

**APPROVED**  
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**CASA1000 COMMUNITY SUPPORT PROJECT (CSP)**  
**FOR REPUBLIC OF TAJIKISTAN**  
**PROJECT OPERATIONS MANUAL**  
**NATIONAL SOCIAL INVESTMENT FUND OF TAJIKISTAN**  
**PROJECT MANAGEMENT UNIT FOR ELECTRO-ENERGY SECTOR**

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## ABBREVIATIONS AND ACRONYMS

BFM	Beneficiary Feedback Mechanism
BT	Barqi Tojik
CASA1000	Central Asia South Asia Electricity Transmission and Trade Project
CASA1000 MDTF	CASA1000 Multi-Donor Trust Fund
CDA	Community Development Adviser
CDD	Community Driven Development
CDF	Community Development Fund
CEP	Committee for Environmental Protection
CoI	Corridor of Impact
CSP	CASA1000 Community Support Project
DA	Designated Account
DFID	UK Department for International Development
DRM	Disaster Risk Management
EA	Environmental Assessment
EIRR	Economic Internal Rate of Return
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESPMU	Project Management Unit for Electro - Energy Sector
FCV	Fragility, Conflict and Violence
FGD	Focus Group Discussion
FM	Financial Management
FY	Fiscal Year
GoT	Government of Tajikistan
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service (WB)
IA	Implementing Agency
IDA	International Development Association
IE	Independent Evaluation
IFR	Interim Financial Report
IPF	Investment Project Financing
ISP	Implementation Support Plan
JPC	Jamoat Project Commission
JDP	Jamoat Development Plan
KfW	German Bank of Reconstruction
Km	Kilometer
kV	Kilovolt
kW	Kilowatt
kWh	Kilowatt hour
LED	Light Emitting Diode
M&E	Monitoring and Evaluation
MIS	Management Information System
MoF	Ministry of Finance
NGO	Non-Governmental Organization
NPV	Net Present Value
NSIFT	National Social Investment Fund of Tajikistan
NSP	Afghanistan's National Solidarity Program
O&M	Operations and Maintenance
OP	Operational Policy (WB)

PCB	Polychlorinated Biphenyl
PDO	Project Development Objective
POM	Project Operations Manual
PPSD	Project Procurement Strategy for Development
RPF	Resettlement Policy Framework
SEE	State Ecological Expertise
SGM	Subgrants Manual
SS	Substation
TFP	Training and Facilitating Partner
UNDP	United Nations Development Programme
USAID	US Agency for International Development
VPC	Village Project Committee

# **CHAPTER 1: INTRODUCTION AND PROJECT OVERVIEW**

## CHAPTER 1: INTRODUCTION AND PROJECT OVERVIEW

### 1.1. Introduction and Background

**The purpose of this Project Operations Manual.** This Project Operations Manual (POM) is intended for staff of the Project Implementing Agencies, the National Social Investment Fund of Tajikistan (NSIFT) and the State Enterprise Project Management Unit for Electro - Energy Sector (ESPMU), and other project stakeholders to guide the implementation of the Central Asia South Asia Electricity Transmission and Trade Project (CASA1000) Community Support Project (CSP). The contents of this POM will also be shared with participating Hukumats, Jamoats, Mahallas, community groups and inform relevant training materials. Revisions (including deviations, modifications or additions) to the procedures set out in this POM, and its Annexes, must be submitted for non-objection to the World Bank. This POM should be read in parallel to the Sub-Grant Manual for the CSP which will guide subproject implementation.

**Background and project rationale.** This project is a part of the CASA1000 family of projects being implemented in Central Asia and South Asia – and refers to the Community Support Project developed to support the CASA1000 Transmission and Trade project. The Tajikistan portion of CASA1000 transmission line (of about 170-km) extends from Sughd province in the north bordering the Kyrgyz Republic, to Khatlon province in the south, covering eight districts and 24 Jamoats. The Transmission Line 3-km corridor of impact (CoI) (i.e. 1.5 km on either side of the TL) includes communities that are economically and socially vulnerable with limited access to public infrastructure and services, including winter energy shortages. As the high-voltage CASA1000 transmission line will not itself provide electricity to communities located nearby, and to share in the benefits expected from the CASA project and create a supportive environment for the project, Community Support Projects (CSPs) are being implemented in all four countries party to CASA1000, including Tajikistan, as a means to mitigate social risk and maximize the socio-economic benefits of the energy investments. Specifically, the CSPs will be predicated on a community driven development approach to ensure that local investments are tailored to community needs and enjoy broad support, and will each establish a longer-term benefits-sharing mechanism, the Community Development Fund, to benefit communities and individuals located within the area of the CASA1000 project through a portion of project revenues from the energy exported/imported during the commercial phase of CASA1000. Each CSP thus aims to put in place the foundation for community engagement in planning, decision-making, implementation, and monitoring and evaluation of local investments.

**Project Development Objective.** The Project Development Objective of CSP is to *engage communities in the development of social, economic and electro-energy infrastructure in order to enhance services, livelihoods and inclusion in target villages near the CASA1000 Transmission Line*. The PDO-level results indicators will measure access to improved electricity, social infrastructure improvements, and economic/livelihoods infrastructure, and the voice/empowerment, inclusion and social cohesion created by the project. PDO indicators will also measure satisfaction with the CSP as a solution to local impacts of the CASA1000 Transmission Line. Indicators will be disaggregated by age and gender where possible.

**The PDO indicators** – The PDO indicators in the Results Framework (see Annex 1.1) are:

- Percentage of target communities with improved access to social and economic infrastructure as a result of project support (target: 90%)
- People provided with new or improved electricity service (corporate results indicator) (target: 120,000)
- Percentage of beneficiaries in target communities who report that their engagement in decision making over project investments was effective (target: 70% total/ 70% women)
- Percentage of young (women and men) beneficiaries who report that their role/voice in local governance has been enhanced as a result of project support (target: 70% total/ 70% young women)



- Percentage of beneficiaries in target communities who report that the CSP is an effective response to the local impacts of the CASA1000 Transmission Line (target: 70%).

## 1.2. **Project Description**

The project is structured around four components, with subcomponents, as follows:

### **Component 1: Rural Electricity Supply Improvements (BT/ESPMU)**

- 1A Village Electricity Supply Improvements in the Corridor of Impact
- 1B Isfara-1 Substation and Village Electricity Supply Improvements in Border Areas
- 1C Energy-related Project Management, Monitoring and Evaluation and Communications

### **Component 2: Community-led Investments in Socio-Economic Infrastructure (NSIFT)**

- 2A Subgrants to Communities in the Corridor of Impact
- 2B Subgrants to Communities in Border Areas

### **Component 3: Community Mobilization, Capacity Building, and Local Governance (NSIFT)**

- 3A Community Mobilization, Youth Engagement and Capacity Building
- 3B Support for Social Accountability and Transparency
- 3C Capacity Building for Improved Local Governance
- 3D Supplemental Facilitation and Capacity Building for Border Communities

### **Component 4: Project Management, Monitoring and Evaluation, and Communications (NSIFT)**

- 4A Project Management and Coordination
- 4B Monitoring and Evaluation
- 4C Communications

## **Overview of CSP Component 1: Rural Electricity Supply Improvements**

**Component 1** focuses on improving the quality of electricity supply in two target areas of the country: (i) the estimated 60 villages that lie within the CoI in the northern, central and southern segments of the Transmission Line as it passes through Tajikistan; and (ii) selected villages in the district of Isfara of Tajikistan, located near the Transmission Line as it passes through the Batken Region in the Kyrgyz Republic. Energy-Related project management, monitoring and evaluation (M&E), and Communications of ESPMU is included in this Component.

**Subcomponent 1A: Village Electricity Supply Improvements in the Corridor of Impact** Subcomponent 1A will fund improvements to the quality and reliability of electricity supply in CoI villages, by upgrading village-level infrastructure. Given the target village locations, all improvements will involve connections to the grid (not alternative forms of energy). Most work will involve: (i) replacement of old/installation of new 10 kV/0.4 kV transformers;<sup>1</sup> (ii) replacement of deteriorated wood poles with concrete poles; and/or (iii) replacement/installation of new 10 kV lines and 0.4 kV self-supporting insulated lines.

At completion, the assets funded under Component 1 will be inspected by BT and subsequently moved to the BT balance sheet. BT will thence be responsible for the operation and timely maintenance of all new equipment and infrastructure as part of BT's regular practice for asset operations and maintenance (O&M), as defined by the BT statute, and legal and normative acts.

### **Subcomponent 1B: Isfara-1 Substation and Village Electricity Supply Improvements in Border Areas**

Subcomponent 1B will provide financing for the design and construction of a 110/10kV substation that

<sup>1</sup> Given budget constraints, Barqi Tojik will prioritize replacement/installation of transformers based on asset condition and technical requirements needed to achieve improvements in the quality and reliability of supply.

will provide electricity to residents in and around the settlement of Vahdat, and increase the supply to the townships of Vorukh and Chorkuh. Specifically, investments in new supply-level 10(6) kV/0.4 kV transformers, and the installation of new 10(6) kV lines and 0.4 kV self-supporting insulated wire will help BT to meet load growth efficiently, address load supply constraints due to congestion in the distribution system, reduce losses, and improve the reliability and quality of the power supply. These investments will supply power to the newly-created settlement of Vahdat (2,700 households), and to neighboring Mahalla 14 and 15 (1,500 households) and Mahalla Nuravshon (500 households).

Finally, the subcomponent will support intra-village electricity supply improvements in the border areas of Vorukh and Chorkuh.

**Subcomponent 1C: Energy-Related Project Management, M&E, and Communications.** ESPMU project management, M&E and communications for the implementation of the electricity-related subcomponents is included in the project as Subcomponent 1C.

### **Overview of CSP Component 2: Community-led Investments in Socio-Economic Infrastructure**

**Component 2** finances sub-project prioritized by communities to improve social and economic infrastructure in the CASA1000 Transmission Line Corridor of Impact and in border areas of Vorukh and Chorkuh contiguous with the subdistricts receiving support from the CSP in the Kyrgyz Republic.

**Subcomponent 2A: Subgrants to Communities in the Corridor of Impact.** Subcomponent 2A will finance subgrant allocations to villages to support priority small-scale socio-economic infrastructure investments in the villages in the 24 Jamoats traversed by the Col. Communities will follow the participatory and inclusive decision-making processes set out in Component 3A. There will be two cycles of subgrants for investments in socio-economic infrastructure, facilities, and services to be carried out in Years 2 and 3 of the project. In Year 4, residual funds will be made available for Jamoat-level investment in youth-led activities.

**Subcomponent 2B: Subgrants to Communities in Border Areas.** Groups of Mahallas in the townships of Vorukh and Chorkuh will benefit from two subgrant allocations to finance village socio-economic infrastructure subprojects and border development investments.<sup>2</sup> Communities will decide the proportion of investment committed to the border development investments described in Subcomponent 3D (a target of 30 percent will be established).

### **Overview of CSP Component 3: Community Mobilization, Capacity Building and Local Governance**

**Component 3** will support the mobilization of communities and youth, and local capacity building in the Col and Isfara target areas. This will include the financing of activities that support participatory needs assessment, planning and prioritization, implementation and monitoring of communities, targeted support for youth engagement, and innovative social accountability mechanisms as well as capacity building for good local governance.

**Subcomponent 3A: Community Mobilization, Youth Engagement and Capacity Building.** The aim of Subcomponent 3A is to build capacity for CDD so that communities are empowered and mobilized, genuinely engage in decision making over the use of their project subgrant allocations and remain engaged throughout each subproject cycle. Activities will ensure that village investment decisions directly involve, and are inclusive of, all community members (including women, youth and the elderly) and are responsive to their needs. It is intended that this will establish a new, participatory model for

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<sup>2</sup> NSIFT will work with the Jamoats and Mahallas in the early stages of the project to establish how the Mahallas will be combined for funding.

community-driven village investment in Tajikistan.

**Subcomponent 3B: Support for Social Accountability and Transparency.** Subcomponent 3B will support a number of social accountability measures to enhance subproject oversight and promote transparency and accountability in the project. The social accountability approaches envisaged in the project aim to: (i) ensure that all local actors are accountable to the beneficiary communities for delivering on project objectives; (ii) build the capacity of local actors, including youth, to play a role in exacting accountability; (iii) allow for complaint and response; and (iv) feed into project monitoring processes through a transparent and structured process of community feedback and action.

**Subcomponent 3C: Capacity Building for Improved Local Governance.** Subcomponent 3C will finance capacity building activities for Jamoat and quasi-government actors. Target Jamoats will also be provided with facilities and equipment for the use of the JPC (including computers, printers, office furniture and conference room furniture for meetings). Capacity building activities will include the Leaders of Mahalla Committees, Jamoat councilors and Administrators, JPC members.

**Subcomponent 3D: Supplemental Facilitation and Capacity Building for Border Communities.** Subcomponent 3D will finance the incremental costs of supporting border development investments in the higher-risk border and enclave communities in the townships of Vorukh and Chorkuh in Isfara. This additional support will include: (i) building the capacity and resilience of local institutions with a focus on border area risks; (ii) engaging youth from border villages in investment planning; and (iii) promoting dialogue and strategic planning on border area development.

#### **Overview of CSP Component 4: Project Management, M&E, and Communications**

**Component 4** will finance Project Management, M&E and Communications costs for NSIFT.

**Subcomponent 4A: Project Management and Coordination.** Subcomponent 4A will finance the incremental costs of NSIFT for overall project coordination, management, and supervision of implementation, and the overall MIS, procurement, and FM, including project audits and BFM.

**Subcomponent 4B: Monitoring and Evaluation.** Subcomponent 4B will support M&E activities to track, document, and communicate the progress and results of the project. M&E will be conducted by an M&E team established in NSIFT responsible for overall compilation of progress and results and funded under this subcomponent.

**Subcomponent 4C: Communications.** A CSP Communications Action Plan will be developed by NSIFT and ESPMU in the POM, with the specific aim of: (i) building village-level support for CASA1000 by improving community understanding; (ii) establishing trust in the CSP and managing expectations by transparently communicating CSP scale, scope, and eligibility; and (iii) providing a communications platform for messaging related to the broader CASA1000 project. The target audience will include community members, VPCs and Mahalla committees, Jamoat councils and JPCs.

### **1.3. Geographic Coverage and Beneficiaries**

**Geographic Coverage.** The project will be implemented in all Jamoats with villages that lie within the CASA1000 Col, defined as 1.5 kilometers from either side of the CASA1000 Transmission Line. There are 60 villages in the Col, traversing 24 Jamoats and 14 districts in the regions of Sughd, Khatlon, and the Region of Republican Subordination. In addition, the project will support target border areas in Isfara district in Sughd region, including Vorukh and Chorkuh townships near the CASA1000 Transmission Line in Kyrgyz Republic (see Map 1 below). It is estimated that about 130,000 people live within the Col, and the project population of the target areas in Isfara district in Sughd region is 73,000. See village lists at Annex 1.2. At the institutional level, BT, ESPMU, NSIFT, and 26 local administrations (24 Jamoats and

two townships) will benefit from the project through capacity building aligned with their institutional responsibilities.

**Map 1.1: CSP Target Communities**



#### 1.4. Roles and Responsibilities of NSIFT and ESPMU

The project will be coordinated through a CASA1000 CSP Working Group established under the Chairmanship of the Minister of Energy and Water Resources. The Working Group will be responsible for overall coordination with other parts of the GoT, coordination on CASA1000 and CSP issues, and will be mobilized to address blockages in project implementation. A representative of NSIFT will join the Working Group prior to effectiveness, to strengthen coordination (See Annex 1.3 for TOR of the Working Group).

Barqi Tojik (BT) through the ESPMU will execute Component 1 of the project. Implementation of all the remaining components of the project will be delegated by the MoF to NSIFT. Given its mandate to rehabilitate and maintain local energy transmission and distribution networks operated through its local electric networks at the province, district, and village levels, BT will have overall responsibility for Component 1. As is well-established practice, BT will delegate implementation of the project to the ESPMU through the Project Implementation Agreement. ESPMU will be responsible for the procurement, FM, technical supervision, and M&E related to Component 1.

NSIFT will serve as the Implementing Agency for Components 2, 3, and 4, including all procurement, FM, technical supervision, and M&E. Launched in 1997 by order of the GoT, and established in 2002, NSIFT has functioned for 20 years as an implementing agency for local-level development projects funded by donors. It is supported with premises and utilities by the GoT and is directly under its control. NSIFT will

manage all aspects of the project associated with community driven development(CDD), ensuring overall compliance with the provisions of the POM. The below table (Table 1.1) provides an overview of the roles and responsibilities of NSIFT and ESPMU for various aspects of project implementation.

**Table 1.1. CSP Implementation – Roles and Responsibilities – NSIFT and ESPMU**

<b>Activity</b>	<b>ESPMU</b>	<b>NSIFT</b>
<b>Community Mobilization</b>	<ul style="list-style-type: none"> <li>• participate in orientation meetings and provide information about Component 1 for Cycle 1</li> <li>• participate in Village meetings and present technical assessment on electrification investments Component 1 for Cycle 1</li> </ul>	<ul style="list-style-type: none"> <li>• lead the full community mobilization processes for Cycles 1,2,3,4 described in Chapter 3</li> </ul>
<b>Subproject implementation</b>	<ul style="list-style-type: none"> <li>• designs for electrification investments Component 1</li> <li>• tender documents and procurement process for electrification investments for Component 1</li> <li>• supervision and monitoring of Component 1-related contracts</li> <li>• acceptance of the goods/equipment and construction works for Component 1 and transfer to BT</li> </ul>	<ul style="list-style-type: none"> <li>• designs for socio-economic infrastructure investments for Component 2</li> <li>• tender documents and procurement process for Component 2 as described in SGM</li> <li>• support communities in supervision of sub-project contracts</li> <li>• monitoring of acceptance of the goods/equipment and construction works and putting on balance</li> </ul>
<b>M&amp;E</b>	<ul style="list-style-type: none"> <li>• project results framework reporting/electricity-related indicators</li> <li>• semi-annual, annual reports to WB</li> <li>• provide data for evaluation firm for baseline, mid-line and end-line evaluations</li> <li>• data transfer to NSIFT for MIS entry on electrification investments</li> <li>• data transfer to NSIFT for BFM entries on electrification investments</li> </ul>	<ul style="list-style-type: none"> <li>• project results framework reporting</li> <li>• semi-annual, annual reports to WB</li> <li>• hiring the evaluation firm for base-line, mid-line and end-line evaluations, oversee evaluations, submit report to the Bank</li> <li>• implementation/oversight of MIS and BFM systems for CSP (including data entry for Components 2 and 3)</li> </ul>
<b>Environmental and Social Safeguards</b>	<ul style="list-style-type: none"> <li>• following safeguards indicated in Chapter 7</li> </ul>	<ul style="list-style-type: none"> <li>• following safeguards indicated in Chapter 7</li> </ul>
<b>Communications</b>	<ul style="list-style-type: none"> <li>• provide inputs to, and support implementation of, Communications Strategy and Action Plan</li> <li>• approval of communication materials</li> <li>• participation in Communications Working Group</li> <li>• support of communications campaign</li> </ul>	<ul style="list-style-type: none"> <li>• provide inputs to, and support implementation of, Communications Strategy and Action Plan</li> <li>• approval of communication materials</li> <li>• participation in Communications Working Group</li> <li>• lead communications campaign for CSP</li> </ul>
<b>Financial Management</b>	<ul style="list-style-type: none"> <li>• follows Financial management arrangements described in Chapter 9</li> </ul>	<ul style="list-style-type: none"> <li>• follows Financial management arrangements described in Chapter 9</li> </ul>
<b>Procurement Management</b>	<ul style="list-style-type: none"> <li>• follows Procurement management arrangements described in Chapter 8</li> </ul>	<ul style="list-style-type: none"> <li>• follows Procurement management arrangements described in Chapter 8</li> </ul>

### 1.5. Legal Framework for Implementation

The legal framework for this POM relies on the Project Financing Agreement, Project Agreement, Project Appraisal Document and other relevant World Bank/IDA documents (guidelines, general conditions,

etc.). The below listed laws of the Republic of Tajikistan serve as additional reference and complement the legal agreements governing the Project.

- Civil Code of Republic of Tajikistan
- Labor Code of Republic of Tajikistan
- Tax Code of Republic of Tajikistan
- Law on Self-Government in Towns and Townships, 1994, and subsequent amendments in 2009 and 2017.
- Law of Republic of Tajikistan "On State Social Insurance"
- Decree of the Government of Republic of Tajikistan No.531 dated October 31, 2008 "On the payment of expenses for travel expenses and procedures for reimbursement thereof for civil servants for foreign trips and within the country" (as amended by Decree of the Government of the Republic of Tajikistan No.352 dated June 3, 2014 and last amendment No.38 dated January 31, 2015)
- Law on accounting and financial reporting in the Republic of Tajikistan dated March 2, 2011.
- General conditions of the IDA Loans and Grants dated July 31, 2010
- Decree of Government of Republic of Tajikistan "On the rules for bids opening procedures for the goods, work and service".
- World Bank's Guidelines on allocation of funds for project implementation.

#### 1.6. Guiding Principles

CASA1000 CSP implementation will be conducted in accordance with the following principles:

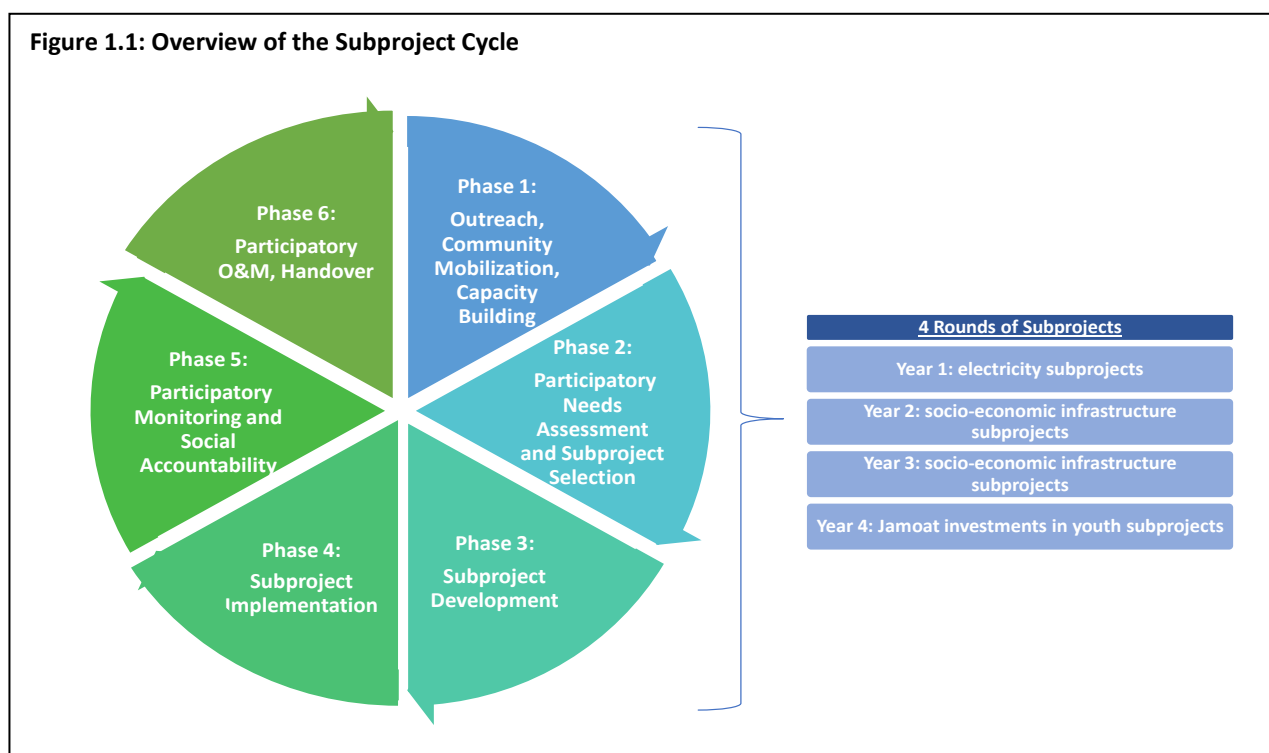
- **Community-driven investments.** CASA1000 CSP will support investment proposals identified by the community. The priority selected by the community shall not be influenced by NSIFT staff, Jamoat officials or other third parties. Social accountability measures, such as social audit meetings, are included in the design of the Project to ensure this outcome.
- **Pro-poor outcomes.** CASA1000 CSP is intended to benefit the poor. This is consistent with the poverty reduction and shared prosperity goals of the World Bank and the intent of the PAD. Poor communities, and poor and vulnerable residents in wealthier communities, will be the beneficiaries of project support.
- **Youth engagement.** CASA1000 CSP will benefit young men and women and support them to participate in community leadership roles. Half of VPC members and CDAs should be under the age of 30 and special roles as Youth Energy Ambassadors and Youth Monitors have been designed to create additional leadership roles for young men and women.
- **Gender equitable outcomes.** CASA1000 CSP will ensure gender equity: women should constitute 50% of participants in all Project-facilitated events and committees (including holding 50% of positions on the Village Project Committees (VPCs) and the Jamoat Project Commissions (JPCs)); and women should benefit equally from subprojects (with a target of 50% of sub-project coming from women's identified priorities and 50% of project beneficiaries being women). A Gender Action Plan to ensure these results is attached in Annex 1.4.
- **Transparency and Anti-corruption.** CASA1000 CSP will be implemented with the highest standards of transparency, both between NSIFT, ESPMU and the World Bank, between NSIFT, ESPMU and the communities, and between local Committees and community members. Trainings will include transparency and accountability guidelines and key stakeholders (e.g. Jamoat and Village Project Committee members) will sign Code of Conduct. (A Code of Conduct template is attached as Annex 1.5.)
- **Institutionalization and alignment with local government processes.** CASA1000 CSP will support sustainable improvements to local government capacity. The project will support good practices in the formulation of the local development planning (e.g. Jamoat Development Plans) and provide capacity building to Jamoat councilors and administrators and Mahalla and village leaders to help

them perform their responsibilities. Where possible, CSP activities will build on existing community and local self-government structures.

- **Conflict-sensitive community driven development.** Additional community facilitation support will ensure that community mobilization, capacity building and subproject investments in border areas are delivered in ways that are sensitive to local tensions and competition over natural resources and services, enhancing cross-border connectivity and cooperation, and promoting the participation of at-risk young people and the meaningful participation of women.

### 1.7. Structure of Subproject Cycle

Figure 1.1 provides an overview of the project cycle that is described in detail in Chapter 3 of the POM:



- **Phase 1- Outreach, Community Mobilization, and Capacity Building.** Orientation meetings will be conducted by NSIFT/ESPMU at the village, Jamoat, and district levels to provide local stakeholders and community members with detailed information about the CSP and the CASA1000 Transmission Line. The amount of the subgrant allocation to each village will also be provided at orientation. This will be followed by participatory selection of community and youth representative and formation of community and Jamoat committees.
- **Phase 2 - Participatory Needs Assessment and Subproject Selection.** Adopting the participatory rural appraisal approach, the Village Project Committee will organize and help facilitate focus group discussions (FGDs) and other consultations aimed at engaging women, elderly, youth, entrepreneurs, professionals, and vulnerable households. Priorities raised will then be discussed and ranked at village prioritization meetings, included, where relevant, in Village Development Plans (VDPs), and communicated to the Jamoat Project Committee for endorsement.
- **Phase 3 - Subproject Development.** For electricity investments, ESPMU will develop the electricity subproject design. For socio-economic infrastructure investments, the JPC will check the feasibility of the proposed subproject against the subgrant included in the Jamoat Development Plan, work with the VPC to develop the subproject proposal, and request NSIFT to carry out feasibility checks and the detailed design. The JPC will also work closely with NSIFT on the development of the subproject

design, including addressing any safeguards requirements. NSIFT will prepare the technical designs and tender packages in accordance with regulations, utilizing relevant standard government designs as appropriate.

- **Phase 4 - Subproject Implementation (covered in CSP Subgrants Manual (SGM)).** For electricity investments, ESPMU will take responsibility for procurement. For socio-economic infrastructure investments, community procurement will be undertaken by JPCs with the support of NSIFT as described in the SGM. VPCs will be empowered and trained to check that tender documents reflect their village prioritization, sign off on tender documentation, nominate a member to sit on the tender committee, and oversee implementation on site (e.g. safety of materials, progress against schedule), utilizing a structured process of feedback to the NSIFT project management team.
- **Phase 5 - Participatory Monitoring and Social Accountability.** Youth monitors from each community will also be nominated to carry out active participatory monitoring and oversight roles. Utilizing community scorecards and social audits, biannual community check meetings will be implemented to make mid-course corrections and inform project results.
- **Phase 6 - Participatory Operations and Maintenance and Handover.** During subproject implementation, communities, through the Mahalla-associated VPCs, will be mobilized to form O&M committees, supplementing O&M provided by line ministries. These committees will ensure effective management and sustainability of the village investments following the completion of subprojects. Minor repairs will be undertaken by the villagers, while more major repairs and maintenance will be undertaken by the relevant government departments at the Jamoat or district level

**Four cycles of subprojects.** It is anticipated that there will be four cycles of subprojects to target communities, one per year:

- **One cycle of subgrants forelectricity infrastructure**, facilities, and services to be carried out in Year 1 (with a shortened CDD process that reflects technical inputs from ESPMU on village electricity needs; and selection by communities from a limited menu of possible infrastructure investments)
- **Two cycles of subgrants for investments in socio-economic infrastructure**, facilities, and services to be carried out in Years 2 and 3 (following the full CDD cycle)
- **A final cycle of subgrants in Year 4**, using residual funds which will be made available for **Jamoat-level investment in youth-led activities** (building on capacity building during the first three years of project implementation. This will also be a shortened CDD process reflecting youth-identified needs)

## 1.8. How to Use this Project Operations Manual

**This POM is organized to provide step-by-step implementation guidance** for NSIFT and ESPMU staff as well as for additional project stakeholders. The body of the text provides steps that should be followed for each subcomponent of the project, with separate sections for NSIFT and ESPMU as relevant. Annexes provide more detailed instructions and templates for documents to be used during implementation and should be read with the relevant sections. Annexes are an integral part of the POM. A complementary Sub-Grants Manual that should be read in parallel with the POM provides details regarding implementation of Component 2 socio-economic infrastructure sub-grants including the eligibility, financial management and procurement arrangements for subgrants.

The overall structure of the POM is as follows:

- **Chapter 1: Introduction and Project Overview**
- **Chapter 2: General Project Information** describes the scope and approach for electricity and socio-economic infrastructure subprojects, community roles and responsibilities, and overview of the plan for capacity building for local governance



- **Chapter 3: NSIFT Community Subproject Cycle and How-To Manual** provides a detailed overview of each step of the community subproject cycle including guidelines for the implementation of community mobilization and youth engagement activities in both the Corridor of Impact and Isfara border areas
- **Chapter 4: Project Management** provides an overview of project management, including staffing, training and governance Part A for NSIFT and Part B for ESPMU
- **Chapter 5: Communications** provide communications arrangements and tools
- **Chapter 6: Monitoring and Evaluation** discusses knowledge and learning through the project, including monitoring and evaluation
- **Chapter 7: Environmental and Social Safeguards** give an overview of social and environmental safeguards
- **Chapter 8: Procurement Management** provides guidelines for Project procurement
- **Chapter 9: Financial Management and Disbursement Arrangements** provides guidelines on Project financial management and disbursement arrangements.

The **Annexes** provide additional details, forms, terms of reference, and guidelines for the Project.

Any proposed changes/modifications to the POM following initial approval require World Bank review and non-objection. Any changes should be submitted to the World Bank in track changes mode and included in the table below (Table 1.2) to enable tracking of POM revisions over time.

**Table 1.2: Tracking of Revisions to POM**

Justification for revision	POM sections updated	Date

## **CHAPTER 2: GENERAL PROJECT INFORMATION**

## CHAPTER 2: GENERAL PROJECT INFORMATION

### 2.1. Introduction

The following Chapter provides general project information based on the Project Appraisal Document. This includes the scope and coverage of electricity and socio-economic infrastructure sub-grants under Components 1 and 2 of the project, community actors and roles in the community driven development cycle, and details regarding the local governance capacity building activities that will accompany the community engagement cycle. This Chapter can be read alongside Chapter 3 which details the community sub-project cycle and the accompanying sub-grant manual which focuses on financial management and procurement aspects of subproject implementation.

### 2.2. ESPMU Scope and Coverage – Subprojects to Improve Rural Electricity in the Corridor of Impact and Border Areas

Rural electricity subprojects focus on improving the quality of electricity supply in two target areas of the country: (i) the estimated 60 villages that lie within the Col in the northern, central and southern segments of the Transmission Line as it passes through Tajikistan; and (ii) selected villages in the district of Isfara of Tajikistan, located near the Transmission Line as it passes through the Batken oblast in the Kyrgyz Republic. The GoT has prioritized support for the Isfara district as a key element of the project, given its proximity to the target areas of the CSP in the Kyrgyz Republic. This coverage will ensure that communities on both sides of the border are sharing in the benefits of CASA1000.

**Village Electricity Supply Improvements in the Corridor of Impact:** While 93 percent of households in the villages within the Col are connected to the electricity network, it is estimated that 75 percent suffer from low voltage, frequent outages and significant safety risks due to an aging system, especially during winter, when weather conditions are poor and demand is high. In addition, over the last decade, an estimated 10-20 percent of villages has experienced significant population growth and are expanding to adjacent areas to accommodate these (mostly young) households. Village power supply has not been upgraded to ensure access to and quality of supply for these populations, and many households are not formally connected to the village power supply. The Village Power Supply Study, completed during preparation, notes that services would be significantly improved through efforts to replace: deteriorated lines, 90 percent of which have been in operation for over 50 years; replace outdated and potentially dangerous village-level transformers, 67 percent of which have exceeded their useful life; replace deteriorating wooden poles; extend supply to new neighborhoods; and install street lighting, especially near public buildings and busy roads.

**Scope and coverage.** As the CASA1000 is a trade Transmission Line, and communities along the Transmission Line route do not benefit directly from the electricity being transmitted, the CSP will provide support for village-level energy investments for communities within the Col by supporting local-level infrastructure and equipment improvements. Starting in Year 1, the CSP will support investments to improve year-round quality, reliability, and efficiency of electricity in the villages in the 3 km-wide Col. Efforts to improve energy services will be supplemented by potential investments in street lighting and energy efficiency investments supported under investments in socio-economic infrastructure subprojects in rounds 2 and 3 (Years 2-3).

The project will fund improvements to the quality and reliability of electricity supply in Col villages, by upgrading village-level infrastructure. Given the target village locations, all improvements will involve connections to the grid (not alternative forms of energy). Most work will involve: (i) replacement of old/installation of new 10 kV/0.4 kV transformers; (ii) replacement of deteriorated wood poles with concrete poles; and/or (iii) replacement/installation of new 10 kV lines and 0.4 kV self-supporting insulated lines. These investments in village electricity supply will help communities access a more regular and reliable power supply, reduce technical losses, improve voltage conditions in the main load areas of the target villages, and reduce the safety risks associated with an aging system.

Preliminary data for villages in the Col suggests that in about 65 percent of villages, demonstrable improvements in service provision would be achieved through village-level investment in some, or all, of this bundle of electricity infrastructure and equipment. The study estimated that the cost of full replacement (for 60 villages) is about US\$7.5 million; however, with a budget of US\$4.7 million, the allocation of funds for village electricity improvements will be based on the cost of upgrading services towards an agreed service standard. Given budget constraints, the average allocation is US\$78,000 per village for the 60 villages in the Col. (Some villages will require less investment, but a cap of US\$100,000 will be set for any one village.)

Further, complex study and analysis by the individual expert will show the exact needs allocation funds for village's electricity improvements. Should communities wish to invest more than the allocation to further improve or expand their electricity services, this will be possible during a cycle of socio-economic subgrants (funded under Component 2). In those villages where it is not feasible or technically practical to launch village electricity improvements in the first year, the project will offer alternative options under Years 2 and 3, allowing communities to choose from a relatively open menu of social or economic infrastructure; to carry over subgrant allocations to the following year; or postpone village electricity improvements until later in the project.

**Procurement and installation.** Barqi Tojik (BT), the state-owned power company, will identify the infrastructure and equipment gaps in the target villages and engage a technical consultant to carry out the technical design of the electricity improvements. The State Enterprise Project Management Unit for Electro-Energy Sector (ESPMU) will be responsible for: (a) procuring power equipment supply and installation in villages either through open tender supply and installation contracting or based on supply of goods contracting; and (b) supervising the implementation of the installation. For the Procurement and installation, ESPMU is intended to engage individual consultants for component 1:

1. Individual consultants for subcomponent 1A, who are responsible for preparing a report on the number of villages and their needs in the energy sector, technical specifications, bidding documents, clarification, and evaluation of the proposals of the participants, the conclusion of contracts, technical supervision and other works that are described in the terms of reference.
2. Individual consultants for subcomponent 1B, who are responsible for the report on the number of villages in Chorkuh and Vorukh, updating technical specifications, bidding documents, clarification, evaluations of participants' proposals, conclusion of contracts, technical supervision and other works that are described in the terms of reference.
3. The procurement plan provides for an individual consultant on environmental and protective measures.
4. Two main Contracts for purchase supply and installation of equipment for component A (subcomponent 1A, 1B) will be procured in accordance with the procedures of the World Bank's National/International Competitive Bidding.

**Operations and maintenance.** At completion, the assets funded under Component 1/electricity subprojects will be inspected by BT and subsequently moved to the BT balance sheet. BT will thence be responsible for the operation and timely maintenance of all new equipment and infrastructure as part of BT's regular practice for asset operations and maintenance (O&M), as defined by the BT statute, and legal and normative acts. IDA will not finance any tax liabilities for these assets.

**Village Electricity Supply Improvements in Border Areas.** This area borders the subdistricts receiving support from the CSP in the Kyrgyz Republic and has been explicitly included in the project to bring small infrastructure improvements to the Tajikistan side of the border (as well as that planned in the Kyrgyz Republic) and minimize any risks that could emerge. These densely-populated settlements struggle with unreliable electricity supply and low voltage, especially during winter. The system is not only old and constantly deteriorating, but also vastly overloaded. The project will target support for improvements in the quality of electricity supply to this area, including: (i) upgrades in the township of Vorukh (a Tajik enclave in the Kyrgyz Republic), and the border area of Chorkuh, which have a combined population of approximately 73,000. The Project will support intra-village electricity supply improvements similar to the electricity subproject described above in the border areas of Vorukh and Chorkuh. Early estimates suggest that an estimated US\$0.50 million investment is needed in Vorukh and Chorkuh to reach the agreed service standard defined above. As it has been discussed ESPMU will hire individual consultants who will be directly engaged in preparation of the bidding documentation for 60 villages in the Col and border villages Chorkuh and Voruh. After carrying out of the all-round analysis, designing and estimations, and also preparations of the bidding documentation the final scope of works at these villages will be defined. Thus the priority in bidding documents will be given only to key elements that have a main role in an electrical supply of the given villages. Therefore now has great value of definition of the key elements, instead of it is simple distributions of allocations on equal between the target villages.

**Vahdat Substation:** The preparation of final designs and construction of a 110/10kV substation that will provide electricity to residents in and around the settlement of Vahdat, and increase the supply to the townships of Vorukh and Chorkuh. Subcomponent 1B will provide financing for the construction and reinforcement of 110/10 kV BT distribution networks, including lines and substations, and supply networks to three new Mahallas. Specifically, investments in new supply-level 10(6) kV/0.4 kV transformers, and the installation of new 10(6) kV lines and 0.4 kV self-supporting insulated wire will help BT to meet load growth efficiently, address load supply constraints due to congestion in the distribution system, reduce losses, and improve the reliability and quality of the power supply. These investments will supply power to the newly-created settlement of Vahdat (2,700 households), and to neighboring Mahalla 14 and 15 (1,500 households) and Mahalla Nuravshon (500 households).

BT will engage a technical consultant in Year 1 to carry out the technical design of the new Isfara-1 Substation and the connection to the 110 kV line distribution networks, including lines and substations. Final data on designing of new 110/10 kV Isfara-1 substation and detailed drawings of connection TL-110 kV will be shared by using regional and national base cost comparisons after end of the detailed analysis and an estimation from the given adviser in the form of the appendix. ESPMU will take responsibility for: (a) procuring the BT-specified equipment through open tender supply and installation contracting; (b) procuring power equipment for installation in villages based on supply of goods contracting; and (c) working with BT on the installation and launch of the village-level power supply. BT will carry out supervision site visits to review and confirm that equipment and infrastructure is properly maintained. At completion, the assets funded under Subcomponent 1B in Isfara will also be moved to the BT balance sheet. IDA will not finance any tax liabilities for the transfer of these assets. BT will be responsible for

the operation and timely maintenance of all new equipment and infrastructure as part of the BT's regular practice for asset O&M as defined by the BT statute, and legal and normative acts.

When fully operational, approximately 40 percent of the electricity passing through the Isfara-1 Substation will be used to provide electricity to the newly-created settlement of Vahdat, 40 percent will strengthen supply to existing neighboring villages located in Isfara district (including Mahalla 14 and 15 and Mahalla Nuravshon), and the remaining 20 percent will be a reserve for future development purposes. However, until Vahdat is completed, BT will utilize all 100 percent of electricity in strengthening the Isfara grid, thus providing more reliable power supply to neighboring townships, including Vorukh and Chorkuh. The estimated cost of the new Isfara-1 Substation with connection to the main grid 110kV line, and the transformers, poles and wires to connect the settlement and residents of Vahdat is US\$4.0 million.

### **2.3. NISIFT Scope and Coverage – Subprojects to Improve Socio-Economic Infrastructure in the Col**

**Subgrants to Communities in the Corridor of Impact.** Rural villages in the corridor of impact face a range of service delivery deficits in relation to water and sanitation, irrigation, street lighting, and health infrastructure and services that could be addressed through small-scale investments. Rural women and female-headed households in Tajikistan are also more at risk for poverty and extreme poverty, and deficits in service delivery and the rural youth inactivity rate are high and growing. Small project investments in village-level socio-economic infrastructure, including those prioritized by women and youth, can improve services, livelihoods and safety for communities in the Col. The project will finance subgrant allocations to villages to support priority small-scale socio-economic infrastructure investments in the Col villages in the 24 Jamoats traversed by the Col. Communities will follow the participatory and inclusive decision-making processes detailed in Chapter 3 of the POM. There will be two cycles of subgrants for investments in socio-economic infrastructure, facilities, and services to be carried out in Years 2 and 3 of the project. In Year 4, residual funds will be made available for Jamoat-level investment in youth-led activities.

**Subgrant allocation.** The village subgrant distribution formula (for each of the two cycles of CDD investment) will be based on five criteria: (i) the target population size; (ii) poverty; (iii) conflict risks; (iv) a participatory assessment of tertiary infrastructure needs (“infrastructure gap”); and (v) proximity to the CASA1000 Transmission Line (see Sub-Grant Manual, Section xxx for details on the allocation formula). The distribution formula will also ensure that sufficient resources are allocated to ensure that the investments can have impact. Villages will be banded into five groups, with each group receiving a grant amount driven by the formula. The subgrants for very small villages will be no less than US\$20,000 per cycle, and for the largest villages (with populations over 4,500), no more than US\$175,000 per cycle. The average investment per village will be about US\$70,000 for each of the two CDD funding cycles. To provide flexibility to respond to local needs, communities may choose to carry over subgrants from cycle 1 to cycle 2 should they wish to accumulate their grant and undertake one subproject of a higher value. It will also be possible for neighboring villages to combine their resources and enter into joint projects (e.g. village roads).

**Scope of investments.** Village subprojects will be selected from an open menu of small-scale social and economic infrastructure and facilities. Eligible subprojects may include, but are not limited to, medical points, kindergartens, street lighting, school improvements, village-level water supply and sanitation, small-scale rehabilitation of on-farm irrigation systems and tertiary roads, and economic infrastructure, such as small-scale processing facilities for horticultural products, cold storage facilities or farm machinery workshops. Support for village electricity supply, in addition to that financed under Component 1, will also be eligible should communities wish to further improve electricity services. The types of work may involve new construction, improvement, upgrading, rehabilitation, demolition, repair, renovation, retrofitting or maintenance. It is intended that 50 percent of subprojects demonstrate benefits for youth and 50 percent for women. A negative list is included in Box 2.1 and in the Subgrants Manual (SGM), Section XX.

**Box 2.1. Negative List of Socio-Economic Infrastructure Investments**

- Require physical relocation or displacement;
- Will cause negative impact on income/livelihood resources;
- Involve any kind of forceful evictions of people;
- Negatively impact assets of individual(s) or household(s);
- Do not meet the required technical and quality specifications;
- Have negative environmental or social impacts that are irreversible, create cumulative impacts and/or cannot be adequately mitigated;
- Exclude the poor/marginalized population or otherwise 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 or other government sources;
- 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 Involve activities that cause or lead to child abuse, child labor exploitation or human trafficking; No child under the age of 15 should work on the construction, rehabilitation or maintenance of a sub-project;
- Entail the purchase or use of drugs, military equipment or other potentially dangerous materials and equipment, including chain saws, pesticides; insecticides; herbicides; 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).

To further support energy-related activities and to optimize the electricity investments made under the project, energy efficiency measures will be a particular area of financing under the project. Communities will be supported to learn about the benefits of energy efficiency investments, for example: insulated doors and windows, energy-efficient water heaters/collectors, solar-powered cookers, clean heating stoves for public buildings (schools, kindergartens, health units, community centers), and LED or solar-powered street lighting systems. Chapter 3, section 3.2 of the POM describes the awareness-building activities that will help to promote changes in behavior and household investments that improve energy efficiency. Moreover, communities will be provided with any technical support needed so that they can request subprojects focused on energy efficiency.

Prior to the funding of subprojects, each village will provide evidence that the community mobilization and decisions over subprojects has been undertaken genuinely according to POM Chapter 3, that proposed subprojects meet poverty reduction and gender equity goals and are included in Jamoat Development Plans (JDPs), that they are technically viable (through a technical checklist), that any donor coordination has been carried out, and that subproject sustainability and O&M plans have been developed. For oversight purposes, proposed subprojects will be verified in a community-level social audit meeting. To ensure subprojects benefit women, youth, and vulnerable groups, NSIFT will report on the cycle 1 subproject list and agree with the Bank on any actions (awareness building, revised procedures) needed to address a bias in the beneficiaries. Selection criteria are detailed in the SGM, Section XX.

**Usage of residual funds by villages/Jamoats.** Procedures are described in POM Chapter 3, section 3.7 detailing how communities can utilize residual funds from the allocated subgrant locally, after all payments have been made for village subprojects. This residual amount (the difference between the aggregate of the village subgrants to the Jamoat and the expenditure on the village subprojects in a Jamoat) up to a maximum of US\$10,000 will be provided to Jamoats that have put in place a Jamoat Youth Development Plan and funding mechanism. This is intended to not only support youth-focused activities, but also to support the development of Jamoat financial management capacity and create incentives for the Jamoat Project Commission to: (i) disincentivize deals with contractors to bid at exactly the subgrant amount; (ii) discourage deliberate and unnecessary spending/overspending on extras; (iii) allow the benefit of any residual to stay with the village/Jamoat; and (iv) encourage Jamoat-level participation throughout the project. The capacity building for this purpose is described in section 2.5 below and the procedures for the use of these funds are set out in the SGM, Section XX.

**Ownership, and operations and maintenance.** The ownership of the infrastructure and facilities will be transferred to the balance sheet of appropriate bodies (or Jamoats) upon completion. The project recognizes the importance of a well-planned, appropriately-funded and timely O&M plan (see details in POM Chapter 3, Step 3.6). All villages/Jamoats will develop O&M plans as a part of the subproject proposal. The O&M plans will clearly describe: (i) activities and measures envisaged for the subproject O&M; (ii) roles and responsibilities; (iii) frequency for carrying out the activities; and (iv) proposed mechanisms for covering O&M costs, such as a community O&M fund organized by the Village Project Committee (VPC). Most formal O&M activities will be undertaken by the district after handover of the facilities to the relevant government departments, however communities will supplement this with minor repairs and routine cleaning to ensure the effective use of the facilities (e.g. additional cleaning, minor repairs, gardening, etc.). Component 3 includes O&M training for the village O&M committee.

**Community contributions.** The project envisages that community contributions will take many different forms, mostly non-financial, consistent with the norms of Tajik society. Community contributions will be voluntary – they may be in the form of construction materials, equipment, furniture, labor or a financial contribution. Communities will select how they will contribute at two stages: immediately after they finalize the project selection and again during implementation (See Chapter 3, Steps xx and xx).

#### **2.4. NSIFT Scope and Coverage –Subprojects to Improve Socio-Economic Infrastructure in Border Areas**

In addition to the Col, the project will also support village-level investments in communities in Chorkuh near the Kyrgyz-Tajik border, and the Tajik enclave of Vorukh, less than 10 kilometers inside the Kyrgyz



Republic. As noted above, these areas are contiguous with the subdistricts receiving support from the CSP in the Kyrgyz Republic, and are areas that face social, economic and conflict risks. The proposed socio-economic investments, of about US\$3.00 million, are intended to promote inclusive local development platforms in these border areas in Tajikistan. Where possible, they will complement the community-level activity already approved in the Kyrgyz Republic CSP. These townships include 50 densely-populated Mahallas, with a total population of approximately 73,000.

**Subgrant allocation.** Groups of Mahallas in the townships of Vorukh and Chorkuh will benefit from two subgrant allocations (with an average of about US\$135,000 per cycle) to finance village socio-economic infrastructure subprojects and border development investments. The allocation of subgrants within Isfara will be based on four criteria: (i) population size; (ii) poverty; (iii) an estimate of tertiary infrastructure needs (“infrastructure gap”); and (iv) youth population. Communities will decide the proportion of investment committed to the border development investments described below (a target of 30 percent will be established).

**Scope of investments.** Communities will select from the same open menu of socio-economic infrastructure subprojects described for the Col villages – schools, kindergartens, medical points, water supply, rehabilitation of irrigation canals, etc. In addition, facilitation and capacity building support will be provided (see POM Chapter 3, section 3.8) to encourage those small development investments that promote cooperation and contribute to reducing border area risks. These will be subprojects that: (i) promote opportunities for enhanced cross-border cooperation on development; (ii) improve community safety and security (e.g. street lighting, access bridges); (iii) promote livelihoods opportunities for youth (e.g. cold storage facilities); or (iii) complement community-based investments financed by the Kyrgyz Republic CSP on the Kyrgyz side of the border. Based on initial consultations in target villages, examples of subprojects with these outcomes may include border area electrification (e.g. street lighting on both sides of the border); transport connections (e.g. small repairs of roads or bridges that support cross-border trade and market connections, and improve safety and security); livelihoods facilities for border-area youth (e.g. small-scale storage and processing facilities, youth centers, and IT hubs); upgrading medical points and joint health campaigns (e.g. local health clinics and first-aid points or local health campaigns coordinated with actions by the Kyrgyz Republic CSP); and school renovations and repairs (e.g. rehabilitation and construction of schools and training centers in communities on both sides of the border, in coordination with the Kyrgyz Republic CSP).

**Selection of subprojects.** The modality for the selection of village investments is detailed in POM Chapter 3. In addition, communities will be facilitated and supported to identify border development investment subprojects for financing according to their priority. To this end, support will be provided for dialogue, development planning, training and capacity building (see POM Chapter 3, section 3.8).

**Implementation.** The procedures for the implementation of village subproject investments in border areas will be similar to those established for the Col villages described above. Fees for technical design and documentation will be allocated from Component 2. A Training and Facilitating Partner (TFP) will support community-level capacity building activities for township officials and communities to enable them to play leading roles.

## **2.5. NSIFT Community Actors and Roles in the CDD Subproject Cycle**

Chapter 3 of the POM provides a step-by-step guide to the Subproject cycle which will support the mobilization of communities and youth, in the Col and Isfara target areas. This will include activities that

support participatory needs assessment, planning and prioritization, implementation and monitoring of communities, targeted support for youth engagement, and innovative social accountability mechanisms. This section provides an overview of community actors and roles as part of the Subproject cycle.

To strengthen NSIFT capacity to understand and carry out genuine community driven development, implementation will be supported by experienced **Training and Facilitating Partner(s) (TFP)**. The TFP (or a limited number of TFPs) will have a track record in implementing the CDD methodology (outlined in subcomponent 3A) and be familiar with global best practice in this approach, have experience in social accountability (outlined in subcomponent 3B), be able to attract experienced credible consultants that can support the capacity building for local governance (outlined in subcomponent 3C) and have proven experience working on CDD in fragile and conflict-affected/high-risk areas (to implement subcomponent 3D). To build local capacity, and ensure context-specific knowledge, the TFPs will also have experience working in the target areas, and preferably involve local NGOs already established and functional in the corridor of impact. The TFP covering the Isfara target areas will have proven experience working in border areas with conflict-affected communities. To meet these criteria, it is anticipated that NGOs will form consortium. TFPs will support NSIFT, the Community Development Advisors, Jamoat Project Commissions (JPCs) and Village Project Committees (VPCs) described below. The TFP(s) will be procured through an open and competitive procurement process. A terms of reference for the TFP(s) is included in Annex 2.1.

**Community Development Advisers (CDAs)** are NSIFT-hired consultants that will support the community mobilization, capacity building, and social accountability activities at the community level. They will be trained as community facilitators and work alongside the TFPs and NSIFT at village level. The CDAs will support training and capacity building activities for communities to support active engagement and community leadership of the VPCs in the project. CDAs will ensure equal representation of women and men (with half men and women being under the age of 35). A terms of reference for the CDA(s) is included in Annex 2.2.

**Village Project Committees (VPCs)**. At the community level, Mahalla committees (or other community-based organizations where relevant), will establish VPCs in target villages to mobilize communities, support community capacity building, and lead the selection and implementation of subproject activities.<sup>3</sup> The membership of the VPC will comprise Mahalla committee members, along with additional elected community members to ensure equal representation of women on the committee and where possible, that half the VPC members are under the age of 35. It is anticipated that committees will vary in size from 8-20 members, given the significant variation in the populations of target communities. A terms of reference for the VPC is included at Annex 2.3.

**Jamoat Project Commissions (JPCs)**. The 26 Jamoats/townships, legal entities established under the 2009 Law on Self Governance in a Town or Township (Article 3, clause 2), will establish JPCs to help implement subprojects in their Jamoats. Each JPC will consist of 5-9 voluntary members representing the target villages in the Jamoat. Strict membership criteria will apply to ensure the engagement of VPC representatives, an equal number of men and women, and youth, as well as the necessary financial and

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<sup>3</sup>The VPCs are closely linked to the Mahalla committees. Depending on size, in some cases, VPCs will combine Mahalla committees from different neighborhoods, and in others they will be a subcommittee formed by the Mahalla committee. In those cases where there is no Mahalla, the VPC will be formed from other community-based organizations. The intention is to build on locally-relevant community structures.

technical specialists, and NGO representatives. The Jamoat, through its Chairperson, will be required to delegate to the JPC the following responsibilities: (i) to support and represent the target communities in the subproject implementation process; (ii) to endorse subproject(s) for funding during each cycle, including the youth development activities, and ensuring alignment with the JDP; (iii) to inform NSIFT of target communities subproject selections; (iv) to develop subproject proposal(s), including any safeguards-related requirements; (v) to coordinate with NSIFT on the technical designs of the selected subprojects; (vi) to carry out the procurement function or request NSIFT to conduct procurement on their behalf as defined in the SGM; (vii) to oversee contract execution; (viii) to propose and implement O&M plans and resolve issues related to ownership and functionality; and (ix) to coordinate with relevant stakeholders (line departments, utilities, NGOs, districts). A terms of reference for the JPC is included in Annex 2.4.

**Youth Monitors (YMs).** To support social accountability and monitoring activities, 4 (2 women, 2 men) YMs, will be selected in each target village. These YMs will play a critical role in raising awareness about the project within the wider community. In addition, the YFs will lead social accountability activities at the village level in order to ensure that the projects implemented represent citizen priorities, are implemented effectively and transparently, and that they benefit the target population. For a draft terms of reference for YMs, see Annex 2.5.

**Youth Energy Ambassadors (YEAs)** are young representatives selected in equal number (4 total; 2 men/2 women) from each community trained to host energy efficiency events with private sector and government actors, and to inform their communities on how to improve livelihoods and reduce household costs. This role will include training on climate change. Youth Energy Ambassadors will be convened to work with the JPCs to organize annual energy efficiency campaigns and roadshows to villages regarding energy efficiency and climate change. YEAs for each village should meet the following criteria: One young man and one young woman, between 16 - 35 years of age, be currently resident in the village, be willing to commit time to organizing and engaging in public awareness events, express an interest in energy efficiency, environmental or climate change issues, or community development. For a draft terms of reference for YEAs, see Annex 2.6.

**Youth Accountants (YAs).** Youth Accountant (YA) internships will be provided through the project for qualified young men and women to work under Jamoat accountants. Youth accountant internships will provide unemployed young bookkeepers and accountants with work experience during the project implementation period. This will enable graduates to obtain practical experience (references and certificates), either working on their own or with qualified financial management officers in the Jamoat. For a draft term of reference for YAs, see Annex 2.7.

**Table 2.1: Summary of CSP Committees**

	Village Project Committees in Col (VPC)	Jamoat Project Commissions in Col (JPC)	Village Project Committees in Isfara (VPC)	Jamoat Project Commissions in Isfara (JPC)
<b>Overall intention</b>	<ul style="list-style-type: none"> <li>To build on locally relevant CBOs including mahallas in target villages</li> <li>To empower</li> </ul>	To combine target village (VPC) representation with Jamoat administrative expertise	<ul style="list-style-type: none"> <li>To build on local relevant CBOs including Mahallas, or villages</li> <li>To cluster 50 mahallas/villages into</li> </ul>	To combine village cluster representation with township/jamoat administrative expertise

	<b>Village Project Committees in Col (VPC)</b>	<b>Jamoat Project Commissions in Col (JPC)</b>	<b>Village Project Committees in Isfara (VPC)</b>	<b>Jamoat Project Commissions in Isfara (JPC)</b>
	youth and women through their roles in the VPC		10-12 VPCs for subgrants to be allocated	
<b>Number of committees</b>	One per village in Col	One per Jamoat	Clusters of villages/Mahallas to form 10-12 VPCs	One each in Vorukh and Chorkuh
<b>Total membership</b>	8-20	5-9	8-20	5-9
<b>Inclusion – Women and Youth representation</b>	50% women 50% under the age of 35		50% women 50% under the age of 35	
<b>Leadership</b>	Elected by the group	Elected by the JPC members Cannot be the Jamoat Chairperson	Elected by the group	Elected by the JPC members Cannot be the Jamoat Chairperson
<b>Election/selection</b>	Elected by the village	Nominations from Jamoats; VPC nominates representatives	Elected by the village	Nominations from Jamoats; VPC nominates representatives
<b>Roles and Responsibilities</b>	<ul style="list-style-type: none"> <li>• Mobilize communities</li> <li>• Support community capacity building</li> <li>• Lead selection and implementation of SPs</li> </ul>	<ul style="list-style-type: none"> <li>• Represent community during SP implementation</li> <li>• Endorse SP for funding</li> <li>• Inform NSIFT of SP selection</li> <li>• Develop SP proposals</li> <li>• Coordinate on DED</li> <li>• Represent community on tender committee</li> <li>• Oversee contract execution</li> <li>• Propose O&amp;M plan</li> <li>• Coordinate with stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Mobilize communities</li> <li>• Support community capacity building</li> <li>• Lead selection and implementation of SP activities</li> <li>• Support/participate in border development and youth forums</li> </ul>	<ul style="list-style-type: none"> <li>• Represent community during SP implementation</li> <li>• Endorse SP for funding</li> <li>• Inform NSIFT of SP selection</li> <li>• Develop SP proposals</li> <li>• Coordinate on DED</li> <li>• Represent community on tender committee</li> <li>• Oversee contract execution</li> <li>• Propose O&amp;M plan</li> <li>• Coordinate with stakeholders</li> <li>• Support/participate in border development and youth forums</li> </ul>

## 2.6. NSIFT Capacity Building Program to Improve Local Governance

As a complement to the complement to the community engagement process described in Chapter 3, the project will also support additional capacity building in target communities to improve local governance.

The policy and legal framework for local government in Tajikistan includes the Law on Bodies of Self-Governance of Townships and Villages (2009 as amended), which assigns Jamoats a range of mandates to support community efforts to address local socio-economic needs. However, there is still a substantial gap in Jamoat capacity to carry out these reforms. At the same time, Jamoats and Mahallas have traditionally found ways to address shortcomings in public infrastructure and service provision to manage local risks. To address these capacity constraints, and help fulfill the potential to perform these roles, the project will finance capacity building activities for Jamoat and quasi-government actors. Target Jamoats will also be provided with facilities and equipment for the use of the JPC (including computers, printers, office furniture and conference room furniture for meetings). This will include the Leaders of Mahalla Committees, Jamoat councilors and administrators, JPC members. Four areas of capacity building are envisaged:

- **Managing investments in communities (participatory planning, project management, and oversight).** Training will be provided on the principles and practice of CDD, procedures for community mobilization, social accountability, gender and youth-related inclusion and equality, and safeguards project procedures. This capacity building will be complemented by training on the Jamoat mandate—local development planning, infrastructure planning, operations, and project management—to deepen skills in participating Jamoat structures and enhance capacity to manage inclusive and responsive investments.
- **Managing finance locally – learning by doing.** Local financial management (FM) practices will be supported by both training and learning-by-doing activities. Starting in Year 1, training will cover a range of fiduciary topics (procurement, accounting and bookkeeping, cost estimation, FM, gender budgeting, and equitable use of resources). In Year 4, Jamoats with capacity satisfactory to the Bank, will work with youth representatives on small subprojects selected from the Youth Development Chapters in the JDPs. Jamoats will be encouraged to establish youth accountant internships for the six-month period of implementation (see description in section 2.4 above).
- **Managing governance and anti-corruption risks.** Training of local stakeholders on the principles and practice of local governance, will include: (i) accountability; (ii) relations with higher levels of government; (iii) tools for good governance (integrity pacts, social audits, transparency, and disclosure); and (iv) anti-corruption assessments and process audits. All stakeholders in communities and Jamoats and implementing agencies (IAs) will participate in fraud and anticorruption training and sign user-friendly codes of ethics; workshops will help each Jamoat produce governance action plans.
- **Establishing energy efficient Jamoats.** Support will be provided to target Jamoats to develop awareness and understanding of energy efficiency and its benefits to the individual and local institutions. Youth Energy Ambassadors will be convened to work with the JPCs to organize annual energy efficiency campaigns and roadshows to villages regarding energy efficiency and climate change. Investments in street lighting and public buildings will be launched to highlight the opportunities under the project, and technical assistance for the design of energy efficiency investments supported. A Jamoat energy efficiency champion will be nominated by the council to help organize activities in target areas.

The capacity building program for improved local governance is described below.

**Objective.** To increase the capacity of Jamoats and Mahallas to support community efforts to address

local socio-economic needs per their mandate under the Law on Bodies of Self-Governance of Townships and Villages.

**Scope of activity.** There are three areas of capacity building that will be conducted:

1. Trainings on aspects of local governance
2. Support to conduct Energy Efficiency Awareness campaigns
3. Equipment support

**Participants.** Participants in the capacity building program will include Jamoat councilors and administrators, and JPC members.

**Coverage.** It is expected that 24 Jamoats plus the two Isfara townships will participate in this capacity building program.

**Timing.** Equipment donations and the EEA campaign will be conducted in Year 1. Trainings will be conducted in all four years. Timing of the trainings should ensure that Jamoat are able to participate in the planned activities for that Year's subproject cycle (See Chapter 3).

**Approach.** The TFP will develop the curriculum and materials on training topics (see Table 2.2) according to the parts of the cycle that will be implemented in the coming year. This training plan/manual will be reviewed/approved by NSIFT and the World Bank. The TFP will determine clusters of Jamoats that are suitable size for training bringing together approximately 40 Jamoat representatives and JPC for each training. Jamoats and JPCs will determine among themselves who will attend the trainings (equal numbers of men and women). CDAs and TFP invite Jamoat officials and JPC members to come to trainings held at the district level. The TFP will administer exit surveys and feedback discussions to assess improvement in knowledge and satisfaction with the trainings over the course of project implementation.

**Table 2.2: Training Plan- Local Governance Capacity Activities**

No.	Training	Topic	Participants	Duration	Timing
1	<b>Managing investments in communities (participatory planning, project management, and oversight).</b>	Modules include: i. Participatory planning, project management, and oversight	Jamoat officials, JPC	One-day training	Year 1 in preparation for community mobilization. Refresher in Yr 3.
		ii. Principles and practice of CDD, procedures for community mobilization, social accountability, gender and youth-related inclusion and equality, and safeguards project procedures.	Jamoat officials, JPC	One-day training	Year 1 in preparation for community mobilization. Refresher in Yr 3.
		iii. Jamoat mandate—local development planning, infrastructure planning, operations, and project management	Jamoat officials, JPC	One-day training	Year 2 in preparation to manage youth investment funds

No.	Training	Topic	Participants	Duration	Timing
2	<b>Managing finance locally – learning by doing.</b>	Modules to include: i. Procurement, accounting and bookkeeping, cost estimation, FM,	Jamoat financial staff	One-day training	In Year 3 and 4 in preparation to manage youth investment funds
		ii. Gender budgeting, and equitable use of resources	Jamoat officials, JPC	Half-day training (can be combined)	In Year 2 in preparation to manage youth investment funds
3	<b>Managing governance and anti-corruption risks</b>	Module to include: principles and practice of local governance, will include: (i) accountability; (ii) relations with higher levels of government; (iii) tools for good governance (integrity pacts, social audits, transparency, and disclosure); and (iv) anti-corruption assessments and process audits. Each Jamoat will produce governance action plans at the end of the training.	Jamoat officials JPC	Half-day training	In Year 1 in preparation for community mobilization. Refresher in Yr 3.
4	<b>Establishing energy efficient Jamoats<sup>4</sup></b>	This would start as a training and then continue with activities in the target communities (see description of Energy Efficiency Awareness Building in Chapter 3, Step 3.2)	Jamoat officials and JPC  Nominated energy champion in the Jamoats	Half-day training	Before each planning cycle

### Equipment Donation

Project is also funding the technical support to the Jamoat by procuring office equipment for target jamoats (24 + 2 townships). This equipment will be submitted to the JPC in order to follow responsibilities under the project: (i) to support and represent the target communities in the subproject implementation process as defined in the POM; (ii) to endorse subproject(s) for funding during each cycle, including the youth development activities, and ensuring alignment with the JDP; (iii) to inform NSIFT of target communities subproject selections; (iv) to develop subproject proposal(s), including any safeguards-related requirements; (v) to coordinate with NSIFT on the technical designs of the selected subprojects; (vi) to carry out the procurement function or request NSIFT to conduct procurement on

<sup>4</sup> These materials may wish to cite examples from “Advancing Heating Services Beyond the Last Mile: Central Asia Pilot Experience with High-Efficiency, Low-Emissions Heating Technologies”  
<https://openknowledge.worldbank.org/handle/10986/31282>

their behalf as defined in the SGM; (vii) to oversee contract execution; (viii) to propose and implement O&M plans and resolve issues related to ownership and functionality; and (ix) to coordinate with relevant stakeholders (line departments, utilities, NGOs, districts). The list of office equipment is described below in Table 2.3:

**Table 2.3: List of Office Equipment Provided to the Jamoats**

No.	Description of the equipment	Quantity per each Jamoat
1	Table (big, round) for the meeting room	1
2	Chairs for the meeting room	10
3	Computer	1
4	Multifunction device (printer and scan)	1

NSIFT will prepare technical specifications for the above-mentioned equipment and conduct the bidding process. Jamoats should be prior informed about technical parameters, quantity and expected transfer date of the equipment. Provided equipment should be put on Jamoat balance. However, equipment will be used by the JPC for project needs until project completion. After completion of project implementation JPC transfers the equipment to the Jamoat.



**CHAPTER 3:**  
**NSIFT COMMUNITY SUBPROJECT CYCLE AND HOW-TO**  
**MANUAL**

## CHAPTER 3: NSIFT COMMUNITY SUBPROJECT CYCLE AND HOW-TO MANUAL

### Overview Description and Subproject Cycle

Consistent with the vision of the Community Support Project (CSP) in the CASA1000 Project Appraisal Document, Project activities will support the mobilization of communities and youth, and local capacity building in the Corridor of Impact and Isfara target areas near the border. This will include the financing of activities that support participatory needs assessment, planning and prioritization, implementation and monitoring of communities, targeted support for youth engagement, innovative social accountability mechanisms, and supplemental support for border areas. The modality for the implementation of the community level work will include NSIFT staff supported by Training and Facilitating Partners (TFPs). This chapter begins with an overview of the principles and approach of the community subproject cycle and then moves to a step-by-step description of community activities at each stage of the cycle.

### *Community Mobilization, Youth Engagement, and Capacity Building*

Investment in small-scale infrastructure and facilities in villages in Tajikistan generally follows a top-down model of development with limited engagement of target communities; this project will bring a significant change in approach to village-level investment. CSP will build capacity for CDD so that communities are empowered and mobilized, genuinely engage in decision making over the use of their project subgrant allocations and remain engaged throughout each subproject cycle. Activities will ensure that village investment decisions directly involve, and are inclusive of, all community members (including women, youth and the elderly) and are responsive to their needs. It is intended that this will establish a new, participatory model for community-driven village investment in Tajikistan.

**Scope of activity.** The annual cycle of activities financed by this subcomponent will include participatory needs assessment, participatory planning and prioritization/selection of village investments, participatory management, oversight and monitoring, and participatory operations and maintenance (O&M). This community engagement is expected to activate target communities and mobilize youth throughout the four-year construction period of the Transmission Line. For Component 1, communities will be facilitated (through a short mobilization process) to select from a closed menu of village electricity investment options and will actively monitor the implementation of the agreed subprojects. This will ensure CoI communities are engaged early in the project. For Component 2, communities will be engaged in all stages of the subproject cycle, structured around the seven phases below (see also Figure 3.1):

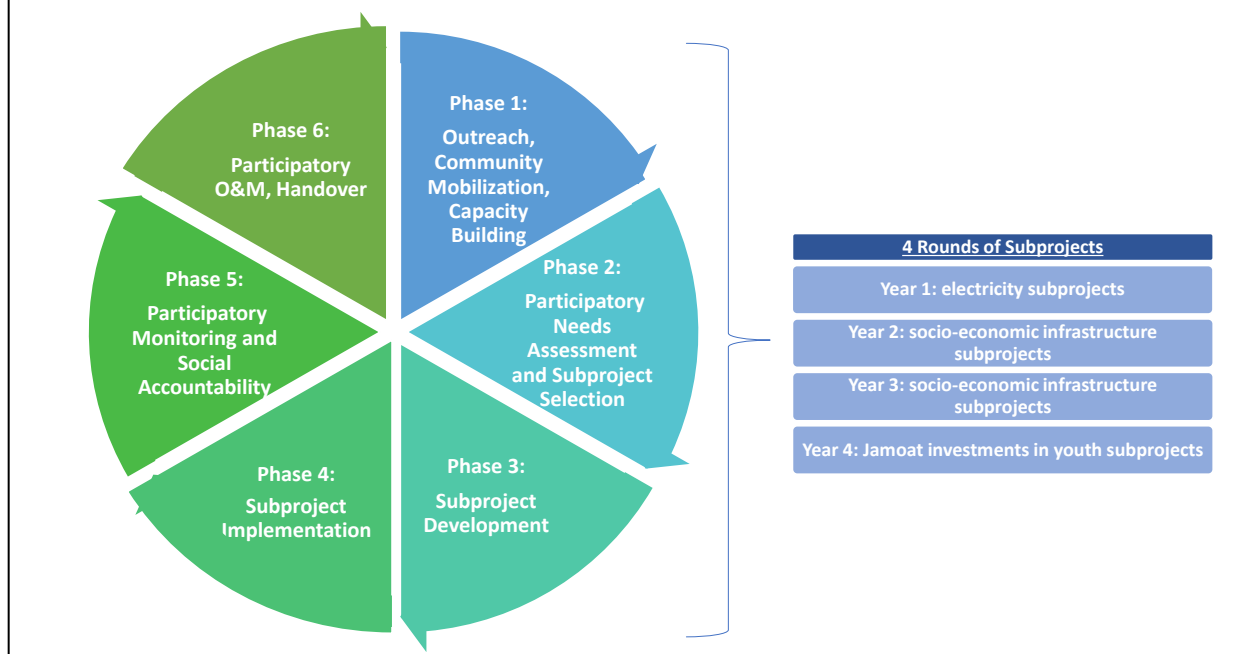
- **Phase 1 – Outreach, Community Mobilization, and Capacity Building.** Orientation meetings will be conducted by NSIFT/ESPMU at the village, Jamoat, and district levels to provide local stakeholders and community members with detailed information about the CSP and the CASA1000 Transmission Line. The amount of the subgrant allocation to each village will also be provided at orientation. This will be followed by participatory selection of community and youth representative and formation of community and Jamoat committees. NSIFT, TFP(s), and Community Development Advisors (CDAs), will then support training and capacity building activities for communities to support active engagement and community leadership.
- **Phase 2 – Participatory Needs Assessment and Subproject Selection.** Adopting the participatory rural appraisal approach, the TFPs, CDAs, and VPCs will organize and help facilitate participatory

community development planning, focus group discussions (FGDs) and other consultations aimed at engaging women, elderly, youth, entrepreneurs, professionals, and vulnerable households. Priorities raised will then be discussed and ranked at village prioritization meetings, included, where relevant, in Village Development Plans (VDPs), and communicated to the JPC for endorsement. Energy efficiency events will be convened by Youth Energy Ambassadors.

- **Phase 3 – Subproject Development.** For electricity investments, ESPMU will develop the electricity subproject design. For socio-economic infrastructure investments, the JPC will check the feasibility of the proposed subproject against the subgrant included in the Jamoat Development Plan, work with the VPC to develop the subproject proposal, and request NSIFT to carry out feasibility checks and the detailed design. The JPC will also work closely with NSIFT on the development of the subproject design, including addressing any safeguards requirements. NSIFT will prepare the technical designs and tender packages in accordance with regulations, utilizing relevant standard government designs as appropriate.
- **Phase 4 – Subproject Implementation (covered in the CSP Subgrants Manual).** For electricity investments, ESPMU will take responsibility for procurement. For socio-economic infrastructure investments, community procurement will be undertaken by JPCs with the support of NSIFT as described in the SGM. VPCs will be empowered and trained to check that tender documents reflect their village prioritization, sign off on tender documentation, nominate a member to sit on the tender committee, and oversee implementation on site (e.g. safety of materials, progress against schedule), utilizing a structured process of feedback to the NSIFT project management team.
- **Phase 5 – Participatory Monitoring and Social Accountability.** Youth monitors from each community will also be nominated to carry out active participatory monitoring and oversight roles. Utilizing community scorecards and social audits, biannual community check meetings will be implemented to make mid-course corrections and inform project results.
- **Phase 6 – Participatory Operations and Maintenance and Handover.** During subproject implementation, communities, through the Mahalla-associated VPCs, will be mobilized to form O&M committees, supplementing O&M provided by line ministries. These committees will ensure effective management and sustainability of the village investments following the completion of subprojects. Minor repairs will be undertaken by the villagers, while more major repairs and maintenance will be undertaken by the relevant government departments at the Jamoat or district level.

There will be four cycles of subprojects to target communities, one per year:

- **One cycle of subgrants for electricity infrastructure, facilities, and services** to be carried out in Year 1 (with a shortened CDD process that reflects technical inputs from ESPMU on village electricity needs; and selection by communities from a limited menu of possible infrastructure investments).
- **Two cycles of subgrants for investments in socio-economic infrastructure, facilities, and services** to be carried out in Years 2 and 3 (following the full CDD cycle).
- **A final cycle of subgrants in Year 4**, using residual funds which will be made available for **Jamoat-level investment in youth-led activities** building on capacity building during the first three years of project implementation. This will also be a shortened CDD process reflecting youth-identified needs. See section 3.7 for additional details.

**Figure 3.1: Overview of the Project Cycle**

### **Engaging Youth**

To promote the equal participation of young men and women, opportunities for youth leadership will be offered throughout the community mobilization process. Gender-sensitive mechanisms will be identified with communities and tailored to local context to ensure the active participation of young women (typically marginalized from participation in public affairs). The following provides an overview of the youth-focused support:

- **Youth mobilization and training events** to select and build the capacity of youth in target villages to: (i) support community mobilization activities; (ii) represent youth interests; and (iii) promote understanding of Disaster Risk Management (DRM) and fragility, conflict and violence (FCV).
- **Youth chapter of the Village Development Plan/Jamoat Development Plan;** options to fund youth-related activities in Year 4 from the Jamoat residual fund.
- **Village Project Commission membership will require 50 percent youth** (and women).
- Youth elected and trained as **Youth Energy Ambassadors**, to host energy efficiency events with private sector and government actors, and to inform their communities on how to improve livelihoods and reduce household costs. This role will include training on climate change.
- **Youth accountant internships** for qualified young men and women to work under Jamoat accountants.
- Young men and women selected to carry out the **monitoring and oversight roles** as part of Social Accountability.
- **50 percent of the CDAs** will be youth (and women). They will also be certified as trained community mobilizers.

### **Support for Social Accountability and Transparency**

Throughout the subproject cycle, a number of social accountability measures to enhance subproject oversight and promote transparency and accountability will be implemented. The social accountability approaches envisaged in the project aim to: (i) ensure that all local actors are accountable to the beneficiary communities for delivering on project objectives; (ii) build the capacity of local actors, including youth, to play a role in exacting accountability; (iii) allow for complaint and response; and (iv) feed into project monitoring processes through a transparent and structured process of community feedback and action. The following three instruments are planned and are detailed further in the POM under *Phase 5: participatory monitoring and social accountability*:

- **Social audits** will be conducted twice a year. The social audits will take the form of “community check” meetings – public forums, at the village level, for the Village Project Committee and Jamoat Project Commission to present a report back to the target communities on the progress, challenges, and fiduciary information of the project, and ensure that decisions are inclusive and poverty-focused, are genuinely bottom-up, that there is continuity in the chain of decisions made by focus groups (e.g. women’s groups), and enable the VPC and JPC to explain the expenditures of the project subgrant. Transparency will be a key parameter; a list of information and documents to be presented at the community check meetings will be provided to both communities and committee members, and supported by youth monitors using photographic evidence. The project will also fund the technical support needed to prepare, organize, and document these community check meetings.
- Communities will also conduct **semiannual community scorecards** to provide quick and simple feedback and action plans on project implementation (project processes and outcomes). The scorecard process will be facilitated independently, with support from a cadre of youth selected for monitoring and oversight roles. The semiannual scorecard will be conducted along with the community check meeting, and results collated to promote feedback and identification of improvements/actions to be made in the following cycle. The scorecard will also provide results that will be used to monitor project outcomes, and feedback on CASA1000. All results will be disaggregated to identify any gender bias, and corrective action included in the Gender Action Plan.
- A **beneficiary feedback mechanism (BFM)** will be established to address grievances, comments and any other type of feedback regarding the project. NSIFT will establish a unit tasked with this role, which reports to the Executive Director. The design and implementation of the BFM will be developed gradually over the life of the project such that by Year 3, the BFM is a part of NSIFT central services. NSIFT will coordinate with ESPMU, and through this joint accountability ensure that complaints are managed effectively. Details on the BFM are include in the Project Management Chapter 4.

### ***Supplementation Facilitation Support and Capacity Building for Border Areas***

The community mobilization, social accountability, and local governance capacity building described above will also be carried out in the target areas in Isfara district in border areas. However, in addition, specific support will be provided under Subcomponent 3D to respond to the challenges of working in conflict areas. Additional community facilitation support will ensure that community mobilization, capacity building and subproject investments are delivered in ways that are sensitive to local tensions and competition over natural resources and services, enhancing cross-border connectivity and cooperation, and promoting the participation of at-risk young people and the meaningful participation of women. The project will finance the incremental costs of supporting border development investments in the higher-risk border and enclave communities in the townships of Vorukh and Chorkuh in Isfara. These Tajik townships lie close to the Transmission Line in the Kyrgyz Republic. It will support

tailored activities to help address the gap in infrastructure and services in these localities which, in some cases, have contributed to the root cause of cross-border tensions and local-level violence seen intermittently over the last decade. These activities will be coordinated with the Implementing Agency for the Kyrgyz Republic CSP, including coordination on possible opportunities for dialogue, joint training, outreach and communications to enable concurrent benefits to communities on both sides of the Tajik-Kyrgyz border.

This additional support will include: (i) building the capacity and resilience of local institutions with a focus on border area risks; (ii) engaging youth from border villages in investment planning; and (iii) promoting dialogue and strategic planning on border area development. It will ensure all key stakeholders and groups are included, focusing particularly on local leadership, youth, and women, and where possible, bring together relevant Tajik and Kyrgyz stakeholders. This support will also establish the required mechanisms and approval process on the GoT side to implement small, border-area infrastructure investments, including engaging district, oblast, and national officials as required.

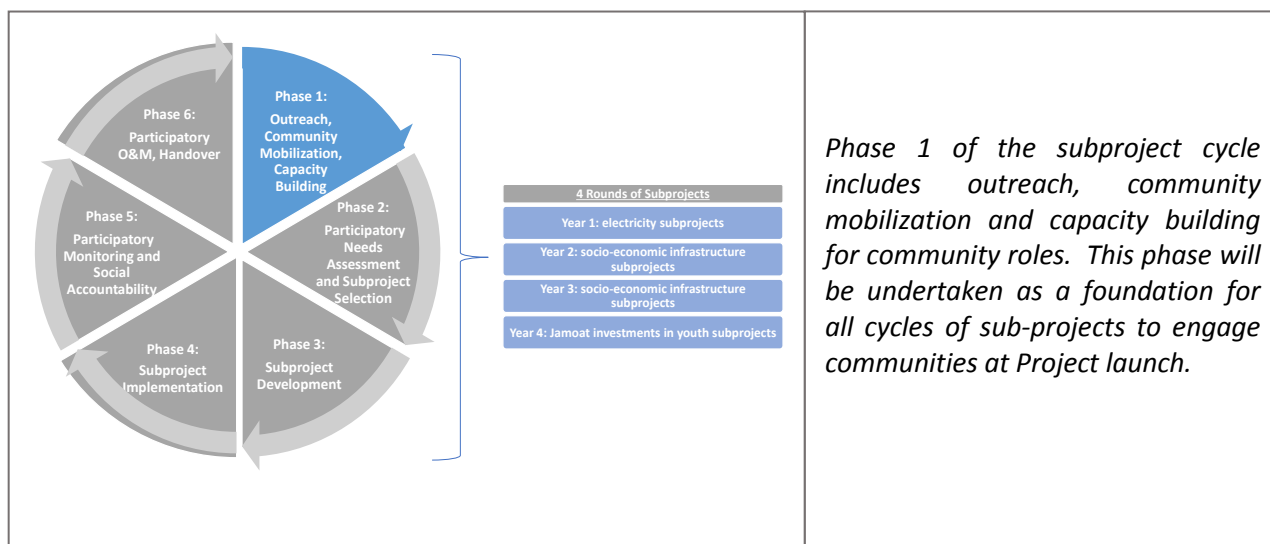
The incremental support in Vorukh and Chorkuh will focus on three areas of activity (described in detail in Section 3.8 below and led by TFP experienced in working in high-risk/fragile areas):

- **Initial assessment, risk analysis, and dialogue on border-area development.** Recognizing the sensitive and higher-risk nature of socio-economic investments in target border areas, activities in the Isfara area will commence with assessments, risk analysis and community-based dialogue around border-area development. These early assessments will also establish procedures for a GoT-led process for approving any border development investments and cooperation arrangements with the stakeholders responsible for the Kyrgyz Republic CSP investments in contiguous subdistricts. These activities will inform subproject selection for border-focused investments, and provide the foundation for dialogue with local, district, oblast and national officials throughout project implementation.
- **Support for improving local Jamoat and Mahalla capacity and resilience.** The project will support a tailored set of capacity building and dialogues activities for Jamoat and Mahalla representatives in border areas, including: joint training on border-area investments; mapping and monitoring socio-economic risks; promoting cross-border investment and private-sector development; and regular forums that bring together local officials (Tajik and Kyrgyz) to discuss development issues of mutual interest, promote information sharing, and monitor the progress of community investments. Activities will be coordinated with the Kyrgyz Republic CSP.
- **Support for youth engagement in border-area improvements.** Extending the youth focus described above, the community mobilization process for these border areas will ensure youth engagement at each stage of the project cycle. This is intended to not only enhance livelihoods opportunities for young men and women, but also to engage them in dialogue with local leadership and institutions. Activities will include, for instance: (i) engaging youth and youth facilitators to work with communities on the needs assessment and subproject prioritization process; (ii) supporting young women and men in near-border communities to understand and advocate for local investment that meets youth priorities (e.g. joint training, coworking spaces, IT centers for youth); (iii) providing the opportunity for constructive engagement between Kyrgyz and Tajik youth in border communities, and between youth and local institutions; and (iv) youth-led joint monitoring of community-based investments.

## HOW-TO MANUAL – IMPLEMENTATION OF THE SUBPROJECT CYCLE

The following sections of this chapter provide a step-by-step guide outlining required activities at each stage of the subproject cycle. This section serves as a ‘how-to’ guide for NSIFT, TFPs, CDAs, VPCs and JPCs to carry out CSP’s community-based activities. Together with the referenced annexes, this section serves as a manual to guide implementation of community mobilization for the four subproject cycles in the villages in the CASA1000 Corridor of Impact and in border areas.

### 3.1. Phase 1: Outreach, Community Mobilization, and Capacity Building



#### Step 1.1 Orientation Meetings Held at Oblast, District, Jamoat, and Village Levels

**Objective:** to provide local stakeholders and community members with detailed information about the CASA1000 Transmission Line and CSP subprojects and encourage participation in the community mobilization process.

Orientation meetings will be conducted by NSIFT and ESPMU at the oblast, district, Jamoat, and village levels to provide local stakeholders and community members with detailed information about the CSP and the CASA1000 Transmission Line. Government actors and communities will be introduced to project objectives, the cycle of subproject activities, the specific requirements for including women and youth, the role of community representatives and community committees, the approach to procurement, and the social accountability and oversight mechanisms. The amount of the subgrant allocation to each village will also be provided at orientation. The form for the Project Initiation Meeting is presented in Annex 3.1.

##### **Step 1.1.1 NSIFT/ESPMU Conduct Oblast Orientation Meetings**

- a. NSIFT/ESPMU organize one meeting in each oblast for relevant regional government staff.
- b. Orientation will include the following information:
  - CASA1000 and CASA1000 CSP objectives
  - Community driven development – how it works
  - Overview of the subproject cycles
  - Specific requirements for including women and youth as project objectives
  - Role of community representatives and community committees
  - Approach to procurement

- Social accountability and oversight mechanisms
  - Orientation on World Bank anti-corruption guidelines
  - Total project budgets and budgets for villages and jamoats
- c. Attendance includes:
- Head of oblast administration and specialists of oblast administration
  - Head of districts
  - Representatives of BT
  - NGO representatives
  - Mass-media representatives

**Step 1.1.2 NSIFT/ESPMU Conduct District Level Orientation Meeting**

- a. NSIFT/ESPMU organize joint meeting for all District level officials in their area of responsibility (total 15 districts)
- b. Orientation will cover the same points listed above (step 1.1b)
- c. Attendance includes:
- Head and specialists of districts administration
  - Head of Jamoats
  - Representatives of BT
  - Representatives of NGO
  - Mass-media representatives

**Step 1.1.3 NSIFT/ESPMU Conduct Jamoat-Level Orientation Meeting**

- a. CSP coordinators (NSIFT/ESPMU), Regional Community Development Coordinator (NSIFT), CDA, TFP(s) organize orientation meeting at Jamoat level
- b. Jamoat invites Jamoat Councilors, head of villages, Mahalla leaders, and local women leaders, youth representatives
- c. Orientation will include the following information:
- CASA1000 and CASA1000 CSP objectives
  - Community driven development – how it works
  - The cycles of subproject activities
  - Specific requirements for including women and youth as project objectives
  - Role of community representatives and community committees
  - Approach to procurement
  - Social accountability and oversight mechanisms
  - Orientation on World Bank anti-corruption guidelines
  - Total project budgets and subgrant allocation for Jamoat and its villages
- d. Attendance includes:
- Head of jamoats and specialists from jamoat administration
  - Representatives of ESPMU
  - Representatives of NGO

**Step 1.1.4 NSIFT/ESPMU Conduct Village-Level Orientation Meeting**

- a. CSP Coordinators (NSIFT/ESPMU), Regional Community Development Coordinators, CDA, TFP(s) organizes orientation meeting at the village level
- b. Mahalla leaders will be mobilized by NSIFT/ESPMU and TFPs to engage villagers in orientation meetings



- c. Orientation will include the following information:
  - CASA1000 and CASA1000 CSP objectives
  - Community driven development – how it works
  - The cycles of subproject activities
  - Specific requirements for including women and youth as project objectives
  - Role of community representatives and community committees
  - Approach to procurement
  - Social accountability and oversight mechanisms
  - Orientation on World Bank anti-corruption guidelines
  - Total project budgets and subgrant allocation for the village
  - Plans for a general village meeting for election of VPC members, Youth Energy Ambassadors, and Youth Monitors emphasizing the targets for women and youth.
- d. Meeting organizers should give information to the villagers about planning mahalla group discussions for seeking for volunteers/nominations for leadership roles (Village Project Committee, Youth Energy Ambassadors, Youth Monitors), emphasizing the targets for women and youth
- e. Depending on village size, attendance will include an aim of 70 percent of the village population, with a focus on ensuring at least 50 percent youth/women attendance  
The form for the minutes of introductory meetings is presented in Annex 3.2.

### **Step 1.2 Participatory Selection of Community Representatives and Formation of Committees**

**Objective:** to undertake participatory selection of community representatives and establish village-level and Jamoat-level committees that will facilitate the community mobilization process; to train all representatives so that they understand and carry out their roles and responsibilities under the Project. Communities will select (detailed description of roles in Chapter 2):

- **Village Project Committees (VPCs)** responsible for mobilizing communities in the subproject cycle process (one in each village in the COI; once for each grouping of villages/Mahallas in Isfara).
- **Jamoat Project Commissions (JPCs)** to support subproject implementation at the Jamoat level. (One in each Jamoat in the Col as well as Vorukh and Chorkuh in Isfara District).
- **Youth Monitors (YMs)** to support the social accountability and participatory monitoring processes under the project, including implementation of social audits and community scorecards (2-4 per village; equal numbers of men/women; at the age 18-30).
- **Youth Energy Ambassadors (YEAs)** will be trained to build awareness in communities regarding energy efficiency, including through awareness campaigns and community outreach in coordination with the JPC (2-4 per village; equal numbers of men/women; at the age 18-30).

Following orientation meetings, NSIFT with support from TFPs, will lead participatory selection of community representatives and formation of village and jamoat committees. Community members will be elected to join a Village Project Committee (VPC), responsible for mobilizing communities in the subproject cycle process. NSIFT and TFPs, with a cadre of trained Community Development Advisers (CDAs) will support training and capacity building activities for communities to support active engagement and community leadership of the VPCs in the project. 50 percent of VPC members will be women, and 50 percent of both men and women will be under the age of 35. In addition, equal numbers of young men and women from each community (4 in total) will be selected and trained as Youth Energy Ambassadors; and equal numbers of young men and women from each community (4 in total) will be selected and trained as Youth Monitors to support social accountability activities. During this step, the Jamoat will also establish a Jamoat Project Commission (JPC) composed of VPC and Jamoat

representatives (50 percent women) to carry out the roles defined at the Jamoat level. A Volunteer Nomination form is presented in Annex 3.3.

### **Step 1.2.1 Mahalla-Level Discussions to Nominate Candidates and Solicit Mahalla Inputs to Village Profile**

**Objective:** There are three objectives of Mahalla-level discussions: 1) to sensitize diverse community members regarding the goals and approach of the CSP project, the terms of reference for community roles, and encourage participation in CSP village meetings; 2) to solicit nominations from each Mahalla/neighborhood for community roles (VPC, YMs and YEAs). Each mahalla should propose their candidates to be presented during elections held in a village meeting; and 3) solicit Mahalla-level inputs to the village profile. The village profile is a participatory mapping of the demographics and key infrastructure, services and human resources in the community (see Annex 3.4 for details on the village profile format and approach), which will be based on the inputs of each Mahalla. The village profile will help inform the Village Development Plan and participatory selection of subprojects.

**Note:** The TFP, once hired, will support NSIFT in detailing more comprehensive procedures, agenda and approach for the Mahalla-level discussions to ensure the inclusion of women, youth, marginalized populations; and will develop a participatory mapping process for Mahalla inputs to the village profile.

**Participants.** Participants must be residents of the Mahalla with a target of 60% participation. TFP/CDAs will facilitate mahalla meetings (in teams of at least one man, one woman). Minimum participation of 50% women and participation of youth in each of the individual Mahalla groups.

**Timeframe.** Mahalla group discussions should take approximately 2 hours each. It is desirable to complete all Mahalla group discussions in each village within the shortest feasible period depending on village size/number of Mahallas. This would include a series of Mahalla discussions over a 1-3 day period with the same TFP/CDA facilitation team for each village.

**Documentation of results.** The Mahalla group discussions results will be recorded in minutes which should contain the following minimum information (see form in Annex 3.5):

- The list of participants who attended the mahalla group discussion with their name, contact phone number and signature and a group photo of all people in attendance
- Registration sheet with proposed candidates to community roles
- Names and contact information of the proposed candidates to community roles
- Draft Mahalla mapping/input to village profile (see form in Annex 3.6)
- Photos of the meeting
- Originals of the minutes with the attendance sheet, photos are kept by the Jamoat; copies are collected by CDA

#### ***Step 1.2.1.1 TFP/CDA, Mahalla leaders prepare Mahalla meeting***

- a. TFP/CDAs will reach out to Mahallas leaders to support the CSP team in mobilizing the residents of the Mahalla to participate in Mahalla group discussions.

- b. TFP/CDAs/Mahalla leaders set meeting date(s) and time(s) convenient to the Mahalla members taking into consideration women's household responsibilities and agricultural season responsibilities.
- c. TFP/CDAs/Mahalla leaders select venue for Mahalla members meeting. If possible, it should have adequate heating, seating and lighting and be free from noise/interruption (e.g. schools, cultural halls, government offices, etc.).
- d. TFP/CDAs/Mahalla leaders invite residents of the Mahalla to attend. At least 60% of households of the mahalla should be represented to the extent possible, including vulnerable ones; the meeting should also include 50% women and mobilize young people in the Mahalla.
- e. TFP/CDAs are responsible for leading the Mahalla discussions and will prepare all necessary materials including flipcharts, stickers or paper, markers, masking tape, etc. These will be supplied by the CDAs.
- f. TFPs with CDA support facilitate the Mahalla group discussions and prepare the initial presentation describing the Project, community roles, and Mahalla inputs to the village profile.
- g. Members of the Mahalla group decide among themselves who will act as "Secretary". The Secretary should be a woman for at least half the Mahalla discussions. The Secretary takes the minutes of the meeting according to the form provided and is responsible for taking photographs of the Mahalla discussions.

***Step 1.2.1.2 TFP/CDA conduct Mahalla group discussions***

- a. Mahalla group discussions participants are asked to sign an attendance sheet when joining for the meeting using the form in Annex 3.7.
- b. For each Mahalla group, the TFP/CDA facilitators provide an overview of CSP, the roles and responsibilities of the community actors' positions/vacancies and criteria for nominees/candidates and also the methodology for election of the proposed candidates at the village meeting (20 mins).
- c. Participants brainstorm Mahalla nominees/candidate's through an open discussion (1 hour).
- d. Depending on the size of village and membership requirements for the VPC, the Mahalla is facilitated to present at least 6 candidates (1 man+1 woman each for VPC, YMs and YEAs) as follows (30 mins):
  - The Facilitator and Secretary write all the candidates raised in the brainstorming. Secretary posts the choices listed on a wall.
  - The Facilitator invites everyone to vote for their preferred candidates (1 man+1 woman in each category) through a secret ballot dropped into a ballot box.
  - Once everyone has finished voting, the Facilitator counts the number of votes for each candidate and the Secretary photographs the ranked list.
- e. TFP/CDA informs the nominated candidates and confirms their willingness to serve; the candidates are also told to be ready to present him/herself at the village meeting.
- f. TFP/CDA then lead the Mahalla group discussion around development of Mahalla inputs to the Village Profile.
- g. TFP/CDA/Mahalla leader provide a mapping of the Mahalla/neighborhood with outline/boundary and key landmarks so that people can orient themselves; facilitator asks the participants if they agree with the outline, physical features, and neighborhood boundaries that have been indicated.
- h. TFP/CDA then lead the Mahalla group discussion in a participatory mapping exercise to develop the Mahalla's inputs to the Village Profile (see Annex 3.4) including demographics, local infrastructure, services, public resources, existing donor financing.

- i. TFP/CDA help the Mahalla finalize this Mahalla map as an input to the Village Profile.

### **Step 1.2.2 Election of Village Project Committee, Youth Monitors and Youth Energy Ambassadors at the General Village Meeting**

The Head of village, TFP/CDAs with support from the NSIFT Regional Community Development Coordinator (RC) organize a general village meeting for election of Village Project Committee, Youth Monitors and Youth Energy Ambassadors. This will be based on nominations received during Mahalla group discussions.

- a. TFP/CDAs will draw on existing Mahalla/community leaders to reach out and mobilize the villagers to participate from diverse Mahallas/neighborhoods (and following Mahalla group discussions). At least 60% of households in each Mahalla must participate in the village meeting; and at least 50% of the meeting participants must be women for the election to be valid.
- b. TFP/CDAs will ensure that at least 50 percent of women participate by working with the Mahalla leader to identify women leaders in the neighborhood. These community leaders and women leaders go house-to-house inviting women to attend. This initial effort will emphasize that the meetings present a safe environment for women, encouraging participation.
- c. TFP/CDA with support from the RC will facilitate the village meeting which should last no more than two hours.
- d. TFP/CDA with support from the RC will list all nominations received on a board at the front of the meeting.
- e. The Facilitator will describe the community roles and facilitate a discussion on the responsibilities and the skills required and the number of volunteers needed based on the village size:
  - Roles and objectives of VPC, JPC, YMs, and YEAs within CSP
  - Emphasize the requirement around inclusion of women and youth: 50% women, 50% of both men and women will be at the age of 18-35.
- f. The Facilitator will invite nominated candidates to briefly (in 5 minutes) introduce themselves, including their reasons for wanting to join the VPC, YMs and YEAs and their qualifications.
- g. The Facilitator will then organize voting by secret ballot, choosing their preferred candidates (1 man+1 woman each for VPC, YM, and YEA roles):
  - TFP/CDAs prepares two boxes for all positions: one box for man candidates and one box for woman candidates.
  - Each person receives 1 card/piece of paper with indicating lines of vacant positions and lines to fill in the name of the candidates (see Ballot Template, Annex3.9).
  - Each person deposits card/paper into the ballot box with indicating their choice.
- h. Once voting is completed, TFP/CDAs count votes from each box in front of the assembled group.
- i. If there are more candidates than available openings on the VPC, YMs and YEAs, positions filled in descending order of votes.
- j. TFP/CDAs compile minutes of meeting including lists of VPC, YMs and YEAs with contact information, takes separate group photos of the VPC, YMs and YEAs, and have all members sign the Code of Conduct. Copies of this information transmitted to NSIFT Project Unit and maintained in the relevant files.

- k. VPC members conduct meeting for electing the Chairperson of the VPC. Members of VPC elect Chairperson by secret ballot. TFP/CDAs will attend the meeting as an observer and to record minutes.
- l. Members of VPC will select representatives to the JPC. Chairperson of VPC automatically becomes the member of JPC. Other members of VPC may be selected for JPC composition as well, with the subject to gender equality 50% women of JPC composition. The CDA record minutes of the meeting and transmits to NSIFT Project Unit.

### **Step 1.2.3 Formation of Jamoat Project Commissions**

Following the confirmation of JPC members from each VPC, the next activity concerns the establishment of the JPC in each Jamoat. The JPCs will carry out a number of representation, coordination, financial management, and procurement functions in the Project. They will ensure that community priorities are taken forward, act as the main point of liaison with NSIFT and ESPMU. This area of activity includes actions to select JPC office bearers.

- a. NSIFT support the formation of the JPC, including:
  - NSIFT submit official letter to each Head of Jamoat to determine which Jamoat staff will join JPC. Letter should have information about nominated VPC members to the composition of JPC; and requirements of the JPC in terms of inclusion of women/youth.
- b. After receiving letter from Head of Jamoat with the nominated candidates, the initial meeting of JPC is conducted, with assistance from the TFP/CDAs.
  - NSIFT invites the Head of the Jamoat to attend the meeting.
  - NSIFT presents the goals of the JPC, structure, and roles of office-bearers.
  - JPC Members amend and confirm draft JPC charter presented by NSIFT and formally vote to adopt.
  - JPC Members seek nominations and self-nominations for the office-bearers.
  - During the initial meeting, members of the JPC elect Chairperson and office bearers by secret ballot.
- c. TFP/CDAs/RC documents the results of the introductory JPC meetings:
  - Original copies of filed minutes (see form for minutes Annex 3.2) will be stored at JPC.
  - Copies of documentation will be stored at NSIFT regional office.
  - JPC members sign Code of Conduct (see Annex 1.5).
- d. JPCs recruit young accountants, a young accountant/bookkeeper to assist Jamoat Financial Management Specialist. The criteria/ToR for the Young Accountant is set out in Annex 2.7. JPCs will conduct an open and transparent process in the Jamoat. Selection criteria includes: 1) they are young men and women (ages 18-30) from the target community; 2) have graduated from a basic bookkeeping course and 3) have the skills to support the accounting functions of the JPC. The steps taken by JPCs for the recruitment of Young Accountants are as follows:
  - Finalize/adapt TOR to local situation
  - Conduct an open call for applications for the Young Accountants
  - JPC selection according to TOR criteria.

### **Step 1.3 Training and Capacity Building Activities for Community Roles**

**Objective:** to undertake training and capacity building activities for communities to support active engagement and community leadership. This step targets training for the JPCs, VPCs, YMs, and YEAs to

complete the subproject cycle effectively. Chapter 2 describes broader capacity building activities under the Project to promote improved local governance.

As part of project design, Training and Facilitating Partners, NGOs skilled in community mobilization and local capacity building, will support NSIFT in developing training curriculum and coaching and mentoring NSIFT staff, Community Development Advisers, local officials and communities in community mobilization, participatory planning, social accountability, and a range of community development topics. A cadre of trained Community Development Advisers will also support training and capacity building activities at community level. The Consolidated Training Plan is described in Annex 3.10. The form for tracking VPC/JPC representatives is presented in Annex 3.11.

### Step 1.3.1 Training manuals developed

- The TFPs with NSIFT inputs develop a training manual and material on community mobilization processes/subproject cycle.
- The TFPs with NSIFT inputs develop a training manual and materials on social accountability and energy awareness building for the YMs and YEAs.
- The training manual is approved by the World Bank annually.

### Step 1.3.2 Training of VPCs, JPCs, YMs, and YEAs Conducted

- CDAs and TFPs organize training for the VPC members per Table 3.1, line 1; CDA, TFP invites the VPC members for training at the village level and TFP covers training expenses.
- CDAs and TFPs organize training for the JPC members per Table 3.1, line 2; CDA, TFP invites the JPC members for training at the jamoat/village level and TFP covers training expenses.
- CDAs and TFPs organize training for the YMs and YEAs members per Table 3.1, lines 3 and 4; CDA, TFP invites the YMs/YEAs for training at the village level and TFP covers training expenses.

**Table 3.1: Outline Training Plan- Community Mobilization Activities**

No.	Training	Topic	Participants	Duration	Frequency
1	Training for Village Project Committees	Topics to be developed by TFP will include: 1) participatory needs assessment and decision-making techniques; 2) project gender, youth and poverty requirements; 3) reporting requirements	[62] VPCs organized into 26 clusters	TBD	Annual (Years 1, 2, and 3)
2	Training for Jamoat Project Committees	Topics to be developed by TFP will include: 1) participatory needs assessment and decision-making techniques; 2) project gender, youth and poverty requirements; 3) small procurement, accounting and bookkeeping; 4) project management; 5) participatory community monitoring; 6) O&M; and 7) safeguards	26 JPCs	TBD	Annual (Years 2, 3 and 4)
3	Training for Youth Monitors	Topics to be developed by TFP will include: (1) social audits including identifying stakeholders, design, facilitating social audit meetings and institutionalizing results; (2) community scorecards including how to design the scorecard; how to implement a scorecard; and how to design an action plan	142 YMs	Two-day training	Annual (Years 1, 2, 3 and 4)

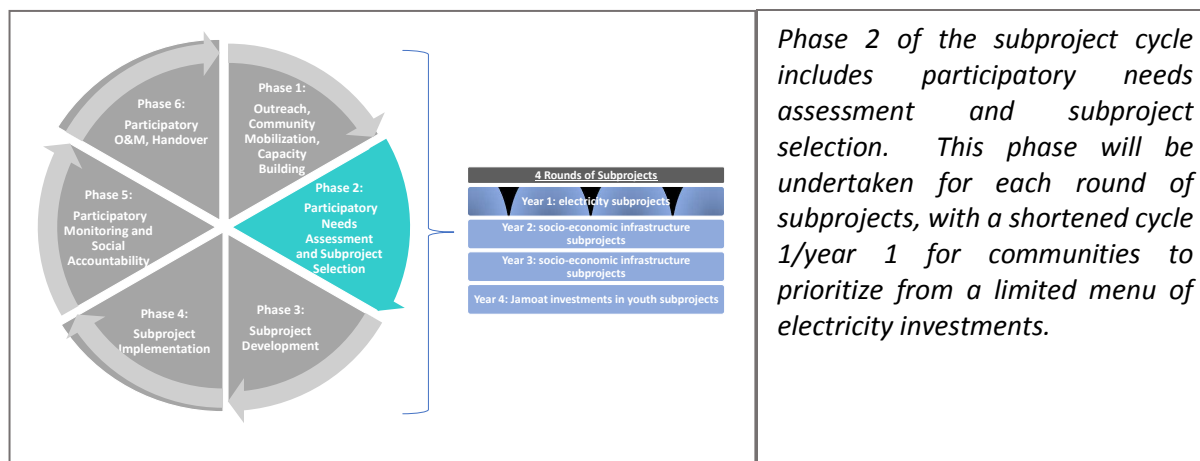
No.	Training	Topic	Participants	Duration	Frequency
4	Training for Youth Energy Ambassadors	Topics to be developed by TFP will include: 1) energy efficiency approaches; 2) introduction to climate change causes, impacts and mitigations; 3) participatory needs assessment and decision-making techniques; and 4) how to form a Youth Development Plan	142 YEAs	TBD	Annual (Years 2, 3 and 4)

**Step 1.4 Youth Energy Ambassadors Conduct Public Awareness Campaign (ahead of Subproject Cycles 2 & 3)**

Following training, Youth Energy Ambassadors with the Jamoat energy efficiency champion (JEEC – See Chapter 2) prepare and conduct a public awareness campaign before subproject rounds 2 and 3, including:

- a. JEEC and YEA to consult with local businesses and develop detailed workplan including:
  - Types of activities proposed
  - Locations/dates of activities
  - Roles and responsibilities
  - Technical or financial support required (if any)
- b. JEEC and YEA present workplan to JPC to gain support for outreach in target areas.
- c. CDA provides materials for the campaign to the JEEC and YEA.
- d. YEAs schedule energy efficiency talks in various venues where youth congregate in each village. This could include schools, sports venues, job training centers, etc.
- e. YEAs invite youth in cooperation with the VPC and Mahallas.
- f. YEAs conduct energy efficiency talk highlighting:
  - Causes, mitigation and adaptation to climate change
  - Types of behaviors that contribute to energy efficiency
  - Types of energy efficiency investments that can be made with Component 2 (Year 2-3) community investment funds.

**3.2. Phase 2: Participatory Needs Assessment and Subproject Selection**



## **Step 2.1 NSIFT with ESPMU Conducts Community Consultations on Cycle 1 Village Electricity Investments**

**Objective:** For Cycle 1/Component 1 village electricity investments, NSIFT will support a community consultation process to be held alongside initial CSP orientation meetings at village level. During the consultation, ESPMU will present a technical assessment/closed menu of recommended village-level electricity investments. The consultations will allow NSIFT and ESPMU to solicit the views and opinions of villagers regarding proposed electricity investments needed in the community. Each village consultation will determine the need and consent of villagers to the proposed electricity investments.

**Participants.** Participants must be residents of the village. Village consultations are open to all residents of the village and should involve as many people as possible. Attendance targets are approximately 70% of households of each mahallah (neighborhood). Minimum participation of women is 50%.

**Roles and responsibilities.** Village consultation meetings will be led by NSIFT/ESPMU with facilitation support from the TFP, whose role is to act as neutral facilitators soliciting the views of others in a respectful and constructive manner. Following hiring of the TFP, the TFP will be asked to develop more detailed procedures for the facilitation of the consultation meeting—an initial outline is below.

**Timeframe.** Village Consultation Meetings should take approximately 2-3 hours. Depending on the number of NSIFT/ESPMU representatives and facilities available, the village consultations may be organized simultaneously or at consecutive times.

**Procedure.** NSIFT/ESPMU conduct village consultations on cycle 1 electricity investments in each village.

- a. NSIFT/ESPMU opens meeting with reminder of CSP aims and objectives and present information on allocated funds for Year 1 electricity investments; Facilitator explains agenda and process (5 mins).
- b. ESPMU presents prepared technical assessment for the proposed electricity investments (30 mins) TFP Facilitator leads consultations in order to present and discuss the opinions and views of the groups of villagers according to the proposed electricity investments and note all views and opinions on the flip chart (40 mins).
- c. In order to seek diverse opinions and views, and track the particular views of youth and women, the facilitator may include break out discussions of:
  - Women
  - Youth (between 18-35 years of age)
- d. Each group should discuss proposed electricity investment among the group and write all views and opinions on the flipchart and hang it on the wall. Discussions in the group can take approx. 20-30 minutes). Facilitator or representative of each group should present all reflected views and opinions of each group to the participants of village consultations. (20-30 mins).
- e. As required, Facilitator will lead a process of voting to finalize village views and inputs on ESPMU-proposed closed menu of village electricity investments.
- f. Group is photographed with noted views and opinions.
- g. Minutes of Village consultations recorded (see form at Annex 3.12).

**Documentation of results.** Results for the Village Consultation Meetings will be recorded in Minutes drawn up for each village, which should contain the following minimum information (see form in Annex 3.12):



- The list of participants who attended the Village Consultations with their name, contact phone number and signature and a group photo of all people in attendance;
- Registration sheet with results of voting
- Photos of the meeting
- Views and opinions raised during the consultations on the wall or on the board, then photos showing this process should be attached
- Originals of the minutes with the attendance sheet, photos and views and opinions are kept by the Jamoat; copies are collected by CDA.

### **Step 2.2 Village Profile and Focus Group Discussions Held for Socio-Economic Infrastructure Investments**

**Objective:** Solicit the views and opinions of target groups regarding investments needed in the community. Each target group will produce a ranked list of these needed investments in order of priority. (Priorities from each target group will then be discussed and voted on during a Village Prioritization Meeting with the majority vote selecting the investment).

The VPC will first be facilitated by the TFP/CDAs to develop a Village Profile, drawing on the inputs from the Mahalla group discussions held earlier. After the Village Profile is complete, and adopting the participatory rural appraisal approach, the VPC will organize and help facilitate focus group discussions (FGDs) aimed at engaging women, elderly, youth, entrepreneurs, professionals, and vulnerable households. FGDs will enable these community groups to identify, discuss, and prioritize their needs. FGD priorities will then be discussed and ranked at village prioritization meetings, included in Village Development Plans (VDP), and communicated to the JPC for endorsement. To ensure women's priorities are heard, the project will track and measure the percentage of investment in women's groups priorities. To ensure youth priorities are adequately represented in VDPs, the decisions of the youth FGD will be included in a youth chapter of the VDP, with the aim of identifying possible youth-related interventions eligible for funding in Year 4/round 4.

**Participants.** Participants must be residents of the village. Community members may only participate (and vote) in one FGD. FGDs should be conducted for 6-10 separate groups, and each FGD should include a minimum of 10-15 people depending on size of village. Thus, FGDs will involve a total of approximately 60-150 people per village.

- a. Minimum participation of 50% women in each of the individual FGDs except for the women's group (100% women)
- b. Attendees are separated into six separate target groups as follows:
  - Women (the group is opened for all village women, not participating in any other group)
  - Elderly (over 65 years of age)
  - Youth (between 18-35 years of age)
  - Entrepreneurs (self-employed (farmers, herders, etc.), micro or small business owners)
  - Professionals (including teachers, healthcare professionals); and
  - Vulnerable households (including extreme poor, disabled, female-headed households, ethnic minorities)
- c. All FGDs should include at least one representative from each Mahalla/neighborhood in the village.

**Timeframe.** FGDs should take approximately 2 hours each. Depending on the number of TFP/CDA facilitators and facilities available, the FGDs may be organized simultaneously or at consecutive times. It is desirable to complete all FGDs within one week.

**Documentation of results.** The FGD results will be recorded in minutes drawn up for each group, which should contain the following minimum information (see form in Annex 3.13):

- The list of participants who attended the FGD with their name, contact phone number and signature and a group photo of all people in attendance
- Registration sheet with results of voting and ranking the community needs identified in the FGD
- Names and contact information of the FGD representatives to the Village Prioritization Meeting
- Photos of the meeting
- If voting was by stickers / notes on the wall or on the board, then photos showing this process should be attached
- Originals of the Minutes with the attendance sheet, photos and ranked priority lists are kept by the Jamoat; copies are collected by CDA.

### **Step 2.2.1 – VPC Develop Village Profile Based on Mahalla Group Discussions**

- a. With facilitation support from the TFP/CDAs, the VPCs hold a meeting to develop the Village Profile and Map based on inputs from the Mahalla group discussions (see Step 1.2.1).
- b. The VPC reviews Mahalla maps and combine them into the Village Profile/Map.
- c. With the help of CDAs/TFP, the VPC finalizing Village Profile in order to identify general needs in the community. The Village Profile (see Annex 3.4 for form) provides general statistical data on poverty, social infrastructure, projects already financed for the current fiscal year, and other sources of funding (public and private).
- d. The Village Profile/Map is then included as an input/background for the FGDs.

### **Step 2.2.2 VPC Prepares FGDs**

- a. VPC members set date(s) and time(s) convenient to the community taking into consideration women’s household responsibilities and agricultural season responsibilities.
- b. VPC members select venue. If possible, it should have adequate heating, seating and lighting and be free from noise/interruption (e.g. schools, cultural halls, government offices, etc.).
- c. VPC members and Mahalla members invite participants to attend. All neighborhoods/streets should be represented to the extent possible with at least one representative from each Mahalla in each FGD.
- d. VPC members responsible for FGDs prepare all necessary equipment and materials including flipcharts, stickers or paper, markers, masking tape, etc. These will be supplied by the CDAs.
- e. VPC members make special arrangements if needed to arrange transport for the elderly and disabled.
- f. Members of the VPC with support from the CDA/TFP decide among themselves who will act as “Facilitator” and who will act as “Secretary”. The Facilitator should be a woman for at least half the FGDs, including for the womens’ groups. Jamoat staff should not be selected as Facilitator but may serve as Secretary. The Secretary takes the minutes of the meeting according to the form provided and is responsible for taking photographs of the FGD/outcomes of the voting.

### Step 2.2.3 VPC Conducts FGDs with Reference to the Village Profile

- a. With support from TFP/CDAs, VPC convene a series of focus group discussions. VPCs especially reach out to women leaders to encourage the participation of women.
- b. FGD participants are asked to sign an attendance sheet when arriving for the meeting using the form in Annex 3.7.
- c. For each focus group, the Facilitator explains the methodology that will be used and the “house rules” regarding respectful and constructive inputs (10 mins).
- d. Village Profile is presented and submitted to the Focus Group participants.
- e. Participants brainstorm community needs through an open discussion (1 hour).
- f. Participants prioritize top 4-5 needs as follows (30 mins):
  - The Facilitator and Secretary write all the choices raised in the brainstorming (one per piece of paper) deleting all items deemed unfeasible in the discussion and combining items as necessary to avoid duplication. Secretary posts the choices on a wall.
  - The Secretary should distribute one sticker (or sheet of paper) for each participant. [Note that trying to prioritize in large group discussions with a show of hands is often ineffective and is often dominated by more powerful or outspoken participants].
  - Facilitator invites everyone to vote simultaneously (instead of lining up) by placing their sticker/paper on the wall under the appropriate sign.
  - Once everyone has finished voting, the Facilitator counts the number of votes for each item and the Secretary photographs the walls/vote and makes a ranked list.
- g. The priorities identified by the Youth FGD(s) in each village shall also be sent to the jamoat for inclusion in the Youth Development Plan.
- h. The priority list of the women’s FGD(s) will constitute documentary evidence for indicator IR5.

### Step 2.2.4 FGD Participants Elect Presenter for Village Prioritization Meeting

- a. Facilitator explains that each FGD needs to elect one person to present their groups’ priorities at the Village Prioritization Meeting (VPC).
- b. Facilitator asks FGD participants to volunteer themselves and/or asks for nomination by the group of someone physically present in the FGD. Facilitator encourages participants to elect women representatives, explaining that there is a target of 50% female representatives.
- c. Once candidates are identified, facilitator asks participants to elect a representative by show of hands.

### Step 2.3 Village Prioritization Meeting Held Based on Focus Group Results

**Objective.** To finalize the selection of the investment priority that will be developed into a subproject proposals for the Village subgrant. (i.e. to present the results of the FGD’s prioritization and conduct a vote for the subproject).

**Participants.** The VPM is open to all residents of the village and should involve as many people as possible. Attendance should include representatives from at least 60% of households in each Mahalla as well as minimum participation of 50% women for results to be valid.

**Roles and responsibilities.** The VPM is facilitated by the TFP/CDAs and supported by members of the VPC soliciting the views of others in a respectful and constructive manner. VPC members may not introduce their own ideas or seek to influence the views of others and do not vote in the meeting.

**Timeframe.** The VPM should take approximately 2 hours.

**Documentation of results.** Results of the VPM will be recorded in the minutes which should contain the following minimum information (see form in Annex 3.14):

- The list of participants who attended the VPM with their name, gender, contact phone number and signature
- Registration sheet with results of voting and ranking the community needs identified in the FGD showing the top priority identified
- Names, gender and contact information of the FGD representatives to the VPM
- Photos of the meeting
- Photos of the voting; if voting was by stickers / notes on the wall or on the board, then photos showing the wall should be attached
- Originals of the Minutes with the attendance sheet, photos and ranked priority lists are kept by the Jamoat; copies are collected by the CDA and brought to the NSIFT for data entry and storage as needed for M&E section (Under Subcomponent 4- see Chapter 5).

### **Step 2.3.1 TFP/CDA/VPC Prepare Village Prioritization Meeting**

- a. TFP/CDA with VPC setdate, time and venue.
- b. Mahalla Committee and VPC invites community to the meeting, emphasizing importance of women and youth participation, using various channels including bulletin boards, home visits, loudspeakers, announcements to the school, etc.
- c. TFP/CDA with VPC makes special arrangements if needed to ensure that elderly and disabled are able to attend.
- d. TFP/CDA with VPC members prepare all necessary equipment and materials for discussion and voting (flipchart, markers, colored paper, “ballot boxes” made out of boxes or other closed container). Necessary supplies will be provided by the CDA.
- e. TFP/CDA with VPC members decide among themselves two “Facilitators” (1 man/1 woman) and two “Secretaries” (1 man/1 woman).

### **Step 2.3.2 TFP/CDA/VPC Conducts the Meeting to Select Priority Investment**

- a. TFP/CDA opens meeting with reminder of CSP poverty, gender and youth focus/criteria; Facilitator explains agenda and process (5 mins).
- b. Each FGD Representative presents their group’s top priorities for subprojects (30 mins max for 6 groups = 5 minutes each).
- c. Facilitator leads general discussion of priority needs in the community and notes any new needs identified on a flipchart (20 mins).
- d. Facilitator calls for a vote on the options identified above.
  - Facilitator prepares box for each choice with the name and a picture or drawing of the proposed project on the box so people know what choice it represents
  - Each person receives 1 card/piece of paper
  - Each person deposits paper into the ballot box of their choice
  - Once voting is completed, Facilitators count votes from each box in front of the assembled group.

- e. VPC members announce how many people voted for each option in the presence of the assembled community.
- f. Group is photographed with a sign naming the highest number of votes.
- g. **The proposal(s) for Subproject(s) that wins the majority votes shall be selected.**

### **Step 2.4 Inclusion of Village Priorities in Village Development Plan/Youth Development Chapter**

**Objective.** To ensure that Village Development Plan is informed by the FGDs and results of the village prioritization meeting; to add a youth-focused Chapter to the VDP.

#### **Step 2.4.1 VPC Develops a Village Development Plan**

- a. VPC compiles the list of needs raised during the community mobilization process (FGD and VPM priority lists) including the proposal selected for investment.
- b. VPC compiles a Village Development Plan (see form in Annex 3.15) that lists these priorities:
  - Priorities should be shown in descending order of votes by the community.
  - Priorities should be accompanied by projected budget figures if possible.
  - The Village Development Plan (VDP) should note whether the priority selected for CSP funding was identified in the Women’s and/or Youth’s FGDs.

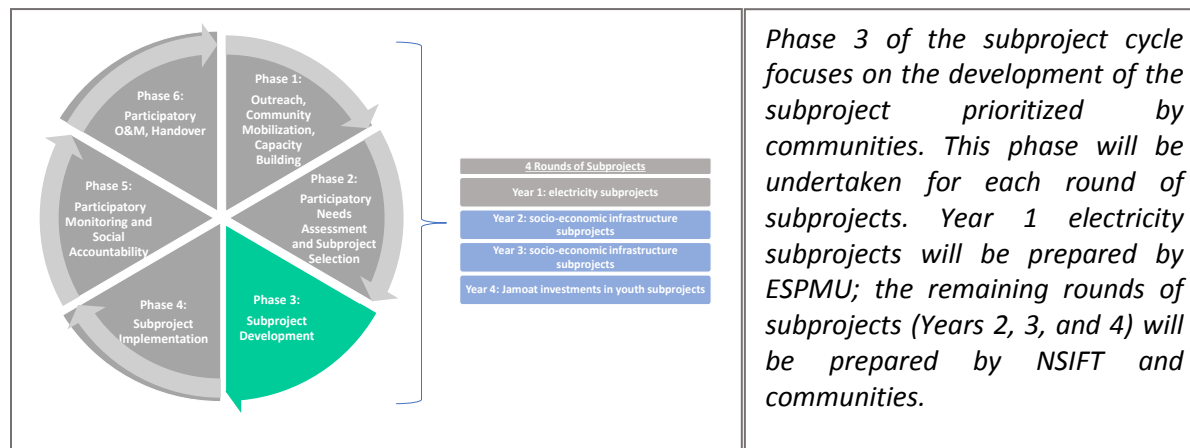
#### **Step 2.4.2 VPC and YEAs Develop a Youth Development Chapter/VDP**

- a. VPC and YEAs develop a draft Youth Development Plan to include as a Chapter of the VDP that lists the priorities (in descending order of votes by the FGD participants) from the Youth FGDs and any key points raised during youth FGDs regarding village development (see form in Annex 3.16).
- b. This list will constitute the menu of investment options if residual funds are available in Year 4 (see section xx).

#### **Step 2.4.3 VPC Submits the Village Development Plan, including Youth Chapter to JPC for Endorsement**

- a. VPC submits the Village Development Plan, including the Youth Development Chapter to the JPC for endorsement.
- b. Jamoat posts the LDP on the Jamoat bulletin board, and through the Mahalla Committees, posts the information on public bulletin boards in schools and public places in each village.

### **3.3. Phase 3: Subproject Development**



**Objective.** To develop the detailed proposals and technical designs for the subprojects selected through the community mobilization process in each village. This includes detailed design (including any safeguard requirements) and procurement plans. This section should be read alongside the accompanying Subgrant Manual that supplements this POM.

For electricity investments, ESPMU will develop the electricity subproject design. For socio-economic infrastructure investments, the JPC will check the feasibility of the proposed subproject against the subgrant included in the Jamoat Development Plan, work with the VPC to develop the subproject proposal, and request NSIFT to carry out feasibility checks and the detailed design. The JPC will also work closely with NSIFT on the development of the subproject design, including addressing any safeguards requirements. NSIFT will prepare the technical designs and tender packages in accordance with regulations, utilizing relevant standard government designs as appropriate.

**Output.** Detailed design and procurement plans for all 60 villages in the Col as well as approx. 11 groups of villages in Isfara District. Proposals must address how women and men will benefit equally from the investment and include a completed Environmental Management Plan (EMP).

**Documentation of results.** Prior to funding of subprojects, each village will provide evidence that the community mobilization and decisions over subprojects has been undertaken genuinely, that proposed subprojects meet poverty reduction and gender equity goals and are included in Jamoat Development Plans, that they are technically viable (through a technical checklist), that any donor coordination has been carried out, and that subproject sustainability and O&M plans have been developed. At the end of Phase 3, the JPC will submit to NSIFT:

- Minutes, sign-in sheets, and photos of the FGDs and Village Prioritization Meeting documenting the community mobilization process (as provided by the VPCs)
- The Jamoat Development Plan showing that the intended investment is included (form is shown in Annex 3.17)
- Beneficiary analysis showing that women, youth, and the poor will benefit equally from the investment (see guidelines in Annex 3.18)
- Technical checklist (see guidelines in Annex 3.19)
- Detailed design document (see guidelines in Annex 3.20)
- O&M plan (see guidelines in Annex 3.21).

### **Step 3.1 JPC and NSIFT Check Feasibility of the Proposed Subproject Against the Allocated Subgrant**

- a. JPC members assisted by CDAs (and technical staff of NSIFT if necessary) hold a meeting to check the feasibility of the projected budget for the subproject included in the JDP:
  - If the amount considered necessary is less than or equal to the available subgrant funds, the project goes ahead.
  - If the amount considered necessary is more than available subgrant funds for Cycle 2, but less than or equal to the total available subgrant funds for Cycle 2 and 3, the JPC can choose to carry over their subgrant and undertake one subproject of higher value in Cycle 3.
- b. In cases where Jamoats or CDAs become aware that neighboring communities have prioritized similar investments (e.g. roads or irrigations) that would benefit from economies of scale by joining the two subprojects, they should facilitate a discussion between the relevant JPCs.
- c. Should the JPCs agree to collaborate:

- The joint investment shall be reflected in the design and presented to the respective communities in step 3.3 below.
- JPCs will jointly participate in all steps below related to community participation and monitoring of the procurement and implementation of the subproject.

### **Step 3.2 JPCs Develop Initial Expanded Subproject Proposal**

- a. TFP/CDA will train members of the JPC on preparation of subproject proposal and procurement steps. During this training, the NSIFT Social Safeguard Specialist explains to the JPC members how to develop the Social and Environmental Management Plan (see Safeguards, Chapter 7, and Annex 3.22).
- b. JPC members begin filling in the required forms and templates.
- c. JPC members produce a first draft of the Monitoring & Evaluation Plan, Procurement Plan with support from CDA/TFP during the training.

### **Step 3.3 VPC Members Consult Community on the Design and Estimates Beneficiaries**

- a. VPC members shall meet with residents who helped select the proposal to identify/clarify:
  - **Intended beneficiaries:** who are the primary intended users of the proposed investment? Are any accommodations necessary to make sure that women are able to benefit equally from the investment?
  - **Intended use of investment:** How do they envision the design? What times of day/year would they use the investment?
  - **Location:** What is the preferred location of new construction (if relevant)? Is this location accessible to the poorest families in the village?
- b. VPC submits final recommendations regarding design and beneficiary targeting to JPC.
- c. NSIFT Central Office Engineer conducts field inspections all selected sites, if necessary, together with the Safeguard Specialist.
- d. Regional engineer consults the Raion Land Use Map to verify that the proposed sub-project site is zoned for that type of construction.
- e. JPC meets with community members in the village where the investment is proposed to be located to complete the Environmental Checklist (see Safeguards, Chapter 7 for additional details and Annex 3.22).
- f. If the subproject includes the need for an allocation of land for construction, NSIFT coordinates with the Hukumat of the district to determine if the land is publically or privately owned; and proceeds, as required, with preparing a Resettlement Action Plan in coordination with the JPC (see Chapter 7 on safeguards for additional details).
- g. In the event that the original proposed location triggers environmental and social risks not permitted under CSP, NSIFT engineers will assist the Jamoat to identify an alternate location.

### **Step 3.4 NSIFT Prepares Detailed Subproject Design**

- a. The VPC provides a package of documents (source data) for the development of design and estimate documentation with a proposal for the implementation of a sub-project to the JPC and then, after consideration, is transmitted to the regional office of NSIFT.
- b. NSIFT leads preparation of an Architectural Planning Task (APL), obtaining technical conditions for engineering networks and developing a design specification.

- Chairman of the regional Hukumat orders the District Administration for Architecture and Urban Planning (DAAUP) on the preparation of architectural planning conditions (APC) and engineering and technical conditions (ITC). APS includes architectural and construction solutions (drawings), topographical survey, technical assessment and permission of the State Agency for Environmental Protection and Forestry. ITCs include communications connectivity plans. These documents are legal requirements for all investments owned by jamoat.
  - In cases where the sub-project provides for public utility facilities (for example, electricity, water pipes, irrigation canals), it is necessary to involve NSIFT engineers to assist VPC before receiving the APL.
- c. On the basis of the initial data, the NSIFT regional office compiles the terms of reference for the subproject design and sends all the necessary documentation to the central office of the NSIFT.
- d. The procurement specialist of the NSIFT, in accordance with the requirements of the World Bank procedures, will conduct a competitive selection for the procurement of services for the development of detailed design and estimate documentation (DED) for the sub-project and prepare a contract with the project organization.
- All project organizations participating in the tender should be licensed to conduct design estimates, which are issued by the Committee on Architecture and Construction under the Government of the Republic of Tajikistan.
  - All activities of the design organization should be carried out in accordance with the ESMP and RAP, where relevant.
  - Activities/outputs of the design organization will be prepared in accordance with the legislation of the Republic of Tajikistan and the terms of the contract, including:
    - Meeting with NSIFT, CDAs, and VPC and JPC to discuss specifications
    - Review of permits (architectural planning assignment (APZ), preliminary master plan, design specification (TBP), engineering network specifications, etc.
    - topographic survey of subproject site
    - Development of detailed working drawings reflecting community suggestions
    - Conclusion on the engineering and geological conditions of the construction site
    - Architectural and planning solutions (APS)
    - Constructive part (CP)
    - Statistical data (calculations and design of building elements)
    - Plan of placement of equipment and furniture
    - Autonomous heating system for solid fuel (Use modern heating devices and hot water boilers, depending on the heated area of the building)
    - Electrical part
    - Natural ventilation
    - Fire alarm
    - External engineering networks (water supply and sewage, electricity, heat etc.)
    - Drawings of auxiliary buildings in full (toilet, shed, boiler room, fire tank, etc.).

### **Step 3.5 JPC Holds Proposal Design Verification Meeting with Community and Finalizes Proposal**

- a. JPC holds a meeting with the representatives of the FGDs (i.e. people elected to represent the FGDs during the Village Prioritization Meeting) to share the proposal design. This meeting may be combined with one of the Community Check Meetings (see Phase 5).

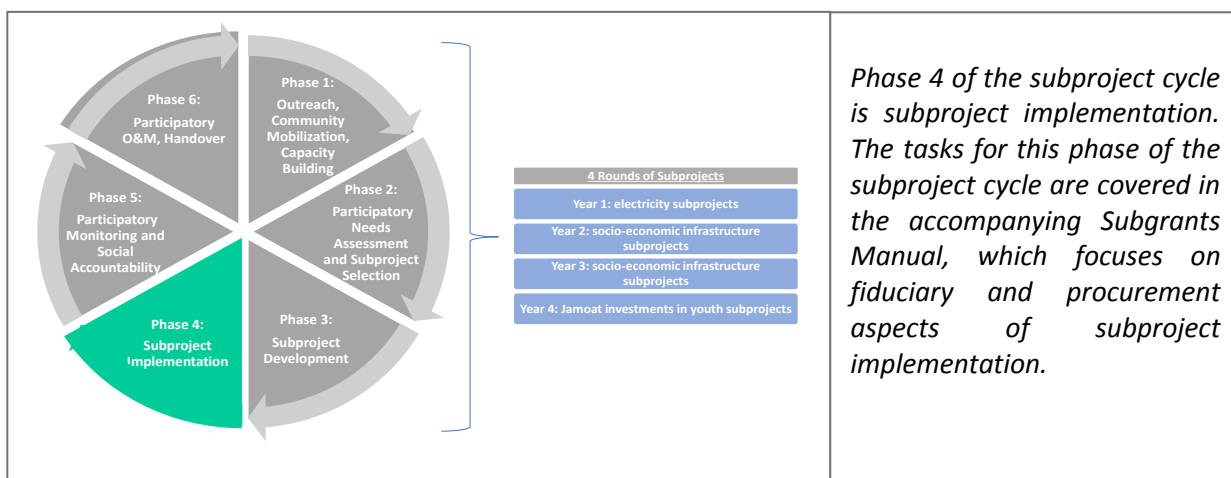


- b. JPC shares the draft proposal, including the budget and specifications, and describe the proposed site for the construction (if relevant). The JPC will ask for feedback on the proposed specifications.
- c. Community representatives confirm that the specifications reflect the expressed wishes and intentions of the community during the community mobilization process or asks for adjustments to the proposal so long as they are technically and financially feasible.
- d. VPC members modify the draft proposal to incorporate the feedback from the Proposal Design Verification Meeting (if any).
- e. VPC sign the bottom of the first page of the proposal (or a subsequent revision) to validate that the proposal reflects the specifications that were discussed in the Village Prioritization Meeting.

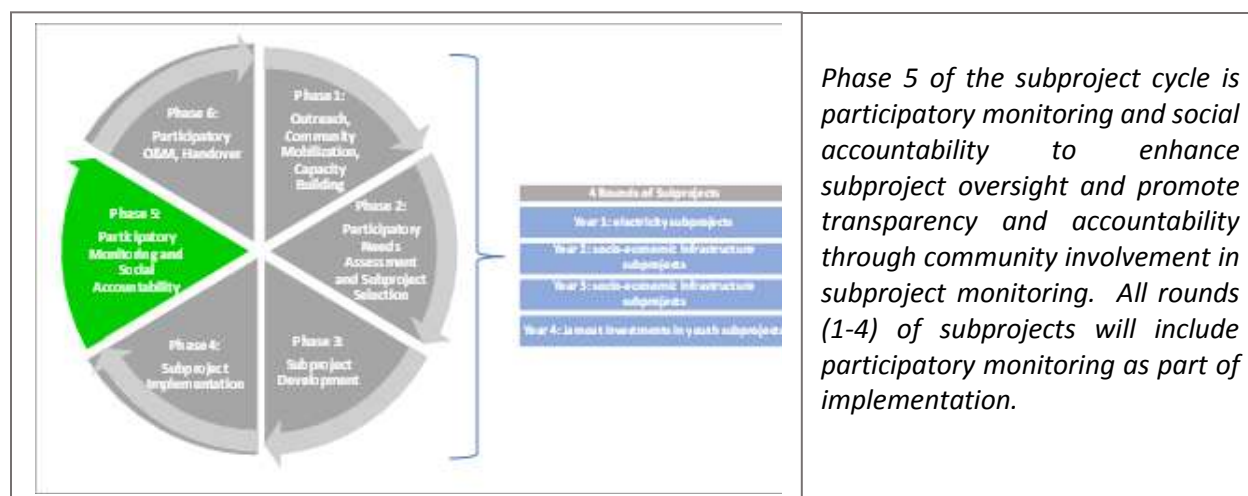
**Step 3.6 NSIFT Seeks State Expertise Appraisal/Approval of Subproject Design**

- a. NSIFT submits final subproject design for state examination to obtain a positive opinion (the state expert appraisal of design and estimate documentation, as a customer, has been conducted by the NSIFT in accordance with the requirements of the Committee for Architecture and Construction under the Government of the Republic of Tajikistan since 2015)
- b. After receiving a positive conclusion of the state examination of the Committee for Architecture and Construction under the Government of the Republic of Tajikistan, the design organization sends the final package of design and estimate documents in electronic form and in print 4 copies to the NSIFT.
- c. The final payment for the services of design organizations for the development of design and estimate documentation or re-use will be made after receiving a positive consolidated conclusion of the state expertise of the Architecture and Construction Committee under the Government of the Republic.

**3.4. Phase 4: Subproject Implementation – Covered in the Subgrants Manual**



## Phase 5: Participatory Monitoring and Social Accountability



*Phase 5 of the subproject cycle is participatory monitoring and social accountability to enhance subproject oversight and promote transparency and accountability through community involvement in subproject monitoring. All rounds (1-4) of subprojects will include participatory monitoring as part of implementation.*

**Objective.** To provide a structured and transparent process for communities to monitor project activities, including a focus on empowering youth in monitoring and oversight roles.

An important principle of the CDD methodology is that community members should have the opportunity to provide feedback during the project cycle. This allows for accountability and also helps identify improvements that would benefit future cycles. The activities described in this phase outline a continuous set of social accountability activities that will serve as the monitoring mechanism for subproject implementation. They relate not only to the quality and community satisfaction over the investments themselves, but also community satisfaction with the quality and inclusiveness of the CDD process.

**Scope of activity.** The three social accountability tools to be implemented during CASA1000 CSP and described in this chapter are:

- Social audits** take the form of “community check” meetings which are public forums for the VPC and JPC to present a report back to the target communities on the progress, challenges, and fiduciary (procurement and FM) information of the project and to allow target communities to raise issues and ask questions
- Community scorecards** take the form of a structured feedback survey that will measure satisfaction with the project (project processes and outcomes) and contribute to action plans to improve project implementation. Scorecards are also included in “community check” meetings
- Ongoing **monitoring by the JPC/VPC** to monitor implementation of construction works per agreed design
- Beneficiary feedback mechanism (BFM)** that will be set up by NSIFT to address grievances, comments, and any other type of feedback during the life of the project (details on the BFM are in the Project Management Chapter 4)

Social audits and community scorecards will be conducted in a Community Check Meeting held twice a year. JPC/VPC monitoring of subproject implementation will take place at 50% and 100% completion. The BFM is a continuous feedback mechanism operated directly by NSIFT that allows community

members to contact the implementing agency at any time and on any subject to express concerns (see Chapter xx).

- a. **Coverage.** These activities will be conducted in each village within the Coland Isfara district.
- b. **Timing.** Community members will be able to engage in social accountability activity throughout the project.

**Social audits** will be conducted twice a year. The social audits will take the form of “**community check**” **meetings**—public forums for the VPC and JPC to present a report back to the target communities on the progress, challenges, and fiduciary (procurement and FM) information of the project. All communities will conduct these community checks to ensure that decisions are inclusive and poverty-focused, are genuinely bottom-up, that there is continuity in the chain of decisions made by focus groups (e.g. women’s groups), and to enable the VPC, JPC, and NSIFT to explain the expenditures of the project subgrant. Transparency will be a key parameter; a list of information and documents to be presented at the community check meetings will be provided to both communities and committee members and supported by youth monitors. The project will also fund the technical support (through the TFPs) needed to prepare, organize, and document these community check meetings.

Communities will also engage in filling of semi-annual **community scorecards** which will provide an opportunity for quick and simple feedback on project implementation (project processes and outcomes). The scorecard process will be facilitated independently from the VPC and JPC, with support from the cadre of youth monitors. The semi-annual scorecard will be conducted along with the community check meeting, and results collated to promote feedback and discussion in the meeting, as well as identifying any areas where improvements will be made in the following cycle. The scorecard will also provide results (included in the results framework) that will be used to monitor project outcomes. All results will be disaggregated to identify any gender bias, and corrective action included in the Gender Action Plan.

### **Community Check Meeting**

The Community Check meeting will include both the social audit and the community scorecard activities.

**Objectives.** The Community Check meeting serves to:

- Present, and make transparent, all *relevant* subproject information (process, budgets and expenditures, outcomes, concerns/issues) for each cycle
- Provide a safe space and opportunity for measuring community perception of the performance of the representative committees VPC and JPC, through transparency, discussion and, finally, a rating process and qualitative follow up
- Document challenges and areas in need of improvement
- Recommend how future Cycle implementation (Year 2-4) can be improved.

**Timing.** Social audits and community scorecards will be conducted in a joint Community Check Meeting held on the same day, as described below. These Community Check Meetings will be conducted twice a year in each village:

- Upon completion of community mobilization activities to select the investment in order to evaluate the process
- Upon completion of the investment itself in order to evaluation the outcome.

### **Roles and Responsibilities.**

- a. **Youth monitors** selected and trained in Phase 1 will play active roles in the social accountability activities, supported by the CDAs and TPF(s) as follows:
  - Organizing and facilitating community check meetings
  - Explaining the social audit and community scorecard methodology
  - Facilitating the community discussion
  - Taking minutes of the meeting (the tracking form is presented in Annex 3.23).
- b. **VPC and JPC members** are responsible for:
  - Preparing project information on progress, financials, and feedback through BFM
  - Presenting to the community during the social audit session of the meeting (VPC and JPC members decide among themselves who will present the material - men and women should take turns presenting)
  - Participating in the community scorecard session.
- c. **CDAs** are responsible for:
  - Supporting Youth Monitors during the activities
  - Collecting data generated during the social accountability activities and conveying it to the M&E staff for inclusion in the Results Framework
  - Receiving beneficiary feedback from the community and conveying it to NSIFT BFM staff
  - Providing BFM data (if any) to the VPC/JPC for presentation during the Community Check meeting.
- d. **TPF(s)** is responsible for developing a social accountability curriculum and delivering trainings to the YMs and VPC/JPC members.

**Attendance.** The Community Check Meeting should meet the following parameters to ensure its function as a social accountability mechanism:

- No fewer than 50 people for the social audit meeting
- VPC and JPC members should not constitute more than 25% of participants
- Women should constitute 50% of total participants.

**Basic Principles.** It is important that during the Community Check Meeting, the YMs and CDAs with support from TFP(s):

- Encourage community members to attend and actively participate
- Disclose meaningful information so that it is easily understandable and readily available
- Create an empowering space for villager participation
- Follow a cycle of open information >> community check /comment /rating>> collective recommendations
- Focus on broad attendance by appropriate location and timing of event.

**Transparency and information.** In order to be effective, VPC/JPC speakers are reminded that:

- Entire Community Check Meeting should take approximately 3-4 hours
- Presentations should be specifically about the process completed or stage of infrastructure implementation and avoid general information. Their presentations should be kept to approximately 30 minutes.
- Only one presentation per subproject during the meeting
- The key information should be available on the wall/on flipcharts. Presenters should speak to what is on the wall.

- Project lists (including women and youth lists) from the FGDs should be displayed to compare what was delivered with what women and men prioritized.

**Documentation of results:** Results will be recorded in the minutes which should contain the following minimum information (see the form in Annex 3.24):

- The list of participants who attended the Community Check Meeting with their name, gender, age, contact phone number and signature
- Copies of the presentations and information disseminated
- Minutes of the meeting showing what was discussed
- A completed scorecard
- Photos of the meeting
- Originals of the minutes with the attendance sheet, photos and ranked priority lists are kept by the Jamoat; copies are collected by CDA and brought to the NSIFT for data entry and storage as needed for project M&E.

### **Step 5.1 JPCs Monitor Subproject Implementation**

The JPC conduct ongoing monitoring of subproject implementation to inform community check meetings/project M&E as follows:

- a. CDA/TFP(s) provides training to the JPC members according to the curriculum and timeframe developed by the TFP.
- b. JPC members conduct monthly visits to the construction site. During the visit, they verify in particular the following points:
  - Availability of an information board at the site indicating: the amount of funding (World Bank and Jamoat contribution); Dates of commencement and completion; Name and Contact of Contractor; Contact information for CSP BFM
  - Works performed (construction progress, work stages)
  - Administration of complaints and suggestions of community members.
- c. At 50% and 100% completion, the JPC Secretary drafts a report of 1-2 pages of the M&E results no later than 7 days after the completion of the site visit. The report should include:
  - Brief description of progress
  - Brief description of the problems encountered in implementation
  - Description of how these problems were solved (or are being solved)
  - Recommendations for improving implementation of the works (mandatory).
- d. **All members** of the JPC sign the report.
- e. The JPC and Jamoat administration jointly discuss any proposed recommendations for improvement of work.
- f. The JPC submits the report to CDA for NSIFT's records.
- g. Jamoat places the report on the bulletin board of the Jamoat Office for public dissemination.
- h. Results also inform the Community Check Meetings per below.

### **Step 5.2 Preparation of Community Check Meeting**

YMs with support from CDAs/TFP(s) prepare logistics:

- a. Set convenient date, time, and venue in agreement with the Jamoat
- b. Request VPC and/or JPC members to present on the progress of the community mobilization process and/or investment to date

- c. Prepare all necessary equipment and materials for discussion (flipchart, markers, paper) including flip charts for the Community Scorecard. Necessary supplies will be provided by the CDA/TFP(s)
- d. YMs invite community (at least one week in advance):
  - Distribute invitation via bulletin boards, home visits, loudspeakers, announcements to the school, etc.
  - Encourage women and youth to attend by contacting women and youth leaders and asking them to invite people and displaying invitation announcements in places frequented by women and youth
  - Make special arrangements if needed to ensure that elderly and disabled are able to attend.
- e. VPC/JPC prepare project information:
  - Community mobilization materials developed for the project (e.g. Posters of project cycle, gender guidelines, instructions on use of BFM, safeguards etc)
  - Project information including implementation progress, deviations from process if any and explanation, and financial information (budget, projected vs. actual disbursement)
  - Key concerns/issues arising.
- f. YMs distribute information (at least 2-3 days before meeting):
  - One-page summaries of the KEY information only, are displayed at village information point/noticeboard and near all the Project posters, beside the meeting announcement
  - YMs share/lend a copy of the report to any villager who requests it.

### **Step 5.3 Community Check Meeting Held Including Social Audit and Community Scorecard**

YMs with support of CDAs/TFP(s) and inputs of VPC/JPC members conduct Community Check Meeting, including the following agenda items:

- a. **YMs open the meeting (10 minutes)**
  - YM Facilitator describes agenda, asks for agreement of participants
  - YM Facilitator explains ground rules regarding polite and constructive discussion, emphasizing that social audits are not intended to blame individuals.
- b. **Presentations by VPC/JPC members (30 minutes)**
  - VPC/JPC Speaker describes briefly the community mobilization process (process meeting)
    - What steps have been taken (thus far) in accordance with the process (using posters and other materials)
    - What steps did not follow the process and the reason why
    - Any complaints received (directly or through the BFM) about the process.
  - VPC/JPC Speaker presents basic information on the sub-project (Outcome meeting)
    - Location
    - Staffing, where relevant (e.g. for Medical point)
    - User fees (if relevant)
    - O&M plan and community contribution
    - Any complaints received (directly or through the BFM) about the investment.
  - Speaker describes financial and budget information (Process and Outcome meetings)
    - Planned and actual expenditures (and reasons for under or over spending)
    - Cost share (or support in kind) from the community, if any
    - Any complaints received about finances.
- c. **Social Audit Discussion (45 mins max)**
  - Did the process match the community's expectations when the community mobilization was explained at the orientation meeting?

- Did the community experience any difficulties during the implementation?
- Is the community satisfied that the objectives were met?
- Are there any areas they would like improved for the next cycle?

d. **Community Scorecard Discussion** (1 hr max)

Community members and VPC/JPC members are asked to separate into two groups:

- **Community Group Scorecard.** YM leads group in completing the scorecard (see Box 3.1):
  - Facilitator prepares four flipchart pages or ballot boxes for each point on the scale (very satisfied/somewhat satisfied/somewhat dissatisfied/not satisfied) and posts them on the wall.
  - Each person receives 1 sticker/piece of paper for each question.
  - Women and men receive a different color sticker/paper.
  - Youth are asked to make a mark on their paper to identify their vote before voting.
  - The Facilitator reads aloud the specific question/parameter to be covered for the Results Framework.
  - All participants approach the wall and each person posts their sticker on the corresponding “score” on the wall or deposits paper into the ballot box of their choice.
  - Once scoring is completed for each question, Facilitators count the number of papers/stickers for each response in front of the assembled group and the Secretary records the responses in the minutes.
  - YM asks group to choose among themselves two representatives (1 man and 1 woman) to present results in the plenary meeting.
- **VPC/JPC Group Self-Assessment**  
YM also facilitate Self-Assessment by VPC/JPC (simultaneous with above)
  - VPC/JPC members will carry out their own “self-assessment scorecard.” It is the same process described above, using the same Scorecard, but the separation recognizes that, as the project team, they will have a different perspective to the community.

e. **Joint Discussion by Community Members and VPC and JPC representatives** (1 hour)

- Participants rejoin the plenary.
- Elected Representatives present the results of the (i) community scorecard and (ii) self-assessment.
- Participants hold general discussion to understand the results:
  - What was the overall result for the community mobilization process and the investment? Why did people score the sub-project the way they did?
  - What was the difference between the results of the scorecard and self-assessment? Why?
- Facilitators record specific discussion (see Annex 3.25 for form):
  - What went well?
  - What did not go well?
  - What were the challenges?
  - What are key areas needing improvement?

f. **Development of Action Plan** (30 minutes)

- YM Facilitator leads discussion on key recommendations for next year’s cycle based on the findings of the social audit and the scorecard.
- YM Secretary compiles recommendations into Action Plan.
- Action Plan is signed by VPC/JPC members present.
- Group is photographed with (i) Social audit/CSC results and (ii) Action Plan.

<b>Box 3.1. Sample Community Scorecard Questions and Compilation of Results</b>				
Gender	# of men present ____	# of women present ____		
Group	# of Community Members Over 35	# of Youth Under 35	# of Sub-Committee Members	
<b>Scorecard</b>				
1. Did you feel that you were properly involved in the decisions over the village subproject? [PDO3]	Yes, I felt fully engaged in the decision over the subproject	I felt involved to some extent	I felt involved only a small amount.	No, I did not feel engaged at all.
2. Was this Community Support Project (with its capacity building and village subprojects) an appropriate way for the government to address the local impacts of building the CASA1000 Transmission Line? [PDO5]	Yes, the CSP is a good way to help communities that live near the TL.	The CSP helps communities affected by the TL to some extent.	The CSP helps only to a small degree.	No, the CSP was not a good way to help communities that live near the TL.
3. Does the subproject meet your village's needs? (IR3)	Yes, the CSP subprojects was a village priority and meets village needs.	The CSP subproject has somewhat meet village needs.	The CSP subproject was a lower level priority.	No, the CSP subproject was not a village priority and does not meet village needs.
4. Did the CSP communication materials help you understand what to expect from the CASA1000 Transmission Line and the subprojects? [IR15]	Yes, materials were very clear	The materials answered some but not all of my questions	The materials were of limited use	The materials were not useful
5. Has the community mobilization process met your expectations in terms of fairness and transparency? [IR 11]	Yes, it was very fair and transparent	It was acceptably fair and transparent	It was not very fair and transparent	No, it was not fair or transparent
6. Have the social accountability activities met your expectations in terms of fairness and transparency? [IR 11]	Yes, they were very fair and transparent	They were acceptably fair and transparent	They were not very fair and transparent	No, it was not fair or transparent
7. Has the implementation of the youth activities (e.g. Energy Efficiency Campaign) met your expectations in terms of fairness and transparency? [IR 11]	Yes, they were very fair and transparent	They were acceptably fair and transparent	They were not very fair and transparent	No, it was not fair or transparent
8. Has the management of the investment met your expectations in terms of fairness and transparency? [IR 11]	Yes, it was very fair and transparent	It was acceptably fair and transparent	It was not very fair and transparent	No, it was not fair or transparent
9. Have young women and men become more active in community decision-making as a	Yes, young people have increased their	Young people have increased their	Young people have not increased their	Young people have not increased

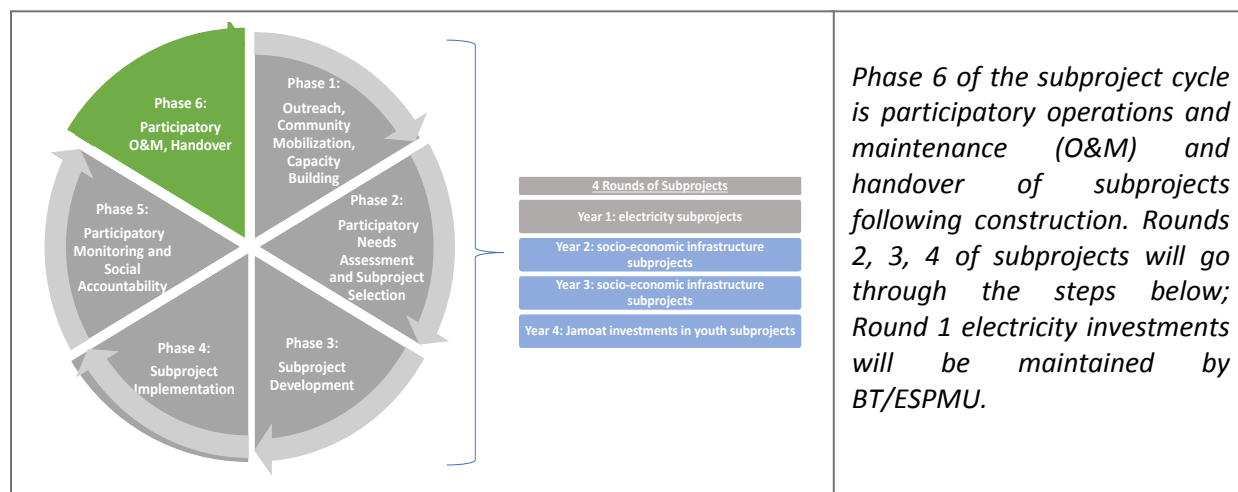


result of project support? [PO4]	participation	participation somewhat	participation much	their participation at all
<b>10. Beneficiaries in Isfara Target Communities Only</b>  Have subproject investments improved cross-border cooperation, connectivity, youth engagement, and/or safety/security? [IR 12]	Yes, greatly improved	Somewhat improved	Hardly Improvement	No improvement

**Step 5.4 Results of Community Check Meetings Disseminated and Used for Project M&E**

- a. YMs prepare communication materials to disseminate the findings, consisting of the following:
  - Description of the subproject, finance and outcomes (or stage of completion)
  - Description of the results of the community scorecard (scores and summary of reasons for those scores)
  - Description of the result of the self-assessment (scores and summary of reasons for those scores)
  - Reproduction of the four-quadrant flipchart (see form in Annex 3.26)
  - List of the recommendations for the next cycle.
- b. Jamoat posts this information at the village project information point, under a simple title “How did we do?”
- c. NSIFT uses Scorecard Survey for Results Framework Indicators
  - CDA collects copies of the community scorecard results above
  - CDA transfers results to the central office where the M&E team inputs and analyzes the data according to the M&E framework described under Component 4.

**3.5. Phase 6: Participatory Operations and Maintenance and Handover**



**Objective:** To establish a village O&M subcommittee of the JPC to ensure effective management and sustainability of the village investments following the completion of subprojects in Cycles 2,3 and 4; and to establish a village maintenance fund for minor repairs.

- For equipment, goods are expected to come with maintenance and instruction manuals.
- For infrastructure, NSIFT engineers are expected to provide training to the O&M subcommittee on required maintenance and possible minor repairs.

During subproject implementation, communities, through the VPCs, will be mobilized to form O&M committees, supplementing O&M provided by line ministries. These committees will ensure effective management and sustainability of the village investments following the completion of subprojects. Minor repairs will be undertaken by the villagers, while more major repairs and maintenance will be undertaken by the relevant government departments at the Jamoat or district level.

**Outputs:** Village O&M subcommittee members trained on routine maintenance of the investment; O&M plan completed for the subproject that lists roles and responsibilities of the community; O&M maintenance fund established with financial record system.

#### **Step 6.1 NSIFT Engineer Provides Training to JPC in how to develop an O&M Plan**

- a. JPC/VPC form O&M subcommittee based on:
  - Knowledge of relevant skill (e.g. repairs, bookkeeping)
  - Willingness to volunteer time
  - O&M subcommittee should include at least one woman and one man under 30
  - CDA compiles list of O&M subcommittee members and takes a group photo.
- b. O&M subcommittee members receive training from NSIFT at the District center in how to prepare an O&M Plan for the type of subproject.
- c. O&M subcommittee members begin drafting the O&M Plan in the training based on advice of the NSIFT engineer as to whether an O&M maintenance fund is appropriate.

#### **Step 6.2 Public Meeting to Disseminate Information on the O&M Plan Held**

- a. O&M subcommittee works with Mahalla to organize public meeting at a convenient date/time taking into account responsibilities of women, agricultural work, etc.
- b. O&M subcommittee explains operation and maintenance requirements of the subproject, highlighting any contributions needed from the community (financial or in-kind).
- c. O&M subcommittee suggests approach for raising contributions based on existing community practices.
- d. O&M subcommittee asks for community agreement to the proposed contributions and facilitates discussion until an agreement can be reached.
- e. Agreement is included in the O&M plan.
- f. Sign-in sheets and photos of these meetings shall be submitted to the Jamoat with photocopies given to CDAs.

#### **Step 6.3 Handover of Assets Completed**

Transfer of the subproject into operation is considered from the moment of technical acceptance of the constructed facility. Technical acceptance is organized and conducted by the VPC, JPC, with the participation of representatives of the Hukumat district and all parties involved in the implementation of the subproject included in the acceptance committee.

If the commission makes a positive decision based on the results of technical acceptance, a certificate is drawn up (Annex 3.27), which indicates the following terms of quality assurance:

- For contracts with the estimate up to US\$30,000 - from 3 months to 6 months
- For contracts with the estimate from 30,000 to 100,000 dollars - from 6 months to 12 months
- For contracts with estimate 100,000 dollars - at least 12 months.

During the implementation of the contract, the contractor withholds 10% of the contract amount, half of which will be paid after signing the certificate of technical acceptance and elimination of deficiencies.

A full settlement with the contractor is made after signing the certificate of quality confirmation (Annex 3.28) drawn up after the expiration of the quality guarantee.

The transfer to the balance of the operating organization is carried out jointly with the district's Hukumat in accordance with the signed memorandum, on the basis of the acceptance and transfer of the facility according to the NSIFT procedures and the district's Hukumat's decision.

For small-scale subprojects aimed at repairing or restoring the contract value of not more than \$10,000, the Jamoats create an internal commission with the goal of accepting the subproject.

After completion of the repair work, the Jamoat must issue a Certificate of Acceptance of Work indicating the acceptability of the quality of work. The increased cost of the improved facility should be reflected in the balance sheet of the operating organization.

For the purchase of goods, after signing the Act of Acceptance of Goods, the Jamoat or the operating organization assigns an inventory number to each unit of goods and reflects this inventory list in its balance sheet. All purchased items must have a minimum one-year warranty period.

After the acceptance of the results of subprojects (construction work, equipment, furniture, goods) to all balance sheets, including jamoats, they submit information on acceptance to their balance sheet indicating the cost of the subproject to VPC, JPC, and NSIFT.

### **3.6. Addendum: Cycle 4/Year 4 Youth Investments**

In the final round of subgrants in year 4, residual funds will be made available for **Jamoat-level investment in youth-led activities** (building on capacity building during the first three years of project implementation). Cycle 4 subprojects will follow the steps as relevant as described above, with youth subprojects as identified in the Phase 2 Youth Development Chapter of the Village Development Plan.

**Summary.** Procedures will be developed to utilize residual funds from the allocated subgrant locally, after all payments have been made for village subprojects. This residual amount (the difference between the aggregate of the village subgrants to the Jamoat and the expenditure on the village subprojects in a Jamoat) up to a maximum of US\$10,000 will be provided to Jamoats that have put in place a Jamoat Youth Development Plan (based on the Youth Development Chapters of the Village Development Plans) and funding mechanism. This is intended to not only support youth-focused activities, but also to support the development of Jamoat financial management capacity and create incentives for the Jamoat Project Commission to: (i) disincentivize deals with contractors to bid at exactly the subgrant amount; (ii) discourage deliberate and unnecessary spending/overspending on

extras; (iii) allow the benefit of any residual to stay with the village/Jamoat; and (iv) encourage Jamoat-level participation throughout the project. The capacity building for this purpose is described in Chapter 2 and the procedures for the use of these funds will be set out in the SGM.

**Objective.** Jamoats work with youth in partnership to identify a youth priority in the Youth Chapter of the Village Development Plan under Phase 2 that could be implemented with the available Jamoat residual funds. They then jointly implement the subproject.

**Scope.** In Year 4, after procurement and implementation of the 2 cycles conducted under Component 2 is complete, the Jamoat may use residual funds (up to a maximum of \$10,000) from their subgrant allocation to implement a priority or priorities identified by youth during Step 3.3 above and included in the Youth Development Plan (YDP) chapter of the Village Development Plan during Step 3.4 above. The funds will be managed by the Jamoats.

This section describes the community-decision making process to be used for project beneficiaries to identify which priority will be funded (any residual funds not used for youth priorities will be returned to the Project). The participatory aspects of subproject implementation will generally follow the steps above taking into account the modifications described in this section. This section should be read in conjunction with XXX of the Subgrants Manual.

**Step 7.1 The JPC Verifies the Remaining Balance (the difference between their subgrant and the contract for the subprojects) with NSIFT**

- a. Once the implementation of the village subprojects in a jamoatis complete, the JPC will verify with NSIFT if any residual funding is available for the funding of youth priorities.
- b. The transfer of these residual funds to the Jamoat will be outlined in the SGM (e.g. the designated account, signatories, FM procedures).

**Step 7.2 The JPC Organizes Meeting of Youth from the VPC, JPC, YMs, and YEAs to Determine the Focus of the Investment**

- a. The JPC will call a CSP Project public meeting of youth in the jamoat to explain the opportunity of the financing. To manage expectations this will not be held until the budget is known.
- b. The youth representatives in the project (youth VPC/JPC Members, YM, YEAs) inform them of available funds and discuss which priority shall be undertaken:
  - Youth Development Chapter/VPC proposals are discussed based on the projected budget against available residual funds.
  - Youth Energy Ambassadors agree to the selected proposal.
  - Minutes of this meeting are signed by all participants.

**Step 7.3 YEAs Conduct Community Information Dissemination**

- a. YEAs will hold public meetings to inform youth of the impending investment.
- b. At this meeting, YEAs shall solicit feedback from youth on any design elements that young people consider important.
- c. YEAs solicit volunteers for a Monitoring and Evaluation subcommittee and O&M subcommittee (if required)
  - 100% of these subcommittees shall be young people under the age of 30
  - 50% of these subcommittees shall be young women.

- d. Sign-in sheets and photos of these meetings are to be submitted to the Jamoat with photocopies given to CDAs.

### **3.7. Addendum: Border-Area Investments**

Recognizing the risks and sensitive political context in Isfara border areas, supplemental community facilitation and capacity building support will be provided to support the implementation of the sub-project cycle for border area investments. These activities will be carried out *in addition to* all the activities described above. This supplemental, “conflict-sensitive” community mobilization effort will be led by an experienced TFP(s) in cooperation with NSIFT and target communities.

**Objective.** The objective of the subcomponent is to provide incremental community engagement and capacity building support to ensure that community mobilization, capacity building and subproject investments are delivered in ways that are sensitive to local tensions and competition over natural resources and services, enhancing cross-border connectivity and cooperation, and promoting the participation of at-risk young people and the meaningful participation of women.

**Scope.** 10-11 community groupings in the Isfara border areas will be engaged in additional border area community engagement and capacity building activities as part of the community mobilization process. In addition, incremental activities in border areas will engage, as possible, contiguous border communities under the Kyrgyz Republic CASA1000 Community Support Project in Kyrgyz Republic.

**Implementation modality.** A TFP covering the Isfara target areas will support the supplemental facilitation and capacity building for border communities. The TFP will design and carry out the development of all capacity building, facilitation and technical assistance activities. The TFP will work closely with NSIFT in delivering Project activities in border areas.

#### **Step 8.1 TFP Designs and Carries Out Initial Participatory Assessment, Risk Analysis and Dialogue Activities and Adjusts Subproject Cycle for Isfara Accordingly**

- a. The TFP designs a participatory situational analysis (PSA) and engages the VPCs in Isfara to carry out the PSAs for the Isfara border areas to: 1) identify key risks of socio-economic investments in border areas; 2) draw lessons from previous experience in border area small infrastructure investments; and 3) make recommendations regarding any adjustments needed to the community prioritization, approval, and design process to address identified risks.
  - The TFP engages the 10/11 VPCs in Isfara to carry out the PSA through a series of direct meetings and 2-3 workshops. The TFP could also supplement the PSA with additional analysis and review of national and international development programming in Isfara border areas.
  - The VPCs, with support of the TFP, present the final risk analysis and mapping and recommendations to the JPCs and NSIFT. This would include a recommended risk assessment checklist to accompany the participatory prioritization process and step-by-step procedures for approvals of sub-projects required in border areas (village/district/regional national, and as required cooperation with Kyrgyz officials).
- b. NSIFT and the JPCs would then review, revise, and adopt recommended measures as part of the community mobilization and social accountability process (Steps 1-6 above) for Isfara Project areas. This would also include a process for approvals (village, Jamoat, district, region, national as required) for any border area investments.

### **Step 8.2 The TFP with NSIFT Facilitates Introductory Discussions with Counterparts in the Kyrgyz Republic CASA1000 Community Support Project (KG CSP)**

- a. The TFP with NSIFT conducts outreach to ARIS (implementing agency for KG CSP), Aga Khan Foundation (playing a support role for KG CSP) and local officials in KG CSP villages adjacent to Tajikistan CSP villages.
- b. Introductory discussions focus on: 1) exchange of information regarding project approach and components; 2) discussion of possible areas of collaboration/coordinated capacity building, youth engagement and programming; 3) agreed plan for regular dialogue and coordination as CSP implementation moves forward.

### **Step 8.3 TFP Develops Curriculum and Conducts Specialized Border-Area Training with a Focus on Youth**

- a. To complement the local governance capacity building activities described in Chapter 2, the TFP develops curriculum and materials on topics related to border area development and risk-sensitive community mobilization (see Table 3.2 for illustrative focus areas). The recommendations/findings from steps 2 and 3 initial assessment and dialogue activities will also inform trainings offered
- b. Youth forums/focus on youth as part of the training curriculum
- c. The TFP in coordination with NSIFT invites Jamoat officials and Mahalla members from Isfara target communities to come to join training sessions offered annually/before each community mobilization cycle
- d. TFP delivers trainings sequenced to inform the community mobilization process and to promote border development investments
- e. TFP tracks how border area assessment, dialogue and fora inform subproject selection in Vorukh and Chorkuh

**Table 3.2. Illustrative Training/Dialogue Plan**

No.	Training	Topic	Participants	Duration	Frequency
1	Border Area investment	Topics include: iii. Socio-economic analysis of Tajikistan-Kyrgyz border area, review of service delivery gaps, opportunities and challenges for growth and investment iv. Review of border area service delivery gaps and opportunities for cross-border collaboration v. Principles and practice of how CDD could support border area investment vi. Procedural considerations in border area investments and promoting cross-border cooperation	Jamoat officials and Mahalla members; JPC/VPC representatives from Isfara; focus on engaging at least 50% youth participants	One-day training	2 times; before each of the socio-economic infra community mobilization cycles
2	Mapping, managing and monitoring	Module to include: lessons and experience in addressing risks and sensitivities around border area development; focus on results of Step 1 risk analysis and dialogue	Jamoat officials and Mahalla members; JPC/VPC	One-day training	2 times; once following mobilization

No.	Training	Topic	Participants	Duration	Frequency
	risks	activities; how to adapt community mobilization process to mitigate risk	representatives from Isfara; focus on engaging at least 50% youth participants		of JPCs/VPCs ; once midway through project to review lessons
3	Border area development forums	Forums including stakeholders from Tajikistan and Kyrgyz Republic CSPs (implementing agencies, local authorities, community representatives) to discuss border area investment ideas; review progress; discuss topics of mutual interest	Local officials and community representatives – from Tajikistan and Kyrgyz Republic as feasible	One-day workshop	Annual starting at project launch
4	Youth forums on Border area development	As part of border area development forums, convening youth to support young women and men in near-border communities to understand and advocate for local investment that meets youth priorities (e.g. joint training, coworking spaces, IT centers for youth); provide the opportunity for constructive engagement between Kyrgyz and Tajik youth in border communities, and between youth and local institutions; and (iv) youth-led joint monitoring of community-based investments.	Youth members of VPCs, JPCs, YMs, YEAs from Isfara; heads of local youth organizations and other youth leaders; Kyrgyz Republic CSP Youth Facilitators as possible	One-day workshop	Annual starting at project launch

**Table 3.3. Summary Steps Phases 1-6 of Community Subproject Cycle**

<b>Phase 1: Outreach, Community Mobilization and Training</b>	
Step 1.1	Orientation Meetings Held at Oblast, District, Jamoat and Village Level
Step 1.2	Participatory Selection of Community Representatives and Formation of Committees
Step 1.3	Training and Capacity Building Activities for Community Roles
Step 1.4	Youth Energy Ambassadors Conduct Public Awareness Campaign (ahead of Subproject Cycles 2&3)
<b>Phase 2: Participatory Needs Assessment and Sub-Project Selection</b>	
Step 2.1	NSIFT with ESPMU Conducts Community Consultations on Cycle 1 Village Electricity Investments
Step 2.2	Village Profile and Focus Group Discussions Held for Socio-Economic Infrastructure Investments
Step 2.3	Village Prioritization Meeting Held Based on Focus Group Results
Step 2.4	Inclusion of Village Priorities in Village Development Plan/Youth Development Chapter
<b>Phase 3: Subproject Development</b>	

Step 3.1	JPC and NSIFT check feasibility of the proposed subproject against the allocated subgrant	
Step 3.2	JPCs Develop Initial Expanded Subproject Proposal	
Step 3.3	VPC Members Consult Community on the Design and Estimates Beneficiaries	
Step 3.4	NSIFT Prepares Detailed Subproject Design	
Step 3.5	JPC Holds Proposal Design Verification Meeting with Community and Finalizes Proposal	
Step 3.6	NSIFT Seeks State Expertise Appraisal/Approval of Subproject Design	
<b>Phase 4: Subproject Implementation</b>		
<i>Covered in accompanying Sub-Grant Manual</i>		
<b>Phase 5: Participatory Monitoring and Social Accountability</b>		
Step 5.1	JPCs Monitor Subproject Implementation	
Step 5.2	Preparation of Community Check Meeting	
Step 5.3	Community Check Meeting Held Including Social Audit and Community Scorecard	
Step 5.4	Results of Community Check Meetings Disseminated and Used for Project M&E	
<b>Phase 6: Participatory Operations and Maintenance and Handover</b>		
Step 6.1	NSIFT Engineer Provides Training to JPC in how to develop an O&M Plan	
Step 6.2	Public Meeting to Disseminate Information on the O&M Plan Held	
Step 6.3	Handover of Assets Completed	
<b>Addendum: Round 4/Year 4 Youth Investments</b>		
Step 7.1	The JPC verifies the remaining balance (the difference between their subgrant and the contract for the subprojects) with NSIFT	
Step 7.2	The JPC organizes meeting of youth from the VPC, JPC, YMs, and YEAs to determine the focus of the investment	
Step 7.3	YEAs conduct community information dissemination	
<b>Addendum: Border-Area Investments</b>		
Step 8.1	TFP designs and carries out initial participatory assessment, risk analysis and dialogue activities and adjusts subproject cycle for Isfara accordingly	
Step 8.2	The TFP with NSIFT facilitates introductory discussions with counterparts in the Kyrgyz Republic CASA1000 Community Support Project (KG CSP)	
Step 8.3	TFP develops curriculum and conducts specialized border-area training with a focus on youth	



## **CHAPTER 4: PROJECT MANAGEMENT**

## CHAPTER 4: PROJECT MANAGEMENT

### PART A: NSIFT PROJECT MANAGEMENT

#### 4.1. Introduction

The project (under subcomponent 4A) will finance the incremental costs of NSIFT for overall project coordination, management, and supervision of implementation, and the overall management information system (MIS), procurement, and financial management (FM), including project audits. The project will fund a dedicated NSIFT project management team (which will include experts in CDD, social accountability, local governance, civil engineering, project management, procurement, FM, and M&E), which will prepare annual workplans and budgets, and implement the project according to a detailed POM. It will finance the capacity building of the NSIFT team, including exchanges with the CSPs in the Kyrgyz Republic and Afghanistan. Final targets of 50 percent women have been set for the project team. Component 4A will provide financing for the staff, consultants, essential equipment and very minor office repairs, operating costs, technical assistance, and training necessary to carry out all CDD-related activities while managing relationships with all community, Jamoat, district, regional, and national stakeholders regarding Component 2 village investments. (A separate project management subcomponent is included under Component 1 to cover the BT and ESPMU activities and costs associated with all electricity aspects of the project). Project management will also include regular coordination with a number of national stakeholders, namely, BT and ESPMU, the Ministry of Finance (MoF) and other ministries that will be engaged for effective project implementation. This subcomponent will fund, and NSIFT will also manage a Beneficiary Feedback Mechanism (BFM) (that will include a Grievance Redress Mechanism (GRM)) which will provide a formal channel for feedback from communities on any matter concerning the CSP. Regular meetings will be held to ensure responsiveness and accountability regarding beneficiary feedback, including with ESPMU and Barqi Tojik (BT).

#### 4.2. Overview - Implementing Arrangements National and Local Levels

NSIFT will serve as the Implementing Agency for Components 2, 3, and 4 of the Project. Launched in 1997 by order of the GoT, and established in 2002, NSIFT has functioned for 20 years as an implementing agency for local-level development projects funded by donors. NSIFT has an organizational charter and permanent staff. It is supported with premises by the GoT and is directly under its control.

NSIFT will manage all aspects of the project associated with CDD, ensuring overall compliance with the provisions of the POM. This will include ensuring effective community mobilization, social accountability, and local capacity building activities; contracting the training and facilitating partners (TFPs) for capacity building of communities, Jamoats, and NSIFT field and headquarters staff for the CoI and Isfara target areas; carrying out subgrant distribution and supporting the development of proposals and subproject technical design and tender packages, and implementation (safeguards, procurement, construction, supervision, handover); as well as performing all fiduciary tasks and all necessary coordination of institutional support with districts, and consolidated reporting and project management tasks outlined in the POM. NSIFT will be responsible for M&E, the BFM (including the GRM), and project-related communications and outreach, in coordination with ESPMU.

To strengthen NSIFT capacity to understand and carry out genuine community driven development, implementation will be supported by experienced Training and Facilitating Partner(s). The TFP (or a limited number of TFPs) will have a track record in implementing the CDD methodology (subcomponent 3A) and be familiar with global best practice in this approach, have experience in social accountability (subcomponent 3B), be able to attract experienced credible consultants that can support the capacity building for local governance (subcomponent 3C) and have proven experience working on CDD in FCV areas (subcomponent 3D). To build local capacity, and ensure context-specific knowledge, the TFPs will also have experience working in the target areas, and preferably involve local NGOs already established and functional in the corridor of impact. The TFP covering the Isfara target areas will have proven experience working in border areas with conflict-affected communities. To meet these criteria, it is anticipated that NGOs will form consortium (See TFP ToR at Annex 2.1). The TFP(s) will design and carry out the development of all capacity building, facilitation and technical assistance activities for these four sets of activities, supporting NSIFT staff and 41 community development facilitators/advisers (CDAs) who will be employed by NSIFT. The TFP(s) will be procured through an open and competitive procurement process. The TFP(s) will work closely with NSIFT (and ESPMU as needed). Coordination and accountability mechanisms to NSIFT will be established at both the regional and national levels.

**Local-level implementing arrangements.** The self-governing Jamoats at the subdistrict level will work with the communities, NSIFT, TFPs and district authorities in local development planning and subproject implementation (including community procurement). The 26 Jamoats/townships, legal entities established under the 2009 Law on Self Governance in a Town or Township (Article 3, clause 2), will establish Jamoat Project Commissions to help implement subprojects in their Jamoats. Each JPC will consist of 5-9 voluntary members representing the target villages in the Jamoat (see Chapter 2, Section 2.5). Strict membership criteria will apply to ensure the engagement of VPC representatives, an equal number of men and women, and youth, as well as the necessary financial and technical specialists, and NGO representatives. The Jamoat, through its Chairperson, will be required to delegate to the JPC the following responsibilities: (i) to support and represent the target communities in the subproject implementation process as defined in the POM; (ii) to endorse subproject(s) for funding during each cycle, including the youth development activities, and ensuring alignment with the JDP; (iii) to inform NSIFT of target communities subproject selections; (iv) to develop subproject proposal(s), including any safeguards-related requirements; (v) to coordinate with NSIFT on the technical designs of the selected subprojects; (vi) to carry out the procurement function or request NSIFT to conduct procurement on their behalf as defined in the SGM; (vii) to oversee contract execution; (viii) to propose and implement O&M plans and resolve issues related to ownership and functionality; and (ix) to coordinate with relevant stakeholders (line departments, utilities, NGOs, districts). The JPC will also prepare documentation for signing by the Jamoat Chairperson as defined in the SGM. All members will sign a code of conduct.

At the community level, Mahalla committees (or other community-based organizations where relevant), will establish Village Project Committees in target villages to mobilize communities, support community capacity building, and lead the selection and implementation of subproject activities. See Chapter 2, Section 2.5 for additional details. The membership of the VPC will comprise Mahalla committee members, along with additional elected/nominated community members to ensure equal representation of women on the committee. Where possible, 50 percent of the members should be under 35. It is anticipated that committees will vary in size from 8-20 members, given the significant variation in the populations of target communities.

### **4.3. NSIFT Staffing Structure**

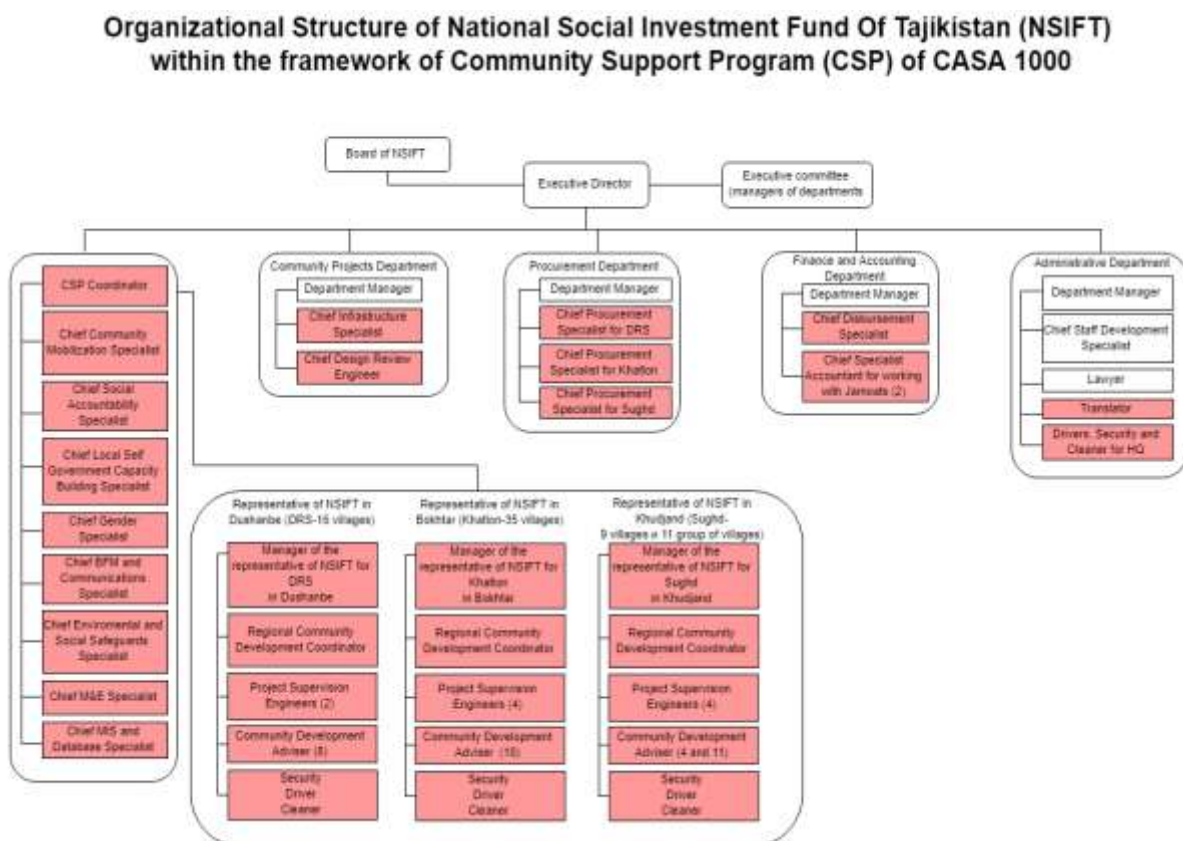
The NSIFT project team consists of approximately 21 project staff located in the NSIFT Central Office as well as regional staff located in regional offices. The structure of the CSP (NSIFT) staffing is presented in Figure 4.1 below. TORs for each NSIFT staff position are provided in Annex 4.1.

CSP Project staff is under the supervision of the CSP Project Coordinator. The Project Coordinator is also responsible for communication and coordination with the involved parties and represents the project to internal and external stakeholders. At the same time Project Coordinator directly reports to the NSIFT Executive Director.

NSIFT Regional offices operate in each of the three CSP Regions, including Sughd, Districts of the Republican Subordination (DRS), Khatlon. The Regional offices are the intermediary between the Project Senior Management and the communities. They directly coordinate project implementation at the region level and provide all necessary support to the community development advisors (CDAs) and TFPs. The activity of the Regional office is coordinated by the Regional Coordinator for community development. Regional coordinators for community development are responsible for direct work with CDAs.

CDAs are the NSIFT staff based at the local community level. CDAs are NSIFT consultants: they are recruited, supported and supervised by the NSIFT regional offices. The main role of CDAs is to assist and support local communities and local self-governments in developing local capacity to achieve greater efficiency, accountability and involvement in the process of overcoming the developmental difficulties that are determined by the local communities themselves. CDAs support the participating local communities in developing mechanisms of decision-making, strategic planning and prioritizing needs. The aim of the CDAs is to promote the main principles of the Project, such as community involvement, poverty and gender targeting, transparency and sustainability. Each adviser will be responsible for the supervision of one to three villages. NSIFT will make an even distribution of villages between the selected CDAs, depending on the population size of each village.

**Figure4.1.NSIFT CSP Organizational Structure**



Technical engineers at central and region levels are responsible for revision of design, environmental impact assessments, and social safeguards. In cases where safeguards are triggered, they help develop appropriate measures to mitigate social sector impacts and provide compensation for land allotment caused by the planned work of subprojects. They also provide quality control of construction and installation works during the construction, reconstruction or major repairs in the implementation of subprojects, to ensure full compliance of the Contractor with approved design (DDE), working drawings, work performance plan, construction norms and regulations (SNIP), standards and technical specifications of the Republic of Tajikistan and international practices.

Each engineer is responsible for a certain stage of preparation (feasibility check of subprojects, review of technical documentation, feedback on submitted proposal, technical specifications and design), implementation (construction works including compliance with construction requirements and norms) and monitoring of subprojects. As described in Component 2, for subprojects, NSIFT will procure additional services from licensed companies/consultants for preparation of DED.

Taking into account the fact that NSIFT has a current KFW project, and it is planned to execute one more project of the World Bank, the following table (Table 4.1) of level of effort for all staff budgeted for the project is agreed and provided in below.

**Table 4.1. CSP Staff Level of Effort**

No.	Position	#	Year 1	Year 2	Year 3	Year 4
			Number of months			
1	Executive director*	1	6	6	6	6
2	Manager of communities' department*	1	6	6	6	6
3	Project Coordinator	1	12	12	12	12
4	Chief community mobilization specialist	1	12	12	12	12
5	Financial manager*	1	6	6	6	6
6	Disbursement specialist	1	12	12	12	12
7	Disbursement specialist on regional level	1		12	12	12
8	Accountant for working with jamoats	1		12	12	12
9	Chief gender specialist	1	12	12	12	12
10	Chief BFM and communications Specialist	1	12	12	12	12
11	Procurement manager*	1	6	6	6	6
12	Procurement specialist	1	6	12	12	12
13	Chief infrastructure engineer	1	8	12	12	12
14	Design review engineer	1		12	12	
15	Chief safeguard and social specialist	1	12	12	12	12
16	Lawyer	1	10	12	12	12
17	Translator	1	12	12	12	12
18	HR and Capacity building specialist*	1	6	6	6	6
19	Administrative manager*	1	6	6	6	6
20	Regional engineers	10		12	12	12
21	Chief social accountability specialist	1	12	12	12	12
22	Chief LSG capacity building specialist	1	12	12	12	12
23	M&E specialist	1	10	12	12	12
24	MIS specialist	1	12	12	12	12
25	CDAs	41	8	10	10	8
26	Managers of regional offices	3	12	12	12	12
27	Regional coordinators for community development	6	12	12	12	12

\***Note:** This position will be shared with other NSIFT implementing projects.

Selection of the CSP staff should be conducted in accordance with Table 4.2 below and based on the requirements indicated in Chapter 8.

**Table 4.2. CSP Staff Selection Process**

No.	Name of the position	Selection procedure should be reflected in the STEP	TTL approval for evaluation report before contract signing	Position shared with other projects
1	Executive director	not applicable	Yes	Yes
2	Manager of communities' department	not applicable	Yes	Yes

No.	Name of the position	Selection procedure should be reflected in the STEP	TTL approval for evaluation report before contract signing	Position shared with other projects
3	Project Coordinator	not applicable	Yes	
4	Chief community mobilization specialist	not applicable	Yes	
5	Financial manager	not applicable	Yes	Yes
6	Disbursement specialist	not applicable	Yes	
7	Disbursement specialist on regional level	not applicable		
8	Accountant for working with jamoats	not applicable		
9	Chief gender specialist	not applicable	Yes	
10	Chief BFM and communications Specialist	not applicable	Yes	
11	Procurement manager	not applicable	Yes	Yes
12	Procurement specialist	not applicable	Yes	
13	Chief infrastructure engineer	not applicable		
14	Design review engineer	not applicable		
15	Chief safeguard and social specialist	not applicable	Yes	
16	Lawyer	not applicable		
17	Translator	not applicable		
18	HR and Capacity building specialist	not applicable	Yes	Yes
19	Administrative manager	not applicable		Yes
20	Regional engineers	not applicable		
21	Chief social accountability specialist	Yes		
22	Chief LSG capacity building specialist	Yes		
23	M&E specialist	not applicable	Yes	
24	MIS specialist	not applicable	Yes	
25	CDAs	Yes		
26	Managers of regional offices	Yes		
27	Regional coordinators for community development	Yes		

#### 4.4. Staff Integrity Standard

NSIFT staff and consultants, like all NSIFT employees, are expected to perform their duties adhering to the highest standards of professional integrity and efficiency. All NSIFT staff, consultants, and stakeholders shall receive training in the World Bank's anti-corruption guidelines as part of their intake process or in refresher courses. They shall also sign the NSIFT Employee Code of Ethics and Conduct, provided below. In relation to CSP specifically, all staff members are strictly forbidden from:

- Sharing proprietary documents with third parties during the proposal development process
- Seeking to influence the selection of the subprojects by the Jamoats in any way including by altering documents, selectively providing information to stakeholders, etc.
- Seeking to influence the type of investment the community selects. All guidance shall follow the provisions of this POM (for example, the list of ineligible investments) and otherwise be neutral in content as to the sector, size, design, etc.

Sanctions for violating these principles, the NSIFT Employee Code of Ethics and Conduct, or the World Bank's anti-corruption guidelines shall be implemented by the NSIFT Executive Director immediately. Any corrective actions taken in this regard shall be communicated to the World Bank within one week.

The Project will be governed according to NSIFT's code of ethics and official conduct contained in Box 4.1 below.

#### **Box 4.1. NSIFT Code of Ethics and Official Conduct**

##### **1 GENERAL PROVISIONS**

- 1.1. The Code is a set of general principles of professional ethics and basic rules of official conduct by which the employee/consultant of the Project should be guided regardless of their position.
- 1.2. Every Project employee/consultant, irrespective of their position, must take all necessary measures to comply with the provisions of the Code and every employee/consultant has the right to expect from other employees in relations with him/her the conduct that complies with the provisions of the Code.
- 1.3. Knowledge and observance of the provisions of the Code is one of the criteria for assessing the quality of their professional activities and labor discipline.
- 1.4. The Code is a guide to action when there is a conflict of personal interests and interests of NSIFT, as well as in other situations of ethical choice. Employees/consultants are required to confirm their awareness of the requirements of the Code and the importance of reporting violations. Each employee/consultant is personally responsible for the implementation of the Code.
- 1.5. For any issues related to the implementation of the Code, one can contact his/her immediate supervisor or other NSIFT official.
- 1.6. NSIFT protects the confidentiality of information and the rights of employees/consultants in cases of filing bona fide complaints about a violation of the Code.
- 1.7. Special responsibility for the observance of the Code rests with the governing structure of NSIFT. Head of each department is obliged by personal example to encourage ethical behavior and observance of the law, to form a safety culture, to prevent and take prompt measures to eliminate violations of the Code, and to take into account the observance of the requirements of the Code when assessing the staff.
- 1.8. Any legal entity or individual that renders services or acts on behalf of NSIFT must be informed on the Code. The Agency requires from business partners unconditional respect and observance of ethical principles related to security and prevention of corruption.
- 1.9. An official is appointed to inform the NSIFT employees and administration of appeals. The Executive Director of NSIFT controls an execution of the Code.

##### **2 DUTIES. RULES OF OFFICIAL CONDUCT OF EMPLOYEE/CONSULTANTS**

- 1.1. Be honest and open.
- 1.2. Timely and honestly report the error made.
- 1.3. Strictly observe official and commercial secrets, do not allow situations where references to the need to protect information cover inefficiency or poor quality of work.
- 1.4. Provide a full, accurate and coordinated representation of the NSIFT position in cooperation with the state and municipal authorities, suppliers and contractors of works and services, public organizations and the mass-media.
- 1.5. Do not take or give bribes in any form; do not condone bribery, extortion and embezzlement of property owned by NSIFT within the projects implemented by NSIFT.
- 1.6. Eliminate the possibility of using official position for personal or group benefit, as well as for unfair competition.
- 1.7. Carry out procurement activities in strict accordance with the legislation and maximum benefit for NSIFT and for projects implemented by NSIFT.
- 1.8. Identify inefficient processes and management procedures; seek their change for the better.



- 1.9. Effectively delegate authority, providing the necessary balance of responsibility and resources for the performance of the assigned task.
- 1.10. Observe the rules of business communication, be punctual and impeccably polite with colleagues, business partners, representatives of the media and other stakeholders.
- 1.11. Do not create the conditions for obtaining a certain benefit, taking advantage of their official position.
- 1.12. Observe the rules of information provision established in NSIFT.
- 1.13. Inform the direct Head or NSIFT Management about the possibility of arising or has been already arisen conflict of interests with employee.
- 1.14. Behave in a proper manner, act in strict accordance with his/her work duties, principles and norms of professional ethics.
- 1.15. Avoid situations that cause damage to business reputation and the credibility of the Project.

### **3 PROTECTION OF INTERESTS OF THE EMPLOYEE / CONSULTANT**

- 1.1. An employee/consultant, who performs professional duties in good faith, may be threatened, blackmailed, insulted and defamed in order to discredit his/her and Project activities.
- 1.2. Protection of the employee/consultant from unlawful acts of a defamatory nature is the moral duty of the Project Management.
- 1.3. The Project Manager should support and protect the employee/consultant in the case of a baseless charge against him/her.
- 1.4. In case of false accusation of the employee/consultant in corruption or other unlawful actions, he/she has the right to refute these charges, including in the court.

### **4 RECOMMENDATION ETHICAL RULES OF OFFICIAL CONDUCT OF EMPLOYEES / CONSULTANTS**

In his/her official conduct, the employee/consultant shall refrain from:

- 1.1. Any type of statements and actions of a discriminatory nature on grounds of gender, age, race, nationality, language, citizenship, social, property or family status, political or religious preferences.
- 1.2. Rudeness, displays of scornful tone, arrogance, prejudiced remarks, presentation of unfair undeserved accusations, threats, abusive language or remarks and actions interfering with normal communication or provoking unlawful behavior.
- 1.3. Employees/consultants should be polite, friendly, correct, attentive and tolerant in communicating with colleagues and other citizens.
- 1.4. An appearance of the employee/consultant in performance of his/her work duties, depending on the working conditions, must correspond to the generally accepted business style, which is distinguished by moderateness, conventionality, and accuracy.

### **5 RESPONSIBILITY OF NSIFT EMPLOYEES / CONSULTANTS**

- 1.1. Employees of NSIFT for the commission of offenses and violation the norms established in this Code of Conduct bear disciplinary responsibility in accordance with the legislation of the Republic of Tajikistan.
- 1.2. According to Articles 62 and 42 of the Labor Code of the Republic, disciplinary sanctions include, in particular: the remark, reprimand and dismissal of an employee. According to Article 62 of the Labor Code of the Republic, the Labor Contract can be terminated at the initiative of the employer in the following cases:
  - liquidation of the organization or termination of the employer - an individual or a reduction in the number or staff of employees
  - termination of the employment contract in connection with the change of ownership, the inconsistency of the employee revealed the position or work performed due to insufficient qualifications, or health conditions that prevent the continuation of this work, if this employee mismatch is confirmed by the certification or on the basis of a medical opinion
  - systematic non-performance by an employee without good reason of the labor duties assigned to him by an employment contract or internal labor regulations if disciplinary measures have been previously applied to the employee
  - absence from work without good reason, including absence from the workplace for more than three hours during the working day
  - failure to appear for work for more than four consecutive months due to temporary disability, not counting maternity leave, if the legislation of the Republic of Tajikistan does not establish a longer period of preservation of the place of work (position) for a certain disease
  - the appearance at work in a state of intoxication caused by the use of alcohol, drugs, psychotropic or other intoxicating substances

- the decisions of the relevant authorized state body that entered into legal force on the employee committing theft of property and other acts that preclude the continuation of work
- the employee commits an offense of a corruption nature, which excludes, on the basis of a judicial act, the possibility of further work
- continued employee participation in the strike after bringing to his attention a court decision to declare the strike illegal or to prohibit the strike
- violation of labor duties by the head of the executive body of the employer, his deputy or the head of the employer's unit, which entailed causing material damage to the employer
- refusal to undergo a medical examination to establish the fact of intoxication caused by the use of alcohol, drugs, psychotropic or other intoxicating substances
- violation by the employee of the rules of labor protection or fire safety or traffic safety that entailed or could entail serious consequences, including injuries and accidents
- the provision of false information, fake documents and non-compliance with other rules established by this Code and other regulatory legal acts of the Republic of Tajikistan when hiring
- a negative result of work during the probationary period when applying for a job.

NSIFT consultants for the commission of offenses and violation of norms of conduct established in this Code are liable in accordance with the terms of the Contracts between the NSIFT and the Consultant, as well as the legislation of the Republic of Tajikistan.

#### 4.5. Staff Development

The executive director of the NSIFT and the project coordinator should be interested and make possible efforts to train all NSIFT staff on the principles and aims of the work of CDD project, as well as to train specialists in specialized trainings. TFPs will also support NSIFT on training of NSIFT staff on social mobilization, community development and social accountability aspects.

**Training.** The training of CSP staff, including CDAs, is required prior to project startup. Training modules will be developed by XXX by XX date on the following topics (see Table 4.3). Final training approach/draft modules should be submitted to the World Bank for non-objection before training commences:

**Table 4.3. Topics for CSP Staff Training**

Topic	NSIFT central office staff	CDAs and regional staff
The CSP project design	WB and TFP	TFP
Procedures of the POM	WB and TFP	TFP
World Bank anti-corruption guidelines	WB and TFP	TFP
Theory and practice of participatory approaches	TFP	TFP
Facilitation techniques	TFP	TFP
Needs assessment	TFP	TFP
Community Prioritization	TFP	TFP
Jamoat Development Plans and LSG policy framework	TFP	TFP
Youth development Chapters and youth engagement	TFP	TFP
Gender sensitivity in Project implementation	TFP	TFP

Topic	NSIFT central office staff	CDAs and regional staff
Social accountability approaches included in Chapter 3.	TFP	TFP
Financial Management	WB	NSIFT CO and TFP
Procurement Management	WB	NSIFT CO and TFP

**Gender sensitivity in project management.** In line with World Bank guidelines and anti-poverty best practice, CSP seeks to empower women to play an active and egalitarian role in project design and implementation. At the project implementation level, CSP has the following strategic goals for gender development and inclusion:

- Ensure full participation of women in social mobilization activities and capacity building.
- Ensure the interests of women are represented in the selection and implementation of investments and that women benefit equally from these investments.
- Building capacity of women in decision-making processes at the local level.

The full Gender Action Plan is provided in Annex 1.4.

**Gender in hiring policy.** NSIFT will take all possible measures to achieve equal gender representation in the staff of the Project. In cases where equally qualified candidates apply for field positions, NSIFT will give priority to the selection of women candidates. The project will seek to:

- Hire equal numbers of women as CDAs to ensure gender balance among the frontline staff working with the community. Innovative approaches to reach this target will include:
  - Job-sharing of CDA jobs (i.e. two part-time positions to make one full-time position to allow women to better balance their household responsibilities and/or two women traveling together if security is a concern)
  - Internships for young women to gain the needed experience to eventually be hired as CDAs.
- Promote opportunities for women in leadership roles in the Central Office to engage women leaders in the community (for example, by participating in the peer learning activities) and represent the project to government and donors.
- NSIFT will make every effort to engage young people as professionals, who can be trained.

#### **4.6. Preparation of the Annual Work Plan and Budget**

NSIFT is required to submit an annual work plan to the World Bank for no objection. The work plan is due by November 31st each year after approval by the Executive Director of NSIFT. The annual work plan has two parts: a narrative work plan and an annual budget projection.

**Narrative work plan.** The Project Coordinator is responsible for coordinating the preparation of the annual work plan by the Central Office Specialists (social mobilization, capacity building, monitoring and evaluation, engineers, procurement and finance) and the regional specialists. A draft overall workplan is provided to all Central Office Specialists, Regional Specialists and CDAs for comments. They in turn use this overarching workplan as the basis to develop individual plans and plans for each Project units. After receiving comments internally from the CSP team, the Plan is revised and finalized.

The workplan should describe expected progress of the following year's activities in quantitative and qualitative terms. The workplan should contain information for the upcoming year on:

- Trainings – the planned number of trainings, the training schedule and any modifications deemed necessary to the curriculum or training materials
- Social mobilization activities – the schedule for implementing social mobilization in eligible Jamoats for year
- Actions pending completion – any prior Cycle investments (subproject) that were not closed out in the outgoing Cycle/calendar year should be noted along with action plans for how they will be resolved in the upcoming calendar year
- Expected number and average sizes of subprojects for the next cycle
- Personnel changes – any anticipated changes in staffing structure or personnel
- Corrective actions – the workplan should have a section highlighting how any past challenges or problems are being addressed in the upcoming year's activities.

**Annual projected operating budget.** The preparation of the annual budget that should be submitted with the work plan is described in Chapter 9.

#### **4.7. Reporting**

**Annual and semi-annual reporting.** NSIFT is required to prepare annual reports and semi-annual progress reports on the CSP. Semi-annual reports will be made available one month after the end of each reporting period and include the progress on the indicators described in the CSP results framework.

Below are periodic reports to be provided during the Project implementation. Reporting templates will be approved by the World Bank prior to effectiveness:

- *Semi-annual reports* shall contain information about the CSP activities and cover: (i) progress in achieving the anticipated CSP outputs and outcome set forth in the CSP results framework, when using performance indicators; (ii) financial analysis and data; (iii) best practices, cases, and lessons learned; (iv) challenges and issues to be addressed (see draft form at Annex 4.2).
- *Annual reports* shall include: (i) brief description and updated information of the semi-annual reports; (ii) description of the project level impact based on the findings of the impact surveys and assessment carried out the local level; (iii) findings of annual technical and financial audits; (iv) conclusions and recommendations (see draft form at Annex 4.3).
- *Ad-hoc reports* shall comprise the findings of the reports provided by external financial and technical auditors, special survey report, grant completion reports, etc.

**Quality assurance of progress reporting.** The reporting system will be regulated by the Project documents, orders and provisions of the NSIFT Executive Director. The Project M&E Specialist is responsible for preparation of reports. The data on social mobilization, training, social audit and BFM for reporting are to be taken from the MIS system. The report prepared by the M&E Specialist and distributed among the Project team members to provide their comments/feedback/additions. Later, the Report is to be consolidated with all changes and additions by the M&E Specialist and sent to the Project Coordinator for approval. After approval by the Project Coordinator with approval of NSIFT Executive

Director, the report is submitted to the Bank. A reference on Project's current situation will be prepared 7 days before the World Bank mission. Semi-annual and annual reports will refer to the IFR Report.

#### **4.8. Beneficiary Feedback Mechanism**

The project will adopt a Beneficiary Feedback Mechanism (BFM) to enable the project beneficiaries and the citizens of the Republic of Tajikistan to provide feedback on the project. The BFM is a process of receiving prompt, objective information, evaluation and consideration of appeals (claims, suggestions, complaints, requests, positive feedback) related to all NSIFT implementing projects, and will include the CSP. This BFM includes a grievance redress mechanism for any resettlement compliant as required by World Bank policy OP 4.12.

In accordance with the Law on "The procedure of citizen's appeals" and internal regulations of NSIFT work with the appeals, citizens/beneficiaries may send any appeals on the issues related to the implementation of NSIFT projects at all implementation stages, including the Resettlement Program issues (to identify resettlement needs); follow the procedures of involuntary resettlement in accordance with the laws and regulations of the Republic of Tajikistan and WB OP policy 4.12 on Involuntary Resettlement.

**Scope of BFM.** The BFM will cover all villages in the Republic of Tajikistan where CSP is being implemented.

**Principles.** Project stakeholders are those who are likely to be directly or indirectly affected positively or negatively by the project. Project stakeholders have, among others, the following rights under the project:

- Right to information
- Right against inappropriate intervention by an outside party
- Right to a project free of fraud and corruption.

Any stakeholders (including villagers, contractors, project staff, authorities, and other involved parties) may file a grievance if s/he believes one or more of these rights have been infringed, or if any of the project's principles and procedures has been violated:

- Information about the BFM, including contact details, is distributed in all participating villages at public meetings through brochures/pamphlets in local languages to the extent possible, and posted at the Jamoats boards.
- The BFM offers a number of different channels for providing feedback. Villagers and stakeholders themselves decide on the best ways to file complaints.
- Grievances are disclosed publicly, but no one who files a grievance is identified unless they self-identify. The identity of all those who have filed grievances is treated with confidentiality.
- There is no charge for filing a grievance.
- The timeframe for responding to a grievance should not exceed 30 days from the time the grievance is originally received. Grievances should be resolved within 90 days of receipt.
- Grievances are resolved locally, at the lowest level, if possible. If not, they are "escalated" or sent up to a higher level within 30 days. Anyone may convey comments or suggestions about any aspect of the project through the BFM. Comments, suggestions, appreciations, or questions should be recorded and submitted to the BFM handling officer of the NSIFT Central Office to provide an

answer in coordination with relevant project staff, ensuring that responses are in line with the Operations Manual.

**Channels for feedback.** Within the framework of CSP NSIFT, the following channels will be established through which citizens / beneficiaries can apply at various stages of CSP implementation:

- Hotline (calls are received working hours from 9:00 till 18:00; conversations will be recorded)
- WhatsApp (a system of immediate text messaging for mobile devices with voice and video connections)
- Social media (Facebook, Odnoklassniki)
- NSIFT web-site: [www.nsift.tj](http://www.nsift.tj)
- Verbal or written appeal received during the on-site working meetings or via JPC, VPC, youth monitors, youth energy ambassadors and/or CDA
- Incoming correspondence via NSIFT office
- Incoming correspondence via e-mail.

The BFM shall ensure flexibility and availability of using above-mentioned channels to the citizens/beneficiaries, anyone wishing to submit an appeal. The work with citizens/beneficiaries appeals is carried out by NSIFT specialists responsible for the implementation of the BFM.

### ***Steps for processing and responding to feedback***

**Step 1. Logging of feedback.** For the purpose of consolidating, analyzing and providing unified data (reports to donors, NSIFT Executive Director and project coordinator), all appeals are logged.

- *Appeals received by written correspondence or verbal report* are included in the log of BFM and are entered into GRM configuration in 1C program to analyze and monitor incoming correspondence with the following information (depending on what is provided):
  - Name and surname
  - Registration and residential address or telephone number
  - Contents of the request
  - Other background information.

The appeals may be submitted anonymously. In cases where the appeals were received in the absence of any of the above data, it is recorded in the log of incoming correspondence of the BFM, and the results of the appeal will be published in the media at the local level, on the NSIFT website or made public at the session of the village.

- *Appeals received electronically* (around the clock) through the BFM channels (email, hotline, social networks, etc.) are automatically registered in the BFM configuration in the 1C soft system. The privacy shall be ensured in all cases including the case when the identity of a person submitting the request is known to avoid a conflict between the interested parties.

**Step 2. BFM categories sorting/distribution by category.** When appeals are received, the BFM specialist distributes them by category in the BFM configuration in the 1C system (see Table 4.4).

**Table 4.4. BFM Appeal Categories**

No.	Category
1	General enquiries
2	Grievances regarding violations of policies, guidelines and procedures
3	Grievances regarding contract violations/breach of contract
4	Grievances regarding the misuse of project funds
5	Grievances regarding abuse of power/intervention
6	Reports of force majeure
7	Suggestion
8	Appreciation

**Step 3. Action/Response.** Once sorted, cases categorized as a grievance (Category 2-6) are assigned to a responsible individual for investigation if needed. The staff handling the complaint gathers facts and clarifies information in order to generate a clear picture of the circumstances surrounding the grievance. Verification normally includes site visits, a review of documents, a meeting with the complainant (if known and willing to engage), and meetings with those who could resolve the issue (including formal and informal Jamoat, mahalla leaders). For grievances related to the misuse of funds, it may also require meetings with suppliers and contractors. The responsible individual will agree an action plan with the BFM Officer and set a deadline for resolving the issue.

- If the grievance relates to the Jamoat, the BFM specialist forwards it to the respective Regional Coordinator.
- If the grievance relates to the Regional issue, the BFM specialist forwards it to the CSP Coordinator.
- If the grievance relates to a Central Office issue, the BFM specialist forwards it to the Executive Director.
- The relevant officer and the BFM specialist decide on a course of action within 2 weeks of receiving the information.

**Step 4. Notification.** If the person sending feedback is not anonymous, they will be sent a notification via telephone or other BFM channels that their grievance is being investigated. The notification will be registered in the log of outgoing correspondence. The BFM Officer will provide the following information:

- Name and surname of the executor (project specialist) to which the appeal was forwarded.
- Deadlines for the execution (minimum 30 days, maximum 60 days since the day it was registered).
- Deadlines and actions are determined in accordance with the NSIFT BFM instructions on handling grievances.

**Step 5. Follow Up.** Once the investigation is complete, the beneficiary will be notified of the decision made by NSIFT regarding their case. The citizen/beneficiary has a right to appeal is not satisfied with the resolution of the case. Instructions on appeal will be provided with the response.

**Step 6. Appeals.** Appeals are considered by the NSIFT special Review Committee. The Executive director of NSIFT will form the Review Committee from project managers and head of departments that will conduct appeal hearings. The Review Committee will consist of [X] people including [X] people from BFM and [X] people independent from project implementation unit and the Government of the Republic

of Tajikistan. After review of the appeal the citizen/beneficiary unsatisfied with the solution received has a right to appeal against the decision in court.

**Public Awareness-building on BFM/GRM.** Information on the BFM will be disseminated to all beneficiaries and people having been influenced by NSIFT projects via regular information channels (for instance, TV and radio companies, printed media, radio stations, news agencies, social media) including organization of meetings, roundtables, public hearings (including on resettlement or compensation), working meetings at all stages of NSIFT projects implementation; and through NSIFT BFM training module and other awareness sources.

NSIFT will provide information on the scope of Beneficiaries Feedback Mechanism, eligibility criteria for submission of the appeals, procedure of appeal submission (where, when and how), deadlines of response, as well as the privacy principle and the right to submit anonymous appeals.

Awareness building will be conducted annually. They will be designed by the NSIFT communications team to encourage the use of the BFM/GRM and publish information on complaints received and resolved. The campaigns will use local media (e.g. TV, newspaper, radio). When organizing and conducting these campaigns, special efforts shall be made to reach vulnerable groups.

The campaigns should include information on the scope of the GRM, the eligibility criteria to make a complaint, the procedure to make a complaint (where, when and how), the investigation process, the timeframe(s) for responding to the complainant, principle of confidentiality and right to make anonymous complaints.

**Publication of the Appeals.** After the appeal (applications, suggestions, complaints, requests, and positive feedback) is resolved to encourage BFM use, measures taken to resolve the appeal will be published in mass media at the local level. Upon request the identity of an appealing person will be kept in secret.

**Reporting on BFM Progress.** Semi-annual and annual reports of NSIFT projects shall include Section related to Beneficiaries Feedback Mechanism which provides updated information on the following:

- Status of BFM formation (procedures, training, population awareness campaigns, budgeting etc.);
- Qualitative data on number of received appeals (applications, suggestions, complaints, requests, positive feedback), of them the appeals related to the WB policy OP 4.12 on Involuntary Resettlement and number of resolved appeals;
- Quantitative data on the type of appeals and responses, issues provided and remained unsolved;
- Level of satisfaction by the measures (response) taken;
- Any correction measures taken.

**Monitoring BFM Effectiveness.** In addition, the following measures will be taken to monitor whether the BFM is functioning as intended:

- During the social audit open meetings, villagers discuss the effectiveness of the grievance handling system and gather suggestions on how to improve it.
- In its regular supervision visits, the CSP Central Office will assess the functioning of the grievance handling system.
- The CSP team and World Bank jointly review BFM monitoring data as part of regular implementation support missions.



## PART B: ESPMU PROJECT MANAGEMENT

### 4.9. Introduction

The project (under subcomponent 1C) will finance the incremental costs of ESPMU for the implementation, management, and supervision of the electricity subcomponents described above, and for procurement, financial management (FM) and the overall management information system (MIS). This subcomponent will fund a dedicated project management team (with experts in electrical engineering, project management, technical design, procurement, safeguards, FM, M&E, and communications) to carry out the approved annual workplans and budgets, in accordance with the relevant parts of the approved POM. The costs of ESPMU project coordination are already covered by the CASA1000 project financing, and the ESPMU team will only charge incremental costs to the CSP. In addition to ESPMU staff, the subcomponent will finance project implementation support personnel (such as procurement, safeguards), equipment, operating costs, technical assistance, and training. ESPMU will also coordinate with the National Social Investment Fund of Tajikistan (NSIFT) to utilize the project beneficiary feedback mechanism (including a grievance redress mechanism (GRM) for handling electricity-related complaints), which provides a formal channel for feedback from communities on any matter concerning the CSP, and specifically collect, process, and address safeguards complaints. Regular meetings will be held to ensure responsiveness and accountability regarding beneficiary feedback, including with NSIFT and Barqi Tojik (BT).

### 4.10. Overview - Implementing Arrangements National and Local Levels

ESPMU will serve as the Implementing Agency for Components 1 of the Project. **The State Establishment «Project Management Unit for Electro-Energy Sector»** (hereinafter-Centre) is independent, specialised structure which functions at the Government of the Republic of Tajikistan and carries out coordination and management of the projects financed at the expense of own and involved, by the Government of the Republic of Tajikistan, credit and grant means of the international financial institutions.

For the purposeful and efficient use of the allocated investment means in accordance with rules of Asian Bank of Development in March, 2001 at OSHC "Barqi Tojik" the Project Rehabilitation Unit» (PRU) has been created. Further according to the Governmental order of the Republic of Tajikistan from July 3rd, 2006 the PRU has been changed to State Establishment «Project Management Unit for Electro-Energy Sector» under the Government of the Republic of Tajikistan.

The Centre carries out the activities according to the Republic of Tajikistan laws, other standard legal certificates concluded by the international agreements, and also the Charter of the Centre.

The Centre is the legal body, the noncommercial organisation, according to the legislation possessing property, independent balance, accounts in local and foreign currencies in establishments of banks, has the press, stamps and forms with the name.

#### **4.11. The main objective and tasks of SE “ESPMU”**

- Preparation of the necessary documentation, including the feasibility report and creation of conditions for realization of projects
- Assurance of target and an effective use of grants and the credits involved with the Government of Republic Tajikistan for realization of projects

The main tasks of ESPMU are:

- Realization of coordination and maintenance of working conditions of the international and national experts-advisers on preparation and realization of projects
- The activity organization on realization of projects with Executive Agency, the ministries and departments, local authorities and other organizations
- Monitoring and control realization, behind quality of the executed works on realisation of components of projects by contractors and subcontractors
- Realization of Foreign trade activities and the international contacts directed on performance of every possible problems on realization of projects
- Realization and introduction in operation of projects

ESPMU will manage all aspects of the project associated Subcomponent 1A: Village Electricity Supply Improvements in the Corridor of Impact and Subcomponent 1B: Vahdat (Isfara) Substation and Village Electricity Supply Improvements in Border Areas.

*Under Subcomponent 1A: Village Electricity Supply Improvements in the Corridor of Impact* ESPMU will support for improved village electricity supply will focus on improvements for villages that are located within the Col. Subcomponent 1A will fund improvements to the quality and reliability of electricity supply by upgrading village-level infrastructure. Given the locations of the 60 villages, all improvements will involve connections to the grid (and not alternative forms of energy). The majority of the work will involve: (i) replacement of old/installation of new 10 kV/0.4 kV transformers; (ii) replacement of deteriorated wood poles with concrete poles; and/or (iii) replacement/installation of new 10 kV lines and 0.4 kV self-supporting insulated lines. These investments in village electricity supply will help communities access a more regular and reliable power supply, reduce technical losses, improve voltage conditions in the main load areas of the target villages, and reduce the health and safety risks associated with an aging system.

*Under Subcomponent 1B: Vahdat (Isfara) Substation and Village Electricity Supply Improvements in Border Areas* ESPMU will provide financing for the construction and reinforcement of 110/10 kV BT distribution networks, including lines and substations, and supply networks to three new Mahallas. Specifically, investments in new supply-level 10(6) kV/0.4 kV transformers, installation of new 10(6) kV lines and 0.4 kV self-supporting insulated wire will help BT to meet load growth efficiently, address load supply constraints due to congestion in the distribution system, reduce losses, and improve the reliability and quality of the power supply. These investments will supply power to the newly-created settlement of Vahdat (with its 2,700 households relocating from neighboring overpopulated border villages), and to neighboring Mahalla 14 and 15 (1,500 households) and Mahalla Nuravshon (500 households). Also under this subcomponent 1B ESPMU will support intra-village electricity supply improvements in the border areas of Vorukh and Chorkuh. Early estimates suggest that an estimated US\$0.50 million will investments in improved supply to Vorukh and Chorkuh to reach the agreed service standard defined in Subcomponent 1A.

#### **4.12. Organizational Structure of SE “ESPMU”**

##### **Managing bodies of SE “ESPMU”**

The ESPMU governing bodies are the following:

- Executive Director of the PMU
- Deputy Executive Director
- Deputy Executive Director

##### **Executive Director of SE “ESPMU”**

As per the Charter of the Centre, Executive Director carries out general management of the Centre. The Executive Director of Centre is authorized to implement the following principal activities:

- Manages the Centre’s assets, including financial assets,
- Realization of the general manual for direct implementation of the project, the technical help and consulting services both international and local advisers.
- Signs contracts on behalf of the Centre;
- Represents the Centre’s interest in Tajikistan and foreign countries;
- Issues Decrees and Orders within the framework of its authority and supervises implementation of the issued Decrees and Orders;
- Issues power of attorney.
- Other activities envisaged under the Centre’s charter and legislation.

Other key managing persons of the Center are Deputies Executive Director to whom following functions are separately assigned:

- The general management and supervision of projects are implemented by the Center according to the order of the Executive director
- Monitoring of separate divisions of the Center
- Participation and making decisions on development of projects feasibility reports
- Approval of large business transactions related to purchase of assets, equipment and services or disposal of assets
- Other activities envisaged under the Centre’s charter

##### **Project Realization Group for the CASA1000 CSP**

Barqi Tojik through the ESPMU will execute Component 1 of the project. Given its mandate to rehabilitate and maintain local energy transmission and distribution networks operated through its local electric networks at the province, district, and village levels, BT will have overall responsibility for Component 1. As is well-established practice, BT will delegate implementation of the project to the ESPMU through the Project Implementation Agreement. ESPMU will be responsible for the overall project implementation, procurement, FM, technical supervision, and M&E related to Component 1. ESPMU will open a designated account (DA) at the central treasury. This institutional mechanism has a long track record of managing donor-financed projects. ESMPU is presently staffed by about 80 people trained in all aspects of PMU operations, including accounting, tax, and technical disciplines, as well as safeguards issues. ESPMU has handled projects totaling more than US\$3 billion and managed IDA-supported projects with BT as the implementing agency. It has demonstrated efficiency in FM, procurement, and recordkeeping. Implementing agency staff is involved in decision-making and trainings provided by equipment suppliers and engineering, procurement, and construction contractors.

SE "ESPMU" has several project departments that are engaged with the implementation of the following grant and credit projects financed by ADB, IDB, IDA, EBRD and WB:

- Regional Power Transmission Project, ADB Grant-0213 TAJ
- Golovnaya 240 MWt HPP Rehabilitation Project, ADB Grant-0376 TAJ
- Reconstruction of 220/35/10 kV Ravshan electricity substation, IsDB credit-0054
- Wholesale metering and Transmission Reinforcement Project, ADB credit-0417
- Construction of the second part of HES in Dushanbe with 2x150 MWt capacity
- Rehabilitation and construction of High Voltage Electrical Transmission Lines of 500 kV in the Districts of Republican Subordination of the Republic of Tajikistan Project
- The CASA1000 Project
- Reconnection to the central Asian Power system (CAPS) project, ADB Grant-0622

Currently the Centre is implementing the CASA1000 project in Sugd and Khatlon Regions, which are financed by the World Bank, Islamic Development Bank, European Bank for Reconstruction and Development and European Investment Bank. For timely implementation of the CASA1000 Community Support Project, technical staff of BT and Sugd and Southern Electrical Networks as well as international and local project experts will support Implementing Agency.

SE "ESPMU" has experienced staff, which is familiar with the WB, EBRD, EIB and other IFI's procurement and financial guidelines.

#### **Departments of PRG Involved in the Project Implementation**

The following departments of PRG will be involved in various aspects of the Project implementation:

- Development prospect and technology department of BT
- Production and technical service of BT
- BT 35-500 kV SS operation and repair service
- BT Relay protection and automation service
- ESPMU Financial department
- ESPMU Procurement department
- ESPMU Social and environment monitoring department
- ESPMU Custom and Legal department
- ESPMU PRG branches in Northern & Southern Regions

#### **Department's main responsibility in project implementation stage:**

Development prospect and technology department of BT: Review and approval of the provided scope of work executed under the investment projects.

Production and technical service of BT: Review and agreement of the technical specification data of equipment to be installed under the project implementation.

35-500 kV SS operation and repair service department of BT: Review and approval of operation and maintenance manuals developed for facilities operation to be installed.

Relay protection and automation service department of BT: Development and agreement of relay protection and automatic setting required for facilities to be installed under the project.

ESPMU Financial department: Overall financial management of the Project. Details are presented in the chapter on Financial Management and Monitoring (FMM).

ESPMU Procurement department: Overall management of project's procurement.

ESPMU Social and environment monitoring department: Supports and monitoring of the project implementation.

ESPMU Custom and Legal department: Supports of procurement and financial departments. Control for custom procedure of equipment and spare parts delivery at project sites.

ESPMU PRG Branch in Northern & Southern Regions: Constant monitoring and control project implementation on sites.

Environmental and Social Management. The compliance of the project with environmental and social management plan (ESMP) would be ensured by the environmental specialist of the project management consultant (PMC), which has already been hired. Also it is planned to hire an individual Consultant which will also support BT/ESPMU to ensure compliance with environmental and social requirements.

The Consultant will support BT/ESPMU in the implementation of the ESMP. The ESMP activities would be incorporated in the main construction contracts to the extent possible. The ESMP activities, which cannot be included in the main construction contract, would be implemented through additional construction contracts, management, institutional, or technical assistance. The Consultants would design such programs and help monitor and supervise their implementation.

The Consultant will ensure that the contractors execute appropriately all the environmental and social impact mitigation and monitoring measures as stipulated in Project's Environmental and Social Impact Assessment (ESIA) report and the Environmental and Social Management Plan (ESMP).

#### **4.13. Project Implementation Core Team**

The Project implementation core team consists of:

From OSHC "Barqi Tojik":

- Deputy Chairman – Executive Director of Department of Electricity Transmission Networks
- Manager of develop prospect and technology department of BT

From SE "ESPMU":

- PMU Executive Director
- PMU Deputy director of PRG
- Project Manager of PRG
- Engineer of PRG
- PRG Specialist on Procurement
- PRG Specialist on Social and Environment/M&E
- PRG Financial Specialist
- PRG Custom and legal Specialist

- PRG Specialist on site's.

**Deputy Chairman of BT is responsible for:**

- Overall coordination of the Project Implementation
- Cooperation with major stakeholders (MEWR and SE ESPMU)
- Participate in the meetings related to technical specification and engineering analysis of the project
- Control on timely coordination of the work between the involved services and departments of BT under the project implementation
- Overall coordination and monitoring of the Project implementation with PICT

**Manager of develop prospect and technology department is responsible for:**

- Review and agreement of scope of work on technical parts under the project
- Project work planning as well approval of additional scope of project works
- Overall monitoring of the project technical parts
- Participate in the meetings related to the project funded by sponsoring organizations
- Communication and supporting in project implementation with PICT

**PMU Executive Director is responsible for:**

- Overall supervision of the Project within PMU in accordance to the Project implementation Agreement between BT and ESPMU
- Liaison with major stakeholders (GoRT, MoF, MEWR, SCISPM, World Bank, AIIB)
- Participate in the State meetings related to the project implementation
- Measurement and verification of work quantities and certification of Contractor's invoices for approval and release of payments
- Control on timely coordination of the work between the involved parties (BT, World Bank, AIIB, Tajik Authorities) and the Consultants, as well as within the relevant departments of BT
- Allocation of work load to various teams within PRG and continuous follow-up on progress of works to ensure smooth implementation and completion
- Supervision of overall activities of other core project team members
- Overall supervision and monitoring of the Project implementation with direct reporting to BT's Chairman

**PMU Deputy Director, Head of PRG is responsible for:**

- Organization, management and control PRG's activities
- Preparation of the work plans
- Provision of information on the implementation of Projects to the management of OSHC "Barqi Tojik"
- Active participation in the execution, administration, monitoring and supervision of the Contractor's and Consultants' work
- Provision of comprehensive assistance to work missions of financing organizations
- Control over the implementation of orders of the Chairman of OSHC "Barqi Tojik" in the PRG
- Control over submission of reports on time to state and financing organizations
- Monitor compliance with the legislation of the Republic of Tajikistan and guidelines of the financial organizations in the PRG

**PMU Project Manager of PRG** is responsible for:

- Overall monitoring of procurement related issues
- Assistance to the General Manager in the organization, management and control PRG's activities
- Participation in negotiations related to the project with financing organizations
- Control over project implementation
- Support in acquisition of required information and data needed for Consultants and the Contractor;
- Coordination of the preparation of relevant reports in order to keep the BT's management abreast of the Project activities
- Control over the implementation of the requirements stipulated in the Financing and Project agreements
- Provision of information to the General Manager on the implementation of Project, compliance with the covenants
- Provision of comprehensive assistance to work missions of financing organizations
- Control over submission of reports on time to financing organizations
- Monitor compliance with the legislation of the Republic of Tajikistan and guidelines of the financial organizations in the PRG

**PMU Engineer of PRG** is responsible for:

- Provide input to the technical specifications of relevant bidding documents
- Participation in the evaluation of bids or provision of technical input to the Evaluation Committee when needed
- Review and confirm quality assurance program of the Contractor
- Jointly with BT's technical staff participate in review and clearance of construction drawings, schedules and process proposed by the Contractor
- Jointly with BT's technical staff participate in review and confirmation of quantity and quality of works completed, which would serve as a basis for payment to the contractor
- Monitor and supervise on site testing of the all the major equipment to ensure that they meet the requirements and specification under the contract
- Assist in supervision of works

**PMU PRG Procurement Specialist** is responsible for:

- Assurance that all project procurement activities are in line with policies and guidelines of IFI's
- Provision of information to PRG's management on key milestones of the contracts
- Preparation and update of Procurement Plans, based on the project documents and acceptable for the IFI's
- Prepare Terms of References for consulting services and Technical Specifications for goods and works to be procured in cooperation with BT's and PRG's technical staff
- Prepare procurement documentation, such as RFB, RFP, etc.
- Organize and support evaluation committees in preparation of bid evaluation reports in accordance with guidelines of IFI's and evaluation criteria set in the bidding documents
- Coordinate contracting process
- Assistance to Financial Manager in development of financial plan

- Management of the contracts, by monitoring of timely delivery of contractual milestones, issuance of amendments, review of deliverables and progress reports, and follow up on other contractual requirements

**PRG Social and Environment Monitoring Specialist** is responsible for:

- Management of the contracts, by monitoring of timely delivery of contractual milestones, issuance of amendments, review of deliverables and progress reports, and follow up on other contractual requirements
- Review of safeguard documents, prepared by Consultants (Initial Environment Examination, Environment and Social Management Framework and Resettlement Action Plan etc), furnish suggestions for change proposals of documents and approve project documents
- Control for performance of the safeguards to be carried out by Contractors as per the Bank policy and legislation of the Republic of Tajikistan, in case of revealing any discrepancy to suggest corrected activities and supervise thereof
- Participation in meetings jointly with Consultants, Contractors, MEWR & BT representatives during the consideration and decision of project issues
- Participate in preparation of safeguard reports to be submitted to the Bank and other appropriate authorities of the Government of the Republic of Tajikistan
- Make regular study of inform materials, correspondence, Contractor's reports and prepare responses and conclusion thereby if necessary

**PRG Financial Specialist** is responsible for:

- Overall management and coordination of work of financial department of PRG
- Maintain project records and accounts according to the generally accepted Accounting principles and practices and Tajik legislation
- Establish and operate the financial management system for the Project
- Ensure that all Project accounts are maintained in accordance with the World Bank relevant guidelines and regulations
- Maintain procedures for collecting, checking and preparing documentation required for verifying Contractor invoices. Review payment documentation and payments to Contractor Review prepared invoices for payments by verifying the invoice against contract terms and conditions
- Ensure that all payments are made on a timely basis and according to contract terms and conditions as well as the WB and IDA relevant guidelines, regulations, legal agreements and other applicable documents
- Develop, maintain and update written procedures (Financial Management Manual) for operation of the Project accounting system
- Review disbursement applications according to the World Bank and Ministry of Finance procedures
- Establish and manage the Project' Designated Accounts. Review requests for Special Commitments, open Letters of Credit, review payment orders
- Review reconciliations of the bank account balances to the Project accounts, as well as to the World Bank Client Connection system. Conduct regular foreign exchange revaluation of un-disbursed balances of the Project funds
- Prepare the Project's annual budgets. Implement financial planning in co-operation with the Head of procurement and monitoring department
- Ensure that IFRs are timely prepared and submitted to the World Bank and to AIIB



- Prepare the Project annual financial statements to be audited and coordinate the audit arrangements of the Project and cooperate with the auditors; ensure that all Project accounts are maintained in accordance with the World Bank regulations for auditing by independent auditors acceptable to the World Bank and on the terms of reference acceptable to the World Bank
- Provide documentation to World Bank and Asian Infrastructure Development Bank required during missions in conducting regular financial management supervisions of the Project
- Ensure timely submissions of reports to the Tax authorities.

**PRG Custom and legal Specialist** is responsible for:

- Overall management and coordination of the department work
- Ensure timely custom clearance of supplied goods
- Legal support during project implementation stage

**PRG specialist on sites** is responsible for:

- Coordination of works on site
- Assistance to the Contractors on getting of all necessary permissions to work on site
- Coordination of works with PICT
- Review and agree the request from Contractors

**The organizational chart of SE ESPMU is presented in Annex 4.5.**

## **CHAPTER 5: COMMUNICATIONS**

## CHAPTER 5. COMMUNICATIONS

### 5.1. Subcomponent Description

**Subcomponent description from PAD.** Given the importance of community understanding of the CASA1000 Transmission Line and the CSP as a benefit-sharing mechanism, initial communications activities (surveys, FGDs in target communities, development of a communications strategy, and design of initial communications materials) will begin prior to the launch of the construction of the CASA1000 Transmission Line.

A CSP Communications Action Plan has been developed by a World Bank-hired Communications firm and in consultation with NSIFT and ESPMU, and is detailed in this Chapter, with the specific aim of: (i) building village-level support for CASA1000 by improving community understanding; (ii) establishing trust in the CSP and managing expectations by transparently communicating CSP scale, scope, and eligibility; and (iii) providing a communications platform for messaging related to the broader CASA1000 project. The target audience includes community members, VPCs and Mahalla committees, Jamoat councils, and JPCs.

**Activities.** NSIFT and ESPMU have jointly engaged in the development of the communications strategy and action plan, and communications materials developed by the local firm, prior to effectiveness. NSIFT/ESPMU will support the dissemination of CASA1000 materials and messaging, ensure ongoing information sharing and feedback, monitor the results of communications efforts, and train communications staff to take part in communications activities. Emphasis will be placed on two-way communication; feedback from local stakeholders will be documented, and IA responses tracked.

Communications budget managed by NSIFT will finance: (i) any follow-up engagement with the firm to ensure locally-relevant communications materials; (ii) dissemination of CSP communications materials through a broad range of channels (radio, roadshows, loudspeakers, community meetings, social media), and Col village and Jamoat/Mahalla events; (iii) any communications materials required on specific issues; and (iv) feedback on the communications activities and actions to reflect on any revisions that may be necessary. Outputs reported in progress reports will include progress on the communications strategy and action plan, communications materials disseminated, attendance of awareness-building events, staff trained on communications and awareness of villagers of CSP communications materials.

Project financing within subcomponent 1C will also include ESPMU contributions to the overall project communications activities described in Subcomponent 4C. This subcomponent will finance ESPMU contributions to communications efforts during project implementation. Working in coordination with NSIFT, this will include outreach to communities to communicate the scope of village electricity investments, communications materials required on specific issues related to village electricity investments, and ESPMU staffing and related training activities.

ESPMU and NSIFT will both appoint staff to support the linked communications activities required for the CASA1000 and the CSP electricity and CDD components. To this end, a **Communications Working Group** will be established and meet quarterly with representatives from BT, ESPMU, NSIFT, and the appointed communications firm.

## 5.2. Objectives, Scope, and Parameters

**Objective.** ESPMU and NSIFT will implement a communications strategy and action plan to ensure that clear, consistent and accurate information about the benefits and opportunities offered by the Community Support Project and CASA1000 is communicated in villages and jamoats along the transmission line. The objectives of the communication plan are to:

- Build village-level support for CASA1000 by communicating how the CSP will benefit eligible communities.
- Establish trust in the CSP and manage expectations by transparently communicating CSP scale, scope, timeline and eligibility.
- Provide a supportive communication infrastructure for messaging related to the broader CASA1000 infrastructure project.
- Ensure that local-level initiatives, benefits and impacts are known at a national level by sharing information about the CSP with the Communications Working Group.

**Institutional arrangements.** A Communication Working Group (CWG) will be established prior to Project effectiveness to ensure two-way information flows between local and national-level stakeholders on CSP/CASA1000 communication efforts. The CWG will be established comprising communications staff from ESPMU, NSIFT, BT and communications firm to support CASA1000 CSP communications. The CWG will meet quarterly to discuss messages, make decisions on the capacity and awareness building targets, decide on outreach meetings and discuss feedback received. Communications issues will be included in semi-annual progress reports to the Bank. The Chairperson will rotate annually. The NSIFT Communications staff will provide the secretariat function for the CWG. At the first meeting of the CWG, the meeting will agree a terms of reference (see Annex 5.1) and nominate the first Chairperson.

**Budget.** Financing for project communications efforts will initially be financed from two sub-components: 4C implemented by NSIFT and 1C implemented by ESPMU. CSP Project funds will support.

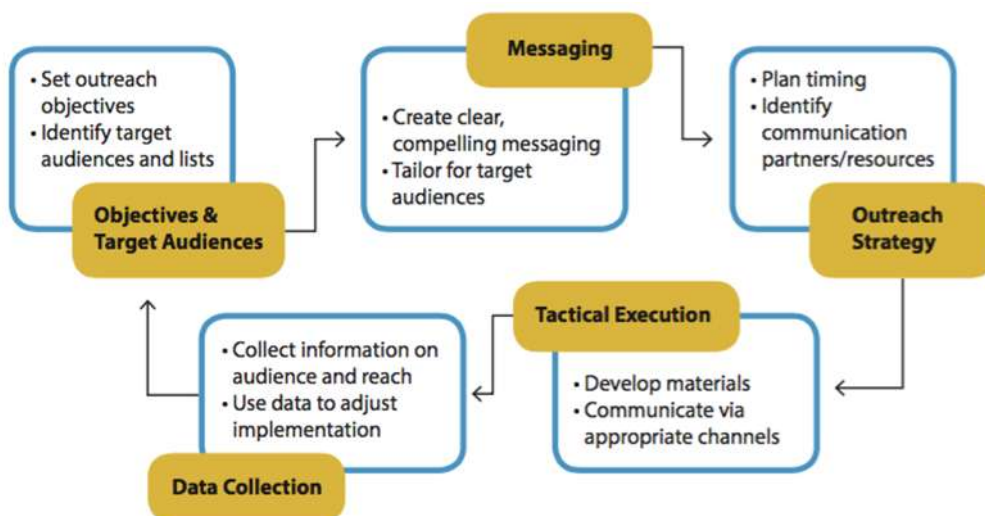
- NSIFT and ESPMU communications staff expenses (NSIFT and ESPMU budgets)
- Organization and implementation of communication activities and events in corridor-villages and jamoats at strategic times to deepen local level understanding (NSIFT budget)
- Training of local youth monitors and front-line staff (NSIFT budget)
- Dissemination of communications materials created by communications firm (including payments for radio and tv airtime) (NSIFT budget)
- Evaluations to measure communication activity outcomes and to make revisions as necessary (NSIFT budget)

## 5.3. Methodology of Developing the Comprehensive Communication Strategy

Access to information is critical in achieving the Sustainable Development Goals (SDGs). For one, it empowers those most vulnerable with knowledge to demand their rights more consistently and use state services more purposefully. Also, access to information is crucial to alleviate poverty as it fosters participation in important decisions that affect people's lives.

In the frame of CASA1000 and the CSP, this Comprehensive Communication Strategy (CCS) was developed by a communication firm. The preparation of the CCS followed an iterative process that entailed a number of pivotal steps and cycles of analysis, planning, tools producing and reflection, as illustrated in Figure 5.1. The organogram outlines a model for basic communication framework.

**Figure 5.1. A Model of the Basic Communication Framework**



SOURCE: Walter, F., Torres, A., Aldebot-Green, A. (2015). Elevating Quality Rating and Improvement System Communications: How to Improve Outreach to and Engagement with Providers, Parents, Policymakers, and the Public. Bethesda, MD: Child Trends.

In a first step, Zerkalo Analytic Group conducted a comprehensive communication needs assessment (CCNA) to help form an in-depth understanding of the local context, define clear objectives of the communication strategy and formulate key messages for target audiences. The CCNA was conducted through a variety of methods that allowed to collect information through situation observations to form a holistic view of the context, complementing findings from a desk research. Detailed findings of the CCNA are elaborated in Annex 5.2.

### **Communication needs assessment - key findings**

**Situation analysis.** Overall, the population as well as local government institutions of the CSP target areas have limited knowledge of the CASA and CSP scope and objective. Nevertheless, the following concerns related to CASA1000 construction were highlighted by respondents in the target communities:

- 1) Potential negative impact on human health, soil fertility and livestock and agriculture productivity (morbidity of livestock, degradation of the fauna in the environment)
- 2) Risks associated with possible resettlement and changes in land plot borders for individual households, including concerns of:
  - a. unfair or lack of compensation in such cases;
  - b. reduced access to ad interruption to (secondary) education as resettlement will force children to change schools;
  - c. reduced employment opportunities in the target area
- 3) Risks of increasing electricity tariffs,
- 4) Negative impact on the business environment, as well as consequent brain drain;

At the same time, respondents did recognize and point to potential opportunities of the CASA and the CSP, including:

- 1) Improved livelihoods due to increases in employment opportunities (this finding is more related to the Isfara District)
- 2) Strengthened energy security, positively contributing to the population’s health (mainly through better heating during cold months)
- 3) Positive contribution to public infrastructures, including road, bridges, hospitals and schools etc.

In the formulation of the CCS, it will be important not only to address concerns but also to manage anticipated positive impacts and expectations.

**Objective of the communication strategy.** This communications strategy has been developed to ensure that community members affected by the CASA Transmission Line are reached through adequate communication channels and provided with sufficient information to ensure community engagement during the construction process and CSP implementation. Specifically, the overall objective of CCS is to: *Build grass root level support and establish trust at community level by improving community understanding of benefits and opportunities offered by the CASA1000 and CSP.*

Reaching this objective is expected to allow to maximize the impact of the CASA construction outcomes. It is therefore important to ensure that the content of communication and dissemination materials on the CASA and CSP is targeted towards all relevant audiences, taking into account their fundamental grasp of the projects and motivation to engage in their implementation process. Therefore, the following specific objectives (SO) and associated outcomes were formulated (Table 5.1):

**Table 5.1. Specific Objectives of the Communications Strategy**

<p><i>SO 1: raise awareness of the population on benefits and opportunities of the CASA construction and CSP implementation</i></p>	→	<ul style="list-style-type: none"> <li>• Project objectives, activities, expected outcomes and deliverables are clearly communicated</li> <li>• Concerns and anticipated negative impacts are addressed and clarified</li> <li>• Opportunities and benefits offered by the projects are understood and project ownership increases</li> </ul>
<p><i>SO 2: raise the level of engagement of target beneficiaries in the project implementation processes</i></p>	→	<ul style="list-style-type: none"> <li>• Tools and mechanism to actively participate in different stages of project implementation are understood</li> <li>• Available feedback mechanisms are communicated</li> <li>• Women and youth understand their key role in successful project implementation</li> </ul>
<p><i>SO 3: contribute to the stabilization of conflict-prone border areas</i></p>	→	<ul style="list-style-type: none"> <li>• Tense, possible vectors of conflict situations are circumvent through better understanding of project scope and objectives</li> </ul>

**Target audience and information needs.** CASA and CSP projects cover rural areas of Tajikistan, which are usually represented by household consisting in average of six members in one household.

Below and above age lines represent 18 and 60 years accordingly. In a youth age category, which ends with 35 years old, was represented by the 25-35 years old category, which is 32%. The higher the educational level, the less it represented by women whose proportion at higher levels of education is sharply reduced, starting with the secondary education. The proportion of men who have completed higher education is average 46%, while the proportion of women under the same category is 21%. Considering target audience through prism of employment, gender and age, we can see that proportion of the unemployed is highest in age groups under 35 years old. It should be noted that among men in general, two categories are most represented: working - 31% and unemployed - 28%. Among women, the highest share of the housewife's category is 51%.

The target audiences for the CASA1000 and CSP Communication Strategy were identified by consulting project stakeholders that have a specific interest in and will benefit from CASA and CSP outcomes. Table 5.2 provides an overview of the different target audiences and defines their communication needs. The subsequent sub-chapters present the findings in more detail.

**Table 5.2. Overview of Target Audiences and Their Communication Needs**

Target audience	Communication goal
<b>Civil Society</b>	
Communities' population at large	Share knowledge and raise awareness among the general public and civil society organizations about CASA's project approach, deliverables and expected results
Local non-governmental organizations (NGO)	
Mahhalla Committees (traditional form of self-governance)	
Youth	
<b>Influential members of society</b>	
Religious leaders	Condense and translate project findings and expected results to guide discussions among community leaders, ensuring long-term support and commitment through community engagement
Local leaders among women (Bibiotun)	
Heads of households Committee (DomKom)	
Family doctors and nurses	
Elders	
<b>Business sector</b>	
Micro, Small and Medium Enterprises	Communicate project activities and expected results and support the identification of opportunities for economic development that can be achieved through CASA or CSP
Public business agents (MFIs, Extension Service etc.)	
<b>Local government representatives</b>	
Hukumat staff	Increase knowledge and enhance level of understanding of project benefits and expected results to allow them to be aligned with government plans at the local level and ensure sufficient cooperation between local administration and the project implementing agency
Jamoat staff	
<b>Vulnerable groups</b>	
People with a physical disability	Raise awareness among vulnerable groups of the population to ensure equal access to project benefits
Sick people and elders	
Spouses of migrants supervised by their extended family	

**Civil society.** This target audience consists of the general public, i.e. people living in the corridor that are expected to be impacted by the transmission line, and local civil society organisations (CSOs), i.e. NGOs, Water Users Associations and Water Users Groups and Mahalla Committees, and the youth segments of society. For this audience, it will be essential to apply gender sensitive communication approaches, making sure that cultural and traditional values for accessing information are taken into account.

Local CSOs are considered a trustworthy and reliable source of information that is frequently accessed by the local population. It is therefore expected that well informed CSOs generate a cascading effect, with CSOs disseminating obtained information materials and knowledge to the general public. A detailed mapping exercise at the beginning of the implementation of the communication strategy will be essential and allow to identify CSOs with a wide reach, ensuring inclusive knowledge sharing among all segments of society, in particular those most vulnerable.

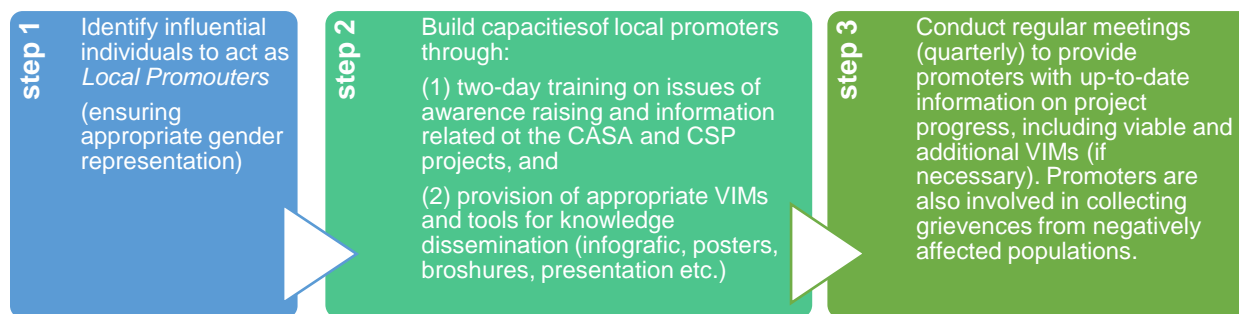
The young people living in communities along the corridor of the planned transition line construction are expected to benefit from the CASA and CSP through local employment opportunities it will create. Youth will engage with and learn more about the projects, how the power line is operated and what the expected benefits are for the country as a whole and their communities in particular. Through that, the youth target audience will be provided with the most important information on the project and is expected to spread gained knowledge to other members of their community.

**Influential members of society.** This target audience consists of religious leaders (and elderly, male, non-religious community leaders), local female leaders (Bibotun), heads of household committees (Domcom) and family doctors and nurses. The CSA found that this group enjoys high levels of trust within the local population. As such, closely involving this target audience as *Local Promoters*, i.e. people who are equipped with sufficient and viable information and materials and with necessary skills to convey the message to villagers.

To sustainably appoint an influential individual (Figure 5.2), in a first step, suitable promoters will need to be identified (might be one or several people in one community). In a second step, their capacities will need to be built to prepare them for their role and responsibilities in sharing information within their communities. Identified influential individuals, or promoters, need to have a sound understanding of and knowledge about the projects' objectives, set of activities, expected outputs and benefits on the country as a whole and their community in particular. Finally, in a third step, the promoters will need to find a common ground with their target audience, i.e. the community members in general and those most vulnerable in particular. To do that, the promoters need to identify the right communication channels to disseminate information to different segments of their community. Providing the local promoters with Visual Information Materials (VIMs) will increase efficiency of knowledge dissemination. Project Implementation Unit staff is recommended to meet with the local promoters on a regular basis (at least quarterly) to discuss the process and progress in awareness raising as well as to provide them with additional or updated information material.

Furthermore, the local promoters can be mobilized at a later stage to translate community members' prevailing concerns, grievances or questions caused by the project implementation to the PIU through the Beneficiary Feedback Mechanism (BFM).



**Figure 5.2. Appointing Local Promoters - Step-By-Step**

**Business sector.** This target group is represented by Micro, Small and Medium Enterprises (MSMEs) and public business intermediary organizations, such as Micro Finance Institutions (MFIs) and extension service providers. This audience was identified to be relevant because respondents of the needs assessment frequently raised concerns that the CASA and CSP projects might have negative impacts on local business environments and its development. More generally, particularly MSMEs engaged in the agricultural sector have limited access to information as they are not always well embedded in community structures and communication channels. To avoid misinformation, it is important to provide information assess to the business sector and ensure that the projects' scopes and potential impacts on the sector are well understood and allows to identify business opportunities that may result from the CASA and CSP projects.

**Local government representatives.** This group of strategy target audience will represents by Government officials at Jamoat level, Hukumat at Districts and National Level. The needs assessment findings illustrated very low level of knowledge and understanding of CASA-CSP projects information among representative of this audience at Jamoat and District levels. Take into account, high level of staff rotation at this level, it will be important to provide information on consistent way and in case of staff rotation to organize re-freshmen sessions. Due to the low level of awareness of this audience group, half-day training to be organized with a aim to increase the level of understanding of project's objectives, expected results, theory of change, activities to be implemented in a project's scope, planned deliverables, outcomes and outputs, opportunities and risks. It will be very important to underline during training course the role of government institutions and importance of engagement of local governance, youth and women engagement, which will guaranty enough level of commitments and support from Government Officials. This audience group will be more effectively reachable via on-line tools for the communication and information dissemination to compare with audiences mentioned above. The Government audience at national level, will need to get access to the information on projects status and deliverables thus needed decisions are taken in timely manner, which will indeed impact on a quality of the project deliverables and results.

**Vulnerable groups.** This group is comprised of communities members faced with additional difficulties to access information due various reasons, i.e. immobility due impedimentary health condition or social factors, lack of access to technology or other reasons. Members of this group are often people with physical or psychological disability, sick and elderly people, abandoned wives or wives of labor migrants under strict supervision from in-laws. The implementation agency of the communication strategy will need to create pathways and develop viable VIMs to grant them access to information, particularly because they represent those most vulnerable in society and are unlikely to benefit equally from the projects unless particular attention is given to reach them.

### **Comprehensive communication strategy - key messages**

Messages to be conveyed to the identified target groups should be positive, clear and consistent with the CASA and CSP implementation modalities and project designs and:

- Be straight forward and to the point
- Focus on outcomes not processes
- Include supporting arguments with points of proof.

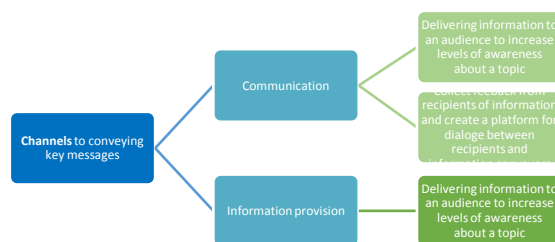
Nevertheless, key messages will need to be adapted to each identified target audience separately. Further details of the messages to be included in and disseminated through the communication strategy are outlined in a communication matrix provided in Annex 5.3 to this report.

**Communication channels.** The CCNA findings recommend distinguishing between and using two different channels to convey the key messages, namely communication and information provision (Figure 5.3).

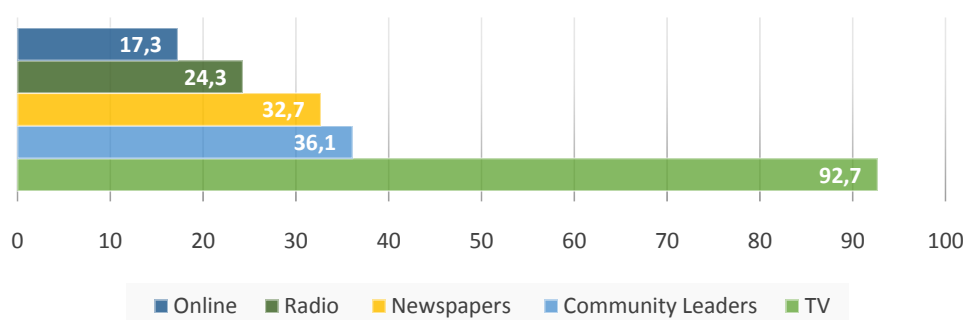
While information channels are simple, one-way information delivery mechanisms, communication channels allow collecting feedback and create a platform for dialogue during the delivery process.

Keeping in mind the unique contexts and information needs of each identified target audience, either information and communication might be considered as channels. Indeed, the analysis of the CCNA findings helps to understand which channel and tools should be used to reach the target communities efficiently and sustainably based on given, local circumstances (literacy level, access to internet etc.) of the different target audiences. Figure 5.4 shows that respondents to this study, representative of the communities the CASA and CSP will affect, prefer traditional means to access information, i.e. through TV, radio, and newspapers. The findings further point to the importance of social events at village level such as weddings, hashars<sup>5</sup> and general assemblies, the populations' continued use of information boards and loudspeakers at village centers and the consultations of local newspapers for information and important announcements. In contrast, more recent tools such as the internet are less used due to a general lack of access (though young people are more frequent users).

**Figure 5.3. Communication and Information Provision – the Two Channels of Conveying Key Messages**



<sup>5</sup>Hashar refers to voluntary labor of community members to implement community projects in Tajikistan, including fixing roads after spring rainfalls, renovation of public buildings and other public infrastructure as needed.

**Figure 5.4. Preferred Types of Channels for Information Provision and Communication**

Importantly, approaching community leaders such as local government representatives (heads of *Jamoats* and *Hukumats* and traditional form of self-governance, *Mahalla Committee*) and other respected and active members of the community (family doctors and nurses, religion leaders etc.) are a very common way for members of the community to access information and raise concerns. It is therefore crucial to ensure that those channels are used and well informed.

The CCNA findings suggest that information and communication materials should be developed in Tajik and Uzbek for dissemination in *Sughd Province Districts*. Using simple language will be important to ensure that the provided content is accessible for all members of the communities, regardless of their level of education.

Table 5.3 provides an overview of the variety of dissemination tools and which are suitable for the different target audiences. Subsequently, a more detailed description of each suggested dissemination tools is provided.

**Table 5.3. Dissemination Channels for Identified Target Groups - Overview**

Dissemination tools and communication channels)	Civil society	Influential members of society	Business sector	Local government representatives	Vulnerable groups
Press and media work					
TV broadcasting	X	X	X	X	X
Newspaper	X	X	X	X	X
Radio broadcasting	X	X	X	X	X
Print material					
Projects factsheets	X	X	X	X	X
Project VIM (poster and info graphic)	X	X	X		X
Placards for village information boards	X		X		X
Networking, meetings and events					
Public presentations in each community	X	X			X
Social events <sup>6</sup>	X	X			X
Online tools					

<sup>6</sup> Direct communication during social events at community level (weddings, etc)

Project web-site		X	X	X	
Social media	X	X	X	X	X
E-newsletter		X	X	X	

Channels highlighted in blue are channels for information dissemination, while highlighted in orange can be used for communication purposes.

**Press and media work.** In the following, a number of information channels for dissemination tools of the press and media are presented. A comprehensive approach through these channels is expected to have an extensive reach as they constitute traditional, often consulted mediums of rural populations.

A media work plan will need to be developed by the project team to decide which of these channels should be used for what type of information. It is important to ensure the media outlets are provided with donor and project logos in addition to the general information to be shared.

**Figure 5.5. Process of Centralized Information Chain from Information Blogger to Media Channels**



**TV broadcasting.** The needs assessment showed that rural populations most frequently and consistently consult TV broadcasting to access information. Regional and national TV channels can be used to disseminate information on key aspects of the projects (value for money to be ensured). A short cartoon will be developed and broadcasted regularly, providing a simplified, illustrative way to explain general project design, objectives and benefits for the country's economic development as well as for people's livelihoods.

**Newspapers publications.** Publications in local newspaper are considered a viable and effective information channel. It is recommended to use newspapers published at the district or regional level. Newspaper publications can convey not only general project information but also present best practices and innovative technologies and methods for improving rural livelihoods and drive economic development at the community level. Demonstrating of such best practices should be done by interviewing those who have piloted such methods and can share their experience in a relatable way. A detailed strategy and plan for newspaper publication should be developed for the whole project duration and agreed on with newspaper management. The strategy should follow a systemized and comprehensive way of information conceptualization, using information blogger<sup>7</sup> to highlight key elements of the project (including objectives, scope, benefits, eligibility criteria, feedback mechanisms etc) and share up-to-date information with the respecting newspapers. The information blogger works closely with the implementation agency guarantee access to information on a regular basis (see Figure 5.5).

<sup>7</sup>Blogger is a blog-publishing service that allows multi-user blogs with time-stamped entries

**Radio broadcasting.** Radio broadcasting will be developed on a quarterly basis and air regularly. Rural populations prefer regional radio channels. Radio can be used not only as an information channels, announcing project information and facts, but also as communication channel, by live streaming of interview, stories from the field etc as an interactive tool where people can call in an ask questions, raise concerns and interact with the information provider.

**Print material.** General CASA and CSP project information will be provided through factsheets, VIMs and placed on information boards at community centers or other public spaces (as available). Using simple and understandable language will be vital to avoid misunderstandings among rural populations. Information graphics, organograms or other visualization tools might also be recommended to simplify processing of information.

**Project factsheets.** The factsheets will provide a short overview of the main features, objectives and (expected) results of the CASA and CSP projects. It will be developed at the very beginning of the project and serve as the main offline dissemination material until VIMs will be printed. The template of a recommended factsheet outline is attached as Annex 5.4.

**Visual information material.** Specific features, objectives or project theory of change are best visualized, for example through info graphic or posters. These VIMs will be the main dissemination materials to stakeholders during project events. Information presented in VIMs should be simple and visualize project information.

**Placing project-related information on Information Boards.** In the context of the project and given the type of information that will need to be disseminated among the rural populations, placing information on the projects on community information boards is considered one of most efficient ways. The information that can be shared to the population will include general CASA and CSP information, information and contacts of the implementing agency, projects objectives, expected results, project logic and its concept outlining composition of activities, outputs, the approach that will be used for monitoring and evaluation and budget figures. It will provide also information on how to access the projects' website, and how to contact the project representatives. The information on the information boards should be updated regularly (every quarter) in order to reflect achieved results and challenges, project status and other important information to achieve strategy objectives. Local promoters can be mobilized to update information on the information boards. Where there are no information boards, the communities should be provided with some.

**Networking, meetings, and social events.** While the above suggested channels are useful for disseminating information, they do not constitute channels for communicating with the recipients of this information. Therefore, the following dissemination tools allow to interact with the rural communities and address their concerns as they arise.

**Presentations at the community level.** The CCNA found that holding presentations on the projects is a particularly good tool for communication of general information, specific activities, sharing of results, etc.<sup>8</sup> In addition, this tool allows to address concerns, answer questions and prevent misunderstanding in an ad hoc manner. There are different ways how the project team can present information to

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<sup>8</sup>The highest-level knowledge and understanding of the CASA project objectives and expected results (40%) found among the population and local authorities were found in Tursunzade district, where project staff had already held presentations in certain communities.

villagers, i.e. through power point presentation, through community meeting sessions, through loudspeaker etc.

The following should be kept in mind during the planning, developing and holding of the presentations:

- The presentation should consist of 10-13 slides maximum, if the presentation is too long people might not be able to follow or lose interest
- The presentation should cover the general information on the projects, including title, donor agency and implementing team, objective and expected results, general structure of activities set and deliverables
- Focus on information on how the projects will benefit and impact people's livelihoods. This will be crucial to address concerns people raised already during CCNA
- Carefully select the time and place for presentation to guaranty that all members of the population are able to attend. Particularly women and people with disabilities need to be accommodated carefully.
- After the presentation, allow participants to ask questions. This will not only allow you to get a better understanding of what additional information materials should be developed but also allows to engage with concerns directly, clearing up any misunderstandings or grievances.

The presentations should be held by local promoters at village level. ToTs should be organized to ensure that local promoters have sufficient information, a comprehensive understanding and necessary skills to present information to the general public. This will be essential to avoid any miscommunication.

**Social channels.** Information of CASA and CSP projects can be effectively disseminated during social events which quite often happen at communities' level, i.e. weddings, hashars, meetings of population in a public place, teahouses, gap/gashtak etc. Information should be disseminated by local promoters<sup>9</sup> (who will be trained and skilled and equipped with VIMs).

**Online communication.** Online communication tools are not considered a viable communication or information channel to disseminate information to the general population (based on the findings of the CCNA, respondents from target communities do not frequently use online tools, only 17,3% responded that they use access the internet get access to information and news). This can be explained by the unreliable internet access in rural areas, overall poor internet connection, lack of knowledge on how to navigate online to find desired information, lack of devices able to connect to the internet and high internet prices.

Though online communication might constitute an extremely effective tool to share information among a targeted audience in other regions of the world, the communication strategy developed below will not put a strong focus on this channel. However, because still some people do use the internet (17.2%), some tools will be proposed and elaborated on.

**Website.** The most important online channel to disseminate CASA and CSP content online is the project website ([www.casa.org](http://www.casa.org)) where all knowledge material can be included, including general information about the project, its goals, activities, composition and progress of implementation, news,

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<sup>9</sup>Detailed information on local promoters can be find in the part of document describing the target audience, on influential community members in particular.

announcements and more. The website will be a major dissemination channel for the projects, where on-going activities as well as key results and outputs are shared.

The website should be easily accessible (allow for fast loading, low megabyte usage to load, etc.) and user-friendly (easy interface, clear structure, etc). The website will need to host the following information:

- Description of the project
- Implementing body and agencies and contact details
- Budget and timeline details
- Publications developed in the scope of the project, including progress and impact reports
- Stories from the field and best practices
- Illustration of status of projects implementation
- Beneficiaries complaint mechanism tool/form.

The suggested list of website content is not conclusive and should be based on the preferences of the project team and target audience. The website also should allow the population to interact with the project team, providing a platform to ask questions or share grievances.

**Social media.** The propose communication strategy uses several types of social media platforms to disseminate CASA and CSP information, results and outputs, best practices, etc. and offer a platform for the population to start conversations about the project related issues. Indeed, social media platforms will offer an essential space to collect feedback, questions and grievances from beneficiaries and others. Taking into account findings of the CCNA, preferred social media platforms are Facebook, Viber and Telegram. The communication strategy outlined below, defines specific goals for the dissemination of CASA and CSP information through social media, using general sharing of information, introducing and using existing hashtags, keywords, frequency of interacting through the platform and some recommendations on how to formulate posts and tweets.

**E-newsletter.** The CASA and CSP projects will publish a periodic newsletter (approximately every three months, depending on the availability of new and relevant information). The objective of the newsletter is to present information about the project activities and outcomes, plans and challenges. The newsletter could also announce beneficiaries' and stakeholders' opinions on specific issues as well as interview with beneficiaries on best practices etc. The newsletter will be available electronically and distributed through a mailing list published on the project website. Taking into account the local context, the newsletter will need to be printed and disseminated though local promoters, information boards or social events (see above). Printed versions should be kept to a minimum, printed in black and white, double-sided reduce its negative impact on the environment.

**Figure 5.6. Tips on Communications Strategy and Tactics**

<b>Key tips of Communication Strategy and tactic</b>
Overall objective -> to build <b>grass root level support and establish trust</b> to the CASA-1000 and CSP at community level by <b>improving community understanding</b> of the benefits and opportunities offered by the CASA and CSP
<b>Target audience</b> -> there is different audience groups to be covered by communication strategy, the level of literacy and education background, vulnerability level, preferences given to the communication channels need to be taken into account in the scope of strategy implementation
<b>Message</b> -> clear, positive, and accompanied with practical examples and verifications. Common and standard set of information to be developed from the very beginning and to be applied in all target villages. To ensure that cultural norms are adhered to and the language used is understood and appropriate. In Isfara the focus of key message to be disseminated will be slightly different from the rest of geographical area with a focus on cross-border elements;
<b>Communication channels</b> -> will differ by socio-economic status and literacy level of target audience. For target audience, where literacy levels are low and poverty more widespread, communication mediums will focus on offline channels, media and social communication channels, while audience with higher literacy level will be covered mainly by online communication channels; Comprehensive approach to be applied by using different type of communication channels to target particular audience group;
<b>local Promoters</b> -> Influential Audience, its important to determine and select people at community level with a high level of trust and confidence among community population. Local Promoters should be capacitated and equipped with required dissemination materials. Local Promoters will also paly a role of facilitation of community mobilization processes. Local Governance Institutions, such as Mahalla Committee will play a vital role in process of increasing level of awareness of villagers on CASA and CSP as well as in a community mobilization;
<b>Gender sensitization and participatory approach</b> -> methods to be applied for information dissemination, must take into account the preferences and suitability for the females group of target audience and most vulnerable group in community, ensuring that access to information, opportunities and decision making processes are equally disbursed;

#### 5.4. Implementing the Communication Strategy-Community Mobilization and Engagement

Engaging with communities will be ensured through the community mobilization process, which will help to increase the level of knowledge and awareness on CASA and CSP projects sustainably and provide a mechanism for two-way communication. Community mobilization processes will help to get villagers' support during the process of projects implementation and to create required levels of commitment and ownership. Mobilization can be effectively facilitated by well-trained and comprehensively informed local promoters (described above). Where community mobilizing structures have already been set up through other entities or projects, the CASA and CSP should utilize them to communicate key messages.



A large part of the communications strategy will also focus on gaining the trust of communities and managing community expectations, ensuring that expectations of the population are met. It will be important to engage with structures and groups that will be created under the CSP for realizing the communication strategy through local agents of change, acting effectively as community promoters. As such, it will be recommended if members of Jamoat Project Committee, Joint Group for Monitoring and Evaluation, Community Project Committee, Ambassadors of Energy sectors, Youth Initiative Groups, and Public Group for technical services can be considered first in the scope of identification potential community promoters. In case, community promoters will not be a member of above mentioned groups, than close coordination between this groups will be strongly recommended.

**Conflict-sensitive communication in border areas.** When engaging with border communities in the Jamoats of Vorukh and Chorkuh in Isfara, conflict sensitive approaches to communication will be crucial. This is particularly important given that some activities of the CASA and CSP project will provide missing infrastructure and services, a lack thereof often constitute root cause of cross-border tensions, local-level violence and conflicts over the last decade.

Activities of the projects will also: (i) build the capacity and resilience of local institutions, (ii) engage youth in investment planning, and (iii) promote strategic planning on border area development. In the implementation of the communication strategy in border communities, the following should be considered:

- **Target audience:** Ensure that information is disseminated to all key stakeholders and locally presented group equally, prioritizing in particularly youth, women, local leaders, Civil Society Organizations and MSMEs.
- **Communication channels:** Preferred communication channels in these areas were TV (Shabakai Aval and Safina) and Radio (national) broadcasting. Get support from local CSOs and leaders that are fully aware of conflict dynamics to disseminate information, in particular local female leaders need to be involved.
- **Messaging:** The the messages to be promoted in a cross-border area should be focused on the following aspects: (i) CASA1000 and CSP Projects will promote opportunities for expanding cross-border development cooperation; (ii) CASA1000 and CSP will strengthen community safety and security, through electrification of the border area, for example, investing in street lighting in unsafe border areas, (iii) Projects will encourage livelihood development and employment opportunities for youth (investments in small storage and processing facilities, youth centers, IT centers); (iv) CASA and CSP will benefit and create opportunities for cross-border trade; (v) CASA and CSP will enhance cross-border transport infrastructure for better connection (repairs of roads or bridges that facilitate cross-border trade and market connections); (vi) CASA and CSP will contribute to the construction of health centers, local hospitals, first aid centers (which can be staffed by both Kyrgyz and Tajik medical personnel and serve members of border communities).
- **Manage target community expectations:** the findings of CCNA showed that expectations and projects perception of population in cross-border areas is much more positive compared to other geographical areas. Expectations are that CASA and CSP projects will support them to increase employment opportunities and thus impact labor migration dynamics (allow more people to stay in country due to employment alternatives). Furthermore, people expect that the project will help them to improve access to roads, irrigation and other public and economic infrastructure. Through this process, it is expected that the project will reduce prices of food and agricultural products.

Finally, people expect that the project will help to stabilize conflict-prone cross-border area. It will be important to promote these positive perceptions while managing those expectations carefully.

- **Cross-border cooperation among local leaders:** It is highly recommended to disseminate and communicate the same information on both sides of the border to avoid conflicting messages and suspicions of favoritism. This can be achieved through close cooperation between the implementing agencies on both sides of the border and local leaders (it is recommended to use well-respected local leaders as a promoters).

**Monitoring and evaluation.** The Monitoring Committee of the implementing agency will monitor the progress of the delivery of the communication strategy and achieving set indicators. An yearly communication plan will be presented to the Monitoring Committee, who will report on progress made on the target indicators. Progress on the implementation of the communication plan will also be included in the annual and final project reports to the World Bank. If deemed necessary, the Monitoring Committee can decide to review processes and targets set by the strategy. In order to measure and evaluate the effectiveness of the communication strategy, the indicators to be tracked during the program implementation are presented in Table 5.4.

**Table 5.1: Communication Strategy Target Indicators**

Output indicators	Result indicators
<ul style="list-style-type: none"> <li>✓ Operational Website and statistics;</li> <li>✓ Number of news articles;</li> <li>✓ Number of events + participants;</li> <li>✓ Number of social media posts (Facebook posts + reach, likes, Twitter posts + retweets, followers);</li> <li>✓ Number of publications (if possible how many downloaded);</li> <li>✓ Number of VIM developed and distributed;</li> <li>✓ Number of TV and Radio broadcasts;</li> <li>✓ Percentage of villagers aware of CASA and CSP communications materials;</li> <li>✓ Community and stakeholder understanding of CASA and CSP (project objectives, scope, benefits and beneficiaries).</li> </ul>	<ul style="list-style-type: none"> <li>✓ Raised awareness about the CASA and CSP and its opportunities;</li> <li>✓ Raised awareness about project outputs and program results;</li> <li>✓ Improved knowledge about procedures for applying for/claiming funding through the CSP;</li> <li>✓ Increased capacity for effective engagement into project implementation (e.g. seminars, guidance);</li> <li>✓ Raised satisfaction with CASA, CSP project deliverables and impact.</li> </ul>

5.5. **Detailed Action Plan for Strategy Implementation****Table 5.5. Action Plan for Implementation of Communication Strategy**

No.	Activity	Frequency of dissemination	Audience	Timeline
<b>MEDIA WORKS AND PRESS</b>				
1.	Producing short video clip (duration 2 min maximum) on general information about CASA1000 and CSP benefit and expected results (under support from Ministry of Water and Energy Resources) and translation on National TV <sup>10</sup> ;	In a first month of the project start to translate 3 times per week (12 times), than two times per month. (Update to be done based on a needs)	General audience, stakeholders, media and government and non-government organizations, social media followers.	First three months form the project starting date
2.	Producing short video clip (duration 1 min maximum) on CASA1000 and CSP projects in cross-border area (to be translated through Isfara TV channel)	Two times per month.	General audience in cross-border area	First three months form the project starting date
3.	Publications in newspapers. Press-conferences and press-releases should be organized once a major milestone is achieved, which will support media to get access to the project information	On monthly basis. In a form of dissemination general information on CASA, CSP, interviews with a project's stakeholders, best practices and advertisement related to the project. Talking points/bullet point to be used to provide information to the media;	Media, General Audience	Every month
4.	Radio broadcasting (duration of translation should be maximum 1 min)	On monthly basis. With update on monthly base as new information become available;	Media, General Audience	Every month
<b>OFFLINE MATERIALS, ARTICLES, PRESENTATIONS</b>				
5.	CASA1000, CSP Fact Sheets	Once, updated on monthly basis, Project facts and figures, and semi-technical information tailored to immediate stakeholders and donors' needs.	General audience, stakeholders, media and government and non-government organizations, social media followers.	First month from the project starting date
6.	Draft and finalize CASA1000 and CSP Visual Information materials (poster and info graphs)	Once, at the beginning of the project. Printed version to be disseminated in the scope of projects events and meetings	General audience, CASA1000, CSP stakeholders	First two months form the project starting date

<sup>10</sup> Video clip can be downloaded and demonstrated in a social media channels (Facebook, viberetc)

No.	Activity	Frequency of dissemination	Audience	Timeline
		with stakeholders		
7.	Posting information on Information Boards at communities level	Minimum monthly based, Community Promoters and Project focal points will be responsible for information placing process.	All audience at community level.	Monthly based
<b>NETWORKING, MEETINGS, AND EVENTS</b>				
8.	Presentations at each community level by Community Promoters <sup>11</sup> or CASA, CSP project focal points to be established in the scope of project implementation	Once, at the time of project launching phase. Presentation to be done in a Community Assemble Meetings. Information will need to be disseminated through the Social channels (weddings, hasharsetc)	All audience at community level.	Once, at the beginning of the project
<b>ONLINE TOOLS</b>				
9.	Project web-site	Regular, to capture important events, achievements, facts videos, locations and work progress of CASA1000 Transmission line, CSP projects. All publications done via media needs to be available in a website. Important to keep BCM be available and achievable for the beneficiaries.	Internal and external audience, future reference.	Immediate throughout the project life cycle.
10.	Social Media	Minimum weekly and maximum of two posts a week. Follow up messaging during the week, or to feed the audience with updated and needed information about CASA, CSP and its impact	General audience, social media followers.	Immediate throughout the project life cycle.
11.	E-version of project newsletter	Regular on monthly base, to capture important projects progress	Internal and external audience, future reference.	Immediate, throughout project life-cycle

<sup>11</sup> Community Promoters to be trained preliminary before to be engaged into process.

## **CHAPTER 6: MONITORING AND EVALUATION**

## CHAPTER 6. MONITORING AND EVALUATION

### 6.1. Introduction

The project will support monitoring and evaluation (M&E) activities to track, document, and communicate the progress and results of the project. This chapter describes how M&E will be undertaken in order to collect, present, and assess program progress and outcomes, as outlined in the results framework. The PAD and its results framework is the starting point for both understanding the program and for developing M&E tools, M&E processes and instruments, and reporting relationships and responsibilities.

The monitoring of output and outcome results is the joint responsibility of ESPMU and NSIFT M&E staff working closely with field staff. First, ESPMU and NSIFT will ensure the collection of information for regular project reporting. This will include the component output measures and indicators defined in this Chapter safeguards risks and Beneficiary Feedback Mechanism (BFM) reports. Semiannual progress reports will be made available 45 days after the end of each reporting period, and include the output indicators described in the PAD, as well as updates on the results framework indicators. This will be entered into an MIS system established by NSIFT. Second, NSIFT, with TFPs, will facilitate the processes of community monitoring. This will include a regular readout on citizen engagement indicators established under Component 3, collated at the national level. Third, the project will include midline and endline evaluations, to be conducted by a firm hired by NSIFT. The M&E in the project will also be supported by an arrangement established under the ESMAP Gender and Energy TF to monitor the impacts of investment on women.

### 6.2. Results Monitoring and Evaluation Arrangements – NSIFT and ESPMU

**NSIFT role:** M&E will be conducted by an M&E team established in NSIFT responsible for overall compilation of progress and results. NSIFT will establish and utilize an MIS. Subcomponent 4B will finance NSIFT to prepare project reporting — semiannual and annual reports and quarterly unaudited IFRs—that will be submitted to the World Bank; this system and reporting will cover Components 2, 3 and 4. While community monitoring will be supported under Subcomponent 3B, the NSIFT M&E team will collate and analyze these semiannual assessments of outcomes and perception-based results, and enter them into the MIS and include them in semiannual reports. The quality of the community mobilization and other inclusion, voice and agency activities with communities will be measured through community scorecards, which will be discussed and verified, along with financial records and project implementation records, in social audit meetings. Feedback and grievances received through the BFM will also be included in the semiannual reporting. Results measurements will focus primarily on the outcomes defined in the results framework and the set of output indicators defined later in this Chapter. Independent evaluations, procured by NSIFT, will include both a midline and endline evaluation. The aim of the evaluations is to capture the results of the investments funded in Components 1 and 2, and to provide an evaluation of the community mobilization processes funded under Component 3. A Completion Report (that draws on the independent evaluation results) will be conducted by NSIFT prior to completion.

**ESPMU Role:** M&E will be carried out by an M&E specialist appointed by ESPMU responsible for overall compilation of progress and results and preparation of project reporting—semiannual and annual reports that will be submitted to the World Bank; also the specialist has to coordinate with NSIFT team to bring together Component 1 information into MIS to be established by NSIFT. ESPMU M&E specialist will collate and analyze these semiannual assessments of outcomes and perception-based results, and enter them into the MIS and include them in semiannual reports. The quality of the community mobilization and other inclusion, voice and agency activities with communities will be measured through community scorecards, which will be discussed and verified, along with financial records and project implementation records, in social audit meetings. Feedback and grievances received through the BFM will also be included in the semiannual reporting. Results measurements will focus primarily on the outcomes defined in the results framework and the set of output indicators defined later in this Chapter.

BT's monitoring, supervision and reporting responsibilities during the Project implementation will include:

- Overall supervision and monitoring of implementation of Project to ensure quality of the construction/installation works, compliance with the design and timely completion of the Projects;
- Construction supervision, quality assurance and inspection;
- BT's PRG will be responsible for monitoring implementation and ensuring compliance with the Environmental Management Plans and Grievance Redress Mechanism as per requirements of the World Bank;
- Provision of engineering support during the period of construction works;
- Facilitation of the contractor's work on other operational and administrative matters;

Timely submission of the required regular reports, including general progress and financial reports, to the World Bank and Asian Infrastructure Investment Bank as required by the legal agreements of the Project and other documents□

**Table 6.1. M&E Roles and Responsibilities of Parties: ESPMU and NSIFT**

Activity	ESPMU	NSIFT
<b>Project Results Framework</b>	(IR1) % of target communities with reduced power outages	PDO1) % of target communities with improved access to social and economic infrastructure as a result of project support
	(IR2) Isfara-1 substation and surrounding infrastructure is: (i) designed and procured; (ii) constructed; and (iii) supplying electricity to target communities	(PDO3) % of beneficiaries in target communities who report that their engagement in decision-making over project investments was effective
	People provided with new or improved electricity service	(PDO4) % of young (women and men) beneficiaries who report that their role/voice in local governance has been enhanced as a result of project support
		(PDO5) % of beneficiaries in target communities who report that the CSP is an effective response to the local impacts of the CASA1000 Transmission Line
		(IR3) % of beneficiaries in target communities who report that project investments met their needs (Text) (IR4) Number of beneficiaries in target communities with improved quality of water supply as a result of project investments (IR5) Number of women's group priorities that become a functioning facility, service, or infrastructure (IR6) Number of subprojects that support climate change adaptation or mitigation (IR7) Number of women able to work as a result of project investments in kindergartens (IR8) % of target communities

Activity	ESPMU	NSIFT
		effectively completing the agreed community mobilization and social accountability process (IR9) Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles (IR10) % of target jamoats completing agreed local governance training curriculum (IR11) % of beneficiaries in target communities who report enhanced trust in local institutions as a result of specifically defined Project activities (IR12) % of beneficiaries in Isfara target communities reporting that subproject investments have improved cross-border cooperation, connectivity, youth engagement, and/or safety/security
<b>Reporting</b>	preparation and submission to the Bank semi-annual and annual reports.	preparation and submission to the Bank semi-annual and annual reports.
<b>Baseline, mid-line and end-line evaluations</b>	provide data and input to evaluation firm	hiring the evaluation firm, overseeing evaluation and submit report to the Bank.
<b>Coordinating M&amp;E</b>	M&E team will twice a year join the session on monitoring and learning organizing by the Bank.	M&E team will twice a year join the session on monitoring and learning organizing by the Bank.
<b>BFM</b>	transmit all complaints and related letters to NSIFT and if required prepare replies.	implement BFM soft, entry all data, monitor all BFM activities.
<b>MIS</b>	transmit all required data to NISFT	implement MIS soft, entry related data.

### 6.3. Results Chain

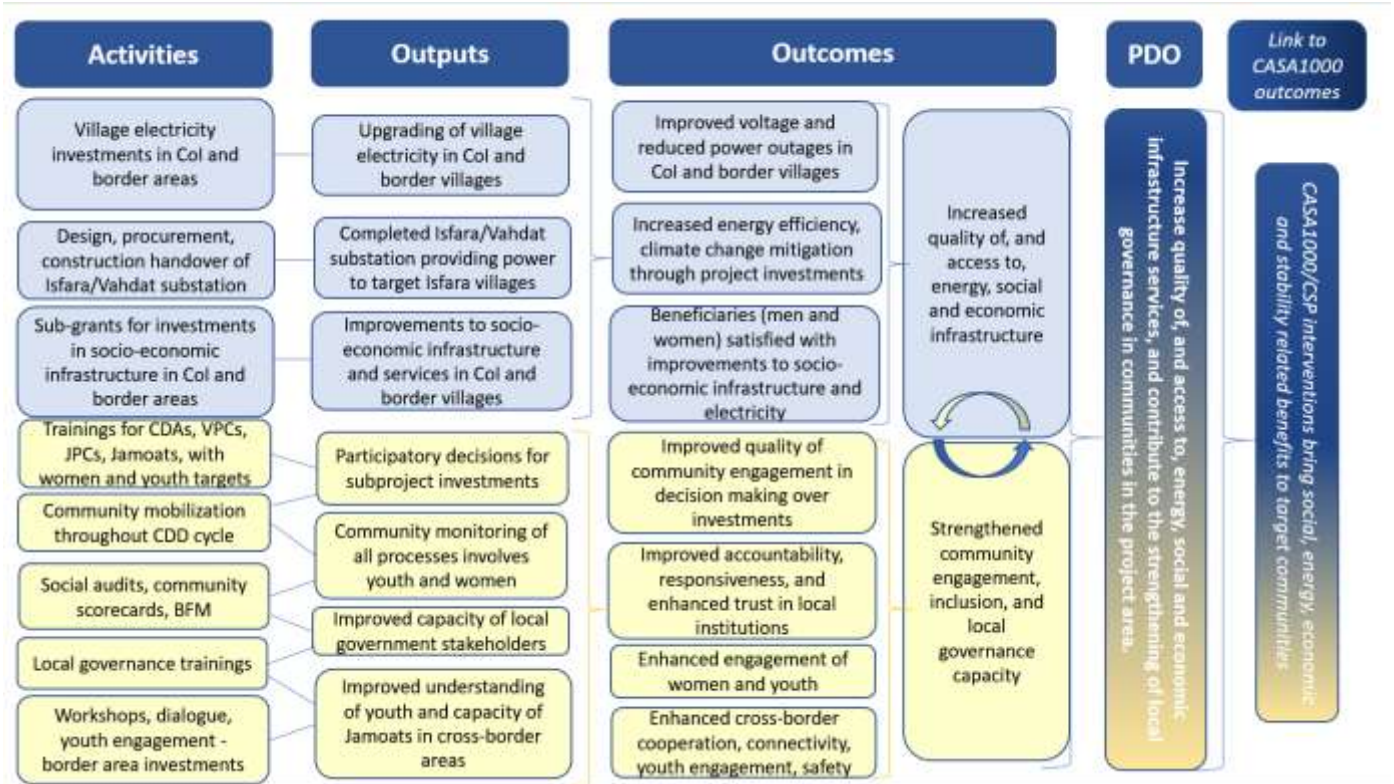
**Theory of change.** A theory of change describes what the project aims to achieve, how it will achieve it, what problems it aims to address, and what assumptions have been made in moving from what the project does (its design) to realizing the changes (outcomes) it envisions. The project's theory of change describes the different types of results it envisions and how these results are related to one another. A broad theory of change for CSP is depicted below.

The theory of change for the project (Figure 6.1) includes two interlinked sets of activities, outputs, and objectives in the project area: (i) improving the quality of, and access to, energy and socio-economic infrastructure; and (ii) strengthening community engagement, inclusion, and local governance capacity. Small-scale socio-economic infrastructure investments and broader electricity investments will contribute to rural development in project areas, and address severe gaps in village-level electricity, infrastructure, and social services. Through the focus on community-driven and social accountability approaches that involve youth and women, and capacity building of local and community institutions, the CSP theory of change is that communities will be empowered, strengthened and unified, and local institutions will be strengthened,



through engagement in repeated small-scale decision making and investments. Additionally, investments will contribute to broader efforts by the GoT to promote local development and decentralized decision making. Finally, the project approach seeks to support overarching CASA1000 objectives and rationale for CSPs as an innovative benefit-sharing scheme to minimize social risks, maximize socio-economic-, energy-, and stability-related benefits, and create a supportive environment for CASA1000.

Figure 6.1. CASA1000 Community Support Project – Theory of Change



6.4. Objectives, Scope and Parameters

**Objective and focus.** The overall objective of knowledge and learning and monitoring and evaluation (M&E) efforts through the CSP is to ensure the effective, efficient and transparent delivery of CSP activities with maximum impact and to promote real-time learning and improvements throughout the project cycle.

**Goals.** The goals of the monitoring and evaluation activities are as follows:

- Provide NSIFT and other stakeholders with regular information on the progress of the Project and its outputs
- Identify the issues and obstacles encountered during project implementation
- Promote results and performance management, leading to improved implementation
- Ensure compliance of the CSP implementation with regulatory documents - Grant Agreement, Project Agreement, and Operational Manual, etc.
- Determine NSIFT and ESPMU success in achieving the goals and objectives set, and the level of project impact based on targets set
- Support acceptable environmental and social impact standards
- Providing a means to inform the project’s stakeholders about progress, challenges, and opportunities
- Assess project risk and update mitigation strategies.

**Principles.** Key M&E principles will be:

- M&E will be practiced by all managers and implementers. M&E is a basic management function and the NSIFT and ESPMU teams will facilitate others to appreciate and practice M&E
- Performance targets will be used to ensure implementation remains on track; managers are expected to understand their targets and to design interventions and adjust their activities in order to meet them
- M&E will promote learning and evidence-based decision making, in an open and transparent manner
- M&E systems will be kept as simple as possible; where computerization is used web-enabled systems where information is available in real time will be promoted
- Community and participatory monitoring will be promoted
- Gender and youth will be mainstreamed into all M&E practice. A gender target that 50 percent of the beneficiaries should be women/girls will also be rigorously implemented and checked through M&E efforts
- The OECD's M&E definitions for outcomes, outputs, indicators, etc. will be used (see <https://www.oecd.org/dac/evaluation/2754804.pdf>).

**M&E implementation and institutional arrangements.** Monitoring and evaluation will be undertaken by M&E teams appointed by NSIFT and ESPMU. M&E teams will be responsible for:

- Agreeing with the World Bank and other relevant stakeholders on annual targets for all indicators and managing performance in line with these targets
- Collecting all indicators in the results framework and implementing all the M&E processes described in this manual
- Making data, including raw data from surveys, databases and other instruments publicly available and readily accessible in a timely basis.
- Ensuring the accuracy and credibility of all data and information provided, including the collection of relevant means of verification
- Preparing quarterly and annual reports on a timely basis, with reports meeting the principles and criteria set out under Activity 6.7 (NSIFT with ESPMU inputs)
- Learning what is working, what is not and why
- With the World Bank, ensuring the completion of an independent mid-term review and a project completion report (NSIFT)
- Working closely with program management and communications experts to ensure M&E results are explained in a simple and useful manner and are appropriately disseminated
- Appointing an M&E specialist to coordinate all Project Monitoring and Evaluation activities.

In terms of additional institutional arrangements, the M&E team appointed by NSIFT will be responsible for routine control and monitoring through regular and ad-hoc reports provided by the Project, independent auditors' reports, specific survey reports, spot checks, etc. Donors will also monitor through these reports as well as relevant Grant and Loan Agreements, Aide Memoires, Cooperation Agreements, etc.

### 6.5. M&E Processes

The following activities will be undertaken as part of project M&E:

- **Activity 1:** Define clear performance targets based on project results framework
- **Activity 2:** Create a Management Information System (MIS), to monitor key processes and generate required reports and indicators, including administrative data from electricity companies and other organizations which are not part of the project.
- **Activity 3:** Develop and implement surveys and evaluations
- **Activity 4:** Undertake regular spot checks and supervision missions to monitor implementation and assess data quality

- **Activity 5:** Implement learning initiatives
- **Activity 6:** Prepare annual, semi-annual reports and other implementation reports
- **Activity 7:** Develop the M&E capacity of key program managers and implementers.

The project will develop, implement, and finance community mobilization, social accountability and capacity building processes. This will result in communities selecting and implementing economic and social infrastructure projects. These are considered implementation results (activities and outputs). From an M&E perspective the project will monitor which engagement processes were implemented, which projects were selected (and whether they responded to citizen's needs and priorities), what projects costed and what projects ultimately produced (improved delivery of electricity, etc.).

There are four main types of outcomes the project aims to achieve. At the community level, successful implementation of projects and community mobilization is expected to: (i) improve incomes and livelihoods and (ii) improve social cohesion, citizen empowerment and social capital. These outcomes will be measured through a mix of quantitative indicators (such as increases in household consumption) and perceptual indicators (for example, whether citizens believe communities are more cooperative and empowered).

Project activities will be implemented along the CASA1000 transmission line in order to ensure communities impacted by the TL receive social and economic benefits of the investment. The key assumption is that implementing community-driven projects can improve perceptions of CASA1000. At the outcome level (livelihoods, social cohesion, and CASA1000 perceptions), evaluation will ideally compare changes in CASA1000 communities with changes in suitable control groups (the counterfactual) in order to gauge the true impact of the project on the community. Finally, a potential outcome is that procedures developed in this project (youth and women-focused community mobilization and community-based decision making) are proven to be successful and are adapted elsewhere. There are, however, no performance targets for expected policy adoption.

## **6.6. Activities and Procedures**

### **Activity 1 - Define clear performance targets based on project results framework**

Performance management is different than M&E. It is the process by which an organization identifies its goals and priorities and then goes about ensuring they are met. It starts with targets and works backwards from them. It often involves: (i) developing a culture and willingness to learn; (ii) strategic planning (the development of clear targets, priorities and organizational goals based on problem analysis and client needs); (iii) accountability and aligning organizational goals to individual goals; (iv) development of mechanisms and processes to discuss and debate performance (for example, clear, well designed meetings) and (iv) making clear public statements (being more transparent to stakeholders) in the form of performance commitments. It is about managing for results, creating incentives for results, and being accountable for results. Performance management systems are often very simple and often do not require large financial investments or significant quantities of data.

Each indicator will have an annual performance target. The focus on targets will be at the activity / output level (i.e. the implementation level). Targets have been developed to be ambitious but realistic. They have been developed to be challenging and to "stretch performance". The assumption in developing targets is that it is better to reach 80% of a set of challenging targets, than 100% of a set of trivial targets. NSIFT and ESPMU are expected to:

- Understand and own all performance targets described in the results framework and operations manual
- Plan and adjust their activities and budgets in order to ensure targets are reached
- Understand why targets may or may not have been met

- Be accountable for achieving most of their implementation targets; accountability in this sense means “answerable,” being able to provide credible and acceptable reasons when performance has been below expectation
- Review progress against targets during internal meetings with staff and external meetings with development partners; report publicly and honestly on targets
- Be able to verify reported values.

Each year, the planning process will begin with a review of all upcoming performance targets and an assessment of past and current performance (against targets). Activities will be developed and resources allocated to ensure targets are achieved. Where targets are very unrealistic or were miscalculated and are therefore not achievable NSIFT will revise them with consent of the World Bank.

As described below, semi-annual and annual reports will review progress against each and every annual performance target, will contain a time series of targets vs. actual performance, and, where performance falls short will provide detailed reasons why targets were not met.

The following pages contain a list of all indicators and a first draft (to be completed) of their targets. NSIFT’s and ESPMU’s M&E team will: hold consultations to finalize all indicator targets, ensuring managers and all relevant stakeholders fully understand and agree with them.

**Table 6.2. First Draft Indicator Targets**

RESULT	INDICATOR	BASELINE (YEAR)	TARGETS				REFERENCE/ NOTES
			Year 1	Year 2	Year 3	End target	
The Project Development Objective is to increase the quality of, and access to, energy, social and economic infrastructure services, and to contribute to the strengthening of local governance in communities in the project area.	Percentage of target communities with improved access to social and economic infrastructure as a result of project support	0% (2017)	20%	60%	80%	90%	
	People provided with new or improved electricity service (corporate results indicator)	0% (2017)	30,000	60,000	100,000	120,000	
	Percentage of beneficiaries in target communities who report that their engagement in decision making over project investments was effective	0% (2017)	20% total 20% women	40% total 40% women	60% total 60% women	70% total 70% women	
	Percentage of young (women and men) beneficiaries who report that their role/voice in local governance has been enhanced as a result of project support	0% (2017)	20% total 20% young women	40% total 40% young women	50% total 50% young women	70% total 70% young women	
	Percentage of beneficiaries in target communities who report that the CSP is an effective response to the local impacts of the CASA1000 Transmission Line.	0% (2017)	20%	40%	60%	70%	
<b>Component 1: Village Electricity Supply Improvements</b>	(IR1) % of target communities with reduced power outages	0 (2017)	30%	60%	70%	80%	% increase TBD
	(IR2) Isfara-1 substation and surrounding infrastructure is: (i) designed and procured; (ii) constructed; and (iii) supplying electricity to target communities	0 (2017)	(i) Designed and procured	-----	(ii) Constructed	(iii) Supplying electricity to target communities	
<b>Component 2: Community-Led Investments in Socio-Economic Infrastructure</b>	(IR3) % of beneficiaries in target communities who report that project investments met their needs	0% (2017)	20% total 20% women	40% total 40% women	60% total 60% women	70% total 70% women	Highest priority may not be selected if it is over-budget
	(IR4) Number of beneficiaries in target communities with improved quality of water supply as a result of project investments	0% (2017)		6,000 total 3,000 women	10,000 total 5,000 women	10,000 total 5,000 women	
	(IR5) Number of women's group priorities that become a functioning facility, service, or infrastructure	0 (2017)	-----	36	36	72	Target = 50% of all potential beneficiaries
	(IR6) Number of subprojects that support climate change adaptation or mitigation	0% (2017)	-----	15	20	20	
	(IR7) Number of women able to earn income as a result	0%	-----	30	60	70	

RESULT	INDICATOR	BASELINE (YEAR)	TARGETS				REFERENCE/ NOTES
			Year 1	Year 2	Year 3	End target	
	of project investments in kindergartens	(2017)					
<b>Component 3: Community Mobilization, Capacity Building, and Local Governance</b>	(IR8) % of target communities effectively completing the agreed community mobilization and social accountability process	0% (2017)	30%	60%	70%	80%	
	(IR9) Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles	0% (2017)	(i) 300 (ii) 80 (iii) 40 Total: 420	(i) 325 (ii) 100 (iii) 55 Total: 480	(i) 350 (ii) 120 (iii) 50 Total: 520	520	
	(IR10) % of target jamoats completing agreed local governance training curriculum	0% (2017)	----	50% Y2	70% Y3	90%	
	(IR11) % of beneficiaries in target communities who report enhanced trust in local institutions as a result of specifically defined Project activities	0 (2017)	----	40% total 40% women	50% total 50% women	60% total 60% women	
	(IR12) % of beneficiaries in Isfara target communities reporting that subproject investments have improved cross-border cooperation, connectivity, youth engagement, and/or safety/security	0 (2017)	----	20%	30%	30%	
<b>Component 4: Project Management, Monitoring and Evaluation, and Communications</b>	(IR13) Number of women in: (i) CDA roles, and (ii) project staff roles in the project implementation team	0% (2017)	(i) 0 (ii) 3	(i) 22 (ii) 8	(i) 22 (ii) 12	34	
	(IR14) % of target communities where community monitoring is contributing to Project M&E		----	50%	60%	70%	
	(IR15) % of target communities demonstrating an understanding of CSP objectives and parameters		20%	40%	60%	80%	
			----	%20 Y2	60%Y3	70%	
				20% Y1	0% Y2	60% Y3	80%

**Activity 2 - Create a Management Information System (MIS) to monitor key processes and generate required reports and indicators, including administrative data from ESPMU/BT and other organizations which are not part of the project.**

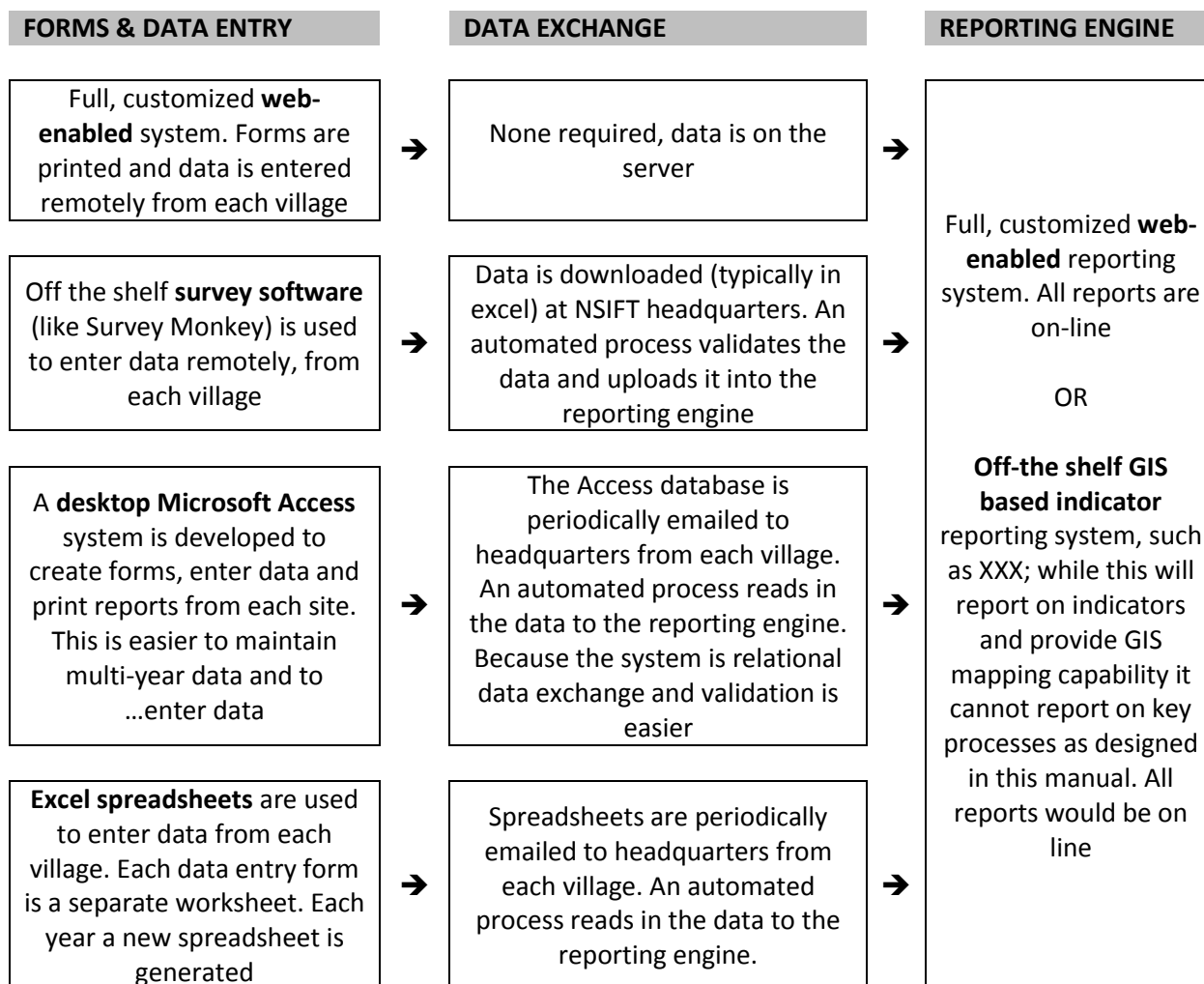
Key procedures and steps of the operations manual will be computerized. Computerization (Management Information Systems or MIS) has several objectives. The first is to provide tools that will enable technical and administrative staff to be more productive and effective. The software developed will support the implementation of processes described in this operation manual. Well-designed software can help ensure that jobs are done on time, the right people are kept informed, that each step is followed, and that remedial action is taken promptly. So, as well as managers having the information necessary to manage the process, by virtue of the data being stored on a secure server, it is possible for authorized users at different levels to monitor progress. This will deliver relevant and timely information about the functions each party performs. Since information is computerized, standard reports and indicators will be generated automatically. The system will undertake all calculations, minimizing the risk of human error. Creating standard and automatic reports based on the data entered will reduce the reporting burden and minimize potential repeat requests for information. Using the same system, it will also be possible to produce reports that will keep local citizens and communities as well as development partners informed about the activities undertaken, in real time. Using the same data, different reports can be produced for different audiences. The system will maintain historical data from its point of development onwards (i.e. maintain a history of implementation and a time series of data).

Some key elements (user requirements) of the MIS are as follows:

- It implements the operations manual and tracks (i.e. records) indicator targets, i.e. to undertake a **comprehensive process monitoring approach**.
- Responsible parties (actors) are identified for implementing each step or process; these implementers are also responsible for providing the relevant information and data, documenting each step they undertake.
- Data collection forms are created for each step and assigned to each implementer; forms are printed automatically from the system (not photocopied from this operation manual) and are signed (officially) stating all information provided is accurate and complete.
- The system allows decentralized data entry and remote viewing of reports; ideally it is web-enabled, with a system of users and administrative security identifying roles, responsibilities and access rights.
- The system monitors what forms were filled out by whom and which data is incomplete.
- Upon input, validation rules identify data which is incomplete or unlikely to be correct.
- Ideally, supporting evidence (such as attendance lists for training) can be scanned and uploaded as a means of verification.
- All relevant indicators in the results framework are automatically generated (implementers do not undertake calculations, the computer does).
- Based on data inputted, automatic reports are generated. These reports are designed according to the needs of various managers and users, document all processes and can compare all indicators against their targets. The generation of indicator reports is a sub-set or by-product of a computerized implementation system.
- Ideally, reports can be dynamically filtered or grouped for analytical purposes.
- Automatic notifications are made to managers via email, informing them of missing data (failure of staff to provide adequate information) and when targets are significantly off-track; managers are actively informed when something is not right.
- The system is easy to use, not-fragmented, and intuitive; training on its use should therefore be very short.

**The MIS may be developed progressively over time.** It may not be necessary, or indeed advisable to go for 100% computerization in all areas simultaneously. For a period, new computerized systems may co-exist alongside manual processes and/or excel spreadsheets. Since the data set will be extremely small a fully-fledged web-enabled system of data entry and reporting may not be justified. A decision will need to be made concerning the level of complexity and computerization. In terms of data collection, a customized web-enabled system can be developed, on-line survey software (or other data collection forms) can be employed or standalone MS Access or standardized excel spreadsheets can be developed. In terms of reporting, either a customized system can be is designed or off-the-shelf reporting software can be used.

**Figure 6.2. Illustration of the Monitoring Management Information System**



Before the completion of this manual, all forms and processes will need to be reviewed to ensure they can generate each and every indicator in the results framework. Forms are paper based. Once data is collected on paper, the forms will be used to input the information into the MIS. The original paper forms, and other means of verification are maintained for accountability reasons.

Forms are a way to collect data—they are not reporting, which are a way to analyze, summarize and present data. The database will automatically undertake calculations and automatically print standard reports.

Each form contains directions. Some data collected on each form has an explanation, describing in more detail what it is. For each form, a person is assigned to fill out the form, and another is responsible for verifying and checking the form for errors. Each form contains accountability statements that the data is correct and complete and that it has been verified.



Forms follow the process described in the operations manual. Each step in the process results in the recording of data or information. Forms are linked to processes, through their numbers and titles. Table 6.3 below lists forms which have been currently developed.

**Table 6.3. Draft List of Data Collection Forms to be Revised and Completed**

Form	Description
1. Form 1A.01, Electricity Project Plan	Records each electricity infrastructure investment. Its start and finish date, budget, description, expected beneficiaries (male and female) etc.
2. Form 1A.02, Electricity Project Monitoring	For each investment, records progress to completion (level of the output, expenditures, etc.). Record procurement and contract information.
3. Form 1A.03, Annual Electricity data	Records the name of village, number of connections, estimated number of people served, estimated number of women served, days with power outages, total number of transformers, and the number of transformers having various qualities.
4. Form 2A.01, Project Outreach Meetings	Records the results of each project initiation meetings. Tracks when the meeting was, how many participants there were (total, women, youth), main results, etc.
5. Form 2A.02a, JPC Elections Meeting	This form records meetings held to elect JPC representatives. Each time a new representative is selected this form must be used again. Tracks the date of the meeting, number of participants (total, female, youth) and election results.
6. Form 2A.02b, VPC, YM and YEA Elections Meeting	As above, but records the results of village level elections (facilitators, reporters).
7. Form 2A.03a JPC Representatives	Records names and biographical details of JPC representatives. It records the date they were selected and the date their service ended or was terminated. Each time a new representative is selected, this form must be used to record the details of the new representative. Tracks if the representative is a woman or youth. Used to generate <b>Indicator (IR9)</b> Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles.
8. Form 2A.03b VPC Representatives	Records names and biographical details of VPC representatives. It records the date they were selected and the date their service ended or was terminated. Each time a new representative is selected, this form must be used to record the details of the new representative. Tracks if the representative is a woman or youth. Used to generate <b>Indicator (IR9)</b> Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles.
9. Form 2A.04, JPC Data	Collects information on the name of the JPC, the name of its current head and chief, when it completed its charter and other information.
10. Form 2A.05, Youth Monitors and Youth Energy Ambassadors	Collects information on each YM and YEA (name, age, educational background and other essential personnel information), his or her date of recruitment and date of termination. Used to generate <b>Indicator (IR9)</b> Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles.

Form	Description
11. Form 2A.06, Training for CDAs M&E forms	Records training events provided to CDA. Monitors the date of the training, number of participants (disaggregated) and other information.
12. Form 2A.07, VPC/JPC Training / Jamoat Training	Records training events provided to JPC/VPC staff. Whenever training is provided, this form is filled out. Monitors the date of the training, type of training (mentoring, training, Organizational Development, etc.), topics, number of participants (disaggregated) and other information.
13. Form 2A.08, Village Needs Assessment	Records the results of a village needs assessment (situation analysis completed by community facilitators (CDA). Monitors the date of the needs assessment, number of participants (disaggregated), etc.
14. Form 2A.09: Village Development Plans	Records the date, participants (disaggregated) and main content of village development plans, including Youth Development Chapters.
15. Form 2A.10: Annual village prioritization meeting	Records the results of village prioritizations, carried out as part of the participatory planning process. It is completed by CDAs. Monitors the date of the needs assessment, number of participants (disaggregated) and priorities of the community and women (ranked).
16. Form 2A.11: Project Plans	Records each planned project in a village, during a given year. It is completed by JPC staff. Includes type of project, budget, planned completion date, number of beneficiaries (female, youth), and various classifications (social infrastructure, poverty reducing, which are required for several indicators. Identifies whether it is a climate change project.
17. Form 2A.11b: Environmental and social impact assessment form	Records environmental safeguards information including assessment of any cumulative long-term adverse environmental impact.
18. Form 2A.12a: Project monitoring form	To ensure the quality of construction and other works under sub-projects, NSIFT envisages employment of a Supervision engineers. Community members will take part in monitoring of sub-project implementation to obtain information about the quality and timeliness of sub-project completion. Quality of works and technical sustainability thereof. Also, records progress on a quarterly basis (level of output produced, procurement and contract information).
19. Form 2A.12b: Project Procurement	Monitors contract information about the project. Data is provided by the contractor (contractor name, etc.).
20. Form 2A.12c: Contract revision form	Records the date and nature of revisions (output level, completion date, budget).
21. Form 2A.13: Project completion form	Records the result of a site visit and verification. Used to monitor when the project was completed, and contributions made.

### Activity 3 - Develop and implement surveys and evaluations

The theory of change and results framework identify result areas that should be evaluated by assessing community knowledge, attitudes and perceptions. To do so, a community perception survey will be developed. These results will be complemented by perceptions captured through community scorecards, as participants in these events are not random and results may be biased.

Sample sizes will be determined by calculating the number of respondents that may be required to: (i) conclude statistically whether an indicator's increase or decrease was statistically significant or not and (ii) to

determine whether there are statistically significant differences between control and treatment groups. Each instrument is discussed in turn.

A community perception survey will be undertaken by NSIFT on a baseline, mid-year, and end of project basis. In general, the number of questions should be kept to a minimum and surveys should be kept short. NSIFT should look for a service provider to undertake the collection of data (for example, a University) and a partner to do some of the design, sampling framework and econometric work. The community perception survey will cover the areas outlined below.

**Perceptions of the CASA1000 transmission line.** This section will establish whether citizens were and are aware of the transmission line as well as how favorably they view it. This section will compare results across different interviewees (men, women, and youth) and in light of the projects implemented. It will attempt to establish whether implementing community projects was better than receiving individual cash payments. It will not be possible to gauge the impact of community projects on perceptions of the transmission line unless some corridor of impact communities are not implementing projects (i.e. the control group).

**Livelihoods:** Ideally, livelihood changes will be measured through expenditure surveys. If this is not possible, proxy indicators may be used instead (for example whether citizens own particular assets), citizens can be asked what their monthly incomes are, or they could be asked to rate their economic situation and whether it has improved.

**Social cohesion:** Questions which indirectly measure community's perceptions of social cohesion and cooperation will be developed. This will include views of youth engagement in the community and women's empowerment.

**Subproject investments:** this section will measure respondent's awareness and knowledge of projects and satisfaction with their implementation. Provision of electricity (supply, reliability, etc.) and livelihood facilities will also be assessed (provision of services and effectiveness).

**Participation, local governance and citizen engagement processes:** This section will measure respondent's awareness of engagement processes and their satisfaction with the process, as well as impacts of capacity building and training processes. It will measure whether they participated or not. Indirectly, they will be asked whether the process led to the selection of the right project. A wide range of questions will be designed assessing all major processes in use (awareness, citizen scorecards, etc.).

The design and analysis of the *Community Perception Survey* will attempt to answer the following **evaluative questions**:

- Which groups are most impacted (women, youth, etc., i.e. differential impact)?
- What are the social impacts of implementing participatory local development projects, particularly CSP's focus on women and youth?
- Does civic engagement increase returns / improve performance (or, which processes most positively impact results?)
- How did implementing projects affect the perceptions of communities in terms of CASA1000?
- How big do projects have to be to affect perceptions?
- Which projects or processes (for example citizen engagement) most positively affect perceptions?
- Are there differences in perceptions (and actions in terms of CASA1000) amongst different community groups?

A Project Completion Report will be independently prepared at the end of the Project.

A midterm review will be carried out at the beginning of the second year of the Project to assess whether the format of the Project remains valid for assessing the progress in achieving the Project Development Objective and to propose any mitigation actions or necessary changes in the Project format. As described in this manual an MIS with a web-based reporting tool for documenting indicators, targets and implementation of key processes will be developed. A web site will be used for uploading technical reports, impact assessments and public information prepared and provided under the Project within the Component.

#### **Activity 4 - Undertake regular spot checks and supervision missions to monitor implementation**

In terms of supervision, NSIFT Head Office monitors the project activities through (i) spot-check visits to regional coordinators for community development and CDAs, jamoats, VPCs and subproject facilities; (ii) regular analysis of the data entered into MIS by CDAs and NSIFT specialists at Regional Offices, as well as the project indicators (iii) regular reports from Regional Offices.

NSIFT Regional Offices are responsible for control and monitoring of the project-financed activities at the local level, which is carried out through (i) CDAs' reports; (ii) reports from local consultants and engineers (individuals/NGOs/ private firms) engaged by Regional Offices; and (iii) regular analysis of the data introduced into the MIS by CDAs and TFPs. **Local authorities** (district, region and jamoat levels) will carry out spot-check visits to Jamoat areas and sub-project facilities and participate in transfer and acceptance of sub-project facilities.

Spot checks will be independently undertaken. They aim to:

- Verify that the information provided, is accurate and complete and that information found in the MIS will be the starting point of the visit.
- Observe various processes to ensure they comply with this manual and to ensure staff are capable and motivated to implement them.
- Observe the functioning of key institutions like JPC and VPC and livelihood facilities.
- Verify completed projects were completed according to contract and that they meet acceptable quality standards.

The disbursement of funds may depend on results of spot checks and data verification.

Internal auditing and financial management spot checks are described elsewhere and not considered an M&E activity.

#### **ESPMU role in spot checks and implementation visits.**

ESPMU specialists will monitor the project activities through (i) spot-check visits to construction sites, new 110/10 kV Isfara-1 substation jointly with village/local networks specialists and jamoats, and subproject facilities; (ii) regular analysis of the data entered into MIS by ESPMU specialists and regional coordinator as well as the project indicators (iii) regular reports from Regional specialists.

ESPMU Regional specialists and local networks are responsible for control and monitoring of the project-financed activities at the local level, which is carried out through (i) reports from local consultants and engineers (individuals/NGOs/ private firms) engaged under the project; (ii) regular analysis of the data introduced into the MIS by local consultants. **Local authorities** (district, region and jamoat levels) will carry out spot-check visits to Jamoat areas and sub-project facilities and participate in transfer and acceptance of sub-project facilities.

Spot checks will aim to the following:

- Verify that the information provided, is accurate and complete and that information found in the MIS will be the starting point of the visit.
- Observe various processes to ensure they comply with this manual and to ensure staff are capable and motivated to implement them.
- Verify completed projects were completed according to contract and that they meet acceptable quality standards.

The disbursement of funds may depend on results of spot checks and data verification.

#### **Activity 5 - Implement learning initiatives**

Learning will not “just happen” by itself. It needs to be promoted, cultivated, and encouraged through specifically designed activities and events. In this project, learning is a process of collecting experiences, verifying them, and making joint decisions to take action based on what was learnt.

The goal of these initiatives is to learn what is working, what is not and why. The process will:

- Identify challenges, together with a set of feasible actions that leads to improved performance.
- Identify successes, document them (in a series of tips and guidelines), and disseminate best practices so they are more widely adopted and replicated.
- Develop pilots and experiments to better understand key factors in determining performance.

Learning initiatives will be organized around the process of preparing semi-annual reports and annual plans / annual reports, so that lessons learned can be agreed upon and remedial actions planned and budgeted for. These reports will be used to identify what was learned and how learning will be translated into improved performance. Learning will largely take place through participatory field level monitoring exercises, where key beneficiaries and stakeholders will be extensively consulted with. Field monitoring will be undertaken with mixed teams of program managers, not just M&E staff. Very short field reports will be prepared prioritizing constraints and possible actions to take.

In addition to this:

- The Project will also promote peer-to-peer information exchange through visits and study tours (exchange visits) among village and jamoat leaders and other stakeholders in order to study the best practices experienced by JPC and VPC. Community mobilization counterparts and NSIFT field staff contribute to the identification of priorities and opportunities for arrangement of a peer-to-peer experience exchange.
- Training through an experience exchange will be an integral component of the Project. Experience exchange between NSIFT employees and counterparties will be carried out at annual meetings. Mutual enrichment with experience will also take place at other regular events organized at district and region levels. At the same time, the best practices will be shared, and the lessons learnt will be studied. NSIFT Regional Offices will also serve as the centers accumulating and disseminating practical experience gained during implementation of the Project, taking into consideration similar initiatives of other organizations and donors.

The design of the mid-term review as well as citizen perception surveys and other analytical exercises will emphasize the importance of lesson learning, in particular identifying a short set of feasible actions managers may take.

#### **Activity 6 – Prepare annual, semi-annual and other implementation reports**

The project will produce annual and semi-annual reports. These are considered essential communication instruments which build consensus amongst project implementers and key stakeholders about the direction the project has taken and will take in the future. Reports are expected to be used and actionable and to provide an opportunity for implementers to reflect and strategize. M&E is considered an input into the report, but in isolation M&E forms, tables and matrices cannot substitute for the analysis and explanation found in a report. The focus of the projects reports will be performance against annual targets and action plans and the indicators and targets of the PAD and results framework.

Reports aim to:

- Assist management to identify problems, assess progress, and take **corrective action** at an early stage. Reporting is expected to contribute towards more systematic **decision making**.
- Satisfy **accountability** requirements both within and outside NSIFT and ESPMU.
- Support an environment of transparency.
- Stir **debate** about key issues both within NSIFT/ESPMU and more broadly across all beneficiaries and stakeholders.
- Shape **organizational culture** by communicating a common story, documenting the history of the project, thus unifying opinion and contributing towards its institutional memory.

Reports will meet their objectives only if they are available, accessible, read, and understood by their audience, only if stakeholders provide feedback, and only if management takes action based on the report (where required). In reports, the content, style, and detail will be determined by the intended audience and by the frequency of the reporting process. In general, a good performance-related report should have the following features. It:

- Is readable and easily understandable; it “captures” the audience and encourages the audience’s participation.
- Provides enough background so readers can put the main results into their proper context.
- Documents the methods used in gathering data and information and drawing inferences or conclusions.
- Clearly separates the key points from the minor, secondary ones. This allows readers with different goals or different amounts of time to make better use of the report. Highlights are generally found in the main body with details and long matrices placed in an annex.
- Is analytical and evidence based; this establishes the logic of the results presented. Where recommendations are made or inferences are drawn, these need to logically flow from the data and analysis undertaken.
- Makes use of graphs or pictures to make numbers more “digestible.” (A picture tells a thousand words).
- Is truthful and accurate.
- Is structured and aligned according to the PAD and annual plans.

Annual reports will describe implementation against both the annual work plan and the results framework / implementation indicators. Annual reports will focus more on the longer-term issues confronting the project. 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 February. Its main elements will include:

- Title page, table of contents, executive summary, etc.
- 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
- Review and summarize any information on project outcomes, for example when analytical work is completed.
- Annex 1: Financial analysis, including budget vs. expenditure for all activities, summed to the subcomponent, component and project level. Financial analysis will include a procurement report and final (unaudited) balance sheet
- Annex 2: Details on the implementation of community support projects. This is likely to come from the MIS.
- Annex 3: 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 completed by the end of July each year. The structure of the report will be the same as the annual report except: (i) there is no reporting against indicators / targets; (ii) there is no reporting against project outcomes; (iii) the focus on challenges and issues is on “immediate” challenges that can be solved addressed by the end of the year; (iv) reporting on implementation is much shorter; (v) financial report is a short summary (subcomponent, component and project totals) without balance sheet or procurement reports; and (vi) annexes 2 and 3 are much shorter.

This reporting framework assumes an online MIS can be developed. As such, annual and semi-annual reports “fill in the blanks” and provide analytical details. They do not need to produce all outputs (reports) from the MIS. Annual and semi-annual reports can provide links to supporting reports which are available on line.

### **Activity 7 - Develop the M&E capacity of key program managers and implementers**

NSIFT, ESPMU is responsible for ensuring all manager and staff are capable of undertaking their M&E functions. NSIFT, ESPMU is responsible for ensuring all managers understand the theory of change and understand and own their indicators. NSIFT will collect data, monitor, oversee consultants and evaluations, and develop reports. Depending on capacity, NSIFT may benefit from periodic support, coaching, mentoring, and quality assurance.

Each year, NSIFT will identify the M&E capacity development needs of both itself and key implementers, and based on this will develop a plan of action to address capacity gaps. These actions will be budgeted for in each year’s plan.

Key indicators of NSIFT’s own M&E capacity includes: (i) % of indicators in the results framework and this manual that are reported upon in the annual report; (ii) % of MIS data entered into the database; (iii) number of downloads of key M&E analytical reports; (iv) DP satisfaction with NSIFT annual and semi-annual reports

### **6.7. Indicator Descriptions**

This section provides details on each indicator in the results framework. It is divided into PDO level indicators and indicators for each sub-component (i.e. implementation indicators).

#### **a. PDO indicators**

1. Percentage of target communities with improved access to social and economic infrastructure as a result of project support
2. People provided with new or improved electricity service (corporate results indicator)
3. Percentage of beneficiaries in target communities who report that their engagement in decision making over project investments was effective
4. Percentage of young (women and men) beneficiaries who report that their role/voice in local governance has been enhanced as a result of project support
5. Percentage of beneficiaries in target communities who report that the CSP is an effective response to the local impacts of the CASA1000 Transmission Line.

These are defined below.

<b>INDICATOR PDO.1: Percentage of target communities with improved access to social and economic infrastructure as a result of project support</b>
<b>Description:</b> This indicator measures the number of communities that received improved infrastructure under CASA1000 CSP TJK
<b>Methodology and source of information:</b> Data will be collected from number of subprojects funded under Component 2.
<b>Method of Calculation:</b> The numerator is total number of communities participating in CASA1000. Denominator is the number of communities with completed investments
<b>Frequency and reporting:</b> Annual
<b>Means of Verification:</b> None
<b>Target:</b> By the end of the project the expected value is xx%.
<b>Disaggregation:</b> data is disaggregated by Jamoat/Township

<b>INDICATOR PDO.2: People provided with new or improved electricity service (corporate results indicator)</b>
<b>Description:</b> Quantity of people with new or improved electricity service
<b>Methodology and source of information:</b> Data will be collected from number of subprojects funded under Component 1
<b>Method of Calculation:</b> <ul style="list-style-type: none"> <li>• The numerator is the number of villages where days having power outages is lower than it was in 2018 and where an electricity project has been completed</li> <li>• Denominator is number of villages where electricity improvements (projects) were planned.</li> </ul>
<b>Frequency and reporting:</b> Annual
<b>Means of Verification:</b> Official data from power supply companies.
<b>Target:</b> By the end of the project the expected value is xx%.
<b>Disaggregation:</b> data is disaggregated by gender

<b>INDICATOR PDO.3: Percentage of beneficiaries in target communities who report that their engagement in decision making over project investments was effective</b>
<b>Description:</b> This indicator measures whether community members believe they have been empowered by the CSP CDD process
<b>Methodology and source of information:</b> Data will be collected through the scorecards outlined in Subcomponent 3B. It is important that no leading or highly technical questions be asked.
<b>Method of Calculation:</b> <ul style="list-style-type: none"> <li>• The numerator is no. of Community Check Meeting participants replying “very satisfied” or “somewhat satisfied” in the community scorecard</li> <li>• Denominator is the total number of participants in the Community Check Meeting</li> </ul>
<b>Frequency and reporting:</b> Annually



<b>INDICATOR PDO.3: Percentage of beneficiaries in target communities who report that their engagement in decision making over project investments was effective</b>
<b>Means of Verification:</b> Copies of Minutes and photos of the Community Check Meeting will be kept by NSIFT with originals held by Jamoat in the case of a process audit
<b>Target:</b> By the end of the project the expected value is xx%.
<b>Disaggregation:</b> data is disaggregated by village, gender, youth

<b>INDICATOR PDO.4: Percentage of young (women and men) beneficiaries who report that their role/voice in local governance has been enhanced as a result of project support</b>
<b>Description:</b> This indicator measures whether young people in the community believe they have been empowered by the CSP CDD process
<b>Methodology and source of information:</b> Data will be collected through the scorecards outlined in Subcomponent 3B. It is important that no leading or highly technical questions be asked.
<b>Method of Calculation:</b> Youth are considered community members under the age of 35. <ul style="list-style-type: none"> <li>• The numerator is quantity of young participants Community Check Meeting participants replying “very satisfied” or “somewhat satisfied” in the community scorecard</li> <li>• Denominator is the total number of young participants in the Community Check Meeting</li> </ul>
<b>Frequency and reporting:</b> Annual
<b>Means of Verification:</b> Copies of Minutes and photos of the Community Check Meeting will be kept by NSIFT with originals held by Jamoat in the case of a process audit
<b>Target:</b> By the end of the project the expected value is xx%.
<b>Disaggregation:</b> data is disaggregated by village and gender.

<b>INDICATOR PDO.5: Percentage of beneficiaries in target communities who report that the CSP is an effective response to the local impacts of the CASA1000 Transmission Line.</b>
<b>Description:</b> This indicator measures whether citizens believe their “compensation” through community support projects was worth the impact CASA1000 may have had on their communities
<b>Methodology and source of information:</b> Data will be collected through periodic citizen perception surveys (baseline, mid-project, end of project evaluation). Instruments (and their objectives) are outlined in Activity 6.3. It is important that no leading or highly technical questions be asked.
<b>Method of Calculation:</b> A survey of randomly selected respondents will be completed. They will be asked questions about CASA1000 including whether CSPs were sufficient to compensate local impacts. They will be asked what the local impact of the transmission wires was. <ul style="list-style-type: none"> <li>• The numerator is no. of interviewees believing CSPs were effective solutions</li> <li>• Denominator is the total number of respondents</li> </ul>
<b>Frequency and reporting:</b> See activity 6.3. Likely to be baseline, mid-project, end project
<b>Means of Verification:</b> None, but the questionnaire must ensure the validity of responses
<b>Target:</b> By the end of the project the expected value is 70%.
<b>Disaggregation:</b> data is disaggregated by village, gender, youth (and any other characteristic of the respondent—for example, type of employment, level of poverty, etc.)

#### **b. Subcomponent 1A Indicators (Support for electricity improvements within target villages)**

Indicators for subcomponent 1, implemented by BT/ESPMU include:

1. Percentage of target communities with reduced power outages
2. Isfara-1 substation and surrounding infrastructure is: (i) designed and procured; (ii) constructed; and (iii) supplying electricity to target communities.

These are defined below.

<b>INDICATOR 1R1: Percentage of Target Villages with Reduced Power Outages</b>
<b>Description:</b> improved power supply is not only measured by the total level of electricity supplied, but also by the reliability of supply. Reliability is measured by the frequency of power outages, following the implementation of electricity projects.
<b>Methodology and source of information:</b> data will be collected by NSIFT from BT/ESPMU. The companies will be provided a list of all potential target villages (29) and will be asked to provide data on the <u>number of days</u> in which there were power outages in each village in each year. Each year NSIFT will identify, as part of its annual plan which villages plan to have electricity improvement projects
<b>Method of Calculation:</b> A village will be considered to have more reliable electricity supply if the number of days in which there were power outages decreases when compared to the level in 2018. The indicator will measure the cumulative % of villages where power outages in any one year is below the 2018 value. To calculate the indicator: <ul style="list-style-type: none"> <li>• The numerator is the number of villages where days having power outages is lower than it was in 2018 and where an electricity project has been completed</li> <li>• Denominator is number of villages where electricity improvements (projects) were planned.</li> </ul>
<b>Frequency and reporting:</b> Data will be collected annually. NSIFT will maintain and report upon a time series of the number of days affected by power outages for each village and each year. NSIFT will report which villages were supposed to complete electricity projects each year (the rows are the name of each village; the columns are the planned year of project completion, the actual year of project completion, the number of days affected by power outages in 2018, the number of days affected power outages in 2019, etc.)
<b>Means of Verification:</b> Data provided by the BT/ESPMU to NSIFT, on a village by village basis will be considered official data and will be used as the means of verification for levels of electricity consumption. These companies will also verify that projects have been completed.
<b>Target:</b> By the end of the project it is expected that 23 of 29 (78%) of villages will have reduced power outages when compared to 2018.

<b>INDICATOR 1R2: Isfara-1 substation and surrounding infrastructure is: (i) designed and procured; (ii) constructed; and (iii) supplying electricity to target communities</b>
<b>Description:</b> Measures whether substation implementation is progressing.
<b>Methodology and source of information:</b> data will be collected by NSIFT from BT/ESPMU. The companies will report on progress
<b>Method of Calculation:</b> A village will be considered to have more reliable electricity supply if the number of days in which there were power outages decreases when compared to the level in 2018. The indicator will measure the cumulative % of villages where power outages in any one year is below the 2018 value. To calculate the indicator: <ul style="list-style-type: none"> <li>• The numerator is the number of villages where days having power outages is lower than it was in 2018 and where an electricity project has been completed</li> <li>• Denominator is number of villages where electricity improvements (projects) were planned.</li> </ul>
<b>Frequency and reporting:</b> Data will be collected annually.
<b>Means of Verification:</b> Procurement documentation and technical monitoring reports provided by the BT/ESPMU to NSIFT will be considered official data. These companies will also verify that projects have been completed.
<b>Target:</b> All implementation steps completed by end of project.

**c. Indicators for Components 2, 3, and 4 implemented by NSIFT include:**

**Component 2: Community-Led Investments in Socio-Economic Infrastructure**

1. (IR3) % of beneficiaries in target communities who report that project investments met their needs
2. (IR4) Number of beneficiaries in target communities with improved quality of water supply as a result of

project investments

3. (IR5) Number of women's group priorities that become a functioning facility, service, or infrastructure
4. (IR6) Number of subprojects that support climate change adaptation or mitigation
5. (IR7) Number of women able to earn income as a result of project investments in kindergartens

### **Component 3: Community Mobilization, Capacity Building, and Local Governance**

6. (IR8) % of target communities effectively completing the agreed community mobilization and social accountability process
7. (IR9) Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles
8. (IR10) % of target jamoats completing agreed local governance training curriculum
9. (IR11) % of beneficiaries in target communities who report enhanced trust in local institutions as a result of specifically defined Project activities
10. (IR12) % of beneficiaries in Isfara target communities reporting that subproject investments have improved cross-border cooperation, connectivity, youth engagement, and/or safety/security

### **Component 4: Project Management, Monitoring and Evaluation, and Communications**

11. (IR13) Number of women in: (i) CDA roles, and (ii) project staff roles in the project implementation team
12. (IR14) % of target communities where community monitoring is contributing to Project M&E
13. (IR15) % of target communities demonstrating an understanding of CSP objectives and parameters

These are defined below.

<b>INDICATOR 1R3: Percent of beneficiaries in target communities who report that project investments met their needs</b>
<b>Description:</b> Measures whether investments responded to the priority needs of the community
<b>Methodology and source of information:</b> Community scorecards under Subcomponent 3B
<b>Method of Calculation:</b> <ul style="list-style-type: none"> <li>• The numerator is number of Community Check Meeting participants that reported satisfactory or above</li> <li>• Denominator is total number of Community Check Meeting participants</li> </ul>
<b>Frequency and reporting:</b> Data will be collected annually.
<b>Means of Verification:</b> Minutes of the Community Check Meeting will be copied and kept on record by NSIFT.
<b>Target:</b> 70% by end of project.

<b>INDICATOR 1R4: Number of beneficiaries in target communities with improved quality of water supply as a result of project investments</b>
<b>Description:</b> Quantifies the beneficiaries of improved quality of water supply. Tracks the gender gap re services.
<b>Methodology and source of information:</b> Sub-project proposals and village population data
<b>Method of Calculation:</b> <p>Technical review and verification of baseline and endline male/female population</p>
<b>Frequency and reporting:</b> Data will be collected annually (starting Year 2).
<b>Means of Verification:</b> Proposals for the subproject investment with estimated beneficiary numbers will be copied and kept on record by NSIFT.
<b>Target:</b> 10,000 people by end of project.

<b>INDICATOR 1R5: Number of women's group priorities that become a functioning facility, service, or infrastructure</b>
<b>Description:</b> While it is expected the selection of projects is in line with community priorities, it is also expected project selection is in line with and consistent with the priorities of key community sub-groups, in this case women. It is expected that participatory planning processes will identify the priorities of women (separate from men). To measure whether project selection is responsive, a process of project ranking will be designed and implemented (which records women's priorities). This indicator measures the degree to which selected projects are aligned to women's priorities.
<b>Methodology and source of information:</b> data will be compiled by NSIFT following the approval of each project, using data provided by each village. It is expected a database will be established so villages can enter project planning and implementation data (at each step of the planning process). Data will include a list of women's priorities from the Focus Group Discussion (by sector or classification) as well as the project selected (by sector or classification). Based on this, an assessment can be made whether the approved project was the same as women's first priority (for example, road, kindergarten, health project, etc.)
<b>Method of Calculation:</b> The indicator counts the number of villages where the type of project approved is the same as women's first priority. If it is the same, it counts as 1; if it is different it counts as 0.
<b>Frequency and reporting:</b> Data will be collected annually and will be provided when each project is agreed upon (approved). In reporting a list can be provided consisting of the name of each village (the row) with columns of (i) women's first priority, (ii) the type of project approved, and (iii) whether they matched (yes or no).
<b>Means of Verification:</b> Meetings of the FGD with ranked prioritization list will be copied by the CDA and kept on file at NSIFT
<b>Target:</b> 72 by the end of the project
<b>Disaggregation:</b> data is disaggregated by village and project

<b>INDICATOR IR6: Number of subprojects that support climate change adaptation or mitigation</b>
<b>Description:</b> Some projects will address climate change and others will not. Climate change is considered a cross cutting issue.
<b>Methodology and source of information:</b> criteria will be developed to assess whether a particular project addresses climate change adaptation or mitigation. This will be recorded during the planning stage (for each project). This information will be self-reported by each village in a project planning database.
<b>Method of Calculation:</b> Completed subprojects will be evaluated against the climate change criteria
<b>Frequency and reporting:</b> Data will be collected annually and will be provided when each project is agreed upon (approved). In reporting a list can be provided consisting of the name of each village and each project (the row) with columns of (i) does the project address climate adaptation (yes, no), and (ii) does the project address climate mitigation (yes, no), (yes or no). The planning manual will describe the criteria for making this assessment
<b>Means of Verification:</b> Project proposals will be kept on file by NSIFT
<b>Target:</b> 20 by the end of the project
<b>Disaggregation:</b> data is disaggregated by village and project, and can separate cases of adaptation and cases of mitigation

<b>INDICATOR 1R7: Number of women able to work as a result of project investments in kindergartens</b>
<b>Description:</b> Measures if women are able to work as a result of project investments in kindergartens
<b>Methodology and source of information:</b> Sub-project proposals and community monitoring

<b>INDICATOR 1R7: Number of women able to work as a result of project investments in kindergardens</b>
<b>Method of Calculation:</b> Technical review and verification of subproject beneficiary and staffing description followed up by questions during Community Checklist Meeting
<b>Frequency and reporting:</b> Data will be collected annually (starting Year 2).
<b>Means of Verification:</b> Proposals for the subproject investment with estimated beneficiary numbers will be copied and kept on record by NSIFT.
<b>Target:</b> 70 women by end of project.

<b>INDICATOR 1R8: % of target communities effectively completing the agreed community mobilization and social accountability process</b>
<b>Description:</b> Tracks if communities are following defined procedures by location
<b>Methodology and source of information:</b> PIU field reports; minutes/photos of community meetings; community scorecards/audits
<b>Method of Calculation:</b> Technical review and verification of documents
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Documentation generated by the communities will be copied and kept on record by NSIFT.
<b>Target:</b> 80% by end of project.

<b>INDICATOR 1R9: Total number of women engaged in: (i) Village Project Committees, (ii) Jamoat Project Commissions, (iii) social accountability roles</b>
<b>Description:</b> Measures progress against 50% women targets at community/Jamoat level
<b>Methodology and source of information:</b> Membership lists for VPCs, JPCs, CMC, and energy efficiency focal points. Count women participants in membership lists
<b>Method of Calculation:</b> Technical review and verification of documents
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Documentation generated by the communities will be copied and kept on record by NSIFT.
<b>Target:</b> 520 women by end of project.

<b>INDICATOR 1R10: % of target jamoats completing agreed local governance training curriculum</b>
<b>Description:</b> Measure progress of training and capacity building activities for target jamoats
<b>Methodology and source of information:</b> Progress reports, Minutes and evaluations of jamoat training sessions Numerator is number of jamoats completing all courses Denominator is number of all Jamoats in 26 Jamoats/Townships
<b>Method of Calculation:</b> Review of participant lists, minutes, and evaluations of project training sessions for jamoats will be used to identify how many completed all courses.
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Documentation generated by the TFP will be copied and kept on record by NSIFT.
<b>Target:</b> 90% of Jamoats by end of project.

<b>INDICATOR 1R11: % of beneficiaries in target communities who report enhanced trust in local institutions as a result of specifically defined Project activities</b>
<b>Description:</b> Measures improvements in trust in local institutions attributed to different project activities: (i) community mobilization; (ii) social accountability; (iii) youth activities; and/or (iv) investments (gender/age/location disaggregated).
<b>Methodology and source of information:</b> Community scorecards under Subcomponent 3B in all areas
<b>Method of Calculation:</b> The numerator is number of Community Check Meeting participants that reported satisfactory or above Denominator is total number of Community Check Meeting participants
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Minutes and scorecard of the Community Check Meeting will be copied and kept on record by NSIFT.
<b>Target:</b> 60% of total/women by end of project.
<b>INDICATOR 1R12: % of beneficiaries in Isfara target communities reporting that subproject investments have improved cross-border cooperation, connectivity, youth engagement, and/or safety/security</b>
<b>Description:</b> Measures impact of investments in border region (gender/age disaggregated).
<b>Methodology and source of information:</b> Community scorecards under Subcomponent 3B conducted in Isfara target communities.
<b>Method of Calculation:</b> The numerator is number of Community Check Meeting participants in Isfara communities that reported satisfactory or above Denominator is total number of respondents
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Minutes and scorecard of the Community Check Meeting will be copied and kept on record by NSIFT.
<b>Target:</b> 30% of total/women by end of project.
<b>INDICATOR 1R13: Number of women in: (i) CDA roles, and (iii) project staff roles in the project implementation team</b>
<b>Description:</b> Measures progress of gender action plan commitments to increase number of women in project team.
<b>Methodology and source of information:</b> Project implementation team contracts/hires
<b>Method of Calculation:</b> Review of lists/contracts for each category
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Personnel records held by NSIFT relate to financial management and are considered official.
<b>Target:</b> 34 women by end of project.

<b>INDICATOR 1R14: % of target communities where community monitoring is contributing to Project M&amp;E</b>
<b>Description:</b> Measures whether community scorecards/social audits are tracking progress and improving processes
<b>Methodology and source of information:</b> Community Check Meeting Minutes under Subcomponent 3B.
<b>Method of Calculation:</b> Numerator is number of communities that utilized scorecard/audit results to make adjustments to their village decisions Denominator is total number of target communities
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Community Check Meeting Minutes will be copied and kept on record by NSIFT.
<b>Target:</b> 70% by end of project.

<b>INDICATOR 1R15: % of target communities demonstrating an understanding of CSP objectives and parameters</b>
<b>Description:</b> Measures effectiveness of CSP communications materials and awareness building
<b>Methodology and source of information:</b> Community scorecards under Subcomponent 3B
<b>Method of Calculation:</b> The numerator is number of Community Check Meeting participants that reported satisfactory or above on these questions Denominator is total number of Community Check Meeting participants
<b>Frequency and reporting:</b> Data will be collected annually
<b>Means of Verification:</b> Minutes and scorecard of the Community Check Meeting will be copied and kept on record by NSIFT.
<b>Target:</b> 80% of total/women by end of project.

## **CHAPTER 7: ENVIRONMENTAL AND SOCIAL SAFEGUARDS**



## CHAPTER 7: ENVIRONMENTAL AND SOCIAL SAFEGUARDS

### 7.1. Introduction

The Community Support Project (CSP) has triggered several World Bank safeguards policies: OP/BP 4.01 Environmental Assessment and OP/BP 4.12 Involuntary resettlement and the OP 7.50 on International Waters. In this section, the process, procedures and actions to be followed in applying these policies are explained. From safeguards risk perspective, the CSP has been classified as Category B (moderate) in accordance with the Bank's Operational Policy on Environmental Assessment (OP/BP 4.01) due to proposed rehabilitation and construction activities are not anticipated to cause any irreversible social and environmental impacts. However, if the environmental and social screening process (described below) were to determine that any proposed sub-project should be designated as Category A (high risk-which could cause serious adverse environmental and social impacts including destructions to natural habitat, physical displacement and resettlement to large number of persons), that sub-project will not be eligible for financing under the project.

The interventions proposed under this project would not trigger full Environmental and Social Impact Assessment under the Tajik laws neither under World Bank policies. The type of expected environmental impacts are localized in nature and can be adequately addressed through environment permits and good construction practices, in the case of World Bank policies, through site-specific limited Environmental Assessments (in the case of construction on new sites) or simply just through implementation of site-specific environmental and social management plans (ESMPs) (in the case of extension or reconstruction). An **Environmental Social Management Framework (ESMF)** for the Project has been prepared and it provides environmental screening procedures, the nature of ESA or ESMP which should be prepared for new construction, rehabilitation or extension, and environmental issues must be addressed and ensured through a series of local permits, through constructor contracts, through site supervising engineer oversight, through the local (Hukumat) requirements, and through oversight and coordinated by the ESPMU and NSIFT.

In addition to ESMF, a Resettlement Policy Framework (RPF) for the project also has been prepared to guide the staff to address risks and adverse impacts related to land acquisition and resettlement. RPF is a legally binding document which the NSIFT and ESPMU are responsible to ensure that any land acquisition, including physical or economic displacement, associated with a sub-project complies with the World Bank's Operational Policy on Involuntary Resettlement (OP 4.12). The overall objective of the Bank's OP 4.12 is that displaced/ affected persons should be assisted in their efforts to maintain or improve their livelihoods and standards of living, at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher. The policy requirements and procedures are outlined the Resettlement Policy Framework (RPF), and it is necessary to prepare appropriate instruments such as Abbreviated Resettlement Action Plans or RAPs based on the social screening outcomes. All safeguards instruments must be prepared in consultation with project affected persons (PAPs) and to be reviewed and cleared by the World Bank prior to commence civil works.

Although no specific subprojects have been identified yet, that may cause high social risk, a Social Due Diligence Review (SDDR) was conducted for the development of Vahdat Township of Isfara district, Tajikistan during the preparation stage to assess whether the Vahdat Township development is an associated/linked activity under the OP.4.12. The SDDR findings showed that people being relocated do voluntarily willing to move to the new location, and no forceful (involuntary) evictions were observed or recorded. The relocation mostly covers the second generation of the households being offered new land

plots to construct their own houses<sup>12</sup>. Nevertheless, the Vahdat township development process should be closely observed during the Isfara substation interventions and ESMP need to be prepared outlining potential social and environmental risks and appropriate mitigation measures.

Although the Bank policy on OP 7.50 (International Waters) is triggered, no further actions in regard to subproject that would have impacts on International Waters are needed, - the proposed rehabilitation of on-farm irrigation and rural water supply and sanitation subprojects are expected to involve only rehabilitation of existing networks within the original boundaries and design parameters of the irrigation and water supply and sanitation schemes. No new abstraction is expected. Respectively the project will not adversely change the quality or quantity of water flows to the other riparian and it will not be adversely affected by the other riparian. Consequently, an exception to the external notification requirements of OP 7.50, set forth in paragraph 7(a) for the project has been obtained from VPU on December 12, 2018.

## 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 that must be taken to prevent or minimize the potential negative impacts that could damage the human and 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 CSP are not significant or irreversible and can be prevented or reduced through appropriate mitigation measures.

Under the Tajik law, all activities under CSP are subject to review by Department on State Ecological Expertise of the Committee on Environmental Protection. ESPMU and NSIFT will be responsible for ensuring compliance with the Tajik environmental legislation. The key elements involved in the Environmental Assessment process and documentation in the CSP are listed below and described in details.

The summary of the steps and activities to be undertaken to conduct the EIA for subprojects is presented below in Tables 7.1 and 7.2.

**Table 7.1. ESPMU Conducting ESIA for Component 1: Support for Rural Electricity Supply Improvements**

Step 1	a) BT in cooperation with the local public authorities identify and prepare subproject proposal; b) The subproject passes the screening and the ESPMU completes <i>Section 1</i> of the Environmental Screening table; c) Based on environmental category the ESPMU decides which type of ESIA to be conducted (in the case of replacing old transformers); Notes: for replacing old transformers and for rehabilitation of the electrical substation, before completing the ESMP Checklist, Barqi Tojik is conducting sampling on PCBs.
Step 2	a) For subprojects on replacing old transformers and rehabilitation of SSS a field visit is organized which informs the completion of the ESMP Checklist. b) For Category C no other EA activity is required and the subproject beneficiaries and contracting companies are following the well-known health and safety requirements for civil works.
Step 3	BT prepares an ESMP and if needed, conducts ESIA and prepares an ESMP Notes: a) Category B projects which presume rehabilitation of electrical substations are a subject of the State

<sup>12</sup>No forced evictions or measures were taken either by central or local government to relocate people, as this is a part of activities implemented by the local government to improve housing conditions of dense-populated areas.

	Ecological Expertise. b) The contents and description of the ESMP Checklist for rehabilitation of electrical substations are presented in the Annex 9 of the ESMF.
Step 4	For Category B subprojects Barqi Tojik organizes disclosure of the draft ESMP Checklist and organizes a public consultation, involving NGOs, community representatives, affected groups, etc. Formal minutes will be prepared to record inputs provided by the participants. <i>Notes:</i> In the case of rehabilitation of existing electrical substations located beyond the borders of a locality Barqi Tojik will organize the ESMP Checklist disclosure with a virtual public consultation;
Step 5	The ESMP Checklist for rehabilitation of electrical SSs will be submitted for the review and clearance to the State Ecological Expertise. <i>Notes:</i> Category C subprojects do not require prior review by the SEE or the ESPMU. The ESPMU will regularly supervise the implementation of the ESMF for these subprojects on an ex post basis.
Step 6	a) The subproject applicant will submit the full set of environmental documents for consideration and further decision on funding; b) Upon approval of sub-projects, the ESPMU will complete subproject appraisal and proceed with signing of the financing agreement with respective sub-project beneficiaries.
Step 7	BT organizes ESMP implementation and conducts periodical supervision, monitoring and reporting, as per agreed monitoring plan

**Table 7.2. NSIFT Conducting ESIA for Component 2: Community-led Social and Economic Infrastructure Investments**

Step 1	a) NSIFT or FPs (engineers or technical specialists) 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, NSIFT specialists assist Jamoat Project Commissions or VPC 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 is determined– (either a partial ESIA or an ESMP); d) The results of the screening, including potential negative impacts and possible measures to mitigate impacts, are presented to community representatives during subproject prioritization meetings held at the Jamoat level.
Step 2	a) If the subproject requires a complete ESIA and ESMP it should be referred to NSIFT or FPs for further action. b) For <i>Category B and Category C subprojects</i> , NSIFT or FPs specialist notes potential environmental risks and indicates how they will be prevented/mitigated in the Environmental Screening Table
Step 3	a) If the subproject is selected for funding, NSIFT or FPs specialists assist JPC or VPC to prepare the ESIA and ESMP or ESMP Checklist <i>Notes:</i> 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;
Step 4	NSIFT or FPs assist Jamoat Project Commissions or VPCs to organize its disclosure of the draft partial EIA or ESMP Checklist and organizes a public consultation, involving NGOs, community representatives, affected groups, etc. Formal minutes will be prepared to record inputs provided by the participants.
Step 5	Jamoat Project Commissions or VPCs can proceed to implementation once the partial ESIA, ESMP or ESMP Checklist, is completed and updated based on community consultations.
Step 6	a) The subproject applicant will submit the full set of environmental documents for consideration and further decision on funding; b) Upon approval of sub-projects, NSIFT or FPs will complete subproject appraisal and proceed with signing of the financing agreement with respective sub-project beneficiaries.
Step 7	The jaomat/mahalla conducts periodical supervision, monitoring and reporting, as per agreed monitoring plan.

### 7.3. Social Safeguards

Social Safeguards actions are mainly related to land acquisitions and resettlement impacts under the project. The social mitigations actions also require actions to avoid inconvenience to the people, disruptions to livelihood and access restrictions in use of public utilities/institutions during construction/rehabilitation period if any subprojects. Following requirements of OP 4.12 must be addressed:

- Avoid and or minimize private land acquisitions;
- Minimize 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 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 transition
- 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

The Resettlement Policy Framework (RPF) agreed upon between the Government of the Republic of Tajikistan and the World Bank clarifies the land acquisition and resettlement principles together with organizational arrangements under the CSP. The zone of impact of subprojects cannot be determined in advance because the site locations and designs of new construction included under interventions are not yet finalized. There could be three types of civil works associated with construction under the Project: (i) extension / construction 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) 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 main document providing guidelines for identifying and managing such impacts covered under the Bank Operational Policy (OP) 4.12 on Involuntary Resettlement is the **Resettlement Policy Framework (RPF)** (see Annex 7.1). 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 cleared by the World Bank. The final version was disclosed in-country on December 19, 2018 on the NSIFT's websites [[www.nsift.tj/en/news/news/item/119-CASA1000-community-support-project-resettlement-policy-framework-rpf](http://www.nsift.tj/en/news/news/item/119-CASA1000-community-support-project-resettlement-policy-framework-rpf)].

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

**Environmental and Social Assessment.** ESPMU and NSIFT will be responsible for preparation of all environmental and social safeguards instruments and other relevant documentation as necessary. Specifically, because during the time of the project Appraisal by the World Bank, specific community support investments were not identified, ESPMU together with the NSIFT have developed an Environmental and Social Management Framework (See Annex 7.2) 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 Tajikistan 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 EMF, ESPMU and NSIFT will be responsible for conducting a site-specific environmental assessment and manifest it in the sites-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 ESPMU and NSIFT; 1) Environment and Social Screening of selected subprojects; 2) Public consultations with stakeholders; and 3) Preparation of safeguards documents.

#### a. Environment and Social Screening

NSIFT and the Facilitating Partners, working with communities will carry out the environmental and social screening of selected subprojects in each jamoatto determine the appropriate extent and type of Environmental Assessment, as well as which of the World Bank's Policies will be triggered. 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 CSP, Category A projects with such impacts will be rejected 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 CSP.

**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 projects that could be considered for CSP support.

The initial screening for the eligibility of the subproject will be based on the list of excluded activities (see Table 1 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 3 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 *Annex 4 of the ESMF*.

Table 7.3 provides guidance on the various types of activities that could be proposed for CSP subprojects, as well as the different environmental categories and suggested EA instruments for each of them.

**Table 7.3. Screening of Categories for Proposed Types of Subprojects**

No.	Project activity	Proposed Category	Remarks	Proposed EA instrument/Mitigation Plans
<b>A. ESPMU Electricity Supply Improvements Subprojects</b>				
1	Replacement of existing supply-level transformers	C/B	In the case the transformer's oil contains PCBs, the project will be cat B.	The initial step in subproject EA is oil sampling and conducting its express analysis. In the case the PCBs will be identified, then a simple ESMP should be prepared which would specify measures for storage and disposal of these substances, as well as safety measures, that should be prepared and approved by the subproject beneficiary and environmental authorities.
2.	Installation of new supply-level transformers	C		The contract provisions should specify labor safety rules and that the new transformers do not have oil containing PCBs
3	Installing new lines and poles and replacing old ones	C		The contractors should ensure labor safety issues and provide before starting the civil works special EHS training. Contractor should establish GRM systems for public information.
4	Constructing/rehabilitation of 110/10 distribution	B		EMP Checklist for rehabilitating the electrical substations. Before preparing the ESMP Checklist,

No.	Project activity	Proposed Category	Remarks	Proposed EA instrument/Mitigation Plans
	substation (installing transformers/disconnectors, relay protection, telecommunication devices, etc)			it is necessary to conduct oil sampling and its express analysis. In the case the PCBs will be identified, then the ESMP should be complemented with a special section that would specify measures for storage and disposal of these substances, as well as safety measures, that should be prepared and approved by the subproject beneficiary and environmental authorities. In case of any impacts related to OP.4.12, an abbreviated RAP to be prepared outlining mitigation measures to minimize adverse social impacts.
5	Replacing wooden poles and wires,	C		The contractors should ensure labor safety issues and provide before starting the civil works special EHS training. Public consultation/information sharing prior to the work begin.
<b>B. Energy Efficiency Subprojects</b>				
6	Implementation of clean efficient heating stoves or solar powered cookers	C		Potential impacts are associated mostly with the indoor and outdoor air pollutions, which are short term and site specific and will be mitigated by recommending, based on an initial study, actions for improving the individual stoves performance or new, more energy efficient type of stoves. Information leaflets shared and public consultations prior to commence civil work.
7	Installing of street lighting (including solar-powered systems)	C		The contractors should ensure labor safety issues and provide before starting the civil works special EHS training.  Public consultation/information sharing prior to the work begin.  GRM at local level to loge public concerns or complaints.
8	Small renewable energy elements (solar powered PVs, or solar powered water heaters/collectors, heat pumps)	C		The contractors should ensure labor safety issues and provide before starting the civil works special EHS training
9	Energy conservation subprojects (insulated doors, windows in schools, kindergartens and medical centers)	C/B	In the case of hazardous materials will be founded (asbestos containing material) or lead containing paints to be replaced.	For Category C subprojects – the contractors should ensure labor safety issues and provide before starting the civil works special EHS training; for Category B – prepare ESMP Checklist.  Public consultation/information sharing prior to the work begin.  GRM at local level to loge public concerns or complaints.
10	Energy efficient water pumps	C		The contractors should ensure labor safety issues and provide before starting the civil works special EHS training

No.	Project activity	Proposed Category	Remarks	Proposed EA instrument/Mitigation Plans
<b>C. NSIFT Community Socio-Economic Infrastructure Subprojects</b>				
11	Access to water supply for drinking (replacement of water pipes; building new water supply network; building of small water intake; construction of overhead water tanks)	C/B	In the case of building of a new water supply network and new water intake – Category B/ In case of replacing old pipes; rehabilitating existing water intakes or construction of overhead tanks – Category C.	For Category B subprojects – simple ESIA and ESMP/or ESMP Checklist.  In case of any impacts related to OP.4.12, an abbreviated RAP to be prepared outlining mitigation measures to minimize adverse social impacts.  Public consultation/information sharing prior to the work begin.  GRM at local level to loge public concerns or complaints.
12	Access to water for irrigation and agriculture (rehabilitation of on farm irrigation infrastructure; cleaning of on-farm and drainage channels; rehabilitation of pumping stations and vertical drainage wells repairs)	B		Simple ESMP  Public consultation/information sharing prior to the work begin.  GRM at local level to loge public concerns or complaints.
13	Rehabilitation of kindergartens and schools, roads, footpaths and bridges, and sports/social facilities	B		ESMP Checklist  Public consultation/information sharing prior to the work begin.  GRM at local level to loge public concerns or complaints.
14	Economic infrastructure, such as small-scale storage and/or processing facilities for horticultural products;	B		ESMP Checklist for small storages and simple ESIA and ESMP for new processing facilities for horticultural products.

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 to 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 CSP 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 ESPMU for Component 1, NSIFT for Component 2A and Facilitating Partner for Component 2B have the obligation to prepare site specific instruments during the subproject preparation phase. This can be an ESMP, ARAP, RAP or any other due diligence report that describes potential social and environment and social impacts and mitigation measures proposed. Each of these documents have specific topics and subjects and the contents outline of the documents are available in the framework documents (ESMF and RPF) prepared and disclosed under the project. The Tajik legislation provides for a list of projects for which a “Full Environmental and Social Impact Assessment” is required (Annex 3 of the ESMF).

For Category B projects an Environmental and Social Impact Assessment (ESIA) (see ToRs for such study presented in the *Annex 6 of the ESMF*) 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 7 of the ESMF* with the format of the ESMP) or ESMP checklist (see *Annex 8 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.

To address potential environmental and social impacts in the case of rehabilitation of electrical substations it is proposed to use an ESMP Checklist, which was designed for a project in Tajikistan and which is fully applicable for the similar works in Tajikistan (see *Annex 8 in the ESMF*). The ESMP Checklist has three sections: (a) *Part 1* constitutes a descriptive part (“site passport”) that describes the project specifics in terms of physical location, the project description and list of permitting or notification procedures with reference to relevant regulations. Attachments for additional information can be supplemented if needed; (b) *Part 2* includes the environmental and social screening in a simple Yes/No EMS format as well as specifies mitigation measures; and (c) *Part 3* is a monitoring plan for activities carried out during the rehabilitation activities.

When receiving subproject proposals from JPC, ESPMU/NSIFT/FPs reconciles with the list of projects submitted and rejects the subprojects listed in the list of Non-Eligible Activities for CSP Subprojects.<sup>13</sup> ESPMU/NSIFT will also be guided by the principles of risk assessment in the final decision on the project, i.e. even if there is no such activity in the list, ESPMU/NSIFT can consider that it is too risky for financing. Thus, upon the end of selection, only those subprojects that require a brief environmental and social impact assessment or develop a mitigation plan are received for consideration (a part of ESMP).

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

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<sup>13</sup>List of Non-Eligible Activities for CSP Subprojects, page 10, final ESMF

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 municipalities are responsible to place a copy of the approved ESMP/ARAP/RAP in a public place or building which local community has free access to. In addition, ESPMU/NSIFT will post the approved ESMPs on its official websites. The places of public disclosure of RAP(s) will be BT and NSIFT' official websites, offices of local authorities, local communities, etc., as well as the WB website. ESPMU/NSIFT is also responsible for including all construction related ESMP/RAPs measures in bidding documents that will be distributed to bidders for construction contracts.

**Ensuring labor safety during oil testing and handling of transformer PCBs.** As specified in the ESMF while replacing old transformers it is possible to find oil/equipment contaminated with Polychlorinated Biphenyls (PCBs). These substances are very harmful for the human health and the environment and per Stockholm Convention it is forbidden: (a) to produce, import and trade PCBs; (b) re-use and process PCB waste; and (c) re-fill PCB equipment. Furthermore, the existing PCBs and all equipment contaminated with PCBs have to be eliminated in an environmentally sound manner without producing hazards for humans or the environment until 2025. Respectively, while handling transformer oil it is necessary to (i) identify if the oil is contaminated with the PCBs and (b) if identified, the PCBs must be removed and stored by obeying the internationally recognized safety rules. All these, including safety rules while sampling and identifying PCBs are in details presented in section 7.3 of the ESMF and must be applied during replacement of old transformers. The major responsibilities in this regard are assigned to Barqi Tojik PMU.

### c. Public Consultation

Public Consultations is an integral part of safeguards planning and implementation. ESPMU/NSIFT will be responsible for organizing and conducting at least one public consultation with the people and community groups affected by the activity prior to completion of the ESMP. Usually, these groups consist of people living near the activity site and any local 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/social issues they feel may develop during activity implementation. *Any legitimate issues raised through the public consultation* should be included in Minutes of Meeting of the public consultation and which should be a part of the ESMP for particular project sites and part of the ESMF document for the project as a whole.

For subprojects related to the rehabilitation of electrical substations, as the proposed activities will be implemented on existing, well fenced areas, which usually are located outside of the settlements or which have clear designed sanitary zone of 100 meters, although there is no need for a special public hearing regarding the ESMP, the project beneficiary should provide information to all interested parties about the civil works and electrical stations renovation activities by installing a notice plate placed at the rehabilitation. Furthermore, other specific information related to the project activities and EA should be also publicly available on-line on the project website or BT website. Based on that the public consultation can be done virtually receiving relevant questions/proposals on-line and taking them into consideration while finalizing the substations ESMPs. Similarly, in the case of ESMP Checklist for rehabilitation of existing facilities, the public consultation can be done virtually, as in the case of rehabilitating electrical stations.

During the public consultations, the ESPMU/NSIFT together with local implementing partners should explain the subproject scope, potential impacts, suggested mitigation measures and avenues for the

public to participate in and engage with the project activities. Public consultations are normally conducted as a meeting. However, there are other methods of holding public consultations such as questionnaires, video conferences and other as relevant. The key characteristic of public consultation is that it is a *two-way flow of information*: activity originators describe their activities to local communities, and local communities ask questions or raise their concerns in return. Public consultations should be recorded and the key outcomes including suggestions and recommendations from the stakeholders should be included in the safeguards instruments (ESMP, A-RAP and/or RAP).

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

Implementation of safeguards instruments as per the plans is equally important. The environment and social staff of the ESPMU/NSIFT require to coordinate with local agencies including contractors and supervise the implementation of environment and social mitigation measures. During activity implementation, ESPMU/NSIFT will be fully responsible for overall supervision to ensure that all measures listed in the ESMF are complied with as required. In cooperation with the district Hukumats and JPCs, ESPMU/NSIFT will conduct environmental monitoring during both construction and operational phases in accordance with the Monitoring Plan to be developed in accordance with Attachment 3 of ESMP in Annex 7 of the ESMF.

Construction contractors selected/appointed by the ESPMU/NSIFT/FPs (Component 1 and Category B subprojects under Component 2) (or by JPC/VPCs) will be responsible for implementing ESMPs for respective subprojects, and ensuring that there is compliance with environmental and social safeguards regulations throughout the construction period. All contractors will be required to reflect environmental guidelines in their financial bids and contracts for individual subprojects and to use environmentally acceptable technical standards and procedures during construction of works. Payments to contractors will be contingent on the final inspection, with particular attention to the requirement of restoring the site to its original condition upon completion of rehabilitation activities. Additionally, contract clauses shall comply with national regulations on energy efficiency, construction, health protection, and safeguard laws and rules on environmental protection. The relevant implementing partner will assist JPCs or VPCs to monitor contractor compliance.

If approved, there will be periodic supervision of Category B subprojects by the ESPMU/NSIFT/FPs and by local ecological/environmental inspectors as needed. The ESPMU/NSIFT/FP 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 ESPMU/NSIFT/FP 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.

If Project Supervision Consultants (PSCs) are employed by the ESPMU/NSIFT/FP Jamoat Project Commission, they will supervise construction works on subproject sites and will be familiarized with subproject ESMPs so that they can ensure that the construction contractors adhere to the same. If there are deviations in ESMP implementation, these Consultants will bring it to the notice of the ESPMU/NSIFT/FP and then the World Bank. In the case of non-compliance with environmental and social requirements and mitigation measures, the ESPMU/NSIFT/FP and local ecological/environmental construction inspectors will investigate the nature and reason(s) for non-compliance, and determine and communicate steps that would need to be taken to bring activities into compliance, or whether financing should be suspended.

As part of its environmental and social monitoring activities, the ESPMU/NSIFT/FP will conduct random inspections of project sites to determine the effectiveness of measures taken and the impacts of sub

project activities on the surrounding environment. The ESPMU/NSIFT/FP are also responsible for processing, addressing and monitoring complaints and other feedback, including that on environmental and social issues.

The ESPMU/NSIFT/TFP 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 CSP related as grievances/feedback that was received, that has been addressed and that may be pending.
- 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 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 CSP implementation: (a) Barqi Tojik; (b) the State Unitary Enterprise "Energy Sector Project Management Unit" (ESPMU); (c) NSIFT; (d) Jamoat Project Commissions; and (e) Mahalla Committees. Other relevant stakeholders include: Government's Committee for Environmental Protection (CEP), companies contracted by the ESPMU, Jamoat Project Commissions, or Mahalla Committees to provide goods, works, and services.

*Barqi Tojik* will delegate Project implementation responsibilities for Component 1 to the ESPMU. *Barqi Tojik's* role will focus on: (a) identifying village-level power supply needs and needs for 110/10kV SS in Vorukh and (b) operating and maintaining power supply infrastructure after it is procured and installed by the ESPMU.

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

- Environmental screening and evaluation of subproject eligibility from the environmental point of view
- Communication and coordination with EA competent authorities (Committee on Environmental Protection)
- Ensuring proper implementation of the ESMP and ESMP Checklist requirements during the subprojects' realization
- 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.

The ESPMU will directly perform these functions for Component 1 investments. For Component 2, 3 and 4 NSIFT will take a responsibility, including for subprojects' environmental and social screening and evaluation. This will be done by engineers/technical specialists employed by the NSIFT. The NSIFT will conduct regular supervision of safeguards screening, documentation, and mitigation measures for Component 2, 3 and 4 activities, and include the summaries of these supervision activities in its regular reports. In a number of target areas – as will be described in the Project Operations Manual, NSIFT will delegate this role to NGO Facilitating Partners.

*NSIFT (or the NGO Facilitating Partner)* will be responsible for:

- Providing training and capacity building support to Jamoat Project Commissions on safeguards implementation and compliance
- Involving and providing inputs in conducting environmental screening and evaluation during the design process
- Informing Jamoat Project Commissions and community representatives with information on options and alternatives to mitigate social and environmental risks identified
- Assisting Jamoat Project Commissions to prepare and implement ESMP checklist requirements and provide this and related documentation to the NSIFT as it conducts its regular supervision activities, prepares reports on environmental impacts, and other related tasks.

For Component 2 investments, NSIFT will support disbursements of subgrants and oversee sub-project implementation, conduct community mobilization and local capacity building, and contract facilitating partner(s) for the implementation of selected corridor and Isfara target areas. Coordinating with BT/ESPMU on Component 1, NSIFT will be responsible for M&E and communications. NSIFT responsibilities will include overall compliance with the provisions of the operations manual, including social and environmental safeguards compliance, the procurement of goods/works/services, oversight and capacity building for management of subprojects, consultancy services for technical assistance and institutional support, communications and outreach, capacity development of all project stakeholders, monitoring and evaluation, and consolidated reporting. NSIFT will carry out day to day project management and in coordination with BT/ESPMU, all necessary coordination with Regions and districts.

The GoT'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 (region), city and District (district) level, in the form of Departments of Environmental Protection (DEPs), within the Hukumat (local administration) at each city or District. A small unit in the Committee is entrusted with guiding and managing the preparation of ESIA's and SEEs.

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

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

The implementation schedule of each safeguards plan must be agreed between ESPMU/NSIFT and participating municipalities (Hukumats, 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, ESPMU/NSIFT 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 and indicated in the OP 4.12. In case of physical/economic displacement and resettlement, the project will prepare a budget as part of the RAP and will finance this budget through the administrative and financial management rules and manuals like any other activity eligible for payment under the program. However, the responsibility for payment of compensations and provision of other assistance will reside with the client (please refer RPF).

During activity implementation, ESPMU/NSIFT 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, ESPMU/NSIFT 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 CSP via the Project Grievance Redress Mechanism (GRM) which will be included in the project Beneficiary Feedback Mechanism (BFM).

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

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

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

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

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

ESPMU/NSIFT should hire the environmental/social staff who will prepare environmental and social due diligence documents for individual sites in coordination with the municipalities and will during the project implementation phase supervise the implementation of the ESMPs and RAPs on the same (and the municipality/contractor will hire its own E&S staff at the specific site all the time during the construction).

ESPMU/NSIFT also responsible for; a) ensure that pertinent aspects of the ESMP/RAP are contractual obligations of the contractor; b) supervise the work performed by the environmental/social staff / 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, ESPMU/NSIFT 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 ESPMU/NSIFT, 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?			



## **CHAPTER 8**

# **PROCUREMENT MANAGEMENT**

## **Chapter 8: PROCUREMENT MANAGEMENT**

**(This section should be read with Annexes 8.1 PPSD, Annex 8.2 Procurement Plan, and Annex 8.3 Procurement Forms)**

### **8.1. General**

The purpose of this section is to provide the Implementing Agencies with the general principles and procedures to be followed in the procurement of goods, works, consultancy services and non-consulting services financed out of the project funds.

Procurement of goods, works, non-consulting services and services within the Project is regulated by the “World Bank Procurement Regulations for IPF Borrowers”, dated July 2016, revised November 2017 and August 2018, as referred to in the project Financing Agreement.

### **8.2. Procurement Planning**

A Procurement Plan was developed for implementation of the Project. It will be updated periodically, at least once a year, and each update is subject to prior review of the World Bank. The initial Procurement Plan as well as subsequent updates thereof will be disclosed on the website of the World Bank according to the requirements of the Procurement Regulations as well as on the official websites of the NSIFT ([www.nsift.tj](http://www.nsift.tj)) and Barqi Tojik ([www.BarqiTojik.tj](http://www.BarqiTojik.tj)). Procurement plan is to be implemented as approved by the World Bank.

The Procurement Plan, including its updated, shall include:

- A brief description of the activities/contracts
- The selection methods to be applied
- Cost estimates
- Time schedules
- The bank’s review requirements
- Any other relevant procurement information.

The World Bank’s online system of Systematic Tracking of Exchanges in Procurement (STEP) is currently used by implementing agencies in planning and tracking procurement activities under Bank-financed projects. STEP enables auto publication of approved procurement plans, publication notices and contract award information in the Bank’s external website, UNDB online, World Bank Finances App, and World Bank Procurement App.

Any update to the Procurement Plan shall be cleared by the NSIFT and ESPMU Executive Directors.

### 8.3. Procurement Methods

Selection methods and arrangements to be used under the Project for both NSIFT and ESPMU include the following:

- *Works*: (i) Request for Bids (RFB), Post-qualification, International, Open; (ii) Request for Quotations, (iii) Direct Selection.
- *Goods and non-consulting services*: (i) Request for Bids (RFB), Post-qualification, International and National, Open, (ii) Request for Quotations; and (iii) Direct Selection.
- *Consulting Services*: (i) Quality Cost-Based Selection, (ii) Fixed Budget-based Selection; (iii) Least Cost-based Selection; (iv) Consultants' Qualification-based Selection (v) Direct Selection; and (vi) Selection of Individual Consultants.

#### **Request for Quotations.**

When purchasing goods, the procurement method "Request for Quotations" is applied in accordance with the procedures described below. This method is used for limited quantities of readily available off-the-shelf goods or non-consulting services, standard specification commodities, or simple works of small value. The following steps must be completed:

- Formation of a Tender Evaluation Commission;
- preparation of request for quotations (description, quantity, technical specifications, delivery schedule, minimum qualification requirements, location, etc.);
- publication of an announcement in the media at the republican or regional level at the discretion of the tender commission;
- publication of an announcement on the NSIFT and Barqi Tojik official websites giving sufficient time for the preparation and submission of quotations;
- provision of request for quotations to tenderers;
- ensuring compliance with the requirement to receive at least three quotes;
- receipt of price quotes by the deadline. Each supplier can submit only one quotation.
- evaluation (qualification, technical, financial) and preparation of an evaluation report using standard documents, award of a contract;
- maintaining confidentiality of information until a contract is awarded;
- publication of bidding results on information stands and the government procurement portal, NSIFT and Barqi Tojik official websites;
- signing a contract with a selected supplier/contractor using the form attached to the Invitation to quote;
- verification of goods/works for compliance with technical requirements and their acceptance;
- making payments in accordance with the contract;
- storage of all documents in folders.

#### **Request for Bids.**

When purchasing goods, works, or non-consulting services, the "Request for Bids" procurement method could be used. Procurement under this method is conducted in a single-stage process. The following steps must be completed:

- Establishment of a Tender Evaluation Commission;
- preparation of request for bids document, using the Bank's Standard RFB document for open international procurement;
- publication of a Specific Procurement Notice, using the Bank's applicable template
- issuance the RFB document to potential bidders;
- respond to any request for clarifications of RFB documents in writing, and forward a copy of the response to all bidders; if required, modification to the RFB document shall be introduced in the form of an addendum;

- receipt of bids prior to the bid submission deadline. The minimum time period allowed for preparation of bids shall be thirty (30) business days for open international competitive procurement, unless otherwise agreed with the Bank;
- public opening of bids received by the submission deadline; a copy of the Minutes of bid opening shall be promptly sent to all bidders whose bids were opened;
- evaluation of bids (technical and financial) and preparation of an evaluation report using standard documents;
- make decision to award a contract;
- if standstill period applies, issue Notice of Intention to Award the Contract to the unsuccessful bidders;
- Award of contract and publication of Contract Award Notice;
- maintaining confidentiality of information until the award of the contract
- notification of the supplier of the selection results;
- obtaining a performance security from the selected participant 28 days after the signing of the contract
- signing a contract with a selected supplier;
- verification of goods, works, or non-consulting services for compliance with technical requirements and their acceptance;
- making payments in accordance with the terms of the contract;
- storage of all documents in folders.

#### **Procurement of consulting services (companies)**

When purchasing a consulting company, it applies the “Quality and Cost Based Selection” method (QCBS).

The following steps apply in this method:

- preparation of terms of reference along with the budget;
- publication of the Request for Expression of Interest along with the complete TOR through STEP; on the NSIFT and Barqi Tojik official websites; media
- submission of Expressions of Interest: provides enough time for firms to respond to an REOI — usually at least 10 business days;
- shortlisting: expressions of interest are evaluated to compose a Shortlist. The final Shortlist is communicated to all firms that expressed interest, as well as any other firm that requests this information.
- send an invitation letter along with the request for proposals document to all Shortlisted firms;
- technical and financial proposals must be submitted at the same time in two (2) separate sealed envelopes;
- opening of the technical proposals;
- evaluation of technical proposals; Evaluation of technical proposals should be carried out in accordance with the evaluation criteria specified in the request for proposals;
- after the evaluation of the technical proposals is completed, NSIFT/ESPMU inform all the companies that submitted the Proposal of their score and whether they met the minimum qualification technical score specified in the request for proposals, at the same time notify the companies that meet the requirements of the technical proposal of when the opening of financial proposals will be made.
- financial proposals must not be opened earlier than seven (7) days from the communication of technical evaluation results to the firms;
- Combined evaluation of quality and cost must satisfy the requirements set forth in the request for proposals;

- negotiations include discussion of the TOR, the methodology, Client's inputs, and special conditions of the contract;
- notification of intention of award and standstill period;
- award of the contract and publication of the contract Award;
- provide debriefing to unsuccessful consultants, if requested.

#### **Consulting services - Fixed Budget-based Selection**

When consulting firms to be procured, the Fixed Budget Selection could be used.

The following steps apply in this method:

- Preparation of terms of reference along with the budget;
- publication of the Request for Expression of Interest along with the complete TOR through STEP; on the NSIFT and Barqi Tojik official websites; media
- submission of Expressions of Interest: provides enough time for firms to respond to an REOI — usually at least 10 business days;
- shortlisting: expressions of interest are evaluated to compose a Shortlist. The final Shortlist is communicated to all firms that expressed interest, as well as any other firm that requests this information.
- send an invitation letter along with the request for proposals document to all Shortlisted firms; Request for proposals document clearly indicates the cost of services that shall not be exceeded.
- technical and financial proposals must be submitted at the same time in two (2) separate sealed envelopes;
- opening of the technical proposals;
- evaluation of technical proposals; Evaluation of technical proposals should be carried out in accordance with the evaluation criteria specified in the request for proposals;
- after the evaluation of the technical proposals is completed, NSIFT/ESPMU inform all the companies that submitted the Proposal of their score and whether they met the minimum qualification technical score specified in the request for proposals, at the same time notify the companies that meet the requirements of the technical proposal of when the opening of financial proposals will be made;
- financial proposals must not be opened earlier than seven (7) days from the communication of technical evaluation results to the firms;
- the firm with the highest technical score that meet the fixed budget shall be invited to negotiate a contract;
- negotiations include discussion of the TOR, the methodology, Client's inputs, and special conditions of the contract;
- notification of intention of award and standstill period;
- award of the contract and publication of the contract Award;
- provide debriefing to unsuccessful consultants, if requested.

#### **Consulting services - Least Cost-based Selection**

When firms to be procured, the Least Cost-based Selection could be used. The following steps apply in this method:

- Preparation of terms of reference along with the budget;
- publication of the Request for Expression of Interest along with the complete TOR through STEP; on the NSIFT and Barqi Tojik official websites; media
- submission of Expressions of Interest: provides enough time for firms to respond to an REOI — usually at least 10 business days;
- shortlisting: expressions of interest are evaluated to compose a Shortlist. The final Shortlist is communicated to all firms that expressed interest, as well as any other firm that requests this information.

- send an invitation letter along with the request for proposals document to all Shortlisted firms; the request for proposals specifies the minimum score for the technical proposals.
- technical and financial proposals must be submitted at the same time in two (2) separate sealed envelopes;
- opening of the technical proposals;
- evaluation of technical proposals; Evaluation of technical proposals should be carried out in accordance with the evaluation criteria specified in the request for proposals;
- after the evaluation of the technical proposals is completed, NSIFT/ESPMU inform all the companies that submitted the Proposal of their score and whether they met the minimum qualification technical score specified in the request for proposals, at the same time notify the companies that meet the requirements of the technical proposal of when the opening of financial proposals will be made.
- financial proposals must not be opened earlier than seven (7) days from the communication of technical evaluation results to the firms;
- the firm with the scores higher than the minimum technical score with the lowest evaluated cost is invited for negotiations ;
- negotiations include discussion of the TOR, the methodology, Client's inputs, and special conditions of the contract;
- notification of intention of award and standstill period;
- award of the contract and publication of the contract Award;
- provide debriefing to unsuccessful consultants, if requested.

#### **Consulting services - Consultants' Qualification-based Selection.**

When firms to be procured, the Consultants' Qualification-based Selection could be used. The following steps apply in this method:

- Preparation of terms of reference along with the budget;
- advertisement of the Request for Expression is not mandatory;
- provides enough time for firms to respond to an REOI — usually at least 14 business days;
- receipt expressions of interest from at least three qualified firms;
- select the firm with the best qualifications and relevant experience;
- send an invitation letter along with the request for proposals document to the selected firm and invite the firm to submit its technical and financial proposals;
- negotiations include discussion of the TOR, the methodology, Client's inputs, and special conditions of the contract.

#### **Consulting services - selection of individual consultants**

When hiring individual consultants it is necessary to follow the steps below:

- creation of a tender evaluation commission;
- preparation of Terms of references and the estimated budget;
- invitation and receipt of at least three qualified resumes;
- declare a tender in the media at the discretion of the tender commission;
- use of the roster of consultants for invitation, if any;
- evaluation of the received resumes;
- preparation of an evaluation report reflecting the selection process in accordance with selection criteria;
- provide the selected consultant with the TOR;
- invitation of the selected candidate to submission of technical and financial proposals and for negotiations on the terms of the assignment and the terms of the contract;
- signing a contract;

- monitoring the activities of the consultant and receipt deliverables/outputs;
- ensuring payments for the provision of agreed reports/achievement of results.

Individual consultants may be selected on direct selection basis, with due justifications, under the following circumstances:

- a. Assignments are a continuation of the previous work, which was carried out by an individual consultant, selected on a competitive basis;
- b. Assignments whose total expected duration is less than six months;
- c. Emergency situations; or
- d. In the event that an individual consultant has relevant experience and qualifications of exceptional value for a given assignment;

### **Direct Selection method**

This method allows to approach and negotiation with only one supplier/ contractordirectly. This method may be appropriate when there is only one suitable firm or there is justification to use a preferred firm. It may be appropriate under the following cases:

- a. an existing contract, including a contract not originally financed by the Bank, for Goods, Works, or Non-consulting Services, awarded in accordance with procedures acceptable to the Bank, may be extended for additional Goods, Works, or Nonconsulting Services of a similar nature, if:
  - i. it is properly justified;
  - ii. no advantage could be obtained through competition; and
  - iii. the prices on the extended contract are reasonable;
- b. there is a justifiable requirement to re-engage a firm that has previously completed a contract, within the last 12 months, with the Borrower to perform a similar type of contract. The justification shall show that:
  - i. the firm performed satisfactorily in the previous contract;
  - ii. no advantage may be obtained by competition; and
  - iii. the prices for the direct contracting are reasonable;
- c. the procurement is of both very low value and low risk, as agreed in the Procurement Plan;
- d. the case is exceptional, for example, in response to Emergency Situations;
- e. standardization of Goods that need to be compatible with existing Goods may justify additional purchases from the original firm, if the advantages and disadvantages of another brand or source of equipment have been considered on grounds acceptable to the Bank;
- f. the required equipment is proprietary and obtainable from only one source;
- g. the procurement of certain Goods from a particular firm is essential to achieve the required performance or functional guarantee of an equipment, Plant, or facility;
- h. the Goods, Works, or Non-consulting Services provided in the Borrower's country by an SOE, university, research center or institution of the Borrower's country are of a unique and exceptional nature in accordance with Paragraph 3.23 c. of World Bank Procurement Regulations; or
- i. direct selection of UN Agencies in accordance with Paragraphs 6.47 and 6.48 of World Bank Procurement Regulations.

In all instances of direct selection, the Borrower shall ensure that:

- a. the prices are reasonable and consistent with the market rates for items of a similar nature; and
- b. the required Goods, Works, or Non-consulting Services are not split into small-sized procurement to avoid competitive processes.

Based on the Substantial risk analysis established for the project, Bank's prior review thresholds are the following:

Type of procurement	Thresholds in USD
Works	>=10,000,000
Goods, Information technology and non-consulting services	>=2,000,000
Consulting firms	>= 1,000,000; all TORs
Individual Consultants	>= 300,000; all TORs

**Post Review.** All contracts below the prior review thresholds are subject to IDA's ex-post review. Periodic ex-post reviews by IDA are undertaken once a year during regular supervision missions. Procurement documents, such as bidding documents, bids, bid evaluation reports and correspondence related to bids and contracts are kept readily available for IDA ex-post review.

All TORs are subject to clearance with the Bank irrespective of review status.

#### **8.4. Notification, Publication of Procurement Announcements and Results of Selection**

**General Procurement Notice.** NSIFT and ESPMU will jointly develop and submit to the Bank the General Procurement Notice for publication in the electronic bulletin UN Development Business online (UNDB online) and on the Banks' external website. The General Procurement Notice should contain information about the Project, its objectives and budget, scope of procurement in line with the Procurement Plan, contact information of contact points, and address and a link to the NSIFT and BT's official websites where all subsequent Specific Procurement Notices will be published.

**Special Procurement Notice.** In conducting procurement of goods, works and services, the NSIFT and ESPMU publishes procurement notices in the mass media, in NSIFT and BT official websites and other free-access website.

**Contract award Notice.** The NSIFT and ESPMU shall publish the contract award information in their websites or free access website or in at least one newspaper of national circulation.

#### **8.5. Bid Evaluation Committee**

The role and functions of Bid Evaluation Committees are to review and evaluate bids, make decision on contract awarding, and conduct negotiations for consultancy assignments.

##### **NSIFT Bid Evaluation Committee**

A separate Bid Evaluation Committee is set up for any specific procurement by the order of the NSIFT Executive Director. Bid Evaluation Committee should be created immediately after the publication of the announcement. The Bid Evaluation Committee should include Project staff members, specialists competent in the sphere related to goods, works, consulting services to be procured and other persons. The committee may be comprised of NSIFT staff, representatives of beneficiaries and other persons to ensure the transparency. Notification about the contract awarding is made on behalf of the NSIFT Executive Director. Contracts are signed by the NSIFT Executive Director, or a person, to whom these authorities delegated.

##### **ESPMU Bid Evaluation Committee**



Bid Evaluation Committee is established by the order of the Executive Director of the PMU as an internal commission. The ESPMU will establish separate Bid Evaluation Committee for each procurement. Bid committee should be created immediately after the publication of the announcement. The committee may include employees of PMU, BT, State Committee on Investments, representatives of the beneficiaries and other persons to ensure transparency. The bidding committee should consist of at least 5 members.

Based on the Contract Award Notification is made on behalf of the Chairman of Barqi Tojik and or the Executive Director of the PMU. Contracts are signed by the Chairman of BT and Executive Director of the PMU or by the person to whom these responsibilities are transferred.

#### **8.6. Contract Management and Monitoring**

Each Implementing Agency, NSIFT and ESPMU, is responsible for administration and modifications of signed contracts with their agencies. Following the procedure described in the bidding documentation, after the recommendation on contract award for contracts subject to the post review, the Procurement Specialist of the project sends the draft contract for agreement and signing to the winning bidder. Contracts concluded with the winning bidder shall be drawn in the language the bid was submitted in.

Copies of the signed contracts are uploaded to STEP. ESPMU and NSIFT staff is responsible for securing the originals of the signed contracts.

ESPMU and NSIFT project staff performs registration and storage of reporting documents on the contract execution.

Payment under the contract shall be made to the Supplier within the period specified in the contract from the moment the Supplier invoices a payment.

If necessary, addenda and amendments to the contract are made upon agreement between the Buyer and the Supplier. After addenda and amendments to the contract are approved by the Project coordinator in protocol, the project procurement specialist, through the STEP system, sends it for agreement to the World Bank to get "no objection" resolution (for contracts that need preliminary WB's review). After receiving the WB's approval for modification, addendum or amendment to the contract is signed by the authorized manager of the project and the Supplier.

After signing the contract, the ESPMU/NSIFT project staff uploads a copy of signed addendum for registration in STEP.

The purpose of contract management is to ensure that all parties fulfill their obligations. The Borrower shall actively manage the contracts throughout their life in order to ensure that the contractor executes the contract satisfactorily, that the relevant stakeholders are notified, and all contract requirements are observed.

#### **Contract management step by step**

A complete description of all situations and issues that may affect the qualitative performance of the contract is practically impossible task, given the hundreds of different situations in which these contracts are executed. In order to successfully implement the contract, the PIU should follow the following actions from the moment of signing the contract:

#### **Internal conditions:**

- Project coordinator should assign specific assignments to a particular specialist or a team responsible for the contract management (i.e., procurement specialist, coordinator, financial manager) through development of clear and integrated job descriptions (general or for the specific project).
- Develop internal procedures (hierarchy, communication, authority level, document turnover, inspection and acceptance procedures, payment procedures, internal audit, etc.).
- Coordination of activities with third parties (other agencies, contractors, end users, beneficiaries, etc.).

A kick-off meeting with the supplier / contractor / consultant and other important stakeholders (if applicable, with developers of technical specifications, engineer, project manager, end users and recipients of goods, services or construction works, local community, etc.):

- Familiarization with the parties, their roles and responsibilities (especially when authority is delegated to the engineer or project manager).
- Set up the parties/representatives of the contract and communication rules (mechanisms, periodicity, etc.).
- Study of contract documentation (contract terms, technical requirements / terms of reference, payment schedules and contractual obligations, stages of implementation / tasks / results, priority contract documents, etc.).
- Study of the current legislation and all obligations arising in connection with execution of a contract in the customer's country (e.g., registration of a contract or product, registration of a contractor in the customer's country for fiscal purposes, tax regime, etc.).
- Define the procedures for transferring the resolution of problems to a higher level to resolve critical situations or difficulties (lagging behind the implementation or receipt of permits and approvals; abuse of power by the project manager or engineer; inaction of the Contractor's personnel, etc.).
- Ensure conditions so that all parties involved in the contract execution have the same understanding: provisions and conditions of the contract; expectations from each other; contract terms; any specific difficulties related to the contract execution.
- Development of clear reporting procedures (level, frequency, forms, minimum information, etc.).
- Setting the Effectiveness Date or the Date of commencement of work.

Prepayment of advances/verification of the guarantee for advance and Performance Security:

- Amounts
- Validity
- Issuing bank/certified signatures
- Unacceptable deviations/conditions.

Check of insurance policies:

- Insurance cover
- Validity
- Amounts
- Jointly insured parties (when applicable)
- Exceptions
- Contributions
- All the terms and conditions that may lead to the fact that, under certain circumstances or events, insurance policies will be invalid
- Need for notification
- Confirmation of payment of insurance premiums.

Check the level of mobilization of the supplier / contractor / consultant (financial resources, labor forces, facilities, equipment, site readiness and availability, site arrangement elements, etc.); Inspections and testing (where applicable):

- Check of cargo before shipping
- Check of cargo after delivery to the project site
- Inspection and testing in the shop of the manufacturer
- Simulation technique test
- Work quality control at the project site
- Testing of materials and manufacturing quality
- Selective control
- Verification of results
- Post-completion tests.

Quality control and deviation of non-compliant production factors:

- Deviations from technical specifications
- Elimination of results of poor-quality work
- Replacement of workers
- Approval/rejection of subcontractors
- Non-acceptance of results;
- Functional guarantees.

Health, safety and environmental issues

- Risks and threats for personnel of the Customer or third parties
- Professional risks for the Contractor's employees
- Environmental risks.

Use of adequate project management tools to monitor contract terms and costs (especially useful for construction contracts)

- Breakdown of the scope of work
- Project evaluation and review technique for plans (PERT)
- The strict sequence method
- Gantt Chart
- Management of earned cost
- Register log for problem situations
- Control and inspection log.

Changes of quantitative indicators (orders to change the composition of work, instructions for additional work)

- Verification of supporting documentation (how relevant or necessary the proposed changes are);
- Level of approval;
- Changes of rates for unit;
- Compensatory events (increase in costs and extension of deadlines);
- Influence on the Contract Price and amendments to the Contract (if necessary).

Price adjustment

- Applicability
- Verification of indices (basic indicators, correct reference to applicable indices)
- Verification of proportions.

Application of provisional amounts or estimated liabilities

- Verification of the appropriateness or necessity of their application
- Approval by the engineer or project manager
- Check of the actual application.

Study and approval of applications for payments

- Quality mechanism for verification and approval of payment documents - internal audit, the principle of “four eyes”, etc.
- Checking the cost per unit, prices and volumes
- Verification of supporting documentation (invoices, intermediate payment certificates, monthly reports, actual repeat measurements, time sheets, confirming documents for actually incurred expenses, bills of lading, insurance policies, authorizations of manufacturers, results, commissioning, acceptance certificate for the object, bank guarantees, etc., as required)
- Availability of necessary approvals (duly confirmed monthly reports and intermediate payment certificates, signed time sheet records, approval of the engineer or project manager, approval of the client coordinator based on outcomes, etc., as required)
- Check whether the requested amounts have already been paid
- Check of invoices (correctness of the given name, address, identification information and bank account of the recipient)
- Check that information of the recipient indicated on the invoice coincides with information specified in the contract and documents for previous payments
- Check that the payment request is in accordance with the payment schedule/stages of the contract
- Check that the relevant percentage of advance payment to be withheld
- Availability of funds and applicable method of payment (payment from a special account, direct payment, special obligation under a letter of credit, etc.).

Time control

- Verifying compliance with the delivery schedule or milestones of the contract
- Measures to accelerate the progress of work and ensure compliance with the deadlines for completion of works provided for in the contract
- Applying the method of pre-estimated losses with backlogs.

Measures for inactive contractors:

- Refusal to approve or accept non-conforming goods, poor-quality work, substandard materials or incomplete results
- Rejection of inactive workers (in contracts for construction works and consulting services)
- Penalties for non-fulfillment of functional guarantees
- Actions in connection with Performance Security
- Termination of the Contract.

Acceptance / Acceptance Certificate

- Check that all functional guarantees have been performed and all final tests have been successfully carried out
- Acceptance of goods (reconciliation with Pick-and-Fill lists and technical specifications) and services (check that all comments and recommendations are included in the Final Report)
- Inventory procedures
- Succession planning (who accepts goods or works, whether they have the means for necessary care and maintenance, whether they know what to do in case of defects or claims during the warranty period, etc.).

Guarantee for fixing the defects / Warranty period

- It is necessary to make sure that the Performance Security / Bank Guarantee for the amount of money held, as well as insurance policies (where applicable) are still valid and remain legitimate during the warranty period.
- It is necessary to make sure that the contractor is promptly notified of all defects and timely and properly eliminates defects.

Final Acceptance / Certificate of Fulfillment of Obligations

- Checking how the Contractor performed its obligations during the warranty period
- Make sure that the Contractor does not have outstanding commitments, obligations or debts
- Termination of the Performance Security / Bank Guarantee for the amount of money held
- Final payment (if applicable).

Termination of the Contract

- Customer checks the precise provisions of the contract regarding termination of the contract
- Evaluation of the Contractor's claims and remedy actions
- It is necessary to ensure that all reasonable claims of the Contractor have been properly studied and the appropriate amounts have been paid
- Emergency planning.

Claims and disputes settlement

- Check the precise provisions of the contract relating to the settlement of disputes and the costs incurred (time, money and resources)
- Check that the contract management team consistently and correctly ensured that the contract terms are met
- Proper documentation of the Contractor's deviations from the technical specifications and terms of the contract (it is very important for subsequent arbitration / court proceedings or to protect the interests of the Customer in court).

Necessary measures for contract management:

- Close monitoring by the Project Manager / Coordinator / Procurement Specialist (permanent contact, unscheduled inspections, visits to the site, maintenance of the Problem Log, the Control and Inspection Log, etc.)
- Availability of an adequate and comprehensive reporting system (monthly, quarterly, phased, etc.) to ensure close monitoring of all aspects of importance for contract management: actual progress versus the planned (in terms of quantity and quality); timeliness of results; quality of investments and results, etc.
- Availability of internal audit procedures, the principle of "four eyes" (especially with regard to actual verification of invoices and supporting documentation)
- The person authorizing payments should not participate in the verification of payment documents
- Prompt application of penalties for any delays in reports, for overrun the cost limits, order for additional work, use of substandard and lower qualification materials, deviation from technical specifications, and any leniency towards contractors
- The use of all appropriate and reasonable measures under the contract - application of the method of pre-estimated losses in case of delays or non-compliance with requirements; measures in relation to insurance policies and contract performance security, etc.

Amendments to the contract are made in the following cases:

- The scope of work changes in the direction of increase / decrease

- Change in specification/design
- Errors/omissions in design and changes in technology
- Changing of the site conditions
- Lack of equipment/skills
- Rates charged on the contract have changed
- Increase/decrease in the contract value
- Overruns/shortages under the contract budget
- Delays and extension of deadlines
- Embezzlement/additional design work/other types of activities
- Modification or cancellation of orders that could be placed at the expense of the contractor's own funds
- Unproductive labor costs
- Revising the contract to mitigate the consequences of increase/decrease of the time and costs.

### **8.7. Conflict of Interest**

Firms or individuals involved in the project procurement should not have a conflict of interest.

#### **Conflict of interest under the procurement of Goods, Works, and Non-Consulting Services**

A firm shall be considered to have a conflict of interest if the firm:

- Is providing Goods, Works, or Non-consulting services resulting from, or directly related to Consulting services that it provided for the preparation or implementation of a project, or where such services were provided by an affiliate that directly or indirectly controls, is controlled by, or is under common control with that firm. This provision does not apply to the various firms (Consultants, contractors, or suppliers), which together are performing the contractor's obligations under a turnkey and built contract.
- Including its personnel, has a close business or family relationship with a professional staff of the Executing Agency/Beneficiary/PIU or any other party representing the Executing Agency/Beneficiary/PIU or acting on its/their behalf who:
  - Is directly or indirectly involved in the preparation of the Procurement Documents or contract specifications, and / or the evaluation process of such contract;
  - Would be involved in the execution or supervision of such contract, unless the conflict stemming from such relationship has been resolved in a manner acceptable to the Bank throughout the procurement process and execution of the contract.
- Does not comply with any other conflict of interest situation as specified in the Bank's Standard Procurement Documents relevant to the specific procurement process.

#### **Conflict of interest under the procurement of Consulting Services**

Consultants shall:

- Provide professional, objective and impartial advice.
- At all times hold paramount the interests of the executive agency/beneficiary, without any consideration of future work.
- In providing advice avoid conflicts with other assignments and their own corporate interests.

Consultants shall not be hired for any assignment that would be in conflict with their prior or current obligations to other clients, or that may place them in a position of being unable to carry out the assignment in the best interest of the Executing Agency / Beneficiary.

In order to prevent conflicts of interest, Consultants shall not be hired under the circumstances set forth below:

- A firm that has been engaged by the Borrower to provide Goods, Works, or Non-consulting Services for a project (or an affiliate that directly or indirectly controls, is controlled by, or is under common control with that firm), shall be disqualified from providing Consulting Services resulting from, or directly related to, those Goods, Works, or Non-consulting Services. This provision does not apply to the various firms (Consultants, contractors, or suppliers), which together are performing the contractor's obligations under a turnkey or design and build contract.
- A firm that has been engaged by the Borrower to provide Consulting Services for the preparation or implementation of a project (or an affiliate that directly or indirectly controls, is controlled by, or is under common control with that Consulting firm), shall be disqualified from subsequently providing Goods, Works, or Non-consulting Services resulting from, or directly related to those Consulting Services. This provision does not apply to the various firms (Consultants, contractors, or suppliers), which together are performing the contractor's obligations under a turnkey or design and build contract.
- Neither a Consultant (including personnel and sub-consultants), nor an affiliate (that directly or indirectly controls, is controlled by, or is under common control with that Consultant), shall be hired for any assignment that, by its nature, creates a conflict of interest with another assignment of the Consultant.
- Consultants (including their experts and other personnel, and sub-consultants), that have a close business or family relationship with a professional staff of the Executive Agency/Beneficiary/PIU, that is directly or indirectly involved in any part of:
  - The preparation of terms of reference for the assignment.
  - The selection process of a consultant for the contract.
  - The supervision of the contract may not be awarded a contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Bank throughout the selection process and the execution of the contract.

If the NSIFT/ESPMU identifies the facts of a conflict of interest, the bids of such suppliers (contractors) are subject to rejection. The rejection of a bid in accordance with this article and the reasons for this shall be reflected in the Evaluation Report.

#### **8.8. Due Diligence concerning the Bank's Sanctions Policies and Procedures.**

During the evaluation process the ESPMU and NSIFT shall check the eligibility of bidders / consultants from the lists of firms and individuals debarred and suspended by the Bank.

#### **8.9. Procurement-Related Complaints**

Over the course of competitive selection/bidding, the bidders (including potential bidders/consultants) may file complaints concerning the selection/bidding process. The Bidder (or potential bidder/consultant) may file a complaint to the NSIFT Regional Office or directly to the NSIFT/ESPMU Central Office. Once a complaint is received, the Regional Office should notify immediately the NSIFT Central Office. A copy of any procurement -related complaint should be send immediately to the Bank.

A complaint received by the NSIFT/ESPMU before the deadline for submission of bids/ proposals from the consultants from the short list or the selection that received bidding documents should be reviewed along with comments and recommendation for taking necessary measures to introduce amendments, additions and preparation of an adequate response.

If a complaint is related to technical specifications or terms of reference, the response letter will be prepared by specialists, who were involved in development of these documents. NSIFT/ESPMU must prepare and provide a detailed response to the complaint.

If the complaint contains accusation of fraud and corruption, this procedure can be changed to ensure confidentiality until the investigation is complete.

Once the contract is awarded and a Consultant/Bidder wishes to find out reasons why his/her proposal was not selected, he/she should appeal to the NSIFT/ESPMU/Jamoat to clarify results of selection. This meeting should only involve discussion of the proposal of this Consultant and not the proposals of other candidates.

#### **8.10. Storage of Procurement Documentation**

The implementing agencies must maintain an adequate system of registration and storage of documents for each individual procurement. As stated above, STEP also has a database of all procurement files online for shared use of by the Bank, ESPMU and NSIFT.

ESPMU and NSIFT should maintain a complete record of the procurement process (both in hard and electronic format) including:

- Cost estimates
- A copy of the published advertisement or request for expressions of interest
- A copy of the issued Pre-qualification (if any) and Bidding Documents, Request for Proposals and any amendments, extensions or clarifications that were requested and issued
- A record of any pre-bid meetings or pre-proposal conferences signed by all attendees
- Hard copies of bids or proposals received and evaluated
- Clarifications requested and responses received during evaluation
- Bid/proposal opening minutes
- Evaluation reports;
- The minutes of contract negotiations (depending on the consulting services selection method)
- A contract award notice
- A copy of signed contracts, performance securities and advance payment guarantees; etc.
- Records of all contractual correspondence between Procuring Entity and a supplier, contractor and consultant
- Records of claims and dispute resolutions, if any
- Acceptance certificates, reports, shipping documents, etc.
- Information on payments
- Audit reports
- Complaints and related correspondence.

The records should be maintained in chronological order and the files to be kept in an identified place and should be retrievable for scrutiny whenever needed without wastage of time.

The originals of bid security, performance security, advance payment guarantees shall be furnished to the financial unit, with a copy stored at the procurement unit.

Records should be maintained for a period as indicated in the Financing Agreement. All records to be maintained in the office of Procuring Entity. Upon expiry of the maintaining period, files are to be transferred to the state archive as per the preset procedures.



**CHAPTER 9**  
**FINANCIAL MANAGEMENT AND DISBURSEMENT**  
**ARRANGEMENTS**

## CHAPTER 9: FINANCIAL MANAGEMENT AND DISBURSEMENT ARRANGEMENTS

This section should be read with Annexes - FM

### 9.1. Introduction

Project Implementing Agencies (NSIFT and ESPMU) shall be responsible for implementation of overall project financial management function including budget planning and preparation, accounting, external audit, flow of funds, internal audit and financial reporting under the Project.

In particular, ESPMU will be responsible for financial management functions within Component 1 of the Project, and NSIFT will be responsible for Component 2, 3 and 4 of the Project.

Financial reporting will include preparation of Financial reports for the International Development Association (IDA), Investment and state property management Committee of Republic of Tajikistan and the Ministry of Finance of the Republic of Tajikistan (MoF RT) according to consistently applied accounting standards, adequately reflecting the operations, resources and expenditures under the Component 1 for ESPMU and Component 2, 3 and 4 for NSIFT of the Project.

The Project financial management includes:

- Budgeting and planning
- Accounting policies, procedures and system
- Financial reporting
- Internal controls
- Funds flow and disbursement arrangements
- Audit.

Proper control over accounting information, ensuring timely, complete and proper registration in the accounting system, as well as financial flows, control and audit flows.

### 9.2. Budgeting and Planning

Financial plans for CSP include:

- Financial plans from each implementing agency (separately submitted) for CSP the project implementation period
- Annual budgets for each implementing agency (separately submitted).

The ESPMU Executive Director shall be responsible for coordination of all planning activities under the Component 1 of the Project. Financial planning covers all the key project staff. All the parties participating in CSP preparation and implementation shall contribute to the financial planning processes.

The NSIFT Executive Director shall be responsible for coordination of all planning activities under the Component 2, Component 3, and Component 4 of the Project. Financial planning covers all the key project staff. All the parties participating in CSP preparation and implementation shall contribute to the financial planning processes.

The Project Financial Plan is reflected in the Project Expenditure Tables and Legal Agreements. These documents are fundamental for understanding of the Project Operational Plan, which puts the financial plan into the context. The Financial Plan sets forth, in monetary terms, NSIFT/ESPMU action plans, activities, outcomes, effects, goals, objectives, etc. in selected measurements over the project life cycle.

No later than December 1 of each calendar year during the Project implementation, NSIFT/ESPMU shall prepare the Annual Work Plan containing all activities proposed to be included in the Project: (a) a detailed schedule for sequence and implementation of proposed Project activities; (b) types of expenses required for such activities and proposed financing plan (including the necessary funds and resources to be provided by the Recipient to cover such costs); (c) any training activities that may be required under the Project; and (d) a reference to each and a safeguard measure applied to that activity, and proposed approach to ensure preparation and implementation of Protection Measures Tool mentioned above during the relevant year.

The first step in annual budget planning is to study the Project Financial Plan. Therefore, prior to the beginning of each financial year, the project staff study and, if required, revise the Project Financial Plan in terms of changes resulting from delays in expenditure, assumptions, item variations, activities, etc. Thus, the Annual Budget for the next year will reflect changes over the project lifetime. This will help avoid variances in reporting and analysis that have not been yet reflected in the revised Project Financial Plan. It will also help ensure that the planned figures are realistic, and the variance analysis is meaningful.

The Annual Budget prepared by ESPMU is divided into quarters in order to account for the seasonal nature of cash flows. The Annual Budget shall be prepared by the ESPMU and approved by the Executive Committee of BT and agreed with IDA. The budget must be closely linked with procurement plans and physical tasks.

The Annual Budget prepared by NSIFT is divided into quarters in order to account for the seasonal nature of cash flows. The Annual Budget shall be approved by the NSIFT Executive Committee, approved by the NSIFT Council and agreed with IDA. The budget must be closely linked with procurement plans and physical tasks.

The Project Annual Budget includes the annual budget for incremental operational costs (IOC) that should be agreed with IDA.

Operational Expenses mean the ESPMU's and NSIFT's incremental operational expenses for the implementation, management, monitoring and evaluation of the Project, including the payment of salaries to contractual employees (but excluding the salaries of the officials of the civil service),, social charges and rental costs, maintenance and repair of office premises, as well as costs for materials and consumables, communication costs, technical support of information systems, costs for translation services, payment of bank fees, travel and subsistence expenses for employees of the Project Implementation staff, as well as other reasonable costs directly related to the implementation of project activities, each based on an annual budget acceptable to the Association, and other such costs that may be additionally agreed with the Association.

Training means costs (other than costs of consultants) of the Project Implementation Agency in connection with internships, training courses, seminars, workshops and other training activities not included in contracts with suppliers of goods or services, including the cost of teaching materials, rental of premises and equipment, transportation costs, per diems for students and instructors, payment for instructors (if necessary), based on the annual budget that satisfies the Association.

Annual budgets should be prepared and approved before the beginning of the fiscal year for which they were drawn up.

### **9.3. Accounting Policies, Procedures, and System**

For the Project accounting cash basis will be applied, and the Project financial reporting will be based on IPSAS “Financial Reporting under the Cash Basis of Accounting” issued by the International Public Sector Accounting Standards Board (the IPSASB) of the International Federation of Accountants (IFAC). For the project accounting historical cost basis will be applied.

Under cash basis of accounting, revenue is recognized when cash is received and expense is recognized when cash is paid.

Tajik Somoni (TJS) is the national currency of the Republic of Tajikistan. The presentation currency for the financial reporting to IDA is US dollar. Disbursements made from the IDA funds in US dollar are then converted into TJS by a financial institution, at which the Designated Accounting is held, applying the exchange rate set by the National Bank of Republic of Tajikistan on the date of the conversion.

In preparing the financial statements, the transactions in currencies other than US dollar are recorded at exchange rates set by the financial institution on the date of the transaction.

The cost of property and equipment purchased from project funds is recognized as an expense for the purposes of the WB financial statements. Nevertheless, NSIFT should keep records of fixed assets in accordance with existing practice and legislation of the Republic of Tajikistan

All fixed assets acquired under the project are fully depreciated without taking into account residual value. Depreciation is charged on a monthly basis over the entire useful life. ESPMU adopt the linear depreciation method for all types of fixed assets.

For accounting purposes NSIFT uses the 1C Accounting software, Version 7.7. The NSIFT accounting system is a fully computerized system of financial data processing, capable of producing Interim Un-Audited Financial Reports (IFRs), Statements of Expenditure (SOEs) in accordance with the requirements of IDA. All financial documents (such as bank statements, checks, payment orders, invoices, reports, confirmations, receipts, etc.) received from banks, contractors, suppliers and other parties shall be promptly entered into the accounting system once.

For accounting purpose ESPMU uses the 1C Accounting software, Version 8.3. The ESPMU accounting system is a fully computerized system of financial data processing, capable of producing Interim Un-Audited Financial Reports (IFRs), Statements of Expenditure (SOEs) in accordance with the requirements of IDA. All financial documents (such as bank statements, checks, payment orders, invoices, reports, confirmations, receipts, etc.) received from banks, contractors, suppliers and other parties shall be promptly entered into the accounting system once.

The Accounting Systems of two implementing agencies ensure the following:

- Reporting on receipt of funds and payments (by categories, components and funding sources)
- Expenditures are shown under disbursement categories, which are further subdivided into sub-categories
- Reliability in information storage and fast processing of information
- Simple and transparent methods of information input and output including the rule of single entry of the IT system
- The necessary level of protection from unauthorized access
- Generation of reports for IDA, Committee on Investments and State Property Management of the Republic of Tajikistan, Ministry of Finance of Republic of Tajikistan, Ministry of Energy of Tajikistan or other supervision bodies

- Dual currency accounting: TJS and USD
- Dual language: Russian and English
- Upon submission of the Time Sheet, signed by the Human Resource department of ESPMU, the signed by the Executive Director's, the disbursement specialist make a payment of the salary;
- Track disbursements under contracts by funding sources to keep within the threshold amount, accounting of advance payments by the amounts and terms of bank guarantees
- Accounting by projects by operational expenses
- Accounting of fixed assets by projects, accountable officers, dates, and inventory numbers.

The 1C Accounting Version 7.7 database is backed up to the backup server automatically once a day. Database copies are recorded onto a DVD every month and locked in a safe for storage. The disbursement specialist shall additionally copy information on a flash stick to be kept by the Financial Manager beyond the office.

#### **9.4. Financial Reporting**

NSIFT/ESPMU Financial reports are a part of the Financial Monitoring Report System.

NSIFT/ESPMU will be responsible for the consolidation and provision of quarterly interim, non-audited Financial Statements (PFD) for the relevant parts of the Project within 45 (forty-five) days after the end of each calendar quarter, which will be prepared on the basis of the accounting system, adopted in the framework of this project, and in accordance with the format agreed with IDA (separately, no consolidated).

PFD will include the following information;

- Project Sources and Uses of Funds
- Uses of Funds by Project Activities
- Designated Account (DA) Statement
- A Statement of the Project Financial Position
- SOE Withdrawal Schedule.

In addition, NSIFT/ESPMU will prepared and submit to IDA, no later than 6 months after the end of the reporting period, audited annual financial statements of the Project.

On a monthly and quarterly basis, Investment and state property management Committee of Republic of Tajikistan and MoF RT shall receive the reports reflecting the source and use of funds by the categories of expenditure, and payment currency.

The State Tax Service and the Statistics Agency of the Republic of Tajikistan shall monthly receive the reports on the retained and transferred amounts of the income tax for residents and non-residents, social transfers from individuals and from enterprise and other charges.

#### **9.5. Internal Control System**

Internal control is a process designed to enhance accountability and provide reasonable assurance that NSIFT/ESPMU achieves certain objectives. These objectives include ensuring effectiveness and efficiency of operations, reliability of financial and operational reporting, and compliance with applicable laws, regulations, covenants, and internal policies and procedures. Internal controls, which include internal audit, are important aspects of effective financial management. While internal control is the

responsibility of NSIFT/ESPMU, everyone in the organization has responsibility for internal control to some extent. Internal control can be classified into five main components:

- **Control environment.** It includes integrity, ethical values, and competence of NSIFT/ESPMU management and staff; management's philosophy and management's style; management's organizational methods; employee career development programs; and processes for delegating power and responsibilities. Control environment is the foundation for the other four components of internal control.
- **Risk assessment.** Risk assessment includes defining, identifying, analyzing, and determining how to manage risks.
- **Information and communication.** Information systems generate reports that facilitate overseeing and controlling project activities. Information should be appropriate, timely, and current, as well as accurate, complete, and accessible. Information must be communicated so that individuals can do their jobs properly. Management should clarify to all personnel his/her role in the control structure. Also, effective communications should be maintained with donors, government supervisory agencies, suppliers, and project beneficiaries.
- **Control activities.** NSIFT/ESPMU developed policies and procedures to ensure that directives are followed and that necessary actions are taken to address risks that could affect the project. Such policies and procedures would include suitable authorization procedures, for example award of contracts by authorized personnel; segregation of duties, which includes segregating authorization, custody, record-keeping, and accounting; safeguarding of assets, which covers restricting access to cash, checks, systems; reconciliation; and monitoring.
- **Monitoring.** NSIFT/ESPMU management must monitor the internal control systems thoroughly. This should include ongoing monitoring such as control reports and reconciliations, evaluations such as control self-assessment, internal and external audits. Internal control deficiencies must be reported promptly to the project management.

Practical details of internal controls for the project are further elaborated below.

**Control environment.** NSIFT/ESPMU management has rigorous authorization and control procedures in place. NSIFT/ESPMU employs adequate accounting staff with sufficient background and experience. NSIFT/ESPMU organizational chart is presented below.

**Risk assessment.** Risk assessment includes defining, identifying, analyzing, and determining how to manage risks. NSIFT/ESPMU accounting staff consistently monitors the risks associated with contract implementation and payments, as well as the risks resulting from foreign exchange movement that could adversely affect the implementation of the Project.

**Control Activities.** NSIFT/ESPMU internal control system ensures:

- Proper segregation of duties
- Proper Authorization
- Proper recording, accounting reconciliation and arithmetic controls
- Physical safeguards of the assets and resources.

The system enables the FM/accounting staff of NSIFT/ESPMU to:

- Verify documents submitted for payment,
- Disaggregation of information among specialists:

- Regarding preparation of draft Withdrawal Application with attachment of all required documents,
- signing of documents by one of the Authorized Persons having the right of First Signature- by the Executive Director,
- Reviewing Withdrawal Application by the Financial Manager (name of the project, category of expenses, donor and disaggregation by project for operational expenses),
- Breaking down of transactions by accounts, crosschecking: one specialist carries out transactions in 1C system, another one- verifies payments and signs payment orders, conversion by the bank's countersignature;
- Verification of completeness of accounting records and documents when entering in 1 C system (project, category, component, share, terms, threshold, payment schedules under the Contract, confirming documents, signatures),
- Regular verification of mutual settlement of accounts with debtors and creditors regarding accountable and advance amounts;
- Regular reconciliation of the project accounting records with SOEs, bank account balances and the World Bank Client Connection data
- Verification of accounting data:
  - Monthly receipt of the statements from the bank accounts shall be verified with documents, followed by the Analysis of the accounts; executor shall prepare and sign those; the Financial Manager shall view and approve,
- Control over compliance with the budget under the project categories and expenditure components
- Ensure integrity and confidentiality of information:
  - Conducting annual stock-taking of fixed assets of NSIFT
  - Establishment of reserve copies of the bank data subject to computerized management;
  - Duplicated electric charge in case of network disconnection; uninterrupted power supply is provided to all the equipment;
  - Prevention of misuses resulting from collusion among employees:
- ✓ Disaggregation of responsibilities
- ✓ Allowing for annual vacation leaves for all the employees according to the schedules
  - Financial Manager and disbursement specialist shall regularly carry out tabular analysis of use of the allocated and available funds of Grant and credit by categories by XDR/USD/TJS with analysis of tracking of the available funds taking into account the reserved amounts as per the contracts signed.

For USD/XDR reconciliation purposes the Financial Manager will monitor the movement of the exchange rate and its effect on the funding available under the Project categories. Such monitoring will be conducted regularly, at least quarterly, and more frequent closer to the end of the project. This will help to timely identify the need for relocation between the project categories, or the overall need in additional financial sources for the project in case significant adverse movement of the exchange rate. The sample monitoring form is presented in Table 9.1 below:

**Table 9.1. Sample Monitoring Form**

**Grant:** IDA\_\_\_\_\_

**Status:** \_\_\_\_\_

**Country:** Republic of Tajikistan

**Project: CSP**

Exchange rate on xx.xx.20XX, 1 SDR =

Category Category Description	Amount Allocated (expressed in XDR)	Disbursed (Clientconnection XDR)	Undisbursed WB XDR	Undisbursed WB XDR USD	Paid from DA and AW is not submitted to WB USD	Amount Allocated USD	Unallocated funds available USD
(1) Goods, works, non-consulting services, consulting services, Training, and Incremental Operating Costs under Part 1 of the Project							
(2) Subgrants under Part 2 of the Project							
(3) Goods, consulting services, non-consulting services Training, and Incremental Operating Costs under Part 3 of the Project (other than those financed under the Grant Agreement)							
(4) Goods, consulting services, non-consulting services, works, Training, and Incremental Operating Costs under Part 4 of the Project							

**9.6. Ensuring Internal Control**

The ESPMU Executive Director is responsible for implementation of internal control functions of the organization as a whole and Project Component 1 implemented by the Agency.

The NSIFT Executive Director, responsible for implementation of internal control functions of the organization as a whole and Projects implemented by the Agency.

The goals, tasks, powers, subordination, reporting procedure and staff are determined by the internal documents of NSIFT/ESPMU and this Project Operational Manual, taking into account the requirements of the current legislation of the Republic of Tajikistan.

The Internal control goal is to ensure transparency, manageability and efficiency of NSIF/ESPMUT and implementing projects through the formation of an optimal control environment.

The main tasks of the internal control are:



- Evaluation of effectiveness of internal control systems and its compliance with goals and objectives of the institution and the Projects
- Evaluation of reliability and sufficiency of financial accounting, management and other information within the framework of annual audit plans
- Assessment of compliance of the activities of NSIFT/ESPMU structural subdivisions with normative legal acts, specified functions and approved business plans
- Assisting the managers of the objects of the NSIFT/ESPMU audit in the development of measures (corrective steps) based on the results of the conducted audits, as well as monitoring progress in the implementation of activities
- Consultations of the Agency's employees on risk management, control
- Support and interaction with NSIFT/ESPMU units / functions on issues related to internal audit
- Coordination of activities with external auditors in order to avoid duplication of efforts and minimize audit costs
- Assistance in investigation of fraud and informing the Executive Director (management of the agency) about the results of investigations
- Carry out other tasks and participate in other activities at the request of the Executive Director (management of the agency), regarding the implementation of the functions of the internal audit department.

NSIFT Executive Director/ESPMU Executive Director are authorize according staff for following activities:

- Draw up annual audit plans, identify audit objectives and scopes, make decisions on frequency of audits
- Request and receive unimpeded access to any assets, documents, accounting records and other information on the activities of NSIFT/ESPMU, make copies of documents
- Study and evaluate any documents requested during the performance of audit assignments and send these documents and / or relevant information to the Executive Director
- Consider the advisability of accepting a consultancy assignment to determine the potential benefit of a task to improve the risk management process and the organization's activities within the scheduled time for the provision of advice
- Request and receive the necessary assistance from the employees of the units where the audit is conducted, as well as assistance to employees of other NSIFT/ESPMU units / functions
- Bring to the notice of the Executive Director any proposals for improving existing systems, processes, policies, procedures, methods of conducting business, as well as comments on any issues related to the conduct of internal audit specified in these Regulations
- In consultation with the Executive Director, use the services of independent appraisers and other experts in the performance of their duties
- If necessary and with the consent of the Executive Director, involve other NSIFT/ESPMU employees as experts in the performance of audit assignments.

Interference of the Third Parties into the process on identifying audit objectives and scope, carrying out work and presenting a report on results is not allowed.

In accordance with the approved annual plan of the NSIFT/ESPMU Internal Audit, various stages of CASA1000 CSP implementation shall be audited, including assessment of social mobilization, procurement (tenders) and payments. Under such audit / review, the Project effectiveness, achievement of results / indicators, and the Project implementation in communities regarding their sustainability and other issues will be checked.

Prior to the beginning of the audit / review, the NSIFT/ESPMU authorized specialist should prepare an audit program coordinated with the NSIFT Executive Director/ESPMU Director.

The results of the audit / review should be provided directly to the NSIFT Executive Director/ESPMU Director.

### **9.7. Travel Expenses**

A “business travel” means a trip upon the order of the NSIFT/ESPMU Management for a certain period to fulfill assignments beyond the office.

The basis for sending employees on business trips is the order of the Executive Director, on the basis of the travel schedule signed by the Project Coordinator.

Human Resources Specialist/Legal Specialist shall prepare an order for an employee to go on a business trip direction; and the data shall be entered in the table. A travel certificate shall be provided in one copy and signed and stamped by the organization upon departure.

The amount of travel expenses is determined on the basis of:

- Approximate cost of travel in both directions, per diem and accommodation.

Advance report shall be provided for use of funds by the accountable person within 5 (five) business days after returning from a business trip. Advance report should have detailed report about the trip with indication of visited sites, duration, date, location and objective of the trip. Report shall be accompanied by all the supporting documents - receipts, invoices, statements, contract for the provision of transport services, receipt and statement of accomplished works, a copy of the patent and the insurance policy with the date and scope of services. The balance of undisbursed funds shall be returned to the cashier or transferred to the transit account of the Project.

### **9.8. Rate for Accommodation and Per Diem**

Daily expenses shall be provided in the amount of TJS 40 (Dushanbe), and TJS 30 in the regions according to the GoT’s Decree No.531 dated October 31, 2008 (issuance #352 dated June 3,2014), coming effective on 1 January 2015.

The costs for hotel accommodation shall be paid according to the GoT’s Decree No.531 (issuance #352 dated June 3, 2014) dated October 31, 2008, coming effective on 1 January 2015, in the amount of TJS 120 (Dushanbe), at the oblast, city and region level in the amount of TJS 80, and other level in the amount of TJS 40 upon the documents provided. The receipt/invoice indicating the name, date, amount.

In the absence of documents, TJS 60/40/20 shall be paid for 1 day of stay, which is 50% of the per diem according to the GoT’s Decree No.531 (issuance #352 dated June 3, 2014) dated October 31, 2008.

### **9.9. International Business Trip**

The size of the costs (per diem, accommodation) shall be paid according to GoT’s Decree No.531 (issuance #352 dated June 3, 2014) dated October 31, 2008. International business travel related to the project, to be funded from the Project, must be agreed with IDA. Travel budget shall be approved by the Executive Director on the basis of the approval of donor, with articles of expenses for visa, travel expenses within the host country, air ticket, accommodation/ per diems and insurance costs. In

particular, the NSIFT/ESPMU should agree on the objectives and / or program of the trip, participants and cost estimates for such trips.

#### **9.10. Fixed Assets Accounting**

Fixed assets include tangible assets with the operation life of more than one year, and which are used for administrative purposes.

All fixed assets purchased in project implementation shall fully be managed by NSIFT/ESPMU. The records for the acquired tangible assets shall be kept with the registry of inventory and serial number for each item of fixed assets by classifications.

Operations for accounting of fixed assets (delivery, acceptance for accounting, transfer, cancellation) shall be registered in the relevant documents.

#### **9.11. Writing-Off of Fixed Assets**

Assets, the actual service life of which is longer than the period used for calculation of depreciation, shall remain on the balance sheet until expiration of physical operation of the asset, or until its loss due stealing or actual loss. To write-off the fixed assets, a commission shall be established, a deficiency act shall be provided to confirm the inadequacy of the fixed asset accompanied with the corresponding order, approved by NSIFT Board and Investment and State property management Committee of RT. In case of stealing or loss, an employee's application, a written consent of Executive Director of NSIFT and a certificate from the police authorities shall be provided.

ESPMU assets, the actual service life of which is longer than the period used for calculation of depreciation, shall remain on the balance sheet until expiration of physical operation of the asset, or until its loss due stealing or actual loss. To write-off the fixed assets, a commission shall be established, a deficiency act shall be provided to confirm the inadequacy of the fixed asset accompanied with the corresponding order, approved by ESPMU Commission and Investment and State property management Committee of RT. In case of stealing or loss, an employee's application, a written consent of Executive Director of SE ESPMU and a certificate from the police authorities shall be provided.

#### **9.12. Inventory Process**

Inventory is a composition of the actual amount of assets purchased under the project irrespective of its location with the accounting data.

The inventory of fixed assets of the project is carried out every year, as well as in case of change of accountable persons, when the fact of stealing, abuse and damage to property is established, as well as in the event of natural disaster, fire or other emergencies, or in other cases envisaged by legislation of the Republic of Tajikistan.

Annually inventory shall be carried out in order to monitor effective, intended use, as well as the physical availability of equipment. An order shall issue to conduct an inventory of the property with the establishment of the commission and responsible persons and dates.

#### **9.13. Maintenance of Vehicles and Fuel**

Once a month, a waybill and route sheet shall be provided for each driver of the vehicle. The waybill shall indicate the reading of odometer at the beginning and end of the period, i.e. the mileage of the

car, as well as fuel consumption. This process shall be checked by an administrative officer based on, which distributes fuel by projects, depending on whether one or the other trip was made on any project. Each driver shall provide a report on a waybill and route sheet once in a month, where they mark every trip with indication kilometers signed by the employee initiating the trip and confirmed by the NSIFT Executive Director/ESPMU Executive Director.

Every driver is provided with a fuel card to fuel his vehicle (gasoline A-92), which should be used by fueling stations of the selected company contracted by NSIFT/ESPMU.

Selected, contracted company shall provide a monthly electronic report on fueling and an invoice to NSIFT/ESPMU. The administrative offices shall, based on details and drivers' reports, the vehicles' route indicating kilometers shall write off gasoline and lubricants and withdraws according to consumption by each vehicle in compliance with the norms specified in the data sheet. Fuel balance in the tank at the end of the month, the balance of fuel shall be used next month. Provision of fuel and lubricants shall be strictly limited per each vehicle per month in accordance with the annual budget. Fuel shall be replenished over the limit, if necessary, in the event of business trips using a vehicle, and the driver shall be seconded in accordance with the order signed by the NSIFT Executive Director/ESPMU Director.

Sustainable safety of vehicles shall be the responsibility of the drivers responsible for their according to the agreement on material liability signed between the driver and NSIFT/ESPMU. Each driver shall park his vehicle in a safe place when it is not in use and during off-hours. Drivers shall monitor the technical condition and keep the vehicle clean. Drivers shall notify NSIFT/ESPMU on the need in technical maintenance. Administrative officer shall maintain records on the maintenance and repair of vehicle.

#### **9.14. Insurance of NSIFT's Property and Vehicles**

NSIFT/ESPMU insured property and vehicles with the insurance company according to the signed contract:

- Insurance of the drivers and passengers in case of car accidents;
- Vehicles.

The main risk group to be covered by the insurance contract shall be the following types of:

- Fire, lightning, explosion of gas used for domestic purposes
- Natural disasters: earthquakes, monster volcano, storm, hurricane, flood
- Exposure to water: flooding from nearby objects or ground water, water and heating pipes breakthroughs, fire protection systems
- Theft, robbery, hooliganism with trespassing
- Breaking windows and other glass structures
- Fall of objects: trees, light poles, aircraft and their parts
- Car accidents
- Hijacking
- Malicious acts.

#### **9.15. Payroll**

The time sheet is filled out monthly in 1C system on the basis of a hard copy of the time sheet. The report sheet is signed by the Chief Specialist for Personnel Development of the Administrative

Department, Project Coordinator, Financial Manager and approved by the Executive Director with a hard copy.

Wages, sick leave, deductions from wages, income tax and contributions for social insurance shall be reflected in the payroll to be signed by a disbursement specialist and by an authorized signatory of the first signature. Electronic version of the payroll shall be sent by e-mail to commercial bank for further crediting the salary to the employees' personal bank accounts.

Remuneration during the period of temporary disability shall be made on the basis of sick leave issued by medical institutions, in accordance with the current legislation of the Republic of Tajikistan.

#### **9.16. Payment for Training**

Training means study visits, training courses, seminars and other training activities associated with the Project and not included in contracts with service providers, including cost of training materials, rental of premises and equipment, travel expenses, accommodation and meals for participants and trainers, trainers' fees, fee for course and other related costs, all on the basis of annual budgets satisfactory for the Association.

Annual budgets should be prepared and approved before the beginning of the fiscal year. When planning a training, there is a need on preparation of the training budget indicating the title, date, venue of the training by expenditure articles and the amounts to be signed by the executor, agreed with Financial Manager and approved by the NSIFT Executive Director and agreed with IDA:

- a. Title of training, venue, date or terms,
- b. List of participants, name, position and signature
- c. Travel expenses of participants on the basis of:
  - Air tickets based on boarding passes (in case of absence on the basis of a written request by NSIFT / Project and confirmation of the flight by name from the airline) – through transfer or cash.
  - Accounts of the Contractor of PE / IP under the Contract for the provision of transportation services, the Service Performed Act, copies of the patent with the date, the scope of services provided) – through transfer or cash.
  - In the case of rental of vehicles, the trainees shall be provided with a contract for transport services, receipt and Statement of accomplished works, a copy of the patent and the insurance policy with the date; the funds are to be transferred to the account of the Project responsible specialist or by cash who submitted the application for payment with further submission of advance payment report.
- d. Payment for stationery/reproduction of handout materials based on:
  - Invoices indicating the name of the goods, quantity and amount to the service provider-by transfer or cash.
  - in exceptional cases, the absence of the Contractor's bank details, in remote regions where there is no opportunity to transfer funds - by agreement with the management, on the basis of a check-of cash register machine (CRM), or a purchase certificate with a copy of the patent with the date and field of activity, the funds are to be transferred to account of the Project responsible specialist or by cash who submitted the application for payment with further submission of advance payment report.

These stationery materials or materials are distributed to the participants of the training that should sign a distribution list, confirming receiving them. This serves as the basis for writing off stationery

(indicating the name of the participant, the name of the stationery, the number and signature of the participant (recipient)).

- e. Payment for catering to participants on the basis of:
  - Invoices indicating the name, quantity, amount, Service Agreement, invoice / Act of performed services, certificate or copy of the patent and insurance police with the date, the scope of the services provided - by transfer or by cash.
  - In exceptional cases, the absence of the Executor's bank details, in remote regions where there is no opportunity to transfer funds - by agreement with the management, on the basis of a check-of cash register machine (CRM), or a purchase certificate with a copy of the patent with the date and field of activity, the funds are to be transferred to account of the Project responsible specialist or by cash who submitted the application for payment with further submission of advance payment report, the Act to write-off products used for organization of nutrition for participants shall be prepared with signing by several members of the training.
- f. Payment for accommodation services to participants on the basis of:
  - Hotel invoices for payment indicating the names of the participants, the date of residence, the amount, the contract, the Act of the executed services signed on both sides - by transfer or by cash.
  - In exceptional cases, the absence of the Executor's bank details, in remote regions where there is no opportunity to transfer funds - by agreement with the management, on the basis of a check-of cash register machine (CRM), or receipt with stamp of State Tax Inspection (STI), indicating the name of participant, date of accommodation, and funds are to be transferred to account of the Project responsible specialist or by cash who submitted the application for payment with further submission of advance payment report.
- g. Payment for renting the hall on the basis of:
  - Invoices for payment indicating the date of conduction and amount - by transfer or by cash.
  - In exceptional cases of the absence of bank details of the Executor in remote regions where the premises cannot be provided, it is permissible, by agreement with the management, on the basis of a check-of cash register machine (CRM), or receipt with stamp of State Tax Inspection (STI), indicating the name of participant, date of accommodation, and funds are to be transferred to account of the Project responsible specialist or by cash who submitted the application for payment with further submission of advance payment report.

Based on training completion results, budget execution report shall be prepared for all items of expenditure and descriptive report.

NSIFT should avoid be providing cash advances for the training needs. In cases when it is not possible, those amounts could be provided to a responsible staff in installments, after receiving the proof of the eligible use of the previous tranche (e.g. after receiving the scanned copies of documents proving occurrence of eligible expenditures at the end of each training day or two).

The confirmation of the participants' list and actual presence of the trainees as recorded in the participants' list, as well as correctness and actual occurrence of expenditures in petty cash distribution sheets for reimbursement of trainees' expenditures (such as transportation, accommodation cost and per diems) will be approved by the trainer and another responsible staff of NSIFT. The participation and cash distribution lists should include trainees contact details (such as mobile phone numbers), which would enable NSIFT to conduct ad hoc verification of participants lists and distributed cash amounts.

#### **9.17. Project Incremental Operating Costs**

Project incremental operating costs include the costs associated with the implementation, management and monitoring, including office rent, operation and maintenance of vehicles, office equipment and supplies, communications costs, support for information systems, translation costs, bank charges, travel and per diem costs, salaries of contractual staff, social charges, office administration costs and other reasonable expenditures directly associated with carrying out the Project, as agreed with IDA; and based on an annual budget acceptable to IDA.

For each project, in preparing the budget for the year, an analysis of available resources shall be carried out by category of expenditure and currencies SDR/USD/TJS. Based on the data, the analysis shall be carried out; at the beginning, the funds shall be calculated on the duration of the project and allocated for the year (quarter, month), all the expenditure items shall be carefully analyzed before budget planning. As a result, we see a picture of each project: the purpose and timeline of the articles for all the projects.

Project operating costs relating to all projects, in particular communal costs (electricity, heat, water and waste), Internet, communication services, office security and others shall be allocated to projects in proportions/amounts agreed with donors.

#### **9.18. Controls Over Bank Guarantees**

The disbursement specialist will be responsible for the due diligence process for and monitoring of the bank guarantees (or other corresponding guarantees) received during the Project implementation. The disbursement specialist will register the bank guarantees in registration book, verify its compliance to the sample formats acceptable to IDA, constantly monitor approaching the bank guaranty expiration date, and inform the financial manager on the need to take respective actions: 14 days before expiration of the bank guarantee, the supplier/contractor/consultant should be requested to provide the extension of the guarantee, otherwise, if there is a need (for example, in case the advance was not fully recovered), to submit to the issuing commercial bank a request for encashment of the guarantee.

The disbursement specialist will also be responsible for timely and proportional recovery of advance paid from subsequent payments to suppliers/contractors/consultants in accordance with the contract and bank guarantee terms.

#### **9.19. Filing and Archiving Procedures**

NSIFT/ESPMU has adopted the procedures for filing/document management with the aim to ensure proper control and security of the overall documentation, internal distribution of data and information, tracking tasks and their execution.

Responsible staff is assigned to keep certain types of documents. The project's financial and disbursement documents and payment supporting documents should be kept with Accounting department. The Procurement Specialist shall be responsible for keeping all procurement related documents and shall be responsible for preserving the original copies of the overall correspondence, translated copies, internal acts as well as copies of all newspaper articles and press releases relating to the Project.

Letters submitted to NSIFT/ESPMU are registered, numbered, the date of the acceptance marked by Receptionists, as well as notes stating to which department it is addressed.

For project implementation, the supporting documentation for each payment (invoice and attached statements of work, a copy of the signed payment order, and the copy of instruments delegating

signature authority, if appropriate) shall be filed using a chronological numbering system. Upon the completion of the Project the documents shall be archived and kept within 5 years as minimum.

#### **9.20. Conflict of Interest and Fraud Reporting**

Conflict of interest shall be interpreted but in no way limited to the following: any past, present or prospective economic, financial and private direct and/or indirect (through relatives or partners) interest, as well as ownership or other links with the NSIFT/ESPMU staff or companies, project developers and individuals involved in projects financed directly by NSIFT/ESPMU. It is expected that all officers, trustees, and staff of NSIFT/ESPMU will at all times adhere to the highest ethical standards in all matters.

Where any officer, trustee, or staff member, or any spouse (or other person with whom one cohabits), or lineal descendant or ascendant of same respectively, is an officer, director, or staff member of, or has a financial interest in, any other association or other organization (including any vendor of goods or services) with which NSIFT/ESPMU has entered into, or is considering entering into, any contract or other transaction, such officer, trustee, or staff member shall disclose in writing to the NSIFT/ESPMU director all material facts as to the relationship or interest. Individuals with conflicts of interest must reclude themselves from participating in any part of the decisions related to the transaction giving rise to the conflict.

No officer, trustee, or staff member shall use, for financial or other advantage, confidential or proprietary information accessed by virtue of his or her position with NSIFT/ESPMU. Information does not need to be marked as "proprietary" or "confidential" before this policy applies. Types of information NSIFT/ESPMU considers proprietary or confidential include, for example, computer programs and databases, such other information as personnel files, research and development information, strategic plans, technical information, financial information, and advice of accountants and legal counsel. Only individuals to whom proprietary and confidential information must be disclosed in the performance of duties have a need to know this information.

Each case of fraud, waste or misuse of project resources or property identified by NSIFT/ESPMU employee shall be reported in writing to its direct supervisor or to the NSIFT director if the issue is neglected or unsettled by the supervisor. Should the NSIFT/ESPMU director fail to undertake any action for suspending such fraud, waste or misuse, the issue shall be submitted to the higher authority of NSIFT/ESPMU in writing by the same employee with sending a copy of such notification to the person having committed an act of fraud, waste or misuse.

#### **9.21. Fund Flows**

The Executive Director of NSIFT/ESPMU shall be authorized for management of project bank/treasury accounts. Each Implementing Agency will have separate project bank/treasury accounts. NSIFT/ESPMU shall in writing request the MoF RT to open separate account with a state or commercial bank under the Project. The Bank that will open the project accounts shall be acceptable for IDA and GoT. A two-party Agreement shall be signed for opening the accounts between the NSIFT/ESPMU, and state or commercial bank. Accounts shall be separately opened for each source as follows:

- Designated account for IDA Grant in USD
- Transit account for IDA Grant in TJS
- Designated account for MDTF Grant in USD
- Transit account for MDTF Grant in TJS



- Tender Account in TJS.

The NSIFT/ESPMU Executive Director or authorized person in accordance with Executive Director's Order shall act as primary signatories to the project accounts, while the Financial Manager shall have a right of countersignature. The cards with signatures of the authorized persons and stamp shall be notarized or approved by the Investment and state property management Committee of Republic of Tajikistan and the Original card is provided to the Commercial Bank, in which the project accounts are opened, in accordance with the signed double Agreement for opening and maintaining accounts for CSP, NSIFT/ESPMU and state or commercial bank.

## 9.22. Designated Accounts

Based on the Agreement for the CASA1000 Community Support Project signed between the Government of Republic of Tajikistan (GoRT) and the World Bank, NSIFT/ESPMU shall open designated bank accounts for IDA grant in US dollars in state or commercial bank acceptable to IDA.

Disbursements from the IDA Grant Accounts will follow the transaction-based method, i.e., traditional Bank procedures, including advances to designated accounts, direct payments and special commitments as outlined in the Project Disbursement and Financial Information Letter (DFIL) dated 14 February 2019 and the World Bank Disbursement Guidelines for Projects dated February 2017 (the "Disbursement Guidelines") is available on the Association public website (<https://www.worldbank.org>). Applications for withdrawal will be filled in through the World Bank's Client Connection ([clientconnection.worldbank.org](http://clientconnection.worldbank.org)) using electronic tokens and endorsed by the NSIFT/ESPMU. ESPMU will be filled WA in through the WB Client connection system but ESPMU has not electronic tokens. IDA shall receive a list of authorized signatories following the templates provided in the DFIL on the letter head of the MoFRT on behalf of NSIFT/ESPMU- Executive Director and Financial Manager with the authorized signatures for Applications.

The filled and signed withdrawal applications with supporting documents, applications for receipt of special commitments with a copy of a letter of credit of a commercial bank shall be sent to IDA (through a Client Connection system website) in electronic form. All the applications shall be numbered in ascending manner, separately and subsequently indicating Grant and Credit, once applications are drawn. Instructions for filling of withdrawal applications and disbursement procedures are provided in the manual "WB Disbursements".

The Ceilings for the designated Accounts for Grant shall be USD 500 000 and for MDTF grant shall be USD 100 000. Documentation of expenditures made from advances provided to the Project Designated Accounts shall be done on a quarterly basis or, if required, more frequently. The minimum value of applications for Reimbursement, Direct Payment and Special Commitment is USD 100,000 equivalent within the Loan and is USD 20,000 equivalent within the MDTF.

The maximum payout for a special account of ESPMU is up to \$ 300,000, but a minimum amount of applications for reimbursement of up to USD 50,000.

Supporting documents should be provided with each application for withdrawal as set out below:

### a. **For requests for reimbursement of expenses and reporting on eligible expenses paid from DAs:**

- Records evidencing eligible expenditures (e.g. copies of receipts, suppliers' invoices) for payment for: *works, goods and non-consulting services* against contracts valued at USD 200,000

equivalent or more; *consultants' services* against contracts valued at USD 200 000 equivalent or more for firms; and USD 50,000 equivalent or more for individual consultants.

- Statement of Expenditures in the form attached to the Disbursement letter (Attachment 4 of the Disbursement Letter) for all expenditures/contracts including *training and incremental operational costs*.
- List of payments against contracts that are subject to the Bank's prior review, in the form attached to the Disbursement letter (Attachment 5 of the Disbursement Letter and Annex 9.1 below).
- A Designated Account reconciliation statement in the form attached to the Disbursement letter (Attachment 6 of the Disbursement Letter and Annex 9.2 below) and corresponding bank account statements.

**b. For requests for direct payment:**

- Records evidencing eligible expenditures, e.g. copies of receipts, suppliers' invoices.
- Minimum Value of Applications for Direct Payment, Reimbursement and issuance of Special Commitments shall be USD 200,000.

**c. Special Commitments**

- Copy of the Letter of Credit

As specified in the Disbursement Letter, to the extent practicable, the proceeds of the IDA Grant shall be disbursed before the proceeds of the IDA Credit.

**d. Transit account**

Transit Accounts shall be opened separately for each Designated Account and used solely for currency exchange purposes (US dollars from the designated accounts into TJS). Transfers from the Designated Accounts to the Transit Accounts shall be used for payments in the national currency only. The Transit Accounts shall have a minimum balance at all times to avoid accumulation of exchange rate differences which are not eligible to be covered from the project funds. The need for local currency funds shall be estimated based on transactions entered into the accounting system for the current day. The transit accounts will be opened and maintained in the state or commercial bank, where the DAs are held.

**9.23. Cash Transactions**

Cash receipts are:

- Replenishment of funds from bank/treasury accounts withdrawn based on receipt,
- Return to staff of undisbursed share of advance payments for travel expenses and small purchases. Receipts shall be documented through Cash receipt order. The receipt must be certified with the stamp and signature of a financial manager and disbursement specialist that is issued to all employees who return cash.

**Withdrawal receipts.** The balance of funds should always be kept in the safe. When the check is canceled, the disbursement specialist crosses out the check "canceled" with ink through the front of the check and stores it in the checkbook.

The Financial Manager should review all canceled checks to avoid suspicious notes or change the amount of the check or the payee; It is also necessary to verify that all canceled, invalid checks are sequentially numbered.

**Cash store.** Cash withdrawn from the bank account shall be stored separately in a safe; it is not allowed to use the funds of other projects to cover expenses. Accounting for receiving funds for projects is carried out separately. The disbursement specialist shall withdraw cash on the basis of the application or expense report for compensation. Withdrawal of cash is made in exceptional cases. Exceptional cases should be properly documented by exception reports and be approved by NSIFT/ESPMU director.

**Use and types of cash payments.** Receiving and disbursing funds from the Project cash desk are considered as cash transactions and performed in accordance with the cash payment procedure. All cash transactions are made by the Disbursement Specialist who is a staff with full financial responsibility.

From the cash desk, cash can be issued for the project purposes.

**Cash registration.** On a monthly basis, the Disbursement specialist should prepare a cash flow statement for the project.

#### **9.24. Tender Accounts**

Tender account shall be opened in TJS and USD. The account shall be used for accumulation of funds provided by bidders. Tender funds shall be used for the activities associated with arrangement of tender processes, including announcements, multiplication of tender documents, purchase of paper, toner, cartridge and cabinet or accessories for storage of tender documents or for other purposes of the project by order of the Executive Director of the NSIFT/ESPMU.

#### **9.25. Disbursements**

Payments are made only for purposes of CASA1000 CSP implementation as specified in this Operating Manual. All payments under the Project will be carried out, according to the supporting documents, invoices for payment/invoices, way-bills, work performed acts to be attached to the signed contracts/agreements. NSIFT/ESPMU, each implementing agency for its mandate, is responsible for the correct use of funds deposited on the Project accounts. All payments are made directly from the project accounts (or the World Bank in case of direct payment) to counterparty accounts.

**Disbursements under Component 1:** Subcomponent 1A for Col village investment ESPMU/BT

- Payment for components 1A and B (contracts for the supply and installation of equipment and work) is made by direct payment
- To provide all the necessary supporting documents for the performance works
- Invoice according to the contract
- Performance Works (ABP), signed by the Contractor, Chairman of the PSC, engineer for technical supervision of ESPMU, CSP Project Coordinator and approved by the Chairman/Executive Director of BT/Center
- An application is being prepared to pay for the contractor through electronically through the WB Client Connection system

Payout under component 1 for consulting services

- Payment is made from the special account

- To provide all the necessary supporting documents for Performance work
- Invoice according to the contract

#### a. Advance payment

The advance payment amount under the contracts of the Component 1 should not exceed 20% of the contract amount.

Advance payment is made upon submitting:

- i. Advance Payment Bank Guarantee (no more than 20% of the contract amount);
- ii. Covering letter,
- iii. Invoices for payment (for advance payment)

After confirming the authenticity of the bank guarantee, ESPMU makes a full prepayment.

#### b. Subsequent payments

Performed on the basis of:

- i. A cover letter addressed to the ESPMU Executive Director signed by contractor
- ii. The Invoice, signed by the Contractor, technical supervision engineer, CSP infrastructure engineer, CSP Project Coordinator and approved by the ESPMU Executive Director,
- iii. Invoice for payment signed by the Contractor

At the same time, the amount of each subsequent invoice for payment should be made by reducing the amount of Work Completed Act (WCA) by 10% (deduction of amount of contract implementation guarantees), decreasing the share of advance payment repayment.

#### c. Return of retention money

The refund of the retained guarantee amounts is made in accordance with the terms of the contracts; the initial 5% is paid on the basis of the Statement of Accomplished Works and the Certificate of Acceptance of Investment Costs, and the remaining 5% is paid after the expiration of the Defects Liability Period, or on the basis of a Bank Guarantee (the contract should also state that if the project is close to completion, the contractor is required to provide a Bank Guarantee for a Defects Liability Period for obtaining a guarantee amount of 5%):

- i. A cover letter addressed to the Executive Director signed by Contractor

#### d. Invoice for payment signed by the Contractor, the **Return of retention money**

The refund of the retained guarantee amounts is made in accordance with the terms of the contracts; the initial 5% is paid on the basis of the Statement of Accomplished Works and the Certificate of Acceptance of Investment Costs, and the remaining 5% is paid after the expiration of the Defects Liability Period, or on the basis of a Bank Guarantee (the contract should also state that if the project is close to completion, the contractor is required to provide a Bank Guarantee for a Defects Liability Period for obtaining a guarantee amount of 5%):

- i. A cover letter addressed to the Executive Director signed by Contractor
- ii. Invoice for payment signed by the Contractor,
- iii. The Project Engineering and Technical Specialist of the CSP.

### Disbursements under Component 2: Community-led Investments in Socio-Economic Infrastructure

- Disbursements for subgrants and for the consulting services, including technical design for communities. **NSIFT and Jamoat** sign the Framework Agreement on awarding a grant to implement subproject.
- In accordance with the Framework Agreement, **the NSIFT and JPC** shall sign a contract for supply of works with the selected Supplier. According to the Framework Agreement, the NSIFT should pay for preparation of DDE.
- The contractor's Statement of accomplished works (SAW) or invoices are initially paid from the Project funds.

#### **e. Advance payment**

The advance payment amount under the contracts of the Component 2 should not exceed 20% of the contract amount.

Advance payment is made upon submitting:

- Advance Payment Bank Guarantee (no more than 20% of the contract amount);
- Covering letter, signed by JPC
- Invoices for payment (for advance payment).

After confirming the authenticity of the bank guarantee, NSIFT makes a full prepayment.

#### **f. Subsequent payments**

Performed on the basis of:

- A cover letter addressed to the NSIFT Executive Director signed by JPC
- The Work Completed Act (WCA), signed by the Contractor, Chairperson of VPC, technical supervision engineer, Chairperson of JPC, CSP infrastructure engineer, CSP Project Coordinator and approved by the NSIFT Executive Director, the Jamoat Technical Supervisor, the Project Engineering and Technical Specialist and approved by the NSIFT Executive Director
- Invoice for payment signed by the Contractor, the Chairperson of JPC (or an authorized person), the Project Infrastructure Engineer.

At the same time, the amount of each subsequent invoice for payment should be made by reducing the amount of Work Completed Act (WCA) by 10% (deduction of amount of contract implementation guarantees), decreasing the share of advance payment repayment.

#### **g. Return of retention money**

The refund of the retained guarantee amounts is made in accordance with the terms of the contracts; the initial 5% is paid on the basis of the Statement of Accomplished Works and the Certificate of Acceptance of Investment Costs, and the remaining 5% is paid after the expiration of the Defects Liability Period, or on the basis of a Bank Guarantee (the contract should also state that if the project is close to completion, the contractor is required to provide a Bank Guarantee for a Defects Liability Period for obtaining a guarantee amount of 5%):

- A cover letter addressed to the Executive Director signed by Contractor
- Invoice for payment signed by the Contractor, the Jamoat Head (or an authorized person), the Project Engineering and Technical Specialist of the CSP.

**Consulting services under Component 2.** Consulting services for the Component:

- Consultants to develop the detailed design and estimation documentation (DDE)
- Design supervision
- Technical Supervision.

### **Disbursements under Component 3: Community Mobilization, Capacity Building, and Local Governance**

Payments under the Component 3 will be made for consulting services, goods, training for capacity development of communities, in accordance with general provisions (Financial Management). Payments are made on the basis of the payment schedule specified in the contract, and the invoice signed by the contractor and responsible NSIFT specialist specified in the contract. And also on the basis of the training budgets and application submitted by the NSIFT staff, approved by the CSP Coordinator and NSIFT Executive Director.

### **Payments for Component 4: Project Management, M&E, and Communications**

Payments under the component will be carried out in accordance with the general rules on the basis of the schedule of payments, invoices and the report/acceptance report signed by the contractor and the responsible NSIFT specialist specified in the contract, audit services, purchase of goods and operating costs.

All Project operational costs, including office costs, operation and maintenance of vehicles including fuel expenses, operation and logistics of the office, communications, information system support, translation services, payment for banking services, fees for services, travel, per diem, transportation expenses, staff salaries, social deductions from the enterprise, cover costs and other reasonable expenses directly related to the implementation of the Project, as well as earnings for salaries of administrative staff to support the implementation of the project

#### **9.26. Auditing Arrangements**

**External audit.** Under CSP, external audit of the project's financial statements will be conducted annually: (i) by independent private auditors acceptable to the IDA, on terms of reference (ToR) acceptable to the IDA, and procured by NSIFT/ESPMU; and (ii) according to the International Standards on Auditing (ISA) issued by the International Auditing and Assurance Standards Board of the International Federation of Accountants (IFAC).

The annual audits of the Project financial statements shall be provided to the IDA within six months after the end of each fiscal year and at the Project closing. **Payment for the auditors will be made on Component 4 (Subcomponent 4A).** The sample audit Terms of Reference agreed with IDA.

NSIFT/ESPMU shall disclose for public an audit report under the Project within one month after receipt thereof from auditors, and acceptance by IDA, at the NSIFT/ESPMU web-site.

Following the Bank's formal receipt of these reports from the Borrower, the Bank will make them publicly available according to World Bank Policy on Access to Information.

NSIFT/ESPMU will provide the auditor with free access to all project documents and records and all other information that may be required for the auditing purposes.

NSIFT/ESPMU, as well as Jamoats (who received sub-grants) will provide the auditor with free access to all documents, records and all other information that may be required for audit purposes.

## **ANNEXES**