



PROJECT OPERATIONAL MANUAL

“RURAL INFRASTRUCTURE DEVELOPMENT”

Project Implementation Unit

Tashkent, Uzbekistan
November, 2021

Updated January, 2024

TABLE OF CONTENTS

LIST OF ACRONYMS/ABBREVIATIONS	4
PREFACE	6
I. PROGRAM INTRODUCTION	7
Overview	7
Components of the RIDP	7
Core Principles	8
Key Differences between the RIDP and other State Program	9
II. ROLES AND RESPONSIBILITIES OF KEY STAKEHOLDERS	10
National Level.....	10
Regional Level.....	11
District Level	12
Qishloq Level.....	12
III. RULES FOR RIDP RESOURCE ALLOCATION AND ELIGIBLE SUBPROJECTS.....	14
Rules for Resource Allocation.....	14
Eligible Subprojects	15
Negative List	15
IV. RIDP IMPLEMENTATION CYCLE	16
1. RIDP Outreach and Orientation	17
2. DPC Establishment	18
3. Village/Qishloq Selection	18
4. Village/Qishloq Mobilization.....	19
5. MDU Election and Registration	19
6. MDU/MCA Capacity Development: First Set of Trainings	21
7. Qishloq Socioeconomic and Resource Analysis	22
8. Qishloq Development Planning.....	23
9. Subproject Design.....	24
10. Second Set of MDU/MCA Capacity-Building Trainings and First Social Audit.....	25
11. Subproject Procurement.....	26
12. Subproject Implementation and Oversight.....	26
13. Second Social Audit	27
14. Subproject Completion, Handover, Operations and Maintenance.....	27
15. Third Social Audit and MDU Institutional Maturity Assessment	27
V. COVID-19-RELATED ADAPTATIONS TO THE RIDP IMPLEMENTATION CYCLE.....	29
VI. PROCUREMENT.....	31
6.1 Procurement Regulations That Apply to the Project.....	31
6.2 Procurement Processes for Component 1a	33
6.3 Procurement Processes for Components 1b and 2.....	48
VII. ENVIRONMENTAL AND SOCIAL SAFEGUARDS.....	51
7.1 Introduction	51
7.2 Environmental Safeguards.....	52
7.3 Social Safeguards	54
7.4 Safeguards Tasks During Planning and Preparation	55
7.5 Safeguards Tasks During Construction and Implementation Phase.....	64
VIII. M&E AND RESULTS FRAMEWORK	69
RIDP Results Framework, Description of Indicators, Means of Verification.....	74

List of Annexes

1. Environmental and Social Management Framework
2. Resettlement Policy Framework
3. Financial Management Manual
4. Grievance Redress Mechanism Manual
5. Project Procurement Strategy for Development
6. Procurement Plan
 - 6.1 Standard Request for Bids (procurement of works)
 - 6.2 Standard Request for Quotation (procurement of design services)
7. Project Implementation Cycle for Autonomous Water Supply and Sanitation Systems
8. Project Implementation and Monitoring Forms (environmental and social safeguards, community mobilization, procurement, FM, construction phase)
updated February, 2024
9. HR Manual
10. Community Mobilization Manual
11. Community Mobilization Manual, updated January, 2024

Supporting Documents

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

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
CC	Construction Company
CDD	Community-Driven Development
CDWO	Community Drinking Water Organization
CPM	Community Participatory Monitoring
CSO	Civil Society Organization
DA	Designated Account
DC	Direct Contracting
DF	Design Firm
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
MoEF	Ministry of Economy and Finance
MoEPR	Ministry of Employment and Poverty Reduction
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
RIS	Regional Infrastructure Specialists
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 Economy and Finance (MoEF) 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 has been translated into Uzbek and Russian and is 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 MoEF 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 (construction of drinking water supplies and improvement of existing 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) construction and 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; (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 and PIU 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 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 (i) 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 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

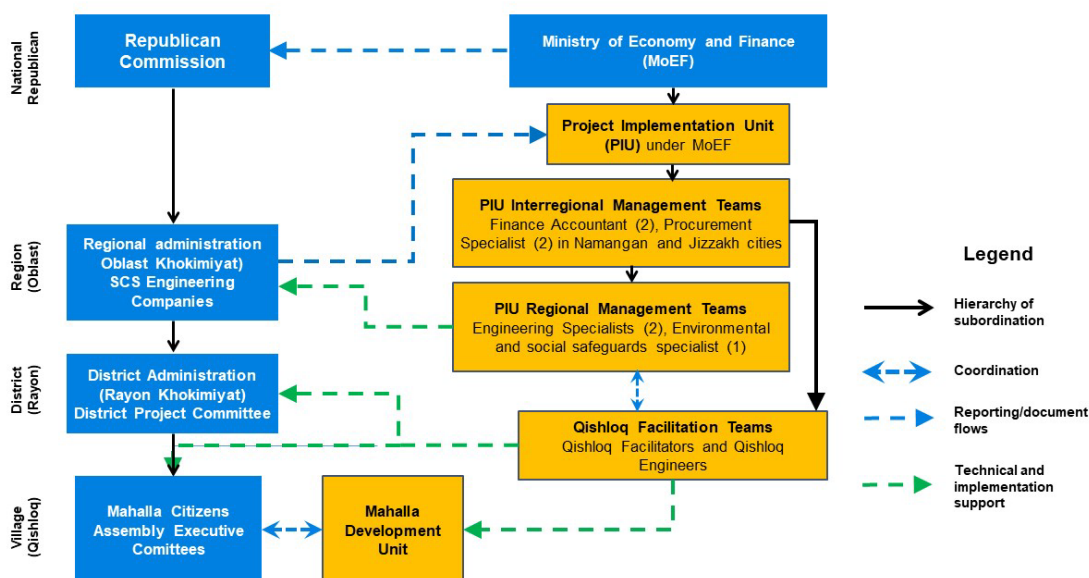
Republican Commission

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 Economy and Finance

The MoEF is designated by the GoU as responsible for RIDP implementation. The Deputy Minister for Economy and Finance is responsible for overseeing the RIDP within the MoEF. The MoEF 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 MoEF to prepare and implement the Project. Through this order the MoEF 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 № 321 from May 20, 2021. 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 MoEF 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 regional infrastructure 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 specialists on regional infrastructure once every ten days, an infrastructure specialist in the PIU once every two months, will provide technical assistance and capacity building support to local design firms (DF) and SCSs in the application of high-quality technical designs., and also, QE will be carried out daily random inspections of construction quality at the village level during the implementation of the subproject. Regional environmental and social safeguards specialists and specialists on regional infrastructure (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 Jizzakh 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.

Qishloq Facilitators (QF) shall work in teams (one man and one woman) in the qishloqs as facilitators and establish MDUs, facilitate various participatory planning and exercises and the production of QDPs, and support MCAs and MDUs in RIDP-related activities.

Job Description will be developed based on the POM and other related documents.

Qishloq Engineers (QE) shall work with MCAs, MDUs, district and regional khokimiyats to advise on the design concept (technical feasibility, cost, potential social and environmental impacts) of investments identified in QDPs, and support MDUs in procurement oversight- and construction oversight-related activities.

The QEs actively participate in all stages of the RIDP mobilization and information activities and assist the QF and MDU in matters requiring engineering experience and knowledge, inform and transfer elementary basic skills on the stages of pre-project preparation, design and construction of the subproject, and also train the MCA on technical issues during the delivery of the subproject into operation and further operation and maintenance of the sub -project for further sustainability

The PIU will develop a series of technical trainings and train QEs and QFs on the topics: “Monitoring and Evaluation”, “Project Sustainability, Operation and Maintenance”, “Sustainable Drinking Water and Sanitation System”, which in turn will transfer these skills and train the MDU;

The QEs responsibilities along the project implementation phases are as follows:

Mobilization Phase:

- Assist QFs to establish and train a local initiative group, the Mahalla Development Unit (MDU), which will oversee the construction progress of the subproject;
- Assist the villagers to competently implement the Mahalla Development Plan, indicating all the existing main infrastructure facilities and in the graphical execution of the mapping of the needs of the mahalla;
- Assist the villagers in the final technically competent choice of infrastructure priorities and the order of their implementation in the future, in terms of prioritizing the needs of rural infrastructure and the feasibility of the subproject;
- Provide technical assistance to the MDU and train them on how to develop an initial project proposal and set up a further structure for the management, monitoring and implementation of the sub-project;
- The QE together with the QF will train the MDU and help complete Form 6.0. “Initial Project Proposal”
- The QE, together with the SCS specialists and the organization involved in the type of subproject, will organize a meeting of the MDU, as well as conduct a joint tour of the village of the planned subproject and fill out Form 6.1. “Initial Defective Act” to determine defects for replacement and scope of construction and installation work for major repairs and reconstruction (this form is not completed for new construction). This document is important for confirming and adjusting the design of the selected subproject and for further development of design estimates and presentation to the DPC and PIU to start funding.
- assist the MDU in selecting sub -projects where access to potable water will be a priority, identify and recommend first steps to determine the feasibility of the subproject and the technical design itself with engineering solutions;
- ;
- In the process of pre-project preparation, the QE will work and control the process of obtaining initial permits from the SCS and, in special cases, the design organization to start the design. For each of these cases, representatives of the MDU will be involved and explained to them the goals and results of these activities;

- The QE will arrange a meeting to select a site for construction, will analyze the proposed land for compliance with the requirements of the project to prepare the decision of the Hokim on land acquisition. They also organize a meeting with the MDU, representatives of SCS and the design organization to sign the final defective act, and later in the design process, if necessary, organize meetings to discuss the final design of the subproject;

Design Phase:

The PIU at the design stage through SCS will ensure the development of the Architectural and Planning Organization of Territories (APOT), the final documents of which are the Detailed Planning Plan with the regional development scheme of the mahalla with urban development maps of the three neighboring villages.

The QEs, together with the specialists of SCS and the MDU, will conduct a joint technical assessment of the state of the planned facility. The composition of the commission will develop the Initial Defective Act. On the basis of this act, SCS specialists (in special cases, a design organization) will begin collecting initial permits, and the development of an Architectural Planning Task (APT).

At this stage, the QE monitors the progress of the collection of the executive permit documentation according to the pre-agreed schedule for the implementation of the subproject.

After that, SCS, on a competitive basis under the coordinate of the PIU, will attract a design organization and conclude a contract for the Design and survey works.

The main tasks of QEs jointly with PIU to start the design:

control and ensure the submission of the defective act of the priority subproject of the MCA, as part of a commission of representatives of the PIU, the MDU, the designer and SCS, a departmental organization. SCS will provide the PIU with an assessment report on the condition of the construction site.

PIU RIS and PIU Procurement Specialist will oversee the preparation of the tender process to bid on a competitive basis a project organization / design firm to identify the most potential executor for the development detailed design documentation for the MCA subproject.

During the design process, if necessary, the QE, together with the MDU, can visit the project developer from design firm to monitor the design progress, notify him of any omissions found or necessary adjustments.

At the stage of completion of the project development, the **QE will organize a presentation of the project developer from design firm in the mahalla**, where the QE will take on the responsibility of facilitating the process of checking the working design, that is, is everything covered by the development, are the changes detected during the design process included, will adjust the proposals from the MCA in the correctness of their requirements, and provide completed Form 6.4 from the MDU based on the results of the presentation of the developed project for compliance with the requirements of the RIDP and the covered needs of the mahalla. If during the presentation an excess of the budget is revealed, the physical impossibility of the technical fulfillment of some requirements of the QE is obliged to clearly explain to the mahalla reason, as well as notify the PIU RIS and SCS about this.

Any meeting with the MDU or meetings on technical matters, the QE must record the minutes with the provision of his senior management and one copy for the PIU.

QE will control the organization and conduct of the tender process by SCS to select a potential contractor for construction work;

QE agree on a calendar schedule for the implementation of design work for further monitoring and control of implementation;

Ensure regular monitoring of compliance with design norms and rules, and examination of project documentation, with the receipt of a working design stamp “For construction” or “In production”

Construction Phase:

QE together with the MDU will organize a visit to the planned subproject for bidders-contractors to study the proposed construction site, and obtain additional information on the design of the subproject and organization of the construction site; The QE participates and assists the MDU in organizational issues at the mahalla level, agrees calendar schedules for the implementation of construction and installation works and equipment, the monitoring schedule.

QE carry out regular inspections of the operational quality control of construction and installation work by the Contractor and completes Form 6.5.;

QE independently, or in a team with PIU RIS and with the PIU Infrastructure Specialist, Specialist of the SCS, will ensure control checks/measurements: quality and compliance of materials, scope of work, and compliance with the technology of construction production of all construction processes;

The QE is responsible for and controls the obligatory execution by the contractor of the certificates of survey of hidden works (Form 6.3.).

The QE is directly involved in the verification of acts of completed work and verification of physical volumes, and confirms their compliance with the project and in kind, based on weekly records of monitoring the implementation of construction and installation works volumes;

The QE jointly with the PIU RISs are responsible for filling Form 6.6.

Timely preparation and submission of reports, taking into account the work of PIU RISs in terms of monitoring the implementation of construction and installation works, to the regional office of the RIDP PIU;

The QE provides a photo report on the implementation of construction and installation works (concealed work, materials used, compliance with the quality of construction and installation works). And also reports to the RISs of the PIU and SCS on the violations or defects identified for the issuance of an Order for the elimination of deficiencies;

- The PIU RISs, in cooperation with the PIU regional environmental and social safeguards specialist, ensures compliance with the requirements of social and environmental safeguards in the implementation of subprojects.

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 GoU¹ 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

¹ The MoEF 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.

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 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	176		176
2021-2022	176		176
2022-2023	189		189
2023-2024	189	117	306
2024-2025		117	306
2025-2026 June		117	117

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 (AWSSS) is presented as Annex 7 to this POM.

Table 3. : RIDP IMPLEMENTATION CYCLE

Step in the Implementation Cycle	Associated Form	Expected Timeline	Responsible Entity
1. RIDP outreach and orientation in participating regions and districts		Month 1	PIU, FPs
2. DPC Establishment		Month 1	RIDP QEs and QFs
3. Village/Qishloq Selection	Form 3.1.1, 3.1.2, 3.1.3	Month 1	RIDP QEs and QFs
4. Village/Qishloq Mobilization (outreach and project introduction in participating qishloqs; understanding the socio-economic situation in communities)	Form 3.2.1, Form 3.2.2, Form 3.2.3, Form 3.2.4	Months 1–2	RIDP QEs and QFs

5. MDU Selection	Form 3.5.1., Form 3.5.2.	Month 2	RIDP QEs and QFs
6. First set of MDU/MCA capacity building trainings	Form 3.6.1.	Months 2–3	RIDP QEs and QFs
7. Qishloq socioeconomic and resource analysis	Form 3.3.1, 3.3.2, Form 3.4.1, Form 3.7.1, 3.8.1, 3.8.2, 3.9.1., 3.10.1., 3.11.1, 3.11.2	Months 2–3	RIDP QEs and QFs
8. QDP preparation (including Subproject options and discussion of QDP at the DPC level)	Form 3.14.1., 3.14.2., 3.15.1., 3.15.2., 3.16.1.	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 Note: Design companies need to present the developed design in the community and that meeting should be verified
10. Second set of MDU/MCA capacity-building trainings and Social Audit #1	Form 3.17.1. Form 3.19.1., 3.19.4.	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, PIU Supervision Engineers, QEs
12. Subproject implementation	Forms 6.5,6.6 Form 3.15	Months 8–18	SCS; oversight from MDUs; regional PIU ESSS and technical supervisors provide periodic oversight
13. Social Audit #2	Form 3.19.2 and 3.19.4.	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, MCA, DPC, regional PIU
15. Social Audit #3, MDU institutional maturity assessment	Form 3.19.3 and 3.19.4	Months 18–24	CPM team with participation from MDU, MCA, SCS, contractors, DPC

Table 4: Description of PLA Exercises for Planning, MDU and Youth Capacity Building, Social Audit and IMI and required attendance by community members / MDU and Youth Members

	Activity	Duration	Description	Attendance Requirement
1	Community Outreach	1-3 sessions (depending on size of MCA)	Large public gathering: Socialization of the program, including principles, roles and responsibilities, infrastructure menu, per capita fund allocation – ensuring community members from each street / neighborhood are aware of the program details.	30 percent of households from each street/ neighborhood/hamlet
2	Public Resources Map	2 sessions	With representatives from each street/neighborhood: Mapping of all public resources, other development projects, population, and distribution of resources/population across each street / neighborhood.	10 percent of all households from each street/ neighborhood/hamlet
3	Mahalla Development Unit (MDU) Selection (15 men, 15 women)	2-3 sessions (depending on size of MCA)	Large public gathering: Describing key criteria of effective MDU members, outlining their roles and responsibilities, selection of a male and female representative from each street/50 HHs.	60 percent of all households from each street/ neighborhood/hamlet
4	Community Participatory Monitoring (CPM) Selection (4-6 people - men and women)	Combined with previous session	Describing criteria for CPM team members, roles and responsibilities, self-nomination and public approval of CPM team (ensuring equal men’s and women’s participation, representation from all areas of the village).	Same as above
5	Well-Being Analysis (WBA)	3 sessions (depending on size of MCA)	Large public gathering: Establish communities’ socio-economic groupings and number of HHs in each grouping, with clearly defined criteria for each grouping. (Four groupings are identified: in-need, low-income, middle, better-off); WBA cards capture access to water for each household	50 percent of all households from each street/ neighborhood/hamlet and 80 percent of MDU and Youth Sub-Committees
6	Men’s and Women’s Seasonal Calendar Only in 1 of 6 communities per QF/QE pair	2 sessions	Separate sessions for men and women (with members from in-need and low-income households), to lay-out their economic activities (by month) during the course of the year.	8-10 male participants from the community and 8-10 female participants from the community (representing all streets/ neighborhoods/ hamlets
7	Disaster Risk Preparedness and Mitigation	1 session	Works up a history of disasters and explores mitigation measures and how these might be addressed through infrastructure	80 percent of MDU and Youth members; men and 3 men and 3 women from each streets/ neighborhoods / hamlets
8	Education Analysis	1 session	Conducted with low-income and in-need households. Lays out the five most common issues related to children’s education (WATSAN, shifts, teacher attitude, etc.).	8-10 male and female participants from the all streets/ neighborhoods/ hamlets
9	Health Analysis	2 sessions	Conducted with low-income households. Separate sessions for men and women. Lays out the 5 most common illnesses amongst men and women, their frequencies, causes, cost associated (days lost at work / treatment).	8-10 male participants from the community and 8-10 female participants from the community (representing all streets/ neighborhoods/ hamlets

10	Water Analysis	1 session	Streetwise consultations held by MDU members and youth sub-committee members, to identify household water access source. This helps show inequities in access to clean drinking water in the MCA.	80 percent of MDU and Youth members; 8-10 men and 8-10 women from low income and in-need households representing all streets/ neighborhoods / hamlets
11	Qishloq Development Plan (QDP)	2 sessions	To review and summarize all previous analysis. Discuss and create a development vision for their MCA. They development milestones and activities to implement the vision. Decide potential activities to be funded by RIDP2, other government programs, and what they can do on their own. Follow-up review meeting held with community to re-verify and ensure agreement.	60 percent of households from each street/ neighborhood/hamlet and 80% of MDU and Youth Members
12	Strengthening Local Institutions (MDU 101)	1 session	Capacity building session for MDU members: Review roles and responsibilities of MDU. Review QDP vision, milestones, and activities. Discuss how to mobilize community for self-driven activities. Review of decision meeting process, ensuring inclusive participation. Meeting management skills (minute taking, follow-up, etc.).	80% of MDU Members
13	Leadership Training for MDU and Youth Subcommittee	6 sessions (3 for men and 3 for women)	Capacity building session for MDU and sub-committee members (separate session for men and women). Leadership: Defining leadership; leadership styles, qualities, skills; discuss leadership journey. Communication session: importance of communication, component and channels of good communication, active listening, public speaking and presentation skills. Conflict Resolution and problem solving: understanding conflict and the role of community leaders, dialogue and mutual learning, resolving conflict and problem solving.	80% of MDU Members and Youth members
14	Social Audit	1 session (At three points in the project)	Purpose is to review progress on project implementation. Three separate social audits are conducted at different times in the project for the following: social mobilization process; halfway through infrastructure implementation; completion of infrastructure.	30 percent of households from each street/ neighborhood/hamlet and 80% of MDU and Youth Members and all CPM members
15	Institutional Maturity Index (IMI)	2 sessions (session 1 after 6 months of MDU selection and 1 session at the end of the	An educative tool that helps MDU members to self-assess their strengths and weaknesses as a local development governance body 6 months after MDU creation and at the end of the program after various capacity building processes	80% of MDU Members

		program)		
--	--	----------	--	--

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)² and public receptions of the President of the Republic of Uzbekistan (Decree of the President No. 5700, February 4, 2019)³ 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

² 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.

³ 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

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 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) Participatory water analysis to identify the number of households from which street/ neighborhood/ hamlet fulfil their domestic water need from which source.
- (g) 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 Selection

Communities that are selected for the RIDP must select a Mahalla Development Unit. During this stage, RIDP facilitation teams (QFs and QEs) will conduct a series of meetings in each qishloq to explain the selection process and the roles and responsibilities of MDU members and choose members from among themselves 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. There should be a certain share of middle-age people (30 to 45 years of age) participating in the MDU, not only the elderly (aksakals)⁴.

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

- (a) Each neighborhood selects one man and one woman (large neighborhoods will select additional members).
- (b) QFs are neutral observers to monitor the selection process.
- (c) The selection of MDU executive members must be conducted by secret ballot, preferably on the same day as the general election.

The MDU is selected for the duration of the RIDP project cycle, beginning from the date of signing the tripartite agreement (form 3.3).

In the event that one or more of the selected MDU members are no longer willing or able to complete their terms as MDU members, the villagers, along with the QF, will conduct a round of selection in the relevant neighborhoods to fill the vacancies. Should an outgoing member also be an MDU Executive Committee member, the new member selected to replace him or her will not automatically assume that Executive Committee seat. Instead, all MDU members, including the newly selected members, 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 selection preparations, , and the selection 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 5) 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.

Table 5. Trainings

Knowledge Transfer	Process Oriented
1. MDU roles & responsibilities 2. Data collection (MCA) 3. Conducting participatory meetings 4. MDU basic accounting 5. Qishloq project monitoring 6. Subproject operations & maintenance 7. Environmental and social safeguards 8. Disaster risk mitigation & management 9. Grievance handling	1. MCA and MDU leadership training 2. Social mobilization 3. Linkages and resource mobilization 4. RIDP outreach 5. Gender mainstreaming 6. Social audit 7. Conflict resolution related to RIDP 8. Development activities outside of RIDP Funds 9. MDU male and female youth Subcommittees

Pro-Poor Development Activities

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 ();
- (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);
- (f) conducting a water analysis to know where households from different streets/ neighborhood/ hamlets obtain water for domestic use;

- (g) 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

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 as well as suitable technical decisions for that. 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.

Note: Facilitators should encourage women to participate in all meetings as one of PDO indicators is that 60% of the participants should be women.

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, The QE with the support of PIU will screen subprojects to identify possible environmental and social impacts using ESMF form 1.1 and submit the form to the PIU regional ESS specialist.
- The PIU regional ESS 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 DF.
- 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 ESS 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) are included in the contract with DFs.

9.2 Preparation of initial permit documentation

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

- 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 (DED)

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 by design firm, they are subject to public consultation before submitting for the expertise. 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. Design firm, MDU members, PIU engineers and QEs should attend the presentation meeting and sign the minutes. **Minutes of public meetings will be kept and will be included in the final ESMPs or ESMP checklists.** One copy of the minutes will be provided to the MDU. The minutes are included within the list of forms – Form. (Form 3.19. Minutes of Public Consultation Meeting)
- The PIU regional environmental and social safeguards specialist (ESSS) will review the quality of the ESIA and EA documents prepared by the DF, 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 ESS specialist will conduct site visits, verify the environmental and social data provided by the 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 ESMP 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 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.
- Terms of the contract will state that, 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. Author's supervision will be established according to the calculation presented to the design organization as an appendix to the contract and includes the total cost of the contract. The author's supervision shall be payable upon acknowledgment of designers visits to the site on hourly bases. The acknowledgment shall be done by the QEs and MDU selected supervisor. 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 design (technical drawings).
- The DEDs will be passed to the SCS and used to tender construction contracts after completion of the 2nd 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. There is Meeting Minutes that they sign (Procurement Commission Minutes that MDU members should sign off). SCS informs the QEs that there will be a Commission Meeting and the MDU members attend.

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.

Matrix of Responsibilities for Subproject Oversight and Supervision:

#	Supervision Activity (Sequenced)	Responsible Entity	Outcome Document	Timeline/Frequency
1	Conduct community consultation	FP with D&S Firm	Form 3.19	Once prior to relevant payment of D&S firm
2	Monitoring of subproject design (for adherence to	PIU Regional Safeguards Specialist	Relevant Safeguards forms	As described in ESMF

	ESS)			
3	Design Supervision	D&S Firm	Logbook according to regulation	As based on Design Contract and SNK P
4	Monitoring Design and Supervision Firm	SCS		As based on Design Contract and SNK
5	Construction Supervision (against design)	D&S Firm		As based on Construction Contract and SNK
6	Independent Monitoring of Progress and quality of works	QE	Form 6.6 (needs to be updated)	Once every two weeks during construction
7	Review of QE monitoring and submission of list of problems projects to SCS	PIU	Agreed templated with SCS or send by letter	As required in urgent cases / minimum monthly reports

The PIU at the design stage through SCS will ensure the development of the Architectural and Planning Organization of Territories (APOT), the final documents of which are the Detailed Planning Plan with the regional development scheme of the mahalla with urban development maps of the three neighboring villages.

The QEs, together with the specialists of SCS and the MDU, will conduct a joint technical assessment of the state of the planned facility. The composition of the commission will develop the Initial Defective Act. On the basis of this act, SCS specialists (in special cases, a design organization) will begin collecting initial permits, topographic and geodetic surveys and the development of an Architectural Planning Task (APT).

At this stage, the QE monitors the progress of the collection of the executive permit documentation according to the pre-agreed schedule for the implementation of the subproject.

After that, SCS, on a competitive basis under the control of the PIU, will attract a design organization and conclude a contract for the development of design and estimate documentation.

Construction phase

After receiving the working draft and design and estimate documentation for the MCA subproject, the specialists of the PIU Procurement Specialists will control and, if necessary, assist in speeding up the tender process in accordance with the requirements of the legislative acts of the Government and other regulatory documents in the construction of the Republic of Uzbekistan, to conduct a construction tender and identify a potential contractor for construction and installation / repair work.

Key activities to be carried out during this phase include the following:

- The contract for construction will explicitly state the people and organizations who can perform site oversight and sign the monthly acts for executed works. Authorized team will include – representative of Construction Company, Technical Supervision Specialist of the SCS.
- 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 in 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 shall supervise the implementation of the subproject by the contractor on a regular basis. RIS in PIU will directly monitor, analyze, and evaluate the work of SCS specialists, Author's Supervision specialists and contractors and their employees. The Inspectorate for Control in the Construction Sector under the Ministry of Construction (TICC) will conduct technical supervision at the construction stages in the presence of the technical supervision of SCS, the designer's supervision of the design organization and a representative of the contractor (according to ADMINISTRATIVE REGULATION on implementation of state construction control at objects approved by the Government decision №496 dated August 20, 2020).
- The SCS carries out registration of subprojects with the Territorial Inspectorates for control in the field of construction and housing and communal services in accordance.
- 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 submit to the local Environmental Department for appropriate action.
- The SCS ensures the fulfillment of contractual obligations for the delivery of construction projects on time;
- The SCS provides project management and systematic technical control of construction work at sites, takes corrective action if deficiencies and defects are detected during the construction process. In cases of partial or complete failure to fulfill contractual obligations, it demands the designer, contractor and other organizations to pay a fine in the prescribed manner.
- Monitoring during subproject implementation will be conducted by SCS engineers and trained MDU members, with periodic spot checks by PIU RIS. QEs will provide adequate training to MDU members with technical capacities to be able to participate in these monitoring activities.
- The MDU will together with QE regularly monitor construction projects, including the quality of contractor materials and work product, schedule delays, and violations of contractual rules and procedures. For this purpose, they will be trained by QEs and provided with simple forms 6,6 to be able to do that.

- When visiting construction sites, the QE conducts monitoring and clarifies that construction works are being carried out in accordance with the monitoring schedule specified in the ESMP/ESMP checklist document. If the QE identifies any deficiencies or non-compliance with the measures specified in the monitoring table, QE informs the ESS Regional Specialist.
- 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, SNK³ 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. Control measurements of the facility after commissioning or completion of construction until the end of the guarantee period of operation are carried out by the State Financial Supervision Inspectorate of the Ministry of Economy and Finance at the expense of the budget of the Republic of Uzbekistan in accordance with the Order of the Minister of Economy and Finance of the Republic of Uzbekistan No. 36 of June 20, 2023.

14. 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.

15. 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 3.01.04-19, “Acceptance of Completed Construction Projects” approved by the Order #27 of the Ministry of Construction dated from 22.01.2020. (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 p.13.)

The handover process will be verified and certified as follows:

- The design firm will certify that construction complies with the design.
- Working commissions are appointed by a decision (order, resolution, etc.) of the customer organization (developer). The procedure and duration of work of the working commissions is determined by the customer (developer) in agreement with the general contractor.
- Acceptance for operation of residential buildings, dormitories, buildings of pre-school institutions, secondary schools, regardless of their departmental affiliation, as well as all housing and civil facilities built with the State budget funds (including through loans guaranteed by the government) is carried out by the State acceptance commissions appointed by khokimiyats
- When accepting site facilities into operation, the State Acceptance Commissions must include: representatives of the khokimiyat, SCS and the PIU;
- 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.

16. 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 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. PROCUREMENT

6.1 Procurement Regulations That Apply to the Project

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

Procurement of all works, non-consulting and consulting services under the project follow the World Bank's Procurement Regulations for IPF Borrowers (July 2016, revised November 2017, August 2018 and November 2020) and are subject to the Bank's Anti-Corruption Guidelines (July 2016). In case of any discrepancies between the local legislation, such as the Public Procurement Law (PPL), and the World Bank's Procurement Regulations for IPF Borrowers, the WB Procurement Regulations shall prevail.

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

a. Project Procurement Strategy for Development and the Procurement Plan

The Project Procurement Strategy for Development (PPSD), developed by the JPIU 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 PPSD also specifies risk management, procurement arrangements, contract management, and overall market analysis related to the RIDP. The

PPSD provided adequate justification for the selection methods in the Procurement Plan (PP) included as annex

b. Roles and Responsibilities of Key Stakeholders (PIU and SCS)

The JPIU, as delegated by the MoEF, has overall responsibility for organizing and overseeing procurement procedures carried out under the RIDP (the “working body” for subcomponent 1 b). The JPIU, in agreement with the MoEF, 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 bidders to clarify the conditions of the procurement.
- Acquaint bidders with the procurement (tender) documentation.
- Accept applications (proposals) from bidders and their registration, security, and confidentiality.
- Request and receive from bidders, in writing, additional information and clarifications regarding the submitted applications (proposals) 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” in each participating region (oblast) as per the Presidential Resolution No 4898 from 25.11.2020 “About the measures to implement RIDP with participation of the WB and AIIB, to provide services to the JPIU 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 estimated price of the works/design services.
- Preparation of procurement/tender documents.
- Place announcements of upcoming project 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 bidders/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.
- Sign contracts with winning bidders and ensure that their projects are implemented.
- In case the SCSs do need outside support to carry out procurement-related tasks they can mobilize a consultant for conducting the tenders or preparation of tender documents. Only qualified, experienced and properly licensed or authorized companies which meet the Bank’s eligibility requirements may participate in tenders using

Bank financing. They shall be selected through a competitive selection process. In case of their services are financed from the local budgets they could be hired in accordance with the Public Procurement Law. In any other case, World Bank's *Procurement Regulations for IPF Borrowers should be followed.*

c. Bidder

The bidder 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 and subject to eligibility as per Procurement Regulations. Bidders can:

- 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 state Customer/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, before the bids or proposals opening, in accordance with the Procurement regulations.
- 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 Arrangements for Component 1a

Provision 5.3 in the Section V Procurement Provisions of the World Bank's *Procurement Regulations for IPF Borrowers* (July 2016, revised November 2017, August 2018 and November 2020) foresees that: *when approaching the national market, as agreed in the Procurement Plan, the country's own procurement procedures may be used, as specified below. These procurement procedures shall be consistent with the Bank's Core Procurement Principles and ensure that the Bank's Anti-Corruption Guidelines and Sanctions Framework and contractual remedies set out in its Legal Agreement apply.*

"Public Procurement Law" adopted on April 22, 2021 and effective on July 22, 2021 is the key document describing the National Procurement Procedures (NPP). Applying the NPP under the project are conditional on implementing the following requirements pertaining to open competitive procurement:

- a. open advertising of the procurement opportunity at the national level;
- b. the procurement is open to eligible firms from any country;
- c. 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;
- d. the Procurement Documents include sufficient provisions, **as agreed with the Bank**, to adequately mitigate against environmental and social (including SEA/SH), risks and impacts;
- e. contracts with an appropriate allocation of responsibilities, risks and liabilities are used;
- f. publication of contract award information;
- g. rights for the Bank to review procurement documentation and activities;
- h. an effective grievance redress mechanism; and

- i. maintenance of records of the Procurement Process.

In all cases, the procurement procedures to be used shall give due attention to quality aspects.

Procurement arrangements for Component 1a apply the NPP, as described above and based on the PPL and other relevant public procurement regulations of the Republic of Uzbekistan (RU) in compliance with the Provision 5.3 in the Section V Procurement Provisions of the World Bank's *Procurement Regulations*.

For these procurement arrangements, the "Estimated Price" for design firms' selection, could be used in line with the Order of the Ministry of Construction #396 dated 19 August 2019 "On the design services cost determination" and before launching each selection the JPIU/SCS shall calculate or assess the estimated price and make sure that it is in compliance with the current average market prices, so the procurement would not fail. "Estimated Price" shall be treated as preliminary estimates and the bids or quotations having the prices higher than the "Estimated Price" shall be also considered, evaluated and could be awarded contract.

There are multiple stakeholders involved in the procurement process under Component 1a, and it is therefore important that they work together in close coordination and collaboration with clear roles and responsibilities to make sure that the procurement is conducted in line with the agreed World Bank relevant procurement rules and regulations. Thus, this sub-section of the POM also provides details of document flow and roles and responsibilities of Central JPIU, regional JPIUs, regional Khokimiyats and other involved parties. The following are (a) principles, (b) responsibilities of the stakeholders, and (c) processes that the project implementation partners should follow:

a) Principles:

1. The followings are mandatory for the implementation of the project activities:

- The Procurement/Bidding Documents used by the designated SCSs in the Regions shall be reviewed and accepted by the Bank before the procurement process starts under the project. The Procurement Documents have been revised and approved by the WB on May 11, 2022 are attached in Annex 6.1 and 6.2.
- The subject Procurement Documents (PDs) and the resulting contracts must include references to the Bank's Anti-Corruption Guidelines and the Bank's inspection and audit rights.

Not meeting these procurement requirements may lead to the remedial actions from the Bank, the most serious scenario being mis procurement declaration.

2. The JPIU, SCSs and other stakeholders should ensure that conflict of interest is avoided in all aspects of the procurement processes and procurement related information obtained within the organization of procurement processes should be kept confidential unless otherwise permitted in line with relevant regulations. The WB eligibility requirements to the consultants and contractors to bid under the Bank project tenders shall be observed too.

b) Responsibilities of the JPIU and SCS:

1. The project implementing agency - MOEF, through the JPIU, has overall responsibility for procurement under the project, including monitoring those procurements carried out by the regional SCS under Component 1a. Specifically, the JPIU shall monitor, supervise closely and provide the support needed to process all procurement activities through STEP. The Regional Procurement Specialists shall be involved into the STEP data entering, to

make sure that the procurement is recorded in the STEP duly and timely.

2. Preparation of Procurement Documents using referred above BDs cleared by the WB, necessary protocols and other procurement related documents are the responsibility of the SCS and JPIU and its regional units. However, SCSs is responsible for preparation and approval of the specific PDs with regional tender committee and uploading the protocols to special national procurement portal and in line with the **signed** with the JPIU **cooperation agreements**.

3. All SCSs/Regional Khokimiyats must ensure that a procurement process may start after the activity is accepted in STEP. The SCS shall communicate to the JPIU as soon as any procurement activity is identified and the regional and JPIU Procurement Specialists shall facilitate submission of the agreed procurement activities to STEP by revising the Procurement Plan. Combining the similar activities into larger packages, so making them more attractive to the potential designers and contractors would be highly recommended. The SCSs should submit the TORs, REOIs, RFBs, etc. duly, so the procurement process is duly documented and managed accordingly through the STEP.

4. The SCSs shall inform the JPIU about the procedural changes which could be imposed by the Government or local authorities, so the proper procurement procedures use is secured under the project throughout the project implementation period. The JPIU may keep posted and consult the Bank accordingly.

c) Processes:

The proposed arrangements would require very close collaboration of the staff of the Central JPIU in Tashkent, Regional JPIUs and SCSs in the regions. Processing and documenting the procurement activities in the STEP gradually will require quick processing large number of procurement documents/packages. The Tashkent JPIU therefore needs to organize its internal working arrangements and working arrangements with the regional SCS to make sure that the procurement plan is revised regularly to add new packages and upload the associated documentation in the STEP accordingly. It is expected that most of the procurement activities would be subject to post review by the Bank, so it depends on the JPIU how quickly, without delays the activities are processed in the STEP.

Packaging contracts for STEP purposes. In STEP, contracts for single village/mahalla may be packaged into one group. Once all documents for the first contract of village/mahalla have been entered into STEP, documents for all other contracts for the same village/mahalla will be downloaded as different lots of the first contract.

The first procurement/bidding document for each type of procurement: works and consulting services will be submitted for JPIU's prior review. That would be required for each Region even when the Region accepts the Procurement Documents which have been approved by the WB. Subsequent bidding documents which are below the Prior Review Thresholds will be subject to post review.

Tender Committee

For the purposes of the procurement processes under Component 1a of the project and due to the great number of subprojects (more than 300) the Tender Committees established at the regional khokimiyats shall be involved in the procurement process. Tender Committee s established at the regional khokimiyats will be responsible for:

1. ensuring that procurement documents are agreed with relevant parties and government agencies;

2. establishing closing dates for submission of bids;
3. defining criteria and methods for assessing submitted bids;
4. establishing the approval of bidding documents;
5. conducting the opening of bids of bidders and sign the bids opening minutes duly and timely;
6. making, a decision on the creation of bids evaluation/assessment group;
7. reviews and endorses the evaluation report prepared by the evaluation group consisting of SCS, Procurement Specialists, and other required experts;
8. endorsement of contract award or rebidding, etc. based on the results of evaluation report.

Tender Committee members must ensure that all members are aware of and follow the requirements of WB Procurement arrangements stipulated above, requirements the PPL, clause 20 on Tender Committees.

It is recommended that Tender Committee includes but not limited to the following members: representative of the SCS as Customer, Regional JPIU Procurement Specialist and, Chairman or Deputy of Mahalla or a designated representative of Mahalla.

2. The proposals of the selection bidders are submitted in accordance with rules established in the BDs strictly by the deadline (date and time) and at the venue, as fixed in the BDs. The proposal may contain a sketch, drawing, photograph and other image, BOQ for the works. The bidder is responsible for the authenticity and reliability of the information and documents provided and has the right to submit only one proposal for a procurement.

3. If by the deadline no proposals or bids have been submitted, the selection shall be deemed invalid. In this case, new selection process should be initiated after revising BDs, as necessary.

4. At the date, time and venue indicated in the BDs, the Customer shall open the envelopes with the proposals, bids submitted by the bidders. The bid opening shall be conducted by the TC or a commission designated by the TC. The bids opening shall be documented in the protocol of the commission which opened the bids. The late bids are not accepted and shall not be considered.

5. Evaluation group assigned by the Tender Committee including SCS staff with the assistance of JPIU Regional Procurement Specialists will prepare Evaluation Report of the proposals for the consideration and approval of the Tender Committee. All proposals of the bidders are evaluated on the basis of the criteria specified in the BDs for the selection and are recorded in the appropriate protocols and attached to the ER. No criteria not specified in the BDs could be used to evaluate or reject the bids. Evaluation of the proposals of the design firms must be completed within ten working days from the date of the submission of proposals.

6. Based on the results of the comparison of proposals, the Tender Committee determines the winner and reflects the results of the selection in the protocol of the results of the assessment of quotations. By the decision of the Tender Committee, in accordance with the criteria specified in the BDs for selection, a ranking of bidders is determined.

7. The procurement evaluation results protocol after its signing is distributed by the SCS within two working days to the bidders. When complaints are received from the bidders, the Tender Committee shall consider the complaints and make an appropriate decision. The ER and bids, proposals are uploaded in the STEP duly.

8. If, within two working days, no complaints have been received from the selection bidders regarding the selection results, an agreement/contract is concluded between the JPIU, SCS and the bidder recognized by the Tender Committee as the winner. Information about the concluded contract based on the selection results is posted by the SCS on a special information portal no later than three working days from the date of its conclusion. The

contract is concluded on the conditions provided in the BDs for the selection and the proposal submitted by the selection bidder with whom the contract is concluded.

9. If the winner refuses to conclude the contract, the right to conclude a contract passes to the next ranked bidder, whose bid was found to be responsive and meets minimum requirements of the BDs cleared by the World Bank. Then the bidder which refused to sign contract unlawfully would be black-listed and the list shall be maintained by the JPIU. In line with the Bidding Declaration they submit you may black-list the company for the project.

10. If the Tender Committee has not determined the winner or no proposals received then the JPIU and SCS may conduct a new selection in line with the rules outlined in this guideline. The PP shall be revised accordingly in the STEP.

11. Relevant Single Customer Services Engineering Company (SCS) and JPIU technical staff will be responsible for monitoring quality of work and consultancy services undersigned contracts within the implementation of the activities under Component 1a of the project.

1. Once procurement plan is revised for new activities and approved by WB in the STEP, the JPIU Procurement specialist together with regional procurement specialists of the JPIU will download all BDs, other supporting documents and protocols of the Tender Committee into STEP accordingly.

Diagram of the procurement process for procurement of design firm under the component 1a):



(ii) Procedures for selection (tender) of the contractors to perform construction works

1. The MOEF JPIU management receives the Qishloq Development Plan (QDP) prepared following the procedures specified in Chapter IV of this POM that identifies the subproject or subprojects to be financed by the RIDP.

2. Relevant Regional Procurement Specialist of the MOEF JPIU under the supervision of the JPIU Procurement Specialist updates procurement plan of the project in STEP and submits it for WB approval;

3. The SCSs drafts the Bidding Documents (BDs), following the templates and methodological guidance to be provided by the JPIU and Regional Procurement Specialists. The annex 6.2 has sample BD to be used for selection (tender) of contractors. BDs should have at least information requirements provided in sample BDs attached in annex 6.2. The bidding for the works shall be based on one stage, one envelope bidding process. The evaluation criteria shall include those listed in the BDs.

4. After the check of BD for conformity to the project procurement requirements and evaluation criteria conformity to the nature of the Works, relevant Tender Committee approves BDs for the specific procurement activity. Upon the BD approval by tender committee the SCS shall issue official signed version of the Bidding document for further distribution.

5. The first procurement/bidding document for each Region and each type of procurement: works and consulting services will be submitted for prior review to the JPIU. All procurement packages not exceeding USD 5 mln equivalent shall be post review and should be documented accordingly in the STEP.

6. Advertisement of public procurement is communicated by placing an announcement of the invitation to bidding in the nation-wide newspaper, online resources, on official websites of the JPIU and regional khokimiyats, as well as in the media at least 15 working days before the deadline for accepting bids. The announcement of the selection must contain the following information per the BDs:

- a. detailed description of works as per State expertise conclusion;
- b. explicit, complete address of the bids/quotations opening venue;
- c. requirements for bidders;
- d. name, surname, position and address of the SCS contacts for clarifications;
- e. deadline for bids/quotations' submission by the bidders, providing sufficient time for bidders to prepare their bids/quotation
- f. Bids' preparation requirements.

Sample announcement is included in the sample BDs attached as an annex 6.2. Depending on the specifics of the procurement the SCS has the right to place an announcement on the selection for a longer period than it is established above.

7. The bids of bidders are submitted in accordance with rules established in the announcement and in the BDs for the bidding in sealed envelopes to the address specified in the announcement. The proposals will be submitted in paper form. The bids shall contain a bid letter, technical information (construction methodology, works schedule, information on staff, and etc), financial capabilities information, information on previous general experience and experience of performance of similar works, as specified in the BDs. All data shall be accompanied with the documented evidences, if so specified in the BDs. The bidders is responsible for the authenticity and reliability of the information and documents provided. The bidders have the right to submit only one proposal.

8. If no bids have been submitted at the end of the deadline for submitting bids, the selection shall be deemed invalid. In this case, new selection process should be initiated after thorough revision of the TDs/BDs, so the re-bidding would be successful.

9. At the date, time and place indicated in the announcement, the Tender Committee opens the envelopes with the bids submitted by the selection bidders. The late bids are not accepted and shall not be considered. The opening of bids will be documented in the protocol of the bids opening commission, signed the same day.

10. SCS staff with the assistance of JPIU Regional Procurement Specialists will prepare protocol of the evaluation of the bids for the consideration and approval of the Tender Committee. All bids of the bidders are evaluated on the basis of the criteria specified in the BDs for the bidding, and are recorded in the protocol of the selection. Evaluation of the bids of the selection bidders must be completed within ten working days from the end of the submission of proposals. The protocol of the selection of the proposals must be signed by at least 2/3 of the Tender Committee members.

11. Based on the results of the comparison of bids, stated in an Evaluation Report, the Tender Committee endorses the winner and reflects the results of the selection (tender) in line with the the evaluation report. The Evaluation Committee forms, in accordance with the criteria specified in the BDs for selection (tender), a ranking of qualified, acceptable bidders determined.

12. The procurement results protocol is forwarded by the SCS to all bidders on the day of its signing within three days. When complaints are received based on the results of the selection (tender), the SCS and JPIU shall consider the complaints and make an appropriate decision. The Bank shall be kept informed about the complaints.

13. If, within two working days, no complaints have been received from the selection bidders regarding the selection results, an agreement is concluded between the JPIU, SCS and the bidder recognized by the Tender Committee as the winner. Information about the concluded contract based on the selection results is posted by the SCS on a special information portal no later than three working days from the date of its conclusion. The contract is concluded on the conditions provided for in the BDs for the selection and the proposal submitted by the bidder with whom the contract is concluded. The JPIU and SCSs in the BDs for the selection may set a condition requesting performance security from the winner before signing relevant contract.

14. If the winner refuses to conclude the contract, the right to conclude a contract passes to the next ranked qualified bidder, whose bid was found to be responsive and meets minimum requirements of the BDs as per WB procurement procedures, and ranked next.

15. If the Tender Committee has not determined the winner or winner refused to conclude a contract and there are no more acceptable bidders then the SCS may conduct a new selection in line with the rules outlined in this POM.

16. Relevant Single Customer Services Engineering Company (SCS) and JPIU technical staff will be responsible for monitoring quality of work and consultancy services undersigned contracts within the implementation of the activities under Sub-component 1a of the project. The Terms and conditions of the contract that will be part of BDs will have relevant clauses.

The World Bank reserves the right to revise the procedures to be followed under the selection of contractor.

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:

1. Prepare proposals for improving public procurement legislation;
2. Send requests to state Customers for information on the implementation of procurement procedures and the progress of the execution of contracts; and
3. 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, mahalla/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.

Procurement-Related Complaints

Procedures for procurement-related complaints follow the Procurement Regulations (clauses 3.26-3.31):

Procurement-related complaints (Complaints) should be submitted to the Borrower in a timely manner, at the appropriate stage of the procurement process, and when so submitted, the Borrower shall address them promptly and fairly. Timeliness, in both the submission of Complaints and their resolution, is of critical importance in order to avoid undue delay and disruption in the project of which the procurement is a part. – The bidder shall submit his/her complaints to SCS/JPIU in 5 business days period after the Notice of intention to award or meeting with tender committee on result of bidding with participation of bidders.

SCS shall forward the received complaints to the JPIU within 3 business days from the date of its receipt. If JPIU gets the complaint directly it shall also notify the respective SCS of the complaint within three business days from the date of its receipt.

The JPIU records the complaints to the STEP system accordingly.

The JPIU jointly with WB’s procurement team shall review the complaint with participation of the SCS and bidder. The JPIU shall take its decision within seven business days from the receipt of the complaint, and shall notify of its decision both bidders and SCS. The decision shall not contain any information, disclosure of which may prejudice legitimate commercial interests of the bidder (Contractor) or hinder fair competition.

In case the complaint is found reasonable, the JPIU 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 JPIU shall be binding upon for all public procurement parties.

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. It is recommended that Qishloq Engineers are also included in the contracts in order to be institutionalized and be able to implement their duties as included in the ToR for Facilitation of RIDP Process. 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 JPIU.

Storage of Procurement Documentation

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

For all JPIU-managed procurement, the JPIU 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.

Adjustments to PPL Procedures Required for the Project

The procurement risk assessment conducted as part of the PPSD sets forth the following mandatory requirements acceptable to the Bank:

- 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 as agreed with the Bank shall be applied for procurement of Works and Selection of Consultants;
- no Starting Price shall be used, unless it is used as Estimated Price and the bids exceeding the Estimated price are considered, evaluated and could be awarded contract.
- No late bids, submitted after the bids submission deadline could be accepted or considered.
- The bids opening minutes shall be signed at the same bids opening meeting or immediately after it.
- the BDs shall request for a duly signed acceptance of the Bank's Anti-Corruption Guidelines.
- the Bank has a right of inspection and audit of the procurement process, documents, including post-review;
- trained village residents should participate in tendering commission;
- no contract price negotiations/reduction is allowed before and after the contract award by the Tender Commission;
- 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 JPIU and SCS shall be made mandatory.

RIDP-Related Responsibilities of the SCS

Steps	Activity
Planning and Design	
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, together with Qishloq Engineers and PIU Specialists on Regional Infrastructure will visit the village to prepare tender / preliminary / estimate documents for contracts for the development of the detailed engineering design.
3.	SCS will ensure conducting transparent tenders in procuring design services/design firm in accordance with national procurement legislation and additional requirements specified above.
4.	SCS will conclude a 3-party contract with the winner of the tender (design firm) and PIU with the terms of payment for services, including an advance payment in accordance with the contract.

5.	The selected design firm, under the guidance of the SCS, will conduct 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. After the presentation, the design organization will develop a complete package of design and estimate documentation, taking into account the proposals and comments of the village representatives that do not contradict the building codes and regulations, for further state expertise.
7.	SCS ensures provision the state examination of design documentation to assess to analyse the compliance of the planned construction for strength, durability, compliance with officially approved fire safety rules, labor and environmental protection requirements and economic standards, which are determined by legal acts of the Republic of Uzbekistan.
Preparation of the Construction Site	
8.	In cases of new construction, the SCS will ensure the necessary land allocation. ESMF and RPF provisions should be taken into account to avoid permanent displacement of people.
9.	The SCS will ensure obtaining permits specified by national construction norms to start construction.
Contractor Selection, Construction, and Financing	
10.	SCS will start development of tender documentation for procurement ??? in agreement with PIU and relevant authorities and will approve tender documents for procurement of construction or restoration works;
11.	SCS together with the authorized government authority and PIU procurement specialist organizes and conducts a tender for the selection of contractors for construction / reconstruction works in accordance with the national procurement legislation and additional requirements specified above;
12.	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
13.	The SCS provides contract management, technical support, and supervision of the construction works during the construction period in collaboration with RIDP Technical Supervisors and Qishloq Engineers, PIU regional staff, and MDU residents involved in monitoring
14.	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

15.	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 design document. The PIU engineers, TICC and SCS will monitor compliance with this requirement
16.	SCS will provide the relevant documents to the PIU for advance and regular payments in accordance with the contract.
17.	Should any contractor violate construction norms or their contractual obligations, the SCS will take the appropriate measures under national legislation
18.	The SCS will report regularly to the PIU on the progress of works, as per Cooperation Agreement to be concluded between the MoEF and Khokimiyat. – it should be noted up in the document and introduce SCS and the Cooperation Agreement – SCS signs CA with the PIU for implementation of the project
Acceptance of the Completed Construction Projects	
19.	The SCS and contractors are responsible for providing timely handover documentation. The handover process will be verified and certified as follows: <ul style="list-style-type: none"> • The design firm will provide a written notification showing that the construction complies with the design. • 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.
20.	<ul style="list-style-type: none"> • After handing-over 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.
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 as built and design documentation, including specifications and passports for construction materials and equipment, signed acts of acceptance of the completed works and etc.
22.	After the expiration of 12 months of the warranty period from the date of approval of acts for commissioning of objects, in the absence of a justified objection from the operating organization, the guarantee amount in the amount of 5 percent is automatically transferred to the account of the construction contracting organization without the participation of the human factor"
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).

6.1 Procurement Processes for Component 1b and Component 2

Procurement of all works, non-consulting and consulting services under Component 1b and Component 2 follow the Project Financing Agreement #6502-UZ signed on January 17, 2020, Presidential Resolution No 4898 from 25.11.2020 “About the measures to implement RIDP with participation of the WB and AIIB”, World Bank’s Procurement Regulations for IPF Borrowers (July 2016, revised November 2017, August 2018 and November 2020) with subject to the Bank’s Anti-Corruption Guidelines (July 2016).

a. Procurement arrangements applicable under the components are described in this para below.

b. 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 JPIU. The PP is to be implemented as approved by the World Bank.

c. Procurement Announcements

For procurement of works, and services for RIDP Components 1b and 2, the JPIU 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 the results of all announced bids will be published on the MIS (www.ridp.uz) 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 Component 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.

d. 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 MoEF 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 members:

- the chair, from the Ministry of Economy and Finance;
- a representative of the Ministry of Investments, Industry and Trade;
- a representative of the JPIU;
- Anti-Corruption Agency;
- 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 JPIU as a result of competitive bidding or selection;
- decide whether to extend the deadline for submission of applications(proposals),

e. 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. The bids opening minutes shall be prepared and signed at the day of the bids opening.

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/bidder has the right to be present at the procedure for opening envelopes.

f. 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 JPIU Executive Director

Bid Evaluation Committees are established by the JPIU executive director for small procurement (less than \$100,000 equivalent) and by Tender Committee for larger procurement. Notification of contract awards is made on behalf of the JPIU executive director. Contracts are signed by the JPIU 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 works, and consulting services to be procured.

Procurement Review by IDA under components 1b and 2

Prior Review. The following contracts procured by the JPIU 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	
Notes: R R] DC Q Q] JB LC SS IC NA	B - request for bids "Q - request for quotations - direct contracting CBS - quality- and cost-based selection IS - quality-based selection IS - fixed-budget selection [IS - least-cost selection IS - single-source (or sole-source) selection - individual consultant selection procedure - 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.

g. 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.

h. 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 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. 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 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 6. ESIA Process for Component 1a: Demand-driven investments in basic infrastructure and services

Step 1	<ul style="list-style-type: none"> a) RIDP Facilitators (QEs) conduct screening of the subproject with regard to prohibited/excluded activities; 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; c) Based on the Environmental Checklist, the environmental category and the type of EA to be conducted by ESSS is recommended – (either a partial ESMP or an ESMP checklist); 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).
Step 2	<ul style="list-style-type: none"> 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. 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. c) The PIU regional ESSS provides this information to the DF to include the ESIA-related activities and safeguards instruments required in the ToR for the subproject design services. <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>
	<ul style="list-style-type: none"> a) The design consultant prepares the ESMP / ESMP checklist as per the ToR b) PIU regional ESSS, FP’s QEs and QFs / RIDP QEs and QFs assist MDUs to organize the disclosure of the community representatives, and affected groups. Formal minutes will be prepared to record inputs provided by the participants. c) The design consultant updates the partial ESMP or ESMP Checklist based on community consultations and submits to the PIU regional ESSS for review.
Step 4	<ul style="list-style-type: none"> a) The PIU regional ESSS reviews the ESMP or ESMP Checklist prepared by the design consultant verifying that necessary permissions and approvals have been

	<p>obtained.</p> <p>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.</p> <p><i>Note: THE WB will carry out prior review of the ESMPs/ESMP checklists from the first three (each fsubprojects rom a different sector) from in each participating region. After that, WB prior only rereview is quired for subprojects categorized as full Category B and require a partial ESMP</i></p>
Step 5	<p>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.</p> <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	<p>The PIU regional ESSS, FP's QEs and QFs / RIDP QEs and QFs , 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</p>

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. Screening of Categories for Proposed Types of Subprojects

No	Project activity	Proposed Category		Remarks	Proposed EA Instruments	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	
3	Intra city transport: Construction/rehabilitation of bus terminals and stops;	B (minor risk)	category, (para 17)		ESMP Checklist	Draft Statement on Environmental Impacts
	Construction of car parking areas;	B (minor risk)	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	DSEI
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)	-		ESMP Checklist for roads rehabilitation	
	Construction of bicycle trial;	B (minor risk)	-		Following good practice	
	Rehabilitation of walkways	C			No further actions after filling the Environmental	

					Screening Checklist	
5	Bridge rehabilitation	B (minor risk)	3 (pl)		ESMP Checklist	DSEI and SEC
	Construction small scale new bridges, including pedestrian ones	B (minor risk)			ESMP Checklist	-
6	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 drains;	C	4 (p27)		No further actions after	DSEI
	Drilling of new shallow wells/rehabilitation of existing for flood control and reduction with installation of pumps	C	4 (p27)		Environmental Screening Checklist and following good civil works practices	DSEI
7	Extension and rehabilitation of water supply networks			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 Checklist	DSEI
	Drilling of new deep-water wells	B (minor risks)	4 (p27)		Depending on environmental sensitivity of location and scale of project - simple EIA and ESMP and/or an ESMP Checklist	DSEI
	Construction/rehabilitation of water reservoirs Overhead water tanks	B (minor risks)	4 (p27)		ESMP Checklist, no further actions after filling the Environmental Screening Checklist, following good civil works practice,	DSEI
	Construction or rehabilitation of pumping stations	B (minor risks)	4 (p3)		No further actions after filling the Environmental Screening Checklist, following good civil works practice, ESMP Checklist,	
	Septic Tanks	C				
	Rehabilitation of waste water treatment plants	B (minor risks)	3 (p2) if WWTP's capacity is less than 50 m ³ /day 2 (p15) if WWTP's capacity more than m ³ /day			Environmental Screening Checklist

8.	Solid Waste Management System: Construction of Solid Waste Processing Facility	B	3(p20) -		ESIA and ESMP	DSEI and SEC
	Construction of collection points	B (minor risks)	4 (p19)		ESMP	DSEI
	Improvement of solid wastes landfill Social infrastructure	B (minor risks)	-		ESIA and ESMP	DSEI
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 asbestos roofs	B	-		ESMP Checklist including Asbestos management plan	
10.	Cultural heritage rehabilitation and conservation	B	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
11.	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)		Same as above	DSEI
	New distribution electrical transformers;	C	4(p17)		Same as above	DSEI
	Installing of short segments of new distribution lines or replacing of obsolete				Same as above	

	pillars;					
12.	Purchasing of public utilities equipment; transportation means.; etc	C	-		No further actions after filling the Environmental Screening Checklist	
13.	Purchasing of public utilities equipment; transportation means.; etc.	C	-		No further actions after filling the Environmental Screening Checklist	
14.	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 ³ /h 4- more than 5 m ³ /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	-	-	No further actions after filling the Environmental Screening Checklist	-
	Installation of solar panels;	C	-		Similar as the above	Environmental Screening Checklist
	Replacement of old heating pipes under roads to be rehabilitated	B (minor risk)			ESMP Checklist	
15.	Smalls scale construction of public facilities (information centers; visitor centers; maintenance facilities; storage facilities)	B (minor risk)	P4(17)		ESMP Checklist	DSEI
16.	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/ESMP checklist, 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/Facilitating Partners, and DC 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/ESMP checklist. 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 ESSS 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/ESMP checklists 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 / FP's QEs and QFs 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 ESMP 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 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 (form-1);
- 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 ESMP/ESMP checklist 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 ESMPs 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/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 Customer (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. After construction and during the guarantee period the complaint boxes are revisited 1/month. After that periods could be longer – once in 3 months.

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.

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

Probable social impacts	Yes	No	Provide details/numbers, if possible
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 affect 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

- 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.
- The PIU Directors and all Project staff are responsible for timely submission of the project consolidated report to the Donor and all stakeholders. All Project specialists at the central and oblast levels are involved in monitoring and evaluation of components under their responsibility.
- 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

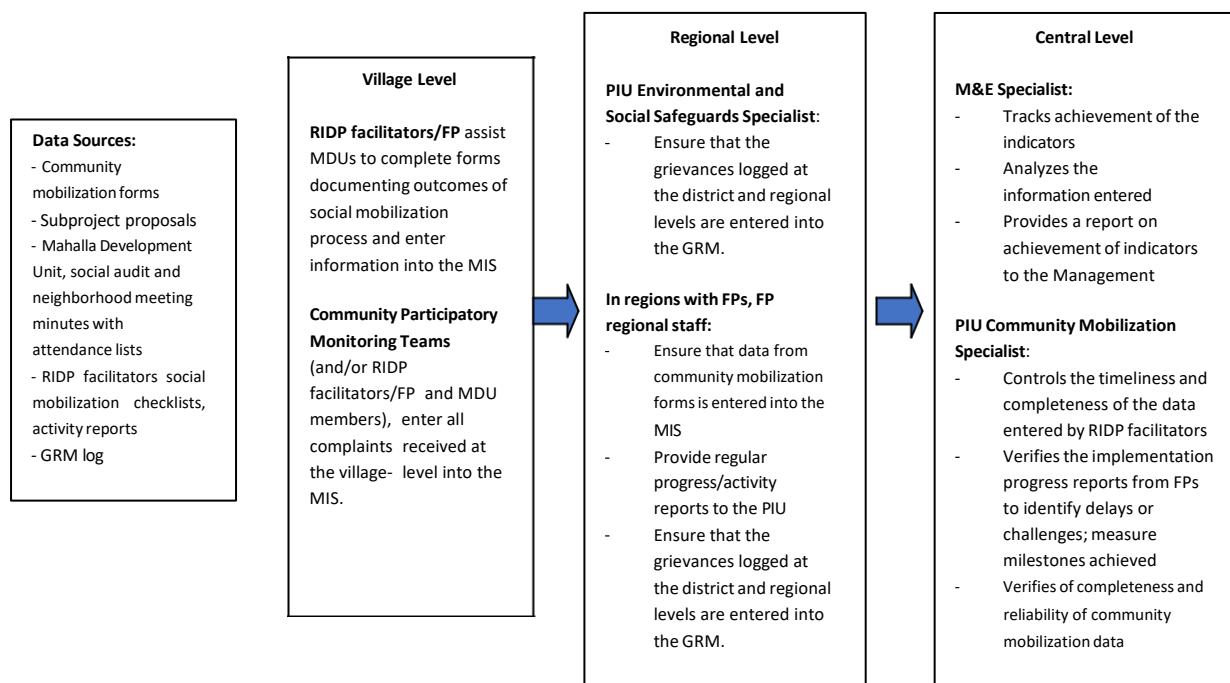


FIGURE 3: DATA FLOW FOR MONITORING CAPACITY BUILDING INDICATORS

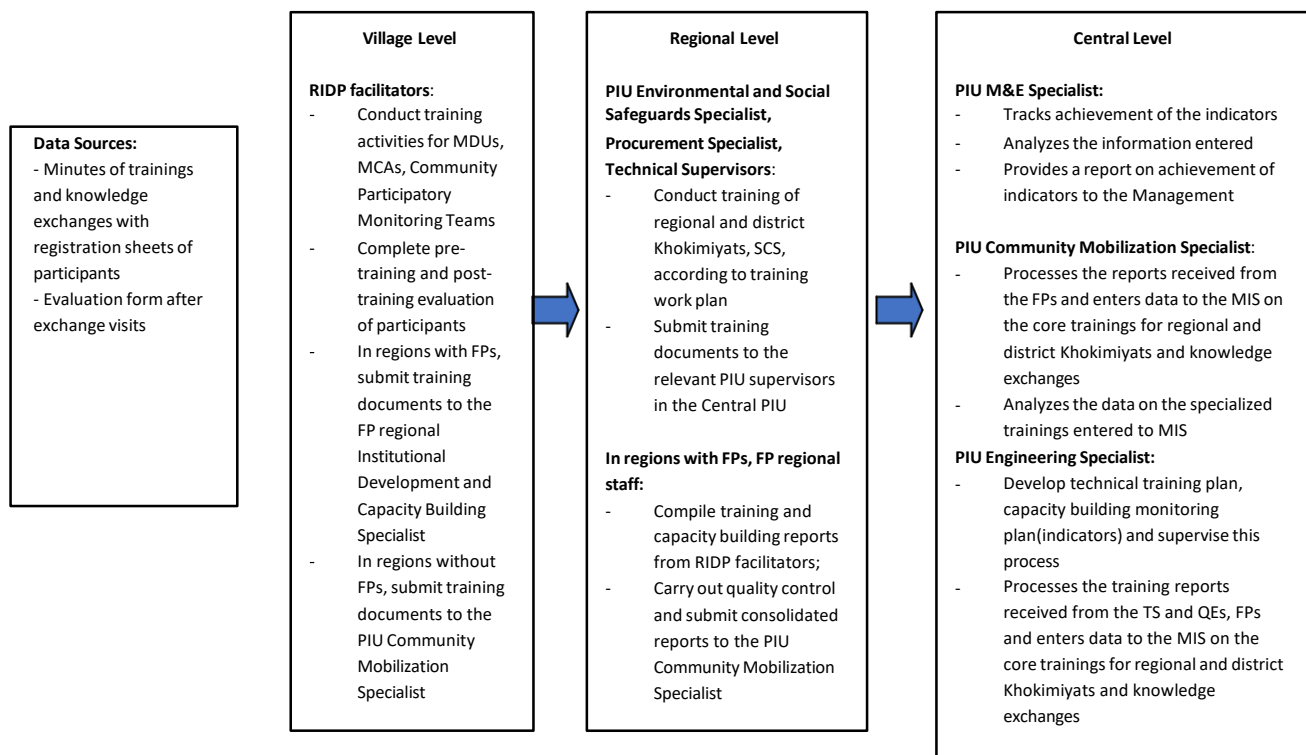
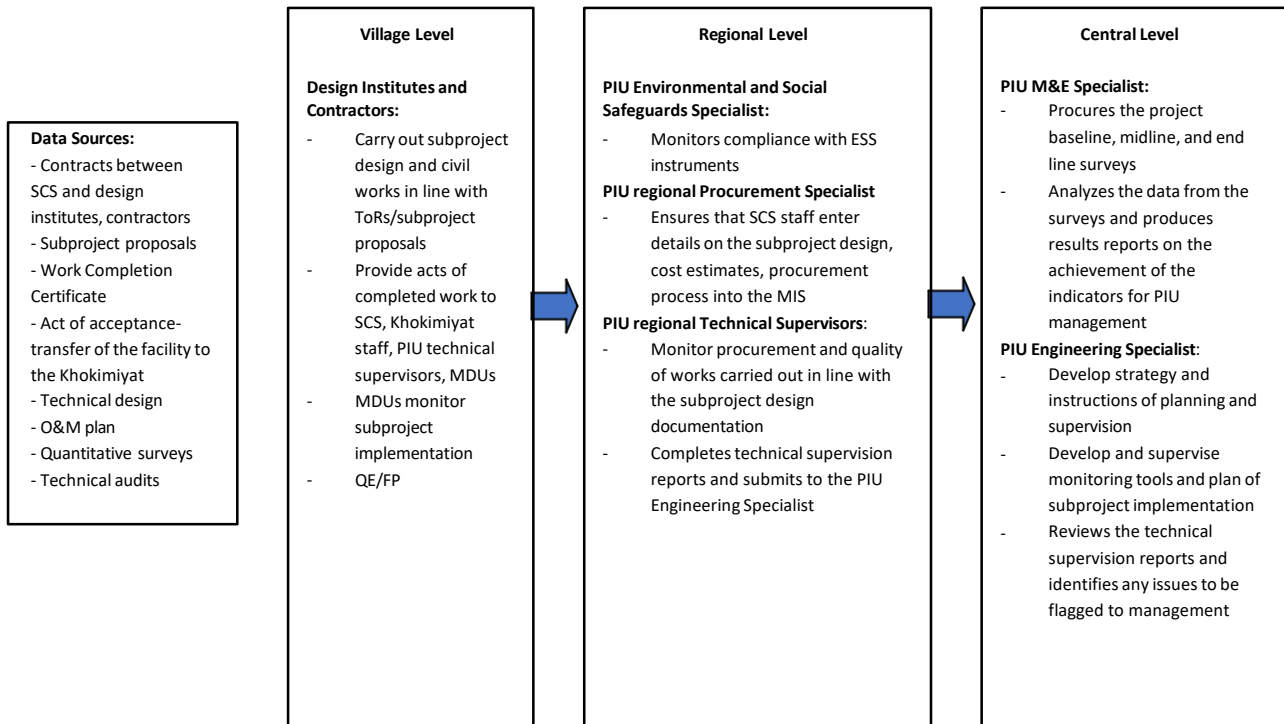


FIGURE 4: DATA FLOW FOR MONITORING SUBPROJECT IMPLEMENTATION



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

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

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.

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

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.

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.

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.

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.

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.

<i>Note: The MCA project committees are equivalent to the Mahalla Development Units.</i>
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
PDO Indicator 2: Percentage of beneficiaries who participate in planning, decision-making, or monitoring subprojects
Description: This indicator measures the level of community engagement in the planning, decision-making and oversight of sub-project investments.
Methodology and source of information: Project MIS. This indicator will be calculated from the MIS forms that report on the number of households with representatives who attend planning meetings, decision-making meetings, and monitoring teams. Two numbers should be reported and reported as percentages: (a) the number of households with representatives participating in one or more of these roles divided by total number of households who live in the participating qishloqs; (b) number of female meeting participants divided by the total number of meeting participants. Note: Male and female representatives from the same household should be counted as representing only one household.
Methodology of Calculation: These figures will be compiled based on field reports and uploaded into the MIS.
Frequency and Reporting: Annual starting year 2
Means of Verification: NA
Responsible for data collection: RIDP facilitators
Target: Intermediate and End Targets are 60% total and 60% women
Disaggregation: This indicator is gender-disaggregated
PDO Indicator 3: Number of social audits that have been completed across the targeted rural qishloqs

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

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

IR Indicator 1.2: Percentage of sampled respondents reporting improved access to basic rural infrastructure
Description: 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.
Methodology and source of information: Baseline, midline and endline project monitoring surveys
Methodology of Calculation: 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
Description: 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.
Methodology and source of information: Sub-project proposals, which will include data on the estimated number of beneficiary households for the water supply projects.
Methodology of Calculation: 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.
Frequency and Reporting: Annual starting year 2
Means of Verification: Proposals for the subproject investment with estimated beneficiary numbers which should be uploaded into the MIS.
Responsible for data collection: RIDP facilitators

Target: End target is 80.00%
Disaggregation: NA

IR Indicator 1.6: Percentage of subproject investments of high technical quality
Description: Measures the technical quality of the infrastructure subprojects.
Methodology and source of information: Technical audit
Methodology of Calculation: 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.
Frequency and Reporting: Baseline, Midline and Endline Technical Audits
Means of Verification: Survey questions that ask about satisfaction with the quality of infrastructure. The survey data is not directly comparable to the technical audit results.
Responsible for data collection: PIU
Target: The baseline value should be reported following the completion of the baseline audit. The Intermediate and End Target is 80.00%
Disaggregation: This indicator is disaggregated by infrastructure type.

IR Indicator 1.7: Number of project beneficiaries
Description: Measures the implementation progress of subcomponent 1a, and specifically, the number of people benefiting from the Project's infrastructure investments.
Methodology and source of information: Subproject proposals which should include the estimated number of male and female beneficiaries.
Methodology of Calculation: 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.
Frequency and Reporting: Annual starting year 2
Means of Verification: For schools and kindergartens, the PIU could check the enrollment figures with the actual schools.
Responsible for data collection: RIDP facilitators
Target: The Intermediate Target is 110,000 total beneficiaries and 55,000 women. The End Target is 330,000 total and 165,000 women.
Disaggregation: This indicator is gender-disaggregated.

IR Indicator 2.1: Percentage of district and regional Khokimiyats completing agreed local governance training curriculum in procurement and oversight
Description: Measure progress of RIDP-related training and capacity building activities for target districts and regional Khokimiyats.
Methodology and source of information: MIS
Methodology of Calculation: 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.
Frequency and Reporting: Annually starting year 2
Means of Verification: NA
Responsible for data collection: PIU
Target: End target is 100.00%
Disaggregation: This indicator is disaggregated by district and region

IR Indicator 2.2: Number of targeted rural qishloqs that produce development plans that reflect community members priorities.
Description: 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.
Methodology and source of information: Social audit forms
Methodology of Calculation: 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.
Frequency and Reporting: Annually starting year 2
Means of Verification: NA
Responsible for data collection: RIDP facilitators
Target: 100%
Disaggregation: NA

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

IR Indicator 2.4: Percentage of women's priorities that receive subgrant financing
Description: Measures women's voice - whether women's priorities are prioritized for project investments
Methodology and source of information: This question will be asked as part of the social audit.
Methodology of Calculation: 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.
Frequency and Reporting: Annually starting year 2
Means of Verification: The baseline, midline and endline surveys will ask respondents their main priorities for infrastructure investments and whether the IDP met these priorities.
Responsible for data collection: RIDP facilitators
Target: End target is 50.00%
Disaggregation:

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)
Description: Measures women's voice and specifically, progress against 50% women targets for Project roles at the qishloq level.
Methodology and source of information: Membership lists for RIDP-related roles

Methodology of Calculation: 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.
Frequency and Reporting: Annually starting year 2
Means of Verification: The MDU membership lists on Form 3.7 should be uploaded into the MIS.
Responsible for data collection: RIDP facilitators
Target: End target is 50% women for Mahalla Development Units and 50% women for social accountability roles
Disaggregation: This indicator is gender disaggregated.

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

IR Indicator 2.7: Percentage of infrastructure subprojects for which procurement data is publicly accessible
Description: Measures the transparency element of participatory local governance processes.
Methodology and source of information: MIS
Methodology of Calculation: 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.
Frequency and Reporting: Annually
Means of Verification: The actual contracts for the works which should be stored in a database managed by the PIU.
Responsible for data collection: PIU
Target: End Target is 100.00%
Disaggregation:

IR Indicator 3.1: Percentage of grievances (gender disaggregated) which are received that are resolved
Description: 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.
Methodology and source of information: PIU
Methodology of Calculation: 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).
Frequency and Reporting: Annually
Responsible for data collection: PIU
Means of Verification: NA

Target: End target is 100.00%

IR Indicator 3.2: Percent of MCA project committees that participate in knowledge sharing events within and across regions

Description: 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.

Methodology and source of information: Field reports and MIS

Methodology of Calculation: These figures will be compiled based on field reports and uploaded into the MIS
--

Frequency and Reporting: Annually starting year 2
--

Means of Verification: Participant lists

Responsible for data collection: RIDP facilitators

Target: End target is 80.00%

Disaggregation:

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
--

Description: Measures the implementation progress of component 2, and specifically, investments in MIS and oversight mechanisms - transparency and citizen engagement.

Methodology and source of information: MIS forms and MIS

Methodology of Calculation: These figures will be compiled based on an audit of the timeliness of data entry into the MIS.

Frequency and Reporting: Annually starting year 2
--

Means of Verification: MIS data
--

Responsible for data collection: PIU

Target: End target is 80%

Disaggregation: This indicator is qishloq-disaggregated
--