Certificate of liability for defects.**

The Contractor requests the CST to issue a certificate of completion of work, and the CST issues the certificate after determination of completion and signature of acceptance statement on operation of the completed scheme according to the relevant Laws of the Uzbekistan Republic. The Contractor submits the CST a detailed report on the total amount that the Contractor thinks is to be paid by the Contract till the defect liability period. The CST issues the certificate of liability for defects and approves the final payment to the Contractor within 25 days after the report is received, if it is correct and complete. If not, then the CST issues the Contractor a notification within 25 days with indicating there required amendments and additions. If a final report remains still inadequate after the second submission, the CST shall specify an amount to be paid to the Contractor and issue a certificate of payment.

18. **Commissioning of a scheme to the state committee and commencement of its operation.**

The CST shall take responsibility for provision of approved order of commissioning and approval of test completion and verification of results as indicated in the rules and specifications. The CST shall also assure that hand over and final certificates are prepared for subsequent issue by the PMU.

19. **Manual for O&M.**

The CST shall take responsibility for regular verification of contract documentation registration regarding Manual for O&M.

20. **Work quality.**

The CST shall be responsible for work quality provision.

21. **Safety engineering.**

The CST shall ensure that all the staff understands the necessity to observe the indicated safety precautions. The Contractor answers for safety of all works on site. The Contractor shall keep high safety standard and act according to strict observance of the following requirements:

(i) The Contractor shall provide safety of people working in trenches defending them from collapse by fastening and trimming of slopes, as stated by the CST, and take special care of the people working in trenches and prohibit them to work alone.

(ii) The Contractor shall provide protection of the personnel from motion works of machinery by safeguard.

(iii) The Contractor shall not allow casual observers to approach closely to the site of earth works.

(iv) The Contractor shall install required signs and attention device for safety at the construction site.

C. **Terms of Reference**

22. Construction supervision includes the following main tasks for rendering construction management services and providing safety engineering:

(i) Quality

(ii) Work scope

(iii) Safety engineering

(iv) Payment

23. Further is given more detailed description of tasks that are required to be fulfilled within the stated period.
1. **Commencement of execution of works (after contract awards)**

   a. **Quality**

   (i) Consideration and agreement on the primary staff of the Contractor;
   (ii) Agreement on horizontal and vertical survey with the Contractor;
   (iii) Consideration and approval of building drawings of the Contractor;
   (iv) Consideration and agreement on suppliers and subcontractors;
   (v) Verification and approval of all the construction equipment and facilities;
   (vi) Consideration and approval of construction procedures;
   (vii) Study of all decrees of the Government, and their consideration by the Contractor, and conducting necessary clarification if required;
   (viii) Determination of technology of inspection of the Contractor’s work

   b. **Work Scope**

   (i) Consideration and approval of the construction schedule proposed by the Contractor;
   (ii) Consideration and approval of the proposed by the Contractor layout of site and equipment;
   (iii) Determination of survey technology of actual size of the site;
   (iv) Development of all reporting forms, registers and bills of work volume.

   c. **Safety Engineering**

   (i) Consideration of all required safety engineering included in the contract documents jointly with the contractor;
   (ii) Consideration and approval of the proposed layout by the Contractor of the site and equipment;
   (iii) Weekly safety engineering review with the Contractor;
   (iv) Determination of an action plan in case of an alert condition or other situation demanding an active intervention for the purpose of execution of works according to the schedule.

   d. **Payment**

   (i) Consideration of breakdown of lump-sum allowance with the Contractor;
   (ii) Approval of invoice submission plan in the course of execution of works;
   (iii) Development of forms of bill of quantities to payment;
   (iv) Approval of procedures to control date of supply and size of materials;
   (v) Approval of procedures for inclusion lump-sum allowance in the contract.

2. **Daily Supervision**

   a. **Quality**

   (i) Assists in solution of all technical problems at the building site;
   (ii) Supervises work of the Contractor in accordance with the requirements of the contract documents;
   (iii) Registration and storage of all the required test records and files with all test forms;
   (iv) Supervision and control over flow of sub soil waters;
(v) Provides examination of the selected source yield, registration and storage of certificates with results of examination;
(vi) Checks compliance of construction materials delivered to the construction site according to the approved requirements;
(vii) Verification of design drawings of the Contractor;
(viii) Photographing schemes, correspondence registration and specification of building drawings;
(ix) Record of all significant works and events in the work production register;
(x) Daily brief data collection.

b. Work Scope

(i) Registration of reports on earth works and keeping a work scope register;
(ii) Work scope register for concrete construction;
(iii) Work scope registration of all items of the Contract;
(iv) Daily progress of construction and erection works according to the Schedule;
(v) Daily registration of the staff and equipment;
(vi) Stock-taking of volume of materials;
(vii) Inventory of construction materials delivered to the construction site commodity - consignment note;
(viii) Brief data collection referred to work and volumes for daily reports;
(ix) Verification, approval and keeping of all the drawings of the built schemes;
(x) Consideration of all proposals of the Contractor on variation orders and their registration;
(xi) Consideration of all claims of the Contractor and their registration;
(xii) Verification and registration of time frame and volume of materials.

c. Safety Engineering

(i) Observance of all the safety regulations by the Contractor through permanent daily check;
(ii) Registration and notification of loss of time and injuries;
(iii) Introducing order and safety regulations in the office.

3. Weekly Supervision

a. Quality

(i) Review and approval of work method of the Contractor;
(ii) Meeting with the Contractor to discuss and solve problems;
(iii) Preparation of weekly reports on the basis of daily reports.

b. Work scope:

(i) Documentary verification of work scope to provide precise volumes for weekly report;
(ii) Control of execution of work by the Contractor by schedule in respect of actual execution of weekly work scope;
(iii) Preparation of weekly reports on the basis of daily reports.
c. Safety engineering:

(i) Weekly verification of the Contractor’s work, notification of all safety engineering;
(ii) Conduct weekly safety engineering meetings.

4. Monthly supervision

a. Quality

(i) Preparation of monthly progress reports on the basis of weekly reports that help to supervise the contractor’s work quality.

b. Work scope

(i) Undertake special verification of the work executed by the payment period. It is required when the payment period finishes in the middle of a week.
(ii) Monthly progress report preparation, which includes a summary of bill of quantities by payment items of the Contract for the past period. These reports will be based on weekly reports and verification of the executed work scope.
(iii) Inventory of construction materials delivered to the construction site.
(iv) Keeping all backup files on volume calculation.

c. Safety engineering

(i) Correction of all safety breaches prior to approval of payment for work.

d. Payment

(i) Consideration of executed work scope jointly with the Contractor by draft preliminary payroll;
(ii) The Contractor submits payroll for the work that includes a summary on all confirmed payment contract clause and all pay-sheets;
(iii) Thorough verification of the pay-sheet of the Contractor;
(iv) Approval of invoices for payment;
(v) Notification of PIU and PMU about monthly payment;
(vi) Registration of all invoices

5. Quality control, verification procedure and material checkout

24. Verification plan includes mainly the following:

(i) Daily examination report;
(ii) Elements to be tested;
(iii) Sampling and test frequency
(iv) Sampling & testing
(v) Laboratory equipment
(vi) Work that does not meet the specifications
a. Daily examination report

25. Construction Supervision Coordinator and inspectors shall prepare daily examination report in writing. Each report shall include the following information, applicable to a certain type of work:

(i) Weather conditions;
(ii) Description of work executed;
(iii) Supervision and qualified labor in use;
(iv) Types of equipment in use;
(v) Materials included in labor;
(vi) Description of work progress in approximate scope;
(vii) Description of any problems requiring rectification works;
(viii) Description of any delay or other factors influencing on work progress or work quality;
(ix) Description of any instructions given to the Contractor including names of people;
(x) Any other information required.

b. Elements to be tested

26. In general, all the work elements are to be examined. It is important to pay attention to the following actions during daily inspection:

(i) preliminary works;
(ii) earth work;
(iii) Water reduction in foundation pits and trenches;
(iv) Lines and slopes;
(v) Transportation of excavated soil into dumps;
(vi) Looking after dams and embankments;
(vii) Looking after local railway and roads;
(viii) Mounting of steel, polyvinyl chloride and reinforced concrete pipes;
(ix) Welding works including nondisruptive testing;
(x) Installation of electromechanical equipment;
(xi) Mix, blending, testing and transportation of concrete;
(xii) Acceptance of underground foundation and laying of concrete;
(xiii) Laying, compaction and testing of embankment;
(xiv) Testing of pipes by pressure;
(xv) Right installation and adjustment of pump unit;
(xvi) All types of testing of earth works executed and binding of main buildings and constructions of production with help of tools with subsequent application of executive survey.

c. Sampling & testing

27. The following work is carried out for sampling and testing if required:

(i) welds;
(ii) embankment materials;
(iii) local embankments, dams;
(iv) fillers and concrete;
(v) Polyvinyl chloride reinforced concrete pipes and materials;
(vi) Water quality;
(vii) Construction materials, concrete, elements of preliminarily pre-stressed concrete;
(viii) sampling;
(ix) Determination of slump;
(x) Quality control of pumping of rehabilitating boreholes on availability of suspended particles; and
(xi) Source yield control (borehole) during its spilling.

28. Laboratory equipment is to be used for the following tests:
(i) Certification of welding works;
(ii) Spacy shift (cutoff);
(iii) Chemical and physical analysis of cement;
(iv) In laboratories on site the following tests are to be done:
   - Slump test;
   - Capacities/ cylinders for founding;
   - Capacities/ cylinders for testing;
   - Soil compaction (on site).

   d. Sampling and test frequency

29. Unless otherwise provided in specification of construction contract, minimal frequency of sampling and testing will be as follows:

   (i) Aggregate sorting - once in a working day
   (ii) Slump test - one for 25 m³
   (iii) Capacities for casting / cylinders - one test for 50 m³
   (iv) Capacities / cylinders for testing - once in 7 days, twice in 28 days
   (v) Polyethylene pipes- random testing - one test for 50 pcs
   (vi) Non-disruptive testing- welding joining in pipes-one test for 50 circular welds
   (vii) Items from pre-stressed concrete - one test for 50 items delivered to the construction site
   (viii) Soil compaction (compaction test) - one for 500 m³ embankment
   (ix) optimum moisture content of soil - one test for 500 m³ selected
   (x) maximum material density (laboratory)

   e. Laboratory equipment

30. It is not efficient to have several laboratories on each site for testing. Therefore, laboratory equipment for slump test, capacities, cylinders for founding; and soil compaction (on site) is provided by the Contractor in each site. All the other tests will be performed by independent laboratories or suppliers that have facilities for their production.

   f. Work that does not meet the specifications

31. Work that does not meet the specifications is to be rejected. Inspectors shall try to take a decision as soon as it is found.
REFERENCE DOCUMENTATION

A. Contract documents

1. Of all the documentation Documents of the Contract have primary importance. The Documents that are parts of the Contract shall be interpreted in the following order:

   (i) Agreement;
   (ii) Letter of Acceptance;
   (iii) Competitive bid of the Contractor;
   (iv) Contract Information;
   (v) Contract Terms;
   (vi) Specifications;
   (vii) Drawings;
   (viii) Bills of quantities;
   (ix) Other documents stated in the Contract Information as constituents of the Contract

B. Reference to State Standards & Construction Regulations

2. The Contract Documents includes reference to different "standards", stated above. It is necessary to stick to these documents on conditions that contra is not indicated in the Contract Specification. The CST ensures that copies of all the documents submitted by the Contractor are kept in the office on site.

C. Off-the-shelf technologies

3. It is necessary to observe standard references and technologies while executing works. In the notes to the Manual the CST assigns their team members to check drawings, estimates, specifications and schedules for the Contract, specially, for confirmation of the following:

   (i) Compliance of the last revised option of requirements with the project and applicable procedures;
   (ii) Full eligibility and appropriate execution;
   (iii) Compliance with the standard regulations.

D. Action plan

4. The Contractor shall submit a detailed construction plan soon after the Contract is awarded, which will be used as a basis for monitoring and reporting subject to the requirements fully stated in the Contract Documents.

E. Verification and approval

   1. The CST is accountable for final verification and acceptance of the Contractor’s proposals.

5. The CST is not accountable for general coordination of verification of all works. CST is responsible also for checking O&M manual. Except the above mentioned responsibilities, the CST is accountable for verification and acceptance of works on site during construction and particularly for:
Appendix 12, Attachment

(i) Verification of compliance of project documentation and drawings with each site of the work;
(ii) verification and approval of building/design drawings;
(iii) verification of drawings’ application on site;
(iv) verification of work on site;
(v) verification of scope of work;
(vi) certification of tests on site and commissioning;
(vii) registration of variations in drawings on site;
(viii) verification of as built drawings (prepared by the Contractor) for inclusion of variations on site.

F. Supervision and monitoring

6. Technologies which shall comply under supervision and monitoring of works according to the requirements of the Contract include the following:

1. Verification & tests on site & outside

7. It is necessary to develop and to keep the plan of verification and to conduct tests outside. Inspectors work out a report on verification and conducting tests for each type of work outside. These reports include in:

   (i) Name of a subproject and registration number;
   (ii) Date and place of verification;
   (iii) Name of a contract;
   (iv) Serial number;
   (v) Proved installation and material;
   (vi) Serial number, or number of the consignment;
   (vii) Comments and recommendations of inspectors;
   (viii) Reference documentation;
   (ix) Issued certificates.

8. Reports are signed by inspectors with indicating dates, and a copy is submitted, through Construction Supervision Coordinator, to the PIU and PMU. Appendix should include any results of tests, measuring and any other observation.

2. Site visit

9. Engineers (of PMU and PIU) visiting the site with the aim of verification of execution works shall draw up a report which includes the following information:

   (i) Date and place of visit;
   (ii) Name of a contract;
   (iii) Aim of a visit;
   (iv) Comments, observations and recommendations.

10. Reports shall be signed and dated by the visiting engineer with a copy to the CST and other involved people.
3. **Check up on site**

11. Checking and monitoring of works are conducted in compliance with the requirements of the work. Daily registers for execution of these works are to include:

   (i) Name of the project, number and registration number;
   (ii) Date of report;
   (iii) Verified construction sites;
   (iv) Certified tests
   (v) Issued certificates
   (vi) Remarks and observations

12. Daily registers are signed by an inspector, and a copy is given to the CST. Reports are drawn up on all inspection conducted on a site and certified tests. The inspected site of work is to be identified exactly, and the degree of acceptance is to be registered.

13. Reports must be signed and sent to the CST who notifies in writing the Contractor about what work or item that is considered to be ineligible and requires updating.

4. **Commissioning**

14. Tests for commissioning must be verified in compliance with the approved procedures of commissioning.

G. **Storage and registration of documents**

15. The CST defines content of registration of documentation for separate contracts in compliance with the earlier mentioned requirements of the supervision plan, good practice and the following principles.

1. **General**

   (i) General administration
   (ii) Staff
   (iii) Proceeding of meetings
   (iv) Providing quality
   (v) Documents of the Contract
   (vi) General correspondence
   (vii) Meetings
   (viii) Measurements
   (ix) Program
   (x) Management
   (xi) Reports and return of filled in forms;
   (xii) Technical documentation

2. **Execution plan and drawings**

16. Registration of documentation and drawings shall reflect the following:

   (i) Source
   (ii) Reference and index of revised and corrected edition;
   (iii) Name
   (iv) Issue Date
17. Upon receipt and before distribution, all the correspondence shall be registered.

18. The Construction Supervision Coordinator, assisted by an office manager, keeps a register for incoming and outgoing letters.

3. Work progress photograph

19. The CST provides a detailed photo registration of work progress. All photographs are to be accompanied by texts and annotations. Annotations include detailed description of the photograph. All negatives are to be registered, and it is necessary to have a separate file for negatives.

20. All photographs are classified in the following way:

(i) Photographs of the site before execution of works;
(ii) Photographs about monthly work progress;
(iii) Photographs of technical works that are necessary to be registered;
(iv) Photographs illustrating problems;
(v) Photographs of completed works.

4. Archives

21. Archive will be handed over on completion of the Defects Liability Period.

22. Full list of archive documents is drawn up under the direction of the CST.

23. Data which can be needed for operation, maintenance, variation, renovation and destruction, or according to juridical, commercial or contractual obligations shall be kept and will be microfilmed for long storage. They include technical reports, as built drawings, reports about verification, certificates, reports on quality control test and documents of the Contract.

5. Work production register

24. The CST keeps a register in the office through inspector on site. Every day it is necessary to record the following:

(i) daily important events and main types of executed works;
(ii) dates;
(iii) meetings;
(iv) visits;
(v) important decisions;
(vi) orders.
H. Changes and change control

1. Changes

25. Construction supervision plan will be revised regularly by the CST during the project implementation. The plan is revised in close cooperation with PMU and PIU. During the first four months the plan is revised once a month, then once in two months. Changes are registered in a special form at the beginning of the document.

2. Change control

26. All amendments in construction supervision plan are subject to approval of PMU