

# Project Administration Manual

Project Number: 46124

Loan Number:

Grant Number:

February 2013

Kyrgyz Republic: Central Asia Regional Economic  
Cooperation Regional Improvement of Border  
Services Project

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### **Project Administration Manual Purpose and Process**

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The PAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the PAM.

The Ministry of Economy (MOE) as the Executing Agency (EA) and the State Enterprise “Single Window Center” (SWC) in the Foreign Arena under the Ministry of Economy of the Kyrgyz Republic as the Implementing Agency (IA) are wholly responsible for the implementation of ADB financed Regional Improvement of Border Services Project (the Project), as agreed jointly between the beneficiary and ADB, and in accordance with Government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by MOE and SWC of its obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At Loan and Grant Negotiations, the beneficiary and ADB shall agree to the PAM and ensure consistency with the Financing agreement. Such agreement shall be reflected in the minutes of the Loan and Grant Negotiations. In the event of any discrepancy or contradiction between the PAM and the Financing Agreement, the provisions of the Financing Agreement shall prevail.

After ADB Board approval of the project's report and recommendations of the President (RRP) changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval they will be subsequently incorporated in the PAM.

## **Abbreviations**

ADB	– Asian Development Bank
ADF	– Asian Development Fund
AFS	– audited financial statements
APA	– audited project accounts
BOQ	– bill of quantities
BCP	– border crossing point
BPR	– business process re-engineering
CAREC	– Central Asia Regional Economic Cooperation
CQS	– consultant’s qualification selection
CPMM	– CAREC corridor performance measurement and monitoring
D&B	– design and build
DMF	– design and monitoring framework
EA	– executing agency
EMP	– environmental management plan
IA	– implementing agency
ICB	– international competitive bidding
ICT	– information and communications technology
IEE	– initial environmental examination
MOE	– Ministry of Economy
MOF	– Ministry of Finance
NCB	– national competitive bidding
NSW	– national single window
PAM	– project administration manual
PIU	– project implementation unit
PMC	– project management consultants
PSC	– project steering committee
QCBS	– quality and cost-based selection
RIBS	– Regional Improvement of Border Services
RFP	– request for proposal
SCS	– State Customs Service
SOE	– statement of expenditure
SPS	– Safeguard Policy Statement
SWC	– State Enterprise “Single Window Center” in the Foreign Arena under the Ministry of Economy
TA	– technical assistance
TOR	– terms of reference
UAIS	– Unified Automated Information System
UN	– United Nations
UNECE	– UN Economic Commission for Europe
UN/CEFACT	– UN Centre for Trade Facilitation and Electronic Business
UNCITRAL	– UN Commission on International Trade Law
VAT	– value added tax
WCO	– World Customs Organization
WTO	– World Trade Organization

## I. PROJECT DESCRIPTION

### A. Rationale, Location and Beneficiaries

1. **Rationale.** The Ministerial Conference of the Central Asia Regional Economic Cooperation (CAREC) Program in October 2009 endorsed a plan to address physical infrastructure needs at border crossing points (BCPs) along the priority CAREC corridors and establish and network national single window (NSW) systems in the region for the development of seamless corridors to strengthen the region's competitiveness and expand trade among CAREC economies and with the rest of the world. The Project is part of the CAREC Implementation Action Plan for the Transport and Trade Facilitation Strategy.<sup>1</sup> BCPs have been identified as the major bottleneck for transport and trade in the CAREC region. A significant portion of delays is attributable to inadequate border crossing point (BCP) infrastructure and cumbersome border procedures. To eliminate some of the bottlenecks, BCP infrastructure improvements are needed. NSW facilities, which enable trade and transport-related information and documents to be submitted through a single entry point and to be reviewed and processed by relevant government agencies prior to the cargo's arrival at the border, can provide significant efficiency gains. Together, these improvements will reduce trade transaction costs and reduce the time taken to deliver goods and commodities from fields and factories to market.

2. The proposed project will support transport corridor development and trade facilitation in the CAREC region by reducing physical and institutional bottlenecks to the cross-border movement of goods. The project will include three distinct but closely linked components: (i) BCP improvement; (ii) NSW development; and (iii) strengthened capacity in project management and supervision.

3. **Location.** The Project will be implemented in two countries i.e., Kyrgyz Republic and Tajikistan. A follow up project is envisioned to include other CAREC countries.

4. **Beneficiaries.** The principal stakeholders and primary project beneficiaries are: (i) the government agencies of a given country responsible for gathering, analyzing, and disseminating data on international trade activities; (ii) civil servants responsible for carrying out border management functions; (iii) traders, truck drivers, freight forwarders, and transport service providers generally who conduct international trade and transport activities; (iv) the employees and owners of international trade dependant industries engaged in manufacturing, processing, and producing commercial goods and commodities; and (v) communities situated in the vicinity of BCPs that depend on ease of access to cross-border markets. The poor and socially excluded would benefit indirectly from trade-led economic growth.

### B. Impact and Outcome

5. The impact of the Project will be accelerated trade growth within the CAREC region and with the rest of the world. The efficient movement of goods and people will allow CAREC countries to participate more fully in the international production chain for trade-led economic growth. The reduced cost of complying with trade procedures nationally and regionally will increase transit traffic. This will help integrate CAREC countries further into the global economy and lead to sustained economic growth and improved living standards.

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<sup>1</sup> Endorsed by the Seventh Ministerial Conference on Central Asia Regional Economic Cooperation (CAREC). 2008. Implementation Action Plan for the Transport and Trade Facilitation Strategy. Baku.

6. The outcome will be faster, more predictable, and cost efficient cross-border transport and trade activities. This will be achieved by eliminating physical bottlenecks to trade and transport and developing single filing as well as streamlined and cost-efficient trade and transport clearance processes.

### **C. Outputs**

7. The impact and outcome of the Project will be achieved through the delivery of two major outputs: BCP improvement; and NSW development. The third output aims to strengthen capacity in the provision of project management and supervision.

8. The BCP improvement component aims to reduce processing and transport times by improving infrastructure and working conditions and providing communication and inspection equipment at the Karamyk road BCP. The scope of the Project include the construction of (i) amenity block; (ii) border crossing module with back office and roofed area for inspection; (iii) canine unit block; (iv) inspection room; (v) Customs checkpoint; (vi) sanitary and quarantine control point; (vii) veterinary control post; (viii) auxiliary and general facilities including two checkpoints, fuel storage and four toilets; (ix) power facilities including diesel power plant, packaged transformer substation, 10 kilovolt (kV) and 0.4kV power transmission lines, and lighting; (x) transport facilities including weighbridge and calibration equipment, and control room, mechanical cleaning facilities and disinfecting pit; (xi) water supply and sewerage facilities; (xii) landscaping and site finishing; and (xiii) provision of equipment. The proposed inspection facilities will handle the traffic growth and improve the processes through proper segregation of traffic for inspection and the provision of enabling infrastructure such as power and water supply will improve the performance of border management personnel.

9. The NSW development component will streamline data submission to regulators of international trade, and ensure conformity of submitted data with the requirements of business processes in different stages of trade and transport in the international supply chain. The proposed Project will build on what has been achieved under ADB's initial investments in the Foreign Trade Single Window (FTSW) <sup>2</sup> and Customs Unified Automated Information System (UAIS) <sup>3</sup> for the Kyrgyz Republic. To realize the full functionality of a NSW envisaged for Kyrgyz Republic, the scope of the Project will include (i) development of single window software, trade portal software, certificate of origin system, and license track and trace system; (ii) provision of single window backup system and hardware, regional centers and trade portal hardware; (iii) operational assistance to the single window governance and working groups; (iv) business process analysis and re-engineering (for up to 10 government agencies); (v) legal and regulatory framework review; (vi) stakeholder engagement and public awareness activities; and (vii) market study and research.

10. Recognizing the importance of achieving coordinated completion of BCP improvement and NSW development in both project countries by 2017, the project management and supervision component will provide funding to engage project management consultants (PMC) for the Project Implementation Unit (PIU) to provide oversight and supervision, and strengthen inter-agency coordination. The Government will establish a Project Steering Committee (PSC) to provide strategic support and guidance to the PIU.

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<sup>2</sup> ADB. 2008. *Investment Climate Improvement Program System Support Project*. Manila.

<sup>3</sup> ADB. 2004. *CAREC Regional Customs Modernization and Infrastructure Development Project for the Kyrgyz Republic and Tajikistan*. Manila.

## II. IMPLEMENTATION PLANS

### A. Project Readiness Activities

11. The Project will be implemented in about 5 years beginning in June 2013 and ending in December 2017. Draft bidding documents for all the contract packages, draft request for proposal for consultants recruitment, and draft safeguards documents (due diligence report and initial environmental examination) were completed during project preparation. Bid invitation is expected by the third quarter of 2013. Similarly, the consultant selection process for the project management and supervision for the PIU will also commence from early 2013. Overall Project readiness activities are in Table 1.

**Table 1: Project Readiness Activities**

Indicative Activities	2012			2013						Agency Responsible
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
Establishment of Project implementation arrangements										MOE, SWC
Loan and Grant negotiation										ADB, Government
Government budget inclusion										Government
ADB Board consideration										ADB
Loan and Grant signing										ADB, Government
Submission of legal opinion to ADB										MOF, MOE, SWC
Loan and Grant effectiveness										ADB, Government

ADB = Asian Development Bank, MOE = Ministry of Economy, MOF = Ministry of Finance, SWC = State Enterprise Single Window Center in the Foreign Arena under the Ministry of Economy

Source: ADB estimates.

### B. Overall Program Implementation Plan

12. Physical implementation will be completed by 31 December 2017. The Loan Closing Date for the purposes of Section 8.02 of the Loan Regulations shall be 30 June 2018, and the Grant Closing Date for the purposes of Section 8.02 of the Grant Regulations shall be 30 June 2018 or, in each case, such other date as may from time to time be agreed between the Beneficiary and ADB. Overall project implementation plan is shown in Figure 1.

13. The overall implementation plan will be updated during the inception mission. Further updating will take place annually during project review, with contract and disbursement projections for the following year.

**Figure 1: Implementation Schedule**

Indicative Activities	Yr 1				Yr 2				Yr 3				Yr 4				Yr 5			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
<b>I. DMF</b>																				
<b>A. Improvement of Karamyk BCP</b>																				
1. Contract awarded			x									x								
2. Civil works completed																				
3. Inspection and acceptance of BCP facilities (within warranty period)														x						
<b>B. Single window development</b>																				
1. Institutional and technical support contract awarded			x																	
2. Single window design, develop, build, and deploy contract awarded				x																
3. Legal framework supporting single window interoperability and information/data exchange with major trading partners in place							x													
4. Single window facility placed into full operation (includes pilot testing)																		x		
<b>C. Project management and supervision</b>																				
1. PIU established and staffed	x																			
2. Annual work plans, personnel scheduling, budgets, and procurement plans prepared		x		x				x				x				x				
3. First project steering committee (PSC) meeting convened	x																			
4. Project Performance Management System introduced at Karamyk BCP			x																	
5. Joint Customs Control procedures introduced at Karamyk BCP										x										
<b>II. Management Activities</b>																				
<b>Procurement plan</b>																				
Establish a project implementation unit (PIU) and recruit project management consultants																				
PMC (QCBS; consulting services)																				
Preparation and tendering of contract packages																				
Karamyk BCP (ICB; works)																				
Single window system development (ICB, D&B; goods)																				
Single window institutional and technical support (QCBS; consulting services)																				
<b>Project implementation and management</b>																				
A. Improvement of Karamyk BCP including warranty period																				
B. National single window development, institutional and technical support including stakeholder engagement and public awareness activities, and pilot testing																				
<b>Annual/Mid-term review</b>		x		x				x				x				x			x	
<b>Project completion report</b>																				

### III. PROJECT MANAGEMENT ARRANGEMENTS

#### A. Project Implementation Organizations – Roles and Responsibilities

14. **Executing and Implementing Agencies.** The Ministry of Economy (MOE) will be the executing agency (EA) for the Project, and the State Enterprise Single Window Center (SWC) in the Foreign Arena under the Ministry of Economy of the Kyrgyz Republic supported by the State Customs Service (SCS) will be the implementing agency (IA). The EA will guide and help the IA in coordinating closely with other government agencies and ADB for the timely resolution of any issue and completion of the project within the target, expediting the procurement process, and organizing the PSC meeting. The EA will designate a Project Coordinator for carrying out the above tasks. The Director General of SWC will be the Project Director, who will provide overall supervision to project implementation.

15. **Project Implementation Unit.** A PIU will be established under the IA to assist in the implementation of the Project. The PIU will assist the IA to manage the procurement activities, supervise the execution of each component of the Project, prepare and submit periodic/progress reports to EA and ADB, provide secretariat support to the PSC, and regularly liaise with the EA and ADB. The PIU will be headed by a Project Manager and will comprise a team of project management consultants (PMC), including a border crossing point design and supervision specialist, single window expert, procurement specialists, a project performance monitoring specialist, a finance specialist, and an administration officer. PIU Project Manager will report to the Project Director, who will guide and supervise the work of the PIU. The outline terms of reference for PMC is provided in Section VI.D. IA will provide a furnished, air conditioned/heated office space with support facilities as in-kind contribution for project implementation and management.

16. **Project Steering Committee.** A PSC will be set up as a high-level advisory body within 45 days from loan and grant effectiveness. The PSC will be chaired by the Project Coordinator and comprises representatives from the Ministry of Finance (MOF), Ministry of Transport and Communications, SCS, SWC, border services, and a representative of the local government where the BCP falls under its jurisdiction. Representatives of other key stakeholders may also be appointed as PSC members. The PSC shall be responsible for (i) guiding the overall policy and strategic direction of the Project, (ii) reviewing and evaluating project performance, and (iii) assisting with coordination among other donor-funded projects relating to the BCP and single window. The PSC will meet at least twice a year or as needed to ensure timely and orderly project implementation, provide policy guidance on ongoing and new government initiatives, serve as a platform for promoting private sector participation in customs and border control improvement initiatives under the Project, and facilitate inter-agency cooperation. ADB will attend the PSC meetings as observer, as needed.

Project Implementation Organizations	Management Roles and Responsibilities
<b>Executing Agency</b> <ul style="list-style-type: none"> <li>Ministry of Economy</li> </ul>	<ul style="list-style-type: none"> <li>monitoring of the Project implementation and providing respective coordination and facilitation;</li> <li>ensuring financial controls and audits;</li> <li>primarily responsible for the submission of audited project financial statements and audit reports;</li> <li>guiding and assisting the IA in coordinating closely with other government agencies and ADB for the timely resolution of any issue and completion of the project within the target;</li> <li>expediting the procurement process</li> <li>organizing the PSC meeting; and</li> <li>providing oversight on quality of overall Project implementation.</li> </ul>
<b>Implementing Agency</b> <ul style="list-style-type: none"> <li>State Enterprise Single Window Center in the Foreign Arena under the Ministry of Economy</li> </ul>	<ul style="list-style-type: none"> <li>maintaining the imprest account;</li> <li>finalizing surveys, design, bidding documents, and contract awards;</li> <li>working closely with MOF for timely provision of agreed counterpart funds for the Project;</li> <li>monitoring and evaluation of Project activities and outputs, including periodic reviews;</li> <li>preparation of review reports reflecting issues and time-bound actions taken (or to be taken);</li> <li>involving beneficiaries and civil society representatives in all stages of Project design and implementation;</li> <li>public disclosure of Project outputs;</li> <li>quality assurance of works, and services of consultants and counterpart staff;</li> <li>establishing strong financial management system and submitting timely withdrawal applications to ADB, conducting timely financial audits as per agreed timeframe and taking recommended actions;</li> <li>complying with all relevant covenants in the financing and project agreements;</li> <li>preparing regular periodic progress reports, and Project completion report and their timely submission to ADB;</li> <li>recruiting the project management consultants under the guidance of the EA and ADB; and</li> <li>ensuring Project's sustainability during post implementation stage and reporting to ADB on the assessed development impacts.</li> </ul>
<ul style="list-style-type: none"> <li><b>Ministry of Finance</b></li> </ul>	<ul style="list-style-type: none"> <li>signing the Financing Agreement for the Project;</li> <li>establishing and maintaining the imprest account;</li> <li>endorsing to ADB the authorized staff with approved signatures for payments and withdrawals processing;</li> <li>processing and submitting to ADB any request, when required, for reallocating the loan and grant proceeds;</li> <li>primarily responsible for disbursement of loan and grant/counterpart funds; and</li> </ul>

<b>Project Implementation Organizations</b>	<b>Management Roles and Responsibilities</b>
<ul style="list-style-type: none"> <li>• <b>Project Implementation Unit</b></li> </ul>	<ul style="list-style-type: none"> <li>• allocating and releasing counterpart funds.</li> <li>• assisting the IA in: <ul style="list-style-type: none"> <li>• day-to-day implementation of the Project supported by full-time core staff and a team of consultants;</li> <li>• managing the procurement activities;</li> <li>• executing each component of the Project;</li> <li>• preparing and submitting periodic/progress reports to EA, IA and ADB;</li> <li>• providing secretariat support to the PSC; and</li> <li>• regularly liaising with the EA and ADB.</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>• <b>Asian Development Bank</b></li> </ul>	<ul style="list-style-type: none"> <li>• assisting the IA and its PIU in providing timely guidance at each stage of the Project for smooth implementation in accordance with the agreed implementation arrangements;</li> <li>• reviewing all the documents that require ADB approval;</li> <li>• conducting periodic loan and grant review missions, a mid-term review, and Project completion mission;</li> <li>• monitoring compliance with all loan and grant covenants including safeguards;</li> <li>• timely processing withdrawal applications and releasing eligible funds;</li> <li>• monitoring compliance with financial audit recommendations;</li> <li>• regularly updating the project performance review reports; and</li> <li>• regularly posting on ADB website the updated Project information documents for public disclosure, and also the safeguards documents as per disclosure provision of the ADB's Safeguard Policy Statement.</li> </ul>

## **B. Key Persons Involved in Implementation**

### **Executing Agency**

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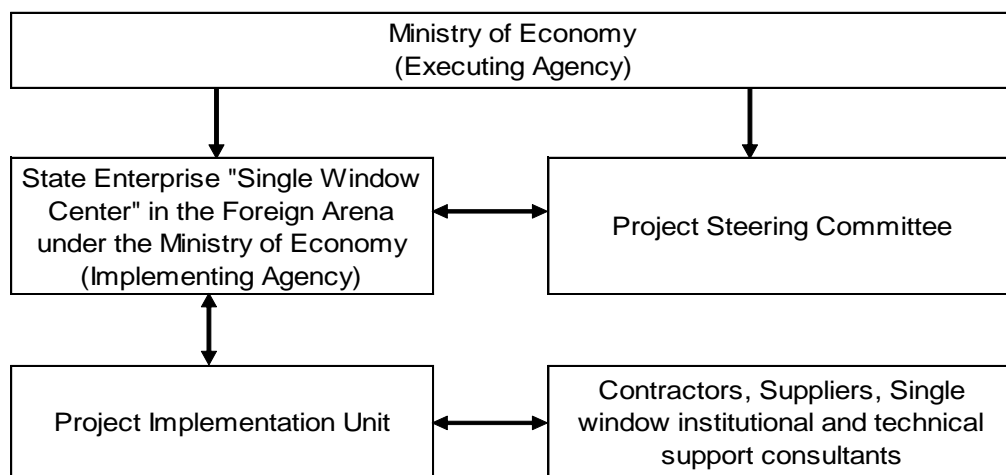
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### C. Project Organization Structure

17. The PIU will be established within 15 days from loan and grant effectiveness. International consultants will be engaged to support the PIU in the development of the design and build (D&B) contract packages for the two major Project components and to supervise construction at the Karamyk BCP and implementation of the NSW activities.

**Figure 2: Project Organization Chart**



Source: EA, IA and ADB

### IV. COSTS AND FINANCING

18. The total Project cost is estimated at \$9.887 million equivalent, inclusive of contingencies and financing charges during implementation period. The Government has requested a grant of \$4.202 million and a loan of \$4.202 million equivalent from the Asian Development Fund (ADF) to help finance the Project. The proposed loan will have a term of 32 years, including a grace period of 8 years, with an interest charge at the rate of 1% per annum during the grace period, 1.5% per annum thereafter, and such other terms and conditions set forth in the draft legal agreements.

19. The ADB proposed loan and grant will finance 85% of the total Project cost. The Kyrgyz Republic will provide the remaining \$1.483 million equivalent in the form of cash as counterpart funding to cover taxes and duties.

## A. Detailed Cost Estimates by Expenditure Category

Table 2: Detailed Cost Estimates by Expenditure Category

Item	US\$ (million)			KGS (million)			% of Total Base Cost
	Foreign Exchange	Local Currency	Total Cost	Foreign Exchange	Local Currency	Total Cost	
<b>I. Investment Costs<sup>a</sup></b>							
Border crossing point improvement							
1. Karamyk BCP civil works	1.64	0.70	2.34	76.36	32.73	109.09	23.68
2. Taxes and duties <sup>b</sup>	0.37	0.09	0.47	17.45	4.36	21.82	4.74
<b>Subtotal</b>	<b>2.01</b>	<b>0.80</b>	<b>2.81</b>	<b>93.82</b>	<b>37.09</b>	<b>130.91</b>	<b>28.41</b>
National single window development							
1. Single window system development (goods)	1.03	0.44	1.47	47.80	20.49	68.29	14.82
2. Single window institutional and technical support (consulting services)	0.39	1.57	1.97	18.34	73.37	91.71	19.91
3. Taxes and duties <sup>b</sup>	0.07	0.62	0.69	3.20	28.80	32.00	6.95
<b>Subtotal</b>	<b>1.49</b>	<b>2.63</b>	<b>4.12</b>	<b>69.35</b>	<b>122.65</b>	<b>192.00</b>	<b>41.67</b>
Project management and supervision							
1. Project management consultants	0.75	0.50	1.26	35.13	23.42	58.54	12.71
2. Auditing	0.06	0.04	0.10	2.80	1.86	4.66	1.01
3. Office equipment and miscellaneous expenses	0.03	0.02	0.05	1.45	0.97	2.42	0.53
4. Taxes and duties <sup>b</sup>	0.26	0.07	0.33	12.19	3.05	15.24	3.31
<b>Subtotal</b>	<b>1.11</b>	<b>0.63</b>	<b>1.74</b>	<b>51.57</b>	<b>29.30</b>	<b>80.87</b>	<b>17.55</b>
<b>Subtotal (I)</b>	<b>4.61</b>	<b>4.06</b>	<b>8.66</b>	<b>214.73</b>	<b>189.05</b>	<b>403.78</b>	<b>87.64</b>
<b>II. Contingencies</b>							
1. Physical <sup>c</sup>	0.26	0.15	0.41	12.25	6.96	19.21	4.17
2. Price <sup>d</sup>	0.48	0.27	0.76	22.48	12.77	35.25	7.65
<b>Subtotal (II)</b>	<b>0.75</b>	<b>0.42</b>	<b>1.17</b>	<b>34.73</b>	<b>19.73</b>	<b>54.47</b>	<b>11.82</b>
<b>III. Interest Charges<sup>e</sup></b>	<b>0.05</b>	<b>0.00</b>	<b>0.05</b>	<b>2.48</b>	<b>0.00</b>	<b>2.48</b>	<b>0.54</b>
<b>Total Project Cost (I+II+III)</b>	<b>5.41</b>	<b>4.48</b>	<b>9.89</b>	<b>251.94</b>	<b>208.78</b>	<b>460.72</b>	<b>100.00</b>

Notes: Figures may not add up to totals due to rounding.

Exchange Rate: 1US\$ = 46.6 KGS

<sup>a</sup> In mid-2012 prices.

<sup>b</sup> Taxes and duties at 20% (based on KGZ Tax Administration Reform and Modernization Project, and Regional Customs Modernization and Infrastructure Development Project).

<sup>c</sup> Estimated at 10% of civil works, field research and development, training, surveys and studies.

<sup>d</sup> Estimated at 10% of base cost.

<sup>e</sup> Interest charges. Interest during construction for ADB loans have been computed at the rate of 1% per annum.

Source: ADB estimates.

## B. Allocation and Withdrawal of Loan and Grant Proceeds

20. Table 3 and 4 shows allocation and withdrawal of funds under all the categories of Project scope.

**Table 3: Allocation and Withdrawal of Loan Proceeds**

Number	Item	Total Amount Allocated for ADB Financing (SDR)	Basis for Withdrawal from the Loan Account
		Category	
1	Border crossing point improvement (Works)	1,531,000	100.0 percent of total expenditure claimed*
2	National single window system development (Goods)	800,000	83.5 percent of total expenditure claimed*
3	Interest Charges	35,000	100 percent of amounts due
4	Unallocated	382,000	
	Total	2,748,000	

\* Exclusive of taxes and duties imposed within the territory of the Beneficiary, which shall be financed by the Beneficiary as its counterpart financing of the Project.

**Table 4: Allocation and Withdrawal of Grant Proceeds**

Number	Item	Total Amount Allocated for ADB Financing (\$)		Basis for Withdrawal from the Grant Account
		Category	Subcategory	
1	National single window development	2,210,000		
1A	Single window system development (Goods)	242,000		16.5 percent of total expenditure claimed*
1B	Single window institutional and technical support (Consulting Services)	1,968,000		100.0 percent of total expenditure claimed*
2	Project Management and Supervision	1,408,000		
2A	Project implementation unit (Project management consultants)	1,256,000		100 percent of total expenditure claimed*
2B	Auditing	100,000		100 percent of total claimed*
2C	Office equipment and miscellaneous expenses	52,000		100 percent of total expenditure claimed*
3	Unallocated	584,000		
	Total	4,202,000		

\* Exclusive of taxes and duties imposed within the territory of the Beneficiary, which shall be financed by the Beneficiary as its counterpart financing of the Project.

## C. Detailed Cost Estimates by Financier

Table 5: Detailed Cost Estimates by Financier

Item	US\$ million						Total Cost
	ADB Loan		ADB Grant		Government		
	Amount	% of Cost Category	Amount	% of Cost Category	Amount	% of Cost Category	
<b>I. Investment Costs<sup>a</sup></b>							
Border crossing point improvement							
1. Karamyk BCP civil works	2.34	100.00	0.00	0.00	0.00	0.00	2.34
2. Taxes and duties <sup>b</sup>	0.00	0.00	0.00	0.00	0.47	100.00	0.47
<b>Subtotal</b>	<b>2.34</b>	<b>83.33</b>	<b>0.00</b>	<b>0.00</b>	<b>0.47</b>	<b>16.67</b>	<b>2.81</b>
National single window development							
1. Single window system development (goods)	1.22	83.51	0.24	16.49	0.00	0.00	1.47
2. Single window institutional and technical support (consulting services)	0.00	0.00	1.97	100.00	0.00	0.00	1.97
3. Taxes and duties <sup>b</sup>	0.00	0.00	0.00	0.00	0.69	100.00	0.69
<b>Subtotal</b>	<b>1.22</b>	<b>29.70</b>	<b>2.21</b>	<b>53.63</b>	<b>0.69</b>	<b>16.67</b>	<b>4.12</b>
Project management and supervision							
1. Project management consultants	0.00	0.00	1.26	100.00	0.00	0.00	1.26
2. Auditing	0.00	0.00	0.10	100.00	0.00	0.00	0.10
3. Office equipment and miscellaneous expenses	0.00	0.00	0.05	100.00	0.00	0.00	0.05
4. Taxes and duties <sup>b</sup>	0.00	0.00	0.00	0.00	0.33	100.00	0.33
<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>	<b>1.41</b>	<b>81.15</b>	<b>0.33</b>	<b>18.85</b>	<b>1.74</b>
<b>Subtotal (I)</b>	<b>3.56</b>	<b>41.14</b>	<b>3.62</b>	<b>41.75</b>	<b>1.48</b>	<b>17.10</b>	<b>8.66</b>
<b>II. Contingencies</b>							
1. Physical <sup>c</sup>	0.21	50.00	0.21	50.00	0.00	0.00	0.41
2. Price <sup>d</sup>	0.38	50.00	0.38	50.00	0.00	0.00	0.76
<b>Subtotal (II)</b>	<b>0.58</b>	<b>50.00</b>	<b>0.58</b>	<b>50.00</b>	<b>0.00</b>	<b>0.00</b>	<b>1.17</b>
<b>III. Interest Charges<sup>e</sup></b>	<b>0.05</b>	<b>100.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.05</b>
<b>Total Project Cost (I+II+III)</b>	<b>4.20</b>	<b>42.51</b>	<b>4.20</b>	<b>42.51</b>	<b>1.48</b>	<b>14.99</b>	<b>9.89</b>

Notes: Figures may not add up to totals due to rounding.

<sup>a</sup> In mid-2012 prices.

<sup>b</sup> Taxes and duties at 20% (based on KGZ Tax Administration Reform and Modernization Project, and Regional Customs Modernization and Infrastructure Development Project).

<sup>c</sup> Estimated at 10% of civil works, field research and development, training, surveys and studies.

<sup>d</sup> Estimated at 10% of base cost.

<sup>e</sup> Interest charges. Interest during construction for ADB loans have been computed at the rate of 1% per annum.

Source: ADB estimates.

## D. Detailed Cost Estimates by Outputs/Components

**Table 6: Detailed Cost Estimates by Outputs/Components**

Item	Amount (\$ million)	% of Cost Category
<b>I. Investment Costs<sup>a</sup></b>		
Border crossing point improvement		
1. Karamyk BCP civil works	2.34	83.3%
2. Taxes and duties <sup>b</sup>	0.47	16.7%
<b>Subtotal</b>	<b>2.81</b>	<b>100.0%</b>
National single window development		
1. Single window system development (goods)	1.47	35.6%
2. Single window institutional and technical support (consulting services)	1.97	47.8%
3. Taxes and duties <sup>b</sup>	0.69	16.7%
<b>Subtotal</b>	<b>4.12</b>	<b>100.0%</b>
Project management and supervision		
1. Project management consultants	1.26	72.4%
2. Auditing	0.10	5.8%
3. Office equipment and miscellaneous expenses	0.05	3.0%
4. Taxes and duties <sup>b</sup>	0.33	18.8%
<b>Subtotal</b>	<b>1.74</b>	<b>100.0%</b>
<b>Subtotal (I)</b>	<b>8.66</b>	<b>87.6%</b>
<b>II. Contingencies</b>		
1. Physical <sup>c</sup>	0.41	35.3%
2. Price <sup>d</sup>	0.76	64.7%
<b>Subtotal (II)</b>	<b>1.17</b>	<b>11.8%</b>
<b>III. Interest Charges<sup>e</sup></b>	<b>0.05</b>	<b>0.5%</b>
<b>Total Project Cost (I+II+III)</b>	<b>9.89</b>	<b>100.0%</b>

Notes: Figures may not add up to totals due to rounding.

<sup>a</sup> In mid-2012 prices.

<sup>b</sup> Taxes and duties at 20% (based on KGZ Tax Administration Reform and Modernization Project, and Regional Customs Modernization and Infrastructure Development Project).

<sup>c</sup> Estimated at 10% of civil works, field research and development, training, surveys and studies.

<sup>d</sup> Estimated at 10% of base cost.

<sup>e</sup> Interest charges. Interest during construction for ADB loans have been computed at the rate of 1% per annum.

Source: ADB estimates.

## E. Detailed Cost Estimates by Year

Table 7: Detailed Cost Estimates by Year

Item	US\$million					
	Total Cost <sup>f</sup>	2013	2014	2015	2016	2017
<b>I. Investment Costs<sup>a</sup></b>						
Border crossing point improvement						
1. Karamyk BCP civil works	2.34	0.00	1.17	1.17	0.00	0.00
2. Taxes and duties <sup>b</sup>	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>2.34</b>	<b>0.00</b>	<b>1.17</b>	<b>1.17</b>	<b>0.00</b>	<b>0.00</b>
National single window development						
1. Single window system development (goods)	1.47	0.00	0.44	0.73	0.15	0.15
2. Single window institutional and technical support (consulting services)	1.97	0.20	0.59	0.79	0.20	0.20
3. Taxes and duties <sup>b</sup>	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>3.43</b>	<b>0.20</b>	<b>1.03</b>	<b>1.52</b>	<b>0.34</b>	<b>0.34</b>
Project management and supervision						
1. Project management consultants	1.26	0.25	0.38	0.38	0.13	0.13
2. Auditing	0.10	0.02	0.03	0.03	0.01	0.01
3. Office equipment and miscellaneous expenses	0.05	0.01	0.02	0.02	0.01	0.01
4. Taxes and duties <sup>b</sup>	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>1.41</b>	<b>0.28</b>	<b>0.42</b>	<b>0.42</b>	<b>0.14</b>	<b>0.14</b>
<b>Subtotal (I)</b>	<b>7.18</b>	<b>0.48</b>	<b>2.62</b>	<b>3.11</b>	<b>0.48</b>	<b>0.48</b>
<b>II. Contingencies</b>						
1. Physical <sup>c</sup>	0.41	0.00	0.21	0.12	0.04	0.04
2. Price <sup>d</sup>	0.76	0.08	0.30	0.23	0.08	0.08
<b>Subtotal (II)</b>	<b>1.17</b>	<b>0.08</b>	<b>0.51</b>	<b>0.35</b>	<b>0.12</b>	<b>0.12</b>
<b>III. Interest Charges<sup>e</sup></b>	<b>0.05</b>	<b>0.00</b>	<b>0.01</b>	<b>0.01</b>	<b>0.02</b>	<b>0.02</b>
<b>Total Project Cost (I+II+III)</b>	<b>8.40</b>	<b>0.56</b>	<b>3.14</b>	<b>3.48</b>	<b>0.62</b>	<b>0.62</b>
<b>% of Total Project Cost</b>	<b>100%</b>	<b>7%</b>	<b>37%</b>	<b>41%</b>	<b>7%</b>	<b>7%</b>

Notes: Figures may not add up to totals due to rounding.

<sup>a</sup> In mid-2012 prices.

<sup>b</sup> Taxes and duties at 20% (based on KGZ Tax Administration Reform and Modernization Project, and Regional Customs Modernization and Infrastructure Development

<sup>c</sup> Estimated at 10% of civil works, field research and development, training, surveys and studies.

<sup>d</sup> Estimated at 10% of base cost.

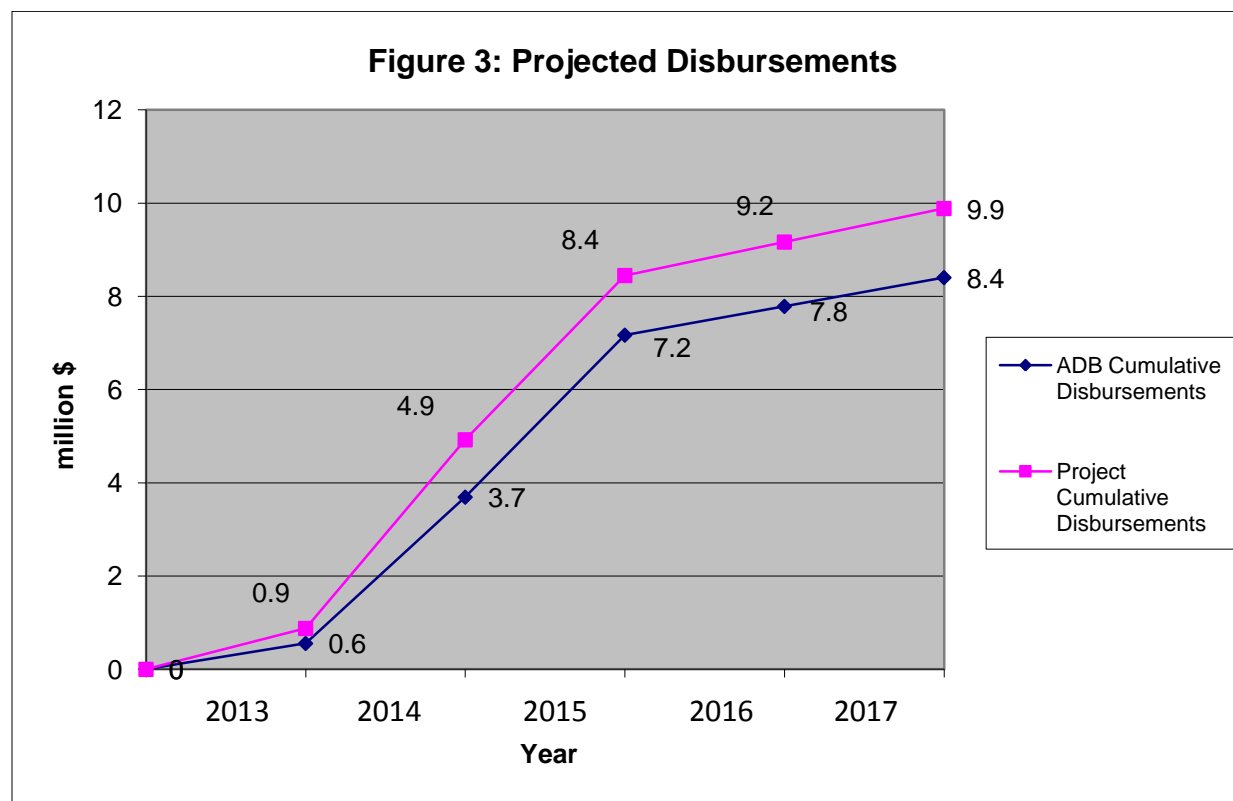
<sup>e</sup> Interest charges. Interest during construction for ADB loans have been computed at the rate of 1% per annum.

<sup>f</sup> Sum of all ADB funds for the project.

Source: ADB estimates.

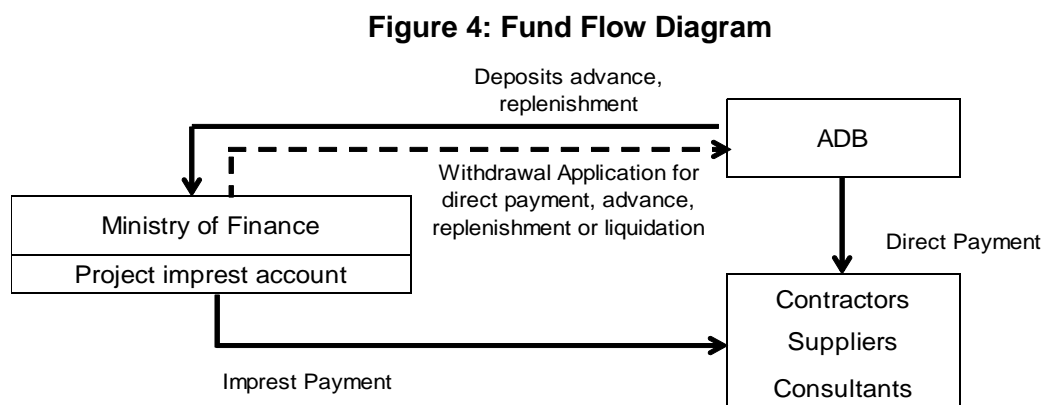
## F. Contract and Disbursement S-curve

21. Figure 3 shows the estimated disbursement progress over the implementation period of the Project. The Disbursement S-Curve will help to assess disbursement performance at any time during the project implementation. In case of delays and poor disbursements, this will help as an early warning system for taking timely remedial measures.



## G. Fund Flow Diagram

22. Figure 4 shows how the funds will flow from ADB and the Government to implement the Project.



## V. FINANCIAL MANAGEMENT

### A. Financial Management Assessment

23. This Financial Management Assessment (FMA) is based on the ADB's standard questionnaires. Key findings of the financial management assessment undertaken for the IA during the project preparation are as follows:

**Table 8: Summary of the Financial Management Assessment**

Particulars	Conclusions
<b>A. Funds Flow Arrangements</b>	MOE and SWC have previously implemented ADB-funded projects. Internal funds flow arrangements are reliable and secure. MOE and SWC have enough capability to work smoothly under the proposed project with the training designed through ADB during inception mission and by the project management consultants during project implementation.
<b>B. Staffing</b>	MOE and SWC are staffed with experienced financial specialists who are experts in managing the internal finance. All employees are full time with formal job descriptions for each position.
<b>C. Accounting Policies and Procedures</b>	The chart of accounts based on the state standard format has been in use by the SWC for many years. Segregation of duties is specified in the comments on the questionnaire including budgeting system, payments, policies and procedures, cash and bank, safeguard over assets, other offices and implementing entities. A separate financial management manual is planned to be established for the Project in accordance with ADB requirements.
<b>D. Internal and External Audits</b>	An Internal Audit function is available. For the External Audit, accounts and financial statements will be audited by auditors acceptable to ADB.
<b>E. Reporting and Monitoring</b>	Financial statements are currently prepared for SWC on monthly, quarterly and annual basis. Existing reporting system can be linked with the financial information of physical project progress but with the help of financial management specialist of the consultants.
<b>F. Information Systems</b>	Financial management system computerized and it produces the necessary financial reports of the ongoing development works. The staff is adequately trained to maintain the system and the management organization and processing system safeguard the confidentiality, integrity, and availability of the data.

Source: Regional Project Preparation Technical Assistance (R-PPTA) consultants.

24. Actions required to be taken by the SWC are as follows:

- (i) SWC's financial staff must undergo training on ADB financial management procedures to understand them and strengthen their internal audit capacity;
- (ii) A separate financial management manual for the project should be established in accordance with the Government and ADB requirements; and
- (iii) SWC should maintain separate accounts for the Project and have such accounts audited annually, in accordance with appropriate auditing standards consistently applied by auditors whose qualifications, experience, and terms of reference are acceptable to ADB.

25. **Risk Analysis.** During the implementation phase, the IA might face some risks that can

generally be divided in two main categories: (i) country level; and (ii) organization/project level. Delay in the release of counterpart funds can be attributed as major country specific risk for the Project. These summarized as follows. Financial management risks shall need to be considered and updated throughout the life of the investment program. Risk mitigation measures shall also be updated accordingly.

**Table 9: Financial Management Risk Assessment and Mitigation Measures**

<b>Risk</b>	<b>Risk Assessment*</b>	<b>Risk-Mitigation Measures</b>
<i>Inherent Risk</i>		
1. Country-specific Risks	N	EA and IA shall ensure the timely release of counterpart funds, as per loan and grant covenants
2. Entity-specific Risks	N	IA is familiar with ADB procurement guidelines and disbursement procedures. Involvement of international procurement specialist at the initial stage of the project until all contract awards and consultants' recruitment, and extensive training on ADB procedures shall be carried out.
3. Project-specific Risks	N	
<b>Overall Inherent Risk</b>	<b>M</b>	
<i>Control Risk</i>		
1. Implementing Entity	M	Organizational capacity improvement by the PIU will support the existing organizational structure
2. Funds Flow	M	Timely availability of counterpart funds will be ensured by implementing the proposed funds flow arrangements
3. Staffing	M	PIU shall assist the IA to design and implement the training program especially for ADB financial reporting requirements and their integration into overall national financial reporting requirements.
4. Accounting Policies and Procedures	M	Accounting Policy reflects the national accounting standards and the requirements of ADB.
5. Internal Audit	M	Internal auditor shall be improved by the training.
6. External Audit	N	Audit of the project accounts shall be done in accordance with the International Standards on Auditing, by the Auditor acceptable to ADB.
7. Reporting and Monitoring	N	IA and PIU shall regularly report in accordance with ADB requirements on inherent adequate control mechanisms
8. Information Systems	N	The efficiency of the existing information system and reporting is adequate.
<b>Overall Control Risk</b>	<b>M</b>	

\* H – High, S – Substantial, M – Moderate, N – Negligible or Low.  
Source: R-PPTA consultants.

## **B. Disbursement**

26. The loan and grant proceeds will be disbursed in accordance with ADB's Loan

Disbursement Handbook (2012, as amended from time to time),<sup>4</sup> and detailed arrangements agreed upon between the Government and the ADB.

27. **Prohibited investment activities.** Pursuant to ADB's Safeguard Policy Statement (2009) (SPS),<sup>5</sup> ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS. All financial institutions will ensure that their investments are in compliance with applicable national laws and regulations and will apply the prohibited investment activities list (Appendix 5) to subprojects financed by ADB.

28. **Imprest Fund Procedure.** To expedite project implementation through timely release of grant proceeds, the Ministry of Finance will open an imprest account for the State Enterprise Single Window Center in the Foreign Arena under its name after grant effectiveness at a bank acceptable to ADB, and will manage and liquidate the account according to ADB's Loan Disbursement Handbook and other arrangements satisfactory to ADB. The currency of the imprest account is U.S. dollar. The imprest account is to be used exclusively for ADB's share of eligible expenditures. The Ministry of Finance and State Enterprise Single Window Center in the Foreign Arena will be accountable and responsible for proper use of advances to the imprest account. The ceiling of the imprest account is 10 percent of the grant amount.

29. Before the submission of the first withdrawal application, EA and IA should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the beneficiary, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is \$100,000, unless otherwise approved by ADB. The EA and IA are to consolidate claims to meet this limit for reimbursement and imprest account claims. Withdrawal applications and supporting documents will demonstrate, among other things that the goods, and/or services were produced in or from ADB members, and are eligible for ADB financing.

30. ADB's Loan Disbursement Handbook (2012, as amended from time to time) describes which supporting documents should be submitted to ADB and which should be retained by the government for liquidation and replenishment of the imprest account.<sup>6</sup>

31. **Statement-of-expenditure (SOE) procedure.**<sup>7</sup> The SOE procedure may be used for reimbursement of eligible expenses and liquidation of advances to the imprest account. The ceiling of the SOE procedure is the equivalent of \$20,000 per individual payment. Supporting documents and records for the expenditures claimed under the SOE should be maintained and made readily available for review by ADB's disbursement and review missions, upon ADB's request for submission of supporting documents on a sampling basis, and for independent audit. Reimbursement and liquidation of individual payments in excess of the SOE ceiling should be supported by full documentation when submitting the withdrawal application to ADB.

## C. Accounting

32. The IA will maintain separate project financial statements and records by funding source for all expenditures incurred on the project. The IA shall prepare a comprehensive set of annual project financial statements (PFS) for each fiscal year from the date of loan and grant

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<sup>4</sup> Available at: <http://www.adb.org/documents/loan-disbursement-handbook>

<sup>5</sup> Available at: <http://www.adb.org/Documents/Policies/Safeguards/Safeguard-Policy-Statement-June2009.pdf>

<sup>6</sup> See Chapter 10 of the *Loan Disbursement Handbook*.

<sup>7</sup> SOE forms are available in Appendix 9B and 9C of the *Loan Disbursement Handbook*.

effectiveness until the date of closing of the loan and grant account on ADB's record. Annual PFS shall be prepared on the cash basis of accounting which include (at a minimum) cash-based receipt and payment statements.

33. Annual PFS should (a) be in US dollar and local currency, with the basis for conversion of any foreign exchange transactions or commitments explicitly stated; (b) be consistent with the expenditure categories contained in the Financing Agreement and the PAM, as amended; (c) include comparative figures for the preceding reporting year and cumulative figures from the loan and grant effectiveness date to the end of the current reporting year; (d) be accompanied with the Notes to Financial Statements providing sufficient explanation and information on the financials in narrative form or appropriate supporting schedules, including description of key financial reporting policies.

#### **D. Auditing**

34. The IA will have the PFS audited annually by auditors whose qualifications and experience are acceptable to ADB. The TOR of the auditors is found in *Guidelines for the Financial Governance and Management of Investment Projects Financed by the ADB*.<sup>8</sup> The EA will appoint an auditor according to the Procurement Plan within a sufficient period to conduct annual audit.

35. ADB reserves the right to review the list of auditors from which an appointment/selection will be made by the Government, and identify any auditor who may not meet ADB's criteria. ADB may request the following information to be satisfied regarding independence and experience of the proposed auditor: (a) name of the auditor; (b) names, qualifications, and experience of the principals and managers; (c) approximate number of professional staff employed; (d) listing of some of the main audits currently and previously carried out by the auditor; and (e) a statement of the independence of the firm of auditors vis-a vis the entity it is proposed to audit.

36. The PFS will be audited in accordance with international standards for auditing. ADB recognizes the following international standards: (i) International Standards of Auditing which are issued by the International Auditing Assurance Standards Board which is an independent board established by the International Federation of Accountants for the audits of the annual financial statements; and (ii) the International Standards of Supreme Audit Institutions issued by the International Organization of Supreme Audit Institutions for the audit of the annual PFS of government agencies.

37. As part of the annual audit, the EA and/or the IA will request the auditors to prepare an audit report which includes an opinion on whether the financial statements show a true and fair view and a management letter, which sets out the deficiencies in the internal control of the Project that were identified in the course of the audit (if any). The audit report will also provide separate opinion(s) on the use of the Grant proceeds on the use of the imprest account and the SOE procedures.

38. The EA will submit the audited PFS together with the audit report and the management letter for each financial reporting year from the date of loan and grant effectiveness until the

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<sup>8</sup> Available at: <http://fmguide.asiandevbank.org>

financial closing of the loan and grant account on ADB's record. All these documents in the English language will be submitted to ADB within 6 months of the end of the fiscal year to which they relate. The Beneficiary has been made aware of ADB's policy on delayed submission, and the requirements for satisfactory and acceptable quality of audited accounts.

39. ADB reserves the right to require a change in the auditors (in a manner consistent with the constitution of the Government), or an addition to the auditors, if the audits required are not carried out in a manner satisfactory to ADB, or if audits are substantially delayed. ADB will disclose the annual AFS for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website.

## **VI. PROCUREMENT AND CONSULTING SERVICES**

### **A. Advance Contracting**

40. All advance contracting will be undertaken in conformity with ADB's Procurement Guidelines (2010, as amended from time to time)<sup>9</sup> and ADB's Guidelines on the Use of Consultants (2010, as amended from time to time)<sup>10</sup>. The issuance of invitations to bid under advance contracting will be subject to ADB approval. The EA and IA have been advised that approval of advance contracting does not commit ADB to finance the Project.

41. The engagement of project management and single window institutional and technical support consultants may be considered for advance contracting.

### **B. Procurement of Goods, Works and Consulting Services**

42. All procurement of goods and works to be financed out of the proposed ADB loan and grant will be undertaken in accordance with ADB's Procurement Guidelines (2010, as amended from time to time) and the Public Procurement Law of Kyrgyz Republic (2004). International competitive bidding (ICB) will be used for civil works contracts valued at \$1 million or more. Civil works contracts valued less than \$1 million will be procured using national competitive bidding (NCB) procedures. ICB will be applied to supply contracts estimated to cost \$500,000 or more. Supply contracts with a value less than \$500,000 will follow NCB, and those less than \$100,000 will follow shopping procedures as reflected by particular circumstances of the contract packages. The selection and engagement of contractors will be subject to ADB's prior review and approval. Before commencement of NCB procurement, ADB and the Beneficiary will review the Beneficiary's procurement procedures to ensure consistency with ADB requirements. Any necessary modifications or clarifications to the Beneficiary's procedures will be documented in the procurement plan. Any internationally tendered equipment packages will include the necessary technical support for ensuring proper installation, testing, commissioning, and training of operational staff as part of the related contracts. In accordance with ADB requirements, foreign contractors may participate in bidding for NCB contracts. The EA and the IA have been advised of the need to maintain transparency and accountability in procuring goods and services, as required under the ADB's Anticorruption Policy (1998, as amended from time to time).

43. A 5-year procurement plan indicating threshold and review procedures, and goods, works and consulting services contract packages is in Section C below.

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<sup>9</sup> Available at: <http://www.adb.org/Documents/Guidelines/Procurement/Guidelines-Procurement.pdf>

<sup>10</sup> Available at: <http://www.adb.org/Documents/Guidelines/Consulting/Guidelines-Consultants.pdf>

44. All consultants to be financed under the ADB loan and grant will be recruited in accordance with ADB's Guidelines on the Use of Consultants (2010, as amended from time to time).<sup>11</sup> Consultants will be selected and engaged using ADB's quality and cost-based selection and consultant's qualifications selection procedures. A total of 760 person-months (52 international and 708 national) of consulting services will be needed: a) 478 person-months of consulting services (22 international, 456 national) grouped into one package will be funded under the Project for the single window institutional and technical support to (i) provide operational assistance to single window governance and working groups, (ii) undertake business process analysis and reengineering, (iii) undertake legal and regulatory framework review, and (iv) develop and organize stakeholder engagement activities; b) 282 person-months of project management and supervision consulting services consisting 276 person-months of national consulting services to work as full-time PIU staff, and 30 person-months of international consulting services to support the PIU in (i) preparing the design and build (D&B) bid documents, (ii) organizing and implementing the bidding, (iii) establishing the evaluation criteria for bidding the D&B packages, (iv) ensuring knowledge transfer to IA and end-users, (v) undertaking monitoring and evaluation, and (vi) preparing progress reports. Consultants will be engaged using QCBS with the ratio of 90:10.

45. The consultants will have expertise in (i) trade-related ICT systems; (ii) infrastructure; (iii) development and procurement of D&B contracts, including performance-based contracting; (iv) project management and supervision; (v) business process re-engineering; (vi) legal aspects; (vii) institutional and organizational development; and (viii) capacity building and training. The outline terms of reference for all consulting services are detailed in Section D. The relevant sections of ADB's Anticorruption Policy (1998, as amended from time to time) will be included in all documents and contracts relating to the engagement of consultants.

## C. Procurement Plan

Basic Data	
<b>Project Name:</b> Central Asia Regional Economic Cooperation Regional Improvement of Border Services Project	
<b>Country:</b> Kyrgyz Republic	<b>Executing Agency:</b> Ministry of Economy
<b>Loan Amount:</b> \$4.202 million	<b>Loan Number:</b> TBD
<b>Grant Amount:</b> \$4.202 million	<b>Grant Number:</b> TBD
<b>Date of First Procurement Plan:</b> TBD	<b>Date of this Procurement Plan:</b> February 2013

### 1. Process Thresholds, Review and 18-Month Procurement Plan

#### (a) Project Procurement Thresholds

46. Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works.

<sup>11</sup> Checklists for actions required to contract consultants by method available in e-Handbook on Project Implementation at: <http://www.adb.org/documents/handbooks/project-implementation/>

### Procurement of Goods and Works

Procurement Method	Threshold
International Competitive Bidding (ICB) for Works	Between \$1,000,000 and \$10,000,000
International Competitive Bidding for Goods	Between \$ 500,000 and \$1,000,000
National Competitive Bidding (NCB) for Works	Beneath that stated for ICB, Works
National Competitive Bidding for Goods	Beneath that stated for ICB, Goods
Shopping Works	Below \$100,000
Shopping Goods	Below \$100,000

#### (b) ADB Prior or Post Review

47. 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.

Procurement Method	Prior or Post	Comments
<b>Procurement of Goods and Works</b>		
ICB Works	Prior	
ICB Goods	Prior	
NCB Works		
NCB Goods		
Shopping for Works		
Shopping for Goods		
<i>List other methods of procurement</i>		
<b>Recruitment of Consulting Firms</b>		
Quality- and Cost-Based Selection (QCBS)	Prior	
Quality-Based Selection (QBS)	Prior	
Other selection methods: Consultants Qualifications (CQS), Least-Cost Selection (LCS), Fixed Budget (FBS), and Single Source (SSS)	Prior	
<b>Recruitment of Individual Consultants</b>		
Individual Consultants	Prior	

#### (c) Goods and Works Contracts Estimated to Cost More Than \$1 Million

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

General Description	Contract Value (\$ million)	Procurement Method	Prequalification of Bidders (y/n)	Advertisement Date (quarter/year)	Comments
Karamyk BCP improvement	2.809	ICB	Y	Q3 2013	
Single window system development	1.759	ICB design and build	Y	Q3 2013	

**(d) Consulting Services Contracts Estimated to Cost More Than \$100,000**

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

<b>General Description</b>	<b>Contract Value (\$ million)</b>	<b>Recruitment Method</b>	<b>Advertisement Date (quarter/year)</b>	<b>International or National Assignment</b>	<b>Comments</b>
Single window institutional and technical support	2.362	QCBS 90:10	Q1 2013	International and National	Advance contracting
Project management and supervision	1.570	QCBS 90:10	Q1 2013	International and National	Advance contracting
Auditing	0.100	QCBS 90:10	Q3 2013	National	

**(e) Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000**

50. 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.

<b>General Description</b>	<b>Value of Contracts (cumulative, \$ million)</b>	<b>Number of Contracts</b>	<b>Procurement / Recruitment Method</b>	<b>Comments</b>
PIU office equipment and miscellaneous expenses	0.065	2	Shopping for Goods	

**2. Indicative List of Packages Required Under the Project**

51. The following table provides an indicative list of all procurement (goods, works and consulting services) over the life of the project. Contracts financed by the Beneficiary and others should also be indicated, with an appropriate notation in the comments section.

<b>General Description</b>	<b>Estimated Value (cumulative, \$ million)</b>	<b>Estimated Number of Contracts</b>	<b>Procurement Method</b>	<b>Domestic Preference Applicable</b>	<b>Comments</b>
Karamyk BCP improvement	2.809	1	ICB works	No	
Single window system development	1.759	1	ICB design and build	No	
PIU office equipment and miscellaneous expenses	0.065	2	Shopping for Goods	No	

General Description	Estimated Value (cumulative, \$ million)	Estimated Number of Contracts	Recruitment Method	Type of Proposal	Comments
Single window institutional and technical support	2.362	1	QCBS 90:10 international and national	Full	
Project management and supervision	1.570	1	QCBS 90:10 international and national	Full	
Auditing	0.100	1	QCBS 90:10 national	Biodata	

### 3. Review of Contract Modifications

52. ADB will review contract modifications in accordance with the procedures set forth in the Financing Agreement between the Kyrgyz Republic and ADB.

### D. Consultant's Terms of Reference

#### Outline Terms of Reference for the Single Window Institutional and Technical Support Consulting Services

##### 1. Business Process Re-engineering (BPR) Specialist and Team Leader

(International, 1 x 3 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
  - (i) Lead technical role in the BPR activities at the selected and prioritized government agencies for participation in the national single window;
  - (ii) International consultant will effectively manage national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development;
  - (iii) Develop a BPR plan for selected agencies, in coordination with departmental staff and single window work groups;
  - (iv) Identify all information, documents and processes (including payments, insurances, signatures and stamps-in all of their multiple copies) required to process the requisite license or approval;
  - (v) Identify all other agencies (government, NGO and private sector) involved in the process;
  - (vi) Identify typical private sector processes;
  - (vii) Undertake a rationalization and simplification of information, forms design, content and data elements;
  - (viii) Workshop the results and confirm the need for such information in any reformed process and/or eliminate legacy requirements where they can be proven to be no longer needed in an electronic environment;

- (ix) Redesign processes and electronic forms/screen layouts, in coordination with change management principles, data harmonization and the subsequent data modeling processes;
- (x) Liaise with single window technical and development staff to ensure consistent design and development principles are adhered to and ICT policy issues fully taken into account;
- (xi) Ensure commitment to change through close collaboration with departmental staff and external users;
- (xii) Engage with ICT and single window staff to ensure that any proposed redesign is optimized for single window implementation;
- (xiii) Build in electronic payment systems and digital signature facilities in any redesign;
- (xiv) Facilitate business continuity best practices during any changeover and change management activities;
- (xv) Fully document the “before and after” process, identifying areas for future, further enhancement, ensuring the adequate use of local languages, within their capabilities;
- (xvi) Design prototype and pilot operations in coordination with single window operations;
- (xvii) Develop training materials and courses for users, stakeholders and single window staff;
- (xviii) Hand over to single window production and departmental staff; and
- (xix) Ensure an integration of any future departmental redesign and systems development with change management and BPR processes and overall single window design and operation.

(b) Qualifications

- (i) The consultant will have significant experience in the area of BPR in a government and departmental context.
- (ii) A broad knowledge of the needs, purposes and best practices of BPR and the management of systems and process change (change management) will also be required of this position.
- (iii) Experience of BPR in the context of trade facilitation and the international supply chain is desirable as is experience of single window implementation operations and implementation.
- (iv) Previous experience in leading technical discussions and consultations with government agencies in other Central Asian countries is an important pre requisite.
- (v) Relevant experience in a Central Asian economy and familiarity with the Russian language would be an important attribute.

**2. UN/WCO Data Mapping Specialist** (International, 1 x 3 person-months)

- (a) The consultants’ tasks and responsibilities will include the following:
  - (i) Advise the single window governance agency and its working groups on the application of harmonization of the data sets used across the Single Window users into one common data model based on the WCO Data Model version 3 (and any subsequent upgrade or modification);

- (ii) Effectively manage any national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development;
- (iii) Identify any gaps in the area of B2B, B2G and G2G data sets and recommend processes and techniques to overcome any discrepancies;
- (iv) Collaborate with user groups and government department/agency task forces on BPR, simplification and harmonization in order to coordinate national single window data modeling efforts;
- (v) Confirm that the scope of the data harmonization project matches the scope of the business process analysis;
- (vi) Undertake an audit process to ensure that each data element from each document is included in the mapping process as part of the single window data dictionary;
- (vii) Identify any data elements that might require special programming or exception handling;
- (viii) Identify, explain and document any exceptions, then devise an action plan to overcome these exceptions;
- (ix) Select and justify the data element to WCO data base mapping tools selected for the mapping task;
- (x) Liaise at regular intervals with working groups and all of the other development teams engaged on the single window process;
- (xi) Develop awareness, education, training and update materials for stakeholders, users and the technical teams from both the public and private sectors, wherever possible in local languages;
- (xii) Open and maintain lines of communication with significant national trading partners who are undertaking similar exercises.

(b) Qualifications

- (i) The consultant will have significant experience in applying data mapping tools, and/or programming languages and techniques to trade facilitation applications in international supply chains, government agencies and ideally single windows.
- (ii) Experience of collaboration with systems reengineering, data harmonization and the change management process from paper based systems to reengineered processes and single window platforms is highly desirable, as is a knowledge of UNCEFACT recommendations, EDIFACT standards and the latest version of the WCO data base.
- (iii) Experience in a variety of data mapping applications, preferably within different regimes is preferred as is experience in Central Asian economies.
- (iv) Previous experience in leading technical discussions and consultations with government agencies, key stakeholders and user groups in other Central Asian economies would be a distinct advantage.
- (v) Working knowledge of the Russian language is desirable.

**3. International Trade Law Consultant** (International, 1 x 12 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
  - (i) Undertake desk research and consultation as necessary on existing and planned United Nations Commission on International Trade Law (UNCITRAL) work on single window;

- (ii) Undertake similar work on World Trade Organization (WTO) and World Customs Organization (WCO) single window activities, especially from the perspective of national trade legislation and departmental regulations, also to include international conventions and recommendations on e-Commerce principles, digital signatures, paperless trade and any other relevant legislative trends;
- (iii) Pay particular attention to United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) recommendations, UN/CEFACT recommendations 33 and 35 in particular;
- (iv) Evaluate national legislation to identify any gaps, ambiguities or anomalies with respect to the application of ICT to trade and particularly the single window and its underlying principles;
- (v) Undertake similar work to evaluate departmental trade process regulations and decrees in order to identify incompatibilities with the effective and efficient operation of a national single window;
- (vi) Identify processes and the timescale to make departmental changes to trade regulations in order to design new processes to overcome inbuilt inhibitors to best practices;
- (vii) Produce a paper and a set of prioritized recommendations on gaps in legislation and regulation which will hinder the cause of the single window and its overall aims for the country;
- (viii) Coordinate with the legal and Ministerial branches of government in order to establish a plan for drafting replacement or amended regulation and legislation;
- (ix) International consultant will effectively manage any national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development;
- (x) Brief the single window governance group and the legal issues working group at regular intervals;
- (xi) Assist in the establishment of a whole-of-government feedback mechanism and assist with awareness and education efforts for lawmakers and decision makers; and
- (xii) Prepare and deliver high-quality presentations and technical notes at short notice, to a wide range of audiences, from international and national legislators right through to single window technologists and user communities.

(b) Qualifications

- (i) The international legal expert will have at least 10 years experience in trade process regulation and legislation.
- (ii) Experience in Central Asia would be an advantage. Previous experience in leading technical discussions with governments and reform with stakeholders in Central Asian countries will be a requirement, as this will be the key to raising stakeholders' awareness of international experience of similar reform challenges.
- (iii) The successful applicant must be able to demonstrate an understanding of the importance of single window concepts to national trade performance and national competitive advantage and be able to articulate the need for ICT based reform in the trade process and compliance with United Nations (UN) and other international agencies initiatives in improving trade processes through the application of technology and global standards together with legal and regulatory reform.
- (iv) They must be able to relate the specific objectives of their assignment to the success of the Single Window project and improved trade facilitation.

- (v) A working knowledge of Russian language would be highly desirable.

**4. Single Window Governance and Working Groups Consultant**  
(International, 1 x 3 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
- (i) Acquire a knowledge of interim governance or foundation constitutional arrangements, the composition and roles of the working groups and clear objectives for the national single window;
  - (ii) Assist one or more selected working groups, thereafter to work on an on demand basis for the identified working groups or for specific cross working group sub projects. This is usually achieved through working groups that act on behalf of specific groups or organizations, such as:
    - Customs and Government agencies active in trade licensing and transaction approvals and inspections;
    - Transport, storage and logistics organizations;
    - The international supply chain, customs brokers and freight forwarders;
    - Banking and insurance companies;
    - NGO, such as organizations issuing Certificates of Origin;
    - Private sector organizations, which might include Chambers of Commerce and peak industry bodies;
    - The trade process legal community;
    - Trade promotion and single desk marketing organizations;
    - The national technology infrastructure; and
    - The original source of or conduit for national single window funding.
  - (iii) Specific assistance may be technical, to overcome resource constraints, to provide meeting management and secretarial services;
  - (iv) Assist the single window governance consultant in such tasks as:
    - To achieve a familiarity with the details of each of the action plans for the working groups, their priorities and the challenges facing them;
    - To develop a working understanding of the interactions between the working groups, and the broader needs of stakeholders and the potential single window user communities so as to evolve a communications , feedback and reporting regime that is suitable to local working patterns and conditions; and
    - To identify gaps and overlaps in the membership of working groups and in the number and duties of working groups themselves.
  - (v) Identify any short term or "limited life" working groups, such as specific industry groups;
    - To gather information on specific departmental and overall single window business plans, including potential costs and benefits for all user groups and the government;
    - To apply this information to a potential cost sharing or revenue generating regime with tariffs that represent fair value for the user community and the funding needs of the single window development and support efforts;
    - To research alternative longer term ownership and operational models for the governance of the single window and to present these options to government and the governance organizational membership for discussion and decision making;

- To coordinate with the legal issues working group and the international and national consultants working on legal issues to define an explicit long term legal entity, a commercial entity or an operational entity which will become the future, permanent single window entity, together with an agreed mechanism for cost recovery and guarantees on levels of charges for all users;
  - To compile a final recommendation paper in collaboration with single window decision makers for final presentation to Government.
- (vi) International consultant will effectively manage any national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development.
- (b) Qualifications
- (i) The expert consultant needs to be able to demonstrate an in depth knowledge of the organization and project management aspects of a national single window.
  - (ii) Qualifications will include significant experience in cross agency and/or cross organizational experience in designing, implementing and/or managing a multi agency ICT based project.
  - (iii) Additionally, practical experience of business process analysis and reengineering is required.
  - (iv) Experience or significant knowledge of UN/CEFACT recommendations, data modeling, change management, WCO data bases and the implications for end users and stakeholders is required.
  - (v) The consultant will need to demonstrate an expertise in high level consultation and negotiation in order to arrive at the best governance model for the national single window.
  - (vi) The consultant will need to demonstrate a good knowledge of a national governance organization working plans and work groups whose activities make up the overall governance and project direction for the national single window.
  - (vii) Experience of working in Central Asian economies and a working knowledge of Russian language are important attributes for this role.

## **5. Training Advisor** (International, 1 x 1 person-month)

- (a) The consultants' tasks and responsibilities will include the following:
- (i) Working with design and implementation staff and working groups, specifically those responsible for awareness and training (Chamber of Commerce or selected peak industry body), the consultant will collaborate with these groups in order to identify a menu of courses and publications aimed at producing competent and knowledgeable single window systems users and advocates;
  - (ii) In coordination with the trade portal staff, help desk and call centre staff, the consultant will assist in populating their data bases with education and training materials and information that will be of use to operational staff and to systems users in their everyday tasks;
  - (iii) Specific courses and awareness briefings will then be designed and delivered to help working groups with, for example:
    - initial single window process awareness;
    - costs and benefits of a national single window; international case studies;

- different types and different emphases of single window;
- feasibility and the case for a national single window service;
- inventory of documents and information used in international trade;
- what is a data element; the role of UN/CEFACT and WCO;
- BPR and change management;
- customs processes, including electronic declarations, risk management techniques, red and green channel selectivity-and why;
- licensing registration: product, organization;
- Government agency processes: types of licenses and purposes; what it takes to lodge and obtain approval of a license application;
- reengineered Government agency process: how it works;
- integrating an electronic customs declaration and an electronically lodged and approved license application;
- logistics, transport, warehousing and inspection process;
- reengineering and automation of the logistics and transport processes;
- integration of the import, export, transit and transshipment process;
- road, rail, air, maritime, multimodal and default-free zone goods processing systems;
- summary of the benefits of automated trade facilitation;
- basic principles of the single window and varying objectives;
- role of ICT in the single window;
- project planning, governance and implementation;
- world best practices: the gap;
- work programme: who does what;
- progress to date; and
- future possible developments and enhancements to a national single window, including:
  - sophisticated risk management applications by Customs and by government agencies
  - pre-arrival clearance and immediate pre-departure clearance of goods
  - a comprehensive logistics and border management single window enhancement, including transit and transshipment module
  - integration of air cargo and express messengers into the single window community
  - regional (CAREC or sub-CAREC single window)

(b) Qualifications

- (i) The consultant will need a good local knowledge of trade processes and be a fluent Russian language speaker.
- (ii) The consultant will need to demonstrate an ability to communicate technology based cross discipline and cross agency initiatives in order to effectively carry out the assignment.
- (iii) The consultant will need to have been active in similar training roles in the Central Asian region.
- (iv) The consultant will need to be conversant with current training techniques such as e-Learning, wiki based learning and teaching methods, web based interactive training, social media and smart phone app learning techniques.

- (v) The consultant will have experience in developing teaching materials based on input from technical sources and expert business and government agency practitioners.
- (vi) The consultant will need to demonstrate graphic arts and presentation skills and the ability to compile attractive and effective training publications.

**6. Data Mapping Business Analysts** (National, 3 x 16 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
  - (i) Take a leading technical role in identifying and documenting the BPR activities at the selected and prioritized government agencies for participation in the national single window;
  - (ii) Develop and refine a BPR master plan;
  - (iii) Effectively manage any other national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development;
  - (iv) Develop a BPR plan for selected agencies, in coordination with departmental staff and the appropriate single window work group;
  - (v) Identify all information, documents and processes (including payments, insurances, signatures and stamps-in all of their multiple copies) required to process the requisite license or approval;
  - (vi) Identify all other agencies (government, NGO and private sector) involved in the process;
  - (vii) Identify typical private sector processes;
  - (viii) Participate in a document a rationalization and simplification of information, forms design, content and data elements;
  - (ix) Organize a workshop to share the results, confirm and document the need for such information in any reformed process and/or eliminate legacy requirements where they can be proven to be no longer needed in an electronic environment;
  - (x) Document the principles of the redesign processes and electronic forms/screen layouts, in coordination with change management principles, data harmonization and the subsequent data modeling processes;
  - (xi) Liaise with single window technical and development staff to ensure accuracy of documentation i.e., design and development principles are adhered to and ICT policy issues fully taken into account;
  - (xii) Ensure commitment to the principles contained within the BPR master plan through close collaboration with departmental staff and external users;
  - (xiii) Engage with ICT and single window staff to confirm that any proposed redesign, optimized for single window implementation is reflected in the BPR master plan;
  - (xiv) Make allowances for electronic payment systems and digital signature facilities in any redevelopment of the BPR master plan;
  - (xv) Ensure that business continuity best practices are planned and documented during any changeover and change management activities;

- (xvi) Fully document the “before and after” process, identifying areas for future, further enhancement, ensuring the adequate use of local languages, within their capabilities;
  - (xvii) Integrate prototype and pilot operations into the BPR master plan in coordination with single window operations;
  - (xviii) Develop debriefing and training materials and courses for users, stakeholders and single window staff;
  - (xix) Hand over the BPR master plan to the single window governance group, prior to distributing it to single window production and departmental staff, and thereafter to the user community; and
  - (xx) Ensure an integration of any future departmental redesign and systems development with change management and BPR processes and overall single window design and operation.
- (b) Qualifications
- (i) Must have significant experience in the area of BPR in a government and departmental context.
  - (ii) Must have a broad knowledge of the needs, purposes and best practices of BPR and management of systems and process change (change management).
  - (iii) BPR experience in the context of trade facilitation and international supply chain is desirable as is experience of single window implementation operations and implementation.
  - (iv) Experience in the development of a national BPR master plan is essential.
  - (v) Previous experience in leading and documenting technical discussions and consultations with government agencies in other Central Asian countries is an important pre-requisite.
  - (vi) Relevant experience in a Central Asian economy and familiarity with the Russian language would be an advantage.

## **7. Data Mapping Programmers/Developers (National, 5 x 36 person-months)**

- (a) The consultants’ tasks and responsibilities will include the following:
- (i) Advise the single window governance agency and its working groups on the application of harmonization of the data sets used across the single window users into one common data model based on the WCO Data Model version 3 (and any subsequent upgrade or modification);
  - (ii) Effectively manage any other national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development;
  - (iii) Identify any gaps in the area of B2B, B2G and G2G data sets and recommend processes and techniques to overcome any discrepancies;
  - (iv) Collaborate with user groups and government department/agency task forces on BPR, simplification and harmonization in order to coordinate national single window data modeling efforts;

- (v) Confirm that the scope of the data harmonization project matches the scope of the business process analysis;
- (vi) Undertake an audit process to ensure that each data element from each document is included in the mapping process as part of the single window data dictionary;
- (vii) Identify any data elements that might require special programming or exception handling;
- (viii) Identify, explain and document any exceptions, then devise an action plan to overcome these exceptions;
- (ix) Select and justify the data element to WCO data base mapping tools selected for the mapping task;
- (x) Liaise at regular intervals with working groups and all of the other development teams engaged on the single window process;
- (xi) Develop awareness, education, training and update materials for stakeholders, users and the technical teams from both the public and private sectors, wherever possible in local languages; and
- (xii) Open and maintain lines of communication with significant national trading partners who are undertaking similar exercises.

(b) Qualifications

- (i) Must have a significant body of experience in applying data mapping tools, and/or programming languages and techniques to trade facilitation applications in international supply chains, government agencies and, ideally, single window.
- (ii) Experience in a variety of data mapping applications, preferably within different regimes especially with Central Asian economies is preferred.
- (iii) Experience of collaboration with systems reengineering, data harmonization and the change management process from paper based systems to reengineered processes and single window platforms is highly desirable.
- (iv) Must have a good knowledge of UNCEFACT recommendations, EDIFACT standards and the latest version of the WCO data base.
- (v) Previous experience in leading technical discussions and consultations with government agencies, key stakeholders and user groups in other Central Asian economies would be a distinct advantage.
- (vi) A working knowledge of the Russian language is an advantage.

**8. Data Mapping Assistants/Testing Specialist**

(National, 2 x 18 person-months, 1 x 12 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
  - (i) Report to the national data mapping business analyst and liaise with national data mapping developer/programmers;
  - (ii) Undertake training sessions held by vendors, service providers or single window specialists in order to recognize which data elements in which data base are to be transformed by the data mapping tool, the formats to which they are being transformed and the separate data bases and occurrences-or frequencies-which need to be populated with transformed-or mapped data elements;

- (iii) Undertake individual assignments from the national data mapping business analyst ;
  - (iv) Participate in integration and quality assurance tests;
  - (v) Document any transformed systems undertaken by the assistant;
  - (vi) Liaise with single window programmers, trade portal programmers and track and trace programmers in order to integrate and demonstrate interoperability of the relevant data bases; and
  - (vii) Assist with the development of upgrade and maintenance programmes.
- (b) Qualifications
- (i) Must have an ICT background. Tertiary computer science or computer programming qualifications would be an advantage.
  - (ii) Must have experience in creating and maintaining data bases and a knowledge of the role and function of data elements.
  - (iii) A good knowledge of single window processes and of UNCEFACT recommendations and standards is an advantage.
  - (iv) A knowledge of Russian language would be an advantage.

**9. Expert Support to Single Working Groups** (National, 1 x 36 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
- (i) Acquire a knowledge of interim foundation constitutional governance arrangements, the composition and roles of the working groups and clear objectives for the national single window, through coordination with other consulting teams and particularly the development and detailed understanding of the national single window blueprint;
  - (ii) Provide initial specific assistance to one or more selected working groups, thereafter to work on an on-demand basis for any of the identified working groups or for specific cross-working group sub projects. This may be achieved through working groups that act on behalf of specific groups or organisations, such as:
    - Customs and government agencies active in trade licensing and transaction approvals and inspections;
    - transport, storage and logistics organisations;
    - international supply chain, customs brokers and freight forwarders;
    - banking and insurance companies;
    - NGO, such as organisations issuing Certificates of Origin, pre-shipment inspection services (PSI) or specialist inspection/surveyor tasks;
    - private sector organisations, which might include Chamber of Commerce and peak industry bodies;
    - trade process legal community;
    - trade promotion and any single desk marketing organisations;
    - national technology infrastructure; and
    - original source of or conduit for national single window funding, such as the Ministry of Finance.
  - (iii) Provide technical assistance to overcome resource constraints e.g., coordination of meetings and secretarial services;
  - (iv) Assist the single window governance consultant on tasks such as:

- achieving familiarity with the details of each of the action plans for the working groups, their priorities and the challenges facing them;
  - developing a working understanding of the interactions between the working groups, and the broader needs of stakeholders and the potential single window user communities so as to evolve a communications , feedback and reporting regime that is suitable to local working patterns and conditions; and
  - identifying gaps and overlaps in the membership of working groups and in the number and duties of working groups themselves.
- (v) Identify any short term or “limited life” working groups, such as specific industry groups or topic-specific groups;
- gather information on specific departmental and overall single window business plans, including potential costs and benefits for all user groups and the government;
  - apply this information to a calculation and recommendation on potential cost sharing or revenue generating regime with tariffs that represent fair value for the user community and the funding needs of the single window development and support efforts;
  - assist in research on alternative longer term ownership and operational models for the governance of the single window and to present these options to government and the governance organisational membership for discussion and decision making;
  - coordinate with the legal issues working group and the international and national consultants working on legal issues to define an explicit long term legal entity, a commercial entity or an operational entity which will become the future, permanent single window entity, together with an agreed mechanism for cost recovery and guarantees on levels of charges for all users; and
  - help compile a concluding recommendation paper in collaboration with single window decision makers for final presentation to government.
- (b) Qualifications
- (i) Significant cross agency and/or cross organisational experience in designing, implementing and/or managing a multi agency ICT based project.
  - (ii) Must be able to demonstrate an in depth knowledge of the organisation and project management aspects of a national single window.
  - (iii) Practical experience in business process analysis and reengineering is required.
  - (iv) Experience or appropriate knowledge of UNCEFACT recommendations, data modelling, change management, WCO data bases and the implications for end users and stakeholders is required.
  - (v) Must be able to demonstrate a good knowledge of working with the groups whose activities make up the overall governance and project direction for the national single window.
  - (vi) Experience of working in Central Asian economies and a working knowledge of Russian language are important attributes for this role.

**10. National Legal and Regulatory Consultants** (National, 2 x 36 person-months)

- (a) The consultants’ tasks and responsibilities will include the following:

- (i) Undertake desk research and consultation as necessary on existing and planned UNECE, UNCITRAL and other UN and international agencies' work on single window;
  - (ii) Undertake or be familiar with similar work on WTO and WCO single window activities, especially from the perspective of national trade legislation and departmental regulations, also to include international conventions, recommendations on e-Commerce principles, digital signatures, paperless trade and any other relevant legislative trends, and UNCEFACT recommendations 33 and 35;
  - (iii) Evaluate national legislation to identify any gaps, ambiguities or anomalies with respect to the application of ICT to trade and particularly the single window and its underlying principles;
  - (iv) Undertake similar work to evaluate departmental trade process regulations and decrees in order to identify incompatibilities with the effective and efficient operation of a national single window;
  - (v) Identify processes and the timescale to make departmental changes to trade regulations in order to design new processes to overcome inbuilt inhibitors to best practises;
  - (vi) Produce a paper and a set of prioritised recommendations on gaps in legislation and regulation which will hinder the cause of the single window and its overall aims for the country;
  - (vii) Coordinate with the legal and Ministerial branches of government in order to establish a plan for drafting replacement or amended regulation and legislation;
  - (viii) Oversee the subsequent drafting and, where appropriate, its passage through the national legislative processes;
  - (ix) Brief the single window governance groups on legal issues on regular basis;
  - (x) Assist in the establishment of a whole-of-government feedback mechanism and assist with awareness and education efforts for lawmakers and decision makers; and
  - (xi) Prepare and deliver high-quality presentations and technical notes at short notice, to a wide range of audiences, from international and national legislators right through to single window technologists and user communities.
- (b) Qualifications
- (i) At least five (5) years experience in trade process regulation and legislation.
  - (ii) Experience in a Central Asia economy would be an advantage.
  - (iii) Previous experience in leading technical discussions with governments and reform with stakeholders in other countries will be a distinct asset, as this will be the key to raising stakeholders' awareness of international experience of similar reform challenges.
  - (iv) Must be able to demonstrate an understanding of the importance of single window concept to national trade performance and national competitive advantage.
  - (v) Should be able to articulate the need for ICT-based reform in the trade process and compliance with UN and other international agencies initiatives in improving trade processes through the application of technology and global standards, together with legal and regulatory reform.
  - (vi) Must be able to relate the specific objectives of their assignment to the fundamental success of the single window project and improved trade facilitation.
  - (vii) A working knowledge of Russian language would be highly desirable.

**11. Training Content Expert** (National, 1 x 24 person-months)

- (a) The consultants' tasks and responsibilities will include the following:
- (i) Work with design and implementation staff and working groups, specifically those responsible for awareness, in order to identify a menu of courses and publications aimed at producing competent and knowledgeable single window systems users and advocates;
  - (ii) Assist in populating data bases with education and training materials and information that will be of use to operational staff and to systems users in their everyday tasks;
  - (iii) Design and deliver specific courses and awareness briefings to help the working groups with, for example:
    - initial single window process awareness;
    - costs and benefits of a national single window and international case studies;
    - different types and different emphases of single window;
    - feasibility and the case for a national single window service;
    - inventory of documents and information used in international trade;
    - what is a data element – the role of UNCEFACT and WCO;
    - BPR and change management;
    - customs processes, including electronic declarations, risk management techniques, red and green channel selectivity – and why
    - licensing registration – product, organization;
    - government agency processes – types of licenses and purposes, what it takes to lodge and obtain approval of a license application;
    - reengineered government agency process – how it works;
    - integrating an electronic customs declaration and an electronically lodged and approved license application;
    - logistics, transport, warehousing and inspection process;
    - reengineering and automation of the logistics and transport processes;
    - integration of the import, export, transit and transshipment process;
    - road, rail, air, maritime, multimodal and DFZ goods processing systems;
    - benefits of automated trade facilitation;
    - basic principles of the single window and varying objectives;
    - role of ICT in the single window;
    - project planning, governance and implementation;
    - international best practices – the gap;
    - work programme – who does what;
    - progress to date; and
    - future possible developments and enhancements to a NSW, including:
      - sophisticated risk management applications by customs and by government agencies;
      - pre-arrival clearance and immediate pre-departure clearance of goods;
      - comprehensive logistics and border management single window enhancement, including a transit and transshipment module;
      - integration of air cargo and express messengers into the single window community; and
      - regional (CAREC or sub-CAREC single window).

(b) Qualifications

- (i) Must have a good local knowledge of trade processes and be a fluent Russian language speaker.
- (ii) Must be able to demonstrate a capability to assimilate and to understand the concepts and specific details of the proposed completed single window and associated sub systems.
- (iii) Must be able to demonstrate an ability to communicate technology-based cross-discipline and cross-agency initiatives in order to effectively carry out the assignment.
- (iv) Active in similar training roles in the Central Asian region is an advantage.
- (v) Must be a conversant with current training techniques such as e-Learning, wiki based learning and teaching methods, web based interactive training, social media and smart phone app learning techniques.
- (vi) Must have experience in developing teaching materials based on input from technical sources and expert business and government agency practitioners.
- (vii) Must be able to demonstrate graphic arts and presentation skills and the ability to compile attractive and effective training publications.
- (viii) Must be proficient in the use and application of common office, graphics and presentation software.

**12. Market Researchers/Analysts** (National, 2 x 24 person-months)

(a) The consultants' tasks and responsibilities will include the following:

- (i) Determine overall market demand and status of the local trade industry from available information and survey data using appropriate estimation methodologies;
- (ii) Define market demand of national single window especially to traders as the first to benefit from the proposed NSW;
- (iii) Prepare a study on the economic benefits of the single window and economic justification of new types of services and pricing;
- (iv) Develop market development support to stakeholders;
- (v) Develop marketing strategies to encourage NSW target users;
- (vi) Assist in the development of single window functions based on market demand;
- (vii) Assist in stakeholder engagement and public awareness activities, and in preparing promotional materials; and
- (viii) Gather baseline data and develop monitoring indicators for NSW usage.

(b) Qualifications

- (i) Highly proficient in research tools and methodologies, preferably has undertaken research studies on single window.
- (ii) Must be able to demonstrate a capability to understand the concepts and specific details of the proposed completed single window.
- (iii) Must be able to demonstrate the ability to gather the necessary information from both the government and private sector single window stakeholders.
- (iv) Must have good knowledge of trade laws, processes, documents and statistical data.
- (v) Must have presentation skills and be fluent in Russian language.

## **Outline Terms of Reference of Project Management Consultants (PMC) for the Development of Design and Build Contract Packages, and Project Management and Supervision**

### **1. PIU Manager and Tem Leader (National, 1 x 60 person-months)**

#### **(a) Responsibilities**

Under the direct guidance of the Project Director, the PIU Manager will be responsible for day-to-day implementation of the Project, in particular:

- (i) management of the PIU;
- (ii) overall responsibility for tasks assigned to the PIU;
- (iii) development of annual work plans including Project implementation schedules and budget;
- (iv) monitoring and reporting on Project implementation progress to the IA, EA, PSC and ADB;
- (v) maintaining regular coordination of the PIU with related parties/agencies;
- (vi) coordinating with IA, EA, PSC, ADB, contractors and consultants on Project implementation issues;
- (vii) ensuring that social issues related to human trafficking and transmission of HIV/AIDS and other communicable diseases will be appropriately addressed during project implementation, and that training be provided to border officers, as necessary; and
- (viii) ensuring timely preparations of all required reports under the Project.

#### **(b) Qualifications**

- (i) Suitability to undertake the responsibilities mentioned above at the required level
- (ii) College graduate or master degree on project management, Customs administration, ICT, Civil engineering or related field.
- (iii) At least ten years of relevant professional experience, including five years in executive/senior position.
- (iv) Good working knowledge of customs matters e.g., trade-related ICT systems and improvement of BCP, and related international best practices.
- (v) Work experience in ADB project implementation is an advantage.
- (vi) High standards of professional and work ethics.
- (vii) Excellent computer and communication skills.
- (viii) Good leadership.
- (ix) Proficient in English language.

### **2. Border Crossing Point Design and Supervision Specialist**

(International, 1 x 15 person-months)

#### **(a) Responsibilities**

*During Design Phase:*

- (i) Develop the design for construction/refurbishment of physical infrastructure at the BCP, in compliance with national and international standards, codes, specifications and regulations;
- (ii) Develop general layout solutions, plans, sections and bill of quantities for the proposed improvement of facilities at the BCP acceptable to the national approving authority;
- (iii) Provide assistance in the development of works bid documents;
- (iv) Develop project implementation schedule and resource requirements for works at BCP;
- (v) Develop technical specifications for BCP works;
- (vi) Provide advisory and required support and inputs to the client in the bidding process, bid evaluation and award of contract; and
- (vii) Ratify the designs prepared in fulfilment and compliance of the requirements of the client for implementation of the project.

*During the Pre-construction Phase:*

- (i) Closely interact and coordinate with design engineer, procurement specialist and IA to perform and report on all the tasks;
- (ii) Overall responsible for design, tendering, and management including reporting;
- (iii) Provide assistance to the IA for smooth implementation of the Project;
- (iv) Prepare detailed Project work and financial plans;
- (v) Develop and oversee loan implementation schedules, procedures and guidelines for key project activities and for coordinating implementation with the EA, IA, and the ADB;
- (vi) Assist in the design and development of Project performance management systems;
- (vii) Contribute to procurement of goods and services, including bid documents and evaluation criteria, evaluate bids, select winning bidders, and award contracts;
- (viii) Monitor progress of all BCP components and ensure implementation according to Project plans;
- (ix) Prepare regular progress reports for submission to the EA and ADB;
- (x) Provide methodological support in Project implementation procedures and requirements (e.g., proposals and recommendations on respective requirements of ADB);
- (xi) Ensure that Project deliverables are prepared in according to ADB submission requirements;
- (xii) Ensure and manage effective working relationship between the EA, IA, PIU, and the contractors;
- (xiii) Preparation of work material on transfer of ownership of the Project to the IA; and
- (xiv) Provide advice on development and provision of effective Project implementation procedures for progress review, cash-flow management, accountability and transparency.

*During Construction Phase (Acting as Engineer as per FIDIC)*

- (i) Review, check and ratify the designs and construction drawings prepared by the contractor(s), advise IA on the suitability of the designs and duly consider the client's comments before approving the designs;
- (ii) Prepare the pre-construction meeting agenda, and conduct the pre-construction meeting, record and distribute the minutes;
- (iii) Verify whether the Performance Security complies with the form provided in the contract, whether it is in the correct amount and currencies, and notify the employer accordingly. Advise the employer whether to accept the Performance Security;
- (iv) If the contractor does not submit the Performance Security on time, notify and advise the employer of the appropriate contractual remedies;
- (v) Request the contractor to increase the amount of the Performance Security if the contract price increases and monitor the validity of the Performance Security until the issue of the Performance Certificate;
- (vi) Verify whether the bank guarantee for advance payment is in the form specified under the contract and in the amount and currencies stated in the Particular Conditions of the contract;
- (vii) Verify whether the bank guarantee for advance payment is issued by an entity acceptable to the employer and that the guarantee is valid until the entire advance payment is recovered from the contractor's certificates;
- (viii) Interpret the specific provisions of the contract related to the employer's obligation to give possession of the site, and the contractor's work program, assess the contractual consequences of any specific land acquisition issue and advise the employer on the appropriate mitigation measures.
- (ix) Obtain the parties' confirmation that all Conditions of Contract are fulfilled;
- (x) Issue instruction to the contractor to commence the works and record the parties agreement according to the conditions of contract;
- (xi) Verify whether the form and substance of the evidence of the contractor's insurances is satisfactory, whether insurance premiums have been paid and the required insurances are effective on the dates required by the contract;
- (xii) Verify that the terms of the contractor's insurance policies fully comply with the requirements of the contract including:
  - whether both the employer and the contractor are adequately covered as insured Principals
  - amounts insured and currencies of payment, validity of the insurance policies, special conditions
  - limits of insurance per event and in aggregate, deductibles, excess, conditions related to locations
  - whether and which subcontractors are covered by the insurances, and whether additional insurances will be required if the contractor engages new subcontractors
- (xiii) Monitor whether the contractor maintains adequate insurance in the course of performance of the contract, particularly if the contractor provides insurances for a fixed period which is shorter than the period required under the contract;
- (xiv) Advise the employer on the appropriate action and contractual remedies in case that the contractor does not perform its insurance obligations in accordance with contract;
- (xv) Review the contractor's work program and notify the contractor if the program does not comply with the contract;

- (xvi) Monitor the progress against the work program and the cash flow estimate and request revisions, if required;
- (xvii) Report in the consultant's monthly report the work progress against the contractor's work program and the cash flow estimate;
- (xviii) Verify whether the progress charts in the contractor's monthly progress report reflect the actual progress and correspond to the latest revision of the work program and the cash flow estimate, and instruct the contractor to correct the report, if required;
- (xix) If required, determine the contractor's entitlements to time extensions on the basis of the contractor's work program;
- (xx) Determine the employer's entitlement to delay damages on the basis of the work program and advise the employer of the relevant contractual remedies if the contractor's progress is behind schedule;
- (xxi) Verify the contractor's monthly progress reports and notify the contractor of any incorrect or inconsistent information;
- (xxii) Conduct regular weekly site meetings and monthly progress meetings, record and distribute the minutes;
- (xxiii) Perform quantity take-offs from drawings to verify bill of quantities (BOQ) quantities;
- (xxiv) Issue regular notices to the contractor of intended field measurements, measure the works, compute the quantities for payment, and determine the amounts due to the contractor within the period specified in the contract;
- (xxv) Establish and maintain throughout the works contracts a structured system of measurement records, supporting documents and calculations for the payment of all BOQ items, that is transparent for auditing purposes;
- (xxvi) Provide all necessary assistance to the employer and external auditors for conducting regular quarterly audits of the measurement records, supporting documents and calculations for the payment of all BOQ items
- (xxvii) Verify the sources of indices or prices for price adjustment determine a provisional value of an index/reference price until it is published, but, if the index is not published in certain period(s), apply the last available published value;
- (xxviii) Establish with the contractor a standard format for the Contractor's Statement and the Interim Payment Certificates (IPC);
- (xxix) Prepare and maintain the estimates of cost of works to completion continuously, update the estimates after each variation instruction or a variation order issue and after each IPC, and present the latest estimate in the engineer's monthly and semi-annual progress reports;
- (xxx) Initiate and process variations promptly, when it is necessary for the construction of the works;
- (xxxi) Request the contractor's technical and cost proposal, as required, consult both parties in all matters in connection to variation work;
- (xxxii) Value variations, obtain the employer's approval of any variation, issue variations under the contract, keep record of all variations issued under the contract and report the summary of the variations in the consultant's monthly progress reports;
- (xxxiii) Ensure that the engineer discharges all its obligations with respect to approval of materials and workmanship, approval and auditing of the Contractor's Quality Assurance System and the quality assurance personnel and the compliance testing by the engineer;
- (xxxiv) When the works are completed in accordance with the contract, issue a Taking Over Certificate to the contractor(s);

- (xxxv) Undertake an inspection of the works at the completion of the respective road sections, customs and border facility and certify the contractor(s)' final accounts;
  - (xxxvi) Obtain the employer's specific approval before taking any action for determination of extension of time, additional costs and the contractor's claims for additional time or costs, for all events for which the employer's express approval is required under the conditions of contract;
  - (xxxvii) Assess objectively the contractor's claims and to give professional and objective advice to the employer, consult both parties before determining an extension of time;
  - (xxxviii) Determine contractor's claims on the basis of the contractor's work program, the impact of the delay(s) event on the critical path and the particulars submitted by the contractor, and not to act as the contractor's advisor in this matter.
  - (xxxix) Prepare standard daily diary forms and ensure that all supervision staff maintain daily diaries of contractor's and its own activities;
  - (xl) Maintain an events log starting at beginning of contract;
  - (xli) Assist the parties establish Dispute Board (DB), provide all necessary information to DB members and attempt to facilitate amicable settlement of the dispute between the employer and the contractor;
  - (xlii) Establish and maintain an effective documents management system in the engineer's office, which provides for separate filing of incoming and outgoing correspondence and documents, as well as the filing by subject matter;
  - (xliii) Carry out detailed inspections of the works during the Defects Notification Period and prepare detailed inspection and recommendation reports for the employer after each inspection;
  - (xliv) Ensure that the contractor(s) provide a safe workplace for their workforce, supervisory personnel and for members of the public requiring access through the sites in full conformity with health and safety regulations;
  - (xlv) Ensure that the contractor(s) comply fully with contractual obligations relating to care of the environment (both specified and legislated) and provide all reports and obtain all permits and permissions required in relation to spoil areas, borrow areas quarries and the like;
  - (xlvi) Keep and maintain daily records of labor, equipment and weather conditions on the site along with records of activity, progress and other events happening on the site and having relevance to the works;
  - (xlvii) Prepare and submit withdrawal applications at the end of each month certifying value the work accomplished in accordance with the contracts for payment to the EA/IA; and
  - (xlviii) Ensure that the contractor(s) do not use child labor, and do not differentiate wages between men and women for work of equal value in accordance with all applicable labor laws.
- (b) Qualifications
- (i) Bachelor's degree in Civil Engineering, preferably post graduate degrees with extensive experience in designing and implementing BCP infrastructure facilities.
  - (ii) Total experience - minimum 20 years, with past experience in at least three related projects for a period of minimum 10 years, work experience in three internationally funded projects, comprehensive experience in project management and contracts administration.
  - (iii) Past experience in Central Asian countries preferred.

### **3. Single Window Expert** (International, 1 x 12 person-months)

#### **(a) Responsibilities**

- (i) Ensuring that the detailed program and systems design of specific modules of the single window as determined by the single window design group is compliant to policies and standard programming protocols as determined by the designer, after suitable consultation with the technical staff and technology working group;
- (ii) Overseeing the work of the design team and programming staff and ensure the quantity, quality and timeliness of their output;
- (iii) Supervising the programming standards, review all milestones against pre-agreed benchmarks and assist with the recruitment of programming and any replacements which may be necessary;
- (iv) Assisting in any debriefs or milestone meetings with the working groups and provide specific support to the education and awareness group;
- (v) Organizing programming tasks into manageable deliverables and setting-and supervising targets for delivery of programs;
- (vi) Effectively managing any national consultants engaged to assist with the assigned tasks and develop their skills in the interests of long term local support and development;
- (vii) Compiling test data for testing of any appropriate program deliverables;
- (viii) Ensuring that each program is fully documented and that all amendments, patches and upgrades are built into the documentation;
- (ix) Ensuring that all programming standards and protocols are consistent with UNEDIFACT, UNCEFACT and WCO standards and recommendations;
- (x) Conduct regular debriefs and updates for the project management and design team;
- (xi) Provide input and assistance for other debriefs and educational materials as determined by the single window design team;
- (xii) Ensuring that all national ICT policies are observed, as determined by any appropriate national ICT policy, the SW technology working group and any other specific policy on such (non exclusive) items as:
  - Security
  - Privacy and Identity management
  - IPR in public sector applications
  - Backup and recovery policies
  - Multiple public and private networks of varying technologies
  - Digital inclusion, access, interoperability and interconnection
  - Digital archiving
  - Multiple natural language requirements
  - Use of web, smart phone apps and social network applications
  - Green ICT disciplines

#### **(b) Qualifications**

- (iv) Degree qualification in Information Technology, software development or equivalent, preferably post graduate degrees.
- (v) Total experience - minimum 15 years, with past experience in at least two related projects for a period of minimum 10 years, work experience in three

- internationally funded projects, comprehensive experience in project management and contracts administration of ICT projects.
- (vi) Significant experience in international trade processes, obtained through one or more of the following: customs broking, freight forwarding, customs or international transport and LLDC transit processes. Specific single window experience or exposure to UNCEFACT standards-based processes is also considered to be important.
- (vii) Has the ability to consult widely with the stakeholder and user community is considered essential.
- (viii) Past experience in Central Asian countries preferred.

#### **4. Procurement Specialist (International, 1 x 3 person-months)**

##### **(a) Responsibilities**

- (i) Develop the concept design for construction / reconstruction / refurbishment of physical infrastructure at BCP and system development of the single window, in compliance with national and international standards, codes, specifications and regulations;
- (ii) Set and prepare documentation of requirements such as design parameters, criteria, codes and specifications, engineering requirements, design standards, construction standards, material and quality control standards, compliance and performance indicators and measures for designs, construction, operation and serviceability of civil works for the BCPs;
- (iii) Prepare all documents, including contract packaging, required in the bidding process for design and build (D&B) method contracts;
- (iv) Provide advisory and required support and inputs to the client in the bidding process, bid evaluation and award of contract;
- (v) Ratify the contractor's designs prepared in fulfilment and compliance of the requirements of the client for implementation of the project; and
- (vi) Provide advice and recommend measures for EA and IA to adopt best practices in good governance particularly for public procurement and project administration.

##### **(b) Qualifications**

- (i) Degree qualification in business, accounting, supply chain management, purchasing or related field, with extensive experience in material and quality control in procurement of consulting services, works, and goods.
- (ii) Total experience - minimum 15 years at least three projects with D&B modality, with experience of working in multidisciplinary projects.
- (iii) Working experience in at least one (1) border crossing point and one (1) IT project, and worked at least on two ADB/other development agencies funded projects.
- (iv) Experience in Central Asian countries will be preferred.

#### **5. Procurement Specialist (National, 1 x 36 person-months)**

##### **(a) Responsibilities**

- (i) Provide support to the International Procurement Specialist for preliminary design, review of contractor's design and implementation of the selected BCPs and single window system development activities.
- (ii) Assist in preparation of BCP improvement and single window development packages including preparation of bills of quantities and cost estimates;
- (iii) Develop the technical specification of material and works, goods and equipment;
- (iv) Develop procurement plan and an integrated implementation arrangement for all the BCPs and single window components;
- (v) Assist the PIU throughout the tendering process;
- (vi) Overall management of the procurement of the works and equipment to ensure transparency, and compliance of the ADB Guidelines and Country procurement policies and procedures; and
- (vii) Provide advice and recommend measures for EA and IA to adopt best practices in good governance particularly for public procurement and project administration.

(b) Qualifications

- (i) Degree qualification in business, accounting, supply chain management, purchasing or related field.
- (ii) Total experience - minimum 10 years, with related experience of at least 5 years in design and construction of infrastructure (buildings, public utility infrastructure, roads and bridges etc.).
- (iii) Working experience in at least one (1) border crossing point and one (1) IT project, and worked at least on two ADB/other development agencies funded projects.
- (iv) Good command and skill in English is essential.

**6. Finance Specialist** (National, 1 x 48 person-months)

(a) Responsibilities

Under the direct guidance of the PIU Manager, the Finance Specialist will be responsible for finance and administration areas affairs of the Project. Major responsibilities will include:

- (i) budget planning and utilization;
- (ii) assisting in drawing up of Project funds;
- (iii) preparing liquidation/claims reports;
- (iv) participating in procurement activities;
- (v) in-charge of accounting in accordance with accounting standards and requirements of ADB and preparing related reports;
- (vi) preparing financial statements and other financial reports under the Project;
- (vii) overseeing the physical inventory of hardware, software, equipment, and other parts and supplies purchased under the Project;
- (viii) in-charge of administrative and logistics matters in the PIU; and
- (ix) undertaking other pertinent tasks that may be assigned by the PIU Manager.

(b) Qualifications

- (i) Suitability to undertake the responsibilities mentioned above.

- (ii) College graduate or master degree on accounting/finance administration, public administration, or related field.
- (iii) At least five years of relevant professional experience.
- (iv) Work experience in ADB project implementation and knowledge of ADB procedures is an advantage.
- (v) Ability to work independently and within tight schedule.
- (vi) High standards of professional and work ethics.
- (vii) Good team player.
- (viii) Proficient in English language.

**7. Project Performance Monitoring (PPM) Specialist** (National, 1 x 48 person-months)

(a) Responsibilities

Under the direct guidance of the PIU Manager, the PPM Specialist will be responsible for day-to-day Project monitoring. Major responsibilities will include:

- (i) preparing and updating the Project performance management system (PPMS) consistent with DMF;
- (ii) monitoring the Project implementation;
- (iii) preparing overall Project monthly, quarterly and annual progress reports;
- (iv) monitoring the implementation of the environmental management plan, and preparing semi-annual environmental monitoring reports;
- (v) raising implementation issues should it arise, as early as possible, and providing recommendations and coordinating with concerned parties for possible resolution;
- (vi) assisting in work and budget planning;
- (vii) coordinating with PIU staff to account for up-to-date physical and financial accomplishments;
- (viii) collecting baseline data and monitoring the progress towards achieving targets and indicators as specified in the Project Design and Monitoring Framework; and
- (ix) undertaking other pertinent tasks that may be assigned by the PIU Manager.

(b) Qualifications

- (i) Suitability to undertake the responsibilities mentioned above.
- (ii) College graduate or master degree on project management, administration or related field.
- (iii) At least ten years of relevant professional experience, with at least three years experience in monitoring and implementing ADB project.
- (iv) Familiarity with ADB PPMS is an advantage.
- (v) Ability to work independently and within tight schedule.
- (vi) High standards of professional and work ethics.
- (vii) Good team player.
- (viii) Proficient in English language.

**8. Administrative Officer** (National, 1 x 60 person-months)

(a) Responsibilities

Under the direct guidance of the PIU Manager, the Administrative Officer will provide assistance to the PIU staff, in particular:

- (i) preparing Project correspondences;
  - (ii) maintaining and organizing all Project documents;
  - (iii) keeping Project contact register up-to-date;
  - (iv) making travel arrangements for the PIU staff;
  - (v) coordinating and arranging meetings of PIU with ADB, PSC, contractors, consultants and other Project stakeholders;
  - (vi) preparing minutes of the meetings; and
  - (vii) manning the PIU front desk;
- (b) Qualifications
- (i) Suitability to undertake the responsibilities mentioned above.
  - (ii) Graduate of secretarial course, administration, psychology, or related field.
  - (iii) At least five years of relevant professional experience, preferably of which at least one year should be working with ADB project or similar international donor projects.
  - (iv) Good written and oral communications skills, including a good knowledge of English.
  - (v) Proficient in Microsoft Word, Excel and PowerPoint, and internet research.
  - (vi) A good knowledge of office administration procedures.
  - (vii) Ability to work independently and within tight schedule.
  - (viii) High standards of professional and work ethics.
  - (ix) Good team player.

The EA/IA will provide the following:

- (i) Visa supporting letters and registrations in the Kyrgyz Republic Immigration Office;
- (ii) Furnished, air conditioned/heated office space with support facilities;
- (iii) Relevant project data, maps, drawings and reports; and
- (iv) Counterpart support staff.

## VII. SAFEGUARDS

53. **Environment.** The Project is classified as Category C for environment following ADB's Safeguard Policy Statement (2009). A rapid environmental assessment was undertaken and public consultations carried out in line with ADB's Safeguard Policy Statement (2009). The Project will not have adverse environmental impacts. The investments will not cause any negative regional or international environmental impacts. The IA will ensure that the design, construction, operation and maintenance of the components of the Project are carried out in accordance with ADB's Safeguard Policy Statement (2009), and applicable laws and regulations of Kyrgyz Republic.

54. **Land Acquisition and Involuntary Resettlement.** The Project is classified as Category B for involuntary resettlement following ADB's Safeguard Policy Statement (2009) as three households currently leasing land for cultivating crops at Karamyk BCP will be affected. A Resettlement Plan has been disclosed at the ADB website, and the details of the impact, cash compensation and its provision are provided therein. To ensure compliance with ADB's Safeguard Policy Statement (2009), the EA and IA will ensure the implementation of the following requirements and procedures:

- (a) No land acquisition will be involved for construction.
- (b) Any activities under the Project component must not cause any impacts on the ethnic minority as well as other vulnerable groups around the project sites.
- (c) Conduct consultations and information sharing to ensure community awareness during project construction activities.
- (d) Ensure the implementation of safety procedures and provide adequate budget.

55. **Indigenous People.** The Project is classified as Category C for indigenous people following ADB's Safeguard Policy Statement (2009). There are no ethnic minority communities affected since the proposed civil works at the BCP will be carried out within the Customs controlled zone or public land owned by local administration. NSW development and provision of equipment at BCP will have no effect on the cultural heritage or livelihoods of indigenous peoples.

56. **Execution of Goods and Works Contracts.** Any changes to the Project components arising from the detailed designs of the Project will be subject to prior approval by ADB and the relevant Government agency(s) of Kyrgyz Republic in accordance with the approval procedures set forth in the Financing Agreement.

## VIII. GENDER AND SOCIAL DIMENSIONS

57. The Project design includes some gender elements. Public health and gender equity concerns will be addressed by designing gender-sensitive BCP such as separate washing rooms, adequate health inspection facilities/quarantine, separate lanes, and nursing areas for women, and providing equal employment and training opportunities for female border staff. A gender sensitive infrastructure development for cross border trade will improve women's livelihood in border communities as most local traders are women.

58. A more liberal trading environment could be accompanied by an increase in human and narcotics trafficking as well as the rate of transmission of HIV/AIDS and other communicable diseases. The Project presents an opportunity to augment measures aimed at interdicting human and narcotics trafficking by providing relevant information materials to border officers and necessary inspection equipment.

59. By eliminating physical and administrative obstacles to trade at BCP and developing NSW facilities with regional and capable of data exchange, the Project will: (i) provide/upgrade infrastructure; (ii) improve customs services; (iii) create direct short-term employment for construction<sup>12</sup> and NSW development<sup>13</sup> and indirect long-term income generating opportunities; and (iv) reduce logistics costs for trade leading to a lower consumer price in the market, thereby contributing to improved economic development for the people in the Kyrgyz Republic.

60. The IA will also include a specific provision in the bidding documents to ensure that civil works contractors: (i) comply with core labor standards, applicable laws and regulations in the Kyrgyz Republic and incorporate applicable workplace occupational safety norms; (ii) do not differentiate payment between men and women for work of equal value; (iii) do not employ child labor in the construction and maintenance activities; (iv) eliminate forced or compulsory labor; (v) eliminate employment discrimination; (vi) to the extent possible, maximize employment of local poor and disadvantaged persons for project construction purposes, provided that the requirements for job and efficiency are adequately met; and (vii) disseminate information on the risks of sexually transmitted diseases, including human immunodeficiency virus/acquired immunodeficiency syndrome, to the employees of the contractors under the Project and to members of the local communities near the Project.

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<sup>12</sup> Around 50 construction jobs will be created.

<sup>13</sup> Around 478 person-months (pm) of consulting services (22 pm international and 456 pm national) will be needed.

61. A Social Development Action Plan (SDAP) has been developed as below. The EA and IA will ensure the timely implementation of SDAP and the submission of semi-annual progress reports to ADB.

Proposed Actions	Targets	Agencies Involved	Timing	Funding Source	Monitoring Indicators
<b>A. Job creation during BCP construction and NSW establishment</b> <ul style="list-style-type: none"> <li>• Use of local unskilled labor including those from poor villages in remote areas especially the poor, women, and vulnerable groups</li> <li>• Priority given by local governments to local sellers in providing services, food and supplies at project sites</li> <li>• Use of available local experts to fulfill the number of person-months required of national consulting services</li> </ul>	<p>Around 50 labor force hired locally, including women</p> <p>More than 50% of unskilled labor from poor households</p> <p>More than 60% (450 person-months) of experts sourced locally for NSW establishment</p>	IA, contractors, consulting firm	2013-2017	Labor costs are included in Project costs	<p>No. of local labor employed by gender</p> <p>No. of workers from poor households</p> <p>No. of local sellers provisioning the Project sites by gender</p>
<b>B. Control of HIV/AIDS/STD and human trafficking</b> <ul style="list-style-type: none"> <li>• Health testing, counseling, and referrals in project sites; and availability of condoms</li> <li>• Awareness and prevention on HIV/AIDS/STD and human trafficking campaigns</li> <li>• Provision of training on inspection for border staff, including women border staff</li> <li>• Provision of poster and pamphlets at BCP for people crossing borders</li> </ul>	<p>All BCP staff and workers understand dangers of HIV/AIDS/STD</p> <p>Testing and medical referral service available to workers and local residents</p> <p>Border staff trained on human trafficking prevention and control</p>	IA, contractors, consulting firm, border agencies, local governments and national health department, and civil affairs bureaus	2013-2017	Project, contractors, border agencies, local health and security bureaus	<p>No. of health workers</p> <p>No. of cases of HIV/AIDS/STD</p> <p>No. of posters/pamphlets</p> <p>No. of border staff trained</p> <p>No. of tested people</p>

Proposed Actions	Targets	Agencies Involved	Timing	Funding Source	Monitoring Indicators
<b>C. Construction safety</b> <ul style="list-style-type: none"> <li>• Ensure safety guidelines developed and incorporated into contracts with all contractors</li> <li>• Health and safety induction training for all workers and service providers</li> <li>• Periodic inspections by IA</li> </ul>	All contractors, consultants, and construction workers	IA, contractors	2013-2017	Project budget	Signed contracts  No. and quality of induction training  No. of accidents  No. of workers injured  No. of inspections
<b>D. Provision of gender-sensitive BCP facilities</b> <ul style="list-style-type: none"> <li>• Separate and adequate washing room and nursing areas for women</li> <li>• Separate lanes and inspection for women crossing the border (female BCP officers for inspecting women and children)</li> </ul>	Border staff and traders	IA, contractors	2013-2015	Project budget, border agencies, local health and security bureaus (approx. \$6,000)	Facilities constructed  No. of sexual harassment and gender discrimination incidence

## IX. PERFORMANCE MONITORING, EVALUATION, REPORTING AND COMMUNICATION

### A. Project Design and Monitoring Framework

**Table 10: Design and Monitoring Framework**

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<b>Impact</b> Accelerated trade growth within the CAREC region and with the rest of the world	<b>By 2022</b> International trade volume in project countries cumulatively increased by 50% (2011 baseline: \$8.5 billion for the Kyrgyz Republic, and \$5.7 billion for Tajikistan)	United Nations International Trade Centre trade statistics  National and international economic statistics  National customs service reports	<b>Assumptions</b> Country reforms for strengthening governance at customs and other trade-related agencies and regional cooperation efforts continue  CAREC corridors are key conduits for domestic and international traffic  <b>Risk</b> Regional economies may be negatively affected by regional and global economic crises
<b>Outcome</b> Faster, more predictable, and cost efficient cross-border transport and trade	<b>By 2018</b> Time and cost to cross project BCPs reduced by 30% (2012 baseline: Karamyk BCP in Kyrgyz Republic: 11.8 hours, \$147; and Guliston BCP in Tajikistan: 1.5 hours, \$171)  Average annual cargo volume increased to 140,000 tons/year at Karamyk BCP and 35,000 tons/year at Guliston BCP (2011 baseline: Karamyk BCP: 107,000 tons/year, Guliston BCP: 27,000 tons/year)	CAREC CPMM quarterly and annual reports  CAREC TSCC and CCC reports  Reports by NSW operators  National customs service reports	<b>Assumptions</b> Business process re-engineering will be effectively implemented at country level to manage resistance from groups with vested interests  NSW operators will be able to recruit and retain skilled staff  Adequate financial resources will be available for operation and maintenance of NSW  <b>Risk</b> Opportunity for private sector participation is limited

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<b>Outputs</b> 1. Physical infrastructure and working conditions at Karamyk and Guliston BCPs improved  2. NSW facilities in the Kyrgyz Republic and Tajikistan established  3. Capacity in project management and supervision strengthened	Civil works completed with the required facilities and the needed equipment installed at project BCPs by 2016  Time to prepare and process export and import documents reduced by 50% by 2017 (2012 baseline in days: 23 days for preparation and 25 days for processing)  Coordinated completion of BCP improvement and NSW development in the two project countries achieved by 2017	Updates to CAREC SOM and MC  CAREC CPMM quarterly and annual reports  CFCFA reports  World Bank–IFC Doing Business indicators  National customs service reports	<b>Assumptions</b> National project implementation capability adequate  Project Steering Committee timely resolves interagency conflicts to avoid implementation delays  <b>Risk</b> Procurement will be delayed due to lengthy internal approval procedures
<b>Activities with Milestones</b>		<b>Inputs</b>	
<b>1. Improvement of the Karamyk and Guliston BCPs</b> 1.1 Contracts for works and goods awarded by December 2013 1.2 Goods procured by December 2015 1.3 Civil works completed by March 2016 1.4 Inspection and acceptance of BCP facilities by December 2016		<b>Loan (ADF)</b> <b>ADB: \$4.202 million</b>	
		<b>Item</b>	<b>Amount (\$ million)</b>
			Kyrgyz Republic
			<b>4.202</b>
		Civil works	2.220
		ICT systems	0.121
		Equipment	1.224
		Institutional and technical support	
		Project management and supervision	
		Contingencies and Interest	0.637
		<b>Government: \$3.401 million</b>	
		<b>Item</b>	<b>Amount (\$ million)</b>
			Kyrgyz Republic
			Tajikistan
		Taxes and duties	1.483
			1.918
		<b>Grants (ADF)</b> <b>ADB: \$13.404 million</b>	
		<b>Item</b>	<b>Amount (\$ million)</b>
			Kyrgyz Republic
			Tajikistan
			<b>4.202</b>
			<b>9.202</b>

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<b>3. Project management and supervision capacity strengthened</b> 3.1 PIUs established and staffed by June 2013 3.2 Annual work plans, personnel scheduling, budgets, and procurement plans by July 2013, and by January of each year starting in 2014 3.3 First PSC meeting convened by July 2013; schedule adopted for regularly scheduled meetings as agreed with ADB 3.4 Project management consultants recruited by August 2013 3.5 Project performance management system established by December 2013 3.6 Joint customs control procedures introduced at Karamyk BCP before September 2015		Civil works	0.615
		ICT systems	0.242
		Equipment	1.200
		Institutional and technical support	1.968
		Project management and supervision	1.408
		Contingencies and Interest	0.584
			2.954
			2.100
			1.366
			0.967

ADB = Asian Development Bank, ADF = Asian Development Fund, BCP = border crossing point, CAREC = Central Asia Regional Economic Cooperation, CCC = customs cooperation committee, CFCFA = CAREC Federation of Carrier and Forwarder Associations, CPMM = corridor performance measurement and monitoring, ICT = information and communication technology, IFC = International Finance Corporation, MC = ministerial conference, NSW = national single window, PIU = project implementation unit, PSC = project steering committee, SOM = senior officials meeting, TSCC = transport sector coordinating committee.  
Source: Asian Development Bank.

## B. Monitoring

62. **Project Performance Monitoring.** The EA and IA will establish an appropriate project performance monitoring system in the PIU within one year from loan and grant effectiveness following the DMF indicators. The EA and IA will in consultation with ADB develop a set of project performance monitoring indicators consistent with the ADB Guidelines for Preparing a Design and Monitoring Framework (2007, as amended from time to time). This includes measurement metrics that help assess the improvement in the reliability and processing speeds at BCP, and improvement in transparency, efficiency and governance in customs services. Project monitoring and evaluation reports will be submitted by the PIU to ADB on a quarterly basis. On Project completion, the impacts of the Project will be evaluated according to a schedule and terms of reference to be agreed upon by the EA, IA, and ADB.

63. IA will exercise rigorous monitoring to ensure expeditious contract awards and disbursement. In this respect, actions will include:

- To avoid delays in bid evaluation resulting from contractors' submission of incomplete bids, a checklist of all the supporting documents, forms, and guarantees (Table 11) will be attached with the bids for future tendering. This will be further discussed during pre-bid meetings;
- Monitoring of agreed time-bound activities from preparation of bid evaluation report (BER) to the contract award will be carried out using a checklist (Table 12) for each action with the given timeframe; and
- For ADB monitoring, consultants shall copy to ADB project officer the interim payment certificates, which will help intensify ADB's monitoring, expedite withdrawal

application processing and payments to contractors, and consequently improve the project implementation progress.

**Table 11: Checklist of Documents for Bidders at Purchase of Tender Documents**

<b>Instruction to Bidders (ITB) Requirements</b>	<b>Specific Instructions and Supporting Documents</b>
(a) Letter of Bid	<ul style="list-style-type: none"> <li>• Total bid price (excluding discount);</li> <li>• Discount (if any);</li> <li>• Bid validity of 150 days</li> <li>• Signed by an authorized person (see. Item e, below)</li> </ul>
(b) Completed schedules as required, including priced bill of quantities (BOQ)	<ul style="list-style-type: none"> <li>• Accomplished Schedule of Payment Currencies , if wished to be paid in foreign currency;</li> <li>• Accomplished Tables of Adjustment Data;</li> <li>• Accomplished BOQs</li> </ul>
(c) Bid Security	<p>Bidders may utilize their existing bid security, with no revision to the expiry date, provided it meets the following:</p> <ul style="list-style-type: none"> <li>• Format in accordance with the Form of Bid Security, or any format acceptable to the Employer; other forms like cashier's or manager's check is also acceptable;</li> <li>• Each lot (if in lots) is covered by a bid security (either one bid security per lot or one bid security covering multiple lots - EA should check if these are the same amounts indicated in the Bidding Documents);</li> <li>• Validity of bid security is 28 days beyond the validity of the bid;</li> <li>• For Joint Ventures (JV), the bid security is in the name of the JV or names of all future partners of the JV, if not yet constituted.</li> </ul>
(d) Alternative bids, if permissible	<ul style="list-style-type: none"> <li>• Alternative bid is not permitted. Any alternative bid will not be considered.</li> </ul>
(e) Written confirmation authorizing the signatory of the Bid to commit the Bidder	<ul style="list-style-type: none"> <li>• Notarized Power of Attorney demonstrating the authority of the signatory of the bid.</li> </ul>
(f) Documentary evidence in establishing the Bidder's qualifications to perform the contract if its Bid is accepted	<ul style="list-style-type: none"> <li>• Accomplished Current Contract Commitments / Works in Progress form;</li> <li>• Accomplished Financial Resources form with supporting documents;</li> <li>• Accomplished Bidder Information Sheet, JV Information Sheet, Pending Litigation Accomplished Financial Situation with supporting documents, and Average Annual Construction Turnover</li> </ul>
(g) Technical Proposal	<ul style="list-style-type: none"> <li>• Accomplished Personnel Forms</li> <li>• Accomplished Equipment form</li> <li>• Site Organization</li> <li>• Method Statement</li> <li>• Mobilization Schedule</li> <li>• Construction Schedule (work program or overall implementation schedule)</li> </ul>
	<ul style="list-style-type: none"> <li>• In case of JV, a copy of the Joint Venture Agreement, or a Letter of Intent to execute a JV in the event of a successful bid together with a copy of the proposed JV agreement</li> </ul>

**Table 12: Time-bound Action Plan for Preparation and Approval of Bid Evaluation Reports**

<b>Activity</b>	<b>No. of Days</b>	<b>Responsible Agency/Department</b>
Evaluation of Bids and preparation of BER	10-15 days	EA/IA
CWTC's receipt and review of BER and preparation of PC paper	4 days	CWTC
OSFMD and OGC review and comment of PC paper	5 days	OSFMD and OGC
EA's/IA's incorporation of ADB comments in BER, if any	2 days	EA/IA
CWTC's receipt of revised BER and finalization of PC paper	2 days	CWTC
OSFMD and OGC review of final PC paper and approval by PC	5 days	OSFMD and OGC and PC
Transmittal of ADB's no-objection of recommendation of award	1 day	CWTC
Notification of award to winning bidder(s)	2 days	EA/IA
Contract signing	30 days	EA/IA and Contractor

ADB = Asian Development Bank, BER = bid evaluation report, OSFMD = Operations Services and Financial Management Department, CWTC = Central and West Asia Transport and Communication Division, EA = executing agency, IA = implementing agency, OGC = Office of General Counsel, PC = Procurement Committee

64. **Compliance Monitoring.** Compliance with all the grant covenants will be jointly monitored by EA, IA and ADB through quarterly and annual progress reports, and grant review missions. In this respect, the IA and PIU will submit to ADB a status report on the covenants summary with the explanation and time-bound actions on partly or non-complied covenants.

65. **Safeguards Monitoring.** Monitoring is required during all three stages of the Project, i.e., planning, construction and operation to record the mitigating actions taken and the resulting effects designed to either avoid or reduce predicted impacts. The preparation and oversight of any monitoring work is the responsibility of the EA and the IA.

66. Monitoring during the planning stage has to be taken twice: once to incorporate mitigating measures in the planning process, and then at the end of that stage to monitor compliance. Construction monitoring has to take place at regular intervals throughout the construction period with semiannual monitoring reports. Operating period monitoring is dependent on the types and duration of impacts identified during the environmental assessment. Some of the monitoring during both the construction and operating periods will require sample collection and analysis during field work.

67. **Gender and social dimensions monitoring.** Monitoring is required during all three stages of the Project i.e. planning, construction and operation to record the mitigating actions taken and the resulting effects designed to either avoid or reduce predicted impacts. The preparation and oversight of any monitoring work is the responsibility of the EA, IA and the consultant. Monitoring has to take place at regular intervals with semiannual monitoring reports.

## **C. Evaluation**

68. ADB will field an inception mission within three months after signing of the financing agreement. Review missions will be carried out on a semiannual basis jointly by representatives of ADB, EA, and IA. The review missions will assess the status of the Project implementation including procurement, installation of equipment, financing, compliance with environmental and

social safeguards, and the IA institutional capacity improvement. Site visits are also required. The Government and ADB will undertake a comprehensive midterm review in the third year of project implementation. The midterm review will include a detailed assessment of (i) project scope; (ii) implementation arrangements; (iii) achievement of scheduled targets; (iv) progress made in policy reform; and (v) capacity building measures. The midterm review will allow for any necessary midcourse corrections to ensure successful implementation and the achievement of the Project objectives. Within six months of physical completion of the Project, the IA will submit the project completion report to ADB.<sup>14</sup>

#### **D. Reporting**

69. The IA will provide ADB with (i) quarterly progress reports within one month from the end of the related quarter in a format consistent with ADB's project performance monitoring system; (ii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions, (c) updated procurement plan, and (d) updated implementation plan for next 12 months; and (iii) a project completion report within six months of physical completion of the Project.

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<sup>14</sup> Project completion report format available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

## E. Stakeholder Communication Strategy

<b>Project Documents</b>	<b>Means of Communication</b>	<b>Responsible Party</b>	<b>Frequency</b>	<b>Audience(s)</b>
Project Data Sheet	ADB's website	ADB	semiannually	General Public
Reports and Recommendations of the President	ADB's website	ADB	upon approval by the Board	General Public
Legal Agreements	ADB's website	ADB	upon signing	General Public
Initial Poverty and Social Assessment	ADB's website	ADB	upon Board approval of the Project	General Public, project-affected people in particular
Social and Environmental Monitoring Reports	ADB's website	ADB	routinely disclosed	General Public, project-affected people in particular
Major Change in Scope	ADB's website	ADB	upon approval of such change	General Public
Completion Report	ADB's website	ADB	upon circulation to the Board	General Public
Evaluation Report	ADB's website	ADB	upon circulation to Management and the Board	General Public

## **X. ANTICORRUPTION POLICY**

70. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the Project.<sup>15</sup> All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all Project contractors, suppliers, consultants and other service providers. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contracts under the Project.<sup>16</sup>

71. To support these efforts, relevant provisions are included in the Financing Agreement regulations and the bidding documents for the Project.

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<sup>15</sup> Available at: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf>

<sup>16</sup> ADB's Integrity Office web site is available at: <http://www.adb.org/integrity/unit.asp>

## **XI. ACCOUNTABILITY MECHANISM**

72. People who are, or may in the future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should make a good faith effort to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.<sup>17</sup>

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<sup>17</sup> For further information see: <http://www.adb.org/Accountability-Mechanism/default.asp>.

## XII. RECORD OF PAM CHANGES

73. All revisions/updates during the course of implementation should be retained in this Section to provide a chronological history of changes to implemented arrangements recorded in the PAM.<sup>18</sup>

**Table 13. Table for Recording PAM Changes**

<b>PAM Version</b>	<b>Created Date</b>	<b>Revision Date</b>	<b>Reasons of Change</b>	<b>Main Contents of Change</b>
V1.0	30 Oct 2012	N/A	Initial	N/A
V2.0		22 Feb 2013	2 instead of 3 CAREC countries will initially participate in the project	Contents relating to Mongolia were deleted as processing of the components originally envisaged for Mongolia has not been completed, and may in due course form part of the regional project for separate approval.

<sup>18</sup> The MOE and ADB shall ensure that changes to the PAM during project implementation must be consistent with the financing agreement.