

**MINISTRY OF ECONOMIC DEVELOPMENT AND POVERTY  
REDUCTION OF THE REPUBLIC OF UZBEKISTAN**



**PROJECT OPERATIONAL MANUAL  
“RURAL INFRASTRUCTURE  
DEVELOPMENT”**

Project Implementation Unit

Tashkent, Uzbekistan  
November 5, 2020

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1. Environmental and Social Management Framework
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8. Project Implementation and Monitoring Forms (environmental and social safeguards, community mobilization, procurement, FM, construction phase)
9. HR Manual
10. Community Mobilization Manual
11. COVID-19 Community Mobilization Manual

## **Supporting Documents**

1. Glossary (RIDP Operational Definitions)
2. Infrastructure Technical Manual
3. Legal Acts
4. Cooperation Agreement between Regional Khokimiyats and MoED

## LIST OF ACRONYMS/ABBREVIATIONS

ADB	Asian Development Bank
AIIB	Asian Infrastructure Investment Bank
APT	Architectural Planning Task
ARAP	Abbreviated Resettlement Action Plan
BFM	Beneficiary Feedback Mechanism
CDD	Community-Driven Development
CDWO	Community Drinking Water Organization
CPM	Community Participatory Monitoring
CSO	Civil Society Organization
DA	Designated Account
DC	Direct Contracting
DDER	Due Diligence Report
DEE	Declaration of Environmental Effects
DPC	District Project Committee
DPG	Development Partner Group
DSEI	Draft Statement of Environmental Impacts
DWO	Drinking Water Organization
ECAPDEV	Europe and Central Asia Region Capacity Development Trust Fund
EHS	Environmental Health and Safety
EIA	Environmental Impact Assessment
EIRR	Economic Internal Rate of Return
ELS	Enhancement of Living Standards
ESS	Environmental Safeguards Specialist
ESA	Environmental and Social Assessment
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
ESSS	Environmental and Social Safeguards Specialists
EU	European Union
F&A	Finance and Accounting
FM	Financial Management
FP	Facilitating Partners
GBV	Gender-Based Violence
GoU	Government of Uzbekistan
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
IBRD	International Bank for Reconstruction and Development
ICB	International Competitive Bidding
ICT	Information Communication Technologies
IDA	International Development Association
IDB	Islamic Development Bank
IFAC	International Federation of Accountants
IFR	Interim Financial Report
ILO	International Labor Organization
IMI	Institutional Maturity Index
IPF	Investment Project Financing
IPSAS	International Public Sector Accounting Standard
ISA	International Standards on Auditing
L2CU	Listening to the Citizens of Uzbekistan
M&E	Monitoring and Evaluation

MCA	Mahalla Citizens Assembly
MDU	Mahalla Development Unit
MIS	Management and Information System
MoED	Ministry of Economic development and poverty reduction
MoELR	Ministry of Employment and Labor Relations
NDS	National Development Strategy
NGO	Non-governmental Organization
NPV	Net Present Value
O&M	Operations and Maintenance
OP	Operational Policies
PAD	Project Appraisal Document
PAP	Resettlement Action Plan
PDO	Project Development Objective
PED	Project Estimation Documents
PIU	Project Implementation Unit
PMT	Project Management Team
POM	Project Operations Manual
PP	Procurement Plan
PPD	Preliminary Project Document
PPL	Public Procurement Law
PPSD	Project Procurement Strategy for Development
RIDP	Rural Infrastructure Development Project
QCBS	Quality and Cost Based Selection
QDP	Qishloq Development Plan
QE	Qishloq Engineers
QF	Qishloq Facilitators
REOI	Request for expression of interest
RPF	Resettlement Policy Framework
SCQ	Selection based on Consultants' Qualification
SCS	Single Customer Services Engineering Company
SDC	Swiss Development and Cooperation Agency
SEE	State Environmental Expertise in the State Committee for Environmental Protection
SEI	Statement of the Environmental Impact
SoE	Statement of Expenditures
SPD	Standard Procurement Document
SS	Safeguards specialist
SSS	Single Source Selection
TA	Technical Assistance
TICC	Territorial Inspection for control in the field of construction
TIM	Technical Infrastructure Manual
TLM	Teaching and Learning Material
ToR	Terms of Reference
TPM	Third Party Monitoring
TS	Technical Supervisor
US\$	United States Dollar
UZS	National Currency of Uzbekistan – Uzbek Sum
VAT	Value Added Tax
VfM	Value for Money
WB	World Bank

## PREFACE

The Rural Infrastructure Development Project (RIDP, the “Project”) is an initiative of the government of Uzbekistan to pilot and implement a new approach in improving basic local infrastructure that places community participation at the heart of implementation. More specifically, using a learning-by-doing approach, the RIDP will trial design adjustments aimed at increasing village participation in project decision-making and oversight, transparency and accountability in project implementation, and the quality and sustainability of subproject investments that can be scaled up through other state programs.

This project operations manual (POM) lays down operational policies, procedures, guidelines, and forms that guide the implementation of the RIDP. Its primary audience will include the communities (qishloqs), the Mahalla Development Units (MDUs), Mahalla Citizens Assemblies (MCA), facilitating partners (FPs) and Project Implementation Unit (PIU) staff, and regional and district Khokimiyats. Its secondary audience will include other relevant ministries and agencies of the Uzbekistan government at central and subnational levels, development partners, civil society organizations, external evaluators, and auditors of the Project.

This POM is the first revision to the POM that became effective on June 26, 2020, the effective date of the RIDP. It has been revised following project restructuring, which was approved in September 2020, to change the name of the project from “Prosperous Villages” to the RIDP due to the Government of Uzbekistan's decision to temporarily suspend the Obod Qishloq state program, and to introduce adaptations to the project implementation cycle necessitated by the COVID-19 pandemic to ensure the health and safety of all project stakeholders.

The POM is expected to be revised periodically based on experience of what works in the field, implementation challenges, and gaps or ambiguities in policies or procedures that may need to be modified. The PIU and the Ministry of Economic Development and Poverty Reduction (MoED) will review the POM each year to see if changes need to be made, and will introduce subsequent versions accordingly. The POM version in place at any given period of RIDP implementation will form an essential part of the FPs’ and PIU employees’ terms of reference (ToRs).

The POM includes annexes (manuals) regulating implementation procedures for various aspects of the RIDP, including financial management, environmental and social safeguards, grievance redress, and forms used to document the outcomes of the various project activities. The POM annexes are integral parts of the POM and are legally binding for all project stakeholders. The POM also includes supporting documents that provide detailed guidance on social mobilization processes (Community mobilization Manual), technical guidance for infrastructures subprojects, and references to government of Uzbekistan (GoU) laws and agreements that guide RIDP implementation. The Community mobilization Manual and Infrastructure Technical Manual are expected to be revised and updated more frequently than the POM itself.

The POM will be translated into Uzbek and Russian and will be available for public access. In case of any discrepancies between the English version and the translated version(s), the English version will prevail.

This POM is an elaboration of parts of the Project Financing Agreement and the [Project Appraisal Document](#). In the event that there are discrepancies between this POM and those documents, the latter will prevail.

## I. PROGRAM INTRODUCTION

### *Overview*

The government of Uzbekistan (GoU) is implementing an unprecedented reform agenda with consequences for all citizens, which includes measures to open up space for civil society and civic engagement. High-level reform objectives laid out in the GoU's Action Strategy on Priority Areas of the Country's Development for 2017–2021 and Concept for Administrative Reform, include: (i) transforming the relationship between the GoU and its citizens to one of partnership, and (ii) increasing transparency and accountability in the ways regional and local governments serve the population. These strategies include ambitious targets for improving rural residents' quality of life and reducing poverty. To achieve these objectives, the GoU is supporting various national state programs, including those that construct new and rehabilitate existing infrastructure to improve access to basic services and markets, and support employment-generating opportunities.

The Rural Infrastructure Development Project (RIDP, the "Project") is an initiative of the GoU that promotes participatory, village-based development to reduce infrastructure and service-delivery gaps. The RIDP is based on the principles of community-driven decision-making, outreach to and inclusion of the poor and vulnerable within communities, gender equity, and transparency and accountability. Using a learning-by-doing approach, the RIDP will trial design adjustments aimed at increasing community participation in project decision-making and oversight, transparency and accountability in project implementation, and the quality and sustainability of subproject investments that can be replicated and scaled up through other state programs.

The RIDP is implemented by the MoED with support from the World Bank (WB) and the Asian Infrastructure Investment Bank (AIIB). The development objective of the RIDP is to (i) improve the quality of basic infrastructure, and (ii) strengthen participatory local governance processes in selected qishloqs, where "participatory local governance" refers to inclusive village participation in needs assessments; the planning, prioritization, and selection of subproject investments; and oversight activities including the monitoring of procurement, subprojects, and social audits. To increase participation and village-led decision-making and oversight, a key design innovation introduced under the RIDP is the provision of facilitation support to participating district administrations and qishloqs in the form of trained Qishloq Facilitation Teams.

The RIDP covers five regions: Jizzakh, Syrdarya, Ferghana, Namangan, and Andijan.

### *Components of the RIDP*

**Component 1.** Demand-driven investments in basic infrastructure and services and local-governance capacity support. This component will finance local-level, climate-resilient subproject investments in social infrastructure and services that communities plan and prioritize. This component will also provide technical assistance and facilitation support to Khokimiyats, Mahalla Citizens Assemblies (MCAs), and Mahalla Development Units (MDUs) to engage communities in inclusive, transparent processes to plan, select, implement, and maintain investments.

**Subcomponent 1a.** This subcomponent will finance subproject investments identified by MCAs/MDUs in eligible qishloqs through the participatory Project implementation cycle as defined in Subcomponent 1b, subject to a negative list that includes housing construction and renovation or any investments that require the physical displacement or resettlement of people. Eligible investments in basic and climate-resilient infrastructure and services subprojects include, but are not limited to: (i) rehabilitation of existing rural drinking water supplies and sanitation systems to expand access, through innovative alternative models, to rural drinking water and sanitation services; (ii) retrofitting of public buildings for energy efficiency; (iii) rehabilitation of social infrastructure; (iv) rehabilitation of tertiary roads, walkways, and footpaths; (v) road drainage and strengthening the flood resilience of rural roads; (vi) bridge rehabilitation and construction (up to 10 meters long); (vii) upgrading of street lighting; (viii) improvements to public spaces; (ix) solid-

waste management systems; (x) small-scale construction of public facilities; (xi) installation of antennas to provide wireless internet services; (xii) construction and rehabilitation of bus terminals and stops; and (xiii) energy supply activities. This subcomponent will also finance services provided by design institutes and firms competitively selected and contracted to design subprojects prioritized by village residents.

**Subcomponent 1b.** Communications and village outreach, citizen engagement, local-governance capacity building. This subcomponent will support qishloq facilitators (QFs) and qishloq engineers (QEs) to implement the following technical assistance, training, and capacity-building activities for MDUs and District Project Committees (DPCs):

- a. *Participatory implementation cycle*, including, but not limited to: (i) communications and outreach on Project objectives, procedures, and grievance redress system, including to women and vulnerable groups; (ii) participatory needs assessment in all neighborhood in participating qishloqs; (iii) participatory development planning, development prioritization, and selection of subproject investments; and (iv) participatory operations and maintenance (O&M).
- b. *Participatory monitoring and oversight*, including, but not limited to, citizen engagement in: (i) subproject monitoring by trained members of MDUs and (ii) social audits to ensure inclusive and transparent Project decisions and the accountable use subproject funds.
- c. *Technical assistance for subproject design and sustainability*, including, but not limited to: (i) basic engineering support to allow for initial environmental and social screening and preliminary subproject design estimates and (ii) assistance to MDUs to design and implement autonomous water supply and sanitation systems.

**Component 2.** Project management, monitoring and evaluation (M&E), and capacity building will provide support for (i) Project management activities, including overall coordination and supervision of Project implementation, communications and public outreach, Project audits, and financing of incremental operating costs; (ii) Project monitoring and evaluation activities, Project transparency, and citizen feedback; (iii) managing a beneficiary feedback mechanism (BFM), including a grievance redress mechanism (GRM); and (iv) capacity building for regional Khokimiyats for improved procurement, social and environmental safeguards, and quality of infrastructure designs.

### **Core Principles**

The RIDP will be implemented in accordance with the following principles:

- **Community-driven decision-making.** The RIDP will finance subprojects identified and prioritized by communities through participatory and inclusive social analysis that identifies communities' development needs and presents them in the form of a Qishloq Development Plan accessible to all stakeholders.
- **Capacity building for good local governance practices.** The RIDP will support the establishment of inclusive Mahalla Development Units that represent and give voice to all residents, including men and women, youth, the poor, and the vulnerable. The RIDP will also build the capacity of MDU and MCA members (both men and women) in a variety of areas, including holding participatory and inclusive meetings and decision-making processes and managing the day-to-day development affairs of communities. The RIDP will also help to link MDUs to other government and nongovernmental agencies/organizations to improve access to services and resources.
- **Gender equitable development.** The RIDP will support focus on closing the gender gaps in (i) voice and participation in village-level decision-making, by ensuring that 50% of MDU members are women, and through community outreach to ensure that women (including

young women) are able to participate in project planning and decision-making meetings; and (ii) access to services, through subprojects that address the needs of women.

- **Transparency and accountability.** The RIDP will support various measures to ensure transparency and accountability during implementation, including outreach and orientation meetings at the national, regional, district, and village levels; information on project implementation accessible through the RIDP website; community participatory monitoring of subproject procurement and implementation; the use of social audits to measure community perceptions of the quality of implementation; and a grievance redress mechanism that is accessible to all stakeholders.
- **Social and environmental sustainability.** In line with the GoU's objective of raising living standards in rural areas, the RIDP will finance investments and activities that yield positive socioeconomic benefits for rural residents. Activities that involve permanent physical displacement, require forcible evictions, negatively impact residents' incomes or livelihoods, contribute to child or forced labor, or result in environmental impacts that are large scale and irreversible will not be supported by the RIDP. The RIDP will support awareness-raising efforts for local officials and communities, on national laws and regulations pertaining to social and environmental safeguards, and World Bank standards for environmental and social-safeguards-related policies and due process.

### ***Key Differences between the RIDP and other State Program***

The RIDP has been designed to improve on previous practices of various state programs intended to improve access to basic infrastructure in rural areas, and differs from such programs in several important ways, including:

- **Geographic coverage.** Villages covered by other ongoing state infrastructure development programs, including the temporarily suspended Obod Qishloq ("Prosperous Villages"), Obod Mahalla ("Prosperous Cities"), or Obod Markaz ("Prosperous Towns") are not eligible for participation in the RIDP. Eligible villages are prioritized for participation in the RIDP based on criteria including remoteness from the district center and percentage of the population lacking regular access to clean drinking water.
- **Subproject planning, prioritization and selection.** RIDP subproject investments are chosen through a participatory, village-level planning process that culminates in the production of a Qishloq Development Plan (QDP) in each participating village. The RIDP provides facilitation support in the form of trained rural facilitators and rural engineers to ensure that the development planning process is inclusive and transparent.
- **Eligible investments.** Subproject investments requiring permanent physical displacement of residents are not eligible for RIDP financing. In-kind labor contributions to subproject implementation are also not permitted. The RIDP will not finance housing or market infrastructure rehabilitation or construction.
- **Social and environmental standards.** The RIDP applies World Bank Operational Policies for Social and Environmental Safeguards (see chapter 7 for more detail).

## II. ROLES AND RESPONSIBILITIES OF KEY STAKEHOLDERS

### National Level

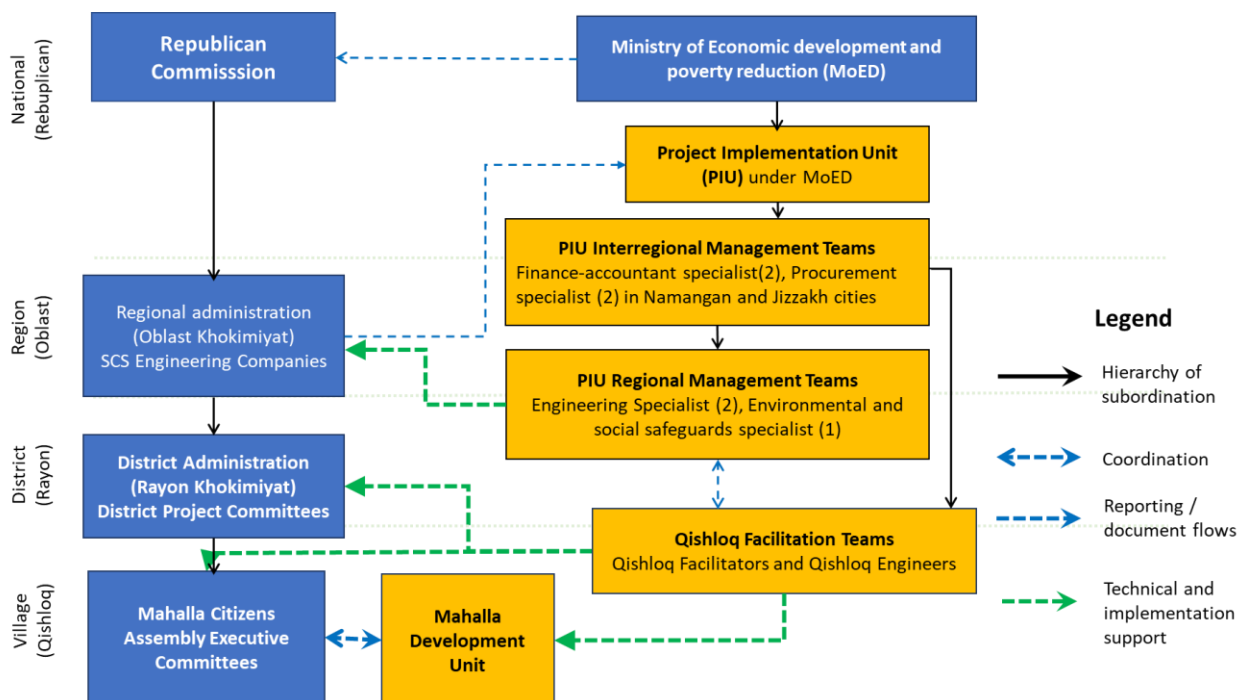
#### **Republican Commission**

The Project will coordinate with and report to the Republican Commission(s) established to support various state programs aimed at improving basic infrastructure and reducing poverty in rural areas. The main tasks of the Commission are: (i) solving problems, coordinating, and interacting with the line ministries, departments, economic associations, and local Khokimiyats participating in the program; (ii) conducting systematic monitoring of the implementation of construction and renovation projects; and (iii) undertaking future program planning, including the development of lists of rural settlements where construction and renovation projects are to be planned.

#### **Ministry of Economic Development and Poverty Reduction**

The MoED is designated by the GoU as responsible for RIDP implementation. The First Deputy Minister for Economic Development is responsible for overseeing the RIDP within the MoED. The MoED will also be responsible for coordinating with the Republican Commission supporting State Program aiming to improve basic infrastructure and reduce poverty in rural areas to ensure the participation of the Republican Commission's representatives at the annual multi-stakeholder reviews.

FIGURE 1: RIDP INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS



#### **Project Implementation Unit (PIU)**

In May 2019, the GoU issued an order to establish the PIU in the MoED to prepare and implement the Project. Through this order the MoED has delegated project implementation tasks to the PIU, including fiduciary oversight, procuring and overseeing the FP contracts, M&E, communications, and FM, and ensuring Project linkages with other programs and projects financed by government and development partners. The PIU will include, inter alia, a project director, a procurement specialist, a financial management specialist, an infrastructure specialist, an environmental safeguards specialist, a social safeguards specialist, a community mobilization specialist, a management and information systems (MIS) specialist, and an M&E specialist. In addition to these professionals, the PIU shall hire regional PIU staff as needed. Terms of references for PIU staff are available in the HR Manual.

The PIU will manage all aspects of safeguards, procurement, infrastructure, and supervision; perform all fiduciary tasks and necessary coordination of institutional support with regions and districts; and conduct consolidated reporting and project management tasks. The PIU will be responsible for the GRM and project-related communications and outreach. The PIU is also responsible for recruitment of Project staff of the central and regional offices.

### **Regional Level**

#### **Regional Khokimiyats**

Regional Khokimiyats are responsible for coordinating and overseeing RIDP implementation at the regional level. This includes ensuring that the SCS provides the services to the RIDP described below, and coordinating the structural units within the regional Khokimiyat to provide technical support in solving organizational issues and implementation challenges.

#### **SCS**

The SCS is established under Resolution of the Cabinet of Ministers No 395 from 12.09.2003. The SCS plays the role of a unified services provider and renders procurement, management, and technical support services to the regional Khokimiyats. SCSs typically have 40–55 staff, including a director, a chief engineer, a deputy director for economic issues, a tendering department, a project implementation and technical supervision department, a financial and contract management department, an accounting department, and other units.

The SCS in each participating region will provide services to the PIU for procuring design services and construction works and providing quality control of construction activities for subprojects identified in the QDP and selected for RIDP financing. The MoED has entered into cooperation agreements with each regional Khokimiyat to define the rights and obligations and the roles and responsibilities of the parties, and will set forth the necessary administrative arrangements with the SCS to secure the SCS's support in project implementation and contract management with contractors. Fees charged by the SCS for its procurement and technical supervision services will be covered under the agreed amount committed by GoU as counterpart financing to RIDP.

#### **PIU at the Regional Level**

The PIU will mobilize specialists in procurement, finance and accounting (F&A), environmental and social safeguards, and technical supervision to support RIDP implementation at the regional level.

- The procurement and F&A specialists will provide on-site technical assistance to the staff of a Single Customer Services (SCS) engineering company to ensure that the World Bank procurement guidelines are followed during implementation and that the requisite documentation for the PIU in Tashkent to transfer funds to contractors is prepared appropriately and on time.
- The environmental and social safeguards specialist will provide on-site technical assistance to ensure that environmental and social safeguards provisions are incorporated into tender documents and contracts, and conduct spot checks at the qishloq level to ensure that relevant documentation of environmental and social safeguards has been prepared, including checklists, simple environmental and social management plans (ESMPs), resettlement action plans (RAPs), or others, disclosed, and implemented.
- Regional technical supervision specialists, along with the infrastructure specialist at PIU, will provide technical assistance and capacity-building support to local design firms and SCSs in applying high-quality technical designs, and, when needed, will conduct or facilitate qishloq-level, QE spot checks of the quality of construction during subproject implementation.

Regional environmental and social safeguards specialists and technical supervision specialists (three staff in total) are co-located in the premises of the SCS engineering companies in each region.

Procurement and F&A specialists in Ferghana Valley will be located in Namangan city, and procurement and F&A specialists for Syrdarya and Jizzakh regions will be located in Gulistan city.

### **District Level**

District Khokimiyats are responsible for coordinating and overseeing RIDP implementation at the district level. The district Khokim in each participating district will establish a District Project Committee (DPC) to support RIDP implementation. The DPC will consist of key members of district state agencies and utilities/service providing organizations and be chaired by the district Khokim. The DPC will be responsible for: (i) conducting outreach and communicating the RIDP's objectives and rules to MCAs, including qishloq selection criteria, eligible investments, required participatory processes, and implementation timelines; (ii) selecting qishloqs to participate in the RIDP, based on the procedures and selection criteria detailed in this POM; (iii) Organize a review of the sub-projects with PIU specialists proposed for financing the RIDP in the Qishloq Development Plans (QDP) and ensure the approval of the QDP and the priority sub-projects; (iv) On the basis of the approved QDP, submit lists of selected sub-projects to the regional Khokimiyats, SCS and PIU for the commencement of pre-project and sub-project design; and (v) facilitating, in coordination with regional Khokimiyats, the handover of RIDP-financed infrastructure to relevant line departments for routine O&M.

### **Qishloq Level**

Mahalla Citizens Assembly (MCA) Executive Committees consist of a chairperson, a secretary, and an advisor. For the purposes of the Project, the MCA Executive Committees are responsible for: (i) representing the development needs of the village to outside stakeholders, including GoU officials and departments and development organizations; (ii) reporting to the DPCs on RIDP progress; (iii) facilitating communications and outreach activities intended to help village members gain an understanding of the RIDP; and (iv) supporting QFs and QEs in organizing meetings that involve representatives of all neighborhoods and community groups, including women, youth, and vulnerable groups.

To support the MCA Executive Committees in the overall implementation of the RIDP, each qishloq selected to participate in the RIDP will form a MDU, which is a representative body established for the purposes of the RIDP that will work with MCAs and community members with support from RIDP facilitators. The MDU will be responsible for: (i) conducting outreach to communities regarding the RIDP's objectives, subprojects eligible for financing, the participatory project cycle, and redress of grievances; (ii) supporting the participatory needs assessment and ensuring the sufficient participation of women, youth, the disabled, and vulnerable groups in that assessment; (iii) preparing QDP, with the assistance of QFs and QEs, based on community deliberation and endorsement; (iv) developing, through a feasibility analysis supported by QEs, initial proposals for subproject investments prioritized for RIDP financing; (v) interacting with DPCs to discuss the QDP, and developing O&M plans for RIDP subprojects; (v) supporting the community participatory monitoring process; and (vi) referring RIDP-related complaints to the GRM.

### **Community Participatory Monitoring Teams**

To ensure transparency, there will be a Community Participatory Monitoring (CPM) Team in each qishloq to monitor the MDU for equitable and participatory development processes, as well as to monitor the SCSs' work, including timeliness, quality of the infrastructure, and fair labor practices. The CPM Team will be independent of the MDU and will ensure that the various actors involved in RIDP are downwardly accountable. (See the Community mobilization Manual for a detailed discussion of the CPM and its work.)

### **RIDP Facilitation Teams**

A Qishloq Facilitation Team consists of three members: one male and one female Qishloq Facilitator (QF) and one Qishloq Engineer (QE). Each Qishloq Facilitation Team will support the participatory implementation cycle in six qishloqs simultaneously.

The Project will test two modalities for delivering technical assistance and capacity-building activities to MDUs and DPCs. In Namangan, Ferghana, and Andijan regions, the PIU will contract Facilitating Partners (FPs), competitively selected from NGOs or private-sector entities, who will mobilize, train, and manage QFs and QEs. In Jizzakh and Syrdarya regions, the PIU will directly hire, train, and manage QFs and QEs as contracted PIU staff to facilitate RIDP implementation.

FPs and individual QFs and QEs will provide training and capacity support to district Khokimiyats, MCA executive committees, and MDUs to increase citizen participation, transparency, and oversight throughout the RIDP implementation cycle. Tasks include: (i) assisting DPCs to carry out a participatory qishloq selection process, including communicating the selection criteria and methodology to district residents and organizing consultations on the results of the selection process; (ii) facilitating the process of establishing MDUs through secret-ballot elections; (iii) providing training and capacity-building support for MDUs to conduct participatory qishloq needs assessments, which includes identifying potential investment synergies across neighboring qishloqs; (iv) assisting MDUs to produce QDPs in line with community decisions, that identify subprojects to be financed through the RIDP; (v) working with MDUs to address development issues other than infrastructure (e.g., learning circles for youth); (vi) assisting MDUs to carry out the environmental and social safeguards screening processes, identifying alternative investments based on these findings; (vii) training MDU members and CPM Teams in procurement, financial management, and construction oversight techniques; (viii) providing capacity support to MDUs to establish the required village-level organizations to contribute to the O&M of subproject investments; and (ix) providing technical assistance (TA) to MDUs that prioritize autonomous water supply and sanitation systems for financing under the RIDP, and establishing the organizational arrangements for institutions to manage the autonomous water supply systems.

### III. RULES FOR RIDP RESOURCE ALLOCATION AND ELIGIBLE SUBPROJECTS

#### *Rules for Resource Allocation*

Within five RIDP regions, the Project will target 21 districts classified as lagging by the GoU,<sup>1</sup> as follows.

- In Andijan region: Buston, Bulakbashi, Marhamat, Ulugnar, and Pakhtaobod districts.
- In Namangan region: Chartak, Chust, Mingbulak, Yangikurgan, and Pop districts.
- In Fergana region: Yazyavan, Furkat, Kushtepa, and Sokh districts.
- In Syrdarya region: Boevut, Sardoba, and Hovos districts.
- In Jizzakh region: Bakhmal, Zomin, Forish, and Yangiobod districts.

Subcomponent 1a resources are allocated to each district based on the population size of the district. Table 1 provides the indicative Component 1a financing for each district based on 2019 administrative data and mahalla population size, and may be updated during implementation should more up-to-date administrative data be made available.

TABLE 1: SUBCOMPONENT 1A FINANCING ALLOCATED BY DISTRICT

Region	District	Number of eligible mahallas	Number of mahallas covered by RIDP	Population size of eligible mahallas in eligible districts	District financing weighted by population (US\$)
Andijon	Buston	6	5	13,678	1,684,015
Andijon	Buloqboshi	17	13	69,611	8,570,402
Andijon	Paxtaobod	42	31	118,164	14,548,175
Andijon	Ulug'nor	4	3	10,733	1,321,431
Andijon	Marhamat	26	20	85,663	10,546,700
Ferghana	Furqat	15	11	53,986	6,646,675
Ferghana	Kushtepa	35	26	127,930	15,750,550
Ferghana	So'x	12	9	34,272	4,219,517
Ferghana	Yozyovon	14	11	42,630	5,248,542
Namangan	Chortoq	25	19	77,978	9,600,535
Namangan	Chust	35	26	120,373	14,820,143
Namangan	Pop	49	36	138,646	17,069,888
Namangan	Mingbuloq	21	16	54,861	6,754,404
Namangan	Yagiqo'rg'on	48	35	147,649	18,178,324
Jizzakh	Bahmal	12	9	61,049	7,516,261
Jizzakh	Zomin district	16	12	82,983	10,216,743
Jizzakh	Forish district	8	6	17,163	2,113,083
Jizzakh	Yangiobod district	1	1	1,687	207,701
Syrdarya	Boevut district	16	12	54,795	6,746,278
Syrdarya	Sardoba district	1	1	2,904	357,536
Syrdarya	Khovos district	5	4	15,295	1,883,097
	Total	408	306	1,332,050.00	164,000,000

Within these 21 districts, the DPCs will use a participatory process to select approximately 306, or around 75 percent, of the 408 qishloqs eligible for the Project. After the village selection process is complete in each district, the PIU will allocate Component 1a financing for each selected village

<sup>1</sup> The MoED defines lagging districts based on the following variables: industry, exports, investments in fixed capital, construction works, number of active enterprises, budget revenue, and budget expenditures.

based on the population size of the village, and communicate the allocation to the DPC, MCAs, and other stakeholders prior to the start of village-level mobilization activities.

### ***Eligible Subprojects***

Eligible subprojects include, but are not limited to, the climate-resilient basic infrastructure and services subprojects described above in the RIDP Components section. Qishloqs may pool resources to jointly finance investments, where appropriate and in line with RIDP principles and in compliance with the environmental and social safeguards policies. Investments on the Negative List, below, are not eligible for financing.

### ***Negative List***

Any subprojects that:

- Require permanent physical relocation or displacement.
- Will have a negative impact on income/livelihood resources.
- Involve any kind of forceful evictions of people.
- Negatively impact the assets of individuals or households.
- Do not meet the required technical and quality specifications.
- Have negative environmental or social impacts that are irreversible, create cumulative impacts, or cannot be adequately mitigated.
- Exclude the poor or marginalized population or other vulnerable groups.
- Do not provide equal pay for equal work for women and men.
- Are financed, or scheduled to be financed, by the government or other development partners.
- Include the payment of compensation for land or asset loss from the proceeds of the World Bank financing;
- Finance the construction of any new dams or the rehabilitation of existing dams, including structural and/or operational changes;
- Finance private goods, government offices, or religious buildings;
- Involve activities that use forced/child labor or lead to child abuse, child labor exploitation, or human trafficking—no child under the age of 18 should work on the construction, rehabilitation, or maintenance of a subproject;
- Entail the purchase or use of drugs, military equipment, or other potentially dangerous materials and equipment, including chainsaws, pesticides, insecticides, herbicides, or asbestos (including asbestos-containing materials), or other investments detrimental livelihoods, including cultural resources;
- Involve development of new settlements or expansion of existing settlements in critical habitats, protected areas, or areas proposed for certain levels of national protection (e.g., reserved forests).

#### IV. RIDP IMPLEMENTATION CYCLE

In line with the RIDP's principles of community-driven decision-making, capacity building for good local governance practices, gender equitable development, transparency and accountability, and social and environmental sustainability, the RIDP will support activities spanning a 24-month implementation period for all participating villages. To allow for constant learning and adjustment throughout the life of the RIDP, the RIDP will expand coverage to participating villages in a phased manner on an annual basis. While subject to revision and adjustment, the RIDP will be rolled out as described in table 2.

**TABLE 2: INDICATIVE ANNUAL VILLAGE COVERAGE TARGETS**

	Phase 1 villages	Phase 2 villages	No. of villages covered in a given calendar year
2020-2021	153		153
2021-2022	153	153	306
2022-2023		153	153
2023-2024			0

Table 3, below, summarizes the key steps in the RIDP implementation cycle, associated forms, timelines for implementation, and the key responsible entity for implementation of each step in the RIDP implementation cycle. The key processes and decisions to be carried out at each step are summarized below. Detailed guidance on how to carry out each step is provided in the Community mobilization Manual and the Infrastructure Technical Manual.

Note: Villages that decide to implement autonomous rural water supply and sanitation subprojects require an additional program of training and capacity support to establish the village institution needed to operate and maintain the system, which will extend the implementation cycle in such villages to approximately 36 months. The implementation cycle for autonomous water supply and sanitation systems will be presented as Annex 7 to this POM.

**TABLE 3: RIDP IMPLEMENTATION CYCLE**

<b>Step in the Implementation Cycle</b>	<b>Associated Form</b>	<b>Expected Timeline</b>	<b>Responsible Entity</b>
1. RIDP outreach and orientation in participating regions and districts	N/A	Month 1	PIU, FPs
2. DPC establishment	Form 3.1	Month 1	RIDP QEs and QFs
3. Qishloq selection	Form 3.1,3.2	Month 1	RIDP QEs and QFs
4. Qishloq mobilization (outreach and project introduction in participating qishloqs; understanding the socio-economic situation in communities)	Form 3.3, 3.4	Months 1–2	RIDP QEs and QFs
5. MDU election and registration	Form 3.5, 3.6,3.7, 3.8	Month 2	RIDP QEs and QFs

6. First set of MDU/MCA capacity building trainings	Input monitoring	Months 2–3	RIDP QEs and QFs
7. Qishloq socioeconomic and resource analysis	Form 3.9	Months 2–3	RIDP QEs and QFs
8. QDP preparation (including subproject options and discussion of QDP at the DPC level)	Form 3.10	Months 3–4	MDU, RIDP QEs and QFs
9. Subproject design (including environmental and social safeguards screening, SCS procurement of subproject design services, and MDU review and approval of subproject design presented by SCS)	ESS templates in ESMF: ESIA - Annex 9, ESMP – Annex 10, ESMP checklist – Annex 11, ESMP checklist for small scale road rehabilitation – Annex 12; Forms 1.1,1.2, 1.3, 1.4,1.5 Form 2.1 Forms 6.0, 6.1	Months 5–7	SCS, MDU, RIDP QEs, PIU regional ESSS
10. Second set of MDU/MCA capacity-building trainings and Social Audit #1	Input monitoring reports from regional PIU and FPs Form 3.12	Month 6	RIDP QEs and QFs; CPM team conducts social audit with participation of MDU, MCA
11. Subproject procurement and implementation	Procurement activities, trainings	Month 7	SCS
12. Subproject implementation	Forms 6.2, 6.3, 6.4,6.5,6.6	Months 8–18	SCS; oversight from MDUs; regional PIU ESSS and technical supervisors provide periodic oversight
13. Social Audit #2	Form 3.13	Month 12	CPM team with participation from MDU, MCA, SCS, contractors
14. Subproject completion, handover, operations, and maintenance	Forms 6.7,6.8 Form 3.15	Months 18–24	SCS, MDU, MCA, DPC, regional PIU
15. Social Audit #3, MDU institutional maturity assessment	Form 3.14 Form 3.18	Months 18–24	CPM team with participation from MDU, MCA, SCS, contractors, DPC

### ***1. RIDP Outreach and Orientation***

First, the PIU presents the RIDP procedures and objectives to the regional Khokimiyats. The regional Khokimiyats then task district Khokimiyats to provide support to FPs and the regional PIU for successful implementation of the RIDP in selected districts. Regional PIU and FP staff then present RIDP procedures, objectives, and implementation cycle to district Khokimiyats covered by

the RIDP. During the meeting, regional PIU and FP staff will request support from district Khokimiyats to establish a DPC.

## **2. DPC Establishment**

The DPC will be established at the district level among the members of district state agencies and utilities/service providing organizations. The district Khokim will chair the DPC. The DPC is responsible for the tasks described in chapter 3 above.

## **3. Village/Qishloq Selection**

Villages are prioritized for participation in the RIDP based on the following criteria:

- Villages that have not benefited from the Obod Qishloq, Obod Markaz, or Obod Mahalla state programs.
- Villages that are remote from the district center. Remoteness can vary depending on geography (e.g., rugged or mountainous areas), accessibility (e.g., roads, transportation), and climate (e.g., the presence of natural hazards).
- Villages in which a relatively high percentage of households lack uninterrupted and reliable tap drinking water (compared to other villages in the district that have no state program and are remote).

The DPC, in cooperation with the sectors for integrated socio-economic development of the regions (Decree of the President No. 4102, January 8, 2019)<sup>1</sup> and public receptions of the President of the Republic of Uzbekistan (Decree of the President No. 5700, February 4, 2019)<sup>2</sup> shall assist RIDP facilitators in below:

- Provide data for selection of eligible villages, to rank them by distance from the district center and the percentage of the population that does not have access to clean drinking water;
- Ensure the participation of Regional PIU and FPs representatives as observers in order to guarantee the transparency of the ranking process;
- Issue the meeting protocol of the DPC on the selection and ranking of villages for participation in the project.
- Send the village selection list to the PIU to confirm that the selection process has been followed according to the POM.

Once the list of participating villages is complete, the DPC will organize a public meeting involving all MCA members, citizens, local CSOs, and other stakeholders to present the ranking process and explain to the MCA chair and membership why their qishloq was or was not selected. During the meeting, the DPC and RIDP facilitators should explain how many qishloqs are to be financed in the first and subsequent years. Should the ranking or selection of any qishloq be changed upon reasonable justification, the list of selected villages will be revised and a new DPC meeting protocol will be issued documenting this decision.

The list of participating villages and the data underlying the selection process are to be uploaded to the project MIS (Form 3.2). The PIU will review the results of the village selection process to

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<sup>1</sup> According to the Decree of the President of the Republic of Uzbekistan No. 4102 dated January 8, 1919, sectorial interaction was implemented to study problems and resolve issues in the field of socio-economic development of the regions, and a vertical management system was introduced in government bodies, prosecution bodies, internal affairs bodies and tax authorities on the principle " district (city) - region-Republic ". Annex 2: List of departments and organizations that are part of the staff of the sectors of socio-economic development of districts (cities) and territories.

<sup>2</sup> According to the Decree of the President No. 5700 dated February 4, 2019. A system of interaction was implemented and defined on the basis of the principle of "mahalla-sector-people's reception-mahalla" to study and resolve issues of the regional socio-economic development carried out in the territory by senior officials of state bodies- representing road construction, electricity, gas , water, communal and social spheres

confirm that the above-mentioned procedures have been followed. It will then communicate the village-level allocations from Component 1a to the DPC and RIDP facilitators.

#### ***4. Village/Qishloq Mobilization***

Village mobilization is a crucial component in the preplanning phase, ensuring that, as much as possible, decisions about the allocation of government funds will benefit the entire village and/or those who are most in need of the infrastructure/services that are part of the RIDP. Village mobilization is the responsibility of the QFs (with support from the QEs) and involves various activities:

- (a) Outreach to the MCA Executive Committee and affected communities, to help them understand the program in all its dimensions, including the objectives of the program, the responsibilities of key actors, the infrastructure menu, development activities other than infrastructure, monitoring and social audits, and the grievances mechanism.
- (b) Participatory resource mapping, to identify existing public resources in each neighborhood of the village and ensure fair allocation of RIDP funds.
- (c) Participatory well-being analysis, to identify the various socioeconomic groups for targeted social safety-net schemes.
- (d) A seasonal calendar (in selected communities), to identify cropping patterns and times when people are most busy.
- (e) A health analysis (in collaboration with local health centers), to identify the most pressing health issues and raise awareness of their implications and means of prevention.
- (f) An education analysis (including preschool children), to identify issues related to schools, kindergartens, and the distances traveled to reach them.

This work will provide the basis for QDPs (see below), which, in turn, provide the basis for infrastructure subproject prioritization and village-based activities beyond infrastructure development (such as awareness raising around health and hygiene and linking up rural residents with local health centers or learning circles wherein local teachers or youth conduct learning sessions for young adults to improve their life skills).

The project will focus on closing two gender gaps: (i) voice and participation in community decision-making, and (ii) access to services. To address these gaps, the project has established 50 percent targets for women's representation. To achieve this, the MDU will include men's and women's youth (18–30 years of age) subcommittees. Both of these subcommittees will be elected at the same time as the MDU. RIDP Facilitators will train the elected youth subcommittees to play a role in monitoring project implementation.

For step-by-step instructions, including the posters that must be shared with the communities, see the Community mobilization Manual.

#### ***5. MDU Election and Registration***

Communities that are selected for the RIDP must elect a Mahalla Development Unit. During this stage, RIDP facilitation teams (QFs and QEs) will conduct a series of pre-election meetings in each qishloq to explain the election process and the roles and responsibilities of MDU members and establish an Election Committee and a Village Participatory Monitoring Committee. For accountability purposes, the latter committee must be independent of the MDU. The MDU serves on a voluntary basis. The MDU will consist of an equal number of men and women, and one of the two key positions, chair or vice-chair, must be occupied by a woman. The secretary of the MDU can be either a man or a woman. RIDP facilitators must fill out RIDP form 3.7, which documents the MDU election process and results, to be uploaded to the MIS.

The RIDP has a uniform MDU election procedure that must be followed. The key principles of the MDU election are:

- (a) Each neighborhood elects one man and one woman (large neighborhoods will elect additional members).
- (b) Votes are cast by secret ballot.
- (c) Each village must establish an Election Committee with two members, one man and one woman, from each neighborhood to oversee the election.
- (d) QFs are neutral observers to monitor the election process.
- (e) Sixty percent of each neighborhood's eligible voters must vote in order for the election to be valid.
- (f) The selection of MDU executive members must be conducted by secret ballot, preferably on the same day as the general election.

The MDU is elected for the duration of the RIDP project cycle, beginning from the date of the MDU's registration as documented in form 3.8.

In the event that one or more of the elected MDU members are no longer willing or able to complete their terms as MDU members, the village's Election Committee, along with the QF, will conduct a round of elections in the relevant neighborhoods to fill the vacancies. Should an outgoing member also be an MDU Executive Committee member, the new member elected to replace him or her will not automatically assume that Executive Committee seat. Instead, all MDU members, including the newly elected member, will vote amongst themselves to fill the vacancy.

One or all MDU members may also be removed from office for corruption, collusion, or mishandling of their responsibilities. This removal is effected by the government, in consultation with the village, upon receipt of written complaints from the village.

(Note: see the RIDP Community mobilization Manual for step-by-step guidelines on election preparations, pre-election meetings, and the election of the MDU and the MDU Executive Committee).

### **MDU Roles and Responsibilities**

- Ensure inclusive consultations in the QDP process with all neighborhoods, vulnerable people, etc.
- Facilitate inclusive meetings leading to the adoption of the QDP.
- Understand the community analysis and the QDP.
- Oversee subproject implementation to ensure quality construction.
- Monitor subprojects, including:
  - Timing
  - Construction materials
  - Workmanship
  - Labor practices
  - Health and safety
  - ESS compliance
- Participate in social audits implemented by the Community Participatory Monitoring Team.
- Certify subproject completion to the satisfaction of community expectations.
- Monitor O&M compliance by the ministries or other actors and, when appropriate, provide community O&M.
- Raise funds for MDU activities.
- Facilitate campaigns (e.g., clean-up campaigns, educational support for poor children, etc.).
- Provide a member to take part in the subproject tendering committee organized by SCS.

### **MDU Executive Committee Roles and Responsibilities**

### ***MDU Chair***

- Steer, guide, and support the MDU.
- Ensure periodic MDU meetings and equal participation of all MDU members.
- Ensure the participation and inclusion of all neighborhoods and all marginalized and vulnerable people in the community, including widows, the disabled, and the elderly.
- Coordinate the community's development activities.
- Implement the operating rules for MDUs outlined in the RIDP Operations Manual.
- Support the MCA Executive Committee in lobbying for development resources from various sources (e.g., government, NGOs, the private sector).
- Oversee the community's monitoring of government services and apply the score-card system.
- Act as a guardian of all public resources and prevent corruption.
- Participate in district and provincial workshops and share the community's development activities.
- Coordinate women's development activities in the community. (if it is a woman)
- Serve as the main contact for women of the community with outside development actors. (if it is a woman)

### ***MDU Vice-Chair***

*(Note: the MDU vice-chair must be a woman if the MDU chair is not a woman.)*

- Coordinate women's development activities in the community. (if it is a woman)
- Serve as the main contact for women of the community with outside development actors. (if it is a woman)
- Ensure the participation and inclusion of all neighborhoods and all marginalized and vulnerable people in the community, including widows, the disabled, and the elderly.
- Support the MDU chair in his or her role as guardian of all public resources and prevent corruption.
- Participate in district and provincial workshops and share the community's development activities.
- Perform as acting chair in the chair's absence.

### ***MDU Secretary***

- Prepare MDU meeting agendas, take minutes of meetings, and record the signatures of all MDU members who are present.
- In coordination with the vice-chair, maintain a public notice board, accessible to all men and women, to publicize important programs, rules, and community activities.
- Disseminate financial and other information to the community through other available means.
- Maintain outputs and documents (e.g., public resource maps) from all participatory exercises in good condition and accessible to all in the village.
- Prepare MDU correspondence.

### ***MDU Young Men's Subcommittee and MDU Young Women's Subcommittee***

- Provide the development perspectives of young women and young men in the community and ensure that the views of youth are included in the development plans.
- Assist self-help groups to plan their activities and mobilize resources if needed.
- Assist the MDU to carry out their tasks.
- Ensure that young people (men and women) are consulted and included.

## ***6. MDU/MCA Capacity Development: First Set of Trainings***

The RIDP's local governance objective requires a sound capacity-building process to train elected members—the MCA and the MDU—in basic governance processes. Some of these trainings (summarized in table 3) will be process-oriented, and some will be knowledge-transfer based—e.g., the QFs will provide lecture outlines to share the basic rules of collecting data, accounting, monitoring, O&M, Environmental and social safeguards, disaster risk mitigation, and handling grievances. The focus of capacity-building activities will include the roles and responsibilities of the MDU, conducting participatory meetings, the objectives and details of the RIDP program, linkages to the DPC, resource mobilization, social audits, and conflict resolution related to the RIDP program, as well as how to conduct development activities outside the RIDP, and will be delivered at various stages throughout the RIDP implementation cycle.

Knowledge Transfer	Process Oriented
<ol style="list-style-type: none"> <li>1. MDU roles &amp; responsibilities</li> <li>2. Data collection (MCA)</li> <li>3. Conducting participatory meetings</li> <li>4. MDU basic accounting</li> <li>5. Qishloq project monitoring</li> <li>6. Subproject operations &amp; maintenance</li> <li>7. Environmental and social safeguards</li> <li>8. Disaster risk mitigation &amp; management</li> <li>9. Grievance handling</li> </ol>	<ol style="list-style-type: none"> <li>1. MCA and MDU leadership training</li> <li>2. Social mobilization</li> <li>3. Linkages and resource mobilization</li> <li>4. RIDP outreach</li> <li>5. Gender mainstreaming</li> <li>6. Social audit</li> <li>7. Conflict resolution related to RIDP</li> <li>8. Development activities outside of RIDP Funds</li> <li>9. MDU male and female youth Subcommittees</li> </ol>

### Pro-Poor Development Activities

The RIDP includes pro-poor development activities. These will be undertaken by self-help groups, with the support of the MDU and MDU male and female youth subcommittees. This work will be facilitated by RIDP facilitators, and possible examples are outlined in the Community mobilization Manual.

See the Community mobilization Manual for sessions on MDU roles and responsibilities, data collection, conducting participatory meetings, as well as social mobilization, linkage, RIDP outreach, gender mainstreaming, and social audit. The process-oriented sessions will be conducted by the QFs, but will involve the MDU members.

The first set of capacity-building activities will focus on the knowledge and tools needed to carry out the qishloq socioeconomic and resource analysis and qishloq development planning exercises described below.

### 7. *Qishloq Socioeconomic and Resource Analysis*

The RIDP facilitation team will work with MDU members and mobilize villages to carry out a series of activities to analyze the socioeconomic circumstances and available assets in the qishloq. These activities will include:

- (a) producing a public resource map showing the location of existing infrastructure, households, farmland, and areas at risk of flooding or other natural disasters;
- (b) identifying existing informal groups in the qishloq (e.g., *gashtak*);
- (c) conducting well-being analysis that identifies the number of households with relatively high, medium, and low incomes, their physical locations throughout the qishloq, and their sources of livelihood or income-generating assets;

- (d) producing seasonal calendars (in selected qishloqs only) to track when residents will be available to participate in Project activities and when they will be otherwise occupied;
- (e) conducting a health analysis, to identify the health status of residents and the underlying causes of poor outcomes (e.g., lack of access to clean drinking water); and
- (f) conducting an education analysis, to identify the educational status of residents and the underlying causes of poor outcomes (e.g., households with children not attending preschool).

RIDP facilitators will support the MDU to complete RIDP form 3.9 which summarizes the results of the socioeconomic resources analysis to be uploaded to the MIS.

Note: see the RIDP Community mobilization Manual for step-by-step guidelines to each of the activities outlined above.

## ***8. Qishloq Development Planning***

With support from the RIDP facilitators, village residents, all MDU members, and the MCA will engage in a participatory planning workshop to create a Qishloq Development Plan. For this event, at least 50 percent of all households in each neighborhood of the qishloq should be represented. Specific outreach meetings for young women, youth, the disabled, and other vulnerable village members will take place prior to the qishloq-level meeting.

The planning workshop will first review, summarize, and present all findings from the resource mapping, well-being analysis, seasonal calendar, and health and education analysis, and then create a vision for the village. The vision will then be broken down into milestones and activities to achieve the vision, and how each milestone will be funded. The QDP will clearly distinguish between milestones to be funded by the RIDP, by other donors, or by the village itself without external funding.

### **8.1 Discussion of Subproject Options Based on QDP Priorities and Potential Social and Environmental Impacts**

When QDP has been drafted, the QEs will work with MDU members and villagers to review the QDP milestones to prioritize for funding through the RIDP and identify subproject design options to achieve the milestones. Subproject design options should be eligible for RIDP financing (e.g., not on the Negative List) and take into account potential social and environmental impacts and cost variations. RIDP facilitators will encourage village residents to prioritize design options that avoid or minimize negative social and environmental impacts and ensure that the qishloq residents clearly understand the amount of funds allocated for their qishloq and that a subproject prioritized for RIDP financing must fit within this financing envelope.

In the event that the planning workshop does not achieve a consensus on development priorities, a vote will be held using multicolored stickers to prioritize projects (e.g., green for the first priority, yellow for the second, etc.). All participating villagers will indicate their preferred subproject priorities using these stickers. RIDP facilitators will assist the MDU to count the ballots, and secure final confirmation from village residents on subproject priorities in the QDP.

The outcome of the QDP planning workshop will be a protocol, signed by members of the MDU and RIDP facilitators, that details the process that has been undertaken, starting with an explanation of the priorities suggested by all neighborhoods and confirming the final, prioritized list of subprojects. A template for this protocol can be found in form 3.10. The RIDP facilitators will assist

the MDU to complete the QDP using form 3.10 and upload it to the MIS. A copy of the QDP will be retained by the MDU chair. The MDU should apprise villagers that the draft QDP will be reviewed by the DPC to confirm the justification for subproject financing.

## **8.2 Discussion of the QDP at the DPC Level**

The MDU will present the draft QDP and subprojects proposed for RIDP financing to the DPC for review and discussion to confirm: (i) that proposed subprojects do not duplicate investments planned under other state programs, and (ii) the O&M arrangements that require contributions from the district Khokimiyat. Key discussion points and decisions should be reflected in the minutes of the meeting between the DPC, the MDU, and RIDP facilitators, including agreements on O&M arrangements for subprojects.

If the QDP is revised as a result of the discussion with the DPC, the MDU will organize a meeting among village residents (at least 50 percent of all households) to secure final confirmation of subproject priorities. The QDP and form 3.10 will be updated accordingly.

## **9. Subproject Design**

### **9.1 Environmental and Social Safeguards Screening**

This section summarizes the policies and processes described in Chapter 6 and greater detail in the Environmental and Social Management Framework (ESMF) and the Resettlement Policy Framework (RPF) (annexes 1 and 2).

- Once the subproject(s) from the QDP to be financed by the RIDP have been confirmed, SCS and MDU members, with support from FP/QF&QEs will screen subprojects to identify possible environmental and social impacts using ESMF form 1.1 and submit the form to the PIU regional ESSS specialist.
- The PIU regional ESSS specialist, taking into account the data provided in ESMF form 1.1 will establish the category of each subproject, the scope of the environmental and social impact assessment (ESIA) required, and related safeguards documents (such as the DSEI/SEI/site-specific ESMP / ESMP checklist), which must be completed by design firm on behalf of SCS as per contract between design firm and SCS.
- The scope of the ESIA and safeguards document required will be included in the ToR for the subproject design contract. For subprojects with significant environmental and social impacts, the Regional ESSS specialist will consult the PIU ESSS in Tashkent.

The costs associated with pre-design and design activities (e.g. obtaining permits, conducting ESIA and developing environmental and social safeguards instruments) can be paid for by the project or by the SCS using regional Khokimiyat funds

### **9.2 Preparation of initial permit documentation**

As per Cooperation Agreements between MoED and regional Khokimiyats, SCS is responsible preparation of initial permit documentation including:

- topographic and geodesic survey of the land plot and engineering networks;
- permission for reconstruction or construction;
- Architectural Planning Tasks (APT-part I) and II) with the situational plan of placing objects in the General plan of village and;
- other documents in compliance with the local construction norms.

These documents will be an integral part of tender documentation required to tender contractors to perform design and construction works.

Payment for initial permit documentation will be carried out by regional Khokimiyats as part of GoU contribution. SCS is obliged to prepare the above initial documents in period not exceed 20 business days when approved QDP is delivered to SCS.

### **9.3 Subproject Design Procurement and Implementation**

- The SCS will select one design firm for one village on a competitive basis, as indicated in the procurement chapter. The design firm will develop the design and estimate documentation (PED) and the working draft, as specified in the design contract. SCS will support in obtaining expert review and approval from relevant organizations.
- Once the required EA documents are prepared, they are subject to public consultation. During the public consultation process, prepared documents will be distributed to all interested parties and local residents by posting them on the web and by submitting them to the local councils. Minutes of public meetings will be kept and will be included in the final ESMPs or ESMP checklists.
- The PIU regional environmental and social safeguards specialist (ESS) will review the quality of the ESIA and EA documents prepared by the design firm, verifying that necessary permissions and approvals have been obtained. For subprojects with significant environmental and social impacts the results of the review done by the Regional ESSS will be cleared by the PIU ESSS in Tashkent. The PIU regional ESSS specialist will conduct site visits, verify the environmental and social data provided by the SCS / design firm, help identify mitigation measures, and confirm that the designated environmental category is appropriate and that the ESMP is adequate. Findings shall be reported in ESMF form 1.3.
- The WB will carry out prior review of the ESIA/ESMPs from the first three subprojects in each participating region. After that, WB prior review is only required for subprojects that are categorized as full Category B and require a partial ESIA and ESMP.
- All subproject bidding documents shall include as a requirement implementation of the ESMP or the ESMP checklist, and the documents shall be attached to the bidding documents and then to the construction contracts.
- During construction and installation works the design firm is obliged to conduct regular author's supervision for compliance with the working drawings, structures and materials used. In case of unforeseen circumstances (absence of designed brands and types of certain materials and structures on the territory of Uzbekistan) will make technical decisions and make changes to the technical project (technical drawings).
- The design firm will present initial subproject designs to the MDU for community feedback. The design firm will accept suggestions from residents when feasible, and then the MDU will sign the final draft.
- The PEDs will be passed to the SCS and used to tender construction contracts after completion of the design phase.
- RIDP facilitators will make sure that trained representatives of the MDU sit as observers both on the tendering commission and when procuring design services.

### ***10. Second Set of MDU/MCA Capacity-Building Trainings and First Social Audit***

The second set of MDU/MCA capacity-building activities will focus on the knowledge and tools needed to monitor RIDP subproject procurement and implementation, and to carry out the first of three social audits required during the 24-month implementation cycle.

The purpose of the social audit is to give members of the community, from all neighborhoods, an account of the resources allocated to the project as defined in the QDP, the location of the new or refurbished infrastructure and its relation to other neighborhoods that do or do not have certain infrastructure and services, and the overall achievements (in line with the QDP) of the MDU. The social audits will also consider the quality of the infrastructure, whether it meets people's expectations, and whether the infrastructure is being suitably maintained by the community or line ministry (whichever is the appropriate arrangement). The social audits will ensure that the MDUs are transparent and accountable to the people who elected them and that the construction firms are doing their work properly.

Social audits will take the form of public forums in which district Khokimiyats, representing DPCs and MDUs, report progress, challenges, and fiduciary information to communities at least twice a year during the project implementation cycle. Contractors and beneficiaries will participate in the social audit process. The RIDP facilitators will help the MDUs conduct these meetings to ensure that the social audit process is inclusive of all neighborhoods and that all vulnerable groups are represented at the meeting. The MDU will review the QDP process and confirm that decisions were made from the bottom up and that there has been continuity in the chain of decisions made by community members; and the DPCs and contractors will explain Project-related expenditures. Transparency will be a key parameter for social audits. The RIDP facilitators will provide logistical support to ensure broad attendance by village members and representatives of MCAs and the district implementation teams, which should be 50 percent women. At the conclusion of each social audit, a protocol will be drafted that summarizes the results and will be signed by MDU members, RIDP facilitators, and the PIU regional ESSS. RIDP facilitators will fill out RIDP form 6a or 6b and upload to the MIS at the conclusion of each social audit.

The first social audit will take place six months after the MDU election and will focus on people's perception of the quality of the planning process and of the performance of MDU members and RIDP facilitators. See the Community mobilization Manual for step-by-step guidelines for social audits.

### ***11. Subproject Procurement***

The SCS will procure the subproject works as described in chapter V of the POM.

### ***12. Subproject Implementation and Oversight***

Further guidance on subproject implementation is provided in the Infrastructure Technical Manual. Key activities to be carried out during this phase include the following:

- The PIU regional ESSS will perform regular monitoring of subprojects during construction and operation to ensure that ESMPs / ESMP checklists are properly implemented. If the PIU regional ESSS notices any problems in implementation, they will inform the relevant contractor and arrange for corrective action. If an on-site visit reveals environmental or social risks, the contractor will hire a consultant to prepare a site-specific ESIA and/or an ESMP. The cost of the ESIA can be included in subproject costs retroactively if needed.
- In cases of noncompliance by subproject contractors, the PIU regional ESSS will investigate the nature of, and reasons for, the noncompliance and in consultation with the PIU ESSS in Tashkent, decide how to achieve compliance or whether to suspend financing.
- SCS with and QEs staff assigned for the village will jointly oversee sub-project implementation by contractor on regular basis. TS of PIU will supervise this process. Inspection on control in construction sector under the Ministry of construction and TICC will conduct technical supervision on the designing and construction stages (established as per GoU Resolution No 603 from 31.07.2018 and annexed in 4a-Territorial inspection for control in the field of construction). Also, TICC, SCS and TS will be check regular author's supervision by design institute/firm and provide quality control as per current construction norms.
- The SCS will support contractors in obtaining required permits and approvals from Inspection on Control in Construction Sector and other relevant agencies.
- If the scope or type of work will be modified during the implementation stage, the contractor must develop a new draft statement of environmental impacts (DSEI).
- During the construction or rehabilitation activities, if any environmental or social violations are detected, a written memo detailing the violation (see template in form 1.6, ESS Forms), signed by the contractor, the MDU member, two independent witnesses from the village, and

a regional ESSS, will be submitted to the local Environmental Department for appropriate action.

- Monitoring during subproject implementation will be conducted by SCS engineers and trained MDU members, with periodic spot checks by PIU regional technical supervisors.
- The MDU will regularly monitor construction projects, including the quality of contractor materials and work product, schedule delays, and violations of contractual rules and procedures.
- All stages of preparation, organization and implementation of construction and reconstruction of basic infrastructure facilities will strictly comply with the Urban planning code of the Republic of Uzbekistan; the Unified construction regulations of the Republic of Uzbekistan, SNK<sup>3</sup> 1.03.07-2010 "Regulations on design and technical supervision of construction", Construction rules and regulations specified in SNK 1.01.01-2009 "The System of normative documents in construction" of the Republic of Uzbekistan.

### ***13. Second Social Audit***

The second social audit will take place roughly 12 months after the MDU election and will focus on the quality of subproject implementation and whether the subproject is meeting people's expectations, as well as the overall performance of MDU members and RIDP facilitators.

See the Community mobilization Manual for step-by-step guidelines for social audits.

### ***14. Subproject Completion, Handover, Operations and Maintenance***

Implementation and completion of the subproject will be carried out in accordance with the terms of the signed contract. The procedure for acceptance of a completed subproject is defined in SNK 3.01.04-04, "Acceptance of Completed Construction Projects," approved by Order No 81 of the State Committee on Architecture and Construction of the Republic of Uzbekistan, December 25, 2003. (See the Technical Infrastructure Manual, Annex 8 "General regulations on acceptance for operation" and Annex 9 "List of mandatory documents and acts provided to the Working Acceptance Commission or State Acceptance Commission" SNK 3.01.04-04, p.13.)

The SCS and its contractors are responsible for the timely handover of all project documentation. The handover process will be verified and certified as follows:

- The design firm will certify that construction complies with the design.
- The SCS will establish a commission comprising representatives of the project contractor(s), the design firm(s), and relevant local authorities assigned by the district or regional Khokim. An MCA/MDU representative can join the commission to verify community expectations, as agreed with the district or regional Khokim.
- After successful certification by the commission, the SCS will provide the documentation required under SNK 3.01.04-04 to the State Acceptance Commission of the district or regional Khokimiyat to hand over the subproject to the relevant line agency. The State Acceptance Commission will issue a decision on the handover of the subproject to the relevant agency for operation and maintenance.

### ***15. Third Social Audit and MDU Institutional Maturity Assessment***

The third social audit will take place approximately 18 months after the MDU election and will include a focus on the quality of the subprojects that have been completed and handed over. This

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<sup>43</sup> SNK - urban planning rules and regulations

final social audit will also review whether the O&M arrangements put in place for each subproject are functioning.

The Institutional Maturity Index is a tool used to assess the change in the capacity of the MDU over time and as a result of the training and capacity building support delivered by the RIDP. The Institutional Maturity Index is a self-evaluation tool that is not designed to not only provide an assessment of the capacity of the MDUs, but to educate the MDUs through a process of self-reflection during which they consider the outcomes and quality of interactions during their work. The Institutional Maturity Index will also be used to gauge the effectiveness of the training and capacity building activities of the RIDP, and identify changes and modifications needed for future project cycles.

See the Community mobilization Manual for step-by-step guidelines on conducting the social audit and institutional maturity assessment.

## **V. COVID-19-RELATED ADAPTATIONS TO THE RIDP IMPLEMENTATION CYCLE**

### **Background and Objective**

The Community Mobilization process of the RIDP was designed, field-tested, and fine-tuned in the fall of 2019 and relies on the ability of large numbers of people to congregate, engage in collective analysis (e.g. the creation of community maps and socio-economic matrices), vote in community-level elections, and participate in community decision-making processes that identify subproject investments in basic infrastructure and services financed by the RIDP. Given the ease through which the COVID 19 virus spreads, however, it has become imperative to design an approach that delivers on Component 1 of the project whilst maintaining transparency and accountability, as well as ensuring inclusion of vulnerable and marginalized groups and households in rural communities.

The COVID 19 Community Mobilization Manual is designed to guide staff in the implementation of the RIDP Social Mobilization process during the COVID 19 Crisis.

### **Brief Summary of Adaptations to the RIDP Implementation Cycle due to COVID-19**

The RIDP COVID-19 implementation cycle will follow the same 15 steps described in chapter IV above, but suspends large gatherings envisaged for the MDU elections and participatory socio-economic analyses, qishloq development planning, and community participatory monitoring exercises. During the COVID-19 pandemic, “temporary MDUs” (T-MDU) will be established through a nomination process, and participatory exercises will be carried out through small meetings involving consultations with various stakeholders within the community, including women, youth, poor households, and community elders. Small gatherings will be carried out following health and safety guidelines, which include social distancing measures and the use of masks/personal protective equipment by project stakeholders. The COVID-19 RIDP implementation cycle is described in detail in the COVID-19 Community Mobilization Manual, which is Annex 11 to this POM. The COVID-19-related health and safety measures for sub-project implementation are described in the updated Environmental and Social Management Framework (ESMF).

Whilst the adapted approach places limitations on the number of people who can participate in-person in the RIDP’s participatory processes at a given time, it does not compromise on key project principles, including:

- To assist leaders (men and women) to think through key issues and represent their neighborhoods, the development process will be externally facilitated (by QFs and QEs);
- To ensure responsible and accountable representation, community leaders will form temporary Mahalla Development Units (T-MDUs), and these will be capacitated to work on behalf of all neighborhoods within participating qishloqs;
- Development planning and activities must consider and take into account the needs of all neighborhoods in communities and in particular the needs of vulnerable and marginalized households and groups;
- Community leadership must include women;
- Decisions on subprojects selected for financing through the RIDP must be communicated through transparent means;
- Community feedback must be sought on these decisions;
- Community Participatory Monitoring and Grievances Redress must be part of the process.

### **Period of Applicability**

The COVID-19 RIDP implementation cycle, including the COVID-19 Community Mobilization Manual, will apply from the date of effectiveness of this POM and until such time as this POM is revised. In practical terms, the COVID-19 adaptations will apply for all project regions and districts and the first

cycle of approximately 150 qishloqs for which community mobilization activities are expected to comments in late 2020 and early 2021.

## **VI. PROCUREMENT**

### ***6.1 Procurement Regulations That Apply to the Project***

The RIDP consists of two components, described in chapter 1 above.

Procurement under Component 1a “Demand-Driven Investments in Basic Infrastructure and Services,” follows the procedures set out in the Public Procurement Law (PPL) of the Republic of Uzbekistan dated April 2018 with adjustments described in the Project Procurement Strategy for Development and summarized below.

Procurement of all works, goods, and non-consulting and consulting services under Component 1b and Component 2 follows the World Bank’s *Procurement Regulations for IPF Borrowers* (July 2016, revised November 2017 and August 2018), and will also be subject to the Bank’s *Anti-Corruption Guidelines* (July 2016).

#### **a. Procurement Principles**

The following principles apply in all procurement of goods, works, and consulting services, and every effort is made to get the best value for money:

- the need for economy and efficiency in the implementation of the project, including the procurement of the goods and works involved
- the importance of transparency in the procurement process
- the need for high-quality services
- the need for economy and efficiency
- the need to give all eligible consultants an opportunity to compete in providing the services
- the need for transparency in the selection process

#### **b. Project Procurement Strategy for Development and the Procurement Plan**

The Project Procurement Strategy for Development (PPSD), developed by the PIU in October 2019, addressed how procurement activities will support the development objectives of the project and deliver the best value for money. Assessment of capacity conducted at various levels, including among existing engineering companies, Khokimiyats, and the MoED, helped to identify stakeholders involved and responsible for project-related procurement (see below). The PPCSD also specifies risk management, procurement arrangements, contract management, and overall market analysis related to the RIDP.

The PPCSD provided adequate justification for the selection methods in the Procurement Plan (PP). The PPCSD is included as annex 5, and the PP is included as annex 6.

#### **c. Roles and Responsibilities of Key Stakeholders (PIU and SCS)**

The PIU, as delegated by the MoED, has overall responsibility for organizing and overseeing procurement procedures carried out under the RIDP (the “working body”). The PIU, in agreement with the MoED, will:

- Develop, prepare, and get clearance for procurement documentation.
- Send the procurement documentation to the Procurement Commission for consideration seven business days before the date of the announcement of the procurement or the sending of invitations to participate.

- Confidentially distribute all procurement documentation to members of the Procurement Commission.
- Publish an announcement in the media and/or distribute invitations.
- Conduct timely correspondence with participants to clarify the conditions of the procurement.
- Acquaint bidders with the procurement (tender) documentation.
- Accept applications (proposals) from participants and their registration, security, and confidentiality.
- Request and receive from bidders, in writing, additional information and clarifications regarding the submitted applications (proposals) in order to evaluate and compare them.
- Keep minutes of meetings of the Procurement Commission.
- Organize the selection and conduct expert assessment of incoming applications (proposals) in accordance with the rules and procedures of the WB.
- Submit for approval of the Procurement Commission and approval (no-objection) of the WB any finding that a procurement procedure has been completed or has failed, or any decision to announce a new tender (retender).
- Respond to claims and complaints received from bidders based on the results of procurement procedures.
- If necessary, after the approval of the protocol (decision) of the Procurement Commission and the approval of the WB, conduct negotiations with the winners.

The SCS is designated as “Customer” for all works financed through centralized sources (state and local budgets) in the Obod Qishloq state program (President’s Resolution No 5386 from 29.03.2018). The SCS in each participating region (oblast) is assigned by the regional Khokimiyat to provide services to the PIU for procuring the pre-design, design and works contracts for subprojects identified in the qishloq development plans and selected for Project financing under Component 1a.

Key tasks of the SCS:

- Determine the starting price of the goods (work, services), except for cases established by law.
- Place announcements of upcoming public procurement on a special information portal and other media upon confirmation of the availability of sources and amounts of funding.
- Extend the deadline for the submission of proposals that apply to all bidders.
- Ask participants/bidders to extend the validity of their proposals for a certain period in cases stipulated by law.
- When carrying out a procurement procedure in the form of a tender following the results of the second stage, to sign contract with the Bidder.
- Provide clarifications to bidders on their requests related to goods (works, services) and public procurement procedures.
- Conclude agreements with bidders and ensure that their projects are implemented.

#### **d. Bidder/Participant**

The bidder/participant is a resident or nonresident of the Republic of Uzbekistan participating in the procurement procedure as an applicant for public procurement in the manner prescribed by law. Bidders can:

- Access information on public procurement as prescribed by law.

- Submit requests for clarification on the procedures, requirements, and conditions for specific public procurements.
- Participate in the opening of the proposal, in the prescribed manner, by the Procurement Commission.
- Appeal, in the established manner, the results of a public procurement in case of a violation of procurement procedures.
- Make changes to or withdraw proposals, in accordance with the law, in cases specified in public procurement procedures.
- Submit proposals and documents that meet the requirements of public procurement documentation, the accuracy of the information they provide being their responsibility.
- Provide approved finance elements as appropriate and initiate any activities necessary to support their bid.
- If selected as a winner, conclude an agreement with the state customer.

## ***6.2 Procurement Processes for Component 1a***

### **a. Regional Procurement Commission**

The Procurement Commission is a permanent body, under the regional Khokimiyat, established by decision of the Khokim. The Procurement Commission consists of an odd number of members. The composition and number of its membership depend on the type of procurement procedure and may vary according to the characteristics of the purchased product (work, service).

The main task of the Procurement Commission is to objectively evaluate and organize the proposals of the participants, according to the degree of compliance with the order, and to select the winner(s) in a public procurement competition. The work of the Procurement Commission is led by the chair, who presides over meetings of the commission, announces commission decisions, and signs the minutes of the meetings (the “protocol”) of the Procurement Commission. In the absence of the chair of the Procurement Commission, his or her functions are performed by the deputy. Each member of the Procurement Commission may vote “for” or “against” or abstain, but the chair of the Procurement Commission may not abstain from voting. Meetings of the Procurement Commission may take place in person or in absentia (by means of a survey, without joint presence). In-person meetings can take the form of video conferences and etc.

Commission decisions on individual public procurements worth less than 5,000 basic calculated values (BCV) on the date of the meeting (1 BCV = 223,000 Uzbek sum or 23 US dollars as of January 2020) can be made in absentia, while procurements worth more than 5,000 BCV can only be decided at an in-person meeting of the Purchasing Commission. When conducting public procurements worth more than 5,000 BCV, the Procurement Commission, in addition to representatives of the state customer, shall include representatives of the Ministry of Investments and Foreign Trade and UzEngineering, the national design institute under the Cabinet of Ministers of the Republic of Uzbekistan. During RIDP-related procurement, qishloq representatives outside the MCA executive committee will participate in the Procurement Commission’s meetings in both design and construction stages.

### **b. Procurement Announcement**

SCS will place the announcement of an upcoming procurement on a special information portal at least 30 days before the deadline for accepting proposals from bidders. The announcement should contain the following information:

- a detailed description and price of goods (work, services)

- the address of the contest venue
- the name, position, and address of one or more officials or other employees of the state customer identified as contact persons for communication with participants
- request form for clarification of the provisions of the contest documentation
- date and time of the deadline for submission of proposals
- requirements to prepare contest documents

The results of bids conducted for Subcomponent 1a at the regional level should also be posted on the information board in each community, including the name of each supplier who bid on the project and how much they bid; a description and cost estimate for each proposal; the names of bidders whose proposals were declined, with the reasons for rejection; the name of the winning bidder and how much they bid; and the duration and scope of the awarded contract.

### c. Procurement Methods

The following table highlights key differences among national procurement methods.

	<b>E-shop</b>	<b>Auction</b>	<b>Contest</b>	<b>Tender</b>
<b>Specifics</b>	No specific requirements, <i>online</i>	Bidder offering the lowest price, <i>online</i>	One stage	Two stages
<b>Amount for Goods</b>	< 250 BCV ( <i>under USD 5,900</i> )	< 5,000 BCV ( <i>under USD 120,000</i> )	5,000–25,000 BCV ( <i>USD 120,000–600,000</i> )	Above 25,000 BCV ( <i>Above USD 600,000</i> )
<b>Amount for Work, Services</b>	< 25 BCV ( <i>USD 590</i> )	No works/services are allowed	25–25,000 BCV ( <i>USD 590–600,000</i> )	Above 25,000 BCV ( <i>Above USD 600,000</i> )
<b>Procurement Commission</b>			5–7 people	7 people
<b>Announcement</b>			10–30 days before the deadline	30–45 days before the deadline
<b>Evaluation</b>			Up to 10 days after the deadline	Up to 60 days after the deadline

### d. Public Control Over Procurement

The purpose of public control over procurement is to promote the development and improvement of public procurement, to prevent and detect violations of the requirements of the legislation on public procurement, and to inform state customers and authorized state bodies of violations that are identified. Public control of procurement procedures follows principles of openness and transparency.

Citizens of the Republic of Uzbekistan, self-governing bodies of citizens, nongovernmental nonprofit organizations, and the media can contribute to public control over compliance with the legislation on public procurement. They can:

- prepare proposals for improving public procurement legislation;
- send requests to state customers for information on the implementation of procurement procedures and the progress of the execution of contracts; and

- carry out independent monitoring of procurement procedures and evaluate the effectiveness of public procurement, including assessing their compliance with the requirements of this law.

During RIDP implementation, village representatives will be trained to sit on the Procurement Commission to monitor compliance during the design and construction stages with what was proposed and adopted in the tendering process. Key roles and tasks of village monitors are described in the Community mobilization Manual.

Public control over procurement is based on Law of the Republic of Uzbekistan No ZRU-472, 04/09/2018, "On Public Procurement," article 8: The main principles of public control are transparency and openness principle. Transparency and openness of the public procurement shall be ensured by posting the information about public procurement on a special information portal with the provision of full, timely, free access at no charge, established under legislation, to the authorized state bodies and public procurement parties and general public, with the exception of the cases stipulated by legislation, creating and maintaining documented evidences and reports on public procurement procedures.

#### **e. Procurement-Related Complaints**

Procedures for procurement-related complaints follow the Law of the Republic of Uzbekistan No 472, dated April 9, 2018, "On Public Procurement," chapter 11:

To ensure fair, prompt, and efficient review of complaints, the operator of the special information portal shall establish a permanent Public Procurement Grievance Redress Commission. The Cabinet of Ministers of the Republic of Uzbekistan, in agreement with the authorized agency, shall approve the composition of this commission.

Any bidder, as well as persons exercising control, shall have the right to appeal to the court or, according to the procedure established by this chapter, to the Public Procurement Grievance Redress Commission against actions (inaction) of the State Customer, Authorized Agency, Procurement Commission, its members, Operator of the Special Information Portal, if such actions (inaction) violate the rights and legitimate interests of the bidder.

Public Procurement Grievance Redress Commission shall notify the State Customer of the complaint within three business days from the date of its receipt, and suspend the procurement procedure for the total period of up to ten days. The Public Procurement Grievance Redress Commission shall review the complaint with participation of the State Customer and bidder. The Public Procurement Grievance Redress Commission shall take its decision within seven business days from the receipt of the complaint, and shall post it on the Special Information Portal. The decision shall not contain any information, disclosure of which may prejudice legitimate commercial interests of the bidder (Contractor) or hinder fair competition, unless the Public Procurement Grievance Redress Commission decided to disclose such information.

In case the complaint is found reasonable, the Public Procurement Grievance Redress Commission shall take the following actions:

- Veto the illegitimate actions, decisions, or performance of illegitimate procedures by the State Customer;
- Fully or partially cancel the illegitimate decision of the State Customer, including cases when such a decision violates terms and conditions of the bidding documentation;
- Make a decision on termination of the procurement procedures;
- Include the contractor in the Blacklist.

The decisions of the Public Procurement Grievance Redress Commission shall be binding upon [sic] for all public procurement parties. Contractor may appeal the decision of the Public Procurement Grievance Redress Commission in the court

#### **f. Contract Administration and Modifications**

The SCS is the agency responsible for administering contracts under Subcomponent 1a. The SCS and the PIU, as the financing party, will together manage the contract and supervise the implementation of works in accordance with the contract terms. All payments under the contract should be made against actual results. A cost-of-materials payment, for example, should be made only after 100 percent of the materials in question have been received and found compliant with technical specifications; a consulting-services payment should be made only after reports specified in the contract have been received; a payment for works completed should be made only after confirmation in the form of a Statement of Accomplished Works by authorized persons.

If any ongoing contract requires modifications or amendments, the SCS introduces such modifications based on valid justifications and with prior approval of the PIU.

#### **g. Storage of Procurement Documentation**

Procurement must be clearly documented throughout each step of the process, and documents must be filed for audit purposes.

For all PIU-managed procurement, the PIU must maintain an adequate filing system for each individual procurement action. This includes all relevant procurement documents, such as bidding documents, bids, bid evaluation reports, and correspondence related to bids and contracts.

For all procurement conducted for Component 1a subprojects, the regional Khokimiyat, should maintain an adequate filing system for each community and individual procurement action. This includes all relevant procurement documents, such as bidding documents, bids, bid evaluation reports, and correspondence related to bids and contracts.

#### **h. Adjustments to PPL Procedures Required for the Project**

The procurement risk assessment conducted as part of the PPSD sets forth the following additional requirements to be carried out by the SCS to ensure transparency and best value for money:

- open announcement at the national level without any restriction to bidders from other regions to participate in bidding;
- the procurement is open to eligible firms from any country;
- the standard Bidding Documents agreed with the Bank shall be applied for procurement of Goods, Works and Selection of Consultants;
- the request for bids/request for proposals document shall require that Bidders/Proposers submitting Bids/Proposals present a signed acceptance at the time of bidding, to be incorporated in any resulting contracts, confirming application of, and compliance with, the Bank's Anti-Corruption Guidelines, including without limitation the Bank's right to sanction and the Bank's inspection and audit rights;
- trained village residents should sit in tendering commission;
- no contract price negotiations/reduction is allowed after the contract award by the Evaluation Committee;
- contracts shall include an appropriate allocation of responsibilities, risks, and liabilities;
- publication of contract award information is mandatory;

- rights for the Bank to review procurement documentation and activities is secured;
- an effective complaints mechanism is applied;
- Strict Procurement records and documents keeping by the PIU and SCS shall be made mandatory.

**i. RIDP-Related Responsibilities of the SCS**

Steps	Activity
<b>Planning and Design</b>	
1.	When subprojects are identified and confirmed by Khokimiyats, the PIU, and other involved stakeholders, the SCS will coordinate with the PIU procurement specialist to develop the Procurement Plan (an annual or a six-month plan, depending on the readiness of the QDPs) for WB no-objection.
2.	SCS staff will visit the qishloq to prepare the tender/predesign/cost-estimation documents for the subproject design contracts
3.	The SCS will conduct transparent tenders as specified by national procurement legislation and additional requirements mentioned above.
4.	The SCS will contract with the winner of the tender (the design firm) and arrange for the PIU to make advance payment as contracted.
5.	The selected design firm, under the guidance of the SCS, will prepare technical surveys and develop the construction design documents.
6.	The design firm and a representative from the SCS will present initial subproject designs for feedback from the MDU and the community. The design firm will accept suggestions from residents when technically feasible
7.	When the relevant state entities have verified the design and village residents have approved it, the design firm and a representative from the SCS will obtain an MDU signature approving the final design. TS and QEs of PIU assistance is mandatory.
8.	The SCS guarantees the expertise of project design documentation for the analysis of compliance of the planned construction with technical, fire-fighting, environmental, sanitary and economic standards, which are defined by legal acts of the Republic of Uzbekistan
<b>Preparation of the Construction Site</b>	
9.	In cases of new construction, the SCS will facilitate the necessary land allocation. ESMF and RPF provisions should be taken into account to avoid permanent displacement of people.
10.	The SCS will obtain permits specified by national construction norms to start construction.
<b>Contractor Selection, Construction, and Financing</b>	
11.	The SCS will begin development in coordination with relevant authorities, and approve tender documentation for the procurement of construction or rehabilitation works;
12.	The SCS will organize and conduct a tender process for the selection of contractors for the construction/reconstruction works as specified by national procurement legislation and additional requirements mentioned above;
13.	The SCS will help contractors obtain permits or approvals necessary for subproject implementation from Khokimiyats, Architectural departments, Territorial Inspection for control in the field of construction (TICC) and other relevant agencies
14.	The SCS provides contract management, technical support, and supervision of the construction project during the construction period in collaboration with RIDP Technical Supervisors and Qishloq Engineers, PIU regional staff, and MDU residents involved in monitoring
15.	During implementation period of construction works MDU will conducts independent regular monitoring. And the main of monitoring tasks by TS, QEs, SCS are: quality control of works performed by the contractor, quality control of materials and structures used, control of delays behind the schedule, and detection of violations
16.	During the construction process in accordance with the strict requirements of regulatory acts in construction, the design firm will carry out regular author's supervision of the

	construction works performed in accordance with the technical project. The PIU engineers, TICC and SCS will monitor compliance with this requirement
17.	The SCS will ensure that the PIU makes advance payments and provides regular payments as contracted
18.	Should any contractor violate construction norms or their contractual obligations, the SCS will take the appropriate measures under national legislation
19.	The SCS will report regularly to the PIU on the progress of works, as per Cooperation Agreement to be concluded between the MoED and Khokimiyat.
<b>Acceptance of the Completed Construction Projects</b>	
20.	<p>The SCS and contractors are responsible for providing timely and well-organized handover documentation. The handover process will be verified and certified as follows:</p> <ul style="list-style-type: none"> <li>• The design firm will provide a certificate showing that the construction complies with the design.</li> <li>• The SCS will set up a working commission comprising representatives of contractors, the design firm, and relevant local authorities assigned by the district or regional Khokim. The MCA/MDU representative can join the working commission to verify that the subproject has met community expectations.</li> <li>• After certification by the working commission, the SCS will provide the documentation required under SNK 3.01.04-04 to the district or regional office of the State Acceptance Commission to hand over the subproject. The State Acceptance Commission will issue a decision on the relevant agency to receive the handover of the subproject for ongoing operation and maintenance.</li> </ul>
21.	Commissioning of the facility and official handover is considered completed after the contractor has eliminated all the specified deficiencies, defects and claims, as well as the transfer of Executive technical and project documentation (ITD), including specifications and passports for construction materials and equipment, signed acts of acceptance of the completed works and etc.
22.	Final payment of 5 percent of the contract price to the Contractors after completion of defects and liability period.
23.	The SCS will develop a final report on project completion and submit to PIU (including hard copies of all required documents on PDF format).

### **6.3 Procurement Processes for Components 1b and 2**

#### **a. Procurement Planning**

A Procurement Plan developed for implementation of the Project *will be updated periodically, at least once a year*, and each update will be subject to prior review by the World Bank. The initial PP and all subsequent updates will be disclosed on the public website of the World Bank in accordance with the requirements of the World Bank Guidelines, as well as on the official website of the PIU. The PP is to be implemented as approved by the World Bank.

#### **b. Procurement Announcements**

For procurement of goods, works, and services for RIDP Components 1b and 2, the PIU will publish procurement announcements in the mass media and on the official website of the Ministry of Economic development, at <http://mineconomy.uz/en> and <https://dxarid.uzex.uz/> The results of all announced bids will be published on the MIS that is set up to track RIDP implementation in real time and provide transparency for all project-related activities.

All bid announcements except those conducted on the regional level as per Subcomponent 1a, specifically a Request for Expression of Interest (REOI) and other procurement documents, will be available through the Systematic Tracking of Exchanges in Procurement (STEP), the WB's internal procurement system, UNDP | Procurement Notices, in order to attract interested national and international bidders.

### **c. Project Procurement/Tender Commission**

The Procurement Commission evaluates bids and awards contracts.

For procurement estimated higher than USD 100,000 equivalent, following Presidential Resolution No 3857 from 16.07.2018, the MoED will establish a Procurement Commission, chaired by the minister of economy and industry, that will be a permanent body for conducting RIDP-related procurement. The Procurement Commission will have seven members:

- the chair, from the Ministry of Economic development
- a representative of the Ministry of Investments and Foreign Trade
- a representative of the UzEngineering design institute under the Cabinet of Ministers
- a representative of the PIU
- a representative of the Ministry of Finance
- a representative of the Antimonopoly Committee
- a representative of the Ministry of Construction (if construction works will be procured)

The jurisdiction of the Procurement Commission will extend to all RIDP components except Subcomponent 1a, for which a Procurement Commission under the regional Khokimiyat, will review documents, evaluate bids, and award contracts.

The Procurement/Tender Commission will:

- approve all procurement documentation, including the text of announcements or invitations to participate in procurement procedures, which shall occur within a period *not to exceed five working days*;
- set requirements for applications (proposals), in accordance with the WB procurement guidelines;
- approve the results of the PIU's preliminary qualification selection process, if one is provided for by the procurement documentation, bids' and proposals' evaluation reports prepared by the Evaluation Commission at PIU as a result of competitive bidding or selection;
- decide whether to extend the deadline for submission of applications(proposals),

### **d. Bid Opening**

This section discusses procedures for conducting public openings of tenders and proposals.

A quorum of the Procurement Commission is not required to open applications (proposals), but the presence of at least three representatives from the MoED is mandatory. The commission opens all bids that have been received on time, and prepares and signs a tender register for each tender call. The chair should then announce the official name of the project for which tenders are being opened.

To be fair to all bidders, the process must be timely and conducted in a professional manner. Bids must be opened immediately after the closing date. If this process is not followed, it may undermine the perceived integrity of the bidding process. A late opening is not acceptable. An official clock should be designated for tender deadline and starting bids opening accordingly.

At the time indicated in the announcement as the deadline for submission of bids/proposals, the proposal's opening commission (could be established by the procurement commission) opens the envelopes with the submitted proposals. The representative of bidder/participant has the right to be present at the procedure for opening envelopes.

## e. Bid Evaluation

### Bid Evaluation Committee

The Bid Evaluation Committee reviews and evaluates bids and decides how contracts will be awarded and submits for Tender Commission endorsement duly.

### The PIU Executive Director

Bid Evaluation Committees are established by the PIU executive director for small procurement (less than \$100,000 equivalent) and by Tender Committee for larger procurement. A separate Bid Evaluation Committee is set up for any specific procurement by order of the PIU executive director. Notification of contract awards is made on behalf of the PIU executive director. Contracts are signed by the PIU executive director or to whom these authorities are delegated. The Bid Evaluation Committee should include Project staff members and specialists with competence related to the goods, works, and consulting services to be procured.

### Procurement Review by IDA under components 1b and 2

*Prior Review.* The following contracts procured by the PIU are subject to prior review by the IDA:

Expenditure Category	Contract Value (USD)	Procurement Method	Bank Prior Review
Civil works	≥ 5,000,000	RFB	All contracts
	< 5,000,000	RFB	First contract
	< 100,000	RFQ	First contract
	NA	DC	All DC contracts
Goods	≥ 1,000,000	RFB	All RFB contracts
	< 1,000,000	RFB	First contract
	< 100,000	RFQ	First contract
	NA	DC	All DC contracts
Consultant services	NA	QCBS, QBS, FBS, LCS	All contracts ≥ USD 500,000 for firms. All contracts ≥ USD 200,000 for individuals.
	NA	SSS	
	NA	IC	All SSS contracts > USD 10,000.
Notes: RFB – request for bids RFQ – request for quotations DC – direct contracting QCBS – quality- and cost-based selection QBS – quality-based selection FBS – fixed-budget selection LCS – least-cost selection SSS – single-source (or sole-source) selection IC – individual consultant selection procedure NA – not applicable			

*Post Review.* All contracts below the prior review requirements are subject to the IDA's post review. The IDA conducts periodic post reviews during regular supervision missions or ad hoc procurement

audits. Procurement documents such as advertisements, bidding documents, bids, bid evaluation reports, contracts and correspondence related to bids and contracts should be kept readily available for IDA random review during supervision missions or at any other time.

**f. Contract Award**

A Contract Award Notice is a public announcement of the outcome of a public procurement process. It is mandatory for all procurement activities under the project. The notice must be published in accordance with WB guidelines. Local Agencies may also release information on contract awards to the local press or other media.

**g. Procurement-Related Complaints**

The same as in procurement processes for Component 1a.

## VII. ENVIRONMENTAL AND SOCIAL SAFEGUARDS

### 7.1 Introduction

The RIDP will support a large variety of demand-driven investments in basic infrastructure and services. The Project's socio-economic impacts will be mainly positive and related to improving the quality and standard of living of the Project qishloqs' rural population. However, the implementation of Project -financed civil works could result in various adverse environmental and social impacts including: (i) increased environmental pollution with waste, noise, dust, exhaust gases from fuel combustion products; (ii) health and safety hazards and other problems resulting from construction activities; (iii) increased contamination of groundwater and surface water as a result of inadequate avoidance and mitigation measures; (iv) soil degradation and pollution; and (v) threats to human health as a result of improper handling of heavy machinery during construction activities. The social impacts relate to the possible acquisition of 'lands' for certain Project-financed activities.

*Triggered WB Operational Policies (OPs).* The proposed Project triggers WB OP 4.01 on *Environmental Assessment*, as it will generate a series of negative environmental and social impacts (see above). The OP 4.12 on *Involuntary Resettlement* is triggered due to the potential need to acquire small plots of land (temporarily or permanently), and to restrict access and economic resettlement in connection with activities under Component 1. OP 7.50 on *International Waterways* is triggered since the Project might finance subprojects for the rehabilitation of rural water supply and sanitation systems. Investments will be made within the original boundaries and design parameters of the existing community-level irrigation and water supply and sanitation schemes or with minor additions that do not substantially exceed the original scheme planning estimates for water consumption or current actual rates, and therefore no new water abstraction will be supported. The Project will not adversely change the quality or quantity of water flows; nor will it be adversely affected by the other riparian's possible water use. An exception to the external notification requirements of this OP for the Project has been approved by the Regional Vice President for Europe and Central Asia on August 30, 2019.

*Project category and Environmental Assessment instruments applicable to the project.* In accordance with the Bank's safeguard policies and procedures, the project is classified as **Category B**, for which an Environmental Assessment with an ESMP is required. Local communities will gradually identify the subprojects over time during implementation. Hence, the Project adopts a framework approach; the corresponding instruments are an Environmental and Social Management Framework (ESMF—Annex 1) and Resettlement Policy Framework (RPF—Annex 2).

The ESMF specifies rules and procedures for the subprojects' ESIA. None of the Project activities or subprojects that will receive financing will cause significant environmental impacts that would fall under Category A; thus, no subprojects will be supported by the Project that would require a full ESIA. However, most of the subprojects might cause some adverse environmental impacts and would fall under Category B projects, and for which the Bank requires a simple and/or partial ESIA and/or preparing an ESMP.

**Resettlement Policy Framework.** The Project may involve permanent and/or temporary land acquisition affecting agricultural and urban lands, for example, in relation to the reconstruction/rehabilitation of water distribution centers, water reservoirs, waste collection points, solid waste processing facilities, or water supply pipelines. Temporary land acquisition could be needed for the reconstruction and extension of water pipelines, widening of roads, and electricity supply facilities. Land for these purposes could be taken from agricultural and urban lands, which will affect farmers, households, or businesses. Social Impact Assessments, following the environmental and social screening and ESMP, will be undertaken for each subproject to determine

the magnitude of economic displacement and prospective losses, identify vulnerable groups for targeting, ascertain the costs of resettlement, and prepare a RAP for implementation. The exact subprojects that the Project will finance cannot be determine *ex ante*. While the broad category of activities/ impacts is foreseen, the exact magnitudes of the social impacts of each subproject will only be known once their detailed designs are completed. Hence, during Project preparation, the PIU has developed an RPF. The key objective of the RPF is to provide a framework to appropriately identify, address, and mitigate adverse socioeconomic impacts that may occur due to the implementation of subprojects that involve the involuntary acquisition of land and the subsequent resettlement of affected families.

Involuntary acquisitions leading to the demolition of structures and physical displacements have occurred in GoU infrastructure development programs. A number of grievances have surfaced in recent times as ordinary Uzbeks have been impacted adversely. Citizens have raised concerns to local authorities, which have not followed due processes or provided resettlement and rehabilitation assistance adequately and appropriately or in a reasonable time frame. These adverse impacts are unlikely to occur as a result of the investments that the proposed Project will finance. Activities involving permanent physical displacement are not eligible for RIDP funding. The due processes will be defined and agreed upfront. The PIU will put into place robust monitoring, oversight, and GRMs to ensure full compliance with the ESMF and RPF.

*Scope of the ESMF/RPF.* The ESMF that will guide the ESIA process covers the following: rules, procedures, and implementation arrangements for environmental and social screening of subprojects to be supported under the demand-driven investments in basic infrastructure and services under Component 1a; guidance for conducting subprojects' ESIA's and/or preparing simple ESMPs, as well as the related ESMP checklists; mitigation measures for the possible impacts of different proposed activities and types of subprojects to be supported by the Project; the main ESIA requirements to produce qishloq development plans that identify subprojects to be financed through the Project, to be carried out under Components 1b and 2; and requirements for monitoring and supervising implementation of ESIA/ESMPs. The ESMF provides an overview of the capacity of the PIU and local institutions involved in environmental and social risk management (regional and district Khokimiyats, MCAs and MDUs). Based on this review, the ESMF specifies capacity-building activities that target these stakeholders as well as participating local institutions (FPs, SCS, MDUs) on mitigating potential environmental and social risks and conducting subproject-level ESIA's. Special attention will be paid to developing the capacity of regional (oblast) Khokimiyats' ESIA capacities. Lastly, the ESMF document provides a negative list that will include infrastructure investments with irreversible large-scale social or environmental impacts (Category A subprojects), and those that require permanent physical relocation or displacement, which will be not supported by the Project. Subprojects located in protected areas, critical habitats, or culturally or socially sensitive areas, and those that might impact international waterways, will also be included in this negative list. The Project has developed a GRM to address stakeholder grievances.

## **7.2 Environmental Safeguards**

The purpose of an environmental assessment is to evaluate potential positive or negative impacts of any proposed activity; to specify measures to prevent or minimize the potential negative impacts that could damage the human or natural environment; and to provide the basis for the supervision of these measures during activity implementation. It is expected that the anticipated environmental impacts of the activities to be implemented under the RIDP are not significant or irreversible and can be prevented or reduced through appropriate mitigation measures.

Under Uzbekistan law, all RIDP subprojects are subject to review by the Oblast Department for State Ecological Expertise of the Committee on Environmental Protection. The PIU and SCS will be responsible for ensuring compliance with the environmental legislation of Uzbekistan. The key

elements involved in the Environmental Assessment process and documentation in the RIDP are listed below and described in detail.

The summary of the steps and activities to be undertaken to conduct the ESIA for subprojects is presented below in Table 7.1.

**Table 7.1. ESIA Process for Component 1a: Demand-driven investments in basic infrastructure and services**

Step 1	<ul style="list-style-type: none"> <li>a) RIDP Facilitators (QEs) conduct screening of the subproject with regard to prohibited/excluded activities;</li> <li>b) If the subproject passes the screening for the list of prohibited/excluded activities, RIDP Facilitators assist MDUs to complete <i>Section 1</i> of the Environmental Screening table;</li> <li>c) Based on the Environmental Checklist, the environmental category and the type of EA to be conducted is recommended– (either a partial ESIA or an ESMP);</li> <li>d) The results of the screening, including potential negative impacts and possible measures to mitigate impacts, are presented to community members as part of the feasibility analysis of subproject investment options (Step 8.1 of the RIDP implementation cycle).</li> </ul>
Step 2	<ul style="list-style-type: none"> <li>a) For subprojects selected for financing, RIDP Facilitators assist the MDU to submit the Environmental Screening table and Environmental Checklist to the PIU regional ESSS and SCS.</li> <li>b) The PIU regional ESSS reviews the documentation to confirm the category for the subproject. For <i>Category B and Category C subprojects</i>, the PIU regional ESSS notes potential environmental risks and indicates how they will be prevented/mitigated, the scope of the ESIA required, and the safeguards instruments required in the Environmental Screening Table.</li> <li>c) The PIU regional ESSS provides this information to the SCS to include the ESIA-related activities and safeguards instruments required in the ToR for the subproject design services.</li> </ul> <p><i>Note: In the case of Category B small- scale construction and reconstruction activities the requirement is to apply the WB ESMP Checklist to address potential environmental impacts.</i></p>
Step 3	<ul style="list-style-type: none"> <li>a) The design consultant prepares the ESIA and ESMP or ESMP Checklist as per the ToR.</li> <li>b) PIU regional ESSS, RIDP Facilitators assist MDUs to organize the disclosure of the draft partial ESIA or ESMP Checklist and hold a public consultation, involving CSOs, community representatives, and affected groups. Formal minutes will be prepared to record inputs provided by the participants.</li> <li>c) The design consultant updates the partial ESIA, ESMP or ESMP Checklist based on community consultations and submits to the SCS and PIU regional ESSS for review.</li> </ul>
Step 4	<ul style="list-style-type: none"> <li>a) The PIU regional ESSS reviews the ESIA and ESMP or ESMP Checklist prepared by the design consultant verifying that necessary permissions and approvals have been obtained.</li> <li>b) The PIU regional ESSS provides clearances for low-risk Category B and C subprojects that require the ESMP Checklist. High-risk Category B subprojects are submitted to the PIU Environmental Safeguards Specialist for clearance.</li> </ul> <p><i>Note: The WB will carry out prior review of the ESIA/ESMPs from the first three subprojects (each from a different sector) from in each participating region. After that, WB prior review is only required for subprojects categorized as full Category B and require a partial ESIA and ESMP.</i></p>
Step 5	<ul style="list-style-type: none"> <li>a) Upon PIU (or WB) clearance of the ESA documents, the SCS proceeds with tendering the subproject rehabilitation or construction works. All subproject bidding documents shall include as a requirement implementation of the ESMP/ESMP checklist, and the documents shall be attached to the bidding documents and then to the rehabilitation/construction contracts.</li> </ul> <p><i>Note: For subprojects requiring a RAP, no construction activities shall commence until the RAP is prepared, no objected to by the WB, and compensations are paid in full.</i></p>

Step 6	The PIU regional ESSS, RIDP Facilitators, and MDU members conduct period supervision, monitoring and reporting, as per agreed monitoring plan. In the event that case of on-site ESS risks are revealed, contractors will be required to prepare a site-specific ESMP.
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### 7.3 Social Safeguards

The Resettlement Policy Framework (RPF) agreed upon between the Government of the Republic of Uzbekistan and the World Bank defines the land acquisition and resettlement principles together with organizational arrangements required to carry these out under the RIDP. The zone of impact of subprojects cannot be determined in advance because the site locations and subproject designs will be finalized during implementation. There could be three types of civil works associated with construction under the Project: (i) extension / rehabilitation of existing buildings; (ii) construction of new buildings/facilities for communities; (iii) construction of new buildings/poles/ facilities on land to be obtained from private parties. These interventions may cause one or more of the following situations; i) acquisition of private land which the person may lose his/her house/business); ii) temporary physical or economic displacement (loses) due to relocation of the house/properties or loss of income sources; iii) restriction to access to livelihood resources (forest, farm land) and or to public places. The RPF outlines the mitigation and compensation measures for land acquisition and resettlement impacts and was developed in accordance with Operational Policy (OP) 4.12 and legislation of the Government of Uzbekistan and cleared by the World Bank.

Social Safeguards mitigation measures relate to potential land acquisitions and resettlement impacts under the project. Mitigation measures require actions to avoid causing inconveniences to residents, disrupting livelihood and restricting access to public utilities/institutions during construction/rehabilitation period of any subprojects. The RPF lays out the requirements that must be addressed during implementation, including:

- Avoid and or minimize private land acquisitions;
- Avoid resettlement of houses, businesses and agriculture holdings and production sites;
- Assess the potential economic and social impacts of expropriation/resettlement
- Identify categories of affected persons and their respective entitlements
- Inform affected persons about their rights under expropriation and their rights and access to grievance mechanisms
- If temporary relocation is involved, consult with affected persons on their options and engage them in the planning process, paying particular attention to the needs of vulnerable persons
- Compensate for lost assets at full replacement cost
- Compensate for indirect impacts and damages, including relocation expenses and support during temporary location
- Compensate informal land users for lost assets and provide assistance in relocating, if needed
- Compensate all those with entitlements and obtain legal access to expropriated land before starting construction
- Conduct public consultations in advance of interventions and ensure participation of affected people
- Establish a functioning grievance redress mechanism (GRM) allowing affected parties to lodge complaints/grievances related to the project

#### **7.4 Safeguards Tasks During Planning and Preparation**

**Environmental and Social Assessment.** The PIU and SCS will be responsible for preparation of all environmental and social safeguards instruments and other relevant documentation for Component 1a subprojects. The PIU has developed an Environmental and Social Management Framework (Annex 1) that describes anticipated environmental and social hazards and risks associated with the project and a process of the overall project and site-specific environmental and social screening and assessment, as well as the regulatory requirements of the Republic of Uzbekistan and institutional implementation arrangements for the project.

It is expected that specific investment activities will have moderate environmental impacts that are limited in duration and coverage and can be easily mitigated through standard methods and procedures of good housekeeping, good engineering practice and would correspond to the level of hazards and risks pertinent to the safeguards Category B. No Category A activities will be financed under the project. In compliance with the Project ESMF, the PIU and SCS will be responsible for conducting a site-specific environmental assessment and manifest it in the site-specific Environmental and Social Management Plans (ESMP) or its concise version called ESMP Checklist along with appropriate site-specific mitigation measures.

During the planning and preparation phase, three major actions are expected to be carried out by the PIU and SCS: 1) Environment and Social Screening of selected subprojects; 2) Public consultations with stakeholders; and 3) Preparation of safeguards documents.

##### **a. Environment and Social Screening**

RIDP Facilitators will work with MDUs to carry out the environmental and social screening of selected subprojects in each village to determine the appropriate extent and type of Environmental Assessment. This will make it possible to identify the type and scale of potential environment impacts and determine to which environmental category the subproject should be attributed.

Generally, the significance of impacts and the resulting EA categorization will depend on the *type* and *scale* of the subproject, its *location*, *sensitivity* of environmental issues, and the *nature* and *magnitude* of potential impacts.

**Type and scale of projects.** Projects that are considered to have “significant” impacts and would be classified as Category A projects would entail the following impacts (a) significantly impact on human populations, including settlements and local communities (b) alteration of environmentally important areas, including wetlands, native forests, grasslands, and other “critical” natural habitats and ecosystem services; (c) direct pollutant discharges that are large enough to cause degradation of air, water or soil, endangered species and “critical” habitats; (d) largescale physical disturbances of the site and/or surroundings; (e) extraction, consumption or conversion of substantial amounts of forest and other important natural habitats, including above and below ground and water-based ecosystems; (f) measurable modification of hydrologic cycle; (g) hazardous materials in more than incidental quantities; and (h) involuntary displacement of people and other significant social disturbances. For the RIDP, Category A projects with such impacts are not eligible for subproject support.

**Location.** There are a number of locations which should be considered while deciding to qualify the project as Category “A”: (a) in or near sensitive and valuable ecosystems and “critical” habitats — juniper forests, wetlands, wild lands, vulnerable soils, and particular habitats of endangered rare and endemic species; (b) in or near areas with archaeological and/or historical sites or existing cultural and social institutions; (c) in densely populated areas, where resettlement may be required or potential pollution impact and other disturbances may significantly affect communities; (d) in regions subject to heavy development activities or where there are conflicts regarding the allocation of natural resources;

along watercourses, in aquifer recharge areas or in reservoir catchments used for potable water supply; and on lands or waters containing valuable resources (such as fisheries, minerals, medicinal plants, prime agricultural soils). Subprojects located in the proximity of such areas will be classified as Category A projects and will not be considered for support by the RIDP.

**Sensitivity.** Sensitive issues may include (but are not limited to): conversion of wetlands, potential adverse effects on endangered species and habitats as well as protected areas or sites, involuntary resettlement, impacts on international waterways and other transboundary issues, and toxic waste disposal.

**Magnitude.** There are a number of ways in which magnitude can be measured, such as the absolute amount of a resource or ecosystem affected, the amount affected relative to the existing stock of the resource or ecosystem, the intensity of the impact and its timing and duration. In addition, the probability of occurrence for a specific impact and the cumulative impact of the proposed action and other planned or ongoing actions may need to be considered. Taking into account the scale of the proposed subprojects, it is expected that the magnitude of their environmental impacts will be low. Therefore, they will be classified as Category B or C subprojects that are eligible for RIDP support.

The initial screening for the eligibility of the subproject will be based on the list of excluded activities (see page 19 of the POM and Annex 7 of the ESMF) that will not be permitted by the WB. Therefore, subproject proposals that include these activities will not be considered for financing.

Once it is confirmed that the subproject is not part of the list of prohibited activities, a rapid assessment will be conducted of the likely environmental and social impact and the potential for involuntary resettlement that will be based on the requirements of national legislation and WB policies, completing the screening form presented in the *Annex 13 of the ESMF*. Subproject activities will be checked against WB criteria for Category A projects. The Screening Checklist on Social Issues should be also filled out for this purpose (see p. 112 of the ESMF).

Table 7.2 provides guidance on the various types of activities that could be proposed as RIDP subprojects, as well as the different environmental categories and suggested EA instruments for each of them.

**Table 7.2. Screening of Categories for Proposed Types of Subprojects**

No	Project activity	Proposed Category		Remarks	Proposed EA instrument	Requirements of national legislation
		WB	National			
1	Street lighting upgrading: Repairing of existing pillars Installing new pillars where needed; Replacements of bulbs;	B with minor risk	Not included the list for EA (-)		No further actions after filling the Environmental Screening Checklist. Including Occupational Health and Safety (OHS) requirements in the contracts	-
2	Parks, playgrounds, and other public spaces improvements	B with minor risk	(-)	Involving only minor civil works	No further actions after filling the Environmental Screening Checklist	-

No	Project activity	Proposed Category		Remarks	Proposed EA instrument	Requirements of national legislation
		WB	National			
3	Intra city transport: Construction/rehabilitation of bus terminals and stops;	B (minor risk)	<sup>45</sup> category, (para 17)		ESMP Checklist	Draft Statement on Environmental Impacts (DSEI)
	Construction of car parking areas;	B (minor risk)	4 (p7)		ESMP Checklist	DSEI
	Installing street lights and road signs	C	-		No further actions after filling the Environmental Screening Checklist. Including Occupational Health and Safety OHS) requirements in the contracts	-
4	Roads rehabilitation,				ESMP Checklist for roads rehabilitation	-
	Widening of existing roads (within the ROW);				ESMP Checklist for roads rehabilitation	-
	Road resurfacing	B (minor risk)	-		Following good practice	-
	Construction of bicycle trial;	B (minor risk)	-		No further actions after filling the Environmental Screening Checklist	-
	Rehabilitation of walkways	C	-		No further actions after filling the Environmental Screening Checklist	-
		C	-			
5.	Bridge rehabilitation	B (minor risk)	3 (p1)		ESMP Checklist	DSEI and SEC
	Construction small scale new bridges, including pedestrian ones	B (minor risk)	-		ESMP Checklist	-
5	Drainage extension;	B (minor risk)	4 (p17)		ESMP Checklist	DSEI
	Widening of existing drains;	B (minor risk)	4 (p3)		ESMP Checklist	DSEI
	Rehabilitation of existing		4 (p27)		No further actions after	DSEI

<sup>5</sup> Attachment to Decree of Cabinet Ministries (DCM) # 491 (2001) (with amendments # 152 (2005) on "Regulation on Environmental Expertise" (2001)

No	Project activity	Proposed Category		Remarks	Proposed EA instrument	Requirements of national legislation
		WB	National			
	drains;  Drilling of new shallow wells/rehabilitation of existing for flood control and reduction with installation of pumps	C  C	  4 (p27)		filling the Environmental Screening Checklist and following good civil works practices  No further actions after filling the Environmental Screening Checklist and following good practices	DSEI
6	Extension and rehabilitation of water supply networks  Drilling of new deep-water wells  Construction/rehabilitation of water reservoirs Overhead water tanks  Construction or rehabilitation of pumping stations	  B  B (minor risk)  B (minor risk)  B (minor risk)	  4 (p27)  4 (p27)  4 (p3)  4 (p3)	In the case of construction of new main water supply pipes	Depending on environmental sensitivity of location and scale of project - simple EIA and ESMP and/or an ESMP or an ESMP Checklist  ESMP Checklist, no further actions after filling the Environmental Screening Checklist, following good civil works practice,  No further actions after filling the Environmental Screening Checklist, following good civil works practice,  ESMP Checklist,	DSEI  DSEI  DSEI  DSEI
7	Sewerage network extension and rehabilitation;  Rehabilitation of sewage pumping stations	B  B (minor risk)	4 (p3)  4 (p3)  -		ESIA and ESMP  ESMP Checklist  No further	DSEI  DSEI  -

No	Project activity	Proposed Category		Remarks	Proposed EA instrument	Requirements of national legislation
		WB	National			
	Septic Tanks	C			actions after filling the Environmental Screening Checklist	DSEI and SEC
	Rehabilitation of waste water treatment plants	B	3 (p2) if WWTP's capacity is less than 50 m <sup>3</sup> /day 2 (p15) if WWTP's capacity more than m <sup>3</sup> /day		ESIA and ESMP	
8	Solid waste management systems:					
	Construction of solid waste processing facilities	B	3 (p20)		ESIA and ESMP,	DSEI and SEC
	Construction of collection points	B (minor risk)	4 (p19)		ESMP	DSEI
	Improvement of solid wastes landfill	B (minor risk)	-		ESIA and ESMP	-
9	Social infrastructure upgrading:					
	Repair/replacement of external doors and windows, window optimization;	C	-		No further actions after filling the Environmental Screening Checklist	-
	Insulation of walls, basements and attics;	C	-		No further actions after filling the Environmental Screening Checklist	-
	Small scale refurbishing activities inside the school premises (e.g. walls repainting, tiling, installation of cable ducts, new water-pipes);	C	-		No further actions after filling the Environmental Screening Checklist	-
	Major refurbishing activities involving removal / reconstruction of walls (especially when containing Asbestos isolations or sheets);	B	-		No further actions after filling the Environmental Screening Checklist	-
	Replacement of the asbestos roofs;	B	-		ESMP Checklist including Asbestos management plan	

No	Project activity	Proposed Category		Remarks	Proposed EA instrument	Requirements of national legislation
		WB	National			
					ESMP Checklist including Asbestos management plan	
10	Cultural heritage rehabilitation and conservation	B (minor risk)	4 (p17)		For minor rehabilitation civil works – mitigation and monitoring measures in the site specific ESMP; for large conservation and renovation activities – special PCR Management Plan	DSEI
12	Underground electric cabling (for magistral lines)	C	4 (p17)		After completing screening checklist – including Occupational Health and Safety measures in the civil works contracts	DSEI
	Overhead electric cabling	C	4 (p17)			DSEI
	New distribution electrical transformers;	C	4 (p17)			DSEI
	Installing of short segments of new distribution lines or replacing of obsolete pillars;	C	-		Similar as above	-
					Similar as above	
					Similar as above	
14	Purchasing of public utilities equipment; transportation means.; etc.	C	-		No further actions after filling the Environmental Screening Checklist	-
15	Reconstruction, modernization of heating systems, (replacement or modernization of the heat source such as: burner, boiler or external sources);	B	3 if capacity is less than 5 m <sup>3</sup> /h 4- more than 5 m <sup>3</sup> /h	In the case of involving civil works	ESMP Checklist and OHS requirements into civil works contracts	DSEI and SEC (for category 3 only)
	Buildings retrofitting and insulation;	C	-			-
	Installation of solar panels;	C	-		No further actions after filling the	-
		B (minor				

No	Project activity	Proposed Category		Remarks	Proposed EA instrument	Requirements of national legislation
		WB	National			
	Replacement of old heating pipes under roads to be rehabilitated	risk)	-		Environmental Screening Checklist  Similar as above  ESMP Checklist	-
16	Smalls scale construction of public facilities (information centers; visitor centers; maintenance facilities; storage facilities)	B (minor risk)	4 (17)		ESMP Checklist	DSEI
17	Installing antennas for providing WIFI services	C	-		After completing screening checklist – including Occupational Health and Safety measures in the contracts	-

Results of the screening will be reflected in the screening form presented in the *Annex 5* of the ESMF and would include the following:

- (a) Category "A" projects and those included in National categories I and II will be excluded from financing.
- (b) Category B subprojects – will need either a simple ESIA and/or a simple ESMP, see below.
- (c) No further EA actions would be required for Category C subprojects.

The social screening outcome will be analyzed and reviewed to determine the nature of impacts under three categories mentioned above. If the adverse social impacts are minimal (temporary and construction induced) and does not trigger land acquisition, resettlement (physical displacement) or restriction of access, such impacts and mitigation measures should be described in the 'Social' section of the ESMP. If the screening identifies impacts that may cause any of the above situation and affect less than 200 persons, an Abbreviated Resettlement Action Plan (ARAP) to be prepared. If the impacts are significant and affect more than 200 persons, then a full Resettlement Action Plan to be prepared. Please note that subprojects (Categories A) are not eligible and are not funded under the RIDP because the types of environmental and social impacts can be extremely diverse, and the impacts are irreversible and may have significant adverse impacts on the environment and the people.

## **b. Preparation of Safeguards Documents**

The PIU and SCS have the obligation to prepare site specific instruments during the preparation of Component 1a subprojects. This can be an ESMP, ARAP, RAP or any other due diligence report that describes potential social and environment and social impacts and mitigation measures proposed. Each of these documents have specific topics and subjects and the contents outline of the documents are available in the framework documents

(ESMF and RPF) prepared and disclosed under the project. Legislation of Uzbekistan provides for a list of projects for which a “Full Environmental and Social Impact Assessment” is required (Annex 6 of the ESMF).

For Category B projects an Environmental and Social Impact Assessment (ESIA) (see Annex 9 of the ESMF for an ESIA ToR) will be required to identify, evaluate and to prevent potential environmental impacts and identify mitigation measures that may be incorporated into the project design within the ESMP (see *Annex 10* of the ESMF with the format of the ESMP) or ESMP checklist (see *Annex 11* of the ESMF with the ESMP Checklist for small scale construction and rehabilitation activities). The purpose of the ESMP is to predict potential effects and improve the environmental aspects of projects by minimizing, mitigating or compensating for negative effects. Simple ESMP Checklists will be used for Category B projects that are likely to have minor environmental impacts, and that are typical for small scale construction and rehabilitation investments.

Once the design and extent of civil works are finalized and if there is a temporary or permanent impact requiring private land acquisition, involuntary resettlement or impacts covered under OP 4.12, a RAP will be prepared. RAP(s) will be prepared in consultation with affected parties in accordance with the RPF. The assessment of assets to be affected by the Project will be performed as described in the RPF. Prior to public consultations and the WB approval of the draft document, draft RAP(s) will be made available to displaced persons, local NGOs and other relevant parties in a form, manner and language that are understandable to them. The final RAP, reflecting feedback received from affected communities and civil society, will similarly be made available to affected and interested parties.

Once the documents are prepared, they should be disclosed locally. The participating MCAs are responsible for placing a copy of the approved ESMP/ARAP/RAP in a public place or building accessible to local residents. In addition, the PIU will post the approved ESMPs on its official website. The places of public disclosure of RAP(s) will be the PIU’s official website, offices of local authorities, local communities, as well as the WB website. The SCS is responsible for including all construction related ESMP/RAPs measures in bidding documents that will be distributed to bidders for construction contracts. For subprojects requiring a RAP, no construction activities shall commence until the RAP is prepared, no objected to by the WB, and compensations are paid in full.

### **Voluntary Land Donations: Dos and Don’ts**

In case of small sections of land required for subproject activities, the project may seek support from the community to donate lands. However, the community members have the right to make a contribution of their land or other assets without seeking or being given compensation at full replacement value. Voluntary contribution is an act of informed consent. Local Authorities must assure that voluntary contributions are made with the affected person’s full and prior knowledge of the availability of other options (including compensation at replacement cost) and are obtained without coercion or duress. Also, voluntary donations are allowed only if the affected people are direct beneficiaries of the investments that cause such impact. Proposals including voluntary contributions will not be submitted for approval where they would significantly harm incomes or living standards of individual owners or users (the size of land contributed on a voluntary basis should not exceed 10% of that individual’s total land holding).

Specifically, the following protocol will govern voluntary contributions under the project:

- Voluntary contributions are an act of informed consent and affected people are not forced to donate land or other assets with coercion or under duress or misled to believe that they are obliged to do so, without regard to the legal status of their land occupancy.
- Land alienation should not result in physical or economic displacement.

- The impacts must be minor. the households contributing land or other assets are direct beneficiaries of the sub-project; the impact is less than 5% of the total productive assets owned by said household.
- The facilities requiring land should not be site specific.
- The land in question must be free of squatters, encroachers, or other claims or encumbrances.
- The land must be identified by the MDU in consultation with the MCA, and not by PIU or other line agencies or project authorities. However, the project technical authorities should ensure that the land is appropriate for sub-project purposes and that the sub-project will not have any adverse health or environmental safety hazards.
- Verification of the voluntary nature of land donations must be obtained from each of the persons/ household donating land. This should be in the form of signed statements. The PIU, through the regional ESSS, must ascertain the voluntariness of the contributions when reviewing the subproject ESS documentation, and inform the PIU Social Safeguards Specialist of any such cases.

RIDP facilitators will create awareness among the community to devise mechanisms to express a sense of gratitude to those households donating lands. These will find a place in the statements. Other things being equal, land donations will not be accepted by Female headed households and elderly people.

The affected people are fully informed that they have the right to refuse to donate land or other private assets, and instead receive compensation at replacement cost, and that a grievance handling mechanism is available to them through which they can express their unwillingness to donate. Furthermore, people are encouraged to use the grievance handling mechanism if they have questions or inquiries, either in writing or verbally.

### **Ensuring Labor Safety**

Three dimensions of labor safety merit discussion: child labor, forced labor, migrant labor, and wages. The Project uses the ILO's concept of "decent work"—work that is freely undertaken, fairly paid, safe, socially protected, and respectful of human dignity, that offers equal opportunities for all, gives workers a voice in management decisions, and fosters personal development. These fundamental principles of decent work will underpin implementation of subprojects.

Measures to mitigate forced labor will include capacity building, for regional and district Khokimiyats of selected villages, on national labor laws that strictly prohibit the use of forced labor in public works. For this purpose, the PIU will collaborate with specialists from the International Labor Organization (ILO) and labor inspectors from the Ministry of Employment and Labor Relations (MoELR) to: (i) provide regular trainings to Khokimiyats and MCA members on labor practices; (ii) monitor and report on any cases identified; and (iii) implement a public-awareness campaign on labor rights, practices, and grievance-redress systems. The PIU will build an internal communications channel with MoELR's Labor Inspectorate to report on cases of forced labor submitted through the Project's GRM and facilitate the investigation process.

Risks of child and forced labor will be mitigated by drawing on systems from the ILO's third-party monitoring program in Uzbekistan, including the mobilization of locally based QFs to monitor subprojects that affect agriculture for any signs of forced labor and report any such cases through the government's feedback mechanism, managed by the MoELR's Labor Inspectorate. The Project will make use of materials developed by the ILO to raise Project beneficiaries' awareness of child and forced labor and how to report infractions. Beneficiaries will also be able to use the Project's GRM to report child- and forced-labor infractions.

### **c. Public Consultation**

Public consultations are integral to the planning and implementation of safeguards. The PIU regional environmental and social specialist, RIDP Facilitators, and SCS will be responsible for organizing at least one public consultation with the people and community groups affected by an activity prior to completion of the ESMP. Usually, these groups consist of people living near the activity site and any local civil society organizations (CSOs). The purpose of the public consultation is to inform affected community groups about the activity and offer them the opportunity to voice their views of any adverse environmental or social effects they feel may develop during implementation. Any legitimate issue raised through the public consultation should be included in the minutes of the public consultation meeting and on the Project MIS, and should be part of the ESMP for particular project sites and part of the ESMF document for the Project as a whole.

### **7.5 Safeguards Tasks During Construction and Implementation Phase**

Implementation of safeguards instruments as per the plans is equally important. The PIU environmental and social safeguards staff are required to coordinate with the SCS and contractors and supervise the implementation of environment and social mitigation measures. During implementation, PIU will be fully responsible for overall supervision to ensure that all measures listed in the ESMF are complied with. In cooperation with the district Khokimiyats, RIDP facilitators and MDUs, the PIU will conduct environmental monitoring during both construction and operational phases in accordance with the Monitoring Plan to be developed in accordance with Chapter 14 of the ESMF.

Contractors selected by the SCS will be responsible for implementing ESMPs for respective subprojects, and ensuring that there is compliance with environmental and social safeguards regulations throughout the construction period. All contractors will be required to reflect environmental guidelines in their financial bids and contracts for individual subprojects and to use environmentally acceptable technical standards and procedures during construction of works. Payments to contractors will be contingent on the final inspection, with particular attention to the requirement of restoring the site to its original condition upon completion of rehabilitation activities. Additionally, contract clauses shall comply with national regulations on energy efficiency, construction, health protection, and safeguard laws and rules on environmental protection. The RIDP facilitators will assist MDUs to monitor contractor compliance.

If approved, there will be periodic supervision of Category B subprojects by the PIU and by local ecological/environmental inspectors as needed. The PIU will conduct site inspections prior to, during and upon completion of rehabilitation/construction activities to ensure full compliance with contractual conditions and the ESMP, and to verify that appropriate preventive actions and/or mitigation measures have been implemented. Such information will enable the PIU and the Bank to evaluate the success of mitigation as part of project supervision and will allow for corrective actions to be taken when needed.

As part of its environmental and social monitoring activities, the PIU will conduct random inspections of project sites to determine the effectiveness of measures taken and the impacts of subproject activities on the surrounding environment. The PIU is also responsible for processing, addressing and monitoring complaints and other feedback, including that on environmental and social issues.

The PIU will be responsible for ESMP reporting and will:

- Record and maintain the results of project supervision and monitoring throughout the life of the project. It will present summary progress reports on ESMF implementation and the safeguards aspects of subprojects on a semi-annual basis to the World Bank, and as part of this reporting, provide updates on any RIDP related as grievances/feedback that was received, that has been addressed and that may be pending.
- Prepare quarterly reports on the status of the GRM.
- Prepare semi-annual reports on the progress of implementation of measures proposed by the ESMP for selected sub-projects;
- Prepare semi-annual reports on the environmental and social impacts originated during implementation of sub-projects and analyze the efficiency of mitigation measures applied to minimize negative consequences;
- Prepare outlines and requirements for Contractors' reports on environmental protection and mitigation measures, and review Contractor's monitoring plan and reports
- Present the impact of mitigation and environmental and social protection measures for general public via specific publications or/and by annual public seminars.

**Project implementation & ESA responsibilities.** The following entities play an important role in RIDP implementation: (a) PIU; (b) SCS (c) RIDP Facilitators (mobilized by FPs or the PIU); and (d) MDUs. Other relevant stakeholders include: Government's Committee for Environmental Protection (CEP), design institutes and companies contracted by the SCS, and MCAs.

For Component 1a investments, the *PIU* will be responsible for:

- Environmental screening and evaluation of subproject eligibility from the environmental point of view
- Review and clearance of ESIA and safeguards instruments
- Addressing complaints and feedback from Project stakeholders and the public, including grievances regarding environmental/social impacts of subprojects
- Supervision (independently or jointly with the State Ecological Inspectorate) of environmental protection and mitigation measures stipulated in the ESMPs
- Monitoring of environmental impacts as part of overall monitoring of the subproject implementation
- Reporting on environmental and social impacts originated during implementation of subprojects and analyze the efficiency of mitigation measures applied to minimize negative consequences.

*RIDP Facilitators (hired by the NGO Facilitating Partner or PIU)* will be responsible for:

- Training and capacity building for MDUs and MCAs on safeguards implementation and compliance
- Conducting the first level of screening of proposed subprojects with regard to prohibited/excluded activities;
- Assisting MDUs to complete Section 1 of the Environmental Screening table;
- Informing MDUs and community representatives with information on options and alternatives to mitigate social and environmental risks identified
- Assisting MDUs to monitor safeguards implementation during construction and report concerns/infractions to the PIU and SCS.

*The SCS* will be responsible for:

- Ensuring that design consultants conduct the ESIA and prepare the required safeguards instruments as per the ToR;

- Submitting the ESIA and safeguard instruments for PIU review and clearance
  - Communication and coordination with EA competent authorities (Committee on Environmental Protection)
1. Ensuring proper implementation of the ESMP and ESMP Checklist requirements during subproject implementation
  2. Addressing complaints and feedback from Project stakeholders and the public, including grievances regarding environmental/social impacts of subprojects
  3. Supervision (independently or jointly with the State Ecological Inspectorate) of environmental protection and mitigation measures stipulated in the ESMPs

The GoU's *Committee for Environmental Protection* (CEP) is responsible for State Ecological Expertise for all investment projects, and has a comprehensive mandate that includes policy formulation and inspection duties. The CEP has divisions at Region, city and District level, in the form of Departments of Environmental Protection (DEPs), within the Khokimiyat (local administration) at each city or District. A small unit in the Committee is entrusted with guiding and managing the preparation of ESIA's and SEEs.

*Contracted companies* will be responsible for the design and construction/rehabilitation/installation of physical works in accordance with Uzbek environmental norms, regulations and requirements. They will also be responsible for complete implementation of the provisions included in the ESMP Checklists.

#### **a. Field Level Safeguards Management**

The implementation schedule of each safeguards plan must be agreed between the PIU, SCS and participating Khokimiyats (line departments if required). In particular, the parties will discuss the start and completion dates of construction activities, a schedule for the handover of completed facilities to PAPs, and ownership of land/assets/services used by PAPs. Prior to commencement of any project activity, the PIU should provide adequate compensations to all PAPs in accordance with the published and approved RAPs, which are, in their turn, are based on the RPF. No civil works can commence, until resettlement/land acquisition activities are completed and compensations to PAPs paid in full per the guidelines described in the RPF. In case of physical/economic displacement and resettlement, the project will prepare a budget as part of the RAP and will finance this budget through the administrative and financial management rules and manuals like any other activity eligible for payment under the program. However, the responsibility for payment of compensations and provision of other assistance will reside with the client (see RPF).

During implementation, the SCS is expected to visit construction sites at least once a month to monitor compliance with environment and social safeguards requirements. More visits may be required if any issues are identified. If there are any significant environmental and social issues associated with activity operation, the PIU will continue supervision during the operation phase as well. Initially, monthly visits should be conducted, and if no problems arise, supervision frequency can be reduced to quarterly, semiannual and eventually annual site visits.

#### **b. Grievance Redress Mechanism**

Project stakeholders and citizens can submit complaints, comments and concerns regarding the RIDP via the Project Grievance Redress Mechanism (GRM). See the Grievance Redress Manual (annex 4) for a detailed description of the Project's GRM.

#### ***World Bank Grievance Redress***

The World Bank Grievance Redress Service (GRS) is separate from the GRM established for the Uzbekistan RIDP. Communities and individuals who believe that they are adversely affected by a World Bank supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's GRS. The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns.

Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of non-compliance with World Bank policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond.

Information on how to submit complaints to the World Bank's corporate GRS is available at: <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. Information on how to submit complaints to the World Bank Inspection Panel is available at: [www.inspectionpanel.org](http://www.inspectionpanel.org).

### **c. Institutional Responsibilities, Monitoring and Evaluation**

The SCS should hire the environmental/social staff who will prepare environmental and social due diligence documents for individual sites in coordination with the Khokimiyats and will during the project implementation phase supervise the implementation of the ESMPs and RAPs.

The PIU will provide oversight of the SCS to ensure that the SCS: a) ensure that pertinent aspects of the ESMP/RAP are contractual obligations of its contractors; b) supervise the work performed by the design companies/contractors to ensure that they are applying adequate standards and are following agreed procedures, as well as the agreed environmental/social plan; c) organize tendering procedures, review tender evaluation performed by the technical teams, and arrange for the contracts to be signed in accordance with agreed procedures; and d) ensure that the environmental and social staff/consultant is providing adequate site supervision, particularly the supervision of carrying out the environmental /social management plans.

Any occupational, health and safety (OHS) incidents that may occur at the Project sites must be immediately reported to the WB without postponing that till a regular progress report is due. Towards this end, PIU must include the requirement to promptly report on OHS incidents into the contracts signed with the providers of works and work supervision consultants. Once a notice on an OHS incident arrives to the PIU, it must be instantly communicated to the WB with the inclusion of sufficient detail known at the moment of reporting.

Regular activity progress reports should include significantly concise information on the implementation of environmental and social management plan providing a short description of monitoring activities, issues identified and mitigation measures taken to address those issues. Such progress reports should be also shared with the World Bank. Regular progress reports should include information on any OHS incidents that have occurred in the reporting period, along with follow-up action undertaken. If no incidents have occurred, every progress report should state so.

**Table 7.3. Screening Checklist to Assess Social Risks and Impacts of Subproject Interventions**

	Yes	No	Provide details/numbers, if possible
<b>Probable social impacts</b>			

1. Will the intervention include new physical construction work?			
2. Does the intervention include upgrading or rehabilitation of existing facilities?			
3. Is the intervention likely to cause any permanent damage to or loss of housing, other assets, resource use?			
4. Is the site chosen for this work free from encumbrances and is in possession of the Public/government/community land?			
5. Is this sub project intervention requiring private land acquisitions?			
6. If the site is privately owned, can this land be purchased through negotiated settlement? (Willing Buyer – Willing Seller)			
7. If the land parcel has to be acquired, is the actual plot size and ownership status known?			
8. Are the subproject cause any access restriction to the commuters/pedestrians/ business and trades?			
9. Is land for material mobilization or transport for the civil work available within the existing plot/ Right of Way?			
10. Are there any non-titled people who are living/doing business on the proposed site/project locations that use for civil work?			
11. Is any temporary impact likely?			
12. Is there any possibility to move out, close of business/commercial/livelihood activities of persons during constructions?			
13. Is there any temporary or permanent physical displacement of persons due to constructions?			
14. Does this project involve resettlement of any persons? If yes, give details.			
15. Will there be loss of /damage to agricultural lands, standing crops, trees?			
16. Will there be loss of incomes and livelihoods for anyone due to project intervention?			
17. Will people permanently or temporarily lose access to facilities, services, or natural resources?			
18. Will project cause loss of employments/jobs			
19. Will project generate excessive labor influx as a result of new constructions			
20. Does construction activities require additional/skilled labor from outside the locality			
21. Will subproject/construction activities cause destruction/disturbance to host community living			
22. Will construction of new buildings, drainage lines, powerlines create any degradation/disturbances for public buildings/resources/ adjacent houses, wells, lands, Burial places, children parks, schools etc.			
23. Will this intervention generate downsize in current labor force(retrenchments) of the agency			
24. Does intervention may cause unintended consequences such as accidents/ damages to adjacent			

buildings			
25. Are any vulnerable groups who may be affected adversely (including indigenous people) due to the project intervention?			

## **VIII. M&E AND RESULTS FRAMEWORK**

### **Monitoring and Evaluation Goals and Tasks**

1. The monitoring and evaluation system is an important tool that is used by the Project to assess and report on progress towards goals. RIDP regularly monitors the implementation progress of activities it finances. This includes physical monitoring of activities and infrastructure, which is carried out by the PIU, facilitating partners, government agencies, and other stakeholders; and the evaluation of technical and financial progress, which is carried out through the Management Information System (MIS) and covers aspects of operational, technical and financial management of the Project.
2. The monitoring and evaluation goal is to ensure the successful implementation of project activities, ensure the transparency of the project implementation process, systematically monitor the implementation of the project with the aim of assessing, monitoring and forecasting any challenges.
3. M&E tasks are:
  - Regular provision of information on the project's progress and its results to managers, donors and other interested parties;
  - Identification of problems and obstacles encountered in the course of the project, offering effective solutions;
  - Contribute to the ongoing awareness of what is working well and what can be improved to inform the forthcoming project cycles and / or other Ministry of Economic development projects and policies;
  - Evaluation of the activities' progress and the effectiveness of financial mechanisms;
  - Evaluation of the project's success in achieving goals and objectives, as well as the level of the project's impact on the social conditions and potential of the intended beneficiaries;

### **Monitoring and Evaluation Principles**

- M&E will be practiced by all RIDP managers and implementers. M&E is a basic management function.
- Community-led and participatory monitoring activities are essential to understanding project progress and impacts.
- Performance targets will be used to ensure implementation remains on track; RIDP managers are expected to understand their targets and to design and adjust project activities in order to meet them.
- M&E is carried out in an open and transparent manner.
- M&E systems will be kept as simple as possible based on MIS-based, where information is available in real time.
- Gender will be taken into account in all M&E practices.

### **Institutional Arrangements**

4. The PIU Monitoring and Evaluation Specialist carries out overall coordination of the Project activity monitoring and evaluation and is also responsible for the formation of a consolidated Project report.
5. The PIU Directors and all Project staff are responsible for timely submission of the project consolidated report to the Donor and all stakeholders.
6. All Project specialists at the central and oblast levels are involved in monitoring and evaluation of components under their responsibility.

7. The PIU Community Mobilization Specialist and Environmental/Social Safeguards Specialist in the Central office, PIU regional Procurement Specialist and Engineering Specialists, FPs, and RIDP facilitators are responsible for timeliness and reliability of the data to be entered into MIS.

## **M&E Process**

### **Data Sources**

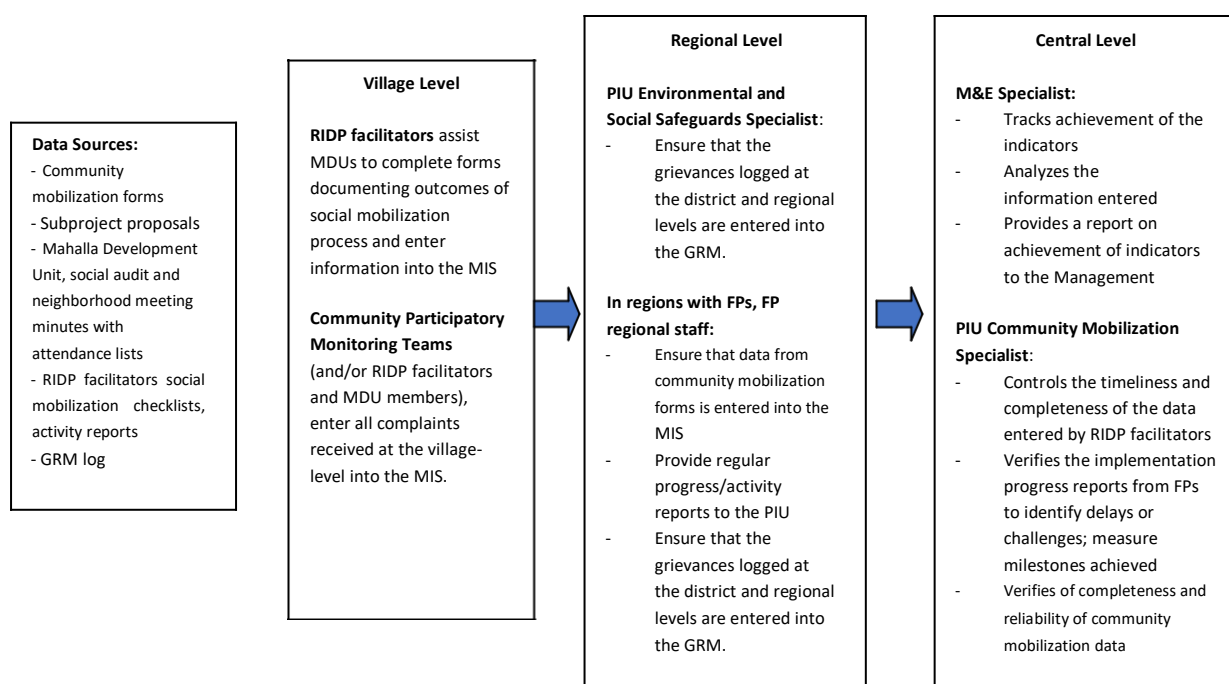
Data are to be collected on an ongoing basis. Data for the RIDP M&E system are provided from the following sources:

- Forms documenting the process and outcomes of the various stages of the RIDP implementation cycle, including community mobilization and capacity building (see forms annex 8). Data from these forms is uploaded into the MIS;
- Regular PIU staff reports at the regional and central levels;
- FP progress reports, including the status of social mobilization activities, trainings and capacity building activities conducted;
- Field inspection reports from the supervision mission to be provided by the RIDP Central Office staff and engineers, donors and RIDP management;
- Surveys and technical audits procured and overseen by the central PIU;
- Financial statements/amounts of disbursement;
- Social reporting results provided by the Community Participatory Monitoring Team through social audits.

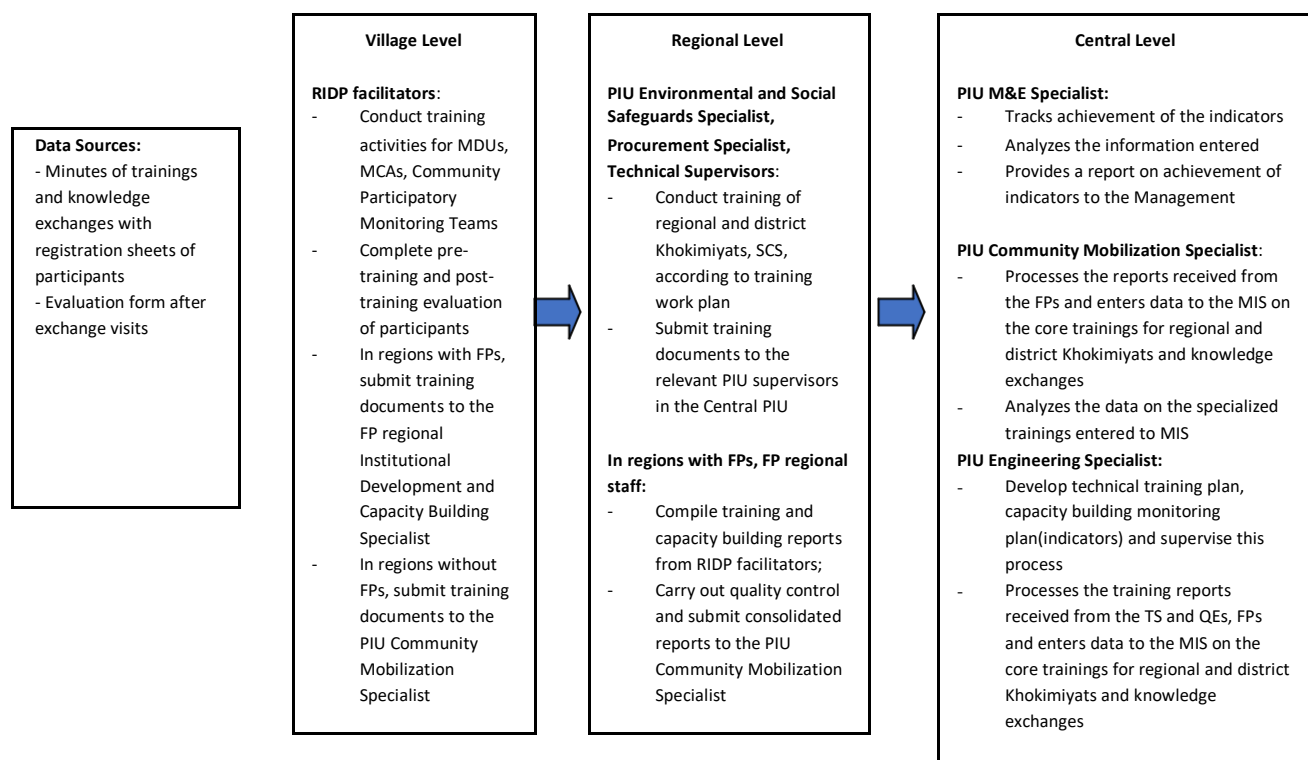
### **Summary of Data Flows**

There are three data flows under the Project to collect information for monitoring the achievement of Project indicators (Figures 2, 3, 4):

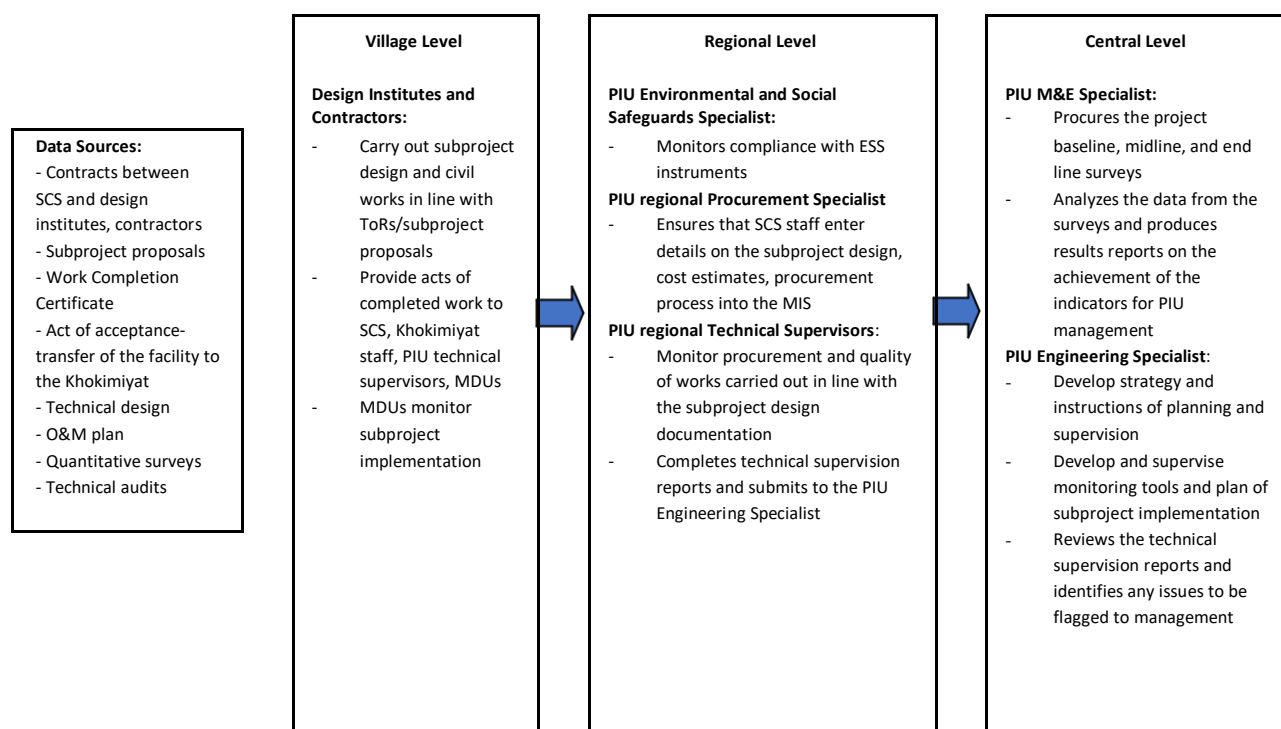
**FIGURE 2: DATA FLOW FOR MONITORING THE SOCIAL MOBILIZATION INDICATORS AND GRM INDICATOR**



**FIGURE 3: DATA FLOW FOR MONITORING CAPACITY BUILDING INDICATORS**



**FIGURE 4: DATA FLOW FOR MONITORING SUBPROJECT IMPLEMENTATION**



## **Quality Control**

External and internal control and monitoring is carried out by:

- **PIU staff at the central and regional levels.** Central office staff will regularly visit regional offices, villages and subprojects to support the development of communities. Regional staff regularly visit qishloqs. Also, monitoring is carried out through the provision of regular reports by FPs and RIDP facilitators at the local level to PIU staff at the regional level, and from them to employees of the central level. All employee reports are archived in the MIS. PIU central office staff are also responsible for overseeing the production of independent audit reports and special study reports.
- **Local authorities** (district and regional Khokimiyat representatives). Representatives of the state authorities from the districts and regional Khokimiyats participate in the field trips to the sites for the implementation of subprojects, and also participate in the handover the completed subprojects.
- **World Bank and AIIB.** M&E activities will include regular implementation support missions, mid-term review missions, regular monitoring missions, independent audit reports, and special research reports.

## **Assessment of Beneficiaries' Satisfaction with Project Activities**

8. The RIDP will monitor the satisfaction of the beneficiaries by tracking beneficiaries' perceptions of the project to provide a picture of how the beneficiaries' opinions are taken into account during the decision-making processes and whether their needs are reflected in the investments financed by the project. These indicators allow RIDP stakeholders to track and report on the effectiveness of project implementation, and include:
  - **PDO Indicator 1:** Percentage of sampled respondents who report improvements in the quality of basic rural infrastructure;
  - **IR Indicator 1.2:** Percentage of sampled respondents reporting improved access to basic rural infrastructure;
  - **IR Indicator 1.3:** Percentage of sampled respondents who report that the project investments in basic rural infrastructure meet their needs;
  - **IR Indicator 2.4:** Percentage of women's priorities that receive subgrant financing
9. Monitoring beneficiary satisfaction will be carried out using two different methods: (a) consulting beneficiaries at different stages of the community mobilization process as part of the social audit; and (b) interviewing a sample of beneficiaries through the Project baseline, midline and endline beneficiary surveys.
10. **Baseline, Midline and Endline Surveys** - The PIU will procure these surveys. The baseline survey should be implemented after the first cohort of villages is selected to participate in the project but before community mobilization at the village-level begins. The World Bank will provide implementation support to the PIU to develop the terms of reference for the survey firm, questionnaire and sampling.

## **Participatory Monitoring and Evaluation**

11. Regular monitoring and evaluation by participating communities is to be carried out under the Project in order to ensure the successful completion of the community mobilization and implementation of the subproject, to provide transparency and publicity during the Project implementation process, broad awareness rising of community members about the results achieved.
12. There are several levels of community-level participatory monitoring supported by the RIDP. The first level is the monitoring of subproject design, procurement, and implementation and of the registration and follow up on project-related grievance carried

out by MDU members, in coordination MCA members as appropriate. The MDU should also ensure that information on the subproject and QDP are publicly available and accessible.

13. The second level is carried out by Community Participatory Monitoring Teams (CPM) that are independent of the MDU. The purpose of the work of the CPM teams is to:
  - Improve the quality of projects and reduce the risk of corruption.
  - Ensure compliance with Social and Environmental Safeguards
  - Improve transparency and accountability between the MDU, MCA, village residents, and other stakeholders.
  - Create a feedback mechanism to take corrective actions.
  - Enhance community capacity and skills in monitoring of projects.
  - Empower the community to raise their voices, opinions, expectations and aspirations.
14. Chapter 7 of the Community mobilization Manual describes the Community Participatory Monitoring activities in detail. The tasks of the CPM Teams are to monitor the work of MDUs every six months using five CPM monitoring forms that monitor quality and inclusiveness of qishloq development planning; availability of information on RIDP subprojects; quality of MDU meetings and minutes thereof; operations and maintenance of subprojects; quality and workmanship of subprojects in the form of social audits.
15. The CPM Teams will gather and analyze information and report on social audit outcomes through a brief report and share their findings in a public meeting (the Social Audit meeting). (Annex 10 of the Community mobilization Manual provides step by step instructions.) RIDP facilitators will assist CPM teams to upload data from the social audit forms into the MIS, and submit copies of the social audit reports to FP regional offices (in regions with FPs) and to the PIU Community Mobilization Specialist.

### **Report Types and Frequency**

The Project reporting to the World Bank and AIIB consists of:

- Quarterly summary reports on project implementation progress (template to be developed);
- Semi-annual descriptive and analytical project reports (templated to be developed);
- Annual descriptive and analytical reports highlighting the results on achieving the Project indicators (template to be developed);
- Ad hoc reporting requests based on the needs of Government or donors.

### **Report Types**

**Annual reports** will describe implementation against both the annual work plan and the results framework indicators. It will describe implementation in terms of milestones, targets, outputs, and budgets, ensuring greater explanation and analysis for cases of under-performance. The report will be discussed by stakeholders and made available on the internet. Annual reports should be completed by the end of January. Its main elements will include:

- Title page, table of contents, executive summary.
- A short introduction of the report and the project, reviewing what the project wants to achieve, and how it is structured (components etc.). In the introduction an overall view of performance can be provided, for example, looking at which annual priorities were met or not met and analyzing expenditure against budget. Project wide issues, challenges, and remedial actions can be highlighted.
- A sub-component by sub-component review of implementation. For each sub-component, the report will: (i) provide a short introduction to the sub-component; (ii) review implementation against the plan (providing, where necessary reasons why

implementation may have been behind schedule or below expectations); (iii) review all annual targets in this operations manual (providing, where necessary reasons why targets were not met); (iv) identify and analyze constraints, challenges, issues, lessons learned and agreed remedial actions.

- Annex 1: Financial analysis, including budget vs. expenditure for all activities, summed to the sub-component, component and project level. Financial analysis will include a procurement report and final (unaudited) balance sheet.
- Annex 2: any other detailed and supporting data, including data on capacity development.

The **semi-annual report** will be shorter and will focus on implementation to date as the identification of immediate challenges. The semi-annual report will be submitted by the end of July each year. The structure of the report will be the same as the annual report except: (i) the focus on challenges and issues is on “immediate” challenges that can be addressed by the end of the year; (ii) reporting on implementation is much shorter; (iii) financial report is a short summary (sub-component, component and project totals) without balance sheet or procurement reports; and (iv) annex 2 is much shorter.

**Quarterly reports** will present a description of project activities carried out for each quarter. The structure of the quarterly report will be the same as the annual and semi-annual reports, except that:

- (i) there is no reporting against indicators/targets; (ii) there is no reporting on project outcomes; (iii) there is no analysis and detailed explanation on cases of insufficient effectiveness; (iv) there are no balance sheets.

### **RIDP Results Framework, Description of Indicators, Means of Verification**

*Note: The MCA project committees are equivalent to the Mahalla Development Units.*

#### **PDO Indicator 1: Percentage of sampled respondents who report improvements in the quality of basic rural infrastructure**

**Description:** This indicator measures the percentage of survey respondents in beneficiary communities who report improvements in the quality of basic infrastructure and services.

**Methodology and source of information:** Project monitoring surveys. The baseline, midline and endline surveys will include questions on respondents' satisfaction with a variety of infrastructure that the Project will be financing. It will also ask a more general question about citizens' satisfaction with the overall quality of infrastructure in their villages.

**Methodology of Calculation:** The indicator should capture the percentage of respondents who report improvements in infrastructure quality between the survey rounds. The PIU should propose a formula for combining the infrastructure items into an index to the task team for no objection and use the same index for results reporting throughout the project. There should be three figures that are calculated and reported as percentages: (a) the total number of sampled women who reports improvements in the quality of basic rural infrastructure divided by the total number of sampled women who answered the question; (b) the total number of sampled men who reports improvements in the quality of basic rural infrastructure divided by the total number of sampled men who answered the question; (c) the total number of sampled respondents who report improvements in the quality of basic rural infrastructure divided by the total number of respondents who answered the question.

**Frequency and Reporting:** Baseline, midline and endline surveys

**Means of Verification:** Social audit results

**Responsible for data collection:** The PIU will be responsible for procuring the baseline, midline and endline surveys.

**Target:** Intermediate and End Targets is 60% total and 60% women

**Disaggregation:** This indicator will be gender disaggregated

<b>PDO Indicator 2: Percentage of beneficiaries who participate in planning, decision-making, or monitoring subprojects</b>
<b>Description:</b> This indicator measures the level of community engagement in the planning, decision-making and oversight of sub-project investments.
<b>Methodology and source of information:</b> Project MIS. This indicator will be calculated from the MIS forms that report on the number of people who attend planning meetings, decision-making meetings, and monitoring teams. Three numbers should be reported and reported as percentages: (a) the number of women who have participated in one or more of these roles divided by total number of adult women who live in the participating qishloqs; (b) the number of men who have participated in one or more of these roles divided by total number of adult men who live in the participating qishloqs; (c) the number of adults who have participated in one or more of these roles divided by total number of adults who live in the participating qishloqs.
<b>Methodology of Calculation:</b> These figures will be compiled based on field reports and uploaded into the MIS.
<b>Frequency and Reporting:</b> Annual starting year 2
<b>Means of Verification:</b> NA
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> Intermediate and End Targets are 60% total and 60% women
<b>Disaggregation:</b> This indicator is gender-disaggregated

<b>PDO Indicator 3: Number of social audits that have been completed across the targeted rural qishloqs</b>
<b>Description:</b> This indicator measures the implementation progress of subcomponent 1b and specifically, facilitation support for participatory oversight processes - social audits.
<b>Methodology and source of information:</b> Field reports and MIS
<b>Methodology of Calculation:</b> These figures will be compiled based on field reports and uploaded into the MIS
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> Records from social audit meetings
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> Intermediate Target is 100; End Target is 300.
<b>Disaggregation:</b> NA

<b>IR Indicator 1.1: Number of subproject investments</b>
<b>Description:</b> This indicator measures the implementation progress of subcomponent 1a and specifically, the Project's investments in basic rural infrastructure and services
<b>Methodology and source of information:</b> MIS
<b>Methodology of Calculation:</b> Field reports, which will be regularly uploaded in the MIS
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> Procurement records
<b>Responsible for data collection:</b> PIU
<b>Target:</b> Intermediate Target is 100 and End Target is 300
<b>Disaggregation:</b> This indicator will be disaggregated by type

<b>IR Indicator 1.2: Percentage of sampled respondents reporting improved access to basic rural infrastructure</b>
<b>Description:</b> This indicator measures the percentage of community respondents who report increased access to social and economic infrastructure improvements, such as water supply systems, roads, schools, and health clinics.
<b>Methodology and source of information:</b> Baseline, midline and endline project monitoring surveys
<b>Methodology of Calculation:</b> The indicator should capture the percentage of respondents who report improved access to different types of infrastructure that the RIDP is financing, such as water points, health clinics, schools, etc. The PIU should propose a formula for combining the infrastructure items into an index to the task team for no objection and use the same index for results reporting throughout the project. Three

figures should be calculated and reported as percentages: (a) the number of sampled women who report improved access to basic rural infrastructure divided by total number of sampled women; (b) the number of sampled men who report improved access to basic rural infrastructure divided by total number of sampled men; (c) the total number of sampled respondents who report improved access to basic rural infrastructure divided by total number of sampled respondents.

**Frequency and Reporting:** Annually starting year 2

**Means of Verification:** NA

**Responsible for data collection:** PIU will be procuring a survey firm to collect the baseline, midline and endline surveys.

**Target:** Intermediate and End Target is 60% total and 60% women

**Disaggregation:** This indicator will be gender disaggregated.

### **IR Indicator 1.3: Percentage of sampled respondents who report that the project investments in basic rural infrastructure meet their needs**

**Description:** Measures the percentage of survey respondents in beneficiary communities who report that the project investments in basic rural infrastructure met their needs.

**Methodology and source of information:** Social audit form

**Methodology of Calculation:** As part of the social audit, community members will be asked whether the project's investments in rural infrastructure met their needs. There should be three figures that are calculated and reported as percentages: (a) the total number of women who agree that the project investments met their needs divided by the total number of women who participated in the social audit; (b) the total number of men who agree that the project investments met their needs divided by the total number of men who participated in the social audit; (c) the total number of community members who agree that the project investments met their needs divided by the total number of individuals who participated in the social audit.

**Frequency and Reporting:** Annually starting year 2

**Means of Verification:** The survey will include a question that probes respondents on whether RIDP investments have met their needs.

**Responsible for data collection:** RIDP facilitators

**Target:** Intermediate and End Targets are 60% total and 60% women

**Disaggregation:** This indicator will be gender disaggregated.

### **IR Indicator 1.4: Percentage of subprojects that support climate change adaptation or mitigation**

**Description:** Measures the contribution of investment projects to enhanced climate resilience (e.g. of roads infrastructure, approved designs), as well as climate change mitigation (e.g. through retrofitting measures or alternate energy sources)

**Methodology and source of information:** PIU field reports; technical checklists of subproject designs

**Methodology of Calculation:** The PIU will review the technical design of each subproject against a technical checklist to determine whether the subproject supports climate change adaptation or mitigation.

**Frequency and Reporting:** Data will be collected annually starting year 2. Once the technical design of a subproject is approved, the PIU can validate whether it supports climate change adaptation or mitigation based on a form in the technical infrastructure manual.

**Means of Verification:** Project technical designs will be kept on file by PIU

**Responsible for data collection:** Regional Khokimiyats and PIU

**Target:** Intermediate and End Target is 25.00%

**Disaggregation:** Data will be disaggregated by subproject type and whether the subproject support adaptation and/or mitigation.

### **IR Indicator 1.5: Percentage of beneficiaries in targeted rural qishloqs with improved quality of water supply as a result of project investments**

<b>Description:</b> This indicator captures the impact of subproject investments in drinking water on households' access to clean drinking water. This indicator is restricted to qishloqs that select drinking water subprojects and within these villages, to households that do not have reliable/uninterrupted access to piped drinking water at baseline.
<b>Methodology and source of information:</b> Sub-project proposals, which will include data on the estimated number of beneficiary households for the water supply projects.
<b>Methodology of Calculation:</b> This figure should be calculated as the number of households that benefit from the water supply construction or rehabilitation subprojects financed by RIDP divided by the total number of households that do not have reliable/uninterrupted access to piped drinking water in the villages that received RIDP financing for this subproject type.
<b>Frequency and Reporting:</b> Annual starting year 2
<b>Means of Verification:</b> Proposals for the subproject investment with estimated beneficiary numbers which should be uploaded into the MIS.
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> End target is 80.00%
<b>Disaggregation:</b> NA

<b>IR Indicator 1.6: Percentage of subproject investments of high technical quality</b>
<b>Description:</b> Measures the technical quality of the infrastructure subprojects.
<b>Methodology and source of information:</b> Technical audit
<b>Methodology of Calculation:</b> A sample of infrastructure projects to be audited using technical audit procedures. The PIU should propose a methodology for evaluating the technical quality of infrastructure subproject to the World Bank for its no objection. The baseline audit should evaluate infrastructure in the first cohort of villages selected for RIDP before construction of RIDP-financed infrastructure begins and villages within the RIDP district that have already participated in the Obod Qishloq State Program.
<b>Frequency and Reporting:</b> Baseline, Midline and Endline Technical Audits
<b>Means of Verification:</b> Survey questions that ask about satisfaction with the quality of infrastructure. The survey data is not directly comparable to the technical audit results.
<b>Responsible for data collection:</b> PIU
<b>Target:</b> The baseline value should be reported following the completion of the baseline audit. The Intermediate and End Target is 80.00%
<b>Disaggregation:</b> This indicator is disaggregated by infrastructure type.

<b>IR Indicator 1.7: Number of project beneficiaries</b>
<b>Description:</b> Measures the implementation progress of subcomponent 1a, and specifically, the number of people benefiting from the Project's infrastructure investments.
<b>Methodology and source of information:</b> Subproject proposals which should include the estimated number of male and female beneficiaries.
<b>Methodology of Calculation:</b> These figures will be compiled based on the gender-disaggregated beneficiary numbers that are reported in the subproject proposals that are uploaded into the MIS. For public infrastructure like roads, bridges, that is open for the whole village to utilize, the beneficiaries should consist of the total village population. For infrastructure that has a more limited footprint, e.g. water systems, the beneficiaries should consist of households who have access to those water points who don't have access to reliable and uninterrupted piped water. For schools and kindergartens, the beneficiaries should consist of the number of students using the schools.
<b>Frequency and Reporting:</b> Annual starting year 2
<b>Means of Verification:</b> For schools and kindergartens, the PIU could check the enrollment figures with the actual schools.
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> The Intermediate Target is 110,000 total beneficiaries and 55,000 women. The End Target is 330,000 total and 165,000 women.
<b>Disaggregation:</b> This indicator is gender-disaggregated.

<b>IR Indicator 2.1: Percentage of district and regional Khokimiyats completing agreed local governance training curriculum in procurement and oversight</b>
<b>Description:</b> Measure progress of RIDP-related training and capacity building activities for target districts and regional Khokimiyats.
<b>Methodology and source of information:</b> MIS
<b>Methodology of Calculation:</b> Review of participant lists for district and regional Khokimiyats. The numerator is the number of district and regional Khokimiyats who have completed the agreed local governance training curriculum in procurement and oversight. The denominator is the total number of district and regional Khokimiyats in RIDP's target districts and regional Khokimiyats.
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> NA
<b>Responsible for data collection:</b> PIU
<b>Target:</b> End target is 100.00%
<b>Disaggregation:</b> This indicator is disaggregated by district and region

<b>IR Indicator 2.2: Number of targeted rural qishloqs that produce development plans that reflect community members priorities.</b>
<b>Description:</b> This indicator measures the implementation progress of subcomponent 1b, which will provide facilitation support for Mahalla Development Units to produce 3-year development plans that are reflective of community members' priorities.
<b>Methodology and source of information:</b> Social audit forms
<b>Methodology of Calculation:</b> For each qishloq development plan, the PIU will be responsible for verifying that the community mobilization process (i.e., needs assessments and discussions) took place prior to the completion of the qishloq development plan.
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> NA
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> 100%
<b>Disaggregation:</b> NA

<b>IR Indicator 2.3: Percentage of tendering committees that have a qishloq representative providing oversight of the procurement process.</b>
<b>Description:</b> This indicator captures the extent of community participation in oversight of the procurement process.
<b>Methodology and source of information:</b> Field reports, MIS and social audits
<b>Methodology of Calculation:</b> These figures will be compiled based on procurement forms and uploaded into the MIS.
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> The procurement forms that will be uploaded into the MIS and social audits.
<b>Responsible for data collection:</b> PIU and regional Khokimiyats
<b>Target:</b> 50%
<b>Disaggregation:</b> NA

<b>IR Indicator 2.4: Percentage of women's priorities that receive subgrant financing</b>
<b>Description:</b> Measures women's voice - whether women's priorities are prioritized for project investments
<b>Methodology and source of information:</b> This question will be asked as part of the social audit.
<b>Methodology of Calculation:</b> The indicator should be collated from social audit forms. The figure be calculated and reported as a percentage: the total number of women who agree that the subgrant that was selected for financing reflects their priorities divided by the total number of women who participated in the social audit.
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> The baseline, midline and endline surveys will ask respondents their main priorities for infrastructure investments and whether the IDP met these priorities.

<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> End target is 50.00%
<b>Disaggregation:</b>

<b>IR Indicator 2.5: Percentage of targeted rural qishloqs that have at least 50% female representation in the MCA project committees and social accountability roles (monitoring and oversight)</b>
<b>Description:</b> Measures women's voice and specifically, progress against 50% women targets for Project roles at the qishloq level.
<b>Methodology and source of information:</b> Membership lists for RIDP-related roles
<b>Methodology of Calculation:</b> The baseline for the Mahalla Project Committees is calculated from a regionally representative sample of MCA executive committees that was collected as part of the June/July 2018 baseline Listening to Citizens of Uzbekistan data. The calculation of the baseline indicator is limited to the Project's five regions. While the enumerators collected data on the sex of all executive committee members - head, deputy, secretary, posbon and women's committee representative - the sex of the women's committee member was excluded from this target as this position is almost always reserved for a woman. There is no baseline for the social accountability roles as this position did not exist at baseline in Uzbekistan.
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> The MDU membership lists on Form 3.7 should be uploaded into the MIS.
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> End target is 50% women for Mahalla Development Units and 50% women for social accountability roles
<b>Disaggregation:</b> This indicator is gender disaggregated.

<b>IR Indicator 2.6: Percentage of district project committee members that are female</b>
<b>Description:</b> Measures the transparency element of participatory local governance processes
<b>Methodology and source of information:</b> Membership lists for RIDP-related roles
<b>Methodology of Calculation:</b> Review of membership lists for district project committee members to count the number of total participants and female participants
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> The membership lists will be uploaded into the MIS.
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> 50% women
<b>Disaggregation:</b> This indicator is disaggregated by district

<b>IR Indicator 2.7: Percentage of infrastructure subprojects for which procurement data is publicly accessible</b>
<b>Description:</b> Measures the transparency element of participatory local governance processes.
<b>Methodology and source of information:</b> MIS
<b>Methodology of Calculation:</b> For each infrastructure subproject, this indicator will track whether the procurement information is uploaded into the MIS and publicly accessible. At the minimum, the publicly accessible procurement information should include the winning contractor and the amount of the contract.
<b>Frequency and Reporting:</b> Annually
<b>Means of Verification:</b> The actual contracts for the works which should be stored in a database managed by the PIU.
<b>Responsible for data collection:</b> PIU
<b>Target:</b> End Target is 100.00%
<b>Disaggregation:</b>

<b>IR Indicator 3.1: Percentage of grievances (gender disaggregated) which are received that are resolved</b>
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<b>Description:</b> Measures whether the Project has established a feedback mechanism receiving and addressing complaints and feedback according to procedures. 100% of all grievances from men and women should be resolved.
<b>Methodology and source of information:</b> PIU
<b>Methodology of Calculation:</b> This indicator should be calculated on the basis of the GRM log, which will track each complaint, the sex of the complainant, and the status of the complaint (resolved or not resolved).
<b>Frequency and Reporting:</b> Annually
<b>Responsible for data collection:</b> PIU
<b>Means of Verification:</b> NA
<b>Target:</b> End target is 100.00%

<b>IR Indicator 3.2: Percent of MCA project committees that participate in knowledge sharing events within and across regions</b>
<b>Description:</b> Measures implementation progress of Component 2, and specifically knowledge exchanges between Mahalla Development Unit members. The midline target of 80% will capture the implementation progress among those Mahalla Development Units that have been established by midline.
<b>Methodology and source of information:</b> Field reports and MIS
<b>Methodology of Calculation:</b> These figures will be compiled based on field reports and uploaded into the MIS
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> Participant lists
<b>Responsible for data collection:</b> RIDP facilitators
<b>Target:</b> End target is 80.00%
<b>Disaggregation:</b>

<b>IR Indicator 3.3: Percentage of qishloqs for which the required information is uploaded to the MIS in a timely fashion for project management to monitor results and for citizens to access</b>
<b>Description:</b> Measures the implementation progress of component 2, and specifically, investments in MIS and oversight mechanisms - transparency and citizen engagement.
<b>Methodology and source of information:</b> MIS forms and MIS
<b>Methodology of Calculation:</b> These figures will be compiled based on an audit of the timeliness of data entry into the MIS.
<b>Frequency and Reporting:</b> Annually starting year 2
<b>Means of Verification:</b> MIS data
<b>Responsible for data collection:</b> PIU
<b>Target:</b> End target is 80%
<b>Disaggregation:</b> This indicator is qishloq-disaggregated