

Project Administration Manual

Project Number: 49453-002
Grant Number(s): 0652/0653-KIR

July 2020

KIR: South Tarawa Water Supply Project

ABBREVIATIONS

ADB	–	Asian Development Bank
ADF	–	Asian Development Fund
MFED	–	Ministry of Finance and Economic Development
MISE	–	Ministry of Infrastructure and Sustainable Energy
O&M	–	operation and maintenance
WASH	–	water, sanitation and hygiene
PUB	–	Public Utilities Board
GCF	–	Green Climate Fund
KFSU	–	Kiribati Fiduciary Support Unit
PIA	–	Project Implementation Assistance
KAO	–	Kiribati Audit Office
PMU	–	Project Management Unit
NIDSC	–	National Infrastructure Development Steering Committee
MHMS	–	Ministry of Health and Medical Services
MELAD	–	Ministry of Environment, Lands and Agricultural Development

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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 the policies and procedures of the government and Asian Development Bank (ADB). 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 Finance and Economic Development (MFED) and Ministry Infrastructure and Sustainable Energy (MISE) are wholly responsible for the implementation of ADB-financed projects, as agreed jointly between the recipient and ADB, and in accordance with the policies and procedures of the government and ADB. ADB staff is responsible for supporting implementation including compliance by MFED and MISE of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At grant negotiations, the recipient and ADB shall agree to the PAM and ensure consistency with the grant agreement. Such agreement shall be reflected in the minutes of the grant negotiations. In the event of any discrepancy or contradiction between the PAM and grant agreement, the provisions of the grant 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.

I. PROJECT DESCRIPTION

1. The project will combat factors which result in the high incidence of waterborne disease in South Tarawa, the capital of Kiribati, through the delivery and effective management of new and rehabilitated climate-resilient water supply assets and improved hygiene practices.
2. The project is aligned with the following impact: health and climate change resilience of South Tarawa's population improved.¹ The project will have the following outcome: access of South Tarawa's population to safe, climate-resilient water supplies increased.²
3. **Output 1: Climate resilient and low carbon water supply infrastructure.** This will be achieved by building two desalination plants with a total capacity of 6,000 cubic meters per day, whose energy consumption is offset by a 2,500-kilowatt solar photovoltaic system, and by rehabilitating the water supply distribution network to minimize leakages and add new metered household connections to piped water supplies.³
4. **Output 2: Capacity of MISE and PUB to effectively manage water supply infrastructure increased.** This will be delivered through 5-year O&M contracts for the desalination plants and water supply network, which will be attached to the works and funded through the project. Specialist support to PUB in key result areas, and vocational training and mentoring on improved O&M for the Ministry of Infrastructure and Sustainable Energy (MISE) and PUB staff will be provided.⁴
5. **Output 3: Awareness of WASH and climate change issues is raised.** This will be achieved through the implementation of a 5-year WASH and climate change awareness program.⁵
6. **Output 4: Project implementation is managed efficiently and effectively.** This will be achieved by supporting the government's project management unit (PMU).⁶

II. IMPLEMENTATION PLANS

- A. **Project Implementation Plan.** Refer to the Gantt chart in Table 1 for an indicative project implementation plan.

¹ As outlined in the Kiribati Development Plan 2016–2019, increased water and sanitation coverage is to achieve the outcome of “Improved Infrastructure to facilitate economic growth, poverty reduction, trade. Industrialization, health for economic, technological and socio transformation” under Key Priority Area 6: Infrastructure.

² The design and monitoring framework is in Appendix 1.

³ The desalination plant will help mitigate risks from extreme weather events. Piped water supply connections will include all households headed by women in the project area. The desalination plant will be brought online only after leakages from the water supply network are reduced through rehabilitation.

⁴ New technical recruitments to MISE and PUB will target at least 20% women.

⁵ The program will include gender-sensitive communication and outreach to improve customers' use and maintenance of the new water supply infrastructure, target problematic behaviors linked to hygiene, and strengthen the institutional enabling environment for WASH.

⁶ An evaluation of positive impacts on women's daily lives from reliable access to water will also be undertaken through project surveys.

Table 1: Indicative Project Implementation Plan

Indicative Activities	2020				2021				2022				2023				2024				2025				2026				2027			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Project Design Advance Grant																																
Bidding Documents Preparation																																
FAA negotiations with GCF																																
Target ADB Grant effectiveness																																
Advertise individual consultant packages																																
Tender works packages																																
Award consulting service packages																																
Award works packages																																
PIA Firm / Construction Supervision																																
WASH program implementation																																
Desal plant construction & O&M																																
Network construction, O&M & capacity building																																
Solar PV design & build																																
Project Management support & capacity building																																

Source: Asian Development Bank

III. PROJECT MANAGEMENT ARRANGEMENTS

A. Project Implementation Organizations: Roles and Responsibilities

Implementation Organizations	Management Roles and Responsibilities	
Ministry of Finance and Economic Development (executing agency)	(i)	The representative of the Government as a grant recipient.
	(ii)	Facilitate negotiation, signing, and execution of the grant agreements with ADB.
	(iii)	Through the Kiribati Fiduciary Support Unit, lead the project's procurement actions in coordination with the MISE.
	(iv)	Responsible for financial management through KFSU.
	(v)	Submit approved withdrawal applications to ADB
	(vi)	Expedite implementation and minimize cost by: <ul style="list-style-type: none"> ensuring the timely availability of necessary counterpart funds review invoices and payments to contractors, consultants, and service providers monitor project progress and instruct MISE to take corrective action to prevent significant variations and deviations from schedules and budgets
	(vii)	Ensure sufficient counterpart budget is provided for the project
	(viii)	Signatory to contracts via Minister (MFED) .
National Infrastructure Development Steering Committee	(i)	provide strategic direction and guidance for the project
	(ii)	chaired by the Secretary to Cabinet, with Secretary of Finance as Vice-chair
	(iii)	Members include but are not limited to representatives from MISE, MFED, MHMS, MELAD, OB
	(iv)	Provide policy guidance on project implementation and management, such as institutional strengthening.
	(v)	Make important decisions on the project preparation and implementation such as determining of project scope, procurement (selection of a civil work contractor) and consultant selection decisions and seek approval of Cabinet as necessary according the relevant acts.
	(vi)	Oversees project management of MISE and PMU, monitoring progress of project preparation and implementation and suggest remedial actions when any indication of delay is identified.
Ministry of Infrastructure and Sustainable Energy (Implementing Agency)	(i)	Ensure that PMU is fully staffed and functional during the entire period of Project implementation
	(ii)	Provide technical advice on the project scope, facility designs, procurement or others, from the viewpoints of the government agency in charge of maintenance of project facilities, and procurement matters
	(iii)	Act as a secretariat to the NIDSC.
	(iv)	Ensure that PMU is fully staffed and functional during the entire period of implementation
	(v)	Review consultant reports and ensure the outputs are suitable to the project objectives and the government policies and regulations.
	(vi)	Provide technical inputs to consultant and works contracts, in coordination with MFED.
	(vii)	Ensure compliance with grant covenants, ADB's guidelines, procedures, and policies.
	(viii)	As the main user of the project facilities, provide inputs to the project scope and facility designs.

Public Utilities Board (PUB)	(i) (ii) (iii) (iv)	Provide one or more representatives to PMU. Provide feedback to the project design and implementation from the view points of the end user of project deliverables. provide technical advice on the project scope, facility designs, procurement or others, from the viewpoints of the government agency which will take over the assets after the project; Participate in the project management.
Kiribati Fiduciary Services Unit, MFED	(i) (ii) (iii) (iv) (v) (vi) (vii) (viii) (ix)	In coordination with MISE, PUB, the PDA consultant and ADB, lead financial management, procurement and consultant selection under the Project. Review bidding documents and request for proposal. Advertise the request for expression of interest and the invitation to bid. Organize a pre-bid meeting. Organize a public opening of consultant proposals and bids. Lead evaluating consultant proposals and bids. Coordinate the government approval of procurement milestones. Lead communication with proposers and bidders Administer advance accounts
Project Director (Director, MISE)	(i) (ii) (iii) (iv) (v) (vi) (vii) (viii) (ix) (x) (xi) (xii)	Coordinate with ADB for consultant recruitment. With the support of the Project Management Unit, manage the activities of project preparation and implementation and ensure that all project activities comply with the government and ADB's requirements. Regularly monitor the progress of project preparation and implementation including the achievement of the gender action plan activities and targets and, through KFSU, initiate the NIDSC meeting as necessary and at least quarterly. Review the monthly progress report that PMU prepares and endorse to the task force. Supervise the Project Management Unit. Instruct the PMU to provide government counterpart assistance to the PDA and PIA consultants. With the support of the PMU, supervise the PDA and PIA consultants. Facilitate coordination with government agencies necessary to prepare and implement the project. Oversee reporting and monitoring of project performance including preparation of monthly and quarterly project progress reports, gender action plan progress report. Review the recommendations from the PMU on the contract administration matters including claims and contract variations and recommend approval to the higher authorities when the recommendations are found to be in order. Regularly communicate with ADB staff for any matters related to project management and progress of consulting services. Assist ADB project review missions

Project Management Unit (PMU)	(i)	Assist Project Director in project management.
	(ii)	Monitor and evaluate project activities and outputs and report the findings to Project Director by monthly progress reports.
	(iii)	Review and verify documents submitted by consultants.
	(iv)	Review the consultant's invoices and advise Project Director of its findings.
	(v)	Supervise the PDA and PIA consultants.
	(vi)	Provide day-to-day support for the consultant's project preparation activities.
	(vii)	Actively participate in the project preparation activities aiming at early completion of preparation works.
	(viii)	Facilitate implementation of the project's communication and consultation plan (CCP).
	(ix)	Implement the safeguards requirements and plans and monitor effectiveness of the same. Prepare and submit semi-annual safeguards monitoring reports.
	(x)	Supervise PDA consultant to carry out surveys.
	(xi)	Assist PDA consultant to develop detailed engineering design where required.
	(xii)	Consult with the public and disclose project information with ADB.
Asian Development Bank (ADB)		Assist all government agencies involved in preparing and implementing the project by:
	(i)	Guiding the government agencies for smooth decision making on project preparation and implementation.
	(ii)	Assist in consultant recruitment where requested by the Government.
	(iii)	Fielding review missions and participate in key workshops.
	(iv)	Advise PMU on various project management matters.
	(v)	Disclosing project information to the public.

B. Key Persons Involved in Implementation

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Asian Development Bank

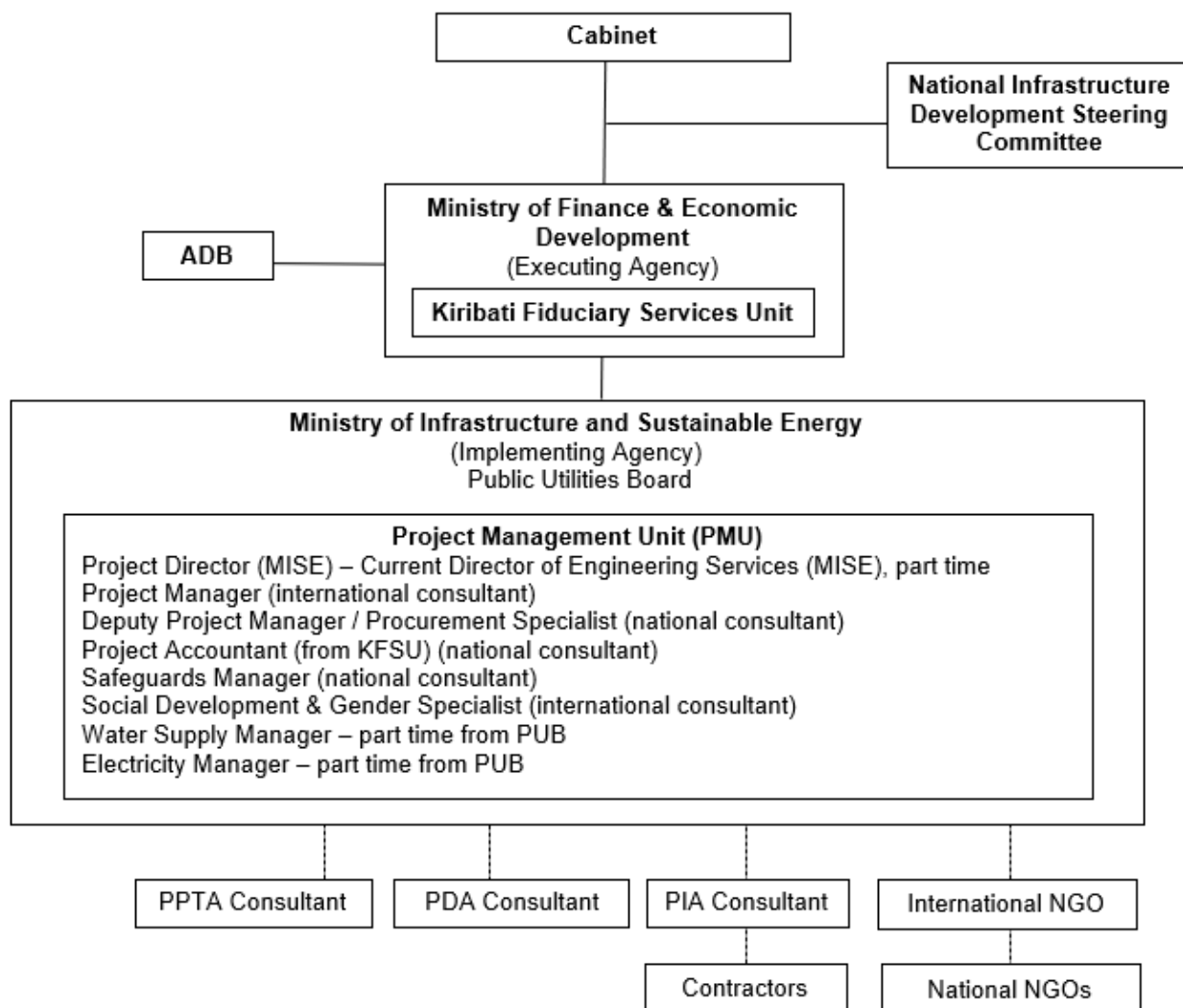
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C. Project Organization Structure



Note: MFED: Ministry of Finance and Economic Development
 MISE: Ministry of Infrastructure and Sustainable Energy
 NGO: Non-governmental organization
 PDA: Project Design Advance
 PIA: Project Implementation Assistance
 PPTA: Project Preparatory Technical Assistance
 PUB: Public Utilities Board

IV. COSTS AND FINANCING

7. ADB, World Bank, Green Climate Fund and Government will finance a proportion of all expenditures. Government's cash contribution will fund support for safeguards implementation where required, and a proportion of the water supply network rehabilitation, while the in-kind contribution consists of tax and duties exemptions, support to the PMU and office space.

A. Cost Estimates Preparation and Revisions

8. Cost estimates were prepared through the project preparatory TA and updated through the Project Design Advance. Selected categories were estimated through consultation with service providers with a familiarity of costs in Kiribati.

B. Key Assumptions

9. The following key assumptions underpin the cost estimates and financing plan:

- (i) Where cost estimates have been prepared in AUD, exchange rate used: A\$1.34 = US\$1.00.⁷
- (ii) Price contingencies based on expected cumulative inflation over the implementation period are as follows:

Table 2: Escalation Rates for Price Contingency Calculation

Item	2018	2019	2020	2021	Average
Domestic	2.0%	2.2%	2.3%	2.5%	2.25%
International	1.5%	1.5%	1.5%	1.6%	1.53%

Source: Asian Development Bank

- (iii) In-kind contributions were calculated based on the prevailing rates for value-added and income taxes.

⁷ Rate as at 10 May 2018.

C. Detailed Cost Estimates by Expenditure Category

10. Refer to Table 3.

D. Allocation and Withdrawal of Grant Proceeds

ALLOCATION AND WITHDRAWAL OF ADB GRANT PROCEEDS			
CATEGORY			
Number	Item	Amount Allocated \$	Percentage and Basis for Withdrawal from the Grant Account
1	Water Supply***	8,222,000	22.00% of total expenditures claimed*
2	Solar	0	
3	Consulting Services	3,857,000	61.94% of total expenditures claimed*
4	Unallocated**	921,000	
	Total	13,000,000	

* Exclusive of taxes and duties in the territory of the recipient

** Includes physical and price contingencies

*** No withdrawals shall be made from the Grant Account for the Water Supply cost category until the WB Grant Agreement has been duly executed and delivered.

ALLOCATION AND WITHDRAWAL OF GREEN CLIMATE FUND GRANT PROCEEDS			
CATEGORY			
Number	Item	Amount Allocated \$	Percentage and Basis for Withdrawal from the Grant Account
1	Water Supply***	15,174,100	40.60% of total expenditures claimed*
2	Solar	6,190,400	100% of total expenditures claimed*
3	Consulting Services	2,370,000	38.06% of total expenditures claimed*
4	Unallocated**	4,895,500	
	Total	28,630,000	

* Exclusive of taxes and duties in the territory of the recipient

** Includes physical and price contingencies

*** No withdrawals shall be made from the Grant Account for the Water Supply cost category until the WB Grant Agreement has been duly executed and delivered.

Note: World Bank and Government will finance a proportion of funds (not ADB-administered) under the Water Supply cost category.

E. Detailed Cost Estimates by Financier

Table 3: Detailed Cost Estimates by Financier
(\$ million)

Item	ADB		WB		GCF ^a		Amount ^b	Government		% of Cost Category	Total Cost
	Amount	% of Cost Category	Amount	% of Cost Category	Amount	% of Cost Category		Taxes and Duties ^c	Total		Amount
A. Investment Costs											
1. Water Supply	8.22	22.00%	12.96	34.67%	15.17	40.60%	1.02	4.31	5.34	2.74%	41.69
2. Solar	0	0.00%	0	0.00%	6.19	100.00%	0	0.71	0.71	0.00%	6.90
3. Consulting services ^c	3.86	61.94%	0	0.00%	2.37	38.06%	0	0.72	0.72	0.00%	6.95
4. Support for safeguards implementation	0	0.00%	0	0.00%	0	0.00%	0.47	0.00	0.47	100.00%	0.47
Subtotal (A)	12.08	24.03%	12.96	25.78%	23.73	47.22%	1.49	5.75	7.24	2.97%	56.01
B. Contingencies											
1. Physical	0.46	15.84%	0.00	0.00%	2.45	84.16%	0.00	0.00	0.00	0.00%	2.91
2. Price	0.46	15.84%	0.00	0.00%	2.45	84.16%	0.00	0.00	0.00	0.00%	2.91
Subtotal (B)	0.92	16.84%	0.00	0.00%	4.90	84.16%	0.00	0.00	0.00	0.00%	5.82
Total Project Cost (A+B)	13.00		12.96		28.63		1.49	5.75	7.24		61.83
% Total Project Cost		23.18%		23.11%		51.05%				2.66%	

Note: Numbers may not sum precisely because of rounding.

^a ADB administration fee for GCF will be covered separately under the GCF's cofinancing arrangement.

^b Government will provide a cash contribution to part of the Water Supply contract as well as for support for safeguards implementation.

^c Financed by the Government through exemptions. Calculated as 12.5% of project base costs.

^d ADB's amount excludes \$2 million PDA approved in 2017. Excludes audit fees which are undertaken by Kiribati Audit Office and financed by Government of Kiribati.

Source: Asian Development Bank.

F. Detailed Cost Estimates by Outputs and/or Components

Table 4: Detailed cost estimates by components
(\$ million)

Item	Amount^b
A. Base Cost^a	
Output 1. Water supply infrastructure is climate resilient and low carbon	40.73
Output 2. Water supply infrastructure is effectively managed	11.48
Output 3. Awareness on climate change, water and health issues is raised	1.41
Output 4. Project implementation is managed efficiently and effectively	2.39
Subtotal (A)	56.01
B. Contingencies	
Physical contingencies	2.91
Price contingencies	2.91
Subtotal (B)	5.82
Total (A+B)	61.83

^a Includes taxes and duties of \$5.75 million to be financed by the government through exemptions. Numbers may not add precisely due to rounding.

^b In early 2020 prices.

Source: Asian Development Bank

Revised amount for Output 1: Includes water supply (83%) and solar (17%)

Revised amount for Output 2: Includes water supply (25%), consulting services (70%) and support for safeguards implementation (5%)

Revised amount for Output 3: Includes consulting services (100%)

Revised amount for Output 4: Includes consulting services (100%)

G. Detailed Cost Estimates by Year

Table 5: Detailed Cost Estimates by Year for ADB-administered funds^a
(\$ million)

Item	Total Cost	2019	2020	2021	2022	2023	2024	2025	2026	2027
A. Investment Costs										
1. Water Supply	23.40	0.00	0.00	5.35	6.71	3.61	3.61	2.01	1.48	0.65
2. Solar	6.19	0.00	0.00	3.10	3.10	0.00	0.00	0.00	0.00	0.00
3. Consulting services	6.23	0.00	0.00	0.78	1.04	1.04	1.04	1.04	1.04	0.26
4. Support for safeguards implementation	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal (A)	35.81	0.00	0.00	9.22	10.84	4.64	4.64	3.05	2.51	0.91
B. Contingencies	5.82	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	5.82
Total Project Cost (A+B)	41.63	0.00	0.00	9.22	10.84	4.64	4.64	3.05	2.51	6.72
% Total Project Cost^b	100%	0.00%	0.00%	22.14%	26.03%	11.16%	11.16%	7.32%	6.04%	16.15%

Note: Numbers may not sum precisely because of rounding.

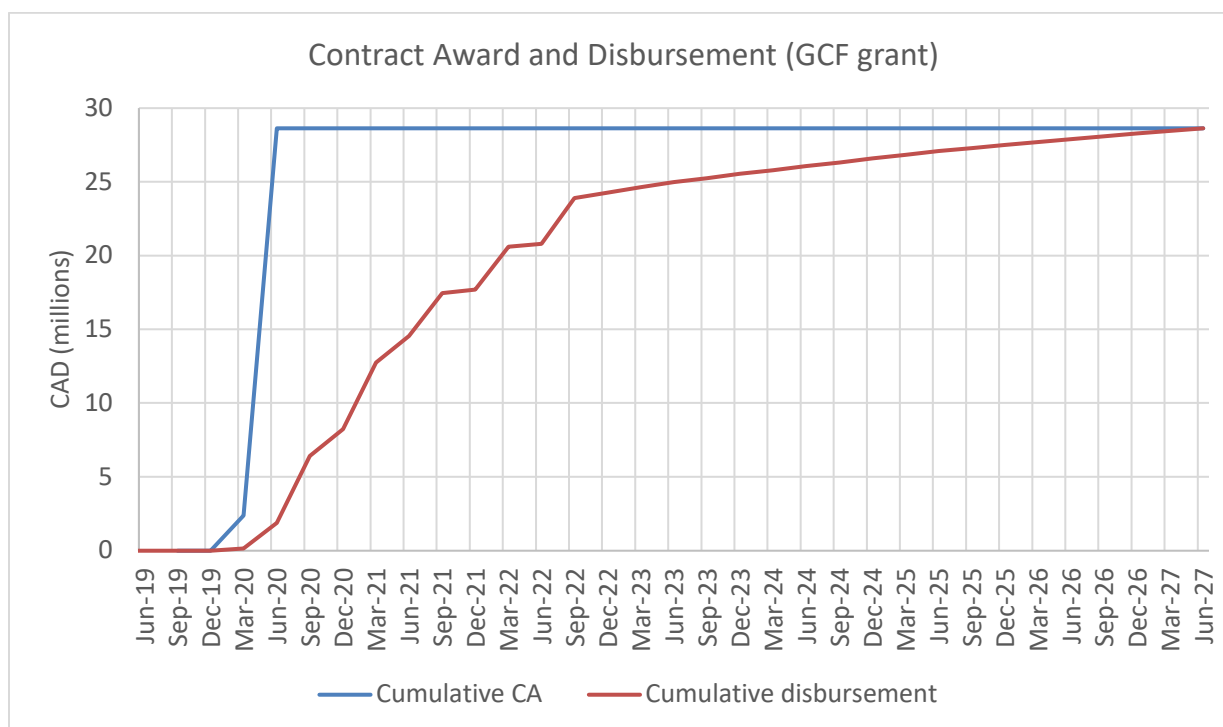
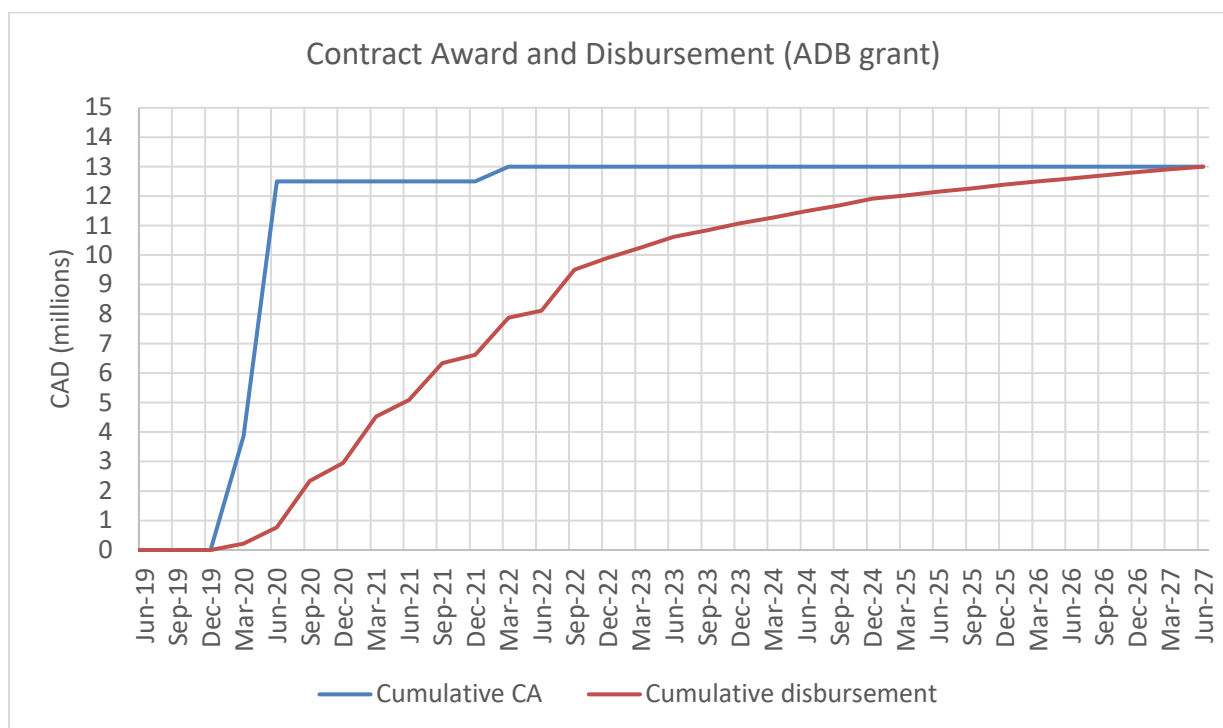
^a Includes ADB and GCF funds. Excludes WB and counterpart funds.

^b Excludes taxes and duties financed by the Government through exemptions.

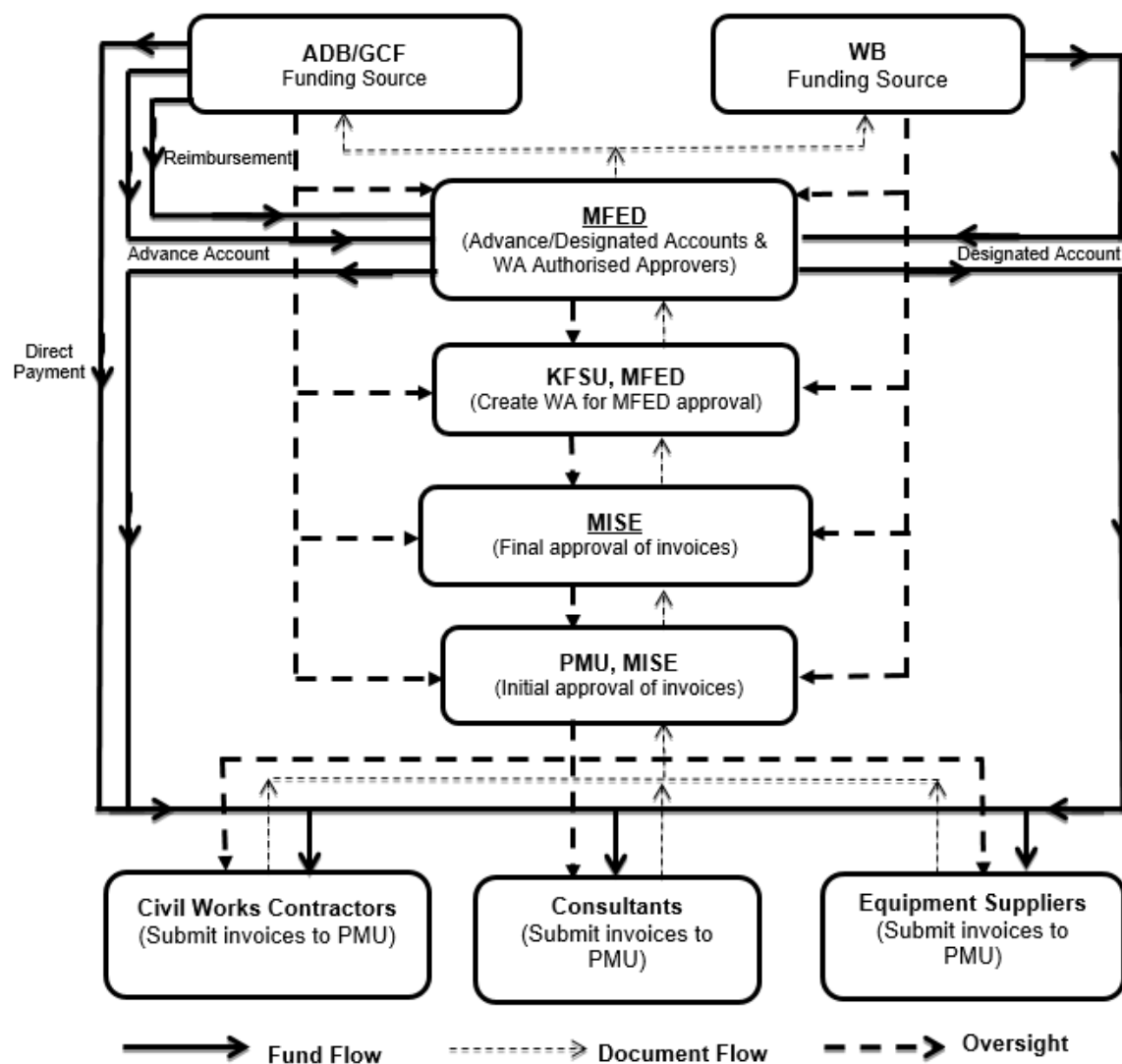
^c As a proportion of ADB and ADB-administered financing.

Source: Asian Development Bank

H. Contract and Disbursement S-Curve



I. Fund Flow Diagram



ADB = Asian Development Bank; KFSU = Kiribati Fiduciary Services Unit; MFED = Ministry of Finance and Economic Development; MISE = Ministry of Infrastructure and Sustainable Energy; PMU = Project Management Unit; WA = Withdrawal Application; WB = World Bank.

V. FINANCIAL MANAGEMENT

A. Financial Management Assessment

11. The financial management assessment (FMA) was conducted in August 2017 in accordance with ADB's Guidelines for the Financial Management and Analysis of Projects and the Financial Due Diligence: A Methodology Note (FMA). The FMA considered the capacity of the Ministry of Finance and Economic Development (MFED), as the executing agency (EA), and Ministry of Infrastructure and Sustainable Energy (MISE) as the implementing agency (IA), including funds-flow arrangements, staffing, accounting and financial reporting systems, financial

information systems, and internal and external auditing arrangements. Based on the FMA, it was concluded that the overall pre-mitigation financial management risk of MFED and MISE is moderate. The government, MISE and MFED have agreed to implement an action plan which sets out key measures to address the deficiencies.

12. The results of the internal control and risk assessment are summarized in Table 6. Financial management risks need to be considered and updated throughout the life of the investment program and risk mitigation measures shall also be updated accordingly.

Table 6: Financial Management, Internal Control and Risk Assessment

Risk	Risk Assessment*	Mitigation Measures
A. Inherent Risk		
1. Country-specific risks – outdated legislation and regulations related to FM	M	With donor assistance, the Kiribati Fiduciary Services Unit (KFSU) has been set-up within the MFED, to handle FM on behalf of donor-financed infrastructure projects and conforms to international best practices
2. Entity-specific risks – low in-house capacity for project FM	M	The PMU based in MISE will handle supervisory, safeguards, and technical tasks and initial approval of invoices. All project financial work will be handled by a qualified and experienced project accountant to be recruited by PMU and based in the KFSU
Overall Inherent Risk	M	
B. Project Risk		
1. Implementing Entity – the project could face a capital cost overrun	M	Adequate physical and price contingencies have been provided in the cost estimates.
2. Funds Flow – foreign exchange risk	M	7% of the grant proceeds are maintained as unallocated as reserve for foreign exchange risks.
3. Staffing - the EA and IA lack sufficient staff to undertake project FM functions.	L	A qualified and experienced project accountant will be recruited, funded under the Project and based in KFSU/PMU, to work closely with the PMU to handle all expenditure reviews and approvals, disbursements, accounting, financial reporting and auditing requirements. Training will be provided to the new project accountant on ADB's disbursements, financial reporting and auditing requirements.
4. Accounting Policies and Procedures – government policies and procedures might not suit or may be too cumbersome for project requirements	L	KFSU procedures are governed by the KFSU Operational Procedures Manual, March 2015 and operate an ADB-approved project accounting and financial reporting system for use in the administration of donor-assisted projects, which operates independently of the Government accounting system.
5. Internal Audit – findings of internal audits by MFED are not always acted upon	L	A qualified and experienced project accountant will be recruited, funded by the project and based in the KFSU/PMU, to handle all the disbursements, accounting, financial reporting and auditing requirements, including ensuring that audit issues are resolved in a timely manner

Risk	Risk Assessment*	Mitigation Measures
6. External Audit – in the past, audit reports of government entities by the KAO, have often not resulted in corrective action	L	The Audit Act 2017 strengthens the powers of the KAO including undertaking of legal recovery actions. The KFSU/PMU will have a qualified and experienced project accountant responsible for addressing issues raised in the project audit reports prepared by the KAO, in a timely manner.
7. Reporting and Monitoring – government accounting system does not yet fully confirm to IPSAS	L	Current KFSU/PMU project staff are trained and experienced in ADB procedures and use of accounting software, and in monitoring progress against the DMF. KFSU/PMU will have a qualified and experienced project accountant responsible for preparing project financial statements in accordance with IPSAS cash-based accounting. Training on ADB's financial reporting and auditing requirements will be provided, as needed.
8. Information Systems – government accounting software is not appropriate	L	KFSU/PMU will continue to use Quickbooks for its project accounting and financial reporting purposes
Overall Project Risk	L	
Overall (Combined) Risk	M	

*H = High, S = Substantial, M = Moderate, L = Low

13. The proposed time-bound action plan is summarized in Table 7:

Table 7: Proposed Action Plan

Issue	Action	Timeline
1. New Project Manager and new Project Accountant	ADB to train new staff on disbursements, financial reporting and auditing requirements	After recruitment
2. ADB's financial reporting and auditing requirements	ADB review mission to meet with KAO to discuss ADB's requirements to ensure compliance	Project team met with KAO during fact-finding mission and will continue meetings with KAO during review missions.
3. Implementing Entity – the project could face a capital cost overrun	Adequate physical and price contingencies have been provided in the cost estimates. PDA is reviewing cost estimates. Proposed prequalification will also assist to improve cost estimates.	During PDA (ongoing).
4. Funds Flow – foreign exchange risk	7% of the grant proceeds are maintained as unallocated as reserve for foreign exchange risks.	Ongoing monitoring during implementation.

ADB = Asian Development Bank; KAO = Kiribati Audit Office

B. Disbursement

1. Disbursement Arrangements for ADB and ADB-administered cofinancier Funds

14. The grant proceeds including ADB-administered GCF funds will be disbursed in accordance with ADB's Loan Disbursement Handbook (2017, as amended from time to time), and detailed

arrangements agreed upon between the government and ADB. Online training for project staff on disbursement policies and procedures is available and project staff are encouraged to avail of this training to help ensure efficient disbursement and fiduciary control.

15. Current KFSU and MFED staff attended a training on ADB's Client Portal for Disbursements (CPD) system in July 2016 and the system was rolled-out to Kiribati, after all of ADB's requirements were met, in July 2017. MISE, KFSU and MFED's current users for both ongoing projects, are well-versed with the system. The current project accountant for ADB's ongoing projects in Kiribati and the KFSU Finance Manager, work closely with MISE and MFED's authorized signatories on the withdrawal applications (WA), so that they are correct and submitted to ADB, in a timely manner. The proposed project will use the same 3 disbursement procedures that have been used under the 2 ongoing projects: (i) direct payment; (ii) advance fund; and (iii) reimbursement.

16. **Direct payment procedure.** Under this procedure, at the recipient's request, ADB will directly pay a designated beneficiary stipulated in the contract and approved by ADB (e.g. contractor, supplier or consultant). It will generally be used for goods with a value that exceeds \$100,000 equivalent, international consulting services and works that exceed \$100,000 equivalent in value during project implementation. A signed WA will be submitted by MFED to ADB, based on invoices approved by the MISE, together with a summary sheet and the required supporting documents. The KFSU in the MFED will be responsible for collecting and retaining supporting documents, as well as preparing and sending WAs to ADB.

17. **Advance fund procedure.** Under this procedure, ADB makes advance disbursements from the ADB and GCF grant funds, for deposit into advance accounts, to be used exclusively for ADB and GCF's share of eligible expenditure. The advance accounts for the project will be established in a commercial bank,⁸ under the auspices of the MFED: one for ADB grant funds, one for GCF grant funds. ADB and other financier project funds will be paid into the respective advance accounts, which will be administered by the KFSU operating under the authority of MFED. KFSU will prepare the documentation (e.g. payment vouchers) for MFED, which in turn will prepare and sign the advance account cheques. MFED staff will be the only authorized signatories to the accounts. The advance accounts will be established, managed, and liquidated in accordance with ADB's and detailed arrangements agreed by the government and ADB. The maximum ceilings of the respective advance accounts will not at any time exceed \$100,000. The currency of the advance accounts will be USD. The advance accounts are to be used exclusively for ADB's and/or ADB-administered GCF funds share of eligible expenditures. The MFED, which administers the advance accounts, is accountable and responsible for proper use of advances to the advance accounts.

18. The total outstanding advance to the advance accounts should not exceed the estimate of ADB's share of expenditures to be paid through the advance accounts for the forthcoming 6 months, or \$100,000, whichever is lower. The MFED may request initial and additional advances to the advance accounts based on an Estimate of Expenditure Sheet⁹ setting out the estimated expenditures to be financed through the accounts for the forthcoming 6 months. Supporting documents should be submitted to ADB or retained by the MFED in accordance with ADB's *Loan Disbursement Handbook* (2017, as amended from time to time) when liquidating or replenishing the advance accounts.

⁸ ANZ Bank, Tarawa

⁹ Estimate of Expenditure sheet is available in Appendix 8A of ADB's *Loan Disbursement Handbook* (2017, as amended from time to time),

19. **Reimbursement procedure.** Under this procedure, ADB will pay from ADB and GCF grant funds, to the Government's account for eligible expenditures, which have been incurred and paid for by the Government out of its own resources. Reimbursement payments will only be made to the Government and not to a third party (e.g. supplier or contractor). A WA signed by authorized personnel in MISE and MFED, based on invoices approved by the MISE, will be submitted to ADB, together with a summary sheet and full supporting documentation.

20. Before the submission of the first WA, the MFED will submit to ADB sufficient evidence of the authority of the persons who will sign the WAs on behalf of the government, together with the authenticated specimen signatures of each authorized person. The minimum value per WA is stipulated in the *Loan Disbursement Handbook* (2017, as amended from time to time). Individual payments below such amount should be paid (i) by the MISE and/or MFED and subsequently claimed to ADB through reimbursement, or (ii) through the advance fund procedure, unless otherwise accepted by ADB. The MFED should ensure sufficient category and contract balances before requesting disbursements. Use of ADB's Client Portal for Disbursements (CPD)¹⁰ system is encouraged for submission of WAs to ADB.

21. For ADB-administered GCF funds, MFED should submit one original of the WA and copies of supporting documents to ADB for the ADB grant and another original of the WA and copies of supporting documents to ADB, for the ADB-administered GCF grant. ADB will review each WA and make the necessary payment, if any.

2. Disbursement Arrangements for Counterpart Funds

22. MISE will be responsible for (i) preparing disbursement projections, and (ii) requesting budgetary allocations for counterpart funds. The government will finance local taxes and duties under the project through exemptions.

C. Accounting

23. The MFED will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on the project following International Public Sector Accounting Standard for cash-based accounting. The MFED will prepare harmonized consolidated project financial statements in accordance with the government's accounting laws and regulations which are consistent with international accounting principles and practices.

D. Auditing and Public Disclosure

24. The MFED will prepare a harmonized detailed consolidated project financial statements to be audited in accordance with the International Standards for Supreme Audit Institutions (as provided in Kiribati under the Audit Law 2017), by an independent auditor acceptable to ADB. The audited project financial statements together with the auditor's opinion will be presented in the English language to ADB and WB within 6 months from the end of the fiscal year by the MFED.

25. The audit report for the project financial statements will include a management letter and auditor's opinions, which cover: (i) whether the project financial statements present an accurate and fair view or are presented fairly, in all material respects, in accordance with the applicable

¹⁰ The CPD facilitates online submission of WA to ADB, resulting in faster disbursement. The forms to be completed by the Borrower are available online at <https://www.adb.org/documents/client-portal-disbursements-guide>.

financial reporting standards; (ii) whether the proceeds of the grant were used only for the purpose(s) of the project; and (iii) whether the recipient or executing agency was in compliance with the financial covenants contained in the legal agreements (where applicable).

26. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

27. The government, MFED and MISE have been made aware of ADB's approach to delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.¹¹ ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of Kiribati), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

28. Public disclosure of the audited harmonized project financial statements, including the auditor's opinion on the project financial statements, will be guided by ADB's Public Communications Policy 2011.¹² After the review, ADB will disclose the audited harmonized project financial statements and the opinion of the auditors on the project financial statements no later than 14 days of ADB's and WB's confirmation of their acceptability by posting them on ADB's website. The management letter, additional auditor's opinions, and audited entity financial statements will not be disclosed.¹³

VI. PROCUREMENT AND CONSULTING SERVICES

A. Advance Contracting

29. All advance contracting will be undertaken in conformity with ADB Procurement Guidelines (2015, as amended from time to time) and ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The issuance of invitations to bid under advance contracting will be subject to ADB approval. The recipient, MFED and MISE have been advised that approval of advance contracting does not commit ADB to finance the project.

30. **Advance contracting.** In order to achieve high project readiness prior to grant effectiveness, selected packages for Goods, Works and Consulting Services will be released under advance contracting. These packages will be progressed to completion of evaluation stage, with remaining steps undertaken post grant effectiveness.

¹¹ ADB's approach and procedures regarding delayed submission of audited project financial statements:

- (i) When audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (a) the audit documents are overdue; and (b) if they are not received within the next 6 months, requests for new contract awards and disbursement such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.
- (ii) When audited project financial statements are not received within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters. ADB will (a) inform the executing agency of ADB's actions; and (b) advise that the grant may be suspended if the audit documents are not received within the next 6 months.
- (iii) When audited project financial statements are not received within 12 months after the due date, ADB may suspend the grant.

¹² Public Communications Policy: <http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications>

¹³ This type of information would generally fall under public communications policy exceptions to disclosure. ADB. 2011. *Public Communications Policy*. Paragraph 97(iv) and/or 97(v).

B. Procurement of Goods, Works, and Consulting Services

31. All procurement of goods and works will be undertaken in accordance with ADB's Procurement Guidelines (2015, as amended from time to time). All consultants and nongovernment organizations (NGOs) recruited to provide consulting services will be recruited in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The outline terms of reference for consulting services are detailed in Section D.

32. Through a Project Design Advance (PDA) approved in November 2017, a firm has been engaged to increase project readiness through the preparation of project related documentation. The firm will (i) undertake surveys to facilitate the design of key assets; (ii) complete the detailed design of water supply network infrastructure; (iii) provide procurement support to the EA and IA, including preparation of bidding documents and support to bid evaluation; (iv) update of safeguards due diligence documentation based on detailed designs, surveys including final inventory/detailed measurement of losses and affected assets and valuation if necessary; and (v) community engagement in preparation for the project. For information regarding the firm's activities relative to the overall project schedule, refer to Table 2.

33. As the project procurement packages will be cofinanced, universal procurement will apply.¹⁴ Bidding documents will reflect i) that ADB and World Bank are jointly financing the project; ii) that the prevailing sanctions policies and respective debarment lists of both ADB and World Bank are applicable; and iii) that both ADB and the World Bank may inspect and audit the procurement process undertaken and subsequent contracts entered into by the recipient. These arrangements form part of a common implementation framework agreed in principle by both ADB and World Bank.

34. A procurement risk assessment (PRA), conducted as part of the project preparatory TA preparing the project, identified the project procurement related risks in Kiribati to be high due to a lack of procurement capacity and expertise within the EA/IA in the delivery of complex projects, such as the STWSP. These risks will be mitigated by i) the engagement of additional procurement expertise (both within the PMU and via the engaged project design and implementation consultants); ii) the continued use of the Kiribati Fiduciary Services Unit (KFSU), which has experience in the delivery of ADB funded projects, to manage the procurement process; and iii) the design of procurement packages in a manner that will allow the most efficient use of the available resources. The mitigation measures reduce the procurement risks on the project from high to moderate.

35. In order to benefit from the knowledge, experience and lessons learned on recent ADB projects in Kiribati and acknowledging the relative difficulty in sourcing suitably qualified and interested candidates for these type of project roles in the Pacific, the contract of the Project Accountant from the current STSISP will be extended to cover the STWSP using Single Source Selection (SSS). The EA has confirmed that the performance of the project accountant on the prior project has been satisfactory.

36. In addition, subject to satisfactory performance, availability of suitably qualified and experienced staff and receipt of an acceptable proposal, the EA will extend (via SSS) the engagement of the project detailed design firm, currently contracted under the PDA, to also

¹⁴ ADB. 2013. Blanket Waiver of Member Country Procurement Eligibility Restrictions in Cases of Cofinancing for Operations Financed from Asian Development Fund Resources. Manila

undertake the Project Implementation Assistance (PIA) activities including site supervision, progress reporting, updating of project documents (e.g. safeguards) etc.

37. A procurement plan indicating threshold and review procedures, goods, works, and consulting service contract packages is contained in Section C.

C. Procurement Plan

38. A procurement plan indicating threshold and review procedures for goods, works, and consulting service contract packages is presented below.

PROCUREMENT PLAN

Basic Data

Project Name: South Tarawa Water Supply Project	
Project Number: 49453-002	Approval Number:
Country: Kiribati	Executing Agency: Ministry of Finance and Economic Development
Project Procurement Classification: B	Implementing Agency: Ministry of Infrastructure and Sustainable Development
Procurement Risk: High	
Project Financing Amount: \$ 58.08 ADB Financing: \$15m Cofinancing (ADB Administered): \$28.63m Non-ADB Financing: \$12.96m (World Bank); \$1.49m (Government)	Project Closing Date: December 2027
Date of First Procurement Plan 21 February 2019	Date of this Procurement Plan: 15 July 2020

A. Methods, Thresholds, Review and 18-Month Procurement Plan

1. Procurement and Consulting Methods and Thresholds

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

Procurement of Goods and Works		
Method	Threshold	Comments
International Competitive Bidding (ICB) for Works	US\$ 3,000,000 and above	Prior Review
International Competitive Bidding for Goods	US\$ 1,000,000 and above	Prior Review
National Competitive Bidding (NCB) for Works	Between US\$ 300,001 and US\$ 2,999,999	First subject to prior review, post review thereafter
National Competitive Bidding for Goods	Between US\$ 300,001 and US\$ 999,999	First subject to prior review, post review thereafter
Shopping for Works	Up to US\$ 300,000	Post Review
Shopping for Goods	Up to US\$ 300,000	Post Review

Consulting Services	
Method	Comments
Quality and Cost Based Selection	90:10 quality cost ratio
Quality Based Selection	
Individual Consultants selection	
Single Source Selection	

Goods and Works Contracts Estimated to Cost \$1 Million or More

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

Package Number	General Description	Estimated Value (US\$ million)	Procurement Method	Review [Prior / Post/Post (Sampling)]	Bidding Procedure	Advertisement Date (quarter/year)	Comments
GDW-1	Desalination plants including 5-year O&M contract + 5-year option to extend	10.3	ICB	Prior	1S2E	Q3/2020	Prequalification of Bidders: N Domestic Preference Applicable: N Bidding Document: DBO (ADB trial version, amended) Estimate excludes contingencies and taxes/duties. Output 1 and Output 2 Funded by GCF
GDW-2	Water supply network incl. 5-year O+M contract	27.1	ICB	Prior	1S2E	Q3/2020	Prequalification of Bidders: N Domestic Preference Applicable: N Bidding Document: Large Works Works with O&M contract. "Section A" includes WASH Part A implementation budget (\$0.3m) and capacity building (\$3.5m). Estimate excludes contingencies and taxes/duties. 2 lots. Output 1 and Output 2 Financed by WB, ADB, GCF and GoK
GDW-3	Solar PV system	6.2	ICB	Prior	1S1E	Q3/2020	Prequalification of Bidders: N Domestic Preference Applicable: N Bidding Document: Plant Estimate excludes contingencies and taxes/duties. Output 1 Financed by GCF

ICB = International Competitive Bidding; 1S1E = One Stage One Envelope

2. Consulting Services Contracts Estimated to Cost \$100,000 or More

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

Package Number	General Description	Estimated Value (US\$ million) ^a	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
CSF-2	Project Implementation Assistance Consultants	3.1	SSS	Prior	Q2/2020	FTP	Assignment: International. Extension of PDA Consultant, subject to satisfactory performance Output 2 Financed by ADB and GCF
CSF-3	WASH awareness program-Part B "WASH Community Partnership"	0.90	QBS	Prior	Q1/2020	FTP	Assignment: International NGO Output 3 Financed by ADB and GCF
CSI-1	(PMU) Project Manager/Tech. Advisor	1.1	ICS	Prior	Q3/2020	N/A	Assignment: International. Expertise: Project Management Output 4 Financed by ADB and GCF
CSI-2	(PMU) Deputy Project Manager / Procurement Specialist	0.15	ICS	Prior	Q3/2020	N/A	Assignment: National Expertise: Procurement Output 4 Financed by ADB and GCF
CSI-3	(PMU) Project Accountant	0.35	SSS	Prior	Q3/2020	N/A	Assignment: National Expertise: Accountant Transfer from existing STSISP Output 4 Financed by ADB and GCF
CSI-4	(PMU) Safeguards Manager	0.18	ICS	Prior	Q3/2020	N/A	Assignment: National

Package Number	General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Review [Prior / Post/Post (Sampling)]	Bidding Procedure	Comments
None							

Consulting Services							
Package Number	General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Review (Prior / Post)	Type of Proposal	Comments
None							

C. List of Awarded and On-going, and Completed Contracts

44. The following tables list the awarded and on-going contracts, and completed contracts.

1. Awarded and On-going Contracts

Goods and Works							
Package Number	General Description	Estimated Value	Awarded Contract Value	Procurement Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Comments

Consulting Services							
Package Number	General Description	Estimated Value	Awarded Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Comments
CSF-1	PDA Consultants	1.6	1.57	QCBS	Q3 2017	15-Sep-2018	Contracted under PDA
PMU-ICS-001	PDA Project Manager	0.2	0.20	ICS	Q1 2018	1-Aug-2018	Contracted under PDA

2. Completed Contracts

Goods and Works								
Package Number	General Description	Estimated Value	Contract Value	Procurement Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion	Comments
None								

Consulting Services								
Package Number	General Description	Estimated Value	Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion	Comments
None								

D. Consultant's Terms of Reference

45. Outline Terms of reference for consultant contracts:

PMU: Project Manager (international consultant)

- (i) Supervise the Deputy Project Manager for the project management activities.
- (ii) Ensure that the project activities follow the government and ADB's policies and requirements.
- (iii) Prepare monthly progress reports and submit to Project Director.
- (iv) Coordinate with consultants for their daily activities for feasibility and scoping studies.
- (v) Monitor the PDA and PIA consultant's activities.
- (vi) Review deliverables of the PDA, PIA and other PMU consultants (excluding the PDA project manager) and check if they are suitable to the government's policy and regulations and the beneficiaries' needs. Advise the findings to the Project Director.
- (vii) Supervise the PDA, PIA and other consultants (excluding the PDA project manager) for their daily activities.
- (viii) Assist in conducting the tender process for all contracts for civil works, equipment, and consulting services (PIA, WASH program and PMU consultants including Deputy Project Manager, Accountant, Social Development and Gender Specialist and Safeguards Specialist) under the Project.
- (ix) Carry out field inspections to ensure that engineering designs are adequately implemented.
- (x) Provide input into bid documents that the PDA consultant prepares.
- (xi) Assist with any design changes during project implementation.
- (xii) Supervise contractors' works including carrying out periodic performance audits to ensure quality control and core labor standards are met.
- (xiii) Review and approve the contractor's installation methodology and work plans.
- (xiv) Review and endorse progress claims of consultants and contractors.
- (xv) If required, coordinate with the Safeguards Manager and staff of MELAD – both Lands and Environment Division in reviewing resettlement plans, environmental management plans (EMPs), ensuring any conditions of the environmental license are fully implemented, carrying out regular audits and monitoring of the preparation/update of these plans, and as required providing technical advice on ensuring compliance with safeguards assurances under the project
- (xvi) Facilitate and support arrangements for vocational education and training through the project.

PMU: Deputy Project Manager / Procurement specialist (national consultant)

- (i) Assist the Project Manager and act as the Project Manager in his/her absence from office.
- (ii) Assist the PPTA, PDA, PIA and other consultants as necessary for example to organize stakeholders' workshops.
- (iii) Assist Project Manager to monitor consultant activities and deliverables.
- (iv) Provide inputs to the monthly progress reports.
- (v) Review bidding documents and requests for proposals including draft contracts that the PDA consultant prepares and provide inputs.
- (vi) Lead organizing and overseeing procurement processes for civil works, consulting services and other types of contract under the project in coordination with the Central Procurement Unit.
- (vii) Update the procurement plan, as required and at least yearly.
- (viii) Provide guidance and support to Bid Evaluation Committees on the evaluation of bids and proposals.
- (ix) Coordinate project procurement activities and be responsible for the achievement of all project-related procurement targets.

- (x) Establish and maintain as project filing system ensuring all relevant procurement and contract management records are comprehensively filed.
- (xi) Lead evaluating bids and proposals and make recommendations for contract awards.
- (xii) Review contractual issues including contract variations and recommend approval from the higher authority.
- (xiii) Coordinate with counterpart agencies to solve any technical or contractual issues.
- (xiv) Review consultants' progress claims and with concurrence of ADB staff certify them for payments.
- (xv) Regularly monitor contractor's works in the field and verify the progress claims in coordinating with the construction supervision consultant.
- (xvi) Review the contractor's claims and certify them for payments.
- (xvii) Monitor the contractor's compliance with the contractors Environmental Management Plan, as necessary, and ensure compliance with environmental assurance under the project with the assistance of the construction supervision consultant.
- (xviii) Coordinate with the Safeguards Manager on ensuring that the review of resettlement plans, environmental management plans (EMPs), any conditions of the environmental license are fully implemented, regular audits and monitoring of the preparation/update of the plans are carried out, and as required providing technical advice on ensuring compliance with safeguards assurances under the project.
- (xix) Provide advice and support to the CSO contracted to deliver WAP Part B and support it in developing the procurement capacity in local CSOs in Kiribati.

PMU: Project Accountant (national consultant)

- (i) Establish and administer a financial management system for the project in accordance with the relevant ADB and WB guidelines concerning administration of disbursements, and arrangement of direct payments to contractors.
- (ii) Establish an exclusive project account for the project and maintain it according to the Government accounting principles.
- (iii) Provide the necessary accounting services to ensure effective project administration.
- (iv) Provide inputs to the monthly progress reports.
- (v) Coordinate with the Auditor General's Office for and arrange annual auditing of the project account, ensuring the ADB's and WB's requirements of audit are met.
- (vi) Review the contractor's progress claims and certify them for payment in coordination with the Deputy Project Director.
- (vii) Initiate timely disbursement of project funds in accordance with ADB's Loan Disbursement Handbook (2017, as amended from time to time) and WB's requirements.
- (viii) Manage the government counterpart funds and records in-kind contribution.
- (ix) Ensure contract ledgers are updated and sufficient balances in the advance accounts to finance expenses for day-to-day project activities.

PMU: Safeguards Manager (national consultant)

The PMU's Safeguards Manager will work closely with the safeguards specialists in the PDA and PIA consultant teams and the Social Development and Gender Specialist to achieve the requirements set out in A and B below. The key tasks include:

A. Environment Safeguards

- (i) Based on detailed design, update the cleared initial environmental examination and environmental management plan (EMP) and format as environmental impact assessment

as per the Environment Act (and Amendments) and prepare the application for environmental license under the Act (including an Executive Summary in i-Kiribati);

- (ii) Ensure that the updated EMP and any conditions of the environmental license are integrated into the tender and bid documents;
- (iii) Assist in disclosure of the environmental assessment, EMP and other relevant safeguards information and documents;
- (iv) Review the bid responses in respect of environmental management and provide inputs to the bid evaluation report as required;
- (v) Depending on the experience of the successful contractor with environmental management, provide induction training prior to the preparation of the construction EMP (CEMP);
- (vi) Review (requesting revision as required) and clear the contractor's CEMP and advise the Engineer that approval to commence works can be given;
- (vii) Assist in implementation of the project's communication and consultation plan (CCP) and grievance redress mechanism (GRM);
- (viii) Provide assistance in resolving grievances prior and during project implementation including, but not limited to, communicating with concerned parties the grievances by the affected persons /communities, conducting assessment/investigation on land-related and other safeguards issues and facilitate timely actions to resolve grievances;
- (ix) Undertake inspections and audits of contractor implementation of the approved CEMP. Advise the Engineer of any corrective action requests that need to be issued and monitor effectiveness of the actions and close-out;
- (x) Prepare inputs covering safeguards (including capacity building and consultations) to quarterly progress reports; and
- (xi) Prepare and submit to MISE and ADB semi-annual safeguards monitoring reports.

B. Social Safeguards

- (i) Work with PDA and PIA consultants to complete the update of the resettlement plan based on detailed design and taking into account affected persons feedback and concerns, if any;
- (ii) Lead in supporting MISE to implement land acquisition activities and compensation as per the updated resettlement plan;
- (iii) Lead in undertaking regular check and supervision of the contractor's compliance with safeguards requirements and prepare corrective actions to address non-compliance during construction;
- (iv) Inform MISE of any unanticipated resettlement impacts and conduct field assessment to update or formulate new resettlement plan, if required working closely with the International Social Development and Gender Specialist;
- (v) Assist Project Manager in implementing the project's communication and consultation plan (CCP) and grievance redress mechanism (GRM);
- (vi) Ensure all affected women and men are aware of grievance processes and that they're considered in a socially inclusive process (if necessary in local dialect and with a minimum of one woman on Grievance Redress Committee);
- (vii) Provide assistance to Project Manager in resolving grievances prior and during project implementation including, but not limited to, communicating with concerned parties the grievances by the affected persons /communities, conducting assessment/investigation on land-related and other safeguards issues and facilitate timely actions to resolve grievances;
- (viii) Prepare semi-annual safeguards report and other necessary monitoring reports working closely with International Social Development and Gender Specialist and PIA consultant;
- (ix) Assist PIA consultant in implementing safeguards trainings and capacity building activities, including with local CSOs partnering under the WAP Part B;

- (x) Assist the International Social Development and Gender Specialist in implementing and monitoring gender activities particularly those under the contractor's responsibilities and collecting sex disaggregated data according to project design and monitoring framework;
- (xi) Assist the preparation and implementation of the Stakeholder Communication Strategy

PMU: Social Development & Gender Specialist (international consultant)

- (i) Oversee the overall implementation of the Gender Action Plan including undertaking field visits to monitor GAP progress and coordinating with the MISE gender focal point, contractors and CSO in implementing the gender activities under the WASH component;
- (ii) Assist in monitoring project implementation with the view to identifying any unanticipated risks and/or sensitive gender impacts. If such risks and/or impacts eventuate, adjust, adapt, and/or develop project activities to implement appropriate mitigation measures either through amending GAP or RP;
- (iii) Support the contractor and CSO to conduct a gender inclusive participatory community consultations with local women and men (in separate groups) to meet/exceed women participation target;
- (iv) Organize gender trainings, workshops and events for the PMU staff, PIA consultants, the CSO implementing WAP Part B, local CSOs and relevant MISE/PUB staff;
- (v) Implement the collection of sex-disaggregated data relevant to the project and reflecting on GAP targets and indicators and prepare GAP progress reports with inputs from PIA consultants' monthly/quarterly progress reports;
- (vi) Working closely with PUB, CSO and other relevant consultants, collect qualitative data over the life of the project in 4 – 6 project areas to measure improvements in the quality of women's lives due to safe water usage. These could include baseline, mid and end of project surveys;
- (vii) Work with the PDA and PIA consultant and assist Safeguards Manager in ensuring the updates/completion of resettlement plan/s required for the project and implementation of land acquisition activities including proper valuation based on market prices, coordinating the availability of government funds with concerned government agencies and preparing the compensation completion report for ADB's no-objection prior to civil works;
- (viii) Provide support to the Project Manager in ensuring functional grievance redress mechanism has been established and overseeing the timely resolution of grievances particularly relates to social and gender issues;
- (ix) Support the Safeguards Manager in identifying any unanticipated impacts during project implementation and prepare necessary safeguards documents including update of the resettlement plan or preparing corrective action plan if there are non-compliances in accordance with ADB SPS;
- (x) Oversee the implementation of the Stakeholder Communication Plan
- (xi) Work with the CSO undertaking the WASH Community Partnership to develop and implement the financial literacy training envisaged in the GAP and capacity building with local CSOs partnering to deliver this training.
- (xii) Support the NGO to conduct a socio-economic survey on arsenal fisheries as envisaged through environmental due diligence.

Project Design Advance Consultants (Firm)

Contract awarded in October 2018.

Project Implementation Assistance Consultants (Firm)

- (i) Prepare an Inception Report describing the planning the consultant has established for the assignment, the staffing and remarks as deemed appropriate;
- (ii) Conduct an inception workshop involving key stakeholders and covering the content of the inception report;
- (iii) Undertake the activities described in parts A & B as follows:

A. PIA Assistance to the PMU in procurement, contract administration, M&E and supervision

- (i) Assist the PMU in providing all necessary information to the project steering committee as and when required;
- (ii) Review and update the PAM including but not limited to the project implementation schedule and the project procurement plan within 3 months of initial fielding of the PIA consultants and thereafter annually. Copies of the updated PAM shall be provided to the PMU and the ADB project officer.
- (iii) In consultation with the key project stakeholders, prepare the project's monitoring and evaluation and performance evaluation frameworks (PEF). The PEF will be finalized within 3 months of the fielding of the PIA consultants and shall be aligned with the project's DMF and shall include, at a minimum, a monitoring and evaluation framework (MEF), an implementation schedule, and a risk matrix. Identify and obtain the endorsement of key stakeholders of appropriate indicators, including gender sensitive indicators, and indicators to measure increased civil society capacity, for inclusion in the MEF. Ensure data is available to support M&E associated with reporting to respective financiers;
- (iv) In consultation with the PMU Project Manager, prepare: (i) quarterly progress reports in a format to be agreed by the Ministry of Finance, MISE, the PMU, and ADB; (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 the next 12 months;
- (v) Prepare the contract completion reports satisfactory to government and ADB, and ensure as-built data, such as as-built drawings, equipment operations and maintenance manuals, and guarantees, are collected and collated at the completion of each contract.
- (vi) If further procurement is required following the PDA, assist the PMU to (a) procure goods, works, and consultancies in accordance with ADB Procurement Guidelines (April 2015 and as updated from time to time) and Guidelines on the Use of Consultants by Asian Development Bank and Its Borrowers (March 2013 and as updated from time to time; (b) draft bidding documents for subprojects following ADB's procurement procedures and using standard bidding documents and guidelines; (c) update the bid docs following review by the PMU, ADB and WB; (d) evaluate bids and prepare bid evaluation reports including recommendations for contract awards; (e) prepare the necessary documentation for contract signing and contractor mobilization; (f) Review the procurement and delivery program for each supply contract financed under the project to ensure compatibility and timely coordination with other contracts and civil works; and (g) prepare specifications for the purchase of equipment and materials;
- (vii) Administer subproject contracts including processing of progress certificates, review of extension of time claims, preparation of change orders and non-conformance notices, subproject implementation progress monitoring, and subproject cost monitoring;
- (viii) Support execution of the DBO contract as required;
- (ix) Prepare construction schedules and provide effective and regular supervision of the works. Ensure that the works are executed in accordance with established standards, criteria, specifications, procedures, and approved design and environmental aspects in compliance with the environmental management and monitoring plan and the construction schedule;

- (x) Ensure all contractors and consultants comply with the laws of Kiribati, ADB's Safeguard Policy Statement, and ADB's Anticorruption Policy.
- (xi) Develop and implement applicable procedures required to ensure adequate control of manufacturing, factory tests, delivery, and acceptance of materials and equipment. Assist with the unpacking and checking of the materials and equipment, follow up on the delivery of delayed components, and make claims.
- (xii) Review the design and construction contractor's drawings and calculations to check arrangements for optimized operation and maintenance and verify compliance with contract specifications;
- (xiii) Respond to contractor requests for information in all matters related to interpreting contract documents;
- (xiv) Maintain a permanent record of all quantities for payment, test results, etc.
- (xv) Identify potential risks to the government in the implementation of contracts, including cost over-runs, delays, and non-conformance with project specifications.
- (xvi) Where necessary, coordinate design changes to achieve to-time and to-budget subproject delivery. Prepare change orders, and assist the project manager to negotiate with the contractor to implement the changes;
- (xvii) Lead the capacity development of MISE staff in areas including project management, contract management, monitoring & evaluation and other core competencies related to the sound management of project implementation and to ensure sustainability. Assist MISE and PUB in knowledge management efforts.
- (xviii) Ensure proper training and handover of roles and responsibilities to the PMU at the conclusion of the PIA firm's contract.

B. PIA Assistance to the PMU with safeguards, gender and participation plan

- (i) Provide orientation for the PMU, MISE and MELAD personnel on safeguard measures, including implementation of the Environmental Management Plans (EMP) and Resettlement Plans;
- (ii) Provide training for PUB, MISE staff responsible for designing and implementing safeguard measures to ensure these are well understood and implemented effectively;
- (iii) Supervise and evaluate the implementation of environmental mitigation and monitoring measures as specified in the environmental management plan (EMP). This includes undertaking the environmental monitoring audits as prescribed;
- (iv) Update the EMP as necessary, including (if required) carrying out supplemental environmental assessments for additional subprojects appraised after grant approval;
- (v) Assist the PMU's social development and gender specialist to implement the resettlement plan and ensuring that compensation payments for any land/asset acquisition that is needed in line with the approved resettlement plan take place as per ADB policy requirements, and compensation payments are made before any assets or land is impacted or acquired for construction works;
- (vi) Assist the PMU in identifying unanticipated impacts during implementation and preparing necessary safeguards documents, including updating of RP and preparing corrective action plan if there are non-compliance in accordance with ADB SPS;
- (vii) Assist PMU set up public consultation and communication system and grievance redress mechanism to ensure that public is provided with full information on construction activities, their impacts in relation to public health, inconvenience caused by construction activities and what mitigation measures are to be implemented by the project;
- (viii) Support the PMU International Social Development and Gender Specialist in implementing and monitoring Gender Action Plan performance targets and activities particularly relating to the contractor's obligations such as ensuring women employment.

- (ix) Ensure proper training and handover of roles and responsibilities to the PMU at the conclusion of the PIA firm's contract.

WASH Awareness program – Community Partnership (International CSO or International Agency)

- (i) In coordination with the Ministry of Health and Medical Services (MHMS), lead the implementation of the WASH awareness program Part B: a broad 5-year WASH and behavior change campaign (SBCC) with a focus on tackling existing problematic behaviors linked to sanitation, hygiene, menstrual hygiene management (MHM), household water treatment and safe storage, solid waste management and climate change. The program will continue the community engagement undertaken through the STSISP and will ensure the program complements the WASH Program Parts A & C, and other project components;

Review

- (ii) Review: (a) the outputs from other recent programs including the STWSP PPTA, Kiribati Adaptation Program Phase 3 (KAPIII), STSISP etc. and identify successes and lessons learned; (b) the objectives and targets identified for STWSP, including those identified in the project's DMF, participation plan, stakeholder communication strategy, social inclusion strategy and GAP; and (c) any additional targets of the Government and respective cofinanciers (including the Global Climate Fund).
- (iii) Based on this review, and in consultation with MHMS and key stakeholders, develop a community engagement framework that will operationalize the WAP Part B. The program will strengthen WASH community partnerships while drawing on key lessons, materials and resources, established stakeholder relationships and community partnerships;

Partner with Local CSOs

- (iv) Identify, assess and recruit suitable CSOs based in South Tarawa as partners to support the program implementation (led by the International CSO or International Agency), and assess their existing strengths and capacity-building needs to maximize the effective contribution they can make to implementation of the WAP Part B;
- (v) Develop and operationalize a partnership charter or framework to guide working with local CSOs, promote this as a model for local CSOs on best practice approaches to partnership brokering and community engagement;
- (vi) Provide sufficient introductory and ongoing training to CSOs to ensure capacity to best achieve the objectives of the program. Capacity building activities should be identified and designed jointly with the partners, and may include training or mentoring in financial literacy, project management, gender-sensitive approaches to WASH, advocacy, goal setting, monitoring and evaluation, governance, transparency and accountability, WASH SBCC, community engagement and attracting funding for ongoing sustainability.

WASH SBCC

- (vii) Design, test and produce an evidence-based WASH SBCC and materials to encourage households and communities to adhere and practice good WASH behaviors;

- (viii) Train stakeholders in the use of SBCC tools and provide coaching for the conduct of effective community-staged campaigns and promotional events in South Tarawa. Promotional events will include but not be limited to those for World Water Day, World Toilet Day, etc.;
- (ix) In close consultation with key stakeholders, develop the creative idea, visuals and appropriate media platforms which will serve as the overarching theme and call to action of the WAP. This may include, but not be limited to, an umbrella slogan, tagline and mascot, etc. to reflect the desired positioning of the behavior (access to safely managed WASH services) and/or a call to action. The Coordinating CSO must develop at minimum three different concepts and all final materials are to be pretested;
- (x) In line with the key creative concept above: (a) develop messages and SBCC tools and sales materials for use by CSOs, village leaders, health workers and inspectors, health workers and WASH suppliers and their sales force in their interpersonal communications with households aimed at increasing access to safely managed WASH services; (b) develop a package (including plan, scripts, organizing checklists, etc.) for CSOs and other relevant technical departments/units and communities to host and organize consumer events to promote behavior change on the use of improved WASH facilities (allowing the possibilities to integrate these as part of other community-level events and festivities); and (c) develop a training/coaching kit that will be used for training and assisting community leaders, health workers, and other actors on the use of the SBCC and event-materials;
- (xi) Ensure the delivery of training sessions for beneficiaries during the 5-year WAP (number of training sessions and beneficiaries reached per village per year to be determined);
- (xii) Provide technical advice and coaching support to CSOs and other partner organizations in executing community campaigns and consumer events;
- (xiii) Design financial literacy training to facilitate improved ability to pay for water; ensure local CSOs are provided with support and coaching to deliver this training; ensure training is delivered quarterly to PUB customers in at least 250 communities;

Monitoring, Evaluation and Learning

- (xiv) Design and implement a project M&E framework, under the WAP Part B, including the conduct of at least bi-annual M&E and learning surveys to allow for feedback mechanisms from community members on the WAP Part B. Ensure that data from training sessions and all other activities/interventions is monitored, documented, consolidated and suitable for reporting to support STWSP objectives and outputs;
- (xv) Support local CSOs to build their capacity to conduct monitoring activities as part of the M&E framework;

Coordination with Key Stakeholders

- (xvi) In coordination with the PMU, plan, implement and provide overall support for the project's participation plan, stakeholder communication strategy, social inclusion strategy and GAP, to ensure the project's objectives are met and that data to supporting reporting is available;
- (xvii) To support the implementation and monitoring specifically of the GAP, work closely with the PMU's International Social Development and Gender Specialist. Activities include but are not limited to implementing gender targets under the WASH component and other awareness raising and workshop activities to project communities; data collection and surveys to measure improvements in the quality of women's lives due to safe water usage; bi-annual monitoring, evaluation and learning surveys to allow feedback mechanisms from community members on WASH; undertaking/leading focus group discussions in line with targets under GAP, ensuring women, poor, youth and vulnerable as well as disabled

participate in project orientation and consultations and focus group discussions; and financial literacy training to water users to ensure ability to pay for water usage when required;

- (xviii) Coordinate closely with key stakeholders to ensure that work undertaken complements existing and other work in WASH in Kiribati, and contribute to the establishment and development of a WASH Practitioners Working Group.

WASH Awareness Program – Walk the Talk: Institutional advisor (individual consultant)

The objective of this assignment is to support the implementation of Part C of the WASH Awareness Program. Institutional capacity development and coordination will be a critical focus of this activity.

- (i) Develop a work plan and strategy for influence and action;
- (ii) In coordination with the WAP Part B CSO, conduct a rapid scoping and desk review of past and current programs, projects, studies and initiatives (including ADB PPTA outputs and UNICEF 4D strategy, among others) and strengths and weakness related to WASH coordination and share with key project stakeholders including the CSO implementing the WAP Part B;
- (iii) Review WASH related legislation, policy and by-laws to ensure the regulatory mechanisms and mandates are appropriate for the situation and behavior being promoted through the WAP, and that findings from the review are incorporated in other interventions through the project. Recommendations should then be implemented progressively to improve the policy and regulatory environment that influences WASH behaviors;
- (iv) To support efforts to improve WASH facilities at government facilities, assist in the setting of interim goals that are within the resource and funding constraints that dominate the current poor status of WASH facilities and work towards larger longer, term objectives (e.g., basic improvements to WASH amenities can be done through the construction of simple and low cost hand-washing facilities, maintenance of rainwater systems used for drinking and provision of rubbish disposal for menstrual hygiene management in women's toilets, etc.);
- (v) Lead capacity building activities, with a focus on strengthening regulatory agency's capacity and mandates related to:
 - a. Building code regulations for water and sanitation systems (MISE)
 - b. Environmental protection laws (MELAD)
 - c. Local government (BTC and TUC) by-laws linked to solid waste management, public health safeguards (e.g. food safety), groundwater pollution etc.
 - d. Penalties for tampering with water and sewerage infrastructure (PUB and Police)
 - e. Regulation of government housing including solid waste management, keeping pigs and animals, well construction etc. (KHC)
 - f. Public health requirements and inspections (e.g. food safety) (MHMS)
- (vi) Support capacity development for data monitoring at Clinics;
- (vii) Support relevant institutions set up tracking of key performance indicators linked to regulatory activities;
- (viii) As required, support the preparation of terms of reference, procurement evaluation, policy review, training and capacity development, M&E, technical backstopping and supervision of other WASH-related interventions through the project;
- (ix) Provide mentoring to support the 'champion of change' envisaged to be identified through the project;
- (x) Undertake selected other ad-hoc capacity building activities and workshops in coordination with the PMU;
- (xi) Implement activities with gender consideration and support the implementation and achievement of relevant targets under the Gender Action Plan;

- (xii) Assist with the design of the proposed climate change and water visitor education center
- (xiii) Ensure climate change elements are encompassed in the WASH awareness program community outreach

VII. SAFEGUARDS

46. **Environment.** The project is classified as category B for environment. The impacts are largely site-specific, intermittent and/or temporary (during construction) and mitigation measures can be readily designed and implemented. An environmental and social impact assessment (ESIA) – as equivalent to an initial environmental examination (IEE) and appropriate for the category B project – has been undertaken and includes an environmental management plan (EMP) which will be updated based on detailed design. The ESIA will form the basis of the application for environmental license under the country safeguard system. As described below institutional arrangements have been incorporated into the project management structure and system to ensure effective safeguards implementation. The contractor will prepare a construction EMP (CEMP) responding to the EMP and environmental license conditions, the PMU will review and clear the CEMP. Implementation of the approved CEMP will be monitored for effectiveness.

47. The project will support positions in the PMU for safeguards which will enhance the institutional capacity of the recipient to manage environmental and social risks. The PMU will be supported by the PDA and PIA consultants which will provide capacity building and training as core elements of their TOR.

48. **Social.** The project is classified as category B for involuntary resettlement and category C for indigenous peoples. The proposed water supply infrastructure will not have significant involuntary resettlement impacts, with impacts confined to minor land acquisition/lease and some affected assets such as crops and trees. The PMU staffed by national safeguards manager and International Social Development and Gender Specialist will have the overall responsibility in overseeing the implementation of resettlement framework and resettlement plan. Their key responsibilities include ensuring continuous consultation and information disclosure to affected persons; coordination with key government agencies to complete land acquisition/lease and payment for affected assets; drafting/updating of resettlement plan based on the resettlement framework and following detailed design; identifying unanticipated impacts and preparation of safeguards documents in compliance with ADB safeguards; establishing grievance redress mechanism and timely resolution of affected persons grievances and monitoring and reporting of resettlement activities.

49. The project will not possess the site and start construction until the compensation to affected persons has been completed. The PMU consultants jointly with MISE and Ministry of Environment, Land and Agricultural Development will undertake key activities below prior to site possession and commencement of civil works:

- (i) Ensure preparation/update of the resettlement plan based on detailed engineering and consultations and disclosure to all affected persons and other key stakeholders;
- (ii) Confirmation of valuation based on full replacement cost at existing market price for all affected assets and lands to be acquired;
- (iii) Assist in disbursement of government funds for compensation and entitlements to affected persons;
- (iv) Establishment of grievance redress mechanism for the project; and
- (v) Preparation of the Compensation Completion Report and submission to ADB for clearance following payment of all compensation and entitlements to affected persons

50. The capacity building on social safeguards within MISE will be supported by the International Social Development and Gender Specialist through training and coaching.

51. **Prohibited investment activities.** Pursuant to ADB's Safeguard Policy Statement (2009), ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the Safeguard Policy Statement (2009).

VIII. GENDER AND SOCIAL DIMENSIONS

52. The project is categorized as effective gender mainstreaming and a Gender Action Plan has been prepared (Table 8). Some of the gender targets to be implemented by the project include establishing new connections in project areas which will benefit 100% female-headed households; PUB customers in 250 communities are provided with quarterly Financial Literacy training to facilitate improved ability to pay for water, of which 75% are women; at least 50% of community mobilizers are women; monthly WASH awareness-raising seminars with participation of students of whom at least 50% are girls; at least 20% of new recruits to MISE's Water & Sanitation Engineering Unit (WSEU) and PUB's water engineering department are women; at least 20% of PUB/MISE staff trained through the project are women; and at least 10% women involvement in community work during civil works and employment during operations and maintenance.

53. The PMU will be responsible for ensuring that the social and gender related design measures and targets are properly resourced, monitored and implemented as designed. An International Social Development and Gender Specialist will be contracted to coordinate the GAP implementation and monitoring. The NGO to be engaged under the WASH component will also be responsible to supporting the implementation and monitoring of the GAP particularly relating to the WASH activities, data collection and surveys and implementing capacity building and trainings.

Table 8: Gender Action Plan

Project Outcome: South Tarawa's population has access to safe, climate-resilient water supplies:								
Project Outputs	Gender Activities	Targets and	Timeline	Responsibility	Budget Required¹⁵	Means of Verifying the achievement of targets	Potential risk and barriers in the delivery of targets	Risk Mitigating Measures
Output 1 <i>Climate resilient and low carbon water supply infrastructure</i>	By 2023, >95% of 7,880 households have a piped water connection, including 100% of households headed by women (2017 baseline: 62% of households have a piped water connection. Approx. 20 - 25% of households are female-headed households) ¹⁶		Q1 2020 – Q4 2023	MISE staff and project engineers/ social and gender specialists	No cost for gender action – project will cover all HHs	Social Development and Gender Specialist (SDGS) collect sex-disaggregated data on connections for semi-annual Safeguard Progress Reports	Female headed households will be relegated as secondary priority.	Tracking of HH data early in the implementation to identify female headed households to be included in the list
	Project staff in MISE and contractors receive awareness session on sexual harassment. The contractors will submit to MISE a policy against sexual harassment to be implemented during the entire project duration (baseline: 0)		Q1 2020 – Q4 2022	MISE supported by SDGS	No additional cost. Sessions will be delivered by MWYSA VAW unit staff.	Report from sexual harassment awareness training. Sexual harassment policy	Lack of full participation from staff	Staff attendance will be mandatory and non compliance reflected in PPMS and Semi-annual Safeguard report

¹⁵ Budgets include items outside of the project budget (rental of space, provision of travel allowances, snacks, water, contracting media specialists, evaluators, etc.). The assumption is that facilitators/project staff will be paid through existing project contracts.

¹⁶ Data on household connections based on 2017 data obtained from the International Benchmarking Network for Water and Sanitation Utilities. <https://www.ib-net.org/> (accessed 12 March 2019). Baseline will be revisited during implementation upon availability of updated data. The 2006 HIES stated that between 20% and 25 % of HHs were female-headed.

Project Outcome: South Tarawa's population has access to safe, climate-resilient water supplies:								
Project Outputs	Gender Targets and Activities	Timeline	Responsibility	Budget Required¹⁵	Means of Verifying the achievement of targets	Potential risk and barriers in the delivery of targets	Risk Mitigating Measures	
	<p>Contractors engage at least 10% women</p> <p>Orientation and guidance on labour standards, gender equality in wages, safety and hygiene to all contractors at commencement of work and monitor implementation</p> <p>Target: 100% of contractors Baseline = 0</p> <p>Separate toilet/sanitation facilities for men and women workers (Baseline: 0)</p>	Q1 2020-Q4 2023	Contractors	<p>No cost – part of MISE contract preparation and contractor's contract</p> <p>Orientations and building toilet facilities for women are part of the contractors budget and supported by SDGS</p>	Number of contractor orientation sessions, women staff employed, toilet facilities for both men and women reported in project progress report.	<p>Support is not provided to ensure relevant bidding requirements are in place and enforceable.</p> <p>Orientations are not all inclusive of staff.</p> <p>Building separate toilets for women is not prioritized.</p>	MISE staff monitors work sites to ensure orientations are done on time, toilet facilities for women are available and clauses and gender equality standards are followed.	
Output 2 <i>Capacity of MISE and PUB to effectively manage water supply infrastructure increased</i>	By 2027, MISE and PUB staff report positive outcome from exposure to training and/or mentoring programs (2019 baseline: 0. At least 20% of program attendees are women). [9% (7 out of 81) of MISE WSEU and PUB water engineering unit staff are women].	Q1 2020-Q2 2027	MISE/PUB support with PIA/PMU from	Part of the project cost under Output 2	Training reports with gender disaggregated records of participants	Perceived as additional workload by the staff including women	Trainings will be made mandatory and proper planning will be in place to ensure right schedule	
	O&M firm will employ at least 10% women	Q1 2022-Q2 2027	O&M firm supervised by PIA/PMU	Orientations and building toilet facilities for women are part of the O&M firm's budget and supported by SDGS	Number of contractor orientation sessions, women staff employed, toilet facilities for both men and	Support is not provided to ensure relevant bidding requirements are in place	PUB staff monitors work sites to ensure toilet facilities for women are available and clauses and	

Project Outcome: South Tarawa's population has access to safe, climate-resilient water supplies:								
Project Outputs	Gender Targets and Activities	Timeline	Responsibility	Budget Required¹⁵	Means of Verifying the achievement of targets	Potential risk and barriers in the delivery of targets	Risk Mitigating Measures	
	<p>Orientation and guidance on labour standards, gender sensitive work environment, gender equality in wages, safety and hygiene to all O&M firm employees at commencement of work and monitor implementation</p> <p>Target: 100% of contractors</p> <p>Baseline = 0</p> <p>Separate toilet/sanitation facilities for men and women workers (Baseline: 0)</p>				women reported in project progress report.	<p>and enforceable.</p> <p>Orientations are not all inclusive of staff.</p> <p>Building separate toilets for women is not prioritized.</p>	gender equality standards are followed.	
	At least 20% of new technical recruits to MISE's Water & Sanitation Engineering Unit (WSEU) and PUB's water engineering department are women (Baseline = female staff = 9%)	Q4 2019 – Q2 2027	MISE Director/PUB staff	Incl. in Project Training Budget	Presence of new female recruits. GESIAP monitoring reports.	Women with technical training may not be available to recruit	The project team should advise through media and networks that female technical recruits will be sought.	
Output 3 <i>Awareness of WASH and climate change issues is raised</i>	3a. By 2027, >95% of the population (51.5% of them women) is reached directly or indirectly by WASH and climate change awareness programs which use gender sensitive materials (2019 baseline: <10%).	Q1 2020 – Q2 2027	MHMS/MISE Director	Included in Output 3 budget	NGO reports/data	Willingness to participate in outreach programs is not maintained	Appropriate Selection criteria for NGO and CSOs and use of culturally appropriate awareness raising materials	
	At least 50% of community mobilizers contracted through	Q1 2020- Q2 2027	MHMS with support from PMU	Part of INGO and Community partnership contracting process (WASH Awareness	Data collected for GAP reports	Suitable women not available due	Wider circulation of	

Project Outcome: South Tarawa's population has access to safe, climate-resilient water supplies:								
Project Outputs	Gender Activities	Targets and	Timeline	Responsibility	Budget Required¹⁵	Means of Verifying the achievement of targets	Potential risk and barriers in the delivery of targets	Risk Mitigating Measures
								the demand for women
	the WASH and climate change program will be women (Baseline =0) ¹⁷				Program (WAP) - Part 2 "WASH Community Partnership")		to other commitments and lack of information on the engagement opportunities	mobilizers and engagement with local leaders and local NGOs to identify potential women candidates
	PUB customers (75% of them women) in 250 communities report improved financial literacy (2019 Baseline: N/A)		Q1 2020-Q2 2027	MHMS/PMU to ensure financial literacy training is included in scope of NGO	USD 40,000	Financial literacy training packages available for review	Financial literacy is seen as outside MHMS/PMU responsibility	SDGS will follow the progress of the planning/implementation and report to MHMS/PMU
	Effective gender-sensitive audio and visual materials developed to raise awareness at the HH level of proper water usage & environmental management issues, & implemented through, radio, mobile phone applications, posters, MCDC billing mail outs and public discussion materials. Distributed to village heads and community leaders. Locations of posters will be on strategic places frequented by women.		Q1 2020-Q2 2027	MHMS, PUB, PMU staff/SDGS and WASH consultants	Incorporated as part of the WASH Awareness Program (WAP) - Part 1 "Water is Life" budget	Materials available for review	Planning for the public awareness program is not in place and implementation is too late	The project activities will give priority to the early implementation of this component as identified during the PPTA

¹⁷ Lesson from STSISP is that it is important for gender balance across the implementing team as whilst more women were employed as mobilisers this resulted in limited engagement from men within the target audience)

Project Outcome: South Tarawa’s population has access to safe, climate-resilient water supplies:								
Project Outputs	Gender Targets and Activities	Timeline	Responsibility	Budget Required ¹⁵	Means of Verifying the achievement of targets	Potential risk and barriers in the delivery of targets	Risk Mitigating Measures	
	Target: over 7000 HHs including all female-headed households							
	Monthly WASH awareness-raising seminars and activities through the community partnerships including – Women’s Groups (faith and non-faith based) and Mother Health Committees, and encouraging minimum 50% women in group membership for Youth Groups. For engagement with schools at least 50% of student participants are girls (note 53% of 2017 student enrolments were females (7103 students). Baseline = 0	Q1 2020- Q2 2027	MHMS/PMU/ NGOs	Incorporated as part of the WASH Awareness Program (WAP) - Part 2 “WASH Community Partnership” budget	Data collected for GAP reports	Gender Ratio is hard to maintain due to preponderance of females	GAP data report review will reveal non-compliance	
	At least bi-annual M&E and Learning surveys to allow feedback mechanisms from community members on the WASH Community Partnership program. 50% of those consulted are women.	Q1 2020- Q2 2027	MHMS/PMU/ NGOs	Incorporated as part of the WASH Awareness Program (WAP) - Part 2 “WASH Community Partnership” budget	Data collected for GAP reports	Lack of cooperation from community members particularly women	Awareness building among community members will reinforce the importance of their involvement and participation including in providing feedback	
Output 4 Project implementation is	Women, poor, youth and vulnerable as well as disabled participate in project	Q1 2020 - Q2 2027	MISE staff and project engineers/ SDGS/PDA consultant	USD8000	Meeting minutes, photos and attendance sheets	Community leaders do not recognize the need for both	As part of the GESIAP, implementing these meetings	

Project Outcome: South Tarawa’s population has access to safe, climate-resilient water supplies:								
Project Outputs	Gender Activities	Targets and	Timeline	Responsibility	Budget Required ¹⁵	Means of Verifying the achievement of targets	Potential risk and barriers in the delivery of targets	Risk Mitigating Measures
managed efficiently and effectively	orientation and consultations and focus group discussions. Women-only project orientation sessions will be conducted. Male-only project orientation sessions will also be conducted due to men’s role in carrying water and the need to engage men to not damage the water supply piping. Target: Total participants will include 50% women and 50%						women’s and men’s participation.	is an important performance indicator for IA reporting and non-compliance will be noted. Women and men only consultations will be conducted.
	male participants for total project consultations/orientations Baseline: 0 (all target consultations will only take place during project implementation)							Timing of the meeting will be sensitive especially to women’s availability.
	Gender Action Plan (GAP) training provided to PMU staff and Government/PUB stakeholders involved in project design and implementation (estimated participants = 50 staff, comprised of 25% women participants)	Q1 2019 – Q2 2027	MISE Director/PUB staff/PMU staff to ensure attendance	Part of the PMU cost and may be supported through parallel TA assistance.	Training reports and attendance sheets	GESIAP training not be prioritized	The SDGS will work with the PMU/MISE and PUB management to prepare and present the GESIAP sessions	
	GAP implementation monitored and reported	Q1 2019 – Q2 2027	PMU staff including SDGS responsible to provide monitoring reports to ADB	Part of the PMU cost	Indicators to monitor GESIAP contained in PPMS Quarterly, semi-annual and annual reports including	The PMU may not appoint someone to collate Indicator data for PPMS reports	The SDGS specialist will ensure that GESIAP data is collected and reported through PPMS	

IX. PERFORMANCE MONITORING, EVALUATION, REPORTING, AND COMMUNICATION

Impacts the Project is Aligned with			
Health ^a and climate change resilience ^b of South Tarawa's population improved			
Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
Outcome			
Access of South Tarawa's population to safe, climate-resilient water supplies increased ^c	a. By 2027, at least 95% of South Tarawa's population (51.5% of them women) has access to safe, climate-resilient water supplies (2019 baseline: <10%)	a. PUB reports	Government does not allocate sufficient funds for O&M after the project.
Outputs			
1. Climate resilient and low carbon water supply infrastructure	<p>1a. By 2023, 6,000m³/day desalination capacity is installed (2019 baseline: 0)</p> <p>1b. By 2025, >95% of households have a piped water connection, including 100% of households headed by women (2017 baseline: 62% of households have a piped water connection).^d</p> <p>1c. By 2025, 173km of water supply pipes installed or upgraded (2019 baseline: 0).</p> <p>1d. By 2022, additional 2500kW solar capacity is installed (2019 baseline: 1630kW capacity).</p>	<p>1a. PUB/DBO reports</p> <p>1b. PUB reports</p> <p>1c. PUB reports</p> <p>1d. PUB reports</p>	Extreme weather events outside of climate change projections occur.
2. Capacity of MISE and PUB to effectively manage water supply infrastructure increased	<p>2a. By 2024, private operator supporting PUB operations is in place and operational (2019 baseline: not applicable)</p> <p>2b. By 2027, nonrevenue water declines to 25% (2017 baseline: 89%)^d</p> <p>2c. By 2027, PUB achieves 95% collection ratio (2017 baseline: 70%)^d</p> <p>2d. By 2027, MISE and PUB staff report positive outcomes from exposure to training and/or monitoring programs (2019 baseline: 0. At least 20% of program attendees are women).</p> <p>2e. At least 20% of new technical recruits to MISE's Water and Sanitation Engineering Unit and PUB's Water Engineering</p>	<p>2a. PUB reports</p> <p>2b. PUB reports</p> <p>2c. PUB reports</p> <p>2d. Post-training/mentoring program participant survey responses reported in MISE/PUB reports</p> <p>2e. MISE reports</p>	Lack of private sector interest or lack of suitable candidates to participate in the project

	Department are women (2019 Baseline: 9% female staff) ^e		
Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
3. Awareness of WASH and climate change issues is raised.	3a. By 2027, >95% of the population (51.5% of them women) is reached directly or indirectly by WASH and climate change awareness programs, which use gender-sensitive materials (2019 baseline: <10%)	3a. PMU reports	
	3b. PUB customers (75% of them women) in 250 communities report improved financial literacy (2019 Baseline: N/A)	3b. PMU reports	
	3c. At least 50% of community mobilizers contracted through the WASH and climate change program are women (2019 Baseline: 0)	3c. PMU reports	
	3d. By 2027, 1,000 people have visited the WASH and climate change visitor education center (2019 baseline: 0)	3d. PMU reports	
4. Project implementation is managed efficiently and effectively	4a. By 2027, PMU meets disbursement targets (2019 baseline: 0)	4a. PMU reports	
	4b. PMU delivers project progress and semiannual gender action plan reports, including sex-disaggregated data (2019 baseline: not applicable)	4b. PMU reports	
	4c. Using a variety of social science techniques, qualitative data is collected over the life of the project in 4–6 project areas to measure positive impacts on women's daily lives resulting from 24/7 access to safe water. These would include baseline, mid and end of project surveys. (2019 Baseline: not applicable)	4c. PMU reports	

<p>Key Activities with Milestones</p> <p>1. Climate resilient and low carbon water supply infrastructure</p> <p>1.1 Prepare bid documents for main works packages (Q1 2020).</p> <p>1.2 Award main works contracts (Q4 2020).</p> <p>1.3 Commission solar photovoltaic system (Q1 2022).</p> <p>1.4 Commission desalination plant and water supply network (Q2 2022).</p> <p>2. Capacity of MISE and PUB to effectively manage water supply infrastructure increased</p> <p>2.1 Engage project implementation assistance firm (Q2 2020).</p> <p>2.2 Commence 5-year O&M and capacity support to PUB (Q3 2022).</p> <p>2.3 Complete 5-year O&M and capacity support to PUB (Q2 2027).</p> <p>2.4 Complete vocational education program (Q2 2027).</p> <p>3. Awareness on WASH and climate change issues is raised</p> <p>3.1 Complete Request for Proposal for WASH program (Q3 2020).</p> <p>3.2 Award contract to nongovernment organization (Q4 2020).</p> <p>3.3 Engage Civil Society Organizations in community outreach (Q4 2020).</p> <p>3.4 Complete WASH program (Q4 2025).</p> <p>4. Project implementation is managed efficiently and effectively</p> <p>4.1 Establish PMU (done in August 2018)</p> <p>4.2 PMU supports midterm review (Q3 2023).</p> <p>4.3 PMU supports project completion mission (Q2 2027).</p>
<p>Project Management Activities</p> <p>Establish project management unit (done, August 2018).</p> <p>Mobilize project design advance firm (done, January 2019).</p> <p>Complete bidding documents (Q1 2020).</p> <p>Award contract for main works packages (Q4 2020).</p> <p>Complete all civil works complete (Q4 2024).</p> <p>Monitoring and evaluation and contract management until Q2 2027</p>
<p>Inputs</p> <p>Asian Development Bank: \$13.0 million (grant)</p> <p>Government of Kiribati: \$7.24 million, including \$5.75 million in taxes and duties exemption</p> <p>Green Climate Fund: \$28.63 million (grant)</p> <p>World Bank: \$12.96 million (grant)</p>
<p>Assumptions for Partner Financing</p> <p>Not applicable</p>

DBO = design, build, operate; MISE = Ministry of Infrastructure and Sustainable Energy; O&M = operation and maintenance; PMU = project management unit; PUB = Public Utilities Board; Q = quarter; WASH = water, sanitation, and hygiene.

^a As outlined in the Kiribati Development Plan 2016–2019, increased water and sanitation coverage is to achieve the outcome of “Improved Infrastructure to facilitate economic growth, poverty reduction, trade. Industrialization, health for economic, technological and socio transformation” under Key Priority Area 6: Infrastructure.

^b Kiribati Joint Implementation Plan for Climate Change and Disaster Risk Management 2014–2023. In particular, the project is aligned to these major strategies: “Increasing water and food security with integrated and sector-specific approaches and promoting healthy and resilient ecosystems; Promoting sound and reliable infrastructure development and land management; Promoting the use of sustainable, renewable sources of energy and energy efficiency; and Delivering appropriate education, training and awareness programs”.

^c “Access” implies sufficient water to meet domestic needs is reliably available close to home, “Safe” water is free from pathogens and elevated levels of toxic chemicals at all times. (http://www.who.int/water_sanitation_health/monitoring/coverage/indicator-6-1-1-safely-managed-drinking-water.pdf).

^d Based on 2017 data obtained from the International Benchmarking Network for Water and Sanitation Utilities. <https://www.ib-net.org/> (accessed 12 March 2019). Baseline will be revisited during implementation upon availability of updated data.

^e Based on 2018 data. Seven women out of 81 engineering staff from MISE and PUB (six out of the Water and Sanitation Engineering Unit's 34 technical staff, one out of the PUB Water Engineering Department's 47 staff).

Source: Asian Development Bank.

B. Monitoring

54. **Project performance monitoring.** The PMU will establish a project performance and monitoring system during the PDA phase. The ADB and the government will agree on a set of indicators for monitoring project progress and performance on a quarterly basis. This will include, but not be limited to, the targets and indicators in the design and monitoring framework (DMF), contributions to ADB results framework and the implementation schedule. The PIA consultants will provide hands-on training to PMU, MISE and PUB staff in data collection, monitoring, and evaluation. The PMU shall monitor and evaluate the indicators according to the agreed framework on a quarterly basis to determine the efficiency and effectiveness of the project. These quarterly reports will provide information necessary to update ADB's project performance reporting system.¹⁸ Beneficiaries will be involved in project monitoring and evaluation. In addition, the project steering committee (PSC) will oversee and monitor the overall implementation.

55. **Compliance monitoring.** Compliance monitoring will be provided through regular quarterly progress reports and during regular ADB review missions.

56. **Safeguards monitoring.** Implementation of the approved CEMP will be monitored and reported. Monitoring for social safeguards will include reporting on progress of activities in the resettlement plan with particular focus on public consultations, timeliness of payment of compensation, and level of satisfaction including grievance resolution among the affected households.

57. Semi-annual safeguards monitoring reports (SMR) will be prepared by the PMU and submitted to MISE and ADB and will be disclosed. The SMR will cover all aspects of safeguards implementation including training and capacity building, consultations and information disclosure and grievance redress. Annex 1 includes implementation checklists and an outline of contents of a SMR.

58. **Gender and social dimensions monitoring.** The PMU's International Social Development and Gender Specialist with support from the NGO under WASH component and PIA, will monitor specific activities and targets set out in the GAP. Sex-disaggregated baseline data will be collected and used to monitor GAP implementation and impact, and reported semi-annually to MISE and ADB.

C. Evaluation

59. Review missions will be fielded twice a year in coordination with cofinanciers. A mid-term review mission will also be held during the 3rd year. Within 6 months of physical completion of the project, the Ministry of Finance and Economic Development will submit a project completion report to ADB.¹⁹

D. Reporting

60. The Ministry of Finance and Economic Development will provide ADB with (i) quarterly progress reports in a format consistent with ADB's project performance reporting system; (ii) consolidated annual reports including (a) progress achieved by output as measured through the

¹⁸ ADB's project performance reporting system is available at <http://www.adb.org/Documents/Slideshows/PPMS/default.asp?p=evaltool>

¹⁹ Project completion report format is available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

indicator's performance targets, (b) key implementation issues and solutions, (c) updated procurement plan, and (d) updated implementation plan for the next 12 months; and (iii) a project completion report within 6 months of physical completion of the project. To ensure that projects will continue to be both viable and sustainable, project accounts and the executing agency audited financial statement together with the associated auditor's report, should be adequately reviewed.

E. Stakeholder Communication Strategy

61. The PMU and NGO engaged under WASH component will provide all necessary information to various key stakeholders in a timely and easily understandable manner during implementation. They will be responsible for implementing the stakeholder communication plan (Table 9).

Table 9: Stakeholder Communication Strategy

Objective	Key Risks/Challenges	Main Stakeholders	Messages	Means of Communication	Timeline	Responsibility	Resources (Human, \$)
Ensure a regular flow of project activity and timeline information to project beneficiaries, Affected Persons (APs) and other government departments/dev elopment partners. Invite Feedback. (2 way communication)	<p>Communication timing too late for realistic feedback on activities and proposed timelines</p> <p>Ineffective implementation through badly designed communication products and activities</p> <p>Lack of professional communication support either within agencies or from outside contracted specialists</p> <p>Feedback not addressed</p>	<p>Civil society project beneficiaries</p> <p>Affected Persons</p> <p>Village councillors</p> <p>Resident groups</p> <p>CSOs/NGOs</p> <p>Private sector</p> <p>Local government</p> <p>Local media</p>	<p>Project design, key project benefits, implementation arrangements, potential project impacts both positive and negative</p> <p>Planned mitigation measures and grievance redress mechanism (including if necessary compensation rates, entitlements)</p> <p>Project Progress</p>	<p>Project design workshops, seminars and public meetings. Feedback communicated to IA.</p> <p>Gender-sensitive audio and visual materials developed</p> <p>Meetings with Affected Persons (APs)</p> <p>Information in I-Kiribati language through: (i) traditional forms, including information booklets/leaflets/posters, radio and video; (ii) local media and public notices; and (iii) recognized web-sites, including Project web-site.</p> <p>Bimonthly project progress reports delivered at ward level. Feedback communicated to IA.</p> <p>NGOs/CSOs and PUB disseminate information to all HHs through their network. Feedback communicated to IA</p>	<p>Ongoing prior to implementation of project reticulated network</p> <p>Project detailed design</p> <p>Ongoing during civil works</p> <p>Ongoing during life of project</p> <p>Q1 2018 – Q4 2024</p>	IA/CSOs/NGOs/Water Nexus Committee	Included in prior budget items (Participation Plan/GAP)
Build public awareness and change knowledge, behaviour and attitudes about water supply services, including	Public information and awareness raising strategy not developed and disseminated.	<p>Civil society project beneficiaries</p> <p>Project Affected Persons</p>	<p>Nature of, and plans for, water supply improvements.</p> <p>Actions from citizenry required to ensure long</p>	<p>Awareness raising campaigns including workshops, meetings with other stakeholders.</p> <p>Information in I-Kiribati language through: (i) information booklets/leaflets/posters,</p>	<p>Ongoing from Detailed Project Design to project completion.</p> <p>Q1 2018 – Q4 2024</p>	IA/Water Nexus Committee	Included in prior budget items (Participation Plan/GAP)

X. ANTICORRUPTION POLICY

62. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the project.²⁰ 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 and/or 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.²¹

63. To support these efforts, relevant provisions are included in the grant agreement and the bidding documents for the project. ADB's Anticorruption Policy (1998, as amended to date) was explained to and discussed with the government.

XI. ACCOUNTABILITY MECHANISM

64. 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 an effort in good faith 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.²²

XII. RECORD OF CHANGES TO THE PROJECT ADMINISTRATION MANUAL

- A request for minor change in project was approved on 5 March 2020. Below are the changes in the PAM.
 - Updated the number of desalination plants from 1 to 2 and plant capacity from 4,000 m³/day to 6,000 m³/day.
 - Updated the tables for (i) allocation and withdrawal of grant proceeds, (ii) detailed cost estimates by financier, (iii) detailed cost estimates by components, and (iv) detailed cost estimates by year for ADB-administered funds.
 - Updated the procurement plan.
 - Updated the project design and monitoring framework
 - Updated the project implementation schedule
 - Reviewed and confirmed that the safeguards text remains valid. The safeguards implications of the minor change have been assessed and cleared for compliance with the SPS and the country system requirements.

²⁰ Anticorruption Policy: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf>

²¹ ADB's Integrity Office web site: <http://www.adb.org/integrity/unit.asp>

²² Accountability Mechanism: <http://www.adb.org/Accountability-Mechanism/default.asp>.

ANNEX 1 - SAFEGUARDS MONITORING CHECKLISTS

Checklist for Safeguard Supervision/Monitoring (Environment)

PARD Safeguards Implementation Checklist: Environment									
Date: _____									
PROJECT INFORMATION									
Loan/Grant No.: _____		Project Name: _____							
Approval Date: _____			Closing Date: _____				Cumulative Progress (%): _____		
Project Team Leader(s): _____						Implementing Agency: _____			
1) Categorization									
(Original)		A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	FI	<input type="checkbox"/>
(additional financing, if any)		A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	FI	<input type="checkbox"/>
<i>(Please complete the following sections if the project has been categorized as A, B or FI)</i>									
2) Planning									
Documents:		EARF	<input type="checkbox"/>	IEE/EIA	<input type="checkbox"/>	No. of IEE/EIA	_____	EMP	<input type="checkbox"/>
IEE/EIA Disclosed and Posted on ADB Website:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
EMP Finalized or Updated after Detailed Design		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
CEMP submitted, reviewed and approved:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
(Attach a list of subprojects and status if necessary.)									
3) Institutional Setup									
PIU/PMU Environment Staff Assigned:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
		If yes, Name: _____				Since: _____ / _____		(month) (year)	
Environmental Specialist/Consultant Mobilized:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
		If yes, National Specialist's Name: _____				Since: _____ / _____		(month) (year)	
		If yes, International Specialist's Name: _____				Since: _____ / _____		(month) (year)	
Participation of Gov. Environment Agency/Division:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
		If yes, Name: _____				Since: _____ / _____		(month) (year)	
Grievance Redress Mechanism Established:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, why?		_____	
Allocation of Government Budget:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
		If yes, amount\$: _____							
4) Monitoring and Reports									
Internal Monitoring System Established:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
Compliance monitoring incorp. into Q Progress Reports:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
External Monitor Engaged (if needed):		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
		If yes, Name: _____				Since: _____ / _____		(month) (year)	
Monitoring Report Submitted to ADB:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
If Yes, provide information below									
	Baseline Report	Report 1	Report 2	Report 3	Report 4				
Submission Date (m/yr)									
ADB Review Date (m/yr)									
Web-posting Date (m/yr)									
Name of ADB Reviewer									
5) Field Review with Participation of Safeguard Specialist/Officer/Staff Consultant									
		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?		_____	
If Yes, provide information below									
Mission Date (m/yr)									
Type of mission:									
Participants (safeguard specialist/officer/staff consultants)									

Checklist for Safeguard Supervision/Monitoring (Resettlement)

Checklist for Safeguard Supervision: Involuntary Resettlement									
PROJECT INFORMATION									
Loan/Grant No.:		Project Name:							
Approval Date:			Closing Date:			Cumulative Progress (%):			
Project Team Leader(s):									
1) Resettlement Categorization									
(Original)		A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	FI	<input type="checkbox"/>
(additional financing, if any)		A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	FI	<input type="checkbox"/>
<i>(Please complete the following sections if the project has been categorized as A, B or FI involving land acquisition/resettlement issues)</i>									
2) Resettlement Planning									
Resettlement Planning Documents:		RF	<input type="checkbox"/>	RP	<input type="checkbox"/>	Number of RPs			ESMS <input type="checkbox"/>
RP Finalized or Updated after Detailed Design:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
<i>(Attach a list of subprojects and status if necessary.)</i>									
Final/Updated RP Cleared by ADB and Posted on ADB Website		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
Compensation Rate Approved by the Govt:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
3) Institutional Setup for Resettlement									
PIU/PMU Resettlement Staff Assigned:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
				If yes, Name:				Since: /	
								(month) (year)	
Resettlement Specialist Consultant Mobilized:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
				If yes, Name:				Since: /	
								(month) (year)	
Grievance Redress Mechanism Established:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, why?			
Allocation of Government Budget:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
				If yes, amount\$:					
4) Resettlement Monitoring and Reports									
Internal Monitoring System Established:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
External Monitor Engaged (if needed):		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
				If yes, Name:				Since: /	
								(month) (year)	
Monitoring Report Submitted to ADB:		Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	If no, actions?			
If Yes, provide information below									
	Baseline Report	Report 1	Report 2	Report 3	Report 4				
Submission Date (m/yr)									
ADB Review Date (m/yr)									
Web-posting Date (m/yr)									

Suggested Outline of Semi-annual Safeguards Monitoring Report

Heading/Section	Contents
Introduction	Brief background on the project and subproject; Institutional arrangements for project management and environmental management;
Monitoring Activities	Who participated in the monitoring; Methodology for monitoring (whether checklists prepared etc.); When the monitoring was undertaken and what period it covers; Summary of other monitoring undertaken in the period (i.e. form contractor's monthly reports and if any survey/sample monitoring undertaken); Main activities – observations/inspections, consultations, interviews with contractor staff etc.
Works in Progress	Details of the works being undertaken, (with photographs); Include whether any environmental training/awareness has been provided to contractor staff in the period (what, by whom etc.)
Monitoring Results and Actions Required	Whether works and measures comply with the approved EMP/CEMP; Should follow sequence of items identified in EMP/CEMP and verify that all mitigations measures noted are being implemented; Corrective actions cited (date to be resolved and person responsible on contractor team and verification by IA/HRMG)
Summary and Conclusions	Summary of main findings; Main issues identified and corrective actions noted; Can include summary table which can be updated each period to track completion of actions required
Annexes	Monitoring checklist (based on items identified in the EMP/CEMP) refer annex 1 Additional photographs Additional information as required

Suggested Contents of Resettlement Monitoring Report

Heading/Section	Contents
Introduction	Brief background on the project/subproject and progress status The project's category and planning documents (original, updated or new plans) on resettlement impacts Institutional arrangements and budget allocation for resettlement/social management; Arrangement for the monitoring
Monitoring Activities	Methodology for monitoring (whether checklists prepared etc.); What period the monitoring covers Main activities – site visits, consultations, survey etc.
Monitoring Results and Actions Required	Progress and performance in implementation of RPs and other programs (how they were implemented, what are the outputs, etc.) Results on consultations, disclosure and grievance redress (whether they have been effective, level of satisfaction of APs with various aspects of the RP, public awareness of the compensation policy and entitlements will be assessed among APs.) Whether the implementation comply with the approved RPs (e.g. whether compensation rates were at replacement cost, full payment made to all APs sufficiently before land acquisition; prompt attention to unforeseen damages or losses, to ensure APs are fully compensated for losses) Results on outcome (whether APs were able to restore livelihoods and productive activities) Compliance on monitoring and disclosure (whether reports have been submitted, posted on website) Whether any issues and corrective measures identified to achieve the RP objective. If yes, actions with target dates and responsible agency/person) Follow-up item/plan for next report
Summary and Conclusions	Summary of main findings; Main issues identified and corrective actions noted; A table on follow-up action which can be updated each period to track completion of actions required including progress of the follow-up of problems and issues identified in the previous report
Annexes	Monitoring checklist (based on items identified in the RPs) Photographs Additional information as required