



AGA KHAN FOUNDATION

Aga Khan Foundation
(AKF)

KYRGYZ REPUBLIC

Community Engagement and Social Accountability Grant
To support the CASA1000 Community Support Project

PROJECT OPERATIONS MANUAL

APPROVED
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ABBREVIATIONS

AA	Aiyl Aimak
AK	Aiyl Kenesh
AKF	Aga Khan Foundation
AO	Aiyl Okmotu
ARIS	Community Development and Investment Agency
ARIS HO	ARIS Head Office
CB	Capacity Building
CBO	Community-Based Organization
CDSO	Community Development Support Officer
CSP	Community Support Project
C-VIA	Corridor Village Investment Association
DC	Direct Contracting
EA	Environmental Assessment
ED	Executive Director
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
FA	Framework Agreement
FMR	Finance Management Report
GoK	Government of Kyrgyzstan
IAS	International Accounting Standards
IDA	International Development Association
IP	Aiyl Aimak Development Investment Plan
LCS	Least-Cost Selection
LDS	Local/AA area development Strategy
LSGB	Local Self-Government Body
MIS	Management Information System
MP	Sub-project
MPG	Sub-project Group
M&E	Monitoring and Evaluation
NGO	Non-governmental Organization
NKAS	National Kyrgyz Accounting Standards
OE	Oblast Engineer
PM&EG	Participatory Monitoring and Evaluation Group
POM	Project Operations Manual
PTL	Power Transmission Line
RFQ	Request for Quotation
SAW	Statement of Accomplished Works
SB	Supervisory Board
SS	Single Source
ToR	Terms of Reference
VIP	Village Investment Project
VIP-3	Third Village Investment Project
WA	Withdrawal Application
WB	World Bank
WG	Working Group

GLOSSARY

Aiyl Aimak is a local self-government area.

Aiyl Kenesh is a representative local self-government body.

Aiyl Okmotu is an executive local self-government body.

Village Head is an Aiyl Okmotu specialist/Aiyl Aimak village head.

Repair/rehabilitation of a building is a complex of civil works, organizational and technical activities aimed at mitigating physical depreciation and obsolescence not associated with changes in the main technical and economic parameters of the building.

Capital repair of a building is repair to regain its life span with replacement of structural elements and engineering systems, if needed, and improvement of operating performance.

Reconstruction (extension, re-equipping) is transformation of the space-planning and structural solutions, technological and engineering equipment in functioning industrial and nonindustrial utilities, buildings, structures, which results in renewal of capital assets.

Technical Supervision over construction is a part of a construction process including continuous Client's control and supervision to ensure that construction and installation works, materials, goods, structures and equipment used in construction comply with standard technical documents and detailed design estimates, followed by inspection, acceptance, and record of accomplished works.

Author Supervision is supervision over the compliance of construction and installation works with design solutions carried out by design institutes throughout the entire period of construction and acceptance of completed facilities for operation.

Infrastructure project development entity authorized by local self-government bodies is an entity responsible for control, development and implementation of the infrastructure project (sub-project) upon an order of the head of the executive local self-government.

An official is a representative of the executive local self-government body, who continuously or temporarily authorized to perform the functions of a representative of the authority, or perform organizational, administrative, or business functions in local self-government bodies.

Measure drawings are the drawings made during a building inspection to estimate the scope of works with calculation of the dimensions of the walls, doors, windows and other parts of the building (structure) subject to repair (rehabilitation).

Detailed Design Estimates are the documents containing architectural and artistic, space-planning, structural, technological, engineering, environmental, economic and other solutions, as well as the estimates for construction, site development and improvement.

Statement of Accomplished Works is the primary document certifying the completion of a certain scope of works or services.

Commissioning Act is an entitling document certifying the commissioning of the facility.

Statement of Tranches is a document confirming the compliance of the amount of financing with the scope of accomplished works.

Deficiency Act is a document drawn up after inspecting the damages on the site. This document is the basis for rehabilitation and complete repair of facility.

Participatory Monitoring and Evaluation Group (PM&EG) is a group of representatives authorized by the local community for monitoring of the progress and evaluating the achievement of the project outputs and outcome.

Contractor is an individual/firm licensed to perform the relevant types of construction works and contracted by the Client.

Hidden works are the works not subject to visual inspection or inspection after completion of construction and installation works.

Corridor of Impact is the three kilometer corridor that pass along the center of the final transmission line route. At so date, according to estimate, there 37 villages in the corridor of impact with 87,500 of the population.

Corridor-Village Investment Association The legal entity established and registered in each AA for representatives of villages located in a specific AA. The C-VIAs will represent and be accountable to the communities they represent. The head of the AO will be an active member of the C-VIA in his/her respective AA, along with nominated representatives (two men, two women, 50 percent youth) from each corridor village. The C-VIAs will carry out a number of representation, coordination, financial management, and procurement functions. They will ensure that community priorities are taken forward, act as the main point of liaison with ARIS and, depending on capability, manage sub-grants for their villages.

Local Development Strategy includes plans of local area development developed by local self-government bodies. The priorities to be included in the LDS were determined within the CSP (including Youth Development Plans – see below).

Project Coordination Committee is established and supported during the whole Project implementation period to ensure the effective coordination with CSP CASA-1000 and other partners. The Committee includes representatives from National Electricity Grid of Kyrgyzstan (NEGK), Ministry of Finances, ARIS, State Agency for local self-government and interethnic relations (SALSGIR), AKF, Oshelectro and Jalalelectro. The committee will operate under SALSGIR/ARIS direction. The meetings will be held on semi-annual basis. Subproject includes social and economic infrastructure/activities/assets implemented/procured within CSP sub-grants.

Young Accountants are young women and men (ages 18-28) in target villages, selected to receive basic bookkeeping course(s) and have skills to support accounting functions of the C-VIAs.

Youth Development Plans specifically address the needs and challenges of young people, and identify youth-specific opportunities and strategies to enhance the voice and agency of young people, improve access to

services, cultivate employable skills, and generate opportunities for local employment and income. Youth facilitators work with youth Initiative groups in developing the Youth Development Plans that will be included in the process of planning the Project/Local Development Strategy.

Youth Facilitators are young women and men (ages 18-28) in target villages trained as community mobilizers to who will take a leadership role in community mobilization and represent youth interests in project processes.

Community reporters are young reporter selected to monitoring the process of decision-making and implementation within CSP and promote mechanisms of social accountability; The reporters will assist in introducing annual community scorecards and social audits; use technological tools for collecting and disseminating the information (50% women, 2 women and 2 men in each target village).

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CHAPTER 1

1.1 Introduction

1. This Project Operational Manual (POM) describes the project mechanisms, processes, and activities for a family of projects that aim to engage communities in the development of social and economic infrastructure in order to enhance services, livelihoods and inclusion in target villages in Kyrgyz Republic near the CASA1000 Transmission Line. The POM covers the *CASA1000 Community Support Project (CSP)* (USD 11 million), implemented by the Community Development and Investment Agency (ARIS) as well as the *Community Engagement and Social Accountability (CESA) Project* (USD 1 million), implemented by the Aga Khan Foundation (AKF) in partnership with ARIS. The POM also includes links to the *Livelihoods for Youth – Community Engagement Project (L4Y – CSP)* (USD 2.7 million), implemented by the Mountain Societies Development Support Programme (MSDSP).

2. To achieve the project development goals, CSP has three main components that are inter-linked and mutually reinforcing. Together, the components aim to increase local capacity to jointly plan the development process and improve access to reliable social and economic infrastructure in the target communities.

Component 1: Support for community-led investments in social and economic infrastructure

- Subcomponent 1A: Support for electricity improvements within target villages
- Subcomponent 1B: Support for social infrastructure and services in target villages
- Subcomponent 1C: Support for livelihood facilities in selected AAs

Component 2: Support for community mobilization, capacity building, civic engagement and communications

- Subcomponent 2A: Support for community mobilization and youth engagement
- Subcomponent 2B: Communications

Component 3: Project management, and monitoring and evaluation

- Subcomponent 3A: Project management and coordination
- Subcomponent 3B: Monitoring and evaluation

3. The POM also details processes for the Community Engagement and Social Accountability Project — which supports complementary capacity building for community mobilization and social accountability mechanisms to empower the communities and youth living in the Corridor of Impact (COI) of the CASA1000 Transmission Line and foster meaningful participation in the selection and monitoring of CSP subgrants.

1.2 Overview of CSP Component 1

4. Component 1 of CSP includes a series of investments in social and economic infrastructure improvements in the villages along the Corridor of Impact. The Project will adopt a “1+3” structure over its 4-year duration. The “1” refers to the first year, which will lead with investments specifically in community mobilization efforts and village-level electricity infrastructure (complemented by energy-related awareness building). The “3” refers to the remaining three years in which a community-driven development (CDD) process, developed through Year 1 community mobilization efforts, will enable communities to participate in and choose from a relatively open menu of investments to meet local needs (including additional electricity improvements).

5. *Subcomponent 1A: Support for electricity improvements in target villages (Year 1)*

In Year 1, this subcomponent will provide sub-grants to communities to: (i) improve electricity supply at the village level or (ii) alternative energy sources. These sub-grants will be processed following the participatory processes detailed under Subcomponent 2A and will be limited to community prioritization within an agreed menu of electricity/energy-related options.

6. *Subcomponent 1B: Support for social infrastructure in target villages*

Starting in the Year 2, sub-components 1B will be provided with sub-grants to communities to finance priority social infrastructure projects. These sub-grants will also be processed following the participatory processes detailed under Subcomponent 2A.

7. *Subcomponent 1C: Support for livelihood facilities in selected AAs*

To address the lack of economic opportunity in the target AAs, Subcomponent 1C will support the construction of a limited number of livelihoods facilities or selected productive/economic infrastructure in partnership with local entrepreneurs or entrepreneur groups. The community prioritization process described in Subcomponent 2A will inform the facility selection process. However, the full preparatory selection process – the market assessment, and development of value chains, selection criteria, and competition for these sub-grants will also be supported under the *Livelihoods for Youth - Community Support Project*.

1.3 Overview of CSP Component 2

8. Component 2 will support a range of community mobilization and capacity building activities as well as CASA1000 CSP communications and awareness building activities.

9. *Subcomponent 2A: Support for community mobilization and youth engagement*

Subcomponent 2A of CSP is designed to ensure that: (i) communities, particularly youth and marginalized groups, are actively engaged in selecting poverty-focused project interventions; (ii) Component 1 investments in social and economic infrastructure (including electricity) are those that have been most highly prioritized by communities; and (iii) all members of the target communities are provided with the information, facilitation and capacity building necessary to make decisions that are needs-based, and inclusive of women, vulnerable and poor households. The focus on poverty-alleviating investments is a part of the Bank's twin goals, and inclusion will form an explicit aspect of the community mobilization process. A gender target that 50 percent of the beneficiaries should be women/girls will also be rigorously implemented and checked.

10. *Subcomponent 2B: Communications*

Communicating clear, consistent and accurate information about the CASA1000-CSP in villages and AAs near the Transmission Line will be prioritized to build support, establish trust, and manage citizen expectations. Subcomponent 2B is closely linked to the communications strategy developed for the CASA1000 project, including communications about the Transmission Line, its purpose and benefits, and the safeguards aspects of the Transmission Line, be they health and safety or resettlement.

11. Component 3 will support project management and monitoring and evaluation activities.

12. *Subcomponent 3A: Project management*

Subcomponent 3A will finance the incremental costs of ARIS for project management, including coordination and supervision of the implementation, managing the budget, project audits, a feedback system, and procurement.

13. *Subcomponent 3B: Monitoring and evaluation*

Subcomponent 3B will support activities to track the progress of the project, carry out semi-annual assessments of outcomes and results, and communicate and report regularly on the progress of the project to relevant audiences.

1.4 Overview of the Community Engagement and Social Accountability Project

14. The *Community Engagement and Social Accountability Project* (CESA) has two Components discussed under this POM. Component 1 will support capacity building and foundational community mobilization activities to ensure that communities decide on the investments in social and economic infrastructure and that the investments are responsive to the needs of all community members. Component 2 will provide support for youth engagement in awareness building and social accountability. It aims to build the voice and agency of young women and men by supporting (i) awareness-building activities and (ii) social accountability activities to be carried out by young women and men within target communities.

1.5 Structure of the Operational Manual

15. The overall structure of this manual is therefore:

- **Chapter 2** provides guidelines for the implementation of community mobilization and youth engagement activities (CSP Subcomponent 2A and CESA Component 1)
- **Chapter 3** provides operational guidelines for awareness building and social accountability activities (CESA Component 2)
- **Chapter 4** discusses knowledge and learning through the project, including monitoring and evaluation
- **Chapter 5** provides an overview of project management, including staffing, training and governance
- **Chapter 6** gives an overview of social and environmental safeguards
- **Chapter 7** provides guidelines on Project financial management and disbursement arrangements
- **Chapter 8** provides guidelines for Project procurement
- The **Annexes** provide additional details, forms, terms of reference, and guidelines for the Project

1.6 How to use this Project Operations Manual (POM)

This POM is organized to provide step-by-step implementation guidance of the project components to all key stakeholders. It is for use by AKF and ARIS project staff, and can be shared with relevant sub-committee members in the community. The body of the text provides the key principles, scope, and parameters and the requirements, often set out as chronological steps that should be followed for each Subcomponent. Annexes providing templates, ToRs etc to be used during implementation (as cited in the text), and should be read with the relevant sections. Annexes are an integral part of the POM, and are approved as a part of the POM.

1.7 Institutional Arrangements

The institutional arrangements for the Project include the following:

16. **Implementing Agencies.** At the central level, ARIS will be responsible for the day-to-day management of CSP, carrying out the project's fiduciary function (including FM functions, which comprise planning and budgeting, accounting, financial reporting, external auditing, funds flow, and internal controls), and ensuring that project implementation is conducted in a timely manner, in accordance with the legal agreement. For

Subcomponent 1A, ARIS will coordinate with the C-VIAs and Jalal-Electro and Osh-Electro Electricity Companies (ECs). Under Subcomponents 2A, ARIS will partner with the AKF to develop and deliver activities that will be designed to enhance community participation and youth development as well as foster social cohesion. See table 1.1 for an overview of institutional roles and responsibilities.

17. ARIS will manage, through its oblast offices in Batken, Osh and Jalal-Abad, a capacity building team in the target areas. ARIS will field community development support officers, whose job it will be to support youth facilitators in community mobilization roles, build the capacity of C-VIAs, liaise with local authorities, and support the agreed M&E activities. Community development support officers will be managed by two qualified national community mobilization specialists; their role will be to empower community representatives and structures.

18. **Project Coordination Committee.** At the national level, a Project Coordination Committee (PCC) will be established and maintained throughout the project period, to ensure the effective coordination with the CASA1000 Project Implementing Unit and other partners. It will include NEGK, the MoF, ARIS, the State Agency for Local Governance and Inter-Ethnic Relations, AKF, and Osh-Electro and JalalAbad-Electro ECs. It will meet semi-annually and function according to a ToR developed in the first meeting. The World Bank will attend upon invitation to provide technical support. The ARIS CSP project team will act as the Secretariat for the PCC. For a draft terms of reference, see Annex D1.

19. **C-VIA.** The C-VIA will be established and registered as a legal entity in each AA to represent the corridor villages located in that AA. The C-VIA will have elected and executive functions, including: (i) representing the villages in the project implementation process; (ii) informing ARIS of village priorities and subproject selections; (iii) coordinating with ARIS on the technical designs of the selected investments; (iv) instructing ARIS to procure contractors or suppliers (or carrying out the procurement function as noted below); (v) supervising contractors; (vi) coordinating with ARIS over contract payments; and (vii) establishing O&M plans. C-VIAs will be responsible for communicating village selection (without modification) by an instruction to ARIS to proceed with the technical design, and subsequently, the procurement. For a draft terms of reference, see Annex D2.

Table 1.1: Primary Roles and Responsibilities of Implementing Partners

	Community mobilization	Communications	Village Electricity Improvements	Socio-Economic infrastructure	Livelihoods Facilities
ARIS (lead implementing agency)	<ul style="list-style-type: none"> Lead project launch, awareness building and communications Facilitate youth- focused community mobilization process Establish and build capacity of C-VIAs Liaise with AOs 	<ul style="list-style-type: none"> Lead communications efforts for CASA1000 CSP (in coordination with CASA1000 overarching communications strategy and dissemination efforts) Carry out activities set out in the CAP-CSP 	<ul style="list-style-type: none"> Coordinate with ECs Present viable electricity options to communities Carry out technical design Launch procurements on behalf of C-VIAs (where needed) Sign Cooperation Agreements with ECs Handover assets to ECs 	<ul style="list-style-type: none"> Sign Sub-Grant Agreements with C-VIAs Carry out technical design Launch procurements on behalf of C-VIAs (where needed) Supervise construction Handover assets on completion to AOs 	<ul style="list-style-type: none"> Sign Sub-Grant agreements with AOs Carry out technical design Launch procurements on behalf of AOs Supervise construction Handover facilities on completion to AOs
AKF	<ul style="list-style-type: none"> Support community mobilization innovations, i.e. Introduce youth engagement Support capacity building of youth facilitators Implement awareness building and social accountability (CESA) activities with complementary grant 	<ul style="list-style-type: none"> Support ARIS-led communications efforts where relevant 	<ul style="list-style-type: none"> Support community mobilization process, awareness building and social accountability mechanisms to ensure communities have information, facilitation and capacity building to make decisions that are needs-based, and inclusive of women, vulnerable, and poor households. 	<ul style="list-style-type: none"> Support community mobilization process, awareness building and social accountability mechanisms to ensure communities have information, facilitation and capacity building to make decisions that are needs-based, and inclusive of women, vulnerable, and poor households. 	<p>Manage complementary small grant (L4Y-CSP - JSDF) to increase impact of livelihoods facilities including:</p> <ul style="list-style-type: none"> Local market analysis Entrepreneurship and youth-centric value chain development Promoting enterprises linked to the digital economy
ECs		<ul style="list-style-type: none"> Support communications efforts on CASA1000 CSP electricity benefits to Col villages 	<ul style="list-style-type: none"> Sign Cooperation Agreements with ARIS Develop TORs Check technical design Join procurement committees Transport and install rehabilitation infrastructure Take on assets to balance sheets without tax. 	<ul style="list-style-type: none"> Provide support for any village electricity subprojects 	<ul style="list-style-type: none"> Provide support for any electricity related requirements
AOs	<ul style="list-style-type: none"> Support project orientation and outreach meetings Support establishment of C-VIAs Support community outreach, and capacity building 	<ul style="list-style-type: none"> Support dissemination of communications materials and CSP messaging within AO villages; provide feedback to ARIS on community concerns 	<ul style="list-style-type: none"> Provide public land as necessary Coordinate with ECs 	<ul style="list-style-type: none"> Provide public land as necessary Coordinate staffing and O&M Take over assets on completion 	<ul style="list-style-type: none"> Endorse construction of livelihoods facilities Provide public land Take over ownership of facilities on completion

	<ul style="list-style-type: none"> Ensure update and development of LDSs with Youth Development Strategies 				
C-VIAs	<ul style="list-style-type: none"> Established and legally registered during community mobilization 	<ul style="list-style-type: none"> Coordinate and cooperate with social accountability activities 	<ul style="list-style-type: none"> Represent corridor communities after subproject selection Inform ARIS of subproject selections, instruct technical design (and procurement as necessary) Carry out coordination, monitoring role and FM and procurement functions (if capacity is proven) Establish O&M plans Manage CDF post project 	<ul style="list-style-type: none"> Carry out agreed functions re rent from project financed facilities. 	

1.8 Community Actors

20. **Youth Facilitators (YFs).** The YFs are volunteers selected by village representatives. These YFs 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.

21. **Community Reporters.** Community reporters are volunteers who conduct a process review of the project implementation. Community reporters will generate and share project information – tracking the CSP community decision-making and implementation process (decisions over subprojects, YDP-related activities, the participation of communities and of women, procurement, construction, and financial management (FM)).

22. **Community Accountants.** Community Accountants are paid individuals who help the C-VIAs with their accounting. These positions are designed to provide experience to young book-keepers.

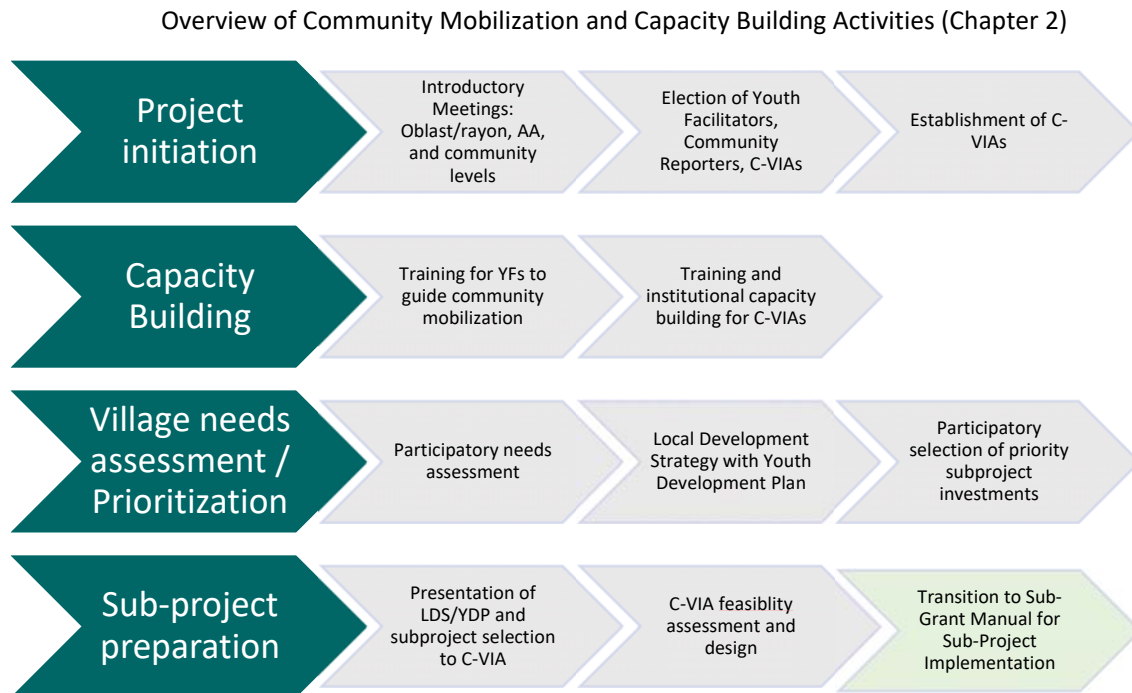
1.9 Structure of Project Cycle

23. An overview of the community mobilization process and institutional/youth roles is provided in Figure 1.1 below and further detailed in Chapters 2 and 3 of the POM. A complementary Sub-Grants Manual provides the details regarding the eligibility, financial management and procurement arrangements, and implementation of sub-grants. The cycle of youth-focused community mobilization activities undertaken at the village level for the Project will include:

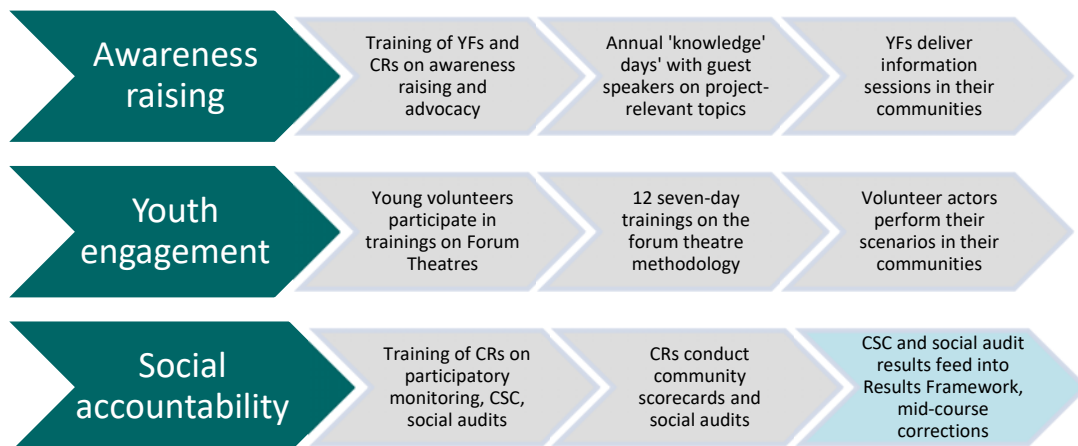
- Initial outreach and sensitization efforts at the village level on CSP goals, activities and youth roles
- Participatory selection at the village level of relevant youth and community members for project roles
- Formal establishment of the Corridor-Village Investment Associations (C-VIAs) to represent community interests in the project
- Training and capacity building activities for project stakeholders, including youth facilitators and members of the C-VIAs
- Needs identification and prioritization at the village level led by youth facilitators (situation analysis, needs and asset mapping, focus groups)
- Development of inputs to Local Development Strategies (LDSs), including Youth Development Plans (YDPs), based on the community prioritization process
- Subproject selection for Component 1 activities based on community mobilization process
- Subproject coordination and management by C-VIAs.

24. This will be complemented by a series of youth-led and gender-sensitive awareness raising and social accountability processes to build communities that are armed with knowledge on development-related issues and the ingredients of good local governance (including performance, transparency, and accountability). These are detailed in Chapter 3.

Figure 1.1: Overview of CSP Project Cycle



Overview of Awareness-raising and Social Accountability Activities (Chapter 3)



1.10 Legal Framework for Implementation

25. The legal framework for this POM relies on the Project Financing Agreement, Project Appraisal Document and other relevant World Bank/IDA documents (guidelines, general conditions, etc.), while the other laws of the Kyrgyz Republic listed below serve as the basis only to the extent not contradicting to the Financing Agreement, as well as to the rules and procedures of the World Bank:

- Civil Code of the Kyrgyz Republic
- Labor Code of the Kyrgyz Republic
- Tax Code of the Kyrgyz Republic
- Law of the Kyrgyz Republic "On State Social Insurance"
- Decree of the Government of the Kyrgyz Republic No. 635 dated April 12, 2001 "On the establishment of standards for travel expenses and procedures for reimbursement thereof " (as amended by Decree of the Government of the Kyrgyz Republic No. 567 dated Dec 3, 2007)
- Instructions "On the procedures for collection, accounting of insurance contributions and expenditure of funds of the Social Fund of the Kyrgyz Republic"
- Regulations on accounting and financial reporting in the Kyrgyz Republic - Order of the Ministry of Finance of the Kyrgyz Republic No. 127-n dated 21.04.2000
- General conditions of the IDA Loans and Grants dated July 31, 2010
- World Bank's Guidelines "Procurement of Goods, Works, Non-consulting Services by IDA Borrowers" dated January 2011, revised in July 2014
- World Bank's Guidelines "Selection and Employment of Consultants by IDA Borrowers" dated January 2011, revised in July 2014
- World Bank's Guidelines on allocation of funds for project implementation

1.11 Gender

26. The project is designed to address the disempowerment of women, especially young women, in the target region. A Gender Action Plan is included in Annex x. The parallel CESA grant will undertake activities that empower women as YFs, focal points and in awareness building roles. The project will specifically work to ensure that 50 percent of project beneficiaries are women through both activities that ensure women's engagement in decision making and oversight, and checks that decisions are implemented. With regard to participation, improving gender targets is an important goal, with strategies to reach 50 percent participation of women, and ensuring that these are active roles.

27. Based on lessons learned from CDD programs financed by the World Bank aimed at promoting the social cohesion focused on women empowerment and inclusion, the Project will support equal access for local communities to investments towards poverty alleviation and higher employment in the target villages. The Project has following strategic goals for gender development and young female inclusion:

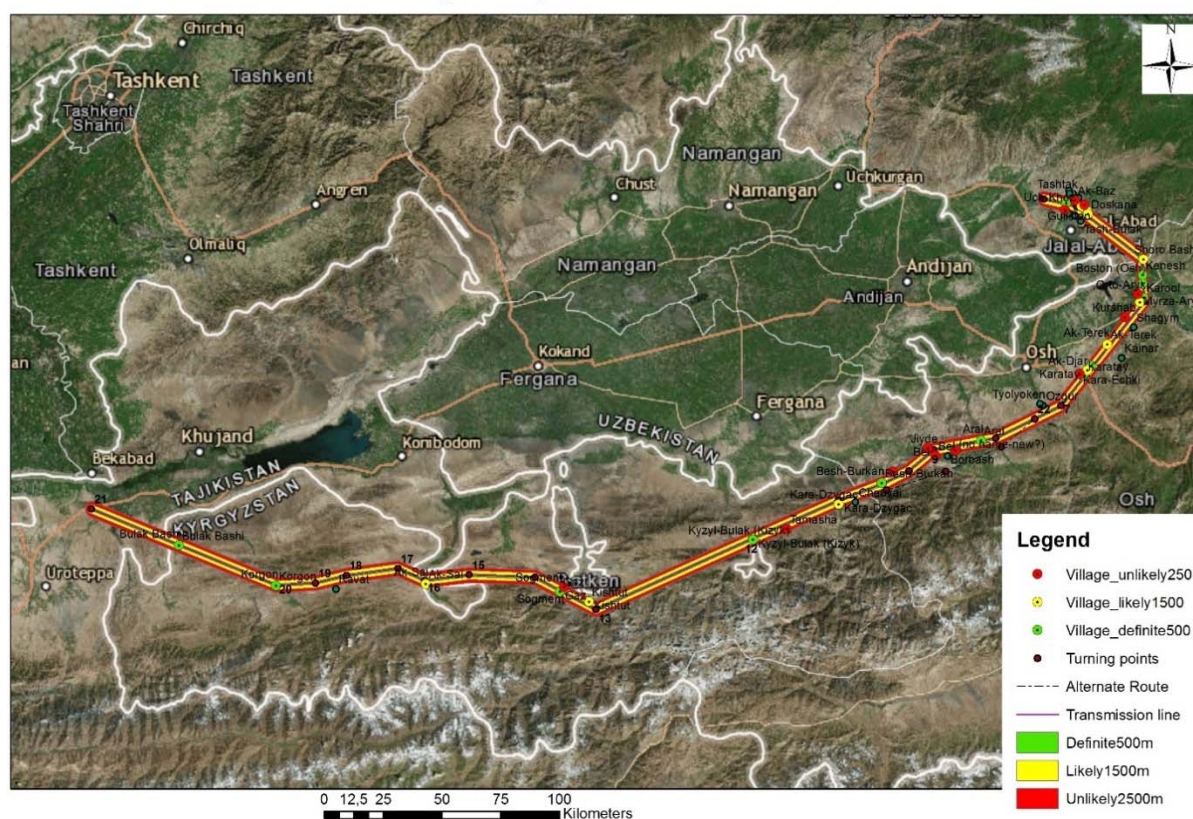
- a. Ensure full-fledged women engagement in social mobilization and capacity building events. To this effect, the CSP supports wider awareness among communities in the COI including vulnerable and low-income households; assists with establishment of social platform for empowering young female as activists for better awareness and involvement in the

- implementation process as well as ensuring participation of women in the supervision and monitoring of decisions (as Community Reporters and Youth Facilitators).
- b. Ensure youth representation including women in preparation of Local Development Strategies, Youth Development Plans, and sub-projects identification and implementation, so that women are equally empowered for full participation in the decision-making and benefit from these investments.
 - c. Facilitate favorable environment for engaging young men and women in the capacity building events, training basic book-keeping skills and support to accounting in C-VIAs. This would help the youth gain on-hand experience during joint work with skilled financial management specialists and establish a basis for their future employment opportunities (as young accountants at C-VIAs).
28. The Gender Action Plan shall ensure that the objectives are achieved, by organizing consultations separately with women and men considering their relevant needs and priorities; monitoring of sub-projects prioritized by women; ensuring equal opportunities so that women being part of sub-projects are paid equally for equal work. The Gender Action Plan describes in detail the project activities for women engagement at all implementation stages and includes the following aspects:
- a. Representation
 - b. Engagement
 - c. Decision-making
 - d. Selection of investment and
 - e. Capacity building.

1.12 Geographical Coverage and Project Beneficiaries

29. The proposed project will benefit target communities living along the 450 km CASA1000 Transmission Line in the Kyrgyz Republic, traversing three oblasts (Jalal-Abad, Osh and Batken) and an estimated 22 (inhabited) Aiyl Aimaks (AAs). The Corridor of Impact (Col) is defined as a 3 km-wide corridor centered on the final route of the Transmission Line. It is currently estimated that there are about 37 villages with a combined population of 87,500 within the Corridor of Impact. Within the 22 AAs, there are an estimated 132 villages with a total population of about 330,000. The Transmission Line is expected to directly cross approximately 10 villages.

Figure 1.2: Indicative Map of CASA1000 Transmission Line
Coverage map of CSP CASA1000



30. Based on initial construction plans for the CASA-1000 Transmission Line, the project will be implemented in the following communities, oblasts and cities.

Table 1.2 Current Planned CSP target communities (based on initial CASA1000 TL construction plans)

Name of Community	Oblast	District	City
Talaa-Bulak	Jalal-Abad	Suzak	Kyzyl-Tuu
Kyzyl-Senir	Jalal-Abad	Suzak	Kyzyl-Tuu
Tashtak	Jalal-Abad	Suzak	Kyzyl-Tuu
Uch-Khoz	Jalal-Abad	Suzak	Kyzyl-Tuu
Kyrgyzstan	Jalal-Abad	city Jalal-Abad	Taigaraev
Taigaraev	Jalal-Abad	city Jalal-Abad	Taigaraev
Tosh-Kutchu	Jalal-Abad	city Jalal-Abad	Taigaraev
Doskana	Jalal-Abad	Suzak	Tash-Buluk
Boston (Osh)	Osh	Uzgen	Tork-Kol
Shoro Bashat	Osh	Uzgen	Tork-Kol
Kenesh	Osh	Uzgen	Bash-Dobon
Kashka-Terek	Osh	Uzgen	Bash-Dobon
Orto-Aryk	Osh	Uzgen	Karool
Karool	Osh	Uzgen	Karool
Myrza-Aryk	Osh	Uzgen	Karool

Kurshab	Osh	Uzgen	Kurshab
Shagym	Osh	Uzgen	Kurshab
Ak-Terek	Osh	Kara-Suu	Katta-Taldyk
Kainar	Osh	Kara-Suu	Djani-Ary
Kyzyl-Ordo	Osh	Kara-Suu	Zhany-Aryk
Ak-Djar	Osh	Kara-Suu	Djosh
Karatay	Osh	Kara-Suu	Nariman
Ozgur	Osh	Kara-Suu	Zhapalak
Tyolyoken	Osh	Kara-Suu	Toloykon
Aral	Osh	Nookat	Esky-Nookat
Bel	Osh	Nookat	Bel-Kairagach
Borbash	Osh	Nookat	Bel
Kyzyl-Bulak	Osh	Nookat	Kulatova
Besh-Burkan	Osh	Nookat	Intimak
Chauvai	Batken	Kadamjai	Chauvai
Tamasha	Batken	Kadamjai	Kotormo
Kyzyl-Bulak (Kizyk)	Batken	Kadamjai	Kotormo
Gaz	Batken	Batken	Kishtut
Kishtut	Batken	Batken	Kishtut
Ak-Sai	Batken	Batken	Samarkand
Korgon	Batken	Leilek	Leilek
Bulak Bashi	Batken	Leilek	Kulundin

31. The community mobilization, awareness building, and social accountability activities described will be implemented in clusters, which include two or three villages (of the estimated 37) that are in proximity to each other. {MORE DETAIL HERE}

CHAPTER 2: COMMUNITY MOBILIZATION AND CAPACITY BUILDING

A. SUBCOMPONENT DESCRIPTION

1. **Subcomponent description from PAD/CESA grant.** Subcomponent 2A will support the activities needed to ensure that investments in social and economic infrastructure are decided by communities and responsive to the needs of all community members. This explicitly includes the poor and vulnerable (youth, women and ethnic minorities). The objective of this subcomponent is to build local institutional capacity and engage communities in subproject needs assessment, planning, implementation, management, and monitoring, as well as O&M where relevant. This is expected to activate communities and help ensure that target communities are engaged in decision making over local investments.
2. An innovative process of engaging youth as leaders of the community-led processes will drive this subcomponent. Year 1 will be dedicated to the development of this youth-led engagement. From the outset, the project will fund youth mobilization events to select and build the capacity of approximately 150 youth as YFs (two men and two women from each target village), who will take a leadership role in community mobilization and represent youth interests in project processes. Targets for youth in active roles and the participation of women in capacity building and decision making is 50 percent across the project's various CDD processes.
3. At the outset of the project, to represent each target community at the AA level, a legal entity, known as the C-VIA, will be established and legally registered. The C-VIAs will represent and be accountable to the communities they represent. The Head of the AO will be an active member of the C-VIA in his/her respective AA, along with nominated representatives (two men, two women, 50 percent youth) from each corridor village. The C-VIAs will carry out a number of representation, coordination, financial management, and procurement functions. They will ensure that community priorities are taken forward, act as the main point of liaison with ARIS and, depending on capability, manage sub-grants for their villages. As part of the C-VIAs, a youth accountants scheme will also be established for the project period to provide unemployed young bookkeepers and accountants with work experience. The C-VIAs will be held to account through community monitoring and social audit processes.
4. The cycle of youth-focused community mobilization activities undertaken at the village level under will include:
 - Initial outreach and sensitization efforts at the village level on CSP goals, activities and youth roles ;
 - Participatory selection at the village level of relevant youth and community members for project roles;
 - Formal establishment of the Corridor-Village Investment Associations (C-VIAs) to represent community interests in the project;
 - Training and capacity building activities for project stakeholders, including youth facilitators and members of the C-VIAs;
 - Needs identification and prioritization at the village level led by youth facilitators (situation analysis, needs and asset mapping, focus groups);
 - Development of inputs to Local Development Strategies (LDSs), including Youth Development Plans (YDPs), based on the community prioritization process;
 - Subproject selection for Component 1 activities based on community mobilization process
 - Subproject coordination and management by C-VIAs.

5. The process will engage local stakeholders to help ensure that the project is understood by local leaders and officials, especially in the AOs and Aiyl Kenesh. To this end, representatives from these bodies will be included in capacity building sessions and be appointed to specific roles. The community needs identification and prioritization process will serve as an input to LDSs to inform the long-term development of local areas. The C-VIAs will also ensure that activities prioritized through the community mobilization process form part of the LDSs. In addition, in order to ensure that prioritized sub-grants include not only social infrastructure, but also livelihoods and youth development, support will be provided to pilot, in the LDSs, the inclusion of Youth Development Plans (YDPs) that specifically address the needs and challenges of young people, and identify youth-specific opportunities and strategies to enhance the voice and agency of young people, improve access to services, cultivate employable skills, and generate opportunities for local employment and income.

6. Youth Facilitators will also take leadership roles in mobilizing groups of young people that will come together to brainstorm the scope of the YDPs. Gender-sensitive mechanisms will be developed to ensure the active participation of young women as youth facilitators in cultural environments where women are not traditionally involved in public affairs. ARIS will also field and manage 10 community support officers to work across the target villages/AAs, whose job it will be to support youth facilitators in community mobilization roles, build the capacity of C-VIAs, liaise with local authorities, and support the agreed monitoring and evaluation activities. Youth facilitators will not be paid but will be reimbursed for agreed costs and will be certified as qualified facilitators by ARIS after training and work experience is complete.

7. This subcomponent will cover the costs of convening communities and facilitating meetings, training workshops and other community events and exchanges, to build the capacity of communities and local institutions. The cycle of activities will establish a system to engage communities, build the capacity of youth to play community facilitation roles, and encourage women to participate actively and equally. The outcome will be gender-sensitive, poverty-focused and community-owned decisions regarding the village sub-grants to be funded by the project. Capacity building will cover participatory methodologies, community governance and accountability systems, conflict resolution mechanisms, financial management, sustainability and equitable use, and Bank safeguard requirements. Relevant trainings will be targeted at ARIS staff (CDSOs), Youth Facilitators, youth initiative groups and communities groups, as well as AO staff and members of the Aiyl Kenesh, and include community exchanges and cross-village monitoring.

B. OBJECTIVES, SCOPE AND PARAMETERS

8. **Objective.** The overall objective of the community mobilization process is to support a range of activities to ensure that: (i) communities, particularly youth and marginalized groups, are actively engaged in selecting poverty-focused project interventions; (ii) investments in social and economic infrastructure (including electricity) are those that have been most highly prioritized by communities; and (iii) all members of the target communities are provided with the information, facilitation and capacity building necessary to make decisions that are needs-based, and inclusive of women, vulnerable and poor households.

9. **Principles.** This Subcomponent is guided by the following principles based on the community mobilization approach adopted by the CASA1000-CSP which responds to local-level challenges and opportunities identified in project preparation:

- (i) ***Youth-focused community mobilization*** to address challenges of disempowerment of youth, particularly the low levels of employment among youth; cultural norms which make young

people, especially young women, voiceless; the growing impact on children left by parents who have migrated for employment.

- (ii) ***Village-level decision making*** will be the focus. Consistent with the PDO, community mobilization activities will be designed to ensure that the level of decision making will be the village. Communities (from corridor villages) will, through an established participatory procedure (needs assessment, dialogue and village prioritization), make decisions on the use of sub-grants and these decisions will be carefully tracked to ensure they are implemented. Empowering communities is an important principle of the CSP, and all other roles and responsibilities will ensure that this empowerment is paramount. The organizations above the village will be accountable for carrying out village decisions each cycle.
 - (iii) ***Inclusion and empowering women*** to address issues around exclusion and gender-based violence. A gender target that 50 percent of the participants will be women/girls will be rigorously implemented through procedures that are inclusive, and measured through output and outcome level indicators.
 - (iv) ***Investing in the long-term capability and accountability of community and local-governance structures*** recognizing the limited capacity of local institutions to manage and mitigate risks and provide responsive services. Where possible, CSP activities will build on existing community and local self-government structures.
 - (v) ***Mainstreaming sensitivity to conflict and promoting social cohesion*** in project activities. The project design also reflects a number of lessons from CDD projects that seek to support not just community infrastructure and economic outcomes but also address local challenges around inclusion, social cohesion, and operating in conflict-affected or sensitive areas. Lessons reflected in the CSP design include: (i) involving local communities and stakeholders in needs identification, implementation, and conflict-sensitive participatory M&E to improve services and infrastructure; (ii) focusing on outreach, capacity building, and economic opportunities for vulnerable groups such as youth, minorities, and women; (iii) programming to address the underlying drivers of conflict and instability (e.g. inter-ethnic relations, youth idleness/potential recruitment to violence, relations between communities and local authorities); and (iv) building local institutional capacity and resilience to risks.
10. **Outputs and indicators.** It is expected that approximately 150 youth facilitators will be selected and trained, at least 37 target communities in the Col will engage in the community mobilization process over three cycles, and one C-VIA will be established and trained in each AA (with about 20 youth accountants). Technical assistance will underpin the innovations in community mobilization to bring about more genuine, active and inclusive engagement. Measures (with gender disaggregation) will include:
- Number of youth facilitators recruited and active in community mobilization activities;
 - Number of C-VIAs established and functioning in community mobilization, implementation oversight and monitoring activities;
 - Number of training sessions/workshops held;
 - Number/type of participants trained on project-related activities;
 - Percentage of target AAs with: (i) established C-VIAs; (ii) established bank accounts; and (iii) established financial management processes;
 - Percentage of target beneficiaries (young women and men) who report that they were engaged in: (i) planning and decision making; (ii) participatory monitoring; and (iii) planning for O&M;
 - Number of YDPs generated and included in LDSs;
 - Number of youth accountants working in C-VIAs.

11. **Roles, responsibilities and staffing.** ARIS will manage, through its oblast offices in Batken, Osh and Jalal-Abad, a capacity building team in the target areas to support the community mobilization process. ARIS will field **10 community development support officers** (CDSOs), whose job it will be to support youth facilitators in community mobilization roles, build the capacity of C-VIAs, liaise with local authorities, and support the agreed M&E activities. Community development support officers will be managed by **two qualified national community mobilization specialists**; their role will be to empower community representatives and structures.

12. ARIS will partner with **AKF** to deliver complementary community mobilization and social accountability activities through the CESA grant. This will build capacity in ARIS on facilitation, introduce international experience into ARIS approaches, and strengthen the organization in these areas. **ARIS and AKF will utilize existing regional offices** (Note: AKF will need to rent office space in Jalal-Abad and Batken) to ensure close supervision of project implementation on the ground the youth-led, community-based implementation modality is intended to empower communities with decision making and monitoring.

Table 2.1: Community mobilization roles – ARIS, AKF

	Community mobilization
ARIS (lead implementing agency for CSP)	<ul style="list-style-type: none"> • Lead project launch, awareness building and communications; • Facilitate youth- focused community mobilization process; • Establish and build capacity of C-VIAs; • Liaise with AOs.
AKF (implementing agency for complementary CESA grant)	<ul style="list-style-type: none"> • Support community mobilization innovations, i.e. • Introduce youth engagement • Support capacity building of youth facilitators and C-VIAs • Awareness building and social accountability (CESA) activities

13. A **C-VIA** will be established and registered as a legal entity in each AA to represent the corridor villages located in that AA. C-VIAs will be established, as required through national law, through an AO-level community meeting with representatives from all target villages, which will approve the C-VIA charter. The C-VIAs will have elected and executive functions, including: (i) representing the villages in the project implementation process; (ii) informing ARIS of village priorities and subproject selections; (iii) coordinating with ARIS on the technical designs of the selected investments; (iv) instructing ARIS to procure contractors or suppliers (or carrying out the procurement function as noted below); (v) supervising contractors; (vi) coordinating with ARIS over contract payments (or carrying out the payment function where individual payments to contractors are less than the threshold to be defined in the Sub-Grants Operations Manual); and (vii) establishing O&M plans. Given that the C-VIAs do not currently exist and there may be constraints to the staffing necessary to carry out the above functions, ARIS will be responsible for establishing and maintaining adequate capacity and arrangements (including FM) at the C-VIAs. (If capacity is not in place, ARIS will implement the executive functions of the C-VIAs for the project.) The Head of the AO will be an active member of the C-VIA in his/her respective AA, along with four representatives (two men, two women) from each corridor village.

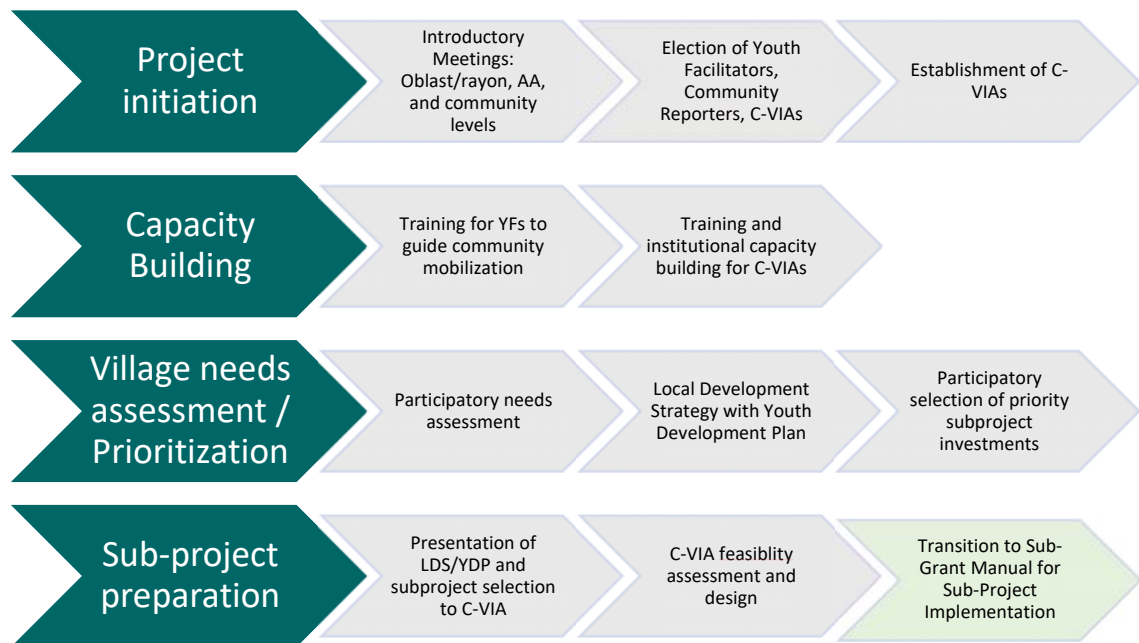
14. The C-VIAs will receive a small administrative budget to cover the costs of employing its executive staff. Consistent with the youth-focused approach, the project will include the opportunity to identify and train a pool of young people with basic accounting, bookkeeping and other necessary skills to take up C-VIA staff roles. This **youth accountants** scheme will enable graduates to obtain practical experience (references and certificates), either working on their own or with qualified financial management officers.

Table 2.2: Project Roles and Institutions Established – Community Mobilization

	Community Development Support Officers	Youth Facilitators	Corridor Village Investment Committees	Young Accountants
Role and responsibilities	<ul style="list-style-type: none"> ▪ support youth facilitators in community mobilization roles ▪ build the capacity of C-VIAs ▪ liaise with local authorities ▪ support M&E 	<ul style="list-style-type: none"> ▪ serve voluntarily as community mobilizers ▪ facilitate YDPs/youth initiative groups ▪ lead community awareness building initiatives (trained in technical aspects of relevant CSP social/economic infrastructure) ▪ Obtain ARIS certification following training and work experience 	<ul style="list-style-type: none"> ▪ Represent corridor communities after subproject selection ▪ Inform ARIS of subproject selections, instruct technical design (and procurement as necessary) ▪ Carry out coordination, monitoring role and FM and procurement functions (if capacity is proven) ▪ Establish O&M plans ▪ Coordinate social accountability activities 	<ul style="list-style-type: none"> • The youth accountants scheme will enable youth to obtain practical experience, and, where necessary, to work alongside qualified financial management officers as a basis for future employment opportunities • Obtain certification after an agreed period of experience /level of competence. • Paid from C-VIA operating budget
Numbers/ Membership	10 CDOs managed by 2 qualified national community mobilization specialists	150, including 2 women and 2 men in each target village	22 C-VIAs (one per AA); Membership - The head of the AO, along with 4 representatives (2 men, 2 women) from each corridor village	21+ (each C-VIA)
Inclusion – Women and Youth representation Other?	Based on ARIS staffing practice	Young women and men (ages 18-28) from target villages; 50% women	50% women; 50% youth	Young women and men (ages 18-28) in target villages; 50% women; Have graduated from basic bookkeeping course(s) and have skills to support accounting functions of the C-VIAs
Leadership	NA	NA	Elected by the group	NA
Election/selection	Hired by ARIS	Nominated and selected by communities	Nominated and selected by communities	Application process through the C-VIAs

15. Figure 2.1 summarizes key activities of the community mobilization and capacity building process.

Figure 2.1 – Overview of Community Mobilization and Capacity Building



C. ACTIVITIES AND PROCEDURES

Activity 2.1. Introductory Meetings at Oblast and Rayon, AA, and Village Levels.

16. **Objectives and outcomes.** The project will be launched in target areas through a series of introductory meetings. Introductory meetings will provide information on the project goals, objectives, and principles. Through these meetings, the project team will share information about the opportunities under the project with citizens in the target area to foster their buy-in, build support for the next steps in project implementation, and create a group of community members who can help organize the roundtables needed to select community representatives. Through these meetings, ARIS will create a common understanding of the project components, CSP implementation mechanisms, approaches, procedures, and responsibilities of the participants in the process. This will include introductory meetings at relevant oblast, rayon and AA levels and in target villages in the CASA1000 Col that will benefit from project investments.

17. The following activities are required:

- (i) produce awareness-raising materials;
- (ii) identify and invite participants;
- (iii) organize introductory meetings at the (i) oblast and rayon; and (ii) AA levels;
- (iv) organize introductory meetings in each target Col village.

(i) ARIS produces awareness-raising materials. In preparation for the project initiation meetings, ARIS will ensure there are user-friendly materials targeting all community groups to disseminate information on the project. To this end, ARIS will work with a communication firm to finalize and produce the necessary awareness materials material. These materials are included in the communication action plan (See Chapter 4).

- a. ARIS displays Project information materials based on the communications action plan on information boards of AOs and at the village level (in schools, FAPs, and other community gathering locations).

(ii) ARIS identifies and invites key participants to the introductory meetings.

- a. ARIS develops a list of key stakeholders from the oblast, rayon, and AA levels. The participants include state and non-state stakeholders, including: representatives of local authorities, youth movements, community organizations, and representatives of mass media. The list will be gender balanced and also include key youth leaders from the area. It is expected that the participants will include state and non-state stakeholders, and at least 50 percent women. Although meetings will be open to all, ARIS will actively ensure the following representation:
 - *Oblast level:* Representatives of oblast and rayon state administrations, representatives of regional structural divisions, civil society organizations, and mass media – estimated 30 people each meeting.
 - *Rayon/town level:* representatives of rayon state administration, Heads of AOs, Deputies of Aiyl Kenesh, civil society including youth organizations, and mass media – estimated 50 people each meeting.
 - *AA level:* Heads of AOs, Deputies of AK, representatives of schools, kindergartens, community organizations, including community youth organizations – 30 people each.
- b. ARIS identifies community leaders in target villages who can temporarily assist ARIS in organizing village-level meetings. This would include, for example, the village leaders, investment specialists, village level council members, leaders of AO-level youth committees, and heads of women's councils. Although village-level meetings will be open to all, the list of village-level invitees includes youth leaders and activists, Head of the AO, representatives of Elders Council, and deputies of Aiyl Kenesh, youth leaders, health and education workers, NGO leaders, community organizations, drinking water users' associations, jamaats, mahallas and enterprises, as well as other representatives of civil society. ARIS will ensure the initial participant lists include 50 percent women.
- c. ARIS issues and distributes letters to invitees for the introductory meetings.

(iii) ARIS organizes and reports on introductory meetings

- a. ARIS organizes introductory meetings at the oblast and rayon levels [11]; introductory meetings in Aiyl Aimaks [21] and City [1] based on the latest construction plans and projected Transmission Line Corridor of Impact.
- b. ARIS organizes an introductory meeting in each Col target village (as listed in section 1.11 above).
- c. ARIS documents the results of the introductory meetings:
 - meetings will be protocolled and verified by the participants' signatures (registration lists).
 - the minutes of the meeting will be entered into ARIS 1C software, using which ARIS monitoring specialist will monitor the cohort and number of participants.
 - The meeting photographic material will also be entered into the software.

Outputs: Estimated 70 introductory meetings; estimated 600 participants with an understanding of the project (disaggregated by level of meeting, and gender).

Activity 2.2 Election of Youth Facilitators, Community Reporters, and C-VIA Members.

Objectives and outcomes: Under this activity, ARIS solicits nominations for corridor village representatives, including: 4 Youth Facilitators (YFs) (minimum 2 men and 2 women per village; and with an overall ratio of 3 YFs for every 1,000 individuals); 4 Community Reporters (CRs) (2 men and 2 women per village); and 4 C-VIA members (2 men, 2 women; 50 percent youth). These meetings also provide ARIS with the opportunity to conduct an initial social and resource mapping of the villages and form village profiles.

19. The following activities are required:

- (i) organize meetings at the sub-village/'street jamaat' level to solicit nominations (and self nominations) for volunteer positions.
- (ii) confirm nominations individually and in village-level meetings.

(i) ARIS organizes meetings at the level of street jamaats to solicit volunteer nominations for YFs, CRs, and C-VIA representatives. The project will reach out to existing informal neighborhood associations called, 'street jamaats' headed by a community leader, which provide an effective mechanism to reach and mobilize the villagers directly to participate in the project. ARIS coordinates with the leaders of the street jamaats to call for street jamaat meetings. The introductory meetings will be organized under direct management of AO appointing the responsible officer for organizing these meetings.

- a. ARIS ensures that at least 50 percent of women participate. To do this, ARIS works with the jamaat 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.
- b. ARIS describes the positions and facilitates a discussion on the responsibilities and the skills required.
- c. ARIS solicits nominations for volunteer positions (YFs, Community Reporters (CRs), C-VIA Members) during meetings, and additional nominations for a reserve list in case members who are nominated are not willing to serve.
- d. During each meeting, the jamaats also elect two jamaat representatives (one woman; one man). The criteria for selection include: 1) is willing to take the time to attend AA-meetings, 2) is independent and not affiliated with government; and 3) respected locally.

(i) ARIS confirms nominations, individually and in village meetings.

- a. ARIS collates and confirms lists of volunteer representatives willing to serve. After the introductory meeting, ARIS officers contact the nominated individuals and confirm that they are willing to serve. If some members are not able to serve, ARIS will contact others on the reserve list.
- b. ARIS ensures equal representation - that 50 percent of YFs, CRs, and C-VIA nominees are women (and that 50 percent of C-VIA nominees are youth). This will be monitored as an average across the cohort of Project volunteers.
- c. After the volunteers accept the nomination, ARIS organizes a Village Meeting with the representatives elected by the jamaats.

- d. These jamaat representatives confirm the nominations of the volunteers and make selections between volunteer candidates where necessary, keeping in mind selection criteria outlined above.

Outputs: Jamaat meetings in Col villages (The number of jamaat-level meetings will proportionally increase depending on the village size); estimated 3,700 beneficiaries with an understanding of the project (disaggregated by gender); confirmed list of YFs, CRs, and C-VIA Members for Col villages.

Activity 2.3 C-VIA Establishment

20. **Objectives and outcomes:** Following the confirmation of C-VIA members from each village, the next activity concerns the establishment of the C-VIAs in each AA. The C-VIAs will carry out a number of representation, coordination, financial management, and procurement functions in the Project (see C-VIA TOR/draft Charter Annex D2). They will ensure that community priorities are taken forward, act as the main point of liaison with ARIS and, depending on capability, manage sub-grants for their villages. This area of activity includes actions to select C-VIA office bearers, adopt the C-VIA charter, and form and register the C-VIAs in each AA.

21. Key sub-activities include:

- (i) organize meetings to select C-VIA office-bearers and finalize C-VIA Charter.
- (ii) organize introductory meetings of C-VIAs.
- (iii) legally register the C-VIAs.
- (iv) develop capacity of C-VIAs.

(i) ARIS organizes meetings to select C-VIA office-bearers and finalize the C-VIA charter.

- a. ARIS organizes meetings in each AA, with C-VIA members who have been confirmed.
- b. ARIS invites the AO Head and AK Chief to attend the meeting.
- c. ARIS presents the goals of the C-VIA, structure, and roles of the office-bearers.
- d. C-VIA Members amend and confirm charter and formally vote to adopt it.
- e. C-VIA Members seek nominations and self-nominations for the office-bearers. C-VIA members vote by secret ballot to elect the office bearers.
- f. ARIS works with the facilitator of the meeting to maximize the participation of women.

Output: Approximately 22 meetings; approximately 22 C-VIAs formed; approximately 22 C-VIA charters adopted.

Box 2.1: Sample Agenda C-VIA Introductory Meeting

(Suggested time: 2 to 2.5 hours)

- Welcome (5 min)
- Explain the purpose and overall process of the meeting (10 minutes)
- Explain the goal, roles, and structure of the C-VIA (See Draft C-VIA Charter, Annex D2) (20 minutes)
- Break into small groups and review segments of the charter (30 minutes)
- Each group presents on their segment of the charter and makes recommendations (30 minutes)
- Plenary discussion on the charter (20 minutes)
- Vote on the charter (10 minutes)
- Vote for office-bearers (20 minutes)
- Thanks & close

(ii) ARIS organizes introductory meetings of each C-VIA.

- a. ARIS organizes introductory meetings for each C-VIA. These meetings serve as an important first step in building the capacity of C-VIAs. E.g. ARIS emphasizes the importance of youth engagement, gender inclusion and participation and conducts a group discussion on this issue. The methods for this meeting are participatory and will allow the members an opportunity to work in small group to understand their respective roles.
- b. ARIS documents the results of the introductory meetings:
 - Original copies of filed minutes (see template for minutes Annex C12) will be stored at C-VIA.
 - Copies of documentation will be stored at ARIS oblast office.
 - Soft copies in ARIS 1C software.

(iii) ARIS provides support to each C-VIA to become legally registered. C-VIA representatives are required to take the steps necessary to legally register their C-VIA in their AA. They will work with the AA level to obtain this registration which simultaneously provides approval of the charter, permission to create their seal and permission to open a bank accounts. The steps for this activity include:

- a. ARIS develops an action plan for registration and shares it with each C-VIA. This includes:
 - Charter development
 - Charter approval at the general C-VIA meeting
 - Charter registration in justice department
 - Acquiring the registration number from the state statistical agency
 - Developing the design of the seal
 - Obtaining permission from Ministry of Internal Affairs for production of seal
 - Seal production
 - Registration in tax authority for obtaining a permission for implementation of activity
 - Permission for bank account opening to perform financial transactions.
- b. C-VIA members sign Code of Conduct (see Annex B5).

(iv) C-VIAs recruit Young Accountants. As a part of the youth-led approach for the project, each C-VIA will make every effort to engage a young accountant/bookkeeper to act as the Financial Management Specialist. The criteria/ToR for the Young Accountant is set out in Annex C6. C-VIAs will conduct an open and transparent process in the AA. Selection criteria includes: 1) they are young men and women (ages 18-28) from the target community; 2) have graduated from a basic book-keeping course and 3) have the skills to support the accounting functions of the C-VIA. ARIS will reach out to young women with the necessary skill-set and encourages them to apply to maximize the number of Youth Accountants who are women. Should no accountant be found, the C-VIA will follow the procedures set out in SGM. The steps taken by CVIAs for the recruitment of Young Accountants are as follows:

- a. Finalize / adapt ToR to local situation
- b. Conduct an open call for applications for the Young Accountants.
- c. Establish an evaluation committee and identify preferred candidate based on selection criteria
- d. Offer position and prepare contract (template provided by ARIS) for signature

Outputs: 22 introductory C-VIA meetings organized; C-VIA Charters adopted and C-VIA roles established; 22 C-VIAs registered/in each AA; 22 CVIA bank accounts and financial management processes established; Young Accountants hired in each C-VIA.

Activity 2.4 Capacity Building Activities for Community Mobilization

22. **Objectives and outcomes:** Under this activity, ARIS and AKF organize workshops to build the capacity of the corridor village representatives working under the project. The capacity building incorporates participatory approaches to build understanding and gain ownership of the project mandate and approach. These processes are designed to ensure meaningful participation by women. ARIS/AKF will also develop a detailed training plan as a part of the POM for no-objection to the World Bank, prior to effectiveness of the IDA project.

23. The Project Training Plan is adopted and approved as a part of the POM (see Annex G).

24. Sub-activities under this component include:

- (i) develop a Consolidated Training Plan for Bank for no objection.
- (ii) conduct up to 165 topic-specific and cluster-based workshops and trainings (11 topics provided to 12 – 15 clusters of villages) that include C-VIA members, YFs, CRs, and other community leaders.
- (iii) support a community of practice that includes ongoing mentoring, sharing lessons learned and challenges and opportunities, and documenting best practices.

(i) ARIS finalizes the training plan, with support from AKF

- a. ARIS, with support from AKF, finalize the training plan.
- b. Proposed training topics to be included in the training plan include, but are not limited to:
 - *For Youth Facilitators:* Needs assessment, community mobilization, situational assessment, awareness building and advocacy, forum theatre and civic engagement.
 - *For C-VIAs:* investment planning, environmental checklists.
 - ARIS/AKF develops a training plan for the workshop that outlines the timetable for the workshops, where they will be conducted, and target beneficiaries.

(ii) ARIS conducts workshops within the clusters, with support from AKF

- a. AKF and ARIS will organize trainings at the cluster level, comprised of 2-3 villages.
- b. Trainings delivered by AKF will consist of half-days of classroom-based theory and half-day of practical application depending on the topic of the training. Trainings will be provided in Year 1 using a cluster approach. Refresher trainings may be provided in later years as needed.
- c. For ARIS delivered trainings, trainings will be 2-day trainings for C-VIA members, not more than 20 members, using cluster method, i.e. participants of trainings will be from 2-3 villages. 3 cycles for the project period.
- d. Training evaluations are conducted and findings are included as part of Project reporting.

(iii) AKF and ARIS jointly train C-VIA to strengthen their organizational capacities and provide them with skills necessary to carry out functions.

- a. AKF facilitates a two-day strategic planning and visioning exercise. In the course of the workshop, C-VIA will develop an organizational development plan, including the following areas:
 - Organizational mandate
 - Objectives

- Approach
 - Governance structure
- b. Based on the competencies outlined in the organizational development plans, taylor-made capacity development modules are identified. These are implemented in Year 2.
- c. In addition, AKF and ARIS deliver the following trainings to support C-VIA capacity to meet their mandate:
- **Implementation of local development strategies.** AKF delivers this one day training for representatives of C-VIA in Year 2. The agenda covers: the role of local government in local socio-economic development; analysis and mobilization of local resources to support implementation of DP; planning and budgeting for local development; differentiation of rights and responsibilities including the role of local self-government in local development.
 - **C-VIA capacity building.** ARIS will conduct a number of trainings which will include “Vision, Local Development Strategy and Investment Plan”, “Training and facilitation skills”, “social-infrastructure subprojects and environmental checklists development,” and also a number of standard trainings on procurement procedures and financial literacy.

(iv) ARIS and AKF jointly conduct follow-on mentoring. This includes:

- a. workshops/trainings are followed by supervised field application of each methods, so that they volunteer develop confidence in the training approach.
- b. AKF and ARIS organize a debriefing session after the first six-months of implementation to provide feedback, respond to outstanding questions and discuss lessons learned.

Outputs: Training plan and curriculum finalized; Training complete for AKF & ARIS Project Team; 150 YFs (between the ages of 18-28, two men, two women from each village) trained; 22 assessments completed, 22 capacity development modules created; 88 C-VIA members are trained; 150 youth mentored, 60 field trips mentored, 45 debriefing sessions held.

Activity 2.5 Village Needs Assessment, Local Development Strategy, (including Youth Development Plans), and Sub-Project Selection.

25. **Objectives and outcomes:** Under Activity 2.5, YFs (with the support of ARIS/AKF and based on trainings held) facilitate a participatory needs assessment to generate community inputs and recommendations for the local development strategy (LDS). This LDS includes the introduction of a youth development plan (YDP). In AOs where the LDS already exists, they will be updated through this process. If they don’t exist, they will be drafted.

26. Key sub-activities include:

- (i) undertake participatory needs assessment.
- (ii) drawing from results of the participatory needs assessment, develop/provide updates to the LDS, including YDP.
- (iii) based on the LDS/YDP, select priority subprojects for proposed Project funding.
- (iv) present LDS/YDP and subproject selection to village for endorsement and C-VIA to carry forward.

(i) ARIS and AKF support YFs to undertake a participatory needs assessment in their village as follows:

- a. With the help of CDSOs/AKF, the YFs conduct a situational analysis per community, which includes compiling pertinent data based on the municipal profile (including information on demography, economic structures, social and technical infrastructure, public services, natural and built environment, transport and communications) and municipal budget.
- b. With support from ARIS/AKF, YFs convene a series of focus group discussions with different community interest groups (e.g. women, youth, community leaders, business leaders, local service providers etc.) YFs especially reach out to women leaders to encourage the participation of women.
- c. YFs organize Youth Development Planning Meetings. The Youth Development Plans specifically address the needs and challenges of young people, and identify youth-specific opportunities and strategies to enhance the voice and agency of young people, improve access to services, cultivate employable skills, and generate opportunities for local employment and income.

(ii) ARIS and AKF support YFs to develop village inputs to the Local Development Strategy, including a Youth Development Plan. The steps for this sub activity are:

- a. Reviewing priorities that emerged from situational analysis, focus group discussions and youth meetings by theme or by beneficiary group;
- b. As preparation for the Village Prioritization meeting, YFs will organize them by thematic or beneficiary group, so that they can be assessed at the Village Prioritization meeting.

(iii) YFs facilitate a Village Prioritization Meeting to select village subproject investments (component 1A and 1B investments) based on the LDSs/YDPs

- a. The YFs lead a community discussion to prioritize issues highlighted in the LDS/YDP.
- b. ARIS and AKF work will develop a method for prioritization, so that the priorities per thematic area and beneficiary group will be ranked based on: 1) number of people benefited; 2) greatest need; 3) potential impact.
- c. YFs facilitate the community to rank the priority areas.
- d. YFs facilitate a brainstorming session to link the broad priority areas identified in the LDSs/YDPs and confirmed by the community to specific village-level investment projects.
- e. Following the brainstorming session, a quorum of community members vote to determine the ranked “Corridor village list” of project priorities.

- f. After the voting, YFs facilitate a discussion on the ranked list and build consensus on the project priorities.
- g. Any feedback on the development of the livelihoods facilities, i.e. in LDS, is transferred to the AKF for further market analysis to study the type and location of the economic facility (Project Year 2).
- h. Economic Facility Selection will consist of the following steps:
 - Local Development Strategies reveal potential local economic opportunities or constraints.
 - Community-identified opportunities are corroborated with value chain and market studies.
 - AKF works with AO to assess availability of land or municipally-owned buildings for economic facility.
 - C-VIA issue an advertisement of the opportunity, and solicits business plans from entrepreneurs.
 - A selection committee consisting of AKF, C-VIA, and AO assess the business plans according to: 1) business viability; 2) sound business plan; 3) opportunity for employment creation, especially for women and youth; 4) value addition.
 - Entrepreneur will be supported with technical assistance from AKF. Simultaneously, ARIS begins preparation of technical documents and constructs the facility.

Box x: Sample Agenda for Needs Prioritization Meeting

(Suggested time: 1.5 to 2 hours)

- *Welcome (5 min)*
- *Explain the purpose and overall process of the meeting (10 minutes)*
- *Break into small groups and discuss needs across sectors and thematic areas (30 minutes)*
- *Each group presents on their respective needs (20 minutes)*
- *Plenary discussion and prioritization 30 minutes)*
- *Thanks and close*

(IV) Presentation of LDS/YDP and priority subproject investments to the C-VIAs to carry forward

- a. YFs organize a meeting to present the new (or updated) LDS and priority subproject investments to the entire community and C-VIA, ensuring that at least one jamaat representative from the village will attend. (This meeting will provide an opportunity for people not present in the prioritization meeting to learn about the LDS).
- b. In this meeting, the YFs discuss the prioritization process and who was involved in selecting priorities.
- c. YFs present the LDS/YDP and subproject selection to the village and C-VIA members and highlight the sub-project priorities.
- d. YFs facilitate a question/answer session on the priorities.
- e. In the meeting, the LDSs/YDPs and subproject priorities are formally endorsed and passed on to the C-VIA members to carry forward.

Outputs: 128 focus group discussions held in 32 villages (e.g. women, youth, community leaders, business leaders, local service providers etc.); 64 youth development planning meetings held; 22 LDSs with YDPs finalized and adopted by AO; 32 villages selecting priority projects.

Table 2.3: Summary of Activities and Outputs – Community Mobilization and Capacity Building

Activity	Sub-Activity	Key outputs
2.1 Introductory meetings at oblast and rayon, AA, and village levels	produce awareness-raising materials	Estimated 70 introductory meetings; estimated 600 participants with an understanding of the project (disaggregated by gender).
	identify and invite participants	
	organize introductory meetings at the (i) oblast and rayon; and (ii) AA levels	
	organize introductory meetings in each target Col village	
2.2 Election of Youth Facilitators, Community Reporters and C-VIA Members	organize meetings at the sub-village/'street jamaat' level to solicit nominations (and self nominations) for volunteer positions	10-40 jamaat meetings in Col villages; estimated 3,700 beneficiaries with an understanding of the project (disaggregated by gender); confirmed list of YFs, CRs, and C-VIA Members for Col villages.
	confirm nominations individually and in village-level meetings	
2.3 C-VIA establishment	organize meetings to select C-VIA office-bearers and finalize C-VIA Charter	22 introductory C-VIA meetings organized; C-VIA Charters adopted and C-VIA roles established; 22 C-VIAs registered in each AA; 22 CVIA bank accounts and financial management processes established; Young Accountants hired in each C-VIA.
	organize introductory meetings of C-VIAs	
	legally register the C-VIA	
	recruit young accountants	
2.4 Capacity Building Activities for Community Mobilization	finalize the training plan based on the training manual	Training plan and curriculum finalized; Training complete for AKF & ARIS Project Team; 150 YFs (between the ages of 18-28, two men, two women from each village) trained. 22 assessments completed, 22 capacity development modules created; 360 C-VIA members are trained (5 topics, 3 members from 22 C-VIA 88 C-VIA members trained; 150 youth mentored, 60 field trips mentored, 45 debriefing sessions held.
	conduct up 165 topic-specific and cluster-based workshops and trainings that include C-VIA members, YFs, CRs, and other community leaders	
	support a community of practice that includes ongoing mentoring, sharing lessons learned and challenges and opportunities, and documenting best practices	
2.5 Village Needs Assessment, Local Development Strategy, (including Youth Development Plans), and Sub-Project Selection	undertake participatory needs assessment	128 focus group discussions held in 32 villages (e.g. women, youth, community leaders, business leaders, local service providers etc.); 64 youth development planning meetings held; 22 LDSs with YDPs finalized and adopted by AO; 32 villages selecting priority projects.
	drawing from results of the participatory needs assessment, develop/provide updates to the LDS, including YDP	
	based on the LDS/YDP, select priority subprojects for proposed Project funding	
	present LDS/YDP and subproject selection to village for endorsement and C-VIA to carry forward	

CHAPTER 3: YOUTH ENGAGEMENT, AWARENESS BUILDING, SOCIAL ACCOUNTABILITY

A. SUBCOMPONENT DESCRIPTION

1. In order to build knowledgeable, cohesive and sustainable communities, and address the disempowerment of youth in target areas, in Years 1-4, this subcomponent aims to build the voice and agency of young women and men by supporting: (i) awareness-building activities; and (ii) social accountability activities to be carried out by young women and men within target communities. The activities will be focused on building communities that are armed with knowledge on development-related issues and the ingredients of good governance (including performance, transparency, and accountability). These activities will also provide skills for broader youth engagement in local civic affairs.

2. **Awareness building and access to information.** The project will build the capacity of youth to lead awareness-building activities on livelihoods and services that create more informed and active communities. As a means to empower youth, build their confidence, and develop trust within their communities, the project will adopt this innovative approach to awareness building, enabling youth to learn about, become expert in, and then function as community focal points, disseminating information on a range of community development topics. Youth facilitators will mobilize informal groups to take part in trainings and workshops and then undertake outreach roles in their communities. Knowledge transfer is likely to include:

(I) Promoting efficient energy. To complement village electricity improvements, community awareness-building initiatives will focus on energy efficiency and alternative energy sources (e.g. insulation, lighting options, heating stoves, solar street lighting, etc.). The project will support the training of youth to access information and develop knowledge in these areas, for example, by facilitating visits by entrepreneurs to villages (e.g. on heating stoves or insulation) and supporting youth to organize community awareness events. This approach will then be extended, or broadened to address particular interests, needs, or concerns within target communities.

(II) Enhancing local services and livelihoods. Awareness-building activities might include topics that build the capacity of communities to make informed decisions, better utilize existing community infrastructure and services, promote accountability and improve performance. For instance, safety and security (associated with street lighting improvements), quality of child care (associated with kindergartens), hygiene and sanitation in schools/village cleaning (associated with school rehabilitation works and first aid points (FAPs)), value chain development (associated with livelihoods), e-services and e-business (associated with access to the internet). Awareness building could also focus on designing infrastructure investments that would promote community-level resilience to disaster and climate risk. Youth facilitators will consult with communities and work with project staff to identify locally relevant topics. Youth will also be trained in innovative methods, such as community theater, to raise community awareness and generate local solutions to local problems. Community theater uses role playing, short skits, music, singing, dance/movement, and improvisation techniques to highlight a development challenge in the community. It engages community members as the actors and utilizes participatory techniques to brainstorm solutions. For example, using this technique, youth could raise awareness in their communities of the challenges faced by the elderly, by children left with grandparents, and by minority groups, as well as facilitate the development of community-driven solutions to address these problems.

Youth-focused awareness-building activities undertaken in communities will thus include:

- (i) selecting key topics for youth awareness-building activities based on village-level interests and priorities;
- (ii) training youth in selected topics through access to specialized information, mentorships, and mobilization of technical expertise;
- (iii) youth convened information sessions, community events, trainings, and workshops on chosen topics to build community awareness and increase legitimacy of youth leadership; and
- (iv) youth-driven innovative approaches to generate ideas to address village level problems through locally-tailored solutions.

3. **Social accountability.** A second set of activities will enable a group of young women and men in the target villages to play a role in the social accountability mechanisms developed for the project, and to identify areas where social accountability would help address community issues. This component will provide support for young community members to check and ensure that sub-grants are implemented according to the agreed procedures and community preferences. This will include support for hands-on training of a group of approximately 150 “community reporters” to measure and monitor, ensure transparency and disclosure, and instigate structured social accountability mechanisms that contribute to regular project monitoring. Specifically, this will include:

(I) Community reporting. The community reporters will generate and share project information—tracking the CSP community decision-making and implementation process (decisions over subprojects, YDP-related activities, the participation of communities and of women, procurement, construction, and financial management). Results will be posted on information boards, social media, and reported in local newspapers, whenever possible. Community reporters will also document best practices and lessons learned. The project will recognize, through awards and certification, community reporters’ efforts to promote transparency, ensure effective delivery of sub-grants or other local services, and raise other relevant issues.

(II) Participatory monitoring through community scorecards. The community reporters will introduce and work with communities to perform an annual community scorecard process. The community scorecard will enable communities to assess and provide feedback on project processes, enable service providers to carry out a self-assessment, and promote dialogue between communities and project implementers that results in concrete action plans. This will include community feedback on the CASA1000 and the CSP as a benefit-sharing mechanism. From Year 2, the scorecard will enable feedback and responsive action on infrastructure and services supported by the CASA1000 CSP (electricity improvements, kindergartens, schools, FAPs, livelihoods facilities, etc.) as well as other services selected by communities. This area of action will be linked to the ARIS Beneficiary Feedback Mechanism, and will, over the life of CASA1000 CSP, introduce IT-based tools for the collection of information.

(III) Social audits. A key aspect of the accountability established in the project will be the transparency, disclosure, and community oversight achieved by social audit meetings at the AA level. This mechanism will act as a check—that community decisions are not captured or changed, that communities are aware of the work being undertaken by C-VIAs and ARIS on their behalf, of the community scorecard processes carried out at the village level, and that all project finances (budgets and expenditures, contracts and payments) are available for target community scrutiny. While C-VIA staff will be responsible for invitations to the social audit meetings, producing information, and posting it on village noticeboards, community reporters will mobilize community members, and write up and disseminate the results back to communities and for inclusion in project reports.

Starting in Year 3, the project will support the capacity building of youth to apply these governance skills to other sectors, with the aim of enhancing the role of young women and men in broader local civic and community affairs. While this provides a ready-made opportunity to improve the efficiency of the investments (e.g. kindergarten teacher performance, feedback on FAPs/power outages), initiatives will be selected through participatory processes by the youth themselves. In later years, this component will look for opportunities to support efforts to link to government e-services, as the Taza Koom (a national project that aims to connect every village to the internet via fiber optic cable by the year 2020) is rolled out across the South, introducing civic technologies identified by youth.

B. OBJECTIVES, SCOPE AND PARAMETERS

4. **Objective.** The activities under the Community Engagement and Social Accountability Project are designed to support the activities discussed in Chapter 2 and build the voice and agency of young women and men by providing support for selected citizen engagement activities carried out with, and by, youth within target communities.

5. **Structure.** The activities described in this chapter are structured around two areas of activity (Component 2 in the CESA Project Paper).

a. awareness building on pertinent socio-economic issues. This youth-led awareness building is seen as an important part of the non-infrastructure investment in communities and key to ensuring active engagement.

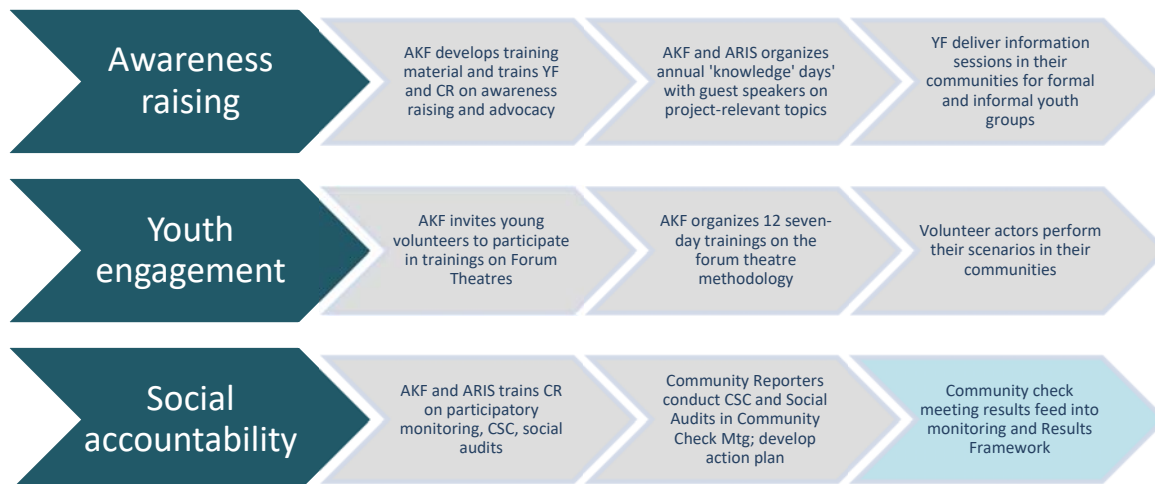
b. a set of social accountability activities. The social accountability activities will serve as the monitoring mechanism for the sub-projects discussed under Chapter 2.

6. **Coverage and target.** The area of focus will be the communities within the corridor of impact, involving some [300] youth directly and [3,000] in capacity building activities.

Youth Facilitators	150
Community Reporters	150
Forum theatre actors	150

7. **Roles, responsibilities and staffing.** ARIS will partner with AKF to deliver awareness building, youth engagement and social accountability activities through the CESA grant. AKF will be responsible for training and supporting the Community Reporters (CRs) and YFs on awareness raising and social accountability activities. This will include preparing work plans and operational manuals, managing the budget, managing relations with local authorities and communities, and developing terms of reference for the necessary consultancies related to Component activities. ARIS will also play a role as they manage, through their oblast offices in Batken, Osh and Jalal-Abad, a capacity building team in the target areas to support the community mobilization and social accountability process. ARIS will field 10 community development support officers, whose job it will be to support youth facilitators in community mobilization and social accountability roles. Community development support officers will be managed by two qualified national community mobilization specialists; their role will be to empower community representatives and structures. ARIS and AKF will utilize existing regional offices (Note: AKF will need to rent office space in Jalal-Abad and Batken) to ensure close supervision of project implementation on the ground the youth-led, community-based implementation modality is intended to empower communities with decision making and monitoring.

Figure 3.1: Overview of Awareness-raising and Social Accountability Activities



C. ACTIVITIES AND PROCEDURES

Activity 3.1 –Capacity Building for Youth Facilitators and Community Reporters

8. **Objectives and outcomes:** Under this activity, AKF holds a joint training for YFs and Community CRs on awareness-raising and advocacy approaches. It is designed so that YFs can effectively share information about the project's benefits to the local community, so that they can later assess the projects based on their intended results. In particular, AKF will help the YFs assess the dynamics of the community, so that they can undertake a targeted awareness-raising approach. In turn, the YFs also advocate for the priorities for the population to the C-VIAs. Under this activity, AKF: (i) develops training material; (ii) holds 12 two-day trainings by cluster; (iii) organizes training-of-trainers for the volunteers on awareness-raising topics; and (iv) supports a community of practice that includes ongoing mentoring, sharing lessons learned and challenges and opportunities, and documenting best practices.

9. AKF and ARIS employ different methods to build capacity. First, AKF conducts formal workshops that are designed to build awareness raising and advocacy skills of YFs and Community Reporters. Second, AKF conducts training-of-trainers on key thematic topics related to the project. Through this approach, the youth volunteers are able to connect with a wider community of practitioners. Finally, AKF fosters learning-by-doing, allowing the volunteers to conduct awareness-raising and other social accountability approaches. AKF provides mentorship while the volunteers are in the field to develop their skills and help foster their confidence.

10. Sub-activities under this component include:

- (i) Develop training materials.
- (ii) Trainings for YFs and CRs
- (iii) Training-of-trainers for YFs on awareness-raising topics

(i) AKF develops training materials.

- a. In preparation of the trainings, AKF develops a consolidated training plan and submits the plan to the Bank for no objection in consultation with the social accountability expert who will develop the training manuals for the project. Training will cover the following topics:
 - Community scorecard methodology
 - Social audit methodology
- b. Based on the training manual, AKF will develop the training material, including necessary handouts, forms, and other materials.

(ii) AKF organizes trainings for YFs and community reporters

- a. AKF provides two one-day trainings for 12 clusters of 10-12 YF and 10-12 Community Reporters per group.
- b. The two trainings cover the following topics, which will be finalized in consultation with the social accountability specialist:
 - Identifying problems and policy issues
 - Defining advocacy goals
 - Building relationships with stakeholders
 - Establishing credibility as an advocate
 - Mapping relations of power and decision-making
 - Identifying target audiences, allies, and opponents
 - Selecting the right advocacy approach

(iii) AKF organizes training-of-trainers for YFs on awareness-raising topics.

- a. AKF and ARIS identify individuals or service providers knowledgeable in project-relevant topics and arrange for guest speakers to deliver half-day lectures or workshops for YFs on their particular area of expertise. For example, a successful local entrepreneur could be asked to discuss enterprise development, someone from the electro company could deliver a presentation on energy efficiency, etc.
- b. AKF will make sure that a fair representation of guest speakers are women.
- c. AKF will give speakers an honorarium for their time (US\$ 40).
- d. Using the knowledge gained from the ToT and the tools they acquired in Activity 3.1, YFs conduct information sessions in their communities on the various topics. AKF community mobilizers backstop this activity.
- e. Target audiences will include formal and informal youth groups, including secondary school students, youth centers, sports clubs, and youth committees.
- f. Audiences of these information sessions will also be invited to participate in the Forum Theatres described below.

Outputs: Training manual and material on social accountability processes developed; 150 YFs and 150 trained CRs have increased ability to access, analyze, and disseminate critical information that is of the public's interest, and skills to effectively communicate that information 150 youth receive TOT training; 37 outreach sessions conducted per year.

Activity 3.2 – Support for Youth-led Awareness Raising

11. **Objectives and outcomes:** Under this activity, AKF supports youth groups to identify pressing issues in their communities and implement youth-led initiatives to address these issues. These initiatives are ones prioritized in the LDS and can be successfully implemented by the youth. This activity allows AKF to engage a broad spectrum of young people in the project and support them to increase their self-confidence and raise awareness of youth-identified issues.
12. The two sub-activities include:
 - (i) Conduct training on the forum theatre
 - (ii) Youth conduct forum theatres within their own village to raise awareness on community issues

(i) AKF conducts training on the forum theatre methodology.

- a. AKF convenes training on the forum theatre methodology for 12 village clusters and provides seven-day training sessions.
- b. From the audience of youth groups reached through the info sessions (described in the previous activity), four young people are invited to participate in forum theatres (150 youth in total).
- c. The training begins with a guided reflection on pressing issues participants have observed in their communities. In subsequent days, participants (or 'actors') develop short skits (maximum 20 minutes) around these scenarios.

(ii) Youth conduct the forum theatre within their own villages.

- a. After the training, AKF supports actors to perform these scenarios for an audience of their community.
- b. The skit is performed twice – the first time without interruption; in the second performance, audience members are invited to interrupt the skit, identify problem, and brain storm solutions to ‘improve’ the scenario. In this way, communities themselves are identifying and workshopping solutions to their issues. The skits will include issues related to the empowerment of women.
- c. The theatres are held in years one and three.

Outputs: 150 young people trained in the forum theatre methods; Forum theatres performed in approximately 37 target villages in Years 1 and 3.

Activity 3.3 – Identification and Capacity Development of Community Reporters

13. **Objectives and outcomes:** Under this activity, AKF supports the selection of Community Reporters in each target village in order to support the participatory monitoring of project activities described in Chapter 2 and implement social accountability tools. The CRs track CSP community decision-making processes and implementation of micro-projects, including decisions over sub-project prioritization, YDP-related activities, as well as participation of youth, women and vulnerable groups. Community Reporters’ project documentation will create community ownership of sub-project implementation. This approach has also demonstrated positive impact on government-citizen trust, and service provider efficiency.

14. The Community Reporters will implement the community scorecards and social audits. In order to fulfill their role as leaders in participatory monitoring, it is important that Community Reporters be autonomous from C-VIA and YFs. The CR selection process is described in Chapter 2. As citizen journalists, their mandate is to advocate for their communities and therefore their reporting line is to their community constituents. AKF’s role is to support Community Reporters to fulfill their duties through continuous mentorship and regular capacity development – particularly around the implementation of community scorecards and social audits. The results of their social accountability activities will be shared with the C-VIA in order to enhance project performance. Community Reporters will also publish key findings from their activities on AO info-boards, on social media, and through other information channels.

15. Community Reporters’ project documentation will be considered in the assessment of Results Framework Intermediate Indicators IO1, IO2, and IO5.

16. Sub-activities under this component include:

- (i) AKF trains the Community Reporters on participatory monitoring and evaluation.
- (ii) AKF conducts training on social accountability principles and project approach and tools.

(i) AKF trains the Community Reporters on participatory monitoring and evaluation

- a. AKF trains the Community Reporters in participatory monitoring in addition to the joint training for YFs and CRs described above.
- b. Training will cover participatory data collection methods (visual methods, beneficiary assessments, photographing evidence), data analysis, and information sharing.
- c. Training for Community Reporters on participatory monitoring is conducted via one-day sessions for 12 clusters of AA, with approximately 10-15 participants in each training.
- d. AKF provides trainings in Years 1 and 3.

- e. Community Reporters also learn about the project structure and establish a schedule for routine monitoring of project activities including scheduled meetings with C-VIA.
- f. The AO also recognizes their contributions through letters of recognition.

Output: 150 Community Reporters trained in participatory monitoring.

(ii) AKF conducts training on social accountability principles and project approach and tools

- a. AKF develops guidelines and training material on community scorecards in Russian or Kyrgyz.
- b. AKF Field Facilitators and ARIS CDSOs receive a three-day ToT in Osh on the community scorecard methodology, and facilitate a practice community scorecard in a target community near Osh.
- c. Community Reporters are identified as part of the community mobilization process as described in Chapter 2.
- d. CDAs invite Community Reporters (4 per village, 2 women and 2 men) to come to joint training sessions.
- e. AKF delivers training to Community Reporters (in clusters) according to the schedule shown in Table 3.1. Trainings are organized for 12 clusters, with 10-15 participants in each training.

17. The following table summarizes the training plan for awareness raising and social accountability activities under this Component.

Table 3.1: Training Plan – Awareness Raising and Social Accountability Activities

TRAINING	TOPIC	PARTICIPANTS	DURATION	FREQUENCY
Advocacy and Awareness training	Seven topics, to be finalized in consultation with social accountability expert: i) Identifying problems and policy issues; ii) Defining the objective of advocacy goals; iii) Establishing relationship with stakeholders; iv) Establishing trust as credibility as an defender advocate; v) Mapping relations and comparing of power relations and decision-making; vi) Identifying target audiences, allies, and opponents; vii) Selecting the right approach to advocacy.	150 Youth Facilitators; 150 Community Reporters organized into 12 clusters	Two x One-day Trainings	Year 1; Refresher training in Year 3
Knowledge Days with guest speakers	Project-relevant topics (e.g., energy, social development, economic development, youth development)	150 Youth Facilitators organized into 12 clusters	Half-day ToT sessions with guest speakers	Annually from Years 1-4
Training on Forum Theatre methodology	Forum theatre methodology	150 young volunteers from Col villages, organized into 12 clusters	Seven-day training	Year 1 and Year 3

Participatory Monitoring	Participatory monitoring, including: 1) data collection methods (visual methods, beneficiary assessments, photographing evidence); 2) data analysis; 3) information sharing	150 Community Reporters organized into 12 clusters	Two x One-day Trainings	Year 1 and Year 3
Social Audits	Social audits, including: 1) Defining audit boundaries and identifying stakeholders; 2) Facilitating social audit meetings; 3) Feedback and institutionalization of social audits	150 Community Reporters and 88 C-VIAs members organized into 12 clusters	Two x One-day Trainings combined social audit and CSC	Year 1; Refresher training in Year 3
Community Scorecards	Community Scorecard including: 1) How to conduct the scorecard/self-assessment 2) How to develop the action plan	150 Community Reporters and 88 C-VIAs members organized into 12 clusters	One-day training combined social audit and CSC	Year 1; Refresher training in Year 3

Activity 3.4: Community Check Meetings are conducted – Incorporating the Social Audit and Community Scorecards

18. **Objectives and outcomes:** Support for hands-on training of a group of approximately 150 “community reporters” to measure and monitor, ensure transparency and disclosure, and instigate structured social accountability mechanisms that contribute to regular project monitoring.
19. Specifically, under this activity, AKF supports a facilitated process of citizen feedback in each target village using the social audit and community scorecard methodologies, including:
- (i) **Generating community reporting.** The community reporters will generate and share project information—tracking the CSP community decision-making and implementation process (decisions over subprojects, YDP-related activities, the participation of communities and of women, procurement, construction, and financial management). Results will be posted on information boards, social media, and reported in project will recognize, through awards and certification, community reporters’ efforts to promote transparency, ensure effective delivery of sub-grants or other local services, and raise other relevant issues.
 - (ii) **Conducting social audits.** Social audits promote greater accountability and transparency. Social audits are a participatory and empowering process, whereby citizens are encouraged to assemble in a common platform to scrutinize the performance of the stakeholders responsible for the delivery of development projects – in the case of CSP this refers to both the participatory community mobilization process and the subproject investments. Implemented through a well-structured process, a social audit involves systematic evaluation of the service provider’s performance/inclusion and participatory nature of the community mobilization process by a wider community. These also provide stakeholders with an opportunity to raise concerns and collectively look for a solution.

- (iii) **Implementing community scorecards.** Community Scorecards (CSCs) are an effective tool for strengthening citizens' voices and promoting constructive dialogue between supply and demand side actors. In CSP, community scorecards will be implemented annually. Year 1 scorecards will focus on the electricity investments, and Year 2-4 scorecards will focus on the socio-economic infrastructure investments as well as the community mobilization and participatory prioritization process. CSCs will be administered at community-level.

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

20. **Objectives.** The Community Check (CC) 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 C-VIA, through transparency, discussion and, finally, a rating process and qualitative follow up.
 - Document challenges and areas in need of improvement (and those that should stay the same).
 - Recommend how future Cycle implementation (Year 3-4) can be improved.
21. **Timing.** Social audits and community scorecards will be conducted in the CC meeting, as described below. These CC meetings will be conducted twice a year in each village:
- Upon completion of community mobilization activities to select the investment in order to evaluation the process; and
 - Upon completion of the investment itself in order to evaluation the outcome.
22. **Roles and Responsibilities.** The Community Reporters will play active roles in the social accountability activities, supported by AKF as follows:
- Community Reporters** are responsible for:
- Organizing and facilitating the CC meetings
 - Explaining the social audit and community scorecard methodologies
 - Facilitating the community discussion (Facilitators = 1 man and 1 woman)
 - Taking minutes of the meeting (Secretaries = 1 man and 1 woman)
- C-VIA** 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 (C-VIA members decide among themselves who will present the material - men and women should take turns presenting)
 - Participating in the community scorecard session.
- CDSOs** are responsible for:
- Collecting data generated during the CC meeting and conveying it to the M&E staff for inclusion in the Results Framework.
 - Receiving beneficiary feedback from the community and conveying it to ARIS/AKF BFM staff.
 - Providing BFM data to the VPC/JPC for presentation during the CC meeting.
- AKF** is responsible for developing a social accountability curriculum, delivering trainings to the Community Reporters and C-VIA members and preparing the logistic of the meeting
23. **Attendance.** The Community Check Meeting should meet the following parameters to ensure its function as a social accountability mechanism:

- In each CSM, 15-20% of the community should be represented (20% for smaller villages, 15% for larger villages).
- C-VIA members should not constitute more than 20% of participants.
- Women should constitute 50% of total participants.
- Youth should constitute 25% of total participants.

24. **Basic Principles.** It is important that during the Community Check Meeting, the Community Reporters:

- 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 (this is likely not to be in large AO meetings).
- Follow a cycle of open information >> community check /comment /rating>> collective recommendations.
- Focus on broad attendance by appropriate location and timing of event.

25. **Transparency and information.** In order to be effective, C-VIA 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. It should be short, unambiguous and easy to be understood by the community.
- The key information should be available for all participants to see - on the wall – and understandable. Presenters should speak to what is on the wall.
- Project lists (including women's list) from the FGDs should be displayed to compare what was delivered with what women and men prioritized.

26. **Documentation of results:** Results will be recorded in the Minutes which should contain the following minimum information (see template in Annex C12):

- The list of participants who attended the CC 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 with outputs;
- Originals of the Minutes with the attendance sheet, photos and ranked priority lists are kept by the AO; copies are collected by AKF staff for data entry and storage as needed for M&E section of Subcomponent 4.

27. The sub-activities for the Community check meetings include:

- (i) Training of Community Reporters in social accountability principles and project approach and tools.
- (ii) Preparation for Community Check Meeting.
- (iii) Conduct Community Check Meeting.
- (iv) Disclosure of results in villages, AOs and project reporting.
- (v) Incorporate Score Card results in the CASA1000 CSP M&E data.

(i) Training of Community Reporters in social accountability principles and project approach and tools
See Activity description 3.3 above

(ii) Preparation for Community Check Meeting

- a. AKF prepare Logistics:
 - Set convenient date, time and venue in agreement with the village leaders and AK/AO head.

- Request C-VIA members to present on the progress of the community mobilization and/or investment to date.
 - Prepare all necessary equipment and materials for discussion (flipchart, markers, paper) including prepares flip charts for the Community Scorecard. Necessary supplies will be provided by AKF staff.
- b. Community Reporters 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.
 - Make special arrangements if needed to ensure that elderly and disabled are able to attend.
- c. Preparation and Dissemination of Project Information
- C-VIA gather:
- 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.
- d. Community Reporters 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.
 - CMC members share/lend a copy of the report to any villager who requests it.

(iii) Conduct Community Check Meeting

- a. **Community Reporters Open the Meeting** (approx. 10 minutes)
- Secretary asks all participants to sign attendance sheet.
 - Facilitator describes agenda, asks for agreement of participants.
 - Facilitator explains ground rules regarding polite and constructive discussion, emphasizing those social audits are not intended to blame individuals.
 - Secretary takes group photo.
- b. **Presentations by C-VIA members** (approx. 30 minutes)
- C-VIA 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.
- c. C-VIA 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.
- d. 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.

- e. **Community Reporters Facilitate Social Audit Discussion** (approx. 45 minutes)
 - 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?
 - If satisfied, are there any areas they would like to do better for the next cycle and now?
 - If not satisfied, why and how to improve it?

- f. **Community Scorecard** (approx. 1 hour): Community members and C-VIA members are asked to separate into two groups so that these two groups are able to do independent scoring:
 - a. **Community Group Scorecard. Community Reporters** lead group of community members in completing the scorecard:
 - Facilitator prepares three flipchart pages or ballot boxes for each point on the scale (very satisfied/satisfied/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.
 - Community Reporters ask group to choose among themselves two representatives (1 man and 1 woman) to present results in the plenary meeting.

 - b. **C-VIA Group Self-Assessment**
 Simultaneously, C-VIA members will carry out their own "self-assessment scorecard" facilitated by the Community Reporters. 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.

- g. **Joint Discussion by Community Members and C-VIA representatives** (approx. 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 C12 for template): What went well? What did not go well? What were the challenges? What are key areas needing improvement?

- h. **Development of Action Plan** (approx. 30 minutes)
 - Community Reporters lead discussion on key recommendations for next year's cycle based on the findings of the social audit and the scorecard.
 - Secretary compiles recommendations into Action Plan.
 - Action Plan is signed by VPC/JPC members present.
 - Group is photographed with (i) CSC results) and (ii) Action Plan.

Box 3.1. Community Scorecard
Questions and Compilation of results

The CSC process identifies and enables anonymous disaggregation of Community Members over 30 and under 30; Women and Men; C-VIA

Scorecard; An Example				
1. Did you feel that you were properly involved in the decisions over the village subproject? [PDO2]	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? (PDO1)	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. Has the Project investment improved your access to social infrastructure and/or livelihoods facilities (PDO4)?	Yes, the CSP significantly improved my access to socio-economic infrastructure.	The CSP improved my access to some extent.	The CSP improved my access only to a small degree.	No, the CSP has not improved my access.
5. Has the project increased your trust in community relations (PDO6)	Yes, my trust in community relations has increased significantly.	My trust has increased to some extent.	My trust has increased only to a small degree.	No, the CSP has not improved my trust in community relations.
6. Has the Project increased your role/voice in local decision making? (PDO3)	Yes, I felt I had a significantly increased role in local decision making	I felt my role increased to some extent	I felt my role increased only a small amount.	No, I did not feel my role changed at all.
7. Did the CSP communication materials help you understand what to expect from the CASA1000 Transmission Line and the subprojects? (IO7)	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

8. Have the social accountability activities met your expectations in terms of fairness and transparency?	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
9. Has the management of the investment met your expectations in terms of fairness and transparency?	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
10. Have young women and men become more active in community decision-making as a result of project support? (IO4)	Yes, young people have increased their participation	Young people have increased their participation somewhat	Young people have not increased their participation much	Young people have not increased their participation at all

(iv) Disclosure of results in villages, AOs and project reporting

- a. **Community Reporters** 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.
 - List of the recommendations for the next cycle.
- b. **Community Reporters** asks AO to post this information at the village project information point, under a simple title “*How did we do – our CSP subproject?*” As far as possible, the same should be transmitted to individual community member on their communication platform (e.g.: WhatsApp), if they agree to receive such files.

(v) CDSOs Uses Scorecard Survey for Results Framework Indicators

- a. CDSOs collect copies of the community scorecard results above.
- b. CDSOs transfer results to the central office where the M&E team inputs and analyzes the data according to the M&E framework described under Chapter 6.

Box 3.2: Summary of Activities and Outputs for Awareness Building, Youth Engagement and Social Accountability

Activity	Sub-Activity	Key outputs
Activity 3.1 – Conduct capacity building for YFs and community reporters on awareness-raising and advocacy.	1. AKF develops training materials.	Training manual and material on social accountability processes developed.
	2. AKF organizes trainings for YFs and community reporters.	150 YFs and 150 trained community reporters have increased ability to access, analyze, and disseminate critical information that is of the public’s interest, and skills to effectively communicate that information.
	3. AKF organizes training-of-trainers for YFs on awareness-raising topics.	150 youth receive TOT training; 1 topic addresses gender sensitivity; Key outputs: 150 youth receive TOT training, 37 outreach sessions conducted.

Activity 3.2 – Support youth-led awareness raising	1. AKF conducts training on the forum theatre methodology.	150 YFs trained in the forum theatre methods.
	2. Youth actors conduct the forum theater in their villages.	Forum theatres performed in 37 communities in Years 1 and 3.
Activity 3.3 – Identification and capacity development of community reporters	1. AKF & ARIS recruit Community Reporters.	150 Community Reporters recruited and trained.
	2. AKF trains the Community Reporters on participatory monitoring and evaluation.	
	3. AKF conducts training on social accountability principles and project approach and tools	
Activity 3.4 – Community Check Meetings are conducted – Incorporating the Social Audit and Community Scorecards	1. AKF prepares community check meeting.	Date set, logistics, invitations, preparation of meeting materials, CR distribution of Project information ahead of the meeting.
	2. Community Check Meetings conducted include social audit and scorecard.	<p>Conducted twice a year in each target village: (i) upon completion of community mobilization activities to evaluate process; (ii) upon completion of the investment to evaluate outcome.</p> <p>Social audit and CSC implemented in each community check meeting by communities and self-assessment by C-VIAs.</p> <p>Each Community Check meeting results documented and action plan agreed and disseminated.</p>

CHAPTER 4. COMMUNICATIONS

4.1 Overview

1. This chapter sets out the detailed procedures which will guide the communications activities funded by subcomponent 2B and any communications activities included in the MDTF grant (CESA) funding. The POM adopts all the requirements of the PAD in this regard, and this section is intended to be consistent with the approved PAD.
2. ARIS will implement communications activities to promote understanding of the benefits and opportunities offered by the Community Support Project (CSP) and to share basic information about CASA 1000 in villages along the transmission line corridor. ARIS will be in charge of organizing and implementing communication activities and disseminating communication materials (leaflets, brochures, posters, videos, audio, articles, infographics) developed by a PR company hired by the World Bank. The PR company will also train ARIS key staff on effective communication practices. ARIS may hire a consultant (or firm) as needed to help with implementation and/or creation of additional communication materials.
3. The following action plan details communication activities to be implemented by ARIS.

4.2 Objectives

4. ARIS will implement a communications action plan to ensure that clear, consistent and accurate information about the benefits and opportunities offered by the Community Support Program (CSP) and CASA 1000 is communicated in villages and AAs along the transmission line.
5. The objectives of the ARIS CSP communication plan are to:
 - Build village-level support for CASA 1000 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 CASA-1000 infrastructure project
 - Ensure that local-level initiatives, benefits and impacts are known at a national level by sharing information about the CSP with the CWG.

4.3 Institutional arrangements

6. A Communication Working Group (CWG) will be established by [DATE TBC] to ensure two-way information flows between local and national-level communication efforts.
7. The CWG will include the following representatives from NEGK, ARIS and AKF. The Communications firm will also attend CWG meetings:
8. The Chairperson will rotate every 12 months. The ARIS Communications unit will provide the secretariat function for the CWG.
9. The CWG will meet four times a year and provide the World Bank with quarterly progress reports.

10. At the first meeting of the CWG, the meeting will agree a Terms of Reference and nominate the first Chairperson.

4.4 Target Groups

11. The communications plan will include outreach to the following groups:

- **External** (local stakeholders, including AAs and inhabitants near the transmission line): ARIS will actively engage the public to improve the community's understanding of the benefits and opportunities offered by the CSP. As the most relevant and local face of the CASA 1000 project, CSP team members will also i) communicate and direct people towards basic information about CASA 1000, including health, safety and compensation measures and ii) share concerns raised by villagers with the CASA 1000 and CWG team.
- **Internal** (government, companies, financial institutions): ARIS will ensure that stakeholders including electricity companies, local governments and national government are well briefed on the most up-to-date details of the CSP, including goals, timeline, scope/scale of investments, beneficiaries and benefits to ensure that all stakeholders communicate accurate information and to manage expectations.
- **Secondary** (media, associations, political groups and other influential groups that could impact the success of the project): ARIS will provide tailored key messages and timely, accurate information aimed at gaining support for the CSP. When appropriate, ARIS will involve secondary parties in consultations and invite them to other activities to ensure buy-in and dissemination of information through their networks.

4.5 Key Messages

12. The PR firm, with help from ARIS, conducted opinion research to tailor messages to the concerns and needs of each target group. Below are a few possible key messages for each group. Possible communication outputs are included in Annex x.

Table 4.1: Messaging by key target groups

Target group	Objective	Key messages
External		
Communities along the corridor of impact	<ul style="list-style-type: none"> • Build village-level support for CASA 1000 • Manage expectations 	<ul style="list-style-type: none"> • CSP will benefit your community • CASA 1000 will benefit our country • CSP scale, scope and eligibility are
Regional and national	<ul style="list-style-type: none"> • Build support for CASA 1000 	<ul style="list-style-type: none"> • CASA 1000 will benefit our country • Those impacted are being protected and helped
Internal		
National and local government; energy companies and operators functioning along the CASA corridor; CWG members	<ul style="list-style-type: none"> • Provide consistent, accurate information about CSP and CASA 1000 to ensure everyone is on the same page and saying the same thing to external groups 	<ul style="list-style-type: none"> • CSP scale, scope and eligibility are • CSP will benefit your community • CASA 1000 will benefit our country

	<ul style="list-style-type: none"> • Increase the responsibility of internal stakeholders for CSP indicators, and strengthen their capacity to that actively participate and commit themselves to program development, administration, and awareness raising 	
Secondary		
Media, associations, political parties and other influential groups and individuals (information multipliers that can influence the success of the project and disseminate key messages among specific groups and the general public)	<ul style="list-style-type: none"> • Engage to ensure their favorable view of CSP and CASA 1000 • Provide accurate and timely information on the benefits for communities within the corridor and for the entire country 	<ul style="list-style-type: none"> • Your constituency is benefiting from the project • If you are viewed as supportive of the project, it will help your popularity with your base.

Table 4.3. Possible communication activities and tools at the national (country) and local (regional) levels:

Activities and Tools	Effect		Target Groups		
	Raise awareness	Feedback	External	Internal	Secondary
General Tools					
ARIS website	❖	❖	❖	❖	❖
Distribution of information releases (central and regional media)	❖		❖	❖	❖
Mass media (publications, TV programs, radio programs, reports, messages in news agencies (positive experience and success stories): central and mostly regional, district media	❖	❖	❖	❖	❖
Social networks	❖	❖		❖	❖
Special Tools					
Promo video (clips): regional media	❖			❖	❖
Specialized CSP brochures (positive stories)	❖		❖		❖
International conferences	❖		❖		❖
Round tables, discussion forums at the local level	❖	❖	❖	❖	❖
Ancestral meetings (once per year)	❖	❖		❖	❖
Use of radio rooms / cars with loudspeakers	❖	❖		❖	❖
Conducting sports events of regional importance	❖	❖		❖	❖
Cooperation with local partner organizations (CBT, public associations, women's councils, VHCs, council of elders, CDWUU, youth committees, WUA-through murabs (irrigation water distributors)	❖	❖		❖	❖
Announcements in cattle markets (important information about village gatherings on the project issues)	❖	❖		❖	❖
Filling with information about the various stages of CSP project (on the information boards near Aiyl Okmotu)	❖	❖		❖	❖
Information of project partners at the Ayil Okmotu sessions	❖	❖		❖	❖
Implementation of the Feedback Mechanism (FBM) in the project corridor (informing, using the helpline, booklets, posters, questionnaires)	❖	❖	❖	❖	❖

4.6 Key Activities and Sequencing

No	Activity	Communication instruments	recommendations	Recommended period	Reporting
National level					
1	Establishment of Communication Working Group		Information on CASA-1000 (message to “Promotank” PR company)	During 3 months since CSP Project Coordination Committee	Minutes, internal legal documents on cooperation
2	Meeting the mainstream media	Handing out of booklets, background papers on the CSP	Informing the mass media on CSP - project designed for villages within the Corridor of Impact	Straight after project effectiveness	Minutes of the meeting, photographic materials
Regional (Oblast) level					
3	Preparatory arrangements for population awareness raising	Obtaining the information materials from “Promotank” (posters, booklets, brochures, audio, and video clips, background papers for women and youth) Bidding process for selecting service deliverer according to ARIS Terms of references Printing and replication of background papers from “Promotank” (posters, booklets, brochures, audio, and video clips, background papers for women and youth)		Straight after project effectiveness	Manufactured print runs of the background papers
4	Primary activities at the village level on awareness raising and introducing the project aims and objectives (associated with introductory meetings at the village level, round tables at the Ayil Aimak,	BFM information posters (prepared by ARIS) near AO, FAPs, hospitals, markets, schools, kindergarten Information presentation for CDSO on BFM activity and community outreach within this direction	It is necessary to provide beneficiaries with information before the project starts - through which channels they could address their suggestions, complaints,	Since the project initiation	Photo, background posters on BFM in crowded places

	Oblast and Raion levels)		appeals regarding the project implementation (in close cooperation with CDSO)		
5		Information booklets on CASA-1000 prepared by "Promotank" Information booklets and brochures on CSP, prepared by "Promotank" (ARIS hand-outs) Background papers for women (ARIS hand-outs)	It is necessary to use specific messages for this target groups, based on survey conducted by "Promotank" Informing on CSP aims and objectives, advantages for citizens, unique traits for youth and women	According to social mobilization steps	CDSO could protocol the number of printed products and through which channels it was distributed. Copies of booklets, photos shall be placed in the folder of "Information dissemination" for each Ayil Aimak.
	Working with street "jaamats" on nominating the volunteers for Youth facilitators, Community reporters, C-VIA members	Audio advertisement with using the vehicle (street-to-street, loudspeaker) Creating the Whatsapp group chat among the youth, active women groups, village chiefs. Information booklets and brochures on CSP, prepared by "Promotank" (ARIS hand-outs) Background papers for women (ARIS hand-outs)	Awareness raising will be focused on youth and women engagement	According to social mobilization steps	CDSO could protocol the number of printed products and through which channels it was distributed. Copies of booklets, photos shall be placed in the "Information dissemination" folder for each Ayil Aimak.
	Media support during official meetings on selecting the youth Facilitators, Community reporters and C-VIA establishment	Publishing articles on the status of youth facilitators, community reporters its functions and rights Using Whatsapp for discussing the selection of the Youth Facilitator, Community reporters, establishment of C-VIA	Adaptation of information materials prepared by Promotank in accordance with Communication Working Group recommendations	According to social mobilization steps	Copies of information materials, published in the media CDSO could protocol the number of printed products and through which channels it was distributed. Copies of booklets, photos shall be placed in the folder of "Information dissemination" for each Ayil Aimak.

	Media support during capacity building activities (trainings, forums – theatres)	Articles on activities, TV-clips, radio-spots Awareness raising sessions within trainings, conducted by CDSO for C-VIA members, youth facilitators, Community reporters	Adapted information materials of ARIS Adapted training modules	According to social mobilization steps	Copies of information materials, published in the media Trainings reports
	Media support during identification and prioritization of needs	Articles regarding the results of works related to identified problems and priorities are published in Raion media Post on Youtube, social media, ARIS web-site, whatsapp group chats the most interesting community reports views regarding the meeting held. Participation of BFM specialists at the meeting with population, publishing people's appeals in Raion media, and posting it on the boards near AO.	Adapted information materials of ARIS Interview with Community reporters Material from Community reporters (phone video) BFM information posted on boards near AO	According to social mobilization steps	Copies of information materials, phone videos Copies shall be placed in the folder of "Information dissemination" for each Ayil Aimak.
	Media support during the Local Area Development Strategy and Youth Development Plan (LDS and YDP) development and implementation	Audio recordings, radio-spots, articles regarding local problems are published in mass media. Publishing opinions of youth facilitators, village chiefs in Whatsapp group chat. Background papers for women Posting information on selecting youth accountants/bookkeepers in Whatsapp group chats, social media	The awareness raising will be focused on youth and women engagement Information posters regarding women empowerment shall also be disseminated in crowded places, FAPs, schools, livestock markets	According to social mobilization steps	Copies of information materials, phone videos The sequence of documentation (which includes all stages of work related to LDS and YDP development and implementation

	Media support during the subproject implementation process	Background papers on subproject implementation progress Publishing views of C-VIA members, youth facilitators, community reporters, young accountants in whatsapp group chat Posting information on financial funds flow in whatsapp Publishing articles, TV-clips, radio-spots regarding different aspects of the project implementation in the media	Focus is made on the community views	According to social mobilization steps	Copies of information materials, phone videos Reports on Joint Monitoring and Evaluation Group (JME&G)
	Media support during the additional cultural public activities (international conferences, sport activities)	Publishing articles and TV-clips, radio-spots in the media	In accordance with Coordination Working Group recommendation	According to Coordination Working Group plan	Copies of information materials, phone videos

4.7 Budget

13. The ARIS-led communications plan will fund:
- ARIS expenses related to collaboration with the PR firm;
 - training of local youth facilitators and front-line staff;
 - organization and implementation of communication activities and events in corridor-villages and AAs at strategic times to deepen local level understanding;
 - dissemination of communications materials created by PR firm (including payments for radio and tv airtime);
 - participation in the CWG and
 - evaluations to measure communication activity outcomes and to make revisions as necessary.

4.8 Output indicators - communications

14. Output indicators under Sub-component 2C include:
- Communications action plan in place before effectiveness;
 - Communication materials disseminated in 100 percent of the villages and AAs that have been identified to be in the corridor of impact;
 - Community recognition of CSP communication materials and participation in outreach events at the level of villages;
 - Community understanding of CSP and CASA 1000 project (objectives, scope, benefits and beneficiaries);
 - Stakeholder understanding of CSP (project objectives, scope, benefits and beneficiaries); and

- National awareness of benefits of CASA 1000 CSP benefits for villages and AAs within the corridor of impact.

{INSERT END CHAPTER SUMMARY TABLE}

CHAPTER 5 PROJECT MANAGEMENT

A. Project Management – ARIS/CSP

B. Project Management – AKF/CESA grant

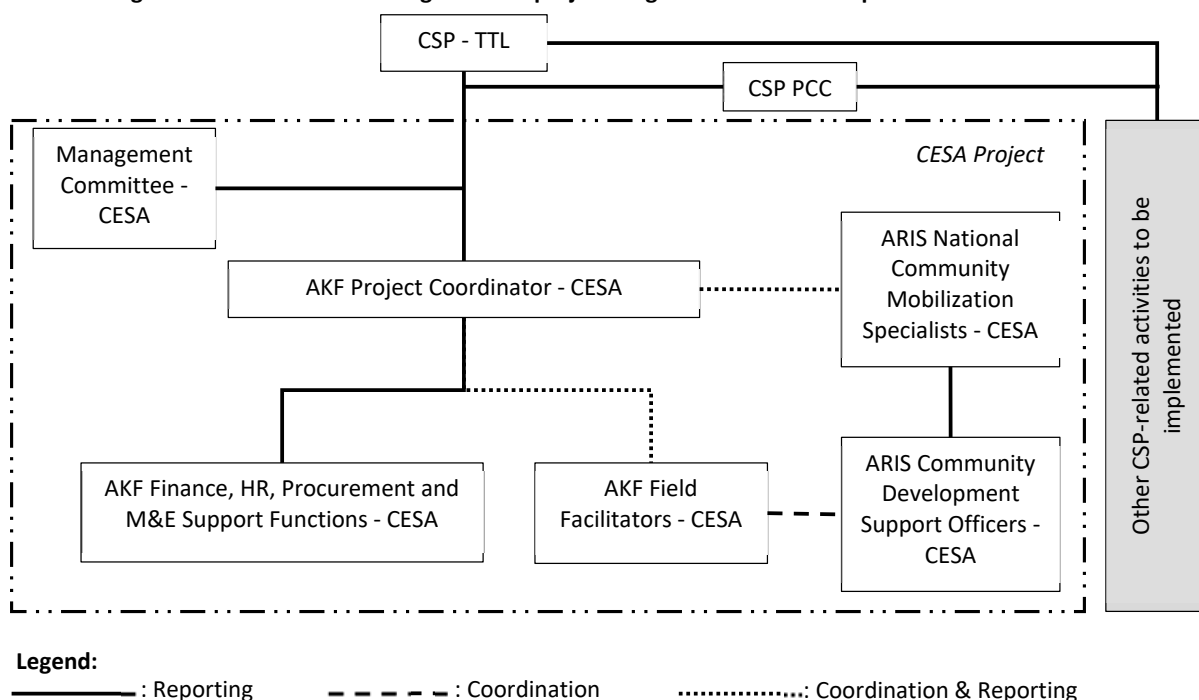
1. GOVERNANCE

The **Project Coordination Committee (PCC) – for CSP** will also be used as a coordinating mechanisms for CSP, however the primary coordination mechanism will be through a Working Group and weekly CSP-CESA meetings which will be hosted by ARIS and set out in the CSP POM.

2. INSTITUTIONAL ARRANGEMENTS

- The project is funded by the World Bank managed CASA1000 MDTF. The grant recipient is the Aga Khan Foundation headquarters in Geneva (AKF Geneva). Through the National Implementation Team, led by a project Coordinator satisfactory to the Bank, the branch of the Aga Khan Foundation in the Kyrgyz Republic will implement all aspects of the project, under the country management of the Chief Executive Officer and with technical input by program directors based in Geneva. An organogram of the institutional arrangements is outlined below.

Figure 5.1. Institutional Arrangements – project diagram and relationship to ARIS and CSP



2.1 Coordination with ARIS

- As the project is designed to complement the CSP, the roles and responsibilities of AKF and the ARIS with regard to the project's components are outlined in the table below.

Table 5.1. Roles and Responsibilities of AKF	AKF responsibility	ARIS responsibility
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and ARIS in project delivery Activity		
COMMUNITY MOBILIZATION AND CAPACITY BUILDING		
Introductory Meetings at Oblast and Rayon, AA, and Village Levels	<ul style="list-style-type: none"> Attend introductory meetings; Spot check of introductory meeting conducted by ARIS. 	<ul style="list-style-type: none"> Produce awareness-raising materials; Identify and invite participants; Organize introductory meetings at village, rayon, sub-district and oblast levels.
Election of Youth Facilitators, Community Reporters, and C-VIA Members	<ul style="list-style-type: none"> Approve a methodology to be used to select Youth Facilitators, Community Reporters, and C-VIA Members; Spot check of the election process. 	<ul style="list-style-type: none"> Agree with AKF on the methodology to be used to select Youth Facilitators, Community Reporters, and C-VIA Members; Organize meetings at street jamaat level; Confirm nominations.
C-VIA Establishment	<ul style="list-style-type: none"> Approve a methodology to establish C-VIA; Spot check of the process of the establishment of C-VIA. 	<ul style="list-style-type: none"> Organizes meetings to select C-VIA office-bearers and facilitate the finalization of the C-VIA charter; Supervise the recruitment of young accountants by C-VIA.
Capacity Building Activities for Community Mobilization	<ul style="list-style-type: none"> Finalize the training plan in collaboration with ARIS; Deliver trainings and refresher sessions for C-VIA, Youth Facilitators on topics agreed on in the approved training plans; Conduct debriefing sessions with trainees jointly with ARIS; Conduct follow-on mentoring jointly with ARIS. 	<ul style="list-style-type: none"> Finalize the training plan in collaboration with AKF; Deliver trainings and refresher sessions for C-VIA, Community Facilitators on topics agreed on in the approved training plans; Conduct debriefing sessions with trainees jointly with AKF; Conduct follow-on mentoring jointly with AKF.
Village Needs Assessment, Local Development Strategy, (including Youth Development Plans), and Sub-Project Selection	<ul style="list-style-type: none"> Support Youth Facilitators to undertake participatory needs assessment in their villages together with ARIS; Support Youth Facilitators to develop villages inputs to LDS, including Youth Development Plan (YDP) together with ARIS; Supervise and mentor Youth Facilitator in the facilitation of Village Prioritization Meeting and their presentation of LDS and YDP together with ARIS; Develop a method to help Youth Facilitators to prioritize sub-project investments together with ARIS. 	<ul style="list-style-type: none"> Support Youth Facilitators to undertake participatory needs assessment in their villages together with AKF; Support Youth Facilitators to develop villages inputs to LDS, including Youth Development Plan together with AKF; Supervise and mentor Youth Facilitator in the facilitation of Village Prioritization Meeting and their presentation of LDS and YDP together with ARIS; Facilitator in the facilitation of Village Prioritization Meeting together with AKF.
YOUTH ENGAGEMENT, AWARENESS BUILDING, SOCIAL ACCOUNTABILITY		
Capacity Building for Youth Facilitators and Community Reporters	<ul style="list-style-type: none"> Develop training plan and materials Provide trainings to Youth Facilitators and Community Reporters; Conduct debriefing sessions and follow-up mentoring with trainees; Together with ARIS, identify individuals or service providers knowledge in project-relevant topics and assist individuals and service 	<ul style="list-style-type: none"> Together with ARIS, identify individuals or service providers knowledge in project-relevant topics and assist individuals and service providers identified to deliver ToT for Youth Facilitators; Monitor the work of the Youth Facilitators and Community Reporters together with AKF

	providers identified to deliver ToT for Youth Facilitators; <ul style="list-style-type: none"> • Ensure that a fair representation of those individuals and service providers are women; • Monitor the work of the Youth Facilitators and Community Reporters together with ARIS. 	
Support for Youth-led Awareness Raising	<ul style="list-style-type: none"> • Conduct training on forum theatre methodology; • Support trained actors in organizing forum theatres in their community; • Conduct debriefing sessions and follow-up mentoring with trainees; • Monitor the work of the trained actors. 	
Identification and Capacity Development of Community Reporters	<ul style="list-style-type: none"> • Train Community Reporters in participatory monitoring; • Develop guidelines and training materials on social audits & community scorecards; • Provide ToT on social audits & community scorecards guidelines to AKF staff and CDSO; • (Trained AKF and ARIS field staff) Provide training on social audits & community scorecards to Community Reporters and C-VIA representatives; 	<ul style="list-style-type: none"> • Attend ToT on community scorecards
Community Check Meetings are conducted – Incorporating the Social Audit and Community Scorecards	<ul style="list-style-type: none"> • Support citizen feedback process in each villages using social audit & community scorecard methodologies; • Support the logistic of the meeting; • Collect data generated during the meeting and convey to M&E staff. 	<ul style="list-style-type: none"> • Collect data generated during the meeting and convey to M&E staff; • Collect beneficiary feedback and convey it to AKF.
PROJECT MANAGEMENT AND ADMINISTRATION, M&E AND KNOWLEDGE DISSEMINATION		
Project governance	<ul style="list-style-type: none"> • Approved ARIS detailed implementation plan and budget from ARIS; • Sign sub-agreement with ARIS; • Establish and co-chair PCC 	<ul style="list-style-type: none"> • Submit detailed implementation plan and budget to AKF; • Co-chair PCC.
Project management	<ul style="list-style-type: none"> • Recruit project staff; • Establish office in Batken and Jalal-Abad as needed; • Provide progress report to the WB and support review missions. 	<ul style="list-style-type: none"> • Recruit CDVOs as needed; • Submit progress report to AKF. • Ensure that the project communication plan is implemented.
Monitoring and evaluation, and knowledge dissemination	<ul style="list-style-type: none"> • Conduct baseline and end line survey together with ARIS 	<ul style="list-style-type: none"> • Maintain project M&E database

2.2 Management Committee

3. **Overview.** A Management Committee will be established at the national level consisting of senior national and Project Coordinator.
4. **Objective.** To oversee the progress of the project and to make any necessary adjustments, including provision of technical input.

5. **Participants.** CEO of AKF Kyrgyzstan, the Project Coordinator, the Director Partnerships & Program Development, Chief Finance Officer, Civil Society and Local Governance Officer, Regional Social Accountability Advisor and the Manager of the Research and Learning Unit. AKF Global Civil Society Lead and AKF Civil Society & Gender Advisor for Asia may also be invited to participate in the Management Committee in order to provide technical guidance both to the Committee and to the implementation unit.
6. **Frequency.** The Committee will meet monthly in the first year and quarterly thereafter.
7. **Process.** The Management Committee will be chaired by the CEO of AKF Kyrgyzstan or Director of Programs Director Partnerships & Program Development. The Project Coordinator will organize the meetings and develop the agenda of the meeting one week in advance and circulate with participants for their review and preparation. Minutes of the Management Committee will be kept with the Project Coordinator.

2.3 Implementation Team

8. The Implementation Team will consist of a Project Coordinator and three Community Facilitators, as well as AKF M&E, Finance, HR and Procurement & Administration Support Functions, and the Social Accountability Adviser.
9. A Project Coordinator will be hired (ToR attached in C) and will carry out four key roles: (a) to ensure leadership over AKF's overall support and engagement with other CASA1000 CSP-related initiatives; (b) to ensure overall management of the project; (c) to provide guidance and inputs to ARIS on community mobilization efforts and monitor its work; (d) to provide technical quality assurance and guidance for the project including training and capacity building at all levels (the project will also receive technical support from its Regional Social Accountability Advisor (based in Bishkek) and relevant staff from AKF Headquarters) and (e) prepare consolidated progress report for the WB.
10. The role of the Community Facilitator will be to (i) facilitate community mobilization activities; (ii) facilitate training events, exchanges, and workshops to support youth facilitators, Ayil Okmotus, members of the Aiyl Kenesh and other community stakeholders and (iii) Coordinate and cooperate with ARIS at community level in delivering on CSP community mobilization activities. Their capacity will be developed through trainings and mentoring support provided by AKF Regional Social Accountability Advisor, Global Civil Society Lead and Civil Society & Gender Advisor for Asia. Community Facilitators are paid project staff, identified from communities based on a set of criteria to be developed in the project's first month (ToR attached in Annex D7). Each Community Facilitator will cover approximately 12 villages.
11. The role of the Support Function will be:
 - a. The Project Coordinator will (i) be directly responsible for providing technical and managerial oversight and leadership for the project, , (ii) have overall responsibility for the financial and administrative aspects of the project as set out in the ToR in Annex D6.
 - b. The Procurement & Administrative Support Function will be responsible for the management of all procurement activities, in compliance with WB procurement rules. This team comprises of Head of Procurement and Administration Department, Procurement Specialist as well as the Administration Coordinators and assistants.
 - c. The M&E Support Function comprises of AKF M&E Manager and Coordinators and will (i) , in collaboration with ARIS M&E Department, lead on the baseline and end-line assessment of the project, (ii) develop M&E tools and MIS for the component led by AKF and (iii) ensure high quality and timely delivery of monitoring data to ARIS M&E Department.
 - d. The Finance Support Function will be responsible for timely reporting, budget controls, internal controls and compliance, accounting and filing of all project related expenditures and records. This Support Function comprises of Director Finance, Grants Manager, Head of Accounting, Finance Specialist, Finance Manager and Accountant, Cashier.

- e. HR Support Function will be responsible for the recruitment processes, contracts of project staff and staff development and safeguarding the staff issues as per internal policies and WB rules.
- 12. The Implementation Team will also be responsible to ensure that safeguards and GRM are respected. This Support Function includes the HR Team are HR Manager, Labour Relations Coordinator and Recruitment Coordinator.
- 13. The Implementation Team will meet on a monthly basis to review implementation progress against plans, and monitor budget versus actual spending and compliance with safeguards, and project requirements. The Project Coordinator, with technical support from the M&E Support Function, will have overall responsibility for monitoring project components that are led by AKF, transfer of monitoring data to ARIS M&E Department and overall project reporting.
- 14. Their salaries will be fixed according to AKF salary scale and charged to the project according actual worked hours on the project implementation as per cost allocation policy of AKF.

2.4 Regional Implementation Team

- 15. The Regional Implementation Team will be comprised of three Community Facilitators employed.

2.5 Implementation Project Unit

- 16. The Project Coordinator will be based in the AKF offices in Bishkek, while the Community Facilitators will be based in Osh, Jalalabad and Batken. In oblasts where AKF does not have established offices (in Batken and Jalalabad), they will make arrangements with local government offices or private owners. Existing and newly established district-level offices will act as implementation hubs, for the day-to-day implementation of the project.

3. REPORTING & REVIEW MISSIONS

- 17. **Overview.** AKF will report to the World Bank through semi-annual progress reports and quarterly unaudited financial reports, the timing of which will be coordinated with implementation support missions.
- 18. **Objective.** Semi-annual progress reports and Bank missions will provide an opportunity for AKF management to meet and discuss critical implementation issues, and to consider how to improve implementation based on emerging lessons.
- 19. **Duration.** Reports will cover the period of one calendar semester and will be submitted to the World Bank not later than one month after the end of the period covered by such report.
- 20. **Participants.** Project Coordinator, Director Partnerships & Program Development, Regional Social Accountability Advisor and World Bank TTL. Procurement, FM, M&E.
- 21. **Process.** Progress reports will be developed by the Project Coordinator in coordination with the Director Partnerships & Program Development. He/she, through the Director Partnerships & Program Development, will be responsible for submitting reports directly to the World Bank TTL. Review mission will be coordinated by the Project Coordinator and the Director Partnerships & Program Development.

CHAPTER 6: KNOWLEDGE AND LEARNING/MONITORING AND EVALUATION

6.1 OBJECTIVES, SCOPE AND PARAMETERS

15. 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.

16. **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.

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

- Provide ARIS 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 the ARIS' success in achieving the goals and objectives set, and the level of its impact on the social environment and capacity of the intended beneficiaries
- 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.

18. **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 ARIS team 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>)
- Where possible, control and treatment groups will be used to attribute changes caused by the project; the principles of the International Initiative for Impact Evaluation (3ie) will be adhered to (see www.3ieimpact.org/media/filer_public/2015/02/26/3ie_principles_of_ie.pdf).

19. **M&E Implementation and institutional arrangements.** Monitoring and evaluation will be undertaken by an M&E team appointed by ARIS. ARIS 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
- 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
- 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.

20. In terms of additional institutional arrangements, the M&E team appointed by ARIS 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.

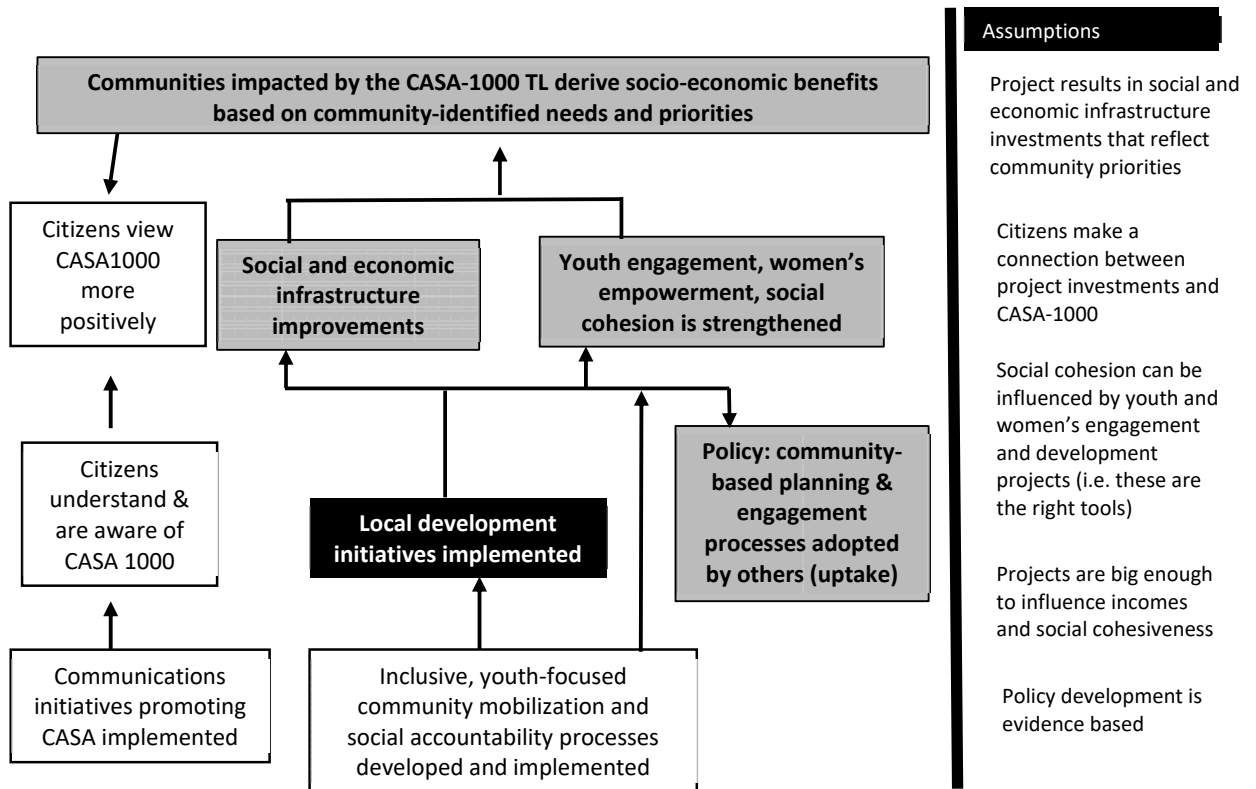
21. This chapter: (i) reviews the program's theory of change; (ii) describes the importance of performance management and summarizes all performance targets; (iii) outlines a brief strategy for computerization (which will generate most reports and indicators); (iv) describes how to implement key M&E processes and activities and (v) defines, in detail, each indicator in the results framework.

22. **M&E Processes:** The following M&E activities will be implemented

- Activity 6.1: Manage results by establishing clear performance targets
- Activity 6.2: Computerize the operations manual, 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 6.3: Develop and implement surveys and impact evaluations
- Activity 6.4: Undertake regular spot checks and supervision missions to monitor implementation and assess data quality
- Activity 6.5: Implement learning initiatives
- Activity 6.6: Prepare annual, semi-annual reports and other implementation reports
- Activity 6.7: Complete mid-term evaluation and end of project external reports
- Activity 6.8: Develop the M&E capacity of key program managers and implementers

23. **Theory of Change.** 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.

Figure xx: Theory of Change



24. The project will develop, implement, and finance community mobilization and social accountability 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).

25. Project activities will be implemented along the CASA-1000 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 CASA-1000. At the outcome level (livelihoods, social cohesion, and CASA 1000 perceptions), evaluation will ideally compare changes in CASA 1000 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**.

B. ACTIVITIES AND PROCEDURES

Activity 6.1 - Manage results by establishing clear performance targets

26. As described below, quarterly 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. ARIS'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 1: First Draft Indicator Targets

RESULT	INDICATOR	BASELINE (YEAR)	TARGETS					REFERENCE / NOTES
			2018	2019	2020	2021	2022	
Project Development Objective: To engage communities in the development of social and economic infrastructure in order to enhance services, livelihoods and inclusion in target villages near the CASA1000 Transmission Line	• Indicator PDO1: % of beneficiaries in target communities who report that village/AA investments met their needs	0% (2017)			50%		75%	
	• Indicator PDO2: % of beneficiaries in target communities who report that their engagement in decision making over village investments was effective	0% (2017)			50%		75%	
	• Indicator PDO3: % of young (women and men) beneficiaries who report that their role/voice in local decision making has been enhanced as a result of project support	0% (2017)			50%		75%	
	• Indicator PDO4: % of target communities with improved access to social infrastructure and/or livelihoods facilities as a result of project support	0% (2017)			100%	100%	100%	
	• Indicator PDO5: % of beneficiaries in target communities who report that the CSP is an effective solution to the local impacts of the CASA1000 transmission line	0% (2017)			50%		70%	
Sub-Component 1A: Support for electricity improvements within target villages	• Indicator 1A.1: % increase in annual electricity consumption in those villages that receive electricity investments at least a 20% increase in annual electricity consumption when compared to 2017	0 (2017)		10			20	% increase TBD
	• Indicator 1A.2: Number of villages having at least a 20% decrease in the annual incidence (number of days) of power outage when compared to 2017	0 (2017)			TBC	TBC	TBC	
	• Indicator 1A.3: Cumulative number of new electrical connections since 2017	0 (2017)	TBC	TBC	TBC	TBC	TBC	
	• Indicator 1A.4: Cumulative number of villages completing projects to upgrade their street lighting systems	0 (2017)	TBC	TBC				
	• Indicator 1A.5: % of village transformers operating within rated limits	Unknown (2017)	25%	50%	75%	100%	100%	

RESULT	INDICATOR	BASELINE (YEAR)	TARGETS					REFERENCE / NOTES
			2018	2019	2020	2021	2022	
	<ul style="list-style-type: none"> Indicator 1A.6: % of village transformers with distribution and supply systems assessed to meet or exceed minimum safety standards 	Unknown (2017)	TBC	TBC	75%	100%	100%	
Sub-Component 1B: Support for social infrastructure and services in target villages	<ul style="list-style-type: none"> Indicator IO6: Percentage of target communities selecting their highest priority subproject (intermediate objective indicator) 	0% (2017)	40%	50%	60%	70%	80%	Highest priority may not be selected if it is over-budget
	<ul style="list-style-type: none"> Indicator IO8: Percentage of relevant subprojects that support climate change adaptation or mitigation 	0% (2017)					25%	
	<ul style="list-style-type: none"> Indicator 1B.1: Estimated number of beneficiaries of community social infrastructure projects 	0 (2017)			10,000	35,000	35,000	Target = 50% of all potential beneficiaries
	<ul style="list-style-type: none"> Indicator 1B.2: % of villages whose community's highest priority was implemented as a social infrastructure projects 	0% (2017)			40%	50%	60%	
	<ul style="list-style-type: none"> Indicator 1B.3: % of villages whose women's highest priority was implemented as a social infrastructure projects 	0% (2017)			40%	50%	60%	
	<ul style="list-style-type: none"> Indicator 1B.4: % of social infrastructure projects which are classified as being "poverty focused" 	0% (2017)			20%	35%	50%	
	<ul style="list-style-type: none"> Indicator 1B.5: Number of climate change adaptation and mitigation projects completed 	0 (2017)			2	3	5	
	<ul style="list-style-type: none"> Indicator 1B.6: % of social infrastructure projects completed on time 	0% (2017)			50%	60%	80%	
	<ul style="list-style-type: none"> Indicator 1B.7: % of projects with voluntary community contributions 	0% (2017)	40%	50%	60%	70%	80%	Include in kind contributions?
	<ul style="list-style-type: none"> Indicator 1B.8: number of villages having O&M committees which have budgets 	0 (2017)	TBC	5	10	15	20	
Subcomponent 1C: Support for livelihoods facilities in selected AAs	<ul style="list-style-type: none"> Indicator IO2: % of livelihoods facilities that reach intended target beneficiaries by year 4 (intermediate objective indicator) 	0 (2017)	5%	15%	80%	90%	100%	
	<ul style="list-style-type: none"> Indicator 1C.1: Cumulative number of livelihood facilities constructed 	0 (2017)	1	5	10	10	10	

RESULT	INDICATOR	BASELINE (YEAR)	TARGETS					REFERENCE / NOTES
			2018	2019	2020	2021	2022	
	<ul style="list-style-type: none"> Indicator 1C.2: Cumulative number of new jobs attained by community members, through the assistance of livelihood facilities 	0 (2017)			50	200	400	
	<ul style="list-style-type: none"> Indicator 1C.3: Amount of rent from facilities channeled into community projects 	\$0 (2017)						Target = \$200 per month per facility
	<ul style="list-style-type: none"> Indicator 1C.4: Number of businesses supported 	0 (2017)	0	50	200	400	500	Targets = 50 services per facility
Subcomponent 2A: Support for community mobilization and capacity building	<ul style="list-style-type: none"> Indicator 1O3: % of target communities empowering young women and men to facilitate community mobilization (intermediate objective indicator) 	0% (2017)	50%	65%	80%	100%	100%	
	<ul style="list-style-type: none"> Indicator 1O4: % of target communities completing enhanced (youth-led) community mobilization processes (intermediate objective indicator) 	0% (2017)	50%	65%	80%	90%	95%	
	<ul style="list-style-type: none"> Indicator 1O5: Percentage of target AOs expanding the Local Development Strategy with youth development and livelihood activities 	0% (2017)	50%	65%	80%	100%	100%	
	<ul style="list-style-type: none"> Indicator 2A.1: Number of youth facilitators recruited and active in community mobilization activities 	0 (2017)	120	148	148	148	148	
	<ul style="list-style-type: none"> Indicator 2A.2: Cumulative number of C-VIAs registered 	0 (2017)	10	22	22	22	22	
	<ul style="list-style-type: none"> Indicator 2A.3: Total number of training sessions/workshops held 	0 (2017)	30	60	117	117	117	Target = 3 per village in the long run
	<ul style="list-style-type: none"> Indicator 2A.4: Total number of participants trained on project-related activities 	0 (2017)	5,000	7,000	9,000	11,000	11,000	Target = reach 300 participants/village
	<ul style="list-style-type: none"> Indicator 2A.5: Percentage of C-VIAs with bank accounts and having annual accounts 	0% (2017)	0%	40%	80%	100%	100%	
	<ul style="list-style-type: none"> Indicator 2A.6: Percentage of interviewees reporting they were engaged in: (i) planning and decision making; and (ii) participatory monitoring; and (iii) planning for O&M 	0% (2017)			33%		50%	
	<ul style="list-style-type: none"> Indicator 2A.7: Number of youth accountants working in C-VIAs 	0 (2017)	5	20	50	50	50	

RESULT	INDICATOR	BASELINE (YEAR)	TARGETS					REFERENCE / NOTES
			2018	2019	2020	2021	2022	
Subcomponent 2B: Social Accountability	• Indicator 2B.1: Number of community reporters recruited and tracking information and progress							
	• Indicator 2B.2: Percentage of target villages (i) carrying out community scorecards; and (ii) developing actions plans	0% (2017)	5%	50%	75%	100%	100%	
	• Indicator 2B.3: Number of community members participating in awareness building sessions and forum theatre selected and facilitated by youth	0 (2017)						
	• Indicator 2B.4: Percentage of project investments that are reviewed by community scorecards	0% (2017)						
	• Indicator 2B.4: Number of social audit meetings that: (i) disseminate information; (ii) generate community feedback on C-VIA activity	0 (2017)						
	• Indicator 2B.5: Cumulative number of initiatives promoting social accountability outside the project.	0 (2017)	0	0	0	5	10	
Sub-Component 2C: Communications	• Indicator IO.7: % of target communities demonstrating an understanding of CSP objectives and parameters	0% (2017)			50%		75%	
	• Indicator 2C.1: A communications action plan developed and agreed by all stakeholders	None	Done					
	• Indicator 2C.2: Communications materials disseminated in all villages and AAs in the Col	None	Done	Done	Done	Done	Done	
	• Indicator 2C.3: Number of awareness-building events and participants (women/men/youth) attending	0 (2017)						
	• Indicator 2C.4: Number of staff trained	0 (2017)						
	• Indicator 2C.5: Percentage of villagers aware of CSP communications materials	0 (2017)						
	• Indicator 2C.6: Community and stakeholder understanding of CSP (project objectives, scope, benefits and beneficiaries).	0 (2017)						

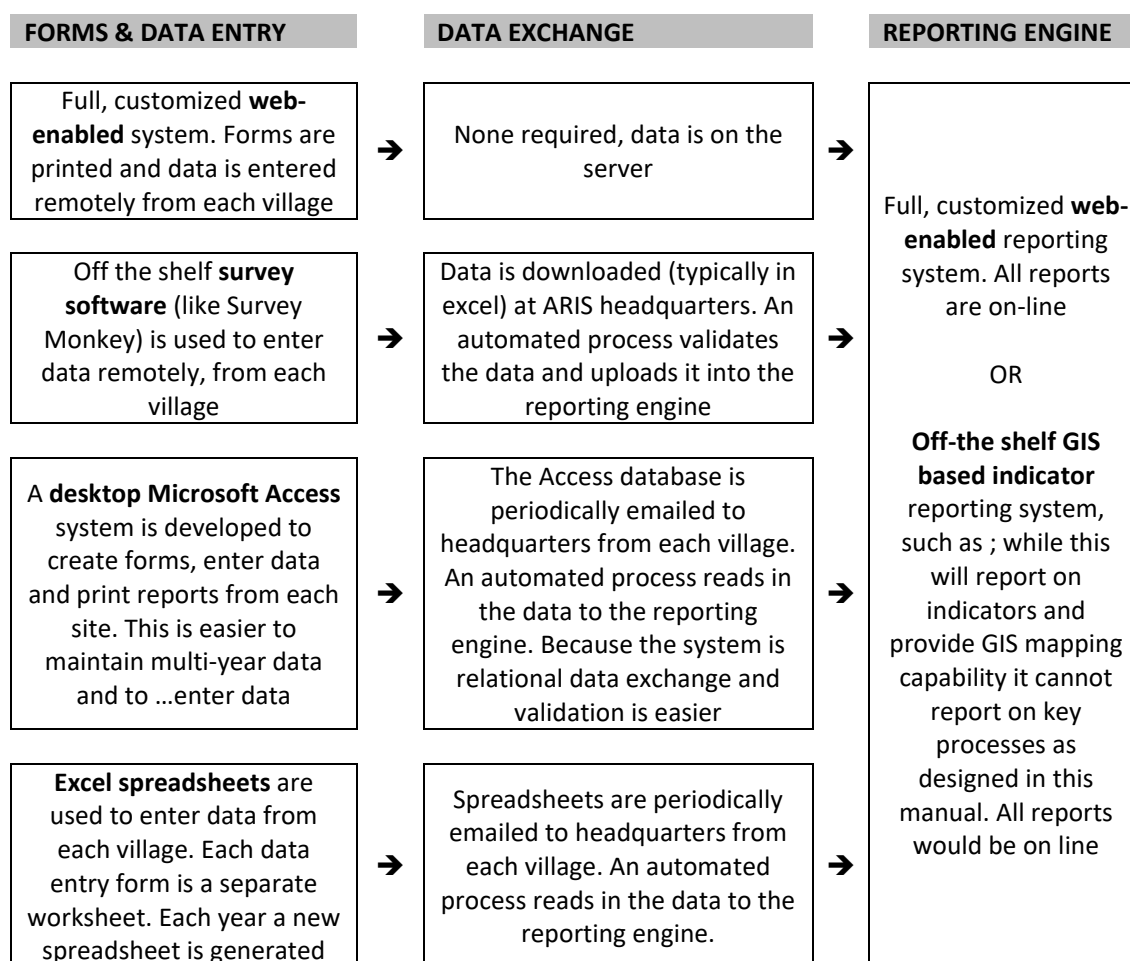
Activity 6.2 - Computerize the operations manual and generate required report/indicators

27. 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 operations 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).

28. 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 operations 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.

29. **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 (implementation will be in a maximum of 37 villages) 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.



30. 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.

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

32. 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.

33. 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. The table below lists forms which have been currently developed.

Table 2: List of data collection forms

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. Used to generate Indicator 1A.1 : Percentage of villages with improved electricity supply for household and/or productive purposes as a result of project support (intermediate objective indicator); Indicator 1A.2 : Percentage of target villages with improved voltage; Indicator 1A.3 : Percentage of target villages with reduced power outages; Indicator 1A.4 : Number of people formally connected to the network for the first time; Indicator 1A.5 : Number of target villages with street lighting systems improved by the project; Indicator 1A.6 : Percentage of transformers within target villages operating within rated limits and Indicator 1A.7 : Percentage of transformers with related distribution and supply systems considered to meet or exceed minimum safety standards.	
4. Form 2A.01, Project Initiation Introductory 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, CVIA Elections Meeting	This form records meetings held to elect CVIA 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, Village Elections Meeting	As above, but records the results of village level elections (facilitators, reporters). Used to generate Indicator 2A.1 (Number of youth facilitators recruited and active in community mobilization activities)	
7. Form 2A.03a CVIA Representatives	Records names and biographical details of CVIA 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	

FORM	DESCRIPTION	
8. Form 2A.03b Village Representatives	Records names and biographical details of CVIA 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	
9. Form 2A.04, CVIA Data	Collects information on the name of the CVIA, the name of its current head and chief, when it completed its charter, when it was registered, banking information, etc. Allows the calculation of Indicator 2A.2 (Cumulative number of C-VIAs registered) and Indicator 2A.5 (% of C-VIAs with bank accounts and having annual accounts)	
10. Form 2A.05, Youth Accountants	Collects information on each accountant (name, age, educational background and other essential personnel information), his or her date of recruitment and date of termination. Collects Indicator 2A.7 : Number of youth accountants working in C-VIAs	
11. Form 2A.06, Training (Corridor Village Representatives)	Records training events provided to corridor village representatives. Whenever CD is provided, this form will be filled out. Monitors the date of the training, number of participants (disaggregated) and other information	
12. Form 2A.07, CVIA Training / CD	Records training events provided to CVIA staff. Whenever CD is provided, this form is filled out. Monitors the date of the training, type of CD (mentoring, training, Organizational Development, etc.), topics, number of participants (disaggregated) and other information. Data is an input into Indicator 2A.3 (Total number of training sessions/workshops held) and Indicator 2A.4 (Total number of participants trained on project-related activities)	
13. Form 2A.08, Village Needs Assessment	Records the results of a village needs assessment (situation analysis completed by community facilitators. Monitors the date of the needs assessment, number of participants (disaggregated), etc.	
14. Form 2A.09: Local Development Strategies	Records the date, participants (disaggregated) and main content of local development strategies. Identifies some common elements from Youth Development Strategies (Indicator IO5 : Percentage of target AOs expanding the Local Development Strategy with youth development and livelihood activities and Indicator 2A.7 : Number of YDPs generated and included in LDSs)	
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 community facilitators. Monitors the date of the needs assessment, number of participants (disaggregated) and priorities of the community and women (ranked). Used in Indicator IO6 : Percentage of target communities selecting their highest priority subproject (intermediate objective indicator)	

FORM	DESCRIPTION	
16. Form 2A.11: Project Plans	Records each planned project in a village, during a given year. It is completed by CVIA 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. Provides an input into Indicator 1B.1 : Number of beneficiaries of diverse social infrastructure improvements; Indicator 1B.2 : Number of village investments that were the top priority of communities; Indicator 1B.3 : Number of communities selecting poverty-focused subprojects, Indicator 1B.4 : Number of communities selecting women's highest priority subproject and Indicator 1B.7 : Number of subprojects that support climate change adaptation or mitigation	
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, ARIS envisages employment of a Supervision Consultant. 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. Monitors Indicator 1B.5 : Number of subprojects completed on time and Indicator 1B.6 : Percentage of villages with voluntary community contributions to village investments	
TO BE COMPLETED		

34. Monitoring of CSP activities (at national and local level) includes continuous and regular monitoring of both the processes described in this manual and the annual plan and budget. Monitoring and reporting will primarily be done using a computerized MIS and will: (i) measure physical progress against targets; (ii) measure whether something is completed on time; and (iii) compare actual budgets and expenditures.

35. Project implementers are expected to comply with the administrative procedures contained in this manual. In terms of M&E there is more flexibility. They can be trained. Disbursements can be made based on whether adequate information is provided. This applies to ARIS, CVIAs, and livelihood facilities, Electricity Companies, etc.

36. As a matter of principle, the project should piggyback on existing data and reporting processes for Electricity Companies and should minimize requests for additional information. Before the completion of this manual the ARIS M&E team will:

- Organize meetings with Electricity Companies to explain the project and what it aims to monitor
- Establish which information is currently available
- In light of available information, review and revise indicators in the results framework or agree with each organization on which information it can provide, when it will provide the information, and how information will be exchanged.

Activity 6.3 – Collate information from Community Scorecards and Community Monitoring

Activity 6.4 - Develop and implement surveys and impact evaluations

37. The theory of change and results framework identify 5 main result areas that should be evaluated by assessing community knowledge, attitudes and perceptions. To do so, two main survey instruments will be designed and implemented:

- A Household Expenditure Survey
- A Community Perception Survey

38. These results will be complemented by perceptions captured through community scorecards, as participants in these events are not random and results may be biased.

39. In designing these instruments, 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 Surveys

40. A community perception survey will be undertaken on a baseline, mid-year, and end of project basis. Development of the instrument will be guided by initial findings of the *Youth Needs Assessment and the Conflict Study*. In general, the number of questions should be kept to a minimum and surveys should be kept short. ARIS 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 (either the university or an international organization like the Abdul Latif Jameel Poverty Action Lab [J-PAL]) or Stockholm International Peace Research Institute which recently carried out a social cohesion index survey in Kyrgyz Republic. More generally, data collection may be separated from design and analysis. The community perception survey will cover the areas outlined below in items 41 to 45.

41. **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, 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).

42. **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.

43. **Social Cohesion:** The *Youth Needs Assessment and the Conflict Study* identified the state of social capital and conflict in several villages. Based on this, 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.

44. **Projects:** 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).

45. **Citizen engagement processes:** this section will measure respondent's awareness of engagement processes and their satisfaction with the process. 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.).

46. Taken together, and to the degree possible, the design and analysis of the *Household Expenditure Survey* and the *Community Perception Survey* will attempt to answer the following **evaluative questions**:

4. What is the rate of return (cost-benefit) of community projects?
5. Are community projects the best way to improve incomes and livelihoods (for example, compared to individual cash transfers)?
6. Which projects have the highest rates of return?
7. Which groups are most impacted (women, youth, etc., i.e. differential impact)?
8. What are the social impacts of implementing participatory local development projects, particularly CSP's focus on women and youth?
9. Does civic engagement increase returns / improve performance (or, which processes most positively impact results?)
10. How did implementing projects affect the perceptions of communities in terms of CASA 100?
11. How big do projects have to be to affect perceptions?
12. Which projects or processes (for example citizen engagement) most positively affect perceptions?
13. Are there differences in perceptions (and actions in terms of CASA 1000) amongst different community groups?

Activity 6.4 - Undertake regular spot checks and supervision missions to monitor implementation

47. In terms of supervision, ARIS Head Office monitors the project activities through (i) spot-check visits to oblast community development support officers, aiyl okmotus and subproject facilities; (ii) regular analysis of the data entered into MIS by community development support officers and ARIS consultants at Oblast Offices, as well as the project indicators (iii) regular reports from Oblast Offices.

48. ARIS Oblast Offices are responsible for control and monitoring of the project-financed activities at the local level, which is carried out through (i) CDSOs' reports; (ii) reports from local consultants and supervisors (individuals/NGOs/ private firms) engaged by Oblast Offices; and (iii) regular analysis of the data introduced into the MIS by community development support officers and ARIS consultants. **Local authorities** (oblast, rayon and aiyl okmotu levels) will carry out spot-check visits to Aiyl Aimak areas and sub-project facilities and participate in transfer and acceptance of sub-project facilities.

49. 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 CVIAs and livelihood facilities
 - Verify completed projects were completed according to contract and that they meet acceptable quality standards
50. The disbursement of funds may depend on results of spot checks and data verification.
51. Internal auditing and financial management spot checks are described elsewhere and not considered an M&E activity.

Activity 6.5 - Implement learning initiatives

52. 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.
53. 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
54. 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 learnt 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.
55. In addition to this:
- The Project will also promote peer-to-peer information exchange through visits and study tours (exchange visits) among village and ayil okmotu leaders and other stakeholders in order to study the best practices experienced by C-VIAs. Community mobilization counterparts and ARIS 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 ARIS employees and counterparties will be carried out at annual meetings. Mutual enrichment with experience will also take place at other regular events organized at oblast and rayon levels. At the same time, the best

practices will be shared, and the lessons learnt will be studied. ARIS Oblast 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.

56. 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 6.6 – Prepare annual, semi-annual and other implementation reports

57. The CSP/CESA projects will jointly 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.

58. 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 ARIS.
- Support an environment of transparency
- Stir **debate** about key issues both within ARIS and more broadly across all beneficiaries and stakeholders
- Shape **organizational culture** by communicating a common story, documenting an the history of the project, thus unifying opinion and contributing towards its institutional memory.

59. 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

60. 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 sub-component, 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

61. 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 (sub-component, component and project totals) without balance sheet or procurement reports; and (vi) annex 2 and 3 are much shorter.

62. 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 6.7 - Complete mid-term evaluation and end of project external reports

63. A Project Completion Report will be independently prepared at the end of the Project.
64. 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.

6.8 Develop the M&E capacity of key program managers and implementers

65. ARIS is responsible for ensuring all manager and staff are capable of undertaking their M&E functions. ARIS is responsible for ensuring all managers understand the theory of change and understand and own their indicators. ARIS will collect data, monitor, oversee consultants and evaluations, and develop reports. Depending on capacity, ARIS may benefit from periodic support, coaching, mentoring, and quality assurance.
66. Each year, ARIS 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.
67. Key indicators of ARIS'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 ARIS annual and semi-annual reports

Indicator descriptions

68. 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

- % of beneficiaries in target communities who report that village/AA investments met their needs
- % of beneficiaries in target communities who report that their engagement in decision making over village investments was effective
- % of young (women and men) beneficiaries who report that their role/voice in local decision making has been enhanced as a result of project support
- % of target communities with improved access to social infrastructure and/or livelihoods facilities as a result of project support
- % of beneficiaries in target communities who report that the CSP is an effective solution to the local impacts of the CASA1000 transmission line

These are defined below.

INDICATOR PDO.1: % OF BENEFICIARIES IN TARGET COMMUNITIES WHO REPORT THAT VILLAGE/AA INVESTMENTS MET THEIR NEEDS
Description: This indicator measures citizen satisfaction with project selection and implementation (related to the effectiveness of the subprojects).
Methodology and source of information: 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.
Method of Calculation: A survey of randomly selected respondents will be completed. One question on the questionnaire will concern this indicator: for example, “did your village’s investment projects meet your needs?” The calculation maybe complicated, because respondents will first have to be aware of what the projects are. Second, the questions will likely be designed on a likart scale (either 1-5 or 1-4) in order to gauge the degree to which need was met (for example, not met, met, strongly met). To calculate the indicator: <ul style="list-style-type: none"> • The numerator is no. of respondents aware of the projects and providing a sufficient answer to the question • Denominator is the total number of respondents
Frequency and reporting: See activity 6.3. Likely to be baseline, mid-project, end project
Means of Verification: None, but the questionnaire must ensure the respondent is aware of the project. Follow up questions may also require the respondent describe how the investment met their need (to avoid disingenuous responses)
Target: By the end of the project the expected value is 75%.
Disaggregation: data is disaggregated by village, gender, youth (and any other characteristic of the respondent—for example, type of employment, level of poverty, etc.)

INDICATOR PDO.2: % OF BENEFICIARIES IN TARGET COMMUNITIES WHO REPORT THAT THEIR ENGAGEMENT IN DECISION MAKING OVER VILLAGE INVESTMENTS WAS EFFECTIVE
Description: This indicator measures whether citizens believe their priorities are being reflected in village investments
Methodology and source of information: 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.
Method of Calculation: A survey of randomly selected respondents will be completed. One question on the questionnaire will concern this indicator: for example, “how responsive was your village investment decision with citizens’ engagement?” The calculation can either look at the individual’s engagement, or the community’s engagement. Questions will likely be designed on a likart scale (either 1-5 or 1-4) in order to gauge the degree to which engagement was effective. To calculate the indicator: <ul style="list-style-type: none"> • The numerator is no. of interviewees believing engagement was effective • Denominator is the total number of respondents
Frequency and reporting: See activity 6.3. Likely to be baseline, mid-project, end project
Means of Verification: None, but the questionnaire must ensure the validity of responses
Target: By the end of the project the expected value is 75%.
Disaggregation: data is disaggregated by village, gender, youth (and any other characteristic of the respondent—for example, type of employment, level of poverty, etc.)

INDICATOR PDO.3: % OF YOUNG (WOMEN AND MEN) BENEFICIARIES WHO REPORT THAT THEIR ROLE/VOICE IN LOCAL DECISION MAKING HAS BEEN ENHANCED AS A RESULT OF PROJECT SUPPORT
Description: This indicator measures whether citizens believe they have been empowered within their communities
Methodology and source of information: 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.

INDICATOR PDO.3: % OF YOUNG (WOMEN AND MEN) BENEFICIARIES WHO REPORT THAT THEIR ROLE/VOICE IN LOCAL DECISION MAKING HAS BEEN ENHANCED AS A RESULT OF PROJECT SUPPORT
<p>Method of Calculation: A survey of randomly selected respondents will be completed. Ideally the same respondents should be questioned on the baseline as they were in the follow up survey (to measure trends). This is often difficult and it is likely different respondents will be questioned. Citizens will be asked to both assess their level of empowerment and decision making (baseline, mid, end) and retrospectively whether they believe they have greater voice and empowerment when compared with the past. Questions will likely be designed on a likert scale (either 1-5 or 1-4: less power, about the same, more power, much greater power) in order to gauge the degree to which empowerment is increasing. To calculate the indicator:</p> <ul style="list-style-type: none"> • The numerator is no. of interviewees believing they are more empowered • Denominator is the total number of respondents
Frequency and reporting: See activity 6.3. Likely to be baseline, mid-project, end project
Means of Verification: None, but the questionnaire must ensure the validity of responses
Target: By the end of the project the expected value is 75%.
Disaggregation: data is disaggregated by village, gender, youth (and any other characteristic of the respondent—for example, type of employment, level of poverty, etc.)

INDICATOR PDO.4: % OF TARGET COMMUNITIES WITH IMPROVED ACCESS TO SOCIAL INFRASTRUCTURE AND/OR LIVELIHOODS FACILITIES AS A RESULT OF PROJECT SUPPORT
Description: This indicator measures whether projects are being implemented in all planned communities
Methodology and source of information: Project data will be tracked in the MIS (see Activity 6.2).
<p>Method of Calculation: A community is considered to have improved access if a project has been completed. All projects will be classified, with guidelines describing which projects constitute “social infrastructure.”</p> <ul style="list-style-type: none"> • The numerator is no. of villages completing at least one social infrastructure project of a livelihoods facility has been completed • Denominator is the total number of villages
Frequency and reporting: See activity 6.2. This is measured annually
Means of Verification: Project completion reports
Target: By the end of the project all villages should have completed at least one of these types of projects
Disaggregation: data is disaggregated by village

INDICATOR PDO.5: % OF BENEFICIARIES IN TARGET COMMUNITIES WHO REPORT THAT THE CSP IS AN EFFECTIVE SOLUTION TO THE LOCAL IMPACTS OF THE CASA1000 TRANSMISSION LINE
Description: This indicator measures whether citizens believe their “compensation” through community support projects was worth the impact CASA1000 may have had on their communities
Methodology and source of information: 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.
<p>Method of Calculation: 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.</p> <ul style="list-style-type: none"> • The numerator is no. of interviewees believing CSPs were effective solutions • Denominator is the total number of respondents
Frequency and reporting: See activity 6.3. Likely to be baseline, mid-project, end project
Means of Verification: None, but the questionnaire must ensure the validity of responses
Target: By the end of the project the expected value is 70%.
Disaggregation: data is disaggregated by village, gender, youth (and any other characteristic of the respondent—for example, type of employment, level of poverty, etc.)

b. Indicators for sub-component 1A (Support for electricity improvements within target villages)

69. Indicators for sub-component 1A include:

4. 1A.1: Percentage of villages with improved electricity supply for household and/or productive purposes as a result of project support (intermediate objective indicator) 1A.2: Percentage of target villages with improved voltage¹
5. 1A.3: Percentage of target villages with reduced power outages
6. 1A.4: Number of people formally connected to the network for the first time
7. 1A.5: Number of target villages with street lighting systems improved by the project
8. 1A.6: Percentage of transformers within target villages operating within rated limits
9. 1A.7: Percentage of transformers with related distribution and supply systems considered to meet or exceed minimum safety standards.

These are defined below.

INDICATOR 1A.1: PERCENTAGE OF TARGET VILLAGES WITH IMPROVED VOLTAGE AND INDICATOR IO1: PERCENTAGE OF VILLAGES WITH IMPROVED ELECTRICITY SUPPLY FOR HOUSEHOLD AND/OR PRODUCTIVE PURPOSES AS A RESULT OF PROJECT SUPPORT (INTERMEDIATE OBJECTIVE INDICATOR)
Description: the project aims to improve the supply of power to at least 29 villages. Each year, villages will be identified for electricity development. This indicator measures whether villages have been provided increased power supply as measured by the number (millions) of kilowatt hours used.
Methodology and source of information: data will be collected by ARIS from the JalalAbad and Osh Electricity Companies (ECs). The companies will be provided a list of all potential target villages (37) and will be asked to provide data on the <u>number of kilowatt hours</u> provided in each village in each year. Each year ARIS will identify, as part of its annual plan which villages plan to have electricity improvement projects
Method of Calculation: A village will be considered to have improved voltage if its kilowatt hour consumption of electricity has increased when compared to the level in 2017. The indicator will measure the cumulative % of villages where electricity consumption in any one year is above this level. To calculate the indicator: <ul style="list-style-type: none"> • The numerator is no. of villages where energy consumption is greater in the current year than it was in 2017 • Denominator is no. of villages where electricity improvements (projects) were planned.
Frequency and reporting: Data will be collected annually. ARIS will maintain and report upon a time series of the number of (millions of) kilowatt hours of electricity consumed for each village and each year. ARIS 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, consumption in Kilowatt hours 2017, consumption in Kilowatt hours 2018, etc.)
Means of Verification: Data provided by Electricity Companies to ARIS, on a village by village basis will be considered official data and will be used as the means of verification for the consumption of electricity. The electricity companies will also verify that projects have been completed.
Target: By the end of the project it is expected 29 of 37 (78%) of villages will have increased electricity consumption when compared to 2017.
Disaggregation: data is disaggregated by village

¹ The implementation indicator 1A.1 and the intermediate objective indicator are the same.

INDICATOR 1A.2: PERCENTAGE OF TARGET VILLAGES WITH REDUCED POWER OUTAGES
Description: 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.
Methodology and source of information: data will be collected by ARIS from the JalalAbad and Osh Electricity Companies. The companies will be provided a list of all potential target villages (37) 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 ARIS will identify, as part of its annual plan which villages plan to have electricity improvement projects
<p>Method of Calculation: 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 2017. The indicator will measure the cumulative % of villages where power outages in any one year is below the 2017 value. To calculate the indicator:</p> <ul style="list-style-type: none"> • The numerator is the number of villages where days having power outages is lower than it was in 2017 and where an electricity project has been completed • Denominator is number of villages where electricity improvements (projects) were planned.
Frequency and reporting: Data will be collected annually. ARIS will maintain and report upon a time series of the number of days affected by power outages for each village and each year. ARIS 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 2017, the number of days affected power outages in 2018, etc.)
Means of Verification: Data provided by the JalalAbad and Osh Electricity Companies to ARIS, 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.
Target: By the end of the project it is expected that 29 of 37 (78%) of villages will have reduced power outages when compared to 2018.
Disaggregation: data is disaggregated by village

INDICATOR 1A.3: NUMBER OF PEOPLE FORMALLY CONNECTED TO THE NETWORK FOR THE FIRST TIME
Description: infrastructure development is expected to improve access to electricity, expanding the number of people using electricity. Improved access is likely to be recorded by the number of new connections (new accounts)
Methodology and source of information: data will be collected by ARIS from the JalalAbad and Osh Electricity Companies. Electricity companies will be provided a list of all potential target villages (37) and will be asked to provide data on the number of new connections (accounts) in each village in each year. Each year ARIS will identify, as part of its annual plan which villages plan to have electricity improvement projects so the project can monitor new connections following the completion of a project. ARIS will be responsible for collecting data on the average number of people in a household for each village (this may be based on the most recent census data)
Method of Calculation: The indicator will measure the cumulative number of people benefiting from new connections from the point in which a project was completed. To calculate the indicator, each year, companies will provide the number of new connections. To calculate the number of people, ARIS will multiply the number of new accounts (connections) times the average number of people in a household. The cumulative is the number from each year, totaled, once the project was completed
Frequency and reporting: Data will be collected annually. ARIS will maintain and report upon a time series of the number of new people accessing electricity for each village and each year. ARIS 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 new connections in 2018, the number of new connections in 2019, the number of new people accessing electricity in 2018, etc.)

INDICATOR 1A.3: NUMBER OF PEOPLE FORMALLY CONNECTED TO THE NETWORK FOR THE FIRST TIME
Means of Verification: Data provided by the JalalAbad and Osh Electricity Companies to ARIS, on a village by village basis will be considered official data and will be used as the means of verification for the number of new connections. These companies will also verify that projects have been completed. ARIS will document its assumptions on average household size.
Target: To be determined
Disaggregation: data is disaggregated by village

INDICATOR 1A.4: NUMBER OF TARGET VILLAGES WITH STREET LIGHTING SYSTEMS IMPROVED BY THE PROJECT
Description: infrastructure development is expected to both help individual consumers but also to help the provision of public services, such as street lighting systems.
Methodology and source of information: data will be collected by ARIS from its project database. The database is expected to generate automatic reports meeting the needs of the results framework. A village will be assumed to have "improved street lighting systems" if it has completed a project upgrading, repairing, or expanding its street light system. It is assumed each village will implement at most one project in this sector.
Method of Calculation: The indicator will measure the cumulative number of villages where at least one street lighting project was completed.
Frequency and reporting: Data will be collected annually. ARIS will list each village and the year in which it planned to complete a street light project and the year it actually completed a street light project.
Means of Verification: Project completion procedures will be used as a means of verification
Target: To be determined
Disaggregation: data is disaggregated by village

INDICATOR 1A.5: PERCENTAGE OF TRANSFORMERS WITHIN TARGET VILLAGES OPERATING WITHIN RATED LIMITS
Description: the indicator describes the safety and operation of local transmission lines
Methodology and source of information: data will be collected by ARIS from the JalalAbad and Osh Electricity Companies. The companies will be provided a list of all potential target villages (37) and will be asked to provide data on the number of transformers in each village and the number of transformers operating within rated limits.
Method of Calculation: The electricity companies will assess whether a transformer is within rated limits or not. To calculate the indicator: <ul style="list-style-type: none"> • The numerator is number of transformers operating within rated limits • Denominator is no. of transformers in each village
Frequency and reporting: Data will be collected annually. ARIS will maintain and report upon a time series of the number of transformers within and outside its rated limits for each village and each year. ARIS will report which villages were supposed to complete electricity projects each year affecting transformers (the rows are the name of each village; the columns are the number of transformers in 2018, the number of transformers in 2018 within rated limits, the number of transformers in 2019, the number of transformers in 2019 within rated limits, etc.)
Means of Verification: Data provided by the JalalAbad and Osh Electricity Companies to ARIS, on a village by village basis will be considered official data. Electricity companies will provide reports documenting their assessment as a means of verification
Target: To be determined
Disaggregation: data is disaggregated by village

INDICATOR 1A.6: PERCENTAGE OF TRANSFORMERS WITHIN TARGET VILLAGES WITH RELATED DISTRIBUTION AND SUPPLY SYSTEMS CONSIDERED TO MEET OR EXCEED MINIMUM SAFETY STANDARDS
Description: the indicator describes the safety and operation of local transmission lines
Methodology and source of information: data will be collected by ARIS from the JalalAbad and Osh Electricity Companies. The companies will be provided a list of all potential target villages (37) and will be asked to

INDICATOR 1A.6: PERCENTAGE OF TRANSFORMERS WITHIN TARGET VILLAGES WITH RELATED DISTRIBUTION AND SUPPLY SYSTEMS CONSIDERED TO MEET OR EXCEED MINIMUM SAFETY STANDARDS
provide data on the number of transformers and the number of transformers with related distribution and supply systems considered to meet or exceed minimum safety standards
<p>Method of Calculation: The electricity companies will assess whether a transformer is considered to meet or exceed minimum safety standards. To calculate the indicator:</p> <ul style="list-style-type: none"> • The numerator is number of transformers considered to meet or exceed minimum safety standards • Denominator is no. of transformers in each village
<p>Frequency and reporting: Data will be collected annually. ARIS will maintain and report upon a time series of the number of transformers meeting and not meeting minimum safety standards. ARIS will report which villages were supposed to complete electricity projects each year affecting transformers (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 transformers in 2018, the number of transformers in 2018 meeting safety standards, the number of transformers in 2019, the number of transformers in 2019 meeting safety standards, etc.)</p>
<p>Means of Verification: Data provided by the JalalAbad and Osh Electricity Companies to ARIS, on a village by village basis will be considered official data. Electricity companies will provide reports documenting their assessment as a means of verification</p>
Target: to be determined
Disaggregation: data is disaggregated by village

c. Indicators for sub-component 1B (Support for social infrastructure and services in target villages)

70. Indicators for sub-component 1B include:

- IO6: Percentage of target communities selecting their highest priority subproject (intermediate objective indicator)
- IO8: Percentage of relevant subprojects that support climate change adaptation or mitigation
- 1B.1: Number of beneficiaries of diverse social infrastructure improvements (disaggregated by service, e.g. kindergartens, FAPs, roads and bridges)
- 1B.2: Number of village investments that were the top priority of communities²
- 1B.3: Number of communities selecting poverty-focused subprojects
- 1B.4: Number of communities selecting women's highest priority subproject
- 1B.5: Number of subprojects completed on time
- 1B.6: Percentage of villages with voluntary community contributions to village investments
- 1B.7: Number of subprojects that support climate change adaptation or mitigation
- 1B.8: Number of O&M committees established with community O&M funds.

These are defined below.

² This refers to the top priority agreed through the community mobilization process and within the ceilings established. It would be measured through the social audits.

INDICATOR IO6: PERCENTAGE OF TARGET COMMUNITIES SELECTING THEIR HIGHEST PRIORITY SUBPROJECT (INTERMEDIATE OBJECTIVE INDICATOR)
<p>Description: Projects selected are expected to be in line with community priorities. Community priorities will be identified during the participatory planning process and will be described in a planning manual. To measure whether project selection is responsive, a process of project ranking will be designed and implemented. While citizens will voice their priorities their local government representatives will be responsible for selecting the most appropriate project. It is possible that projects selected may not be the first choice and that decisions depend on the budget of the project; for example, a village may select the second and fourth priority rather than citizens' first priority. And, some citizen priorities may be beyond the budget. This indicator measures the degree to which selected projects are aligned to what citizens want.</p>
<p>Methodology and source of information: data will be compiled by ARIS 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 citizen priorities (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 citizen's first priority (for example, road, kindergarten, health project, etc.)</p>
<p>Method of Calculation: The indicator counts the number of villages where the type of project approved is the same type of project as the citizens' priority. If it is the same, it counts as 1; if it is different it counts as 0. It is calculated as:</p> <ul style="list-style-type: none"> • Numerator: Number of villages (each year) that have selected at least one project which was the community's #1 priority • Denominator: Number of villages
<p>Frequency and reporting: 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) the citizen's first priority, (ii) the type of project approved, and (iii) whether they matched (yes or no).</p>
<p>Means of Verification: None</p>
<p>Target: to be determined</p>
<p>Disaggregation: data is disaggregated by village</p>
INDICATOR IO.8: PERCENTAGE OF RELEVANT SUBPROJECTS THAT SUPPORT CLIMATE CHANGE ADAPTATION OR MITIGATION
<p>Description: Some projects will address climate change and others will not. Climate change is considered a cross cutting issue.</p>
<p>Methodology and source of information: 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.</p>
<p>Method of Calculation: The indicator takes a ratio:</p> <ul style="list-style-type: none"> • Numerator: the total number of projects that address climate change • Denominator: total number of projects
<p>Frequency and reporting: 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</p>
<p>Means of Verification: None</p>
<p>Target: to be determined.</p>
<p>Disaggregation: data is disaggregated by village and project, and can separate cases of adaptation and cases of mitigation</p>

INDICATOR 1B.1: NUMBER OF BENEFICIARIES OF DIVERSE SOCIAL INFRASTRUCTURE IMPROVEMENTS (DISAGGREGATED BY SERVICE, E.G. KINDERGARTENS, FAPS, ROADS AND BRIDGES)
Description: Communities will choose from a relatively open menu of options that contribute to poverty reduction. While it is not known what communities will prioritize until the participatory decision-making process is completed, and the local development strategy updated, sub-grants are likely to support small-scale infrastructure improvements relating to water, education, health, transport, and agriculture sectors. This indicator <u>estimates</u> the number of citizens benefitting from each project
Methodology and source of information: data will be compiled by ARIS following the formulation and approval of each project. Data will be provided by each village, through a project planning and implementation database or data collection process. Data will include estimates of the number of expected beneficiaries (projects will not be approved without this information). The number of expected beneficiaries depends on the nature of project selected; for example, roads are likely to have more beneficiaries than kindergartens. Guidelines for this estimation will be provided as part of the planning manual. Data will be maintained for each approved project.
Method of Calculation: The indicator measures the estimated total number of beneficiaries of each project and is based on guidance from the planning manual
Frequency and reporting: Data will be collected annually and provided as part of the approval process
Means of Verification: Since the indicator is an estimate it cannot be verified. However, ARIS will ensure estimates are consistent with the methodologies documented in the planning manual / procedures.
Target: to be determined
Disaggregation: annual data is disaggregated by project type and by village

INDICATOR 1B.2: NUMBER OF VILLAGE INVESTMENTS THAT WERE THE TOP PRIORITY OF COMMUNITIES
Description: Projects selected are expected to be in line with community priorities. Community priorities will be identified during the participatory planning process and will be described in a planning manual. To measure whether project selection is responsive, a process of project ranking will be designed and implemented. While citizens will voice their priorities their local government representatives will be responsible for selecting the most appropriate project. It is possible that projects selected may not be the first choice and that decisions depend on the budget of the project; for example, a village may select the second and fourth priority rather than citizens' first priority. And, some citizen priorities may be beyond the budget. This indicator measures the degree to which selected projects are aligned to what citizens want.
Methodology and source of information: data will be compiled by ARIS 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 citizen priorities (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 citizen's first priority (for example, road, kindergarten, health project, etc.)
Method of Calculation: The indicator counts the number of villages where the type of project approved is the same type of project as the citizens' priority. If it is the same, it counts as 1; if it is different it counts as 0.
Frequency and reporting: 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) the citizen's first priority, (ii) the type of project approved, and (iii) whether they matched (yes or no).
Means of Verification: None
Target: to be determined
Disaggregation: data is disaggregated by village and project

INDICATOR 1B.3: NUMBER OF COMMUNITIES SELECTING POVERTY-FOCUSED SUBPROJECTS
Description: Some project types will be considered "poverty focused" while others will not. This provides an indication of whether local governments are focusing on poverty alleviation or on overall infrastructure development.

INDICATOR 1B.3: NUMBER OF COMMUNITIES SELECTING POVERTY-FOCUSED SUBPROJECTS
Methodology and source of information: data will be compiled by ARIS following the approval of each project, based on project descriptions provided by each village. There will be a standard list of project types (roads, kindergartens, etc.) and whether these are “poverty focused.” Once projects are selected, depending on their sector and nature, it will be possible to identify them as poverty focused
Method of Calculation: The indicator counts the number of villages where at least one project matches the list of project types considered to be poverty focused.
Frequency and reporting: Data will be collected annually and will be provided when each project is agreed upon (approved). In reporting a list will be provided consisting of the name of each village and project (the row) with columns of (i) the type of project approved, and (ii) whether it is poverty focused (yes or no).
Means of Verification: None
Target: None
Disaggregation: data is disaggregated by village and project

INDICATOR 1B.4: NUMBER OF COMMUNITIES SELECTING WOMEN’S HIGHEST PRIORITY SUBPROJECT
Description: 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, some 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.
Methodology and source of information: data will be compiled by ARIS 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 (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.)
Method of Calculation: 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.
Frequency and reporting: 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).
Means of Verification: None
Target: to be determined
Disaggregation: data is disaggregated by village and project

INDICATOR 1B.5: NUMBER OF SUBPROJECTS COMPLETED ON TIME
Description: Projects will have clear planned finish dates. This indicator measures the efficiency of implementation and how realistic the project management process is (i.e. if the planning and financial management process routinely results in delayed implementation)
Methodology and source of information: data will be compiled by ARIS following the completion 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 monitor the planned and actual completion of all key steps in the process (for example, procurement).
Method of Calculation: The indicator counts the number of projects where the actual project completion date is the same or earlier than the planned completion data (if it is the same or earlier, it counts as “on time;” if it is later it counts as “late”). If a project is not yet complete, but the current date is after the planned completion date, the project is also considered “late.”
Frequency and reporting: Data will be collected annually and will be provided when each project is completed. In reporting a list can be provided consisting of the name of each village and each project (the row) with columns of (i) planned completion date, (ii) actual completion date, and (iii) whether the project was completed on time (yes or no).
Means of Verification: upon project completion, projects will be visited and verified (by either ARIS or another organization delegated this responsibility by ARIS).
Target: to be determined
Disaggregation: data is disaggregated by village and project

INDICATOR 1B.6: PERCENTAGE OF VILLAGES WITH VOLUNTARY COMMUNITY CONTRIBUTIONS TO VILLAGE INVESTMENTS
Description: Although projects will be funded through a system of grants, communities may also provide their labor (in kind) or monetary contributions. The provision of community contributions is an indication that the community values the project.
Methodology and source of information: data will be compiled by ARIS following the completion of each project, using data provided by each village. It is expected a database will be established so villages can enter project implementation data. Project budgets will include: (i) grants; (ii) monetary contributions by communities, and (iii) in-kind contribution by communities (labor, land, etc.).
Method of Calculation: The indicator counts the number of villages where at least one project included community contributions. <ul style="list-style-type: none"> • The numerator is number of villages having at least one project that included a community contribution • The denominator is the total number of villages completing projects
Frequency and reporting: Data will be collected annually and will be provided when each project is completed. In reporting a list can be provided consisting of the name of each village and each project (the row) with columns of (i) value of community monetary contribution, (ii) type of community in-kind contribution (including “none,” “labor,” “land,” “other”
Means of Verification: community monetary contributions can be verified through village accounts.
Target: to be determined
Disaggregation: data is disaggregated by village and project

INDICATOR 1B.7: NUMBER OF SUBPROJECTS THAT SUPPORT CLIMATE CHANGE ADAPTATION OR MITIGATION
Description: Some projects will address climate change and others will not. Climate change is considered a cross cutting issue.
Methodology and source of information: 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.
Method of Calculation: The indicator counts the total number of projects that address climate change

INDICATOR 1B.7: NUMBER OF SUBPROJECTS THAT SUPPORT CLIMATE CHANGE ADAPTATION OR MITIGATION
Frequency and reporting: 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
Means of Verification: None
Target: to be determined.
Disaggregation: data is disaggregated by village and project, and can separate cases of adaptation and cases of mitigation

INDICATOR 1B.8: NUMBER OF O&M COMMITTEES ESTABLISHED WITH COMMUNITY O&M FUNDS
Description: In order to promote the sustainability of projects and infrastructure, each community is expected to establish an O&M committee. The committee will help raise and manage operations and maintenance funds across the village (which may cover more than one project).
Methodology and source of information: as part of the project monitoring process villages will record whether they have an O&M committee and what it's budget is.
Method of Calculation: The indicator counts the total number of villages that have O&M committees and have O&M budgets.
Frequency and reporting: Data will be collected annually at the end of the year. In reporting a list can be provided consisting of the name of each village and (i) whether it has a committee and (ii) the value of the committee's budget.
Means of Verification: this can be verified through (i) expenditures by the committee (i.e. accounts) or (ii) supporting reports or meeting minutes of the committee
Target: to be determined
Disaggregation: data is disaggregated by village

d. Indicators for sub-component 1C (Support for livelihoods facilities in selected AAs)

71. Indicators for sub-component 1C include:

- IO2: Percentage of livelihoods facilities that reach intended target beneficiaries by year 4 (intermediate objective indicator)
- 1C.1: Number of livelihood facilities constructed
- 1C.2: Number of additional jobs created as a result of project investments (disaggregated by youth and gender)
- 1C.3: Amount of rent from facilities that will be channeled into the future CDF
- 1C.4: Number of businesses supported.

These are defined below.

INDICATOR 10.2: PERCENTAGE OF LIVELIHOODS FACILITIES THAT REACH INTENDED TARGET BENEFICIARIES BY YEAR 4
Description: This indicator measures the number of livelihoods facilities providing services as planned
Methodology and source of information: Livelihood facilities will develop targets for the number of beneficiaries they serve. These will be compared to actual service delivery
Method of Calculation: The indicator counts the total number of facilities in which construction is complete and in use against the total number of planned facilities <ul style="list-style-type: none"> • Numerator: total number of facilities meeting their service delivery targets • Denominator: cumulative number of facilities

INDICATOR 10.2: PERCENTAGE OF LIVELIHOODS FACILITIES THAT REACH INTENDED TARGET BENEFICIARIES BY YEAR 4
Frequency and reporting: Data will be collected annually. Progress reports should note completion of construction as well as operationalization (services provided). Reports should list: village (the row) with columns of planned construction date, actual construction date, date services provided
Means of Verification: verified through livelihood facility reports, demonstrating services provided
Target: to be determined
Disaggregation: data is disaggregated by village

INDICATOR 1C.1: NUMBER OF LIVELIHOOD FACILITIES CONSTRUCTED
Description: This indicator measures the number of livelihoods facilities actually constructed.
Methodology and source of information: ARIS will monitor the procurement process, which will indicate when construction has been completed. This will be verified through field visits.
Method of Calculation: The indicator counts the total number of facilities in which construction is complete
Frequency and reporting: Data will be collected and reported each quarter depending on completion. Rather than stating zeros until construction is completed. Progress reports should note partial completion during the project. E.g. procurement complete in [X] no. facilities; construction underway, etc
Means of Verification: verified through visual inspection and photographic evidence, and procurement / construction reports and approval of final payment in QPRs/APRs.
Target: By the end of the project, [10 – TBC] facilities should be built
Disaggregation: data is disaggregated by village

INDICATOR 1C.2: NUMBER OF ADDITIONAL JOBS CREATED AS A RESULT OF PROJECT INVESTMENTS
Description: Facilities will provide a wide range of training and business development services within their communities. These are expected, ultimately, to lead to increased employment, especially amongst youth
Methodology and source of information: Village livelihood facilities will prepare annual reports and submit them to ARIS. These reports will describe the services they have provided, including information on the number of jobs they have assisted community members to realize.
Method of Calculation: The indicator counts the total number of new jobs the facility has assisted with
Frequency and reporting: Data will be collected annually at the end of the year.
Means of Verification: verified through official reports provided by each facility. Reports should list the village, name of person, job provided.
Target: to be determined
Disaggregation: data is disaggregated by village, youth and gender

INDICATOR 1C.3: AMOUNT OF RENT FROM FACILITIES THAT WILL BE CHanneled INTO THE FUTURE CDF
Description: The income derived from leasing the facilities to entrepreneurs will be merged with the Community Tariff Fund and channeled back into investments in future social and economic infrastructure. This will support the sustainability of community grants
Methodology and source of information: Village livelihood facilities will prepare annual reports and submit them to ARIS. These reports will include any contribution made from the livelihood facility into village accounts
Method of Calculation: The indicator is the total amount of funds transferred from all livelihood facilities
Frequency and reporting: Data will be collected annually at the end of the year. It will list each livelihood facility together the amount of funds transferred
Means of Verification: verified through official reports provided by each facility as well as village accounts (as income received).
Target: To be determined.
Disaggregation: data is disaggregated by village

INDICATOR 1C.4: NUMBER OF BUSINESSES SUPPORTED
Description: Livelihood facilities will provide a wide range of business development services (training, market information, premises, etc.)
Methodology and source of information: Village livelihood facilities will prepare annual reports and submit them to ARIS. These reports will count the number of business clients served by the facility.
Method of Calculation: This indicator is interpreted to be the total number of businesses receiving services from the livelihood facility. A single business may receive more than one service, so the indicator does not measure the number of different businesses receiving at least one service. Instead the calculation is made by listing all services provided (the rows) as well as the number of businesses receiving each service (the column). The indicator is calculated as the column sum of the number of businesses served, across all services.
Frequency and reporting: Data will be collected annually at the end of the year. Reports will list each service provided and the number of businesses accessing each service.
Means of Verification: verified through official reports provided by each facility
Target: To be determined.
Disaggregation: data is disaggregated by village and by the service provided by the facility

e. Indicators for sub-component 2A (Support for community mobilization and capacity building)

72. Indicators for sub-component 2A include:

- 103: Percentage of target communities empowering young women and men to facilitate community mobilization (intermediate objective indicator)
- IO4: Percentage of target communities completing enhanced (youth-led) community mobilization processes (intermediate objective indicator)
- IO5: Percentage of target AOs expanding the Local Development Strategy with youth development and livelihood activities
- 2A.1: Number of youth facilitators recruited and active in community mobilization activities
- 2A.2: Number of C-VIAs established and functioning in community mobilization, implementation oversight and monitoring activities
- 2A.3: Number of training sessions/workshops held
- 2A.4: Number/type of participants trained on project-related activities
- 2A.5: Percentage of target AAs with: (i) established C-VIAs; (ii) established bank accounts; and (iii) established financial management processes
- 2A.6: Percentage of target beneficiaries (young women and men) who report that they were engaged in: (i) planning and decision making; (ii) participatory monitoring; and (iii) planning for O&M
- 2A.7: Number of YDPs generated and included in LDSs
- 2A.8: Number of youth accountants working in C-VIAs

These are defined below.

INDICATOR IO3: PERCENTAGE OF TARGET COMMUNITIES EMPOWERING YOUNG WOMEN AND MEN TO FACILITATE COMMUNITY MOBILIZATION
Description: The project will fund youth mobilization events to select and build the capacity of approximately 150 youth as youth facilitators (2 men and 2 women from each target village). Facilitators will take a leadership role in community mobilization and represent youth interests in project processes.

INDICATOR IO3: PERCENTAGE OF TARGET COMMUNITIES EMPOWERING YOUNG WOMEN AND MEN TO FACILITATE COMMUNITY MOBILIZATION
Methodology and source of information: A database will be established to monitor community engagement processes. The database will include the names of all youth facilitators who were recruited, including their start dates and termination dates. The database will list the activities undertaken and will allow the uploading of supporting evidence (for example Youth Development Plans). To assess whether facilitators are active will require the system tracks which facilitators participated in which activities, and whether activities were complete.
Method of Calculation: A facilitator will be considered active if he or she: (i) was recruited (is listed in the database); (ii) has not resigned; and (iii) participated in at least one engagement activity. The indicator is <ul style="list-style-type: none"> • The numerator is number of villages having at least one active facilitator • The denominator is the total number of villages
Frequency and reporting: Data will be collected annually and will be reported through a database. The database will provide a report listing each village, the number of active facilitators, the number of vacancies, and the number of inactive facilitators
Means of Verification: Workshops, training and other community activities are expected to have signed participant lists. These can be used to verify participation of community facilitators
Target: 37 villages
Disaggregation: data is disaggregated by village

INDICATOR IO4: PERCENTAGE OF TARGET COMMUNITIES COMPLETING ENHANCED (YOUTH-LED) COMMUNITY MOBILIZATION PROCESSES (INTERMEDIATE OBJECTIVE INDICATOR)
Description: This indicator measures the completion of key youth led mobilization activities
Methodology and source of information: A database will be established to monitor community engagement processes. The database will include the names of all youth facilitators who were recruited, including their start dates and termination dates. The database will list the activities undertaken and will allow the uploading of supporting evidence (for example Youth Development Plans).
Method of Calculation: Youth led community mobilization will be considered “complete” if a village has all of the following <ul style="list-style-type: none"> • A youth development plan • At least 2 young accountants • At least 4 youth facilitators • Has completed at least one social audit • Has completed at least one scorecard
Frequency and reporting: Data will be collected annually (assessing all of the above criteria)
Means of Verification: Upload of various documents (youth development plans, social audits, scorecard results, names of accountants and facilitators)
Target: 37 villages
Disaggregation: data is disaggregated by village

INDICATOR IO.5 PERCENTAGE OF TARGET AOS EXPANDING THE LOCAL DEVELOPMENT STRATEGY WITH YOUTH DEVELOPMENT AND LIVELIHOOD ACTIVITIES
Description: This indicator measures the completion of youth development strategies and whether they have been included in Local Development Strategies of CVIAs (see indicator 2A.7)
Methodology and source of information: This information will be assessed by ARIS, based on their comparison of Youth Development Strategies and Local Development strategies. The ARIS assessment will be if at least 50% of the YDS activities / strategies are in the LDS.

INDICATOR 10.5 PERCENTAGE OF TARGET AOS EXPANDING THE LOCAL DEVELOPMENT STRATEGY WITH YOUTH DEVELOPMENT AND LIVELIHOOD ACTIVITIES
<p>Method of Calculation: The indicator measures the percentage of CVIAs which have Local Development Strategies and where ARIS assesses the strategy as containing the YDS</p> <ul style="list-style-type: none"> • The numerator is the number of CVIAs having Local Development Strategies that ARIS assessed as containing the YDS • The denominator is the number of CVIAs
<p>Frequency and reporting: Data will be provided annually (whenever LDSs are revised). It will include a list of all CVIAs (the row) and the following columns: date YDS approved, date LDS approved, and ARIS assessment of whether the LDS includes key elements of the YDS (yes, no)</p>
<p>Means of Verification: Uploaded copies of a CVIA LDS and YDS</p>
<p>Target: 100%</p>
<p>Disaggregation: by the name of the CVIA</p>

INDICATOR 2A.1: NUMBER OF YOUTH FACILITATORS RECRUITED AND ACTIVE IN COMMUNITY MOBILIZATION ACTIVITIES
<p>Description: The project will fund youth mobilization events to select and build the capacity of approximately 150 youth as youth facilitators (2 men and 2 women from each target village). Facilitators will take a leadership role in community mobilization and represent youth interests in project processes.</p>
<p>Methodology and source of information: A database will be established to monitor community engagement processes. The database will include the names of all youth facilitators who were recruited, including their start dates and termination dates. The database will list the activities undertaken and will allow the uploading of supporting evidence (for example Youth Development Plans). To assess whether facilitators are active will require the system tracks which facilitators participated in which activities, and whether activities were complete.</p>
<p>Method of Calculation: A facilitator will be considered active if he or she: (i) was recruited (is listed in the database); (ii) has not resigned; and (iii) participated in at least one engagement activity.</p>
<p>Frequency and reporting: Data will be collected annually and will be reported through a database. The database will provide a report listing each village, the number of active facilitators, the number of vacancies, and the number of inactive facilitators</p>
<p>Means of Verification: Workshops, training and other community activities are expected to have signed participant lists. These can be used to verify participation of community facilitators</p>
<p>Target: 4 facilitators X 37 villages</p>
<p>Disaggregation: data is disaggregated by village</p>

INDICATOR 2A.2: NUMBER OF C-VIAs ESTABLISHED AND FUNCTIONING IN COMMUNITY MOBILIZATION, IMPLEMENTATION OVERSIGHT AND MONITORING ACTIVITIES
<p>Description: To represent each target community, a legal entity, a Corridor Village Investment Association (C-VIA), will be established and legally registered. It will ensure that community priorities are taken forward, will act as the main point of liaison with ARIS and, depending on its capability, manage sub-grants for their villages.</p>
<p>Methodology and source of information: A database will be established to monitor community engagement processes. The Association will be responsible for entering data, which will be accessible to ARIS on line. The database will track key activities, including those performed by the Association.</p>
<p>Method of Calculation: The CVIA will be considered “functioning” if it is legally registered and if (i) the community has a list of prioritized development activities; and (ii) at least 80% of the required monitoring information has been provided to ARIS (through the database).</p>
<p>Frequency and reporting: Data will list the name of each Association, it’s registration number, it’s registration date, whether there is a prioritized list of development activities, and the % of monitoring information provided (this will be extracted from the database).</p>

INDICATOR 2A.2: NUMBER OF C-VIAS ESTABLISHED AND FUNCTIONING IN COMMUNITY MOBILIZATION, IMPLEMENTATION OVERSIGHT AND MONITORING ACTIVITIES
Means of Verification: A CVIA will be considered established if it has been legally registered and a copy of its registration is uploaded using the database.
Target: All 37 CVIAs are expected to be active
Disaggregation: data is disaggregated by village

INDICATOR 2A.3: NUMBER OF TRAINING SESSIONS/WORKSHOPS HELD
Description: Youth-focused community mobilization will involve extensive community awareness and training. This indicator will measure the number of different training sessions and workshops provided.
Methodology and source of information: A database will be established to monitor community engagement. The Association will be responsible for providing this information, which will be accessible to ARIS on line.
Method of Calculation: For each village, data will list each training session (or workshop), it's start date, it's completion date and the number of participants (male, female, youth). The indicator is calculated by counting the number of different training sessions/workshops (number of rows) and totaling these across all villages.
Frequency and reporting: Data will be provided annually. Types of training / workshops will be classified and these will be totaled so that information includes: (i) number of training events/workshops in each village; (ii) total number of each type of training event (across all villages)
Means of Verification: Signed participant lists can be used and uploaded into the system for verification.
Target: To be determined
Disaggregation: data is disaggregated by village and type of training session / workshop

INDICATOR 2A.4: NUMBER OF PARTICIPANTS TRAINED ON PROJECT-RELATED ACTIVITIES
Description: Youth-focused community mobilization will involve extensive community awareness and training. This indicator will measure the number of participants in different training sessions and workshops provided.
Methodology and source of information: A database will be established to monitor community engagement. The Association will be responsible for providing this information, which will be accessible to ARIS on line.
Method of Calculation: For each village, data will list each training session (or workshop), it's start date, it's completion date and the number of participants (male, female, youth). The indicator is calculated by counting the total number of each participant type (male, female, youth) across all villages.
Frequency and reporting: Data will be provided quarterly (since it is expected to be on-line) and summarized annually.
Means of Verification: Signed participant lists can be used and uploaded into the system for verification.
Target: To be determined
Disaggregation: data is disaggregated by village, by type of training session / workshop and by type of participant (male, female, youth)

INDICATOR 2A.5: PERCENTAGE OF TARGET AAS WITH: (I) ESTABLISHED C-VIAS; (II) ESTABLISHED BANK ACCOUNTS; AND (III) ESTABLISHED FINANCIAL MANAGEMENT PROCESSES
Description: This indicator measures the degree to which key institutions and organizational processes are in place. It focusses on the capacity of CVIAs to manage development funds on behalf of their communities.
Methodology and source of information: The Association will be responsible for providing information through an online database. They will provide a set of indicators related to their capacity (registration, bank accounts, etc.)

INDICATOR 2A.5: PERCENTAGE OF TARGET AAS WITH: (I) ESTABLISHED C-VIAS; (II) ESTABLISHED BANK ACCOUNTS; AND (III) ESTABLISHED FINANCIAL MANAGEMENT PROCESSES
Method of Calculation: Each Association will provide its bank account as well as audited accounts. If an association meets both of these criteria, it will be considered to meet the indicator. For any given year: <ul style="list-style-type: none"> • The numerator is number of Associations having both a bank account and audited accounts • The denominator is the total number of Associations
Frequency and reporting: Data will be provided annually. A table can be developed listing the name of the association (row) and the columns: (i) has a bank account (yes, no) and (ii) was audited (yes, no).
Means of Verification: Bank accounts can be verified and audit reports can be sent to ARIS or uploaded
Target: 100%
Disaggregation: none

INDICATOR 2A.6: PERCENTAGE OF TARGET BENEFICIARIES (YOUNG WOMEN AND MEN) WHO REPORT THAT THEY WERE ENGAGED IN: (I) PLANNING AND DECISION MAKING; (II) PARTICIPATORY MONITORING; AND (III) PLANNING FOR O&M
Description: This indicator measures participation in civic engagement processes
Methodology and source of information: This information will be collected using citizen surveys completed as a baseline, mid-project, and end of project. The survey sample will be randomly collected.
Method of Calculation: The indicator measures the percentage of sampled respondents (randomly selected citizens) who participated in all three of the above steps. <ul style="list-style-type: none"> • Number of interviewees reporting they participated in (i) and (ii) and (iii) above • The denominator is the total number of interviewees
Frequency and reporting: Data will be provided periodically, when surveys are undertaken. Results will be documented in the survey report.
Means of Verification: None, it is self-reported
Target: to be determined
Disaggregation: by village, male/female, youth

INDICATOR 2A.7: NUMBER OF YDPS GENERATED AND INCLUDED IN LDSS
Description: This indicator measures the completion of youth development strategies and whether they have been included in Local Development Strategies of CVIAs
Methodology and source of information: This information will be assessed by ARIS, based on their comparison of Youth Development Strategies and Local Development strategies. The ARIS assessment will be if at least 50% of the YDS activities / strategies are in the LDS.
Method of Calculation: The indicator measures the total number of Youth Development Plans that have been included in Local Development Plans (just count the number)
Frequency and reporting: Data will be provided annually (whenever LDSs are revised). It will include a list of all CVIAs (the row) and the following columns: date YDS approved, date LDS approved, and ARIS assessment of whether the LDS includes key elements of the YDS (yes, no)
Means of Verification: Uploaded copies of a CVIA LDS and YDS
Target: All
Disaggregation: by the name of the CVIA

INDICATOR 2A.8: NUMBER OF YOUTH ACCOUNTANTS WORKING IN C-VIAS
Description: A youth accountants scheme will also be established for the project period to provide unemployed young bookkeepers and accountants with work experience.
Methodology and source of information: This information will be collected from CVIAs using a database.
Method of Calculation: The indicator measures the total number of youth accountants employed during each year
Frequency and reporting: Data will be provided annually. Each CVIA will provide the total number of youth accountants employed (male and female)

INDICATOR 2A.8: NUMBER OF YOUTH ACCOUNTANTS WORKING IN C-VIAS
Means of Verification: None, it is self-reported
Target: to be determined
Disaggregation: by CVIA, male and female

f. Indicators for Social Accountability (CESA Component 2)

73. Indicators for sub-component 2B include:

- Number of community reporters recruited and tracking information and progress
- Percentage of target villages (i) carrying out community scorecards; and (ii) developing actions plans
- Number of community members participating in awareness building sessions and forum theatre selected and facilitated by youth
- Percentage of project investments that are reviewed by community scorecards
- Number of social audit meetings that: (i) disseminate information; (ii) generate community feedback on C-VIA activity
- Number of initiatives promoting social accountability outside the project.

These are defined below.

INDICATOR 2B.1: NUMBER OF COMMUNITY REPORTERS RECRUITED AND TRACKING INFORMATION AND PROGRESS
Description: It is expected social accountability activities will result in approximately 150 trained community reporters. They will generate and share project information – tracking the CSP community decision-making and implementation process. Reports will be posted on info-boards, social media, and reported in local newspapers
Methodology and source of information: : This information will be collected from CVIAs using a database
Method of Calculation: A reporter is considered active if at least 2 progress reports are posted each year.
Frequency and reporting: Data will be collected annually and will be reported through a database. The database will provide the names of community reporters, when they began work and when they may have terminated their work. It will list each report posted in a village and the date it was posted
Means of Verification: Copies of reports posted (uploaded) and photos of the information board
Target: 150 reporters
Disaggregation: data is disaggregated by village

INDICATOR 2B.2: PERCENTAGE OF TARGET VILLAGES (I) CARRYING OUT COMMUNITY SCORECARDS; AND (II) DEVELOPING ACTIONS PLANS
Description: It is expected social accountability activities will result in community scorecards, that community scorecards will lead to an identification of problems and key issues and that these issues are reflected in community action plans. This indicator measures whether these activities (scorecards, plans) have taken place.
Methodology and source of information: : This information will be collected from CVIAs or community facilitators?? using a database
Method of Calculation: A village will be considered to have completed its social accountability activities if BOTH a scorecard and an action plan were completed. Only villages in which social accountability activities were planned are considered <ul style="list-style-type: none"> • The numerator is the number of social accountability villages completing both scorecards and action plans • The denominator is number of villages where social accountability activities were planned

Frequency and reporting: Data will be collected annually and will be reported through a database. The database will provide the names of each village, the date scorecards were completed, how many people (men, women, youth) participated in scorecards, what the scores (overall assessment) was, whether the village has an action plan, and the date the plan was finalized
Means of Verification: The action plan should be uploaded
Target: to be determined
Disaggregation: data is disaggregated by village, scorecard participants (and scores) may be disaggregated by group (male, female, youth, overall)

INDICATOR 2B.4: NUMBER OF COMMUNITY MEMBERS PARTICIPATING IN AWARENESS BUILDING SESSIONS AND FORUM THEATRE SELECTED AND FACILITATED BY YOUTH
Description: It is expected social accountability activities will include several awareness creation activities. This indicator measures the degree of participation in these events
Methodology and source of information: : This information will be collected from CVIAs or community facilitators?? using a database
Method of Calculation: For each village total the number of participants (male, female, youth) at both of these events (i.e. participants at awareness building + participants in forum theatres
Frequency and reporting: Data will be collected annually and will be reported through a database. The database will provide the names of each village, the date of each awareness creation activity how many people (men, women, youth) participated, the date of each forum theatres, and how many people (men, women, youth) participated
Means of Verification: signed attendance sheets (can be uploaded)
Target: to be determined
Disaggregation: data is disaggregated by village, by the type of event, and by the type participants (male, female, youth, overall)

INDICATOR 2B.4: PERCENTAGE OF PROJECT INVESTMENTS THAT ARE REVIEWED BY COMMUNITY SCORECARDS
Description: It is expected social accountability activities will include several awareness creation activities. This indicator measures the degree of participation in these events.
Methodology and source of information: : This information will be collected from CVIAs or community facilitators?? using a database
Method of Calculation: For each village total the number of participants (male, female, youth) at both of these events (i.e. participants at awareness building + participants in forum theatres
Frequency and reporting: Data will be collected annually and will be reported through a database. The database will provide the names of each village, the date of each awareness creation activity how many people (men, women, youth) participated, the date of each forum theatres, and how many people (men, women, youth) participated
Means of Verification: signed attendance sheets (can be uploaded)
Target: to be determined
Disaggregation: data is disaggregated by village, by the type of event, and by the type participants (male, female, youth, overall)

g. Indicators for Subcomponent 2B: Communications

74. Indicators for sub-component 2C include

- IO.7: Percentage of target communities demonstrating an understanding of CSP objectives and parameters
- 2C.1: A communications action plan developed and agreed by all stakeholders
- 2C.2: Communications materials disseminated in all villages and AAs in the Col

- 2C.3: Number of awareness-building events and participants (women/men/youth) attending
- 2C.4: Number of staff trained
- 2C.5: Percentage of villagers aware of CSP communications materials
- 2C.6: Community and stakeholder understanding of CSP (project objectives, scope, benefits and beneficiaries).

These are defined below

INDICATOR IO.7: % OF TARGET COMMUNITIES DEMONSTRATING AN UNDERSTANDING OF CSP OBJECTIVES AND PARAMETERS
Description: This indicator measures whether citizens understood the rationale behind community support projects as well as how they were to be implemented
Methodology and source of information: 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.
Method of Calculation: A survey of randomly selected respondents will be completed. Indirect measures of knowledge will be asked, for example: which of the following is an objective of CSPs... <ul style="list-style-type: none"> • The numerator is no. of interviewees successfully identifying objectives and CSP processes • Denominator is the total number of respondents
Frequency and reporting: See activity 6.3. Likely to be baseline, mid-project, end project
Means of Verification: None, but the questionnaire must ensure the validity of responses
Target: To be determined
Disaggregation: data is disaggregated by village, gender, youth (and any other characteristic of the respondent—for example, type of employment, level of poverty, etc.)

INDICATOR 2C.1: A COMMUNICATIONS ACTION PLAN DEVELOPED AND AGREED BY ALL STAKEHOLDERS
Description: Communications is essential to change communities' perceptions. A communications plan / strategy will be developed identifying key messages and means of communication. The plan will ensure communities are informed about CASA1000, community projects (what they are and what they aim to achieve) and social accountability processes.
Methodology and source of information: Information about the completion of the plan and stakeholder consultations on it will be provided by ARIS
Method of Calculation: The indicator is a yes/no indicator
Frequency and reporting: Once only, upon the completion of the plan. ARIS will report when the plan was completed and will list each consultation meeting, together with the number of participants (disaggregated).
Means of Verification: A signed (approved) copy of the plan will be one form of verification; signed attendance lists from consultation meetings will also be used
Target: to be completed in 2018
Disaggregation: attendance in consultation meetings to be disaggregated by male and female, government /non-government

INDICATOR 2C.2: COMMUNICATIONS MATERIALS DISSEMINATED IN ALL VILLAGES AND AAS IN THE COI
Description: Communications activities will focus on villages. This indicator measures the coverage of the communications activities.
Methodology and source of information: Information, will be provided by ARIS, following each communications activity in each village
Method of Calculation: The indicator is a yes/no indicator. It is yes, if and only if materials were disseminated in every village and every AA

Frequency and reporting: Annually, at the end of the year. ARIS will report which communications materials were disseminated, and which communications activities were implemented in each village and AA (village and AA are the rows and activities/materials are the columns).
Means of Verification: if printed materials were received, villages / AAs should sign off on their receipt
Target: 100%
Disaggregation: each AA / village will be listed whether they received materials and what the materials were.

INDICATOR 2C.3: NUMBER OF AWARENESS-BUILDING EVENTS AND PARTICIPANTS (WOMEN/MEN/YOUTH) ATTENDING
Description: This indicator measures the number of people reached by awareness raising activities as well as the scope of the activities
Methodology and source of information: A database will be established to monitor communications activities. ARIS will be responsible for providing this information, which will be accessible on line.
Method of Calculation: For each village, data will list each awareness session, its topic, its start date, its completion date and the number of participants (male, female, youth). The indicator is calculated by counting the number of different awareness sessions (number of rows) and totaling these across all villages, together with the number of participants.
Frequency and reporting: Data will be provided annually but will be monitored upon completion of the awareness session. Information will include: (i) number of training events/workshops in each village; (ii) number of participants (across all villages)
Means of Verification: Signed participant lists can be used and uploaded into the system for verification.
Target: To be determined
Disaggregation: data is disaggregated by village, by event (and event type), and by the nature of the participant (male, female, youth, etc.).

INDICATOR 2C.4: NUMBER OF STAFF TRAINED
Description: This indicator measures extent of internal capacity development
Methodology and source of information: A database will be established to monitor internal CD activities. ARIS will be responsible for providing this information, which will be accessible on line.
Method of Calculation: For each CD session, its topic, its start date, its completion date and the number of participants (male, female). The indicator is calculated by counting the number of different participants.
Frequency and reporting: Data will be provided annually but will be monitored upon completion of each CD session. Information will include: (i) number of CD events; (ii) number of participants (male, female)
Means of Verification: Signed participant lists can be used and uploaded into the system for verification.
Target: To be determined
Disaggregation: data is disaggregated by event (and event type), and by the nature of the participant (male, female).

INDICATOR 2C.5: % OF VILLAGERS AWARE OF CSP COMMUNICATIONS MATERIALS
Description: This indicator measures the effectiveness of communication. It can be undertaken only through a random survey of communities (citizens)
Methodology and source of information: Awareness questions will be asked (indirectly) during citizen surveys (like to be completed as a baseline, then every 2 years thereafter). For a description see Activity 6.3
Method of Calculation: From the survey a series of fact-based questions are likely to be asked of citizens "testing" their knowledge (awareness) of various issues. The calculations will be in the form: <ul style="list-style-type: none"> • Numerator: number of respondents demonstrating sufficient knowledge of the CASA1000, community projects and social accountability processes • The denominator is the total number of interviewees (respondents)
Frequency and reporting: Data will be provided periodically, upon completion of citizen surveys
Means of Verification: None
Target: To be determined

INDICATOR 2C.5: % OF VILLAGERS AWARE OF CSP COMMUNICATIONS MATERIALS
Disaggregation: data is disaggregated by type of knowledge / awareness and type of respondent (male, female, youth)
INDICATOR 2C.6: COMMUNITY AND STAKEHOLDER UNDERSTANDING OF CSP (PROJECT OBJECTIVES, SCOPE, BENEFITS AND BENEFICIARIES).
Description: This indicator measures the effectiveness of communication. It can be undertaken only through a random survey of communities (citizens)
Methodology and source of information: Awareness questions will be asked (indirectly) during citizen surveys (like to be completed as a baseline, then every 2 years thereafter). For a description see Activity 6.3
Method of Calculation: From the survey a series of fact-based questions are likely to be asked of citizens “testing” their knowledge (awareness) of various issues. The calculations will be in the form: <ul style="list-style-type: none"> • Numerator: number of respondents demonstrating sufficient knowledge of the project’s objectives, scope and benefits • The denominator is the total number of interviewees (respondents)
Frequency and reporting: Data will be provided periodically, upon completion of citizen surveys
Means of Verification: None
Target: To be determined
Disaggregation: data is disaggregated by type of knowledge / awareness and type of respondent (male, female, youth)

CHAPTER 7: ENVIRONMENTAL AND SOCIAL SAFEGUARDS

7.1 Introduction

1. This chapter describes the Environmental and Social Safeguards for the CSP project. The CESA grant only included capacity building activities and has been rated Category C, as such no action on safeguards is required by AKF.
2. The Community Support Project (CSP) has triggered two World Bank safeguards policies: OP/BP 4.01 Environmental Assessment and OP/BP 4.12 Involuntary resettlement. In this section, the process, procedures and actions to be followed in applying these two 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, in the event that 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.
3. The review of existing documents concluded that the interventions proposed under this project would not trigger a full Environmental and Social Impact Assessment under the Kyrgyz Republic laws neither under World Bank policies. The type of expected environmental impacts of concern are localized in nature and more 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 overall **Environmental Social Management Framework (ESMF)** for the Project has been prepared and it provides environmental screening procedures, the nature of EA 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 (Akimat) requirements, and through oversight and coordinated by the ARIS.
4. As a part of social due diligence, the ARIS is responsible to ensure that any land acquisition associated with a sub-project complies with the World Bank's Operational Policy 4.12 (OP 4.12), Involuntary Resettlement. OP 4.12 is triggered whenever a project requires land acquisition to carry out the physical investments. 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.

7.2 ENVIRONMENTAL SAFEGUARDS

5. 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 (Please refer the ESMF of the project for more details of potential environment impacts and mitigation measures).

6. Under the Kyrgyz law, all activities under CSP are subject to review by the State Agency for Environmental Protection and Forestry (SAEPF). ARIS will be responsible for ensuring compliance with the Kyrgyz environmental legislation. The key elements involved in the Environmental Assessment process and documentation in the CSP are listed below and described in details.

TO BE COMPLETED.

7.3 SOCIAL SAFEGUARDS

7. Social Safeguards actions are mainly related to land acquisitions and resettlement impacts under the project. Depending on the amount of land required and the extent to which it causes the relocation of households, the following requirements of OP 4.12 must be addressed:

- Minimize resettlement of homes, businesses 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

8. The Resettlement Policy Framework (RPF) agreed upon between the Government of Kyrgyz Republic 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 X). 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 [put date of publication of final version] on ARIS's website [include link].

7.4 SAFEGUARDS TASKS DURING PLANNING and PREPARATION

9. **Environmental and Social Assessment.** ARIS will be responsible for preparation of all environmental 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, ARIS has developed an Environmental and Social Management Framework (See Annex X) 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 Kyrgyz Republic and institutional implementation arrangements for the project.

10. 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, ARIS 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.

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

a. Environment and Social Screening

12. The first task of the social and environmental safeguards staff of the ARIS during the planning phase is to carry out a comprehensive screening of the subprojects identified for interventions. The screening should be done based on the technical parameters and designs of the subproject activities. The screening (both and environment and social) is a physical exercise through checklist (see attached) which need to be carried out in the field. The screening need careful assessment of all types of environmental and social impacts(positive and negative) and be recorded during the field observations. The screening process may also involve meetings with the affected parties, interviews and discussions with people in the site or surrounding area. The screen checklist is attached (see annex-). When selecting subprojects, the initiators of the activity - LSGs, if necessary with the help of ARIS specialists, fill in the forms of environmental selection. (Annex 7 of the ESMF).

13. 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 (A-RAP) 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 impacts can be extremely diverse, and the impacts are very serious and may have a significant adverse impact on the environment and the people. Such an impact can cover a territory larger than the sites or facilities on which work is supposed to be carried out.

b. Public consultation

14. Public Consultations is an integral part of safeguards planning and implementation. ARIS will be responsible for organizing and conducting at least one public consultation with 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 NGOs. 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 issue 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.

15. During the public consultations, the ARIS 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 RAP).

c. Preparation of Safeguards Documents

16. The ARIS has the obligation to prepare site specific instruments during the subproject preparation phase. This can be an ESMP, A-RAP, 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 Kyrgyz legislation provides for a list of projects for which a "Full Environmental Impact Assessment" is required (Annex 2 of the ESMF).

17. When receiving sub-project proposals from LSGB, ARIS reconciles with the list of projects under Annex 2 and Annex 2.1 of the ESMF and rejects the sub-projects listed in this list. ARIS 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, ARIS can consider that it is too risky for financing. Thus, upon the end of selection, only those sub-projects that require a brief environmental impact assessment or develop a mitigation plan are received for consideration (Annex 1).

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

19. Once the documents are prepared, they should be disclosed locally. The participating municipalities are responsible to place a copy of the approved ESMP/A-RAP/RAP in a public place or building which local community has free access to. In addition, ARIS will post the approved ESMPs on its official website. The places of public disclosure of RAP(s) will be ARIS' official website, offices of local authorities, local communities, etc. as well as the WB website. ARIS is also responsible for

including all construction related ESMP/RAPs measures in bidding documents that will be distributed to bidders for construction contracts.

7.4 SAFEGUARDS TASKS DURING CONSTRUCTION AND IMPLEMENTATION PHASE

20. Implementation of safeguards instruments as per the plans is equally important. The environment and social staff of the ARIS require to coordinate with local agencies including contractors and supervise the implementation of environment and social mitigation measures. During activity implementation, ARIS 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 Jalal- Abad, Batken and Osh oblasts ARIS will conduct environmental monitoring during both construction and operational phases in accordance with the Annex 3 Part 4, Annex 4 and Annex 7 Part D. of the ESMF.

21. **Field Level safeguards management** – The implementation schedule of each safeguards plan must be agreed between ARIS and participating municipalities (Mayor's Offices and/or ayil okmotus, 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, ARIS 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).

22. During activity implementation, ARIS 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, ARIS 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.

a. Establish and activate Grievance Redress Mechanism

23. The World Bank funded projects require to comply with its corporate requirement to establish and activate project specific grievance redress system. Under the CSP, ARIS has a corporate system for managing grievances and appeals from citizens known as the Beneficiary Feedback Mechanism (described in Section 5) which meet the Bank requirements.

24. As a part of project operation, guidelines (Regulations) were developed to set procedures for managing grievances and appeals, delineate responsibilities between ARIS officials and specify follow-up measures. All appeals and complaints from citizens received under the CSP will be supplied to the corporate system for further processing and follow-up. Grievance redress mechanism will be available for project stakeholders to submit questions, comments, suggestions and/or complaints, or provide any form of feedback on all project-funded activities. Project beneficiaries, project affected people (i.e. those who will be and/or are likely to be directly or indirectly affected, positively or negatively, by the project), as well as the broader citizenry can use the GRM for the purposes of making complaints or providing complaints. Project affected people include those who will be affected in resettlement issues.

25. All procurement related complaints will be addressed at levels higher than the level at which the procurement process was undertaken or the relevant decision was taken. Complaints will also be forwarded to the Bank for information. The number of grievances received, number redressed and number escalated will be reported as part of the monthly reporting by the local/site level staff. ARIS will prepare a bi-annual report on grievances handled under the project. The general process for managing complaints is described in Section 5.X?

a. Institutional Responsibilities, Monitoring and Evaluation

26. ARIS 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 ES staff at the specific site all the time during the construction).

27. ARIS also responsible for; a) ensure that pertinent aspects of the EMP/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.

28. 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 plans and measures taken to address those issues. Such progress reports should be also shared with the World Bank.

Table 7.1 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: Financial Management and Disbursement Arrangements

Section A – for ARIS/CSP

Section B – for AKF/CESA grant

1. The fiduciary function of the project, including the financial management (planning, budgeting, accounting, financial reporting, funds flow/disbursements, internal controls and auditing) is assigned to AKF Kyrgyzstan.
2. The project will be financed by a USD \$1.0 million recipient-executed grant from the World Bank administered CASA 1000 Multi Donor Trust Fund (MDTF). The project will finance: Goods, non-consulting services, training and workshops, and Incremental Operating Costs.

Table 8.1 Project Cost and Financing

Category	Amount of the Grant Allocated (expressed in USD)	Percentage of Expenditures to be Financed (inclusive of Taxes)
(1) Goods, non-consulting services, consulting services, Training and Workshops, and Incremental Operating Cost	1,000,000	100%
TOTAL AMOUNT	1,000,000	

8.1 Financial Management Requirements

Legal Covenants

- (a) The Recipient shall ensure that a financial management system is maintained in accordance with the provisions of Section 2.07 of the Standard Conditions.
- (b) The Recipient shall ensure that interim unaudited financial reports for the Project are prepared and furnished to the World Bank not later than forty-five (45) days after the end of each calendar quarter, covering the quarter, in form and substance satisfactory to the World Bank.
- (c) The Recipient shall have its Financial Statements audited in accordance with the provisions of Section 2.07 (b) of the Standard Conditions. Each such audit of the Financial Statements shall cover the period of one (1) fiscal year of the Recipient. The audited Financial Statements for each such period shall be furnished to the World Bank not later than six (6) months after the end of such period.

8.2 Internal Control Procedures

Internal Control Objectives

3. The internal control forms part of the financial and accounting policies for the management of the Project. The objectives of the internal controls are to:

- Contribute to ensure adherence to donors' regulations and guidelines and project policies and procedures;
- Contribute to achieve clear and transparent financial practices;
- Contribute to promoting operational efficiency;
- Provide controls to safeguard the Project assets;
- Facilitate the early detection of errors and problems.

Internal Control Principles

4. The basic principles of the internal controls are as follows:
 - Monitoring, checking and approving, by an upper level, of expenditures and procurements executed by the lower level;
 - Identifying responsibilities of project staff commensurate with position and level of authority;
 - Separating specific responsibilities of staffs;
 - Using appropriate method to ensure proper custody of assets;
 - Ensuring full and appropriate documentation;
 - Using internal procedures for cross-checking of accounts, payments and transaction entries for timely detection of errors;
 - Prepare annual inventory of assets.

Internal Control Mechanism

5. The Project's management is responsible for developing, implementing and monitoring a sound system of internal controls.
6. Financial controls consist of measures adopted by management to protect its assets and to ensure the accuracy and reliability of its accounting records and financial reports. Key internal controls to be implemented by AKF Kyrgyzstan
7. Techniques, procedures and measures should be employed to protect assets and ensure reliable accounting data and reports (e.g. use of mechanical devices such as vaults and cash registers; use of control accounts and subsidiary ledgers).
8. Internal regulations should include the supervision of staff. For example, the project manager's setting up of annual estimated expenditures, approving of the annual reports, or the supervision of Financial Specialist to the process of setting, recording of transactions made by assistants, and the preparation of financial statements.

8.3. Competent Personnel and Segregation of duties

9. The AKF Kyrgyzstan Finance Department is responsible for financial accounting and reporting. The mandate of the Finance Department are **a)** to record all financial transactions accurately and timely manner in accordance with corporate policies & procedures, generally accepted accounting principles, donor grant agreements and applicable laws **b)** to develop and maintain a robust accounting system **c)** accurately report the financial position of the organization to all stakeholders and **d)** to support other departments for operations & reporting.
10. The Finance Department is divided into two divisions. One division is accounting operations and another is grant, compliance and reporting. Each division is further divided into key results areas which are general accounting, banking & treasury, taxation, planning & budgeting, reporting and compliance. The duties of each result areas are segregated and comprehensive job description are

defined for each staff in finance department. The purpose of segregating finance function into key result areas are to ensure that the operational responsibilities are separated from recordkeeping, custody of asset should be separated from accounting and authorization of transaction from the custody of related assets.

11. The Director Finance is overall responsible for the financial management of all projects at AKF Kyrgyzstan. However, one Finance Specialist and one Finance Assistance will be dedicated for the financial management of the WB grant. They will be responsible for the payments, recording of financial transactions, preparation of the quarterly IFRs and their submission to the Bank. The TOR of the Finance Specialist is provided in Annex D8.

8.4 Safeguards of Fixed Assets

12. All Fixed (Tangible & moveable) Assets shall be acquired by the Administration Department in coordination with the Procurement Department. Once acquired, Procurement Department shall generate the Fixed Asset tag number and paste on the assets and provide all necessary documents with fixed asset tagged number to the Finance Department. The Procurement Department will ensure that the technical specifications and the unique identifiable numbers such as serial numbers (if available) of goods will be properly reflected in the goods' acceptance acts. The AKF Finance Department shall record the Fixed Assets and document details pertaining to the acquisition in the Fixed Asset Register maintain on Excel template and recorded in the iScala accounting software. The Fixed Asset register will also have recorded the goods' unique identifiable numbers (such as serial numbers) whenever available.

13. All Fixed (tangible & movable) Assets will be safeguarded and recorded in the register.

14. The administration department shall be the custodian and responsible for fixed assets (tangible & movable) management and proper keeping of the Fixed Asset Register.

15. All tangible assets shall be a subject to the annual physical verification process.
disposal of Fixed Assets

16. On the completion of the Project, AKF Kyrgyzstan shall submit the list of all fixed assets (Tangible & moveable) to World Bank for the approval of disposal or subsequently utilization of next phase of the project or some other projects.

Authorization of Expenditures and Approval of Payments

17. Expenditures incurred by AKF will be authorized by the AKF Kyrgyzstan CEO and verified for eligibility and accuracy by the Financial Specialist. The bank authorized signatories matrix is attached as Annex F5.

18. **Goods and Service:** For Procurement payments verification and control, the Project Financial Specialist and Assistant Finance should work in close collaboration with the Project Procurement Specialist to ensure that there is a proper internal control system for ensuring that contracts and all other significant aspects of procurement, including timeline of the contracts are properly approved and monitored (this is to ensure that goods and services have been provided in accordance with the terms of procurement, and properly managed and reported). The acceptance of goods and services delivered is made by the Procurement department and the project manager, who will verify that the goods and/or services delivered are acceptable and are correspond to the requirements of the TOR and/or technical specification as per the contract, as well as all required supporting documentation (as specified in the contract) is presented. After the goods and/or services are accepted, relevant

documentations (such as invoices, payment requests, acceptance act, warranties, etc.) are transferred to Finance Department. Based on the acceptance (as confirmed by respective documents), the payments are authorized by the AKF Kyrgyzstan CEO. The payment orders are prepared by the Finance Assistant and reviewed by the Financial Specialist, who before each payment reconciles the invoice amount to contract amount as well as to the cumulative to date payments made under the contract to ensure that no overpayments occur. Each paid invoice will bear a stamp “paid” to avoid any possibility for double payment.

19. Contract amounts are recorded from the agreed contracts and that subsequent changes are both in accordance with the contract provisions and properly approved and adjusted to the amounts in the contract records; – Amounts invoiced and approved are noted showing date of approval including amounts payable, paid and deferred for future payment; and – Payments against contracts are noted beside the relative contract showing date of payment (explanations should be made where payments have been delayed).

20. **Payroll Expenses:** For Payroll payments verification and control, the Finance Department shall be responsible for updating the payroll master file for processing the monthly payroll. HR Department shall provide information with respect to employee’s payroll and related data to finance in case of new employees. For monthly payroll, each employee and consultant will prepare their timesheet, which should be reviewed and approved by their supervisor. All employees and consultants should submit their timesheets to HR department. HR department will submit monthly consolidated timesheet for staff and individual timesheet (including payment with patent and social fund) of consultants to finance department to process the payroll. Finance Specialist shall generate payroll with necessary adjustment of advances, if any, taken by the employees. Monthly payroll shall be reviewed by the Head of Accounting Operation (HAO) comparing the same with supporting information and documents. After reviewed, payroll shall be approved by Director Finance (DF) and CEO. Project staff and consultants shall only be paid through bank transfer or bank cheque (in case where employee does not have a bank account) after the approval of monthly payroll sheet. Please note that staff hired under a consultancy contract as per the World Bank relevant procurement guidance, should be treated as consultants and will not be entitled to medical payments (such as paid leave, etc.).

21. **Office Rent, Utilities and Internet Expenses:** For project, four (4) offices will be rented in four regions. At Bishkek, AKF Kyrgyzstan office will be utilized and rent will be charged to project based on the total number of employees’ station at Bishkek office and number of MDTF project employees are working in that office. Similarly, at Osh, MSDSP offices will be utilized and rent will be charged based on the total number of employees’ station at Osh office and number of MDTF project employees are working in that offices. For Bishkek, rent charges including utilities and internet expenses. In remaining regions (Batken and Jalal-Abad), office space will be rented at local government premises or other private premises with the concurrence of local administration. Rent will be paid based on negotiated rates. If these offices not have the internet facility, internet modem will install in these offices. In case no office is occupied in any region, internet modem will provide to facilitators and coordinators with the limit of KGS 1500 per month. The internet limit may be revised based on working requirement with the approval of project manager.

Considering that the AKF Kyrgyzstan offices in Bishkek and in regions are used not only for the MDTF project implementation but also for other donor funded projects implementation, the rent amount to be charged to the Project will be a proportion of the overall rent amount.

22. **Communication Expense:** As per AKF Kyrgyzstan policy, KGS 800 worth of mobile unit will be uploaded to the project staff (employees and consultants) and KGS 500 for support team to their personal mobile number in the beginning of every month for business purpose. Administration

department will submit request with list of employees and consultants to finance department to pay communication charges directly to cellular company for uploading the mobile units and charge expense to project as per employee list.

23. **For travel expenses,** it is AKF Kyrgyzstan's policy to reimburse employees for all expenses necessary, reasonable and actually incurred when traveling on authorized company business. The travel expenses of the National Implementation Team (employees) will be covered through the Operational Cost, whereas the Regional Implementation Team's (consultants) travel expenses are covered through the Project Activities Budget. The Regional Implementation Team will prepare their monthly activity plan including travel plan by end of each month for next month and get approval from the project manager. The employees and consultants shall submit the request for field expenses and travel expenses on travel budget format to the Project Coordinator and, upon his/her approval, submit to the Accounting Department for advance payment. Accounting Department will transfer the advance request money to employee bank account. Employee and consultants will receive only one advance amount at a time and no further advance amount will pay until the first advance cleared by finance department. On return, employees and consultants must submit travel and other field expenses claim, travel report and approved work plan. It is each employee's and consultant's responsibility to adhere to policy when involved with expenditures on behalf of the company. Further, it is the responsibility of the manager to be familiar with the reason for the expenditures and to be satisfied that they have been reported in a manner consistent with the recognized policy.

24. **Air Travel:** As per AKF Kyrgyzstan policy, only economy class travel is allowed. Employees must submit approved travel requisition form to Administration department to arrange air travel. All air travel will be arranged through approved travel agent by AKF Kyrgyzstan. It is mandatory for all employee and consultant to submit flight boarding passes with the advance expense claim report. End of each month, travel agent will submit the invoice for payment. Administration department will review the invoice and identify the project wise travel expenses and submit request to finance for payment and finance department will charge expenses to project based on actual travel.

25. **Local Travel:** For project, taxi or rental cars will be utilized. Employee and consultants will request logistic department to arrange taxi for local travel. Logistic department will arrange the taxi from approved vendor of AKF Kyrgyzstan wherever is possible. In case taxi vendor not operate in the district or region, staff will arrange taxi themselves and negotiate the rates with driver. Staff will submit the expense with the travel report / claim form with all necessary documents (Invoice, patent, driver passport and travel route). In case, the AKF vehicle is utilized for project, the trip will be charged based on the actual kilometer used as per vehicle log book, which will separately indicate each trip destination, date, mileage passed, trip initiating staff's name and his/her signature for each trip confirming that the trip has actually been taken. The AKF vehicle's travel log will also have the opening and closing odometer indications. Administration department will prepare the vehicle usage report and submit to finance at the end of month. Finance department will review the vehicle usage report and charge expenses as per actual usage. The Finance Department staff will be assigned for ad-hoc reconciliation of the AKF vehicle's odometer indications with those indicated in the travel log.

26. **Staff Per-diem:** P As per AKF Kyrgyzstan policy, project staff will get per-diem as per the attached Annex F4 .AKF Policy. Employees and consultants will calculate per diem as per Annex F4 and request money in the advance request form with other expenses. The per-diem applicable to each visit will be verified by the Project Coordinator at the time of advance request and re-confirm or adjust at the time of advance report submission. The per diem will be adjusted if the meal of breakfast, lunch or dinner is provided by the organization (30% for breakfast, 30% for lunch and 40% for dinner)-

27. **Staff Accommodation:** Employee or Consultant will submit the travel request to Logistic Department to organize accommodation. Logistic Department will arrange accommodation through approved annual vendors or identify the vendors in the new locations. In remote locations where guesthouse or hotels are not available, project team will arrange accommodation themselves and provide all necessary documents (including payment supporting documents, such as receipts, for accommodation payments made) with travel expense report/ claim form to finance department. Anyway if employees or consultants will stay in any informal accommodation they will provide the receipts of the payment. The maximum ceiling for accommodation at different regions are provided below:

- Bishkek KGS 2,400
- Osh KGS 2,100
- Other Regions KGS 1,600

28. **Training / Workshop Expenses:** Before the start of each fiscal year AKF Kyrgyzstan will prepare and agree with the World Bank the annual plan for Training/Workshops. Before each individual training/workshop, within reasonable time, agenda AKF Kyrgyzstan, will also agree with the World Bank the detailed budget, agenda and participants list. The Training / Workshop related costs mean reasonable costs for training, seminars and workshops conducted under the Project, including tuition, travel and subsistence costs for training and workshop participants, costs associated with securing the services of trainers and workshop speakers, rental of training and workshop materials, and other costs directly related to training course and workshop preparation and implementation (but excluding goods and consultants' services) approved by the World Bank. For all training, and workshop, project team ensure to have participants' attendance sheet for each day. Attendance sheet must include name of participants, signature, cell number and passport ID. The participants' attendance sheet is prepared separately for each training/workshop day and is verified by Facilitator and school director.

29. For trainer fee, HR department will hire the trainer through procurement process as per WB guidance. HR will submit the request to finance department for payment with necessary documents (Agreement, progress report approved by the Project Coordinator, patent and social fund). Finance department will review the documents and transfer the fee to the consultant bank account.

30. For stationery, supplies and consumables, project team will submit request to procurement department. Procurement department will procure the material from approved vendors and submit request to finance department for payment along with all necessary documents (Agreement, invoice, purchase order, patent etc.). Finance department will review the documents and transfer the payment to vendor bank account.

31. For Accommodation, project team will submit the request to Logistic Department to organize accommodation for beneficiaries. Logistic Department will arrange accommodation for beneficiaries through approved annual vendors or identify the vendors in the new locations. All necessary documents with travel expense report / claim form should be submitted to finance department.

32. For beneficiaries' meal, project will submit the request to Logistic Department to organize meals for beneficiaries. Logistic Department will arrange meals for beneficiaries through approved annual vendors or identify the vendors in the new locations. In remote locations, where approved vendors are not available, project team will arrange meal themselves or provide daily meal allowance to beneficiaries per diem as per the Annex F4. In case of daily meal allowance payment, project team will ensure that two persons from project should present at the time of payment and sign the meal allowance payment sheet. The per diem will be adjusted, if the meal of breakfast, lunch or dinner

provide by the organization (30% for breakfast, 30% for lunch and 40% for dinner). All necessary documents with travel expense report / claim form should be submitted to finance department.

33. For training venue, project team will submit the travel request to Logistic Department to organize venue for training or workshop. Logistic Department will arrange training venue for beneficiaries through approved annual vendors or identify the vendors in the new locations. In remote locations where training venue not available through vendors, project team will arrange venue themselves and provide all available documents along with travel expense report / claim form to finance department.

34. For beneficiaries' transport, the Procurement Department will conduct market survey to determine the transportation cost in the regions targeted by project. Based on the market survey, project team will pay the transportation allowance to beneficiaries. Project team ensured that two persons from project should present at the time of payment and sign the transport allowance payment sheet. All necessary documents with travel expense report / claim form should be submitted to finance department.

8.5. Handling of Cash and Cash Equivalent

35. All project related payments to be made from the WB funds, shall be done by bank transfer and/or by bank cheque, except some petty cash might be used for reimbursement of transportation, accommodation and catering costs to beneficiaries participating in workshops and trainings as described in the above sections.

36. The Project implementation may involve submission by suppliers of bank guarantees (such as advance payment bank guarantee or other equivalent securities) to the AKF Kyrgyzstan, which will be responsible for conducting the due diligence over such securities. The due diligence process will be conducted by the Finance Specialist, who will conduct the verification of the document with the issuing financial institution, monitor compliance of the security conditions as specified in the document issued by the financial institution, as well as of the security expiration deadlines with respective timely action of extending or encashment of such a security. The bank guarantees and other equivalent securities should be treated as cash and be held in a fireproof safe.

Bank Reconciliations

37. Bank reconciliations statements shall be prepared as per standard format (Annex F6) by Finance Specialist for the project designated accounts, once a month by 10th of next month. Bank reconciliation statement shall be subject to independent review and approval by AKF Head of Accounting Operations. Any outstanding reconciling items appearing for more than 30 days shall be further investigated by AKF Head of Accounting Operations. Any reconciling items requiring adjustments shall be adjusted after approval of the Director Finance in the accounting system.

8.6 Verification of Expenditures Eligibility

38. The compliance matrix for WB project will be prepared by the Grants Department to ensure that all expenditure incur for WB project should be verified by Financial Specialist before initiate any project procurement of goods or activities.

39. Purchase request will be raised by project team for any procurement of goods or activities, which will be verified by Financial Specialist for eligibility and availability of budget. In case, Financial Specialist is not sure about the eligibility of the expenditure, will contact the Director of Finance for

assistance. If still ambiguity exist. The Director Partnership and Program Development will contact WB contact person for clarity or No Objection.

8.7 Accounting System, policies and Procedures

40. The accounting system is the sub-system of financial management in which financial transactions of a project are organized based on policies, principles, and standards in order to produce useful financial information in a reliable and coherent manner.

41. AKF is using Epicor iScala computerized accounting system in many countries including Kyrgyzstan. Epicor financial management solutions are designed to automate and streamline financial processes with tools and controls to support complex legislative requirements and create value through timely financial monitoring. Finance staff is trained and using iScala accounting software since 2012. The server is located at AKF headquarter and AKF Bishkek office is connected through VPN to enter data directly into main server. The secure password has been provided to finance staff for entering data into main server. The AKF headquarter has developed reliable procedures for daily back-up and setup disaster recovery (DR) solution to mitigate the risk of data lost.

42. AKF maintains a comprehensive Chart of Accounts (Annex F3), which must be complied with by all departments/projects within the Foundation. The purpose of maintaining a chart of accounts is to ensure that expenses are properly classified in different account heads. In addition, iScala software allows entries tagged with various dimensions which are grant, project, location, activity, cost center etc. All transactions are entered in the iScala system by Finance Assistant on a daily basis. All receipts and payments for the JSDF project will be recorded in the iScala system to ensure that all receipts and expenses are recorded in the correct expense categories and at same time tagged with the necessary dimension to extract the reports.

43. The basic accounting policies that are applicable for the project accounting are as follows:
- Financial statements are prepared on the basis of historical cost accounting.
 - Fiscal year: starting on 1 January and ending on 31 December every year
 - Income is recognized when received, and expenditure is recognized when paid (cash based accounting).
 - For reporting purposes to the World Bank, expenditures incurred within the project are capitalizes, and no depreciation is applied.
 - The cash basis IPASA would be applied for this project. The accounting system at AKF Kyrgyzstan is based on accrual accounting as per international accounting standard. However, the system is capable to maintain accounts in both cash and accrual basis.
 - The applicable exchange rate for transactions conducted in foreign currencies is the one prevailing at transaction time. For assets and liabilities in foreign currencies on the balance sheet the applicable exchange rate is that of the date of the quarter ends or year-ends. All exchange rate differences must be dealt addressed in the exchange rate difference account and recognized on the balance sheet. Foreign exchange losses are not eligible expenditures for Bank financing and would not be charged to Bank but shall be covered by AKF.
 - Accounting transactions are recorded in KGS currency. However, for the designated Accounts, transactions are recorded both in USD and KGS.
 - For reporting purposes, financial reports required by the World Bank are presented in USD currency.

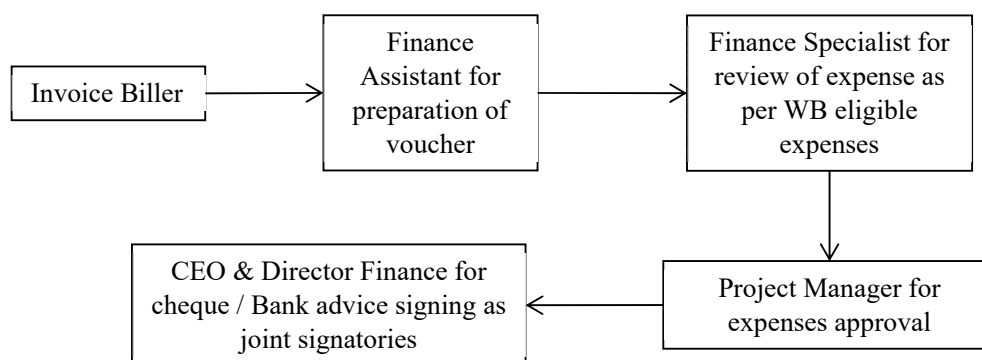
44. At AKF, Kyrgyzstan, Epicor iScala software is used for the book keeping of all projects transactions.

45. The steps for book keeping are as follows:

- Project staff should have good understanding of the regulations, provisions and conditions of Project Appraisal Document, Legal Agreement, Procurement Guidelines, Disbursement Guidelines, Disbursement Handbook and Project Operations Manual to ensure that the project is implemented in line with the relevant regulations.
- All transaction of the project should be supported with original documentation (copy is not allowed) for bookkeeping and accounting purposes.
- Based on verified and reconciled original documents, the finance assistant will check and review accounting documents and record in accounting books, following the standard procedure.
- All transactions of the project are accounted for in the right accounts, periodically summarized and reported following the World Bank's regulations and requirements.
- The accounting documentation of the project shall be for all accounting items such as cash flows, inventories, fixed assets, labors and wages, and project implementing progress.
- There should be procedures to control and enable the cross-checking of proofs of transactions, data, signatures and endorsement and other relevant documents
- The accounting system must maintain vouchers and other supporting documents and archive them at the end the fiscal year as requested by the current regulations.

46. The Director Finance is responsible for the organization and management of all accounting activities at AKF Kyrgyzstan, however, the project Finance Specialist is responsible for the World Bank Project transactions.

47. Procedures of voucher treatment are carried out as follows:



48. The standard record retention policy shall be in accordance with the various donors and the requirement as per the government regulations.

49. At the end of a fiscal year and after the completion of the accounting works such as cheque, reconciliation and preparation of financial statements, all vouchers, accounting records are arranged, classified, packed, sealed and stored in the accounting unit / storage of the organization by Finance Assistant.

50. All financial records, supporting documents, statistical records, technical and other records pertinent to an award / grant shall be retained as per the State Statistic Department Archive regulation. Unless otherwise specified, records older than 10 years shall be destroyed.

51. Documents / records of the award / grant that have crossed the period accordingly to the requirement of the retention of the records but have pending legal action involved, shall be kept till such time that legal counsel or consultant not provide clearance for the disposal of such records.

52. This policy shall be effective for all foundations, corporations, donor awards / grants which are not specified the retention policy in the agreements.

8.8. Financial Reporting

53. Financial Reporting shall refer to the process of systematic recording, reporting, and analyzing financial transactions of the organization. This process comprises of gathering, compiling and reporting of financial information to management and other stakeholder of the company for the purpose of controlling, decisions making and informing them about the true and fair view of financial position and performance of the projects.

54. AKF shall prepare and furnish interim unaudited financial reports for the Project and furnished to the World Bank as part of the Project Report not later than forty-five (45) days after the end of each calendar quarter, covering the quarter, in form and substance satisfactory to the World Bank.

55. The IFR format include a statement showing for the period and cumulatively (project life & year to date) inflow by sources and outflows by main expenditure classification, beginning and ending cash balances of the project; and supporting schedules comparing actual and planned expenditures. The format also attached with the POM for reference (Annex F7).

56. AKF shall have the project's Financial Statements audited in accordance with the provisions of Section 2.07 (b) of the Standard Conditions. Each audit of the project financial statements shall cover the period of one fiscal year of the recipient. The audited financial statements for each such period shall be furnished to the Bank no later than six months after the end of such period, and made publicly available in a timely fashion and in a manner acceptable to the World Bank.

8.9 Budgeting Procedures

57. Planning and Budgeting is vital tool for managing and controlling project resources. Adequate budgeting will help to ensure that the right amount of funds required to implement project activities is available from the right sources, at the right time, and in the right place.

58. The Project Coordinator shall prepare the Yearly Plan of Operations (YPO) and Procurement plan. The Yearly Plan of Operations (YPO) and Procurement plan shall be prepared by the categories and components stated in the Grant Agreement as well as by the AKF Chart of Accounts (Annex F3). Based on this, Project Coordinator will work with the Finance Specialist to develop the project budget, which will be reviewed by the Education Program Officer, the Civil Society and Local Governance Officer and the Director Finance. The final version of budget shall be approved by AKF CEO.

59. The Project's Operating Costs annual budget detailed by line items in accordance with the "Incremental Operating Cost" definition³ as specified in the legal agreement and quarter wise shall be

³ "Incremental Operating Costs" means the reasonable costs, as shall have been approved by the World Bank, for the incremental expenses incurred on account of Project implementation, management, monitoring and evaluation, consisting of vehicle operation and maintenance, communication and insurance costs, banking charges, rental expenses, support for information systems, office maintenance and repairs, expenditures for materials and supplies, utilities, document duplication/printing, interpretation and translation costs, consumables, travel cost and per diem for Project staff for travel linked to the implementation of the Project, salaries of contractual staff for the Project (but excluding consultants' services and salaries of officials of the Member Country's civil service), respective social charges, other reasonable expenditures directly associated with implementation of Project activities, all based on annual budget as may be agreed upon by the World Bank

prepared by Financial Specialist and shall submit to World Bank for approval no later than December 20 for each subsequent fiscal year.

60. The Project Budget for each of next year shall be revised by the Finance Specialist and Program Manager. The Project Budget, YPO and Procurement plan shall be detailed in advance of each year's budget process. The Project Coordinator, through the Director Partnership and Program Development shall submit them to World Bank for approval no later than December 20 for each subsequent fiscal year.

61. The project expenses must be routed through the Purchase Request (PR) procedure. The PR should be prepared by the respective department for project expense and submit to Finance department for budget verification. Finance Specialist will verify the availability of the budget and allow or disallow the PR subject to the availability of budget.

62. Every month, Finance Specialist will prepare the monthly budget variance report on the same standard template used for budget preparation and share with project team for analysis and providing reason for variances. This will allow project team to envisage any deviation in the budget vs. actual and prepare the change request for budget a head as per the timeline specified above for revision of budget accordingly to the WB requirement.

8.10 Audits

63. The audit of the project financial statements will be conducted: (i) by independent private auditors acceptable to the Bank, on the terms of reference (TOR) acceptable to the Bank; and (ii) according to the International Standards on Auditing (ISA) issued by the International Auditing and Assurance Standards Board (IAASB) of the International Federation of Accountants (IFAC). The annual audits of the project financial statements will be provided to the Bank within six months of the end of each fiscal year, and at the project closing.

64. Project Financial Statements will include:

- (i) A Summary of Funds received, showing the World Bank, Project funds from other donors, and counterpart funds separately;
- (ii) A Summary of Expenditures shown under the main project headings and by main categories of expenditures, both for the current fiscal year and accumulated to-date;
- (v) Accounting policies and explanatory notes⁴ (including additional accounting policies and disclosures), covering:
 - a. a Summary of Summary Reports or SOEs used as the basis for the submission of withdrawal applications in the notes, as appropriate;
 - b. a Statement of Designated Account in the notes, as appropriate;
 - c. a Statement of Financial Position showing Accumulated Funds of the Project, bank balances, other assets of the Project, and liabilities, if any;

65. When the entity makes publicly available the approved budget, a comparison of budget and actual amounts either as a separate additional financial statement or as a budget column in the statement of cash receipts and payments.

66. The audited financial statements shall be published on the World Bank website, and the recipient shall publish these in full in a local newspaper or in a project website to be developed in the project's first three months.

Sample audit TOR attached in Annex F1.

⁴ The explanatory notes should include reconciliation between the amounts shown as "received by the project from the World Bank" and that disbursed by the Bank and a summary of movements on the project's Designated Account.

8.11 Disbursement Arrangements

67. The project Designated Account (DA), in USD, will be opened in a commercial bank acceptable to the WB, and will be managed by AKF Kyrgyzstan. The SOE-based disbursement method will be applied for the Project. The Project funds will flow from the Bank, either: (i) via the DA to be maintained in a commercial bank, acceptable to the WB, which will be replenished on the basis of SOEs or full documentation; or (ii) on the basis of direct payment withdrawal applications and/or special commitments, received from AKF. Withdrawal applications, that document funds utilized from the DA, will be sent to the Bank at least every three months. The following disbursement methods may be used: reimbursement, advance, and direct payment. Detailed instructions on withdrawal of the project proceeds are provided in the Disbursement Letter.

68. AKF Finance Specialist will prepare an annual budget for eligible operations costs and submit this to the World Bank for approval. The budget will include a quarterly breakdown of figures with line item descriptions.

69. The Grant proceeds will be disbursed against eligible expenditures. AKF may withdraw the proceeds of the Grant in accordance with the provisions of: (a) the Standard Conditions; (b) this Section; and (c) such additional instructions as the World Bank may specify by notice to the Recipient (including the “Disbursement Guidelines for Investment Project Financing”, dated February 2017, as revised from time to time by the World Bank and as made applicable to this Agreement pursuant to such instructions), to finance Eligible Expenditures as set forth in the following table. The table specifies the categories of Eligible Expenditures that may be financed out of the proceeds of the Grant (“Category”), the allocations of the amounts of the Grant to each Category, and the percentage of expenditures to be financed for Eligible Expenditures in each Category.

8.12 Treasury or Bank Arrangements

70. AKF will open two bank accounts for the project in the Kyrgyz Investment and Credit Bank (KICB). One designated account in USD and one account in local currency. Both bank accounts would be managed by AKF Bishkek office (Central Office) for making payments exclusively under the project and for the project eligible expenditures, without any WB funds being transferred to regional offices or pooling at central level by its headquarter. The authorized signatories of these bank accounts are same as specified in the AKF approved authority matrix for bank signatories (Authority Matrix in Annex F5). In case of change of the bank account during the Project, AKF will inform immediately to the WB and justify the need of this change.

8.13 Formal Reconciliation Procedures of Project Records with Client Connection

71. The reconciliation of the project accounting records with WB disbursement data will be performed regularly (at least once a quarter or before each Withdrawal Application is submitted to the Bank and the payment to the project Designated Account is received) via the WB Client Connection by the Finance Specialist and will be verified by the Director Finance.

72. Reconciliation of Statement of Expenditures (SOEs) with the project accounting records will be performed regularly (before each Withdrawal Application is submitted to the Bank or at least once a quarter) by the Finance Specialist and will be verified by the Director Finance.

73. The reconciliation of the project Designated Account balance (as well as of the balance of other project related accounts including the co-financing account) to be held at the State Treasury will

be performed by the Finance Specialist and will be verified by the Director Finance at least once a month or after each transaction.

8.14 Conflict of Interest and related parties transactions

74. The AKF Kyrgyzstan standard policies and Procedure for the “Conflict of Interest” and “Related Parties Transactions” policies and procedures are applicable for this project. The Project Coordinator ensures that all members of the Project understand the actions they must take when considering any transactions, when a “Conflict of Interest” or/and “Related Parties” situation arises.

75. “Conflict of Interest” Defined A conflict of interest arises where the private interest of a member of team involved in the procurement or any transaction process may have Conflicts, or might reasonably be thought to conflict, or have the potential to conflict, with the duties of this person in the performance of their role.

76. “Related Parties” Defined A related party shall refer to a person or entity that shall be related to AKF (Members of the same group – parent / subsidiary / fellow subsidiary company, a person identified or a close member of that person's family shall have significant influence over AKF or shall be a member of the key management personnel of AKF, entity, or any member of a group of which it shall be a part, provides key management personnel services to AKF.

77. A member of the Project team in a “Conflict of Interest” situation in relation to a transaction made by them, or proposed contract under consideration by him or her. Shall disclose the nature of their interest to Project Coordinator and shall not take part in any deliberations or decision with respect to the transaction. The each employee of the organization must sign the conflict of interest undertaking as per Human Resource Policy of the organization.

78. The record disclosure of a “Conflict of Interest” situation shall be kept with the Human Resource Department in order to comply with this procedure.

79. For the Related Parties Transaction, AKF Kyrgyzstan Director Finance shall ensure that all necessary documentation must be completed as per the Related Parties Policies & Procedure of the AKF Kyrgyzstan and disclose to World Bank as deemed necessary.

CHAPTER 9: PROCUREMENT

9.1. World Bank Procurement Requirements.

- 9.1.1. All goods, non-consulting services and consulting services required for the Project and to be financed out of the proceeds of the under CASA-1000 MDTF “Community Engagement and Social Accountability Project” Grant#TF0A7727 shall be procured in accordance with the requirements set forth or referred to in the “World Bank Procurement Regulations for IPF Borrowers” dated July 2016, revised November 2017 (“Procurement Regulations”), and the provisions of the Recipient’s procurement plan for the Project (“Procurement Plan” attached in G2) dated May 7, 2018 provided for under Section IV of the Procurement Regulations, as the same may be updated from time to time in agreement with the World Bank.
- 9.1.2. For each contract to be financed under CASA-1000 MDTF “Community Engagement and Social Accountability Project” Grant#TF0A7727 , the different procurement methods or consultant selection methods, the need for prequalification, estimated costs, prior review requirements, and time frame are agreed between the implementation partner and the Bank Task Team in the Procurement Plan.
- 9.1.3. Following procurements are foreseen under this project:
- Procurement of Goods: Goods procured under this project will include procurement of office equipment.
 - Selection of Consultants: Consultancy will include various individual consultants and firms for capacity building, citizen engagement, access to budget and performance evaluation. It is planned to select several consulting companies for consulting assignments (including audit) and to sign one direct contract with ARIS.
 - Conducting trainings within project activities.
- 9.1.4. All procurements of goods, works and consulting services, under the Grant, will be conducted and lead by the AKF Procurement Department. The role of this AKF unit is to implement procurement principles and procedures, with staff ensuring they meet the rules/code of conduct and the integrity requirements of procurement duties.
- 9.1.5. Project staff Recruitment Procedure. Given that AKF implements several projects (including World Bank projects), AKF has an existing practice, that AKF HR Department will conduct selection/procurement procedures for project staff in accordance with the “World Bank Procurement Regulations for IPF Borrowers” dated July 2016, revised November 2017 (“Procurement Regulations”). The Recruitment Procedure will follow requirements for selection of individuals described in this Section.
- 9.1.6. The following principles are applied in all procurement and every effort is made to get the best value for money:
- Goods, works and consulting services
- a. the need for economy and efficiency in the implementation of the project, including the procurement of the goods and works involved;
 - b. the importance of transparency in the procurement process.
 - c. the need for high-quality services,
 - d. the need for economy and efficiency,
 - e. the need to give all eligible consultants an opportunity to compete in providing the services,
 - f. the need for transparency in the selection process.

9.2. Procurement Plan

- 9.2.1. The initial procurement plan has been developed covering the above procurement activities (AnnexG2). The plan will be updated periodically (at least once a year) in line with the “World Bank Procurement Regulations for IPF Borrowers” dated July 2016, revised November 2017 (“Procurement Regulations”).
- 9.2.2. The procurement plan contains list of contracts, which are foreseen to be signed during the Project lifecycle, procurement method, estimated contract value, post/prior review status. No procurement can be carried out for any activity that is not included in the procurement plan, approved by the Bank. Approved procurement plan (without cost estimates) should be published in the Bank’s external website as required in the “World Bank Procurement Regulations for IPF Borrowers” dated July 2016, revised November 2017 (“Procurement Regulations”).

9.3. Procurement Thresholds and Methods of Procurement

- 9.3.1. The following methods of procurement shall be used for procurement under the project. If a particular invitation for a bid is comprised of several packages, lots or slices, and invited in the same invitation for bid, then the aggregate value of the whole package determines the applicable threshold amount for procurement and also for the review by the Bank.
- 9.3.2. Prior review will apply in line with the following project procurement thresholds:

Table Procurement thresholds and methods of procurement

Contracts Subject to Prior Review (Threshold USD\$)

Expenditure Category	Contract Value Threshold (US\$)	Procurement Method	Contracts Subjects to Prior Review (Threshold in US\$)
Goods and non-consultancy services	>=1,000,000	ICB	Contracts >=2,000,000
	<1,000,000	NCB	Not applicable
	<100,000	SH	Not applicable
	N/A	DC	All contracts
Consultant Services* (including training)	>=300,000	QCBS/QBS/LCS/FBS	Contracts >= 1,000,000; all TORs
	<=300,000	CQS	
	N/A	SSS	
	N/A	IC	

- 9.3.3. For all DC and SSS cases the technical justification shall be a part of the project procurement plan.

9.3.4. The prior review thresholds will be periodically reviewed and revised as needed during the project implementation period based on implementation of risk mitigation measures, reports from procurement post-reviews, and improved capacity of the implementing agency.

9.3.5. The following contracts are subject to Prior Review by the World Bank:

- The terms of reference for all consulting services;
- All contracts for consultants services with a firm estimated to cost the equivalent of \$300,000 or more;
- Each contract for consultants' services with an individual consultant, estimated to cost the equivalent of \$ 50,000 or more; and
- All contracts under direct contracting or single source selection methods.

9.3.6. All other contracts shall be subject to Post Review by the World Bank.

9.4. Procurement procedures

9.4.1. Shopping for Goods (Cost estimate: <US\$100,000)

This method is used for readily available off-the-shelf goods or standard specification commodities. Quotations should be obtained from several suppliers or contractors (with a minimum of three in each case). ITQ may be sent to suppliers and contractors by letter, fax or email, and quotations can be submitted using any of these communication means.

9.4.2. The following steps will be followed:

- Establish a procurement Evaluation committee of minimum of three members but not more than seven members;
- Agree on the list of required items of goods (including quantities);
- Prepare technical specifications;
- Prepare list of suppliers or contractors broad enough to generate good competition and to yield at least three quotations, as required. Such a list may be prepared based on the past experience, consultation with chambers of commerce, Internet, or direct market research;
- Prepare Invitation to Quote (ITQ) using the Bank's template for ITQ (Annex_ for Goods);
- Send the ITQ to the suppliers or contractors;
- Make sure that the requirement of obtaining a minimum of three quotations is fulfilled;
- Receive quotations by a deadline, open them and evaluate them;
- Prepare an evaluation report using Annex_ for Goods; make recommendation for award of contract;
- Approve an evaluation report and recommendation for contract award by the Evaluation committee ;
- Sign the contract;
- Keep the process confidential until the contract has been awarded;
- Publish contract award information (the name of the selected supplier/contractor, the contract price) to the interested suppliers/contractors;
- Receive and inspect goods and make payments as per the signed contract; and
- Keep all documents on file.

9.4.3. Selection of a Firm Based on Consultant's Qualification (CQS)

The following steps to be followed:

- Establish a selection committee of at least three members but not more than seven members;
- Prepare draft terms of reference, including the budget estimate in terms of person/days (weeks, months, whatever is applicable), assignment duration, etc., and submit the draft terms of reference to the Bank for review and no objection;
- Establish evaluation criteria;
- Request expressions of interest (Annex __) and qualification information on the consultants' experience and competence relevant to the assignment, preferably through advertisement in a national newspaper and/or in an appropriate website, and through dissemination of information about the assignment to professional associations, etc.;
- If necessary, seek additional information/clarification from interested candidates;
- Establish through evaluation ranking of the firms which expressed interest.
- Prepare an Evaluation Report for approval by the selection committee using the forms in Annex __, including individual evaluation form and the summary of individual evaluation forms;
- Select the top-ranking firm with the best qualifications and references;
- Prepare the Request for Proposal using sample in Annex__;
- Send the Request for Proposal only to the selected highest-ranked firm to submit technical and financial proposals for the assignment, in accordance with the terms of reference;
- Review the proposals and prepare for negotiations;
- Selection committee negotiates the contract (See Annex __ and Annex __ for Standard Forms of Contract) with the firm and prepare minutes of negotiation as per the attachment (no one-to-one negotiations);
- Sign the contract;
- Keep the process confidential until contract signature;
- Publish contract award information (the name of the selected firm) in a national newspaper or in an appropriate website or by informing interested consulting companies; and
- Keep all documents on file.

9.4.4. **Selection of Individual consultants**

Steps to be followed (selection process to be completed within 30 days):

- Prepare draft terms of reference, including the budget estimate in terms of person/days (weeks, months, whatever is applicable), assignment duration, etc., and submit the draft terms of reference to the Bank for review and no objection;
- Establish evaluation criteria;
- Seek expression of interest from individual consultants preferably through advertisement in a national newspaper and/or in an appropriate website, and, if feasible, disseminate information to professional associations, etc);
- Request further information/clarification on references and qualifications where required and useful to determine if a candidate is qualified and should be shortlisted;
- Based on the expression of interests (and additional information/clarification) received, prepare a list of a minimum of three candidates, based on their relevant experience in the field of assignment (i.e. the list should not include candidates who don't have experience/qualifications in the relevant field of assignment, or who may not fulfill any minimum experience/qualifications, etc, if so required in the request for expression of interests);
- If candidates have submitted their CVs as part of their expression of interest, simply send the terms of reference and ask the candidates to confirm their candidature for the assignment;

- Establish a small evaluation committee comprising at least three members but not more than five members;
- Evaluate the CVs based on the criteria set up beforehand;
- Interview the first three candidates before hiring following the evaluation methodology, and document the results properly in the evaluation report (i.e., how many candidates were interviewed, what were the results, etc.);
- Prepare evaluation report using the form in Annex _; (Note: if not subject to Bank's prior review, skip the next two steps).
- If subject to Bank's prior review, submit the evaluation report to the Bank;
- After Bank's agreement, negotiate contract (See Annex _ and _ for Standard Forms of Contract) with the selected consultant via email, fax or on the phone;
- Negotiate contract with the selected consultant;
- Sign the contract;
- Keep the process confidential until contract is awarded;
- Inform all candidates of the outcome of the selection process;
- Supervise the consultant's performance; and
- Ensure that payments are made against agreed deliverables/outputs.

9.4.5. **Single Source Selection/Direct Contract**

Single source selection/Direct Contract of consultants does not provide the benefits of competition in regard to quality and cost, lacks transparency in selection, and could encourage unacceptable practices. Therefore, single-source selection shall be used only in exceptional cases. The justification for single-source selection shall be examined in the context of the overall interests of the client and the project, and the Bank's responsibility to ensure economy and efficiency and provide equal opportunity to all qualified consultants.

9.4.6. Single-source selection may be appropriate in the following cases, and only if it presents a clear advantage over competition:

- For tasks that represent a natural continuation of previous work carried out by the firm;
- In exceptional cases, such as, but not limited to, in response to natural disasters and for emergency situations both declared by the Borrower and recognized by the Bank;
- For very small assignments; or
- When only one firm is qualified or has experience of exceptional worth for the assignment.

9.4.7. In all such cases, the implement partner is not required to issue an RFP and shall submit to the Bank for its review and no objection the TOR of the assignment, a sufficiently detailed justification including the rationale for single-source selection instead of a competitive selection process, and the basis for recommending a particular firm, except for contracts below a threshold defined on the basis of risks and the scope of the project, and set forth in the Procurement Plan.

9.4.8. Steps to be followed:

- Prepare TOR for the assignment and the estimated cost;
- Prepare justification for single-source selection in accordance with the guidance given above;
- Submit the estimated cost and the justification for single-source selection to the Bank;

- If Bank accepts justification and issues no objection: (a) invite the consultant to submit technical and financial proposal (for a firm), which would be the basis for negotiations; or (b) invite the individual consultant for negotiations;
- Prepare draft negotiated contract using the standard form of contract (see attachment) and submit to the Bank for review and no objection
- Sign the contract;
- Send a copy of the contract to the Bank;
- Publish contract award information (the name of the selected firm or individual) in a national newspaper or in an appropriate website; and
- Keep all documents on file.

9.4.9. As it is described in PPSD, it is foreseen one direct contract with ARIS. AKF will develop a ToR and will prepare Request for Proposal and should receive no-objection from World Bank. After which, AKF will receive the Proposal from ARIS for the amount identified in the PPSD. AKF will prepare draft of the contract and send to the Bank for no-objection. Based on World Bank no-objection, AKF will sign a contract.

9.5. Procurement procedures for activities under Operating and Training costs

9.5.1. Procurement procedure for selecting consulting services (firm/individuals) under the operating and trainings expenses.

The project procurement specialist receives a final Terms of reference for certain consulting services from the project specialists. The procurement specialist reviews the Terms of reference and through the analysis of the relevant market should determine the most effective sites for announcement (newspaper, appropriate websites, direct mail, etc.) to obtain the maximum amount of interest from the market.

9.5.2. The announcement should indicate the name of the consulting services, selection criteria, the deadline for the submission of expressions of interest. At the same time, the deadline for the submission of expressions of interest should be at least 14 calendar days.

9.5.3. An order on the composition of the tender committee should issued.

9.5.4. After the expiry of the deadline for the submission of expressions of interest, the procurement specialist sends all expressions of interest to the project specialist to prepare strong and weak points and reviews them in parallel.

9.5.5. AKF Specialist invites all members of the commission to evaluate the proposals received. During the tender committee meeting, the procurement specialist should familiarize the commission members with the selection criteria set out, as well as with the evaluation procedures. To this meeting of the tender committee, the procurement specialist prepares evaluation sheets to fill out by the members of the tender committee. During the meeting of the tender committee, the project specialist, who prepared the strong and weak points of the companies should make a presentation for the members of the commission. The members of the tender committee consider the expressions of interest obtained and evaluate them on a score system in individual scorecards. After that, the Procurement Specialist consolidates all individual evaluation sheets and enters the results to the evaluation report. Based on the results of the evaluation reflected in the evaluation report, the Request for technical and financial proposal is directed to the company that received the highest score. A Request for technical and financial proposals is prepared by a procurement specialist. At the same time, the deadline for submitting a proposal should

be acceptable for the preparation of the company's proposal. After receiving the technical and financial proposal, the specialist arranges the next meeting of the tender committee to evaluate the submitted technical and financial proposals. Based on the results of this evaluation, the procurement specialist prepares a protocol to review technical and financial proposals with the results on awarding or not awarding a contract.

9.5.6. Subsequently, the specialist prepares a contract with the consultant to implement these consulting services.

9.5.7. **Procurement procedure for selection of companies for the supply of goods and works and the provision of non-consulting services under the operating and trainings expenses.**

9.5.8. Goods and works within the framework of operating and training expenses can be purchased in the following ways:

a) **Selection of companies for the supply of goods or work on the base of “Shopping” method:**

Purchase of goods by the method of “Shopping” is a method of procurement based on the comparison of price quotations submitted by several suppliers (for the procurement of goods), several contractors (in the procurement of construction works) or service providers (in the case of non-consulting services); while there should be minimum of three to ensure competitive prices. This method is useful when purchasing a limited number of goods that are available for free sale, commodities with standard specifications or simple construction works in small quantities when other competitive methods of procurement are not justified because of the cost and efficiency. Requests for the submission of price quotes should indicate the technical characteristics and quantity of goods or specifications for work, as well as the desired time and point of delivery of goods (or the time and place of work). Price quotes can be presented in the form of letters, by fax or by e-mail. When evaluating the price quotations, it is necessary to observe the principle: the contract must be awarded to the corresponding to all parameters of the bids with the lowest price. Conducting an assessment of price quotations and awarding a contract must be conducted during the validity period of price quotes.

In case of submission of an improper form of price quotation (the quotation period does not meet the requirements, the bill of quantities of work/price table is filled not in the form, there is no signature on the price quotation), these price quotes are not subject to further consideration and evaluation.

Stages of procurement procedures to be carried out using this method:

- Create a tender committee;
- Determine the type, quantity, technical specification and delivery time of the required goods. This information is provided by the specialists of the project or the relevant department;
- Prepare technical specifications, drawings, BoQs, etc. This information is provided by the specialists of the project or the relevant department;
- Prepare Invitations for Quotations (ITQ) based on the sample;
- Publish an announcement on the appropriate website, send ITQ to the suppliers from the AKF database or those who applied according to the published announcement, if necessary, publish the announcement in local print media;
- Determine the date of submission of quotations (at least 2 weeks from the date of the initial request);

- Fulfill the established requirement, having received at least three price offers;
- Get quotes before the expiry of the deadline, carry out the opening of bids and fill out the protocol of opening bids;
- Conduct a technical evaluation of proposals with the help of relevant experts and conduct financial/qualification evaluation of the proposals submitted;
- Prepare a sample report on the basis of a sample and submit recommendations for the award of the contract;
- Ensure the confidentiality of the process until the award of the contract;
- Sign the contract;
- Acceptance of goods. The procurement specialist administers the contract as a whole by consulting the supplier/contractor regarding the terms of the contract. The Project Specialist directly manages the contract by preparing certificate of acceptance of goods/work, providing invoices for payment, submitting an order for the issuance of additional work for the procurement specialist;
- Store all documents in the folder.

At the same time, if there is a need to purchase the same goods or perform similar works within the framework of this project within 1 month after the tender (the deadline for submission of applications), AKF has the right to conclude a direct contract with this supplier for the same types of goods or works on the declared unit prices without holding a repeated tender.

b) Selection of companies for the supply of goods or performance of works can be carried out on the base of “price comparison” method:

Price comparison is used in the case of purchases of finished goods that do not require special manufacture, works and services with a specific description.

Stages of procurement procedures to be carried out using this method:

- Create a tender committee;
- Determine the type, quantity, technical specification and delivery time of the required goods. This information is provided by the specialists of the project or the relevant department;
- Prepare technical specifications, drawings, BoQs, etc. This information is provided by the specialists of the project or the relevant department;
- Prepare Invitations for Quotations (ITQ) based on the sample;
- Collect Quotations or fill out the list of prices declared by the participants;
- Fulfill the established requirement, having received at least three price offers;
- If required, conduct a technical evaluation of proposals with the help of relevant experts and conduct financial/qualification evaluation of the proposals submitted;
- Prepare a sample report on the basis of a sample and submit recommendations for the award of the contract;
- Ensure the confidentiality of the process until the award of the contract;
- Sign the contract;
- Acceptance of goods. The procurement specialist administers the contract as a whole by consulting the supplier/contractor regarding the terms of the contract. The Project Specialist directly manages the contract by preparing certificate of acceptance of goods/work, providing invoices for payment,

- submitting an order for the issuance of additional work for the procurement specialist;
- Store all documents in the folder.

Each supplier (contractor) is allowed to submit only one bid and is not allowed to change it. The winning competitive bid is an acceptable competitive bid with the lowest price, satisfying the needs of AKF.

9.5.9. AKF in cases of purchasing repetitive goods or performing works, can conduct one tender for the selection of the company by the method **“Shopping”** and conclude a framework contract for a certain necessary period with fixing single quotations. A framework contract will be concluded without determining the specific total cost. If there is a need for each project in these goods/works or non-consulting services, the project staff will prepare an application with the determination of the number of necessary goods/works and non-consulting services based on the unit costs specified in the framework contract and provide it to the procurement specialist. The procurement specialist, on the basis of the application received prepares order to the supplier/contractor. Within each framework contract, the AKF specialist is appointed who performs full supervision of the contract, including the acceptance of goods/works and non-consulting services and provides an invoice to the finance department.

9.5.10. **Procurement procedure for selecting trainers and training venues with all related services.**

AKF within the project has a lot of activities for conduction of trainings. These activities includes: selection of trainers, reimbursable expenses of trainers, training venue, handouts, in some cases, accommodation and participants' food.

Taking into account that trainings are conducted in different territorial areas of the Kyrgyz Republic, and the potential of services to provide training venues, tenders for training activities should be conducted as follows:

- a) Taking into account the expanded database of trainers in the context of regions of the Kyrgyz Republic, the selection of trainers can be carried out of three qualified CVs from the AKF database. Selection should be carried out by tender committee out of three qualified CVs.
- b) Expenses for trainings, must be confirmed by appropriate financial documents. Wherever possible, comparison of process shall be conducted.
- c) “Price comparison” method described above should be followed for the purchasing of goods and services.

9.6. Procurement records and monitoring

9.6.1. The Procurement Specialist/HR specialist will maintain complete procurement records, in accordance with sound procurement practices (including related supervision, review and auditing), the procurement activities on the Project and ensure that all such records are retained as per the Bank and Government regulations, after the Closing Date of Project. Procurement specialist is responsible for procurement records. Procurement records mean public notices of bidding opportunities; bidding documents and addenda; bid opening information; bid evaluation reports; formal appeals by bidders and outcomes; signed

contracts, addenda and amendments; records on claims and dispute resolution; and records of time taken to complete key steps in the process.

- 9.6.2. In the frame of New Procurement Framework and Regulations for Projects an online system of Systematic Tracking of Exchanges in Procurement (STEP) was introduced and currently used by AKF Procurement Department staff in planning and tracking procurement activities under Bank-financed projects.
- 9.6.3. STEP enables auto publication of approved procurement plan, publication notices and contract award information in the Bank's external website, UNDB online, World Bank Finances App, and World Bank Procurement App. Along this STEP has the below listed advantages applied in procurement management:
- Procurement Planning & tracking
 - i. Procurement planning
 - ii. Activity tracking
 - iii. Implementation of procurement roadmap
 - iv. Notification and alerts
 - Streamlining & automation
 - i. End-to-end processing
 - ii. No-objection System
 - iii. Document Management
 - iv. Automated publications
 - Monitoring & Reporting
 - i. Portfolio Management
 - ii. Project status review
 - iii. Performance reporting
 - iv. Business Intelligence
- 9.6.4. Procurement Files. AKF Procurement department maintains complete procurement files, which will be reviewed by the Bank's implementation support missions. All procurement related documentation that requires the Bank's prior review are cleared by the Procurement Specialist and relevant technical staff. As stated above, STEP has a database of all procurement files online for shared use of the Bank.

9.7. Procurement Supervision and Ex-Post Review

- 9.7.1. Routine procurement reviews and supervision will be provided by the procurement analyst based in the country office. In addition, two WB supervision missions are expected to take place per year during which ex-post reviews will be conducted for the contracts that are not subject to Bank prior review on a sample basis (20 percent in terms of number of contracts). One ex-post review report will be prepared per fiscal year, including findings of physical inspections for not less than 10 percent of the contracts awarded during the review period.

9.8. Conflict of Interest

- 9.8.1. The Bank requires that firms or individuals involved in Bank procurement shall not have a conflict of interest. Goods, Works, and Non-consulting Services.

- 9.8.2. A firm shall be considered to have a conflict of interest if the firm:

- a) 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 or design and built contract;
- b) including its personnel, has a close business or family relationship with a professional staff of the Borrower, or of the project implementing agency, or of a recipient of a part of the Bank's financing, or any other party representing or acting on behalf of the Borrower who:
 - i. is directly or indirectly involved in the preparation of the Procurement Documents or contract specifications, and/or the evaluation process of such contract;
 - ii. 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; or
- c) 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.

9.8.3. Consulting Services.

The Bank requires that Consultants:

- a) provide professional, objective and impartial advice;
- b) at all times hold the Borrower's interests paramount, without any consideration of future work; and
- c. in providing advice they avoid conflicts with other assignments and their own corporate interests.

- 9.8.4. 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 interests of the Borrower. Without limitation on the generality of the foregoing, Consultants shall not be hired under the circumstances set forth below:

- a) a firm that has been engaged by the Borrower to provide Goods, Works, or Nonconsulting 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;
- b) 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;
- c) 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;
- d) Consultants (including their experts and other personnel, and sub-consultants), that have a close business or family relationship with a professional staff of the Borrower, or of the project implementing agency, or of a recipient of a part of the Bank's financing, or any other party representing or acting on behalf of the Borrower, that is directly or indirectly involved in any part of:
 - i. the preparation of the TOR for the assignment;
 - ii. the selection process for the contract; or
 - iii. 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.

9.8.5. The "Conflict of Interest" procedure exists to ensure that all members of the Procurement and HR Departments and AKF Kyrgyzstan management understand the actions they must take when considering tenders and contracts, when a "Conflict of Interest" situation arises.

9.8.6. "Conflict of Interest" Defined A conflict of interest arises where the private interest of a member of Procurement and HR Departments or management of AKF or any other person involved in the procurement process may have Conflicts, or might reasonably be thought to conflict, or have the potential to conflict, with the duties of this person in the performance of their role.

9.8.7. A member of the Procurement and HR Departments, AKF Management or any staff member involved into procurement process in a "Conflict of Interest" situation in relation to; a contract made by the them, or proposed contract under consideration by him or her. Shall disclose the nature of their interest and shall not take part in any deliberations or decision b with respect to the contract. In the event that a member may be unsure is there is a potential conflict of interest, he/she may request for the procurement department members or procurement commission to vote on the matter at the beginning of the

meeting. The outcome shall be noted in the minutes and actioned accordingly. The members of the procurement department or procurement commission are to provide a written acknowledgement that they have read and understand this procedure, and that they will uphold the procedure whilst a member of the Board.

- 9.8.8. The procurement and HR departments or procurement commission, must record disclosure of a “Conflict of Interest” situation in the minutes of the procurement department or commission meeting, detailing; the nature of the conflict and the action taken by the procurement and HR departments or commission in order to comply with this procedure.

9.9. Fraud and corruption

- 9.9.1. The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.

- 9.9.2. To this end, the Bank:

- a. Defines, for the purposes of this provision, the terms set forth below as follows:
 - i. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
 - ii. “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
 - iii. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
 - iv. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
 - v. “obstructive practice” is:
 - a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - b) acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 2.2 e. below.
- b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its subconsultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of

the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;

- d. Sanctions, pursuant to the Bank's Anti-Corruption Guidelines and in accordance with its prevailing sanctions policies and procedures as set forth in the WBG's Sanctions Framework any firm or individual – determined at any time by the Bank to have engaged in Fraud and Corruption in connection with the procurement process, selection and/or execution of a Bank-financed contract;
- e. Requires that a clause be included in request for bids/request for proposals documents and in contracts financed by a Bank loan, requiring bidders (applicants/proposers), consultants, contractors, and suppliers; and their subcontractors, sub-consultants, agents, personnel, consultants, service providers or suppliers, permit the Bank to inspect 1 all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank;
- f. Requires that, for Bank-financed operations to be implemented utilizing national procurement arrangements, as well as PPPs, agreed by the Bank, bidders (applicants/proposers) and consultants submitting bids/proposals will be required to accept the application of, and agree to comply with, the AntiCorruption Guidelines during the procurement process, selection and/or contract execution, including the Bank's right to sanction as set forth in paragraph 2.2 d., and the Bank's inspection and audit rights as set forth in paragraph 2.2 e. Borrowers shall consult and apply the World Bank Group's lists of firms and individuals suspended or debarred. In the event a Borrower signs a contract with a firm or an individual suspended or debarred by the World Bank Group, the Bank does not finance the related expenditures and may apply other remedies as appropriate; and
- g. Requires that, when a Borrower selects a United Nations (UN) agency to provide goods, works, non-consulting services and technical assistance services in accordance with paragraphs 6.47-6.48 and 7.27-7.28 of these Procurement Regulations under an agreement signed between the Borrower and the UN agency, the above provisions of paragraph 2 of this annex regarding sanctions on Fraud and Corruption shall apply in their entirety to all contractors, consultants, sub-contractors, sub-consultants, service providers, suppliers, and their employees, that signed contracts with the UN agency. As an exception to the foregoing, paragraphs 2.2 d. and 2.2 e. do not apply to the UN agency and its employees, and paragraph 2.2 e. does not apply to the contracts between the UN agency and its service providers and suppliers. In such cases, the UN agency applies its own rules and regulations for investigating allegations of Fraud and Corruption, subject to such terms and conditions as the Bank and the UN agency may agree, including an obligation to periodically inform the Bank of the decisions and actions taken. The Bank retains the right to require the Borrower to invoke remedies such as suspension or termination. UN agencies shall consult the World Bank Group's lists of firms and individuals suspended or debarred. In the event a UN agency signs a contract or purchase order with a firm or an individual suspended or debarred by the World Bank Group, the Bank does not finance the related expenditures and may apply other remedies as appropriate.

- 9.9.3. With the specific agreement of the Bank, a Borrower may introduce in to the request for bids/request for proposals document for contracts financed by the Bank, a requirement

that the bidder or consultant include in the bid or proposal an undertaking of the bidder or consultant to observe, in the Procurement Process, the country's laws against fraud and corruption (including bribery) as such laws have been identified in the request for bids/request for proposals documents. The Bank will accept the introduction of such a requirement at the request of the Borrower, provided the arrangements governing the undertaking are satisfactory to the Bank.

9.10. Filing of Records

- 9.10.1. All procurement records, supporting documents, statistical records, technical and other records pertinent to an award / grant shall be retained for a minimum of 5 years to a maximum of 8 years as specified in the donor agreements. Unless otherwise specified, records older than 8 years, shall be destroyed.
- 9.10.2. Documents / records of the award / grant that have crossed the period accordingly to the requirement of the retention of the records but have pending legal action involved, shall be kept till such time that legal counsel or consultant not provide clearance for the disposal of such records.
- 9.10.3. In the frame of New Procurement Framework and Regulations for Projects an online system of Systematic Tracking of Exchanges in Procurement (STEP), all records should be entered in the system.

9.11. Complaints Handling

- 9.11.1. Procurement-related complaints (Complaints) should be submitted to the Borrower in a timely manner, at the appropriate stage of the procurement process, and when so submitted, the Borrower shall address them promptly and fairly. Timeliness, in both the submission of Complaints and their resolution, is of critical importance in order to avoid undue delay and disruption in the project of which the procurement is a part.
- 9.11.2. All Complaints shall be recorded by the Borrower in the appropriate tracking and monitoring system, as agreed between the Bank and the Borrower.
- 9.11.3. Those Complaints arising in connection with contracts for which the Bank's Standard Procurement Documents (SPDs) are required to be used, shall be administered and handled in accordance with Annex III, Procurement-related Complaints. The contracts where the Borrower shall use the Bank's SPDs shall be specified in the Procurement Plan for the project.
- 9.11.4. Whenever the Bank's SPDs are required to be used, a Standstill Period shall apply, unless otherwise provided under Paragraph 5.80.
- 9.11.5. Complaints, other than those covered under Annex III, Procurement-Related Complaints, are to be handled by the Borrower in accordance with the applicable complaint review rules and procedures as agreed by the Bank.
- 9.11.6. A Complaint that includes allegations of Fraud or Corruption may require special treatment. The Borrower and the Bank shall consult to determine any additional actions that may be necessary.
- 9.11.7. The Complaint Handling Procedure has put in place to:

- Ensure that all stakeholders in the procurement process understand the proper process for making a complaint or requesting a review of a Procurement/HR departments of commission decision.
 - Outline the time within which complaints or decision reviews will be conducted.
 - Provide an understanding of possible outcomes from the Complaint Handling process.
- 9.11.8. What is a “Complaint”? A complaint arises when a Client in the procurement process expresses written dissatisfaction with an aspect of the procurement process as applied by AKF Kyrgyzstan. Clients include Tenderers, Contractors and Government Agencies. Aid and Donor Agencies may also utilize these complaint handling procedures in the event of a disagreement or complaint with AKF Kyrgyzstan management of a tender funded by WB. It is important to distinguish a complaint from a request for information. A request for information occurs when a Client seeks further information in relation to an aspect of the procurement process as applied. A request for information may ultimately result in a complaint being lodged.
- 9.11.9. The AKF Kyrgyzstan may be required to deal with complaints that relate to administrative, illegal or inappropriate practices, or matters or customer service standards, or relate to procurement department or commission decisions to award contracts
- 9.11.10. The principles to be applied in resolving complaints are outlined below:
- The Client’s right to complain at any stage during the procurement process is acknowledged.
 - Complaints against procurement department or commission must be copied to the Project Coordinator.
 - Complaints against Project Coordinator, must be referred to the CEO of AKF Kyrgyzstan.
 - All complainants are to be treated courteously.
 - Complaints will be treated fairly and subject to impartial review.
 - Complaints will be resolved at the lowest possible level.
 - A tiered process of complaint handling applies.
 - All efforts will be made to resolve the complaint within timings outlined in this procedure.
 - The Client will be kept informed of the progress and outcome of the complaint.
 - Copies of this procedure are to be provided to Complainants.
 - The AKF Kyrgyzstan will use complaints positively in order to improve procurement processes.
- 9.11.11. The responsibility for handling complaints initially rests with AKF Kyrgyzstan. The AKF Kyrgyzstan should take all legal and appropriate measures to resolve the complaint. If a satisfactory conclusion cannot be reached between the Client and AKF Kyrgyzstan, the matter is referred to the WB mission in country.
- 9.12. Procurement / Contract Management**
- 9.12.1. The aim of contract management is to ensure that all parties meet their obligations. Contracts shall be actively managed by the AKF throughout their life to ensure that

contractor performance is satisfactory, appropriate stakeholders are informed and all contract requirements are met.

- 9.12.2. Effective contract management requires systematic and efficient planning, execution, monitoring, and evaluation to optimize performance while managing risks to ensure that both parties fulfill their contractual obligations with the ultimate goal of achieving Value for Money and results on the ground.
- 9.12.3. The Borrower begins developing a contract as early as possible in the Procurement Process. The contract conditions should be included in the request for bids/request for proposals document for the particular Procurement Process. The level of detail required in a contract depends on the risk and complexity of the contract. The terms and conditions shall be fit-for-purpose, with appropriate allocation of risks, liabilities, roles, and responsibilities of the parties.
- 9.12.4. AKF shall proactively manage contracts throughout their duration against the Contract provisions.
- 9.12.5. AKF Kyrgyzstan Procurement Department is overall responsible for the procurement management of all donor projects.
- 9.12.6. Procurement Specialist will provide the following support for WB project:
 - Supports Procurement Department Head in achieving overall Project objectives;
 - Preparing tender documents for the procurement of services and goods;
 - Prepares and submits to the Bank draft bidding documents, draft Request for Proposals (RFPs), or draft ITQs for packages subject to prior review for review and no objection;
 - Publishes procurement notices and contract awards;
 - For prior review packages, submits to the Bank copies of final bidding documents and RFPs;
 - Maintains correspondence with bidders
 - Prepares amendments to the RFP or the bidding documents as deemed appropriate and submits to the Bank for review and no objection;
 - Participates in bid opening procedure and drafts minutes of bids opening;
 - Receives bids and proposals and ensure that they are kept confidential until bid opening or opening of proposals;
 - Participates in evaluation of bids and clarifies evaluation procedure for the tendering commission;
 - Prepares reports on evaluation of bids or proposals based on the evaluation completed by the Evaluation Committee;
 - For contracts subject to prior review, submits bid evaluation report and technical evaluation report for Bank's review and no objection.
 - Sends notification of contract award to winning firms;
 - For consulting contracts subject to prior review, submits draft negotiated contracts to the Bank for review and no objection;
 - Prepares draft contract amendments if deemed appropriate for the Bank's review and no objection;
 - Develops and implements procurement monitoring system;
 - Keeps all procurement documents on file per package as listed in the procurement plan, including copies of bids, proposals and quotations;
 - Provides procurements documents to the Bank during post review and audit;

- Establish and maintain a database at the Procurement Department of expressions of interest received from prospective consultants with the aim of inviting them for future engagement;
- Communicate with selected consultants, participate in contract negotiations as an observer and prepare Minutes of Negotiations.
- Submit draft negotiated contracts for approval and signature by authorized representatives of the company and then submit them to the World Bank for prior approval;
- Take part in the World Bank's verification missions and collaborate with auditors during mandatory audit of reports;
- Perform other duties in support of Project implementation as required by the Project Coordinator.

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ANNEX A: GLOSSARY

ANNEX B: PROJECT MANAGEMENT AND COORDINATION

B1: Good Governance Framework

Updated February 3, 2018

Issues	Action to Mitigate Risk	Responsibility	Target/ Monitoring	Implementation Status	Remaining Intermediate Steps	Revised Target Date	Any Resources Required
1.	Internal Controls of the Audit Unit						
	Borrow from VIP		Internal Audit Unit				
2	Staff Code of Conduct						
a	Develop code of conduct for project staff	ARIS/AKF with inputs from World Bank	Have code of conduct in place/ARIS/AKF/World Bank	Developed	Finalize and adopt		
b	ARIS/AKF will organize internal capacity building on code of conduct	ARIS/AKF	Staff have understanding of the code of conduct/ARIS/AKF/World Bank	Needs to be conducted			Technical support
c	ARIS/AKF will ensure that the staff comply with the code of conduct	ARIS/AKF	Full compliance with code of conduct/ARIS/AKF/World Bank	Regular monitoring needs to be conducted	Ongoing monitoring		
d	ARIS to update code of conduct as necessary during implementation	ARIS	Up-to-date code/PCC/World Bank		PCC to monitor and recommend changes in code of conduct as necessary		
3	Beneficiary Feedback System						
a	Developed and detailed in the POM	ARIS	System developed/ARIS/World Bank	Compliance			
b	System for logging feedback created	ARIS	System operationalized/ARIS/World Bank	Compliance			Technical support
c	Regular feedback logged	ARIS	Feedback documented/ARIS/AKF/PCC	Ongoing		During implementation	
d	Feedback responded to by project management/PCC	ARIS/AKF/PCC	Response to Feedback/	Needs to be monitored regularly			

PART B: Annexes

Issues	Action to Mitigate Risk	Responsibility	Target/ Monitoring	Implementation Status	Remaining Intermediate Steps	Revised Target Date	Any Resources Required
d	PCC to provide oversight and mitigate any fall-out	PCC	ARIS/PCC	Ongoing			Technical support
4	Social Accountability (SA) Mechanisms						
a	SA tool designed	ARIS/AKF	SA tools developed/PCC/World Bank		SA expert will work with AKF to design tools	?	Technical support
b	SA tools implemented during the project cycle to monitor subgrants	AKF	Full implementation/PCC/World Bank	Ongoing			Technical support
c	Data from SA tools reviewed regularly	AKF/ARIS	Data operationalized/PCC/World Bank	Ongoing		During implementation	
d	Financial management, procurement, coordination or activities redesigned based on SA data	ARIS/AKF	PCC/World Bank/external audit	Ongoing		During implementation	Technical support
5	Transparency and Disclosure						
a	Project information, including project name, objective, source of funding, key dates, name of implementing agencies, and names of key project personnel posted	ARIS/AKF	Information posted/World Bank/external Audit			At inception	
b	Project documents posted, including project proposal agreed at appraisal, POM, and Financial Management and Disbursement Guide	ARIS/AKF	Information posted/World Bank/external audit			At inception	
c	Progress reports (annual, quarterly, lessons learned)	ARIS/AKF	Posted and maintained/World Bank/external audit			Ongoing	
d	Financial statements	ARIS/AKF	Posted and maintained/World Bank/external audit			Ongoing	
e	Procurement process& tendering documents	ARIS/AKF	Posted and maintained/World Bank/external audit			Ongoing	
f	Complaints handling	ARIS/AKF	Posted and maintained/World Bank/external audit			Ongoing	

PART B: Annexes

Issues	Action to Mitigate Risk	Responsibility	Target/ Monitoring	Implementation Status	Remaining Intermediate Steps	Revised Target Date	Any Resources Required
			d Bank/external audit				
g	Code of conduct	ARIS/AKF	Posted and maintained/Worl d Bank/external audit			On inception	
h	Develop and maintain a disclosure tracking sheet	ARIS/AKF	Posted and maintained/Worl d Bank/external audit	Ongoing			
6	Enhanced Progress Reporting						
	Update after M&E chapter is final						
7	Anti-Corruption						
	Develop training modules on anti- corruption	ARIS	Modules developed/PCC/ World Bank			At inception	
	Implement training	ARIS	PCC/World Bank			At inception	
	Update modules and conduct refresher trainings for staff	ARIS	PCC/World Bank				
8	Financial Management & Procurement						
	Conduct external annual audit	ARIS & External auditor	PCC/World Bank			Conducted annually	
	Conduct internal quarterly audits	ARIS	PCC/World Bank			Conducted quarterly	
	Code of conduct signed for the procurement committee	ARIS	PCC			Ongoing review	

B2: Grievance Redress Mechanism Guidelines

I. Introduction

Transparency and accountability are core components of the **CASA-1000 Community Support Project**. To this end, the project has established a Grievance Redress Mechanism (GRM). The goal of the GRM is to strengthen the accountability mechanisms to ensure that the project is responsive to beneficiary priorities and needs and provide channels for project stakeholders to provide feedback on project activities. It provides a mechanism that allows for the identification and resolution of issues affecting the project, including [delete if not relevant: SAFEGUARDS RELATED COMPLAINTS, MISCONDUCT OF STAFF, MISUSE OF FUNDS, ABUSE OF POWER, AND OTHER IMPROPER BEHAVIOR]. By increasing transparency and accountability, the GRM aims to reduce the risk of the project inadvertently affecting citizens/beneficiaries and serves as an important feedback and learning mechanism that can help improve the project's impact.

The GRM established under the [PROJECT] is accessible to all, including ethnic, religious, gender, and other special groups. The mechanism focuses not only receiving and recording complaints but also on how complaints are resolved. The GRM is supported by an information campaign and training. While feedback should be handled at the level closest to the complaint, all complaints should be registered and follow the basic procedures set out in this chapter.

II. Definition of GRM

For the purposes of this Operations Manual, a grievance redress mechanism is a process for receiving, evaluating, and addressing project-related complaints from affected communities at the level of the project.

The terms 'grievance' and 'complaint' are used interchangeably.

III. GRM scope and use

SCOPE: the [PROJECT NAME] includes a grievance redress mechanism that will be available for project stakeholders to submit questions, comments, suggestions and/or complaints, or provide any form of feedback on all project-funded activities.

WHO CAN USE THE GRM? Project beneficiaries, project affected people (i.e. those who will be and/or are likely to be directly or indirectly affected, positively or negatively, by the project), as well as the broader citizenry can use the GRM for the purposes of making complaints or providing complaints. Project affected people include those who will be affected in resettlement issues.

WHO IS MANAGING THE GRM? The GRM for [PROJECT NAME] is managed by the [choose as relevant: PROJECT IMPLEMENTATION UNIT / INDEPENDENT ENTITY].

WHEN CAN A COMPLAINT BE MADE? Complaints can be expressed anytime throughout the project preparation and implementation.

There is no charge for making a complaint or conveying comments or suggestions.

IV. Procedures

1. Channels to make complaints

The project will establish the following channels through which citizens/beneficiaries/ PAPs can make complaints regarding project funded activities.

- a. A dedicated email address [EMAIL]

- b. A dedicated phone line [PHONE NUMBER]
- c. On the project website [WEB ADDRESS]
- d. Feedback boxes located at [LOCATIONS]
- e. Letters sent to [ADDRESS]
- f. Verbal or written complaints to project staff (directly or through project meetings). (If project stakeholders provide verbal feedback/complaint, project staff will lodge the complaint on their behalf, and it will be processed through the same channels.
- g. Project Grievance Committees (which include women)
- h. Project meetings set up at the [specify] level, each of which include women.

The project shall ensure flexibility in the channels available, make sure that different contact points are available for a person to make a verbal complaint, and that complaints addressed to the wrong person or entity are redirected to the [GRM MANAGER].

2. Confidentiality and conflict of interest

Complaints may be made anonymously and confidentiality will be ensured in all instances, including when the person making the complaint is known. For this reason, multiple channels to make a complaint have been established and conflicts of interest will be avoided.

3. Collection/receipt of complaints

The person receiving the complaint will complete a grievance form (see Form xx), or make the form available to the complainant to fill out directly, and submit it without delay to the [GRM MANAGER]. The complaints for the [PROJECT NAME] will be collected and compiled by the [GRM MANAGER] every [specify frequency: WEEK/MONTH].

4. Sorting/categorization

Once compiled, the [GRM MANAGER] will be responsible for sorting the feedback. Below are examples of categories that could be used to sort the complaints:

No.	Classification
Category 1	Social Safeguards, including compensation disputes, land allocation, and delays in compensation
Category 2	Environmental Safeguards
Category 3	Grievances regarding violations of policies, guidelines, and procedures
Category 4	Grievances regarding contract violations
Category 5	Grievances regarding the misuse of funds/lack of transparency, or other financial management concerns
Category 6	Grievances regarding abuse of power/intervention by project or government officials
Category 7	Grievances regarding PIU staff performance
Category 8	Reports of force majeure
Category 9	Suggestions
Category 10	Appreciation

5. Recording/logging

Once the complaint has been categorized, the [GRM MANAGER] logs the details regarding the complaint into the tracking system. This system may be manual (hard copy) or connected to the project MIS system. GRM files should be stored in a secure setting (password protected IT database or locked storage cabinet for hard copies).

Once a complaint has been logged and sorted, the [GRM MANAGER] refers the case to the [PROJECT DIRECTOR]. The latter shall determine the following:

- The person responsible to investigate the complaint.
- The timeframe within which the complaint should be resolved.
- The agreed course of action (e.g. investigation, reply not requiring investigation, etc.).

The investigation process is determined based on the nature and gravity of the complaint:

- For resettlement-related complaints, regardless of the complexity of the case, the [SOCIAL DEVELOPMENT OFFICER/SAFEGUARD SPECIALIST WITHIN THE PIU] will be involved in the conduct of the investigation in addition to, or instead of, the [INVESTIGATING OFFICER].
- For local level complaints, the investigation will be conducted by [FIRST INVESTIGATING OFFICER] in [X] days.
- For complex complaints, the investigation will be conducted by [SECOND INVESTIGATING OFFICER/ENTITY] in [Y] days or as otherwise agreed with the [GRM MANAGER].⁵

When determining who will be the investigating officer, the [GRM MANAGER] will ensure that there is no conflict of interest, i.e. all persons involved in the investigation process should not have any material, personal, or professional interest in the outcome and no personal or professional connection with complainants or witnesses.

Once the investigation process has been established, the person responsible for managing the GRM records and enters this data into the MIS/log book.

The number and type of suggestions and questions should also be recorded and reported so that they can be analyzed to improve project communications.

6. Notification to the complainant

If the complainant is known, the [GRM MANAGER] will communicate the timeframe and course of action to her/him by phone, email or mail, within two weeks of receipt of the grievance.⁶

Where the complainant's address is available, this should be provided in writing with a tracking number and the deadlines by which they will hear back from the PIU (see Annex B – Notification Form).

7. Investigation

The person responsible for investigating the complaint will gather facts in order to generate a clear picture of the circumstances surrounding the grievance. Verification normally includes site visits, review of documents, a meeting with the complainant (if known and willing to engage), and a meeting with those who could resolve the issue (including formal and informal village leaders, or other leaders).

With regards to resettlement and grievances related to valuation of assets at the expenses of the project, a second or a third valuation may be undertaken, until it is accepted by both parties. These can be undertaken by

⁵ For complex and severe complaints, senior management should be informed and assign responsibilities for conducting the investigation. Senior management should also take part in the investigation and invite observers and external experts.

⁶ This two-week timeframe assumes the number of grievances is relatively small. The time service standard will be adjusted if the volume of grievances increases beyond a manageable level.

independent valuers, until it is accepted by both parties. These can be undertaken by independent valuers at the expense of the part who does not agree.

The results of the verification and the proposed response to the complainant will be presented for consideration to the [PERSON/ENTITY RESPONSIBLE FOR DECIDING ON THE COURSE OF ACTION].

Once the decision has been made on the course of action and on the response to provide to the complainant, the [INVESTIGATING OFFICER] describes the actions to be taken in the grievance form (see annex A), along with the details of the investigation and the findings, and submits it to the [GRM MANAGER], who enters it into the MIS.

In the event the agreed actions cannot be carried out and/or if the complaint cannot be satisfactorily resolved in [X days], the following steps will be taken:

8. Response to complainant

If the complainant is known, the [GRM MANAGER] communicates the proposed action to her/him via letter, email, verbally, as received. The complainants will also be informed by [HOW?] on how she/he can appeal the action decided in the initial case.

The [GRM MANAGER] will request feedback from the complainant as to whether she/he deems the action(s) satisfactory, and this will be recorded along with the details of the complaint and the response taken.

9. Possibility to appeal

In the event the complainant is satisfied with the response, discussions will be held in group or individually to further clarify the positions at stake. Senior management will take part in these meetings and a final decision on the action(s) will be made.

The PIU will form a [GRIEVANCE COMMITTEE] that will hear appeals. The [GRIEVANCE COMMITTEE] shall be comprised of at least [X persons] of whom [X] are from the [NAME OF THE PIU] and [X] are independent from the project implementing authorities and the government. The terms of the [GRIEVANCE COMMITTEE] will be agreed prior to its format.

The complainant is not precluded from appealing outside the project/PIU GRM⁷ if they are not satisfied with the proposed response.

10. Publication

Once the case is resolved, the complaint and the actions taken to handle it will be disclosed [LOCATION]. The identity of the complainant will remain confidential.

V. Awareness-building

1. Information provided in an accessible format

Information about the grievance handling system will be distributed to all beneficiaries and project affected people through regular information channels used by the project, including initiating meetings at the start of the project, public consultations held on resettlement, public meetings during project implementation, brochures/pamphlets in local languages, posting on notice board,s and online. [name relevant events and channels here]

⁷ An alternate dispute mechanisms such as a court of elders or to the formal legal system.

The PIU will include information provided 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, as well as the principle of confidentiality and the right to make anonymous complaints.

2. Proactive advertisement/regular public information campaigns

Annual campaigns will be designed by the [COMMUNICATION OFFICER] to encourage the use of the 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.

VI. Staffing and capacity-building

1. Roles and responsibilities

The [PROJECT MANAGER] will allocate responsibilities to project staff (unless the GRM is outsourced). These will be documented in the first Quarterly Progress Report, and kept updated.

- Overall management of the GRM system
- Developing and maintaining awareness-building
- Collection of complaints
- Recording/logging of complaints
- Notification to the complainant
- Sorting/categorization of complaints
- Investigation
- Decision-making based on the investigation results
- Processing appeals
- Publishing responses to complaints
- Organization and implementation of information materials and awareness campaigns
- Budgeting of the GRM.
- Reporting and feedback on GRM results

2. Capacity-building

Training for all relevant staff and relevant stakeholders will be held annually, or as otherwise agreed. New staff will receive training as a regular part of the onboarding process. The training will include all aspects of the GRM set out in this chapter. All trainings should include information on the GRM principles and procedures. The training will have an emphasis on accountability to the complainant. A key focus at the outset will be shifting from informal complaint resolution, to the logging of all complaints/feedback into this system.

Dedicated trainings should be provided to staff directly engaged with beneficiaries, those handling the system, and those involved in the management and oversight of the system.

VII. Transparency, monitoring and reporting

1. Transparency

Policies, procedures and regular updates on the GRM system, the complaints made and resolved, will be available online, as well as on local/ministerial notice boards and other permanent displays. They will be updated quarterly.

2. Regular internal monitoring and reporting

The [PROJECT MANAGER] will assess the functioning of the GRM and undertake spot checks during regular supervision visits. The [GRM MANAGER] will work with [M&E SPECIALIST] to:

- Ensure accurate entry of GRM data into the management information system or other system. Produce compiled reports to the format agreed with the Project Manager.
- Provide a monthly/quarterly snapshot of GRM results (as set out below) including any suggestions and questions, to the project team and the management.
- Review the status of complaints to track which are not yet resolved and suggest any needed remedial action.

During annual/bi-annual general meetings, the project team shall discuss and review the effectiveness and use of the GRM and gather suggestions on how to improve it.

3. Reporting in quarterly and annual progress reports submitted to the Bank

Quarterly and annual progress reports shall include a GRM section which provide updated information on the following:

- Status of establishment of the GRM (procedures, staffing, training, awareness building, budgeting etc.).
- Quantitative data on the number of complaints received, from whom (gender disaggregated), the number that were relevant, and the number resolved
- Qualitative data on the type of complaints and answers provided, issues that are unresolved
- Time taken to resolve complaints
- Number of grievances resolved at the lowest level, raised to higher levels.
- Satisfaction with the action taken
- Any particular issues faced with the procedures/staffing or use
- Factors that may be affecting the use of the GRM/beneficiary feedback system
- Any corrective measures adopted

The above reporting requirements for QPRs and APRs will also be reported in Bank supervision mission Aide-Memoires.

4. Oversight and review

The status of the development of the GRM, the levels of use by beneficiaries/ citizens, the challenges of implementation, etc. will be discussed in semi-annual/annual portfolio meetings. The PIU will discuss with the Bank during implementation support missions any corrective measures that may be needed.

An independent review/audit of the GRM, will be conducted prior to the mid-term review to assess the effectiveness and use of the mechanism, and recommend introduce improvements as necessary.

VIII. Budgeting

An earmarked budget for the GRM will be included in the budgets approved by the Bank. The budget will include the costs for the following GRM related activities as described above.

Awareness-building and information campaigns on the GRM (at the outset and as agreed throughout the project)

Complaints Handling:

- Establishment and management of the channels selected for making complaints
- Management of complaints collection
- Complaints recording and categorization
- Complaint investigation

- Communication with complainant
- The appeals process
- Publication of responses to complaints (if agreed)

Supporting costs:

- The costs of staff time, as necessary
- The capacity-building of the Staff assigned to the GRM
- Updating the website used for publishing the GRM results/policies/procedures
- MIS
- Tracking system of GRM results (e.g. the M.I.S)
- Independent review

FORMS included

a – Grievance/Inquiry Record

b – Notification Form

B3: Safeguards

B4: Environmental and Social Management Framework

B5: ARIS Code of Conduct

208. GENERAL PROVISIONS

- 20.1. 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.
- 20.2. 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.
- 20.3. 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.
- 20.4. The Code is a guide to action when there is a conflict of personal interests and interests of ARIS, 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.
- 20.5. For any issues related to the implementation of the Code, one can contact his/her immediate supervisor or other ARIS official.
- 20.6. ARIS protects the confidentiality of information and the rights of employees/consultants in cases of filing bona fide complaints about a violation of the Code.
- 20.7. Special responsibility for the observance of the Code rests with the governing structure of ARIS. The 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.
- 20.8. Any legal entity or individual that renders services or acts on behalf of ARIS must be informed of the Code. The Agency requires unconditional respect and observance of ethical principles related to security and prevention of corruption from its business partners.
- 20.9. An official is appointed to inform the ARIS employees and administration of appeals. The Executive Director of ARIS controls an execution of the Code.

218. DUTIES. RULES OF OFFICIAL CONDUCT OF EMPLOYEE/CONSULTANTS

- 21.1. Be honest and open.
- 21.2. Timely and honestly report the error made.
- 21.3. Strictly observe official and commercial secrets, do not allow situations where references to the need to protect information results in inefficiency or poor quality of work.
- 21.4. Provide a full, accurate and coordinated representation of the ARIS position in cooperation with the state and municipal authorities, suppliers and contractors of works and services, public organizations, and the mass-media.
- 21.5. Do not take or give bribes in any form; do not condone bribery, extortion and embezzlement of property owned by ARIS within the projects implemented by ARIS.
- 21.6. Eliminate the possibility of using official position for personal or group benefits, as well as incidents of unfair competition.

- 21.7.To carry out procurement activities in strict accordance with the legislation and maximum benefit for ARIS and for projects implemented by ARIS.
- 21.8.Identify inefficient processes and management procedures; seek their change for the better.
- 21.9.Effectively delegate authority, providing the necessary balance of responsibility and resources for the performance of the assigned task.
- 21.10. To observe the rules of business communication, be punctual and impeccably polite with colleagues, business partners, representatives of the media, and other stakeholders.
- 21.11. Do not create the conditions for obtaining a certain benefit, taking advantage of their official position.
- 21.12. Observe the rules of information provision established in ARIS.
- 21.13. To inform the direct Head or ARIS Management about the possibility of arising or has been already arisen conflict of interests with employee.
- 21.14. Behave in a proper manner, act in strict accordance with his/her work duties, principles, and norms of professional ethics;
- 21.15. Avoid situations that cause damage to business reputation and the credibility of the Project.

228. PROTECTION OF INTERESTS OF THE EMPLOYEE / CONSULTANT

- 22.1.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.
- 22.2.Protection of the employee/consultant from unlawful acts of a defamatory nature is the moral duty of the Project Management.
- 22.3.The Project Manager should support and protect the employee/consultant in the case of a baseless charge against him/her.
- 22.4.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.

238. RECOMMENDATION ETHICAL RULES OF OFFICIAL CONDUCT OF EMPLOYEES / CONSULTANTS

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

- 23.1.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;
- 23.2.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.
- 23.3.Employees/consultants should be polite, friendly, correct, attentive and tolerant in communicating with colleagues and other citizens.
- 23.4.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.

248. RESPONSIBILITY OF ARIS EMPLOYEES / CONSULTANTS

5.1. Employees of ARIS 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 Kyrgyz Republic.

5.2. According to Articles 146, 147 of the Labor Code of the Kyrgyz Republic, disciplinary sanctions include, in particular: the remark, reprimand and dismissal of an employee. According to Article 83 of the Labor Code of the Kyrgyz Republic, the Labor Contract can be terminated at the initiative of the employer in the following cases:

- 1) Liquidation of the organization (legal entity), termination of the employer' (individual') activity;
 - 2) Reduction in the number of employees or staff reduction, including in connection with the reorganization of the institution;
 - 3) Unsuitability of the employee for the position held or work performed:
 - a) due to a state of health in accordance with the medical report;
 - b) Insufficient qualification, confirmed by the results of attestation, certificates of non-compliance with labor standards, acts of errors made, and other data;
 - 4) Change of the owner of the organization' property (in relation to the Head of organization, his/her Deputies and the Chief Accountant);
 - 5) Repeated non-fulfillment by the employee his/her duties without valid reasons, if he/she has a disciplinary penalty;
 - 6) A single gross violation of the employee's job duties:
 - a) Absenteeism (absence at work more than 3 consecutive hours during the working day without valid reasons);
 - b) Appearance at work in the state of alcohol, narcotic or toxic intoxication. This condition is confirmed by a medical report, testimony or an act drawn up by the employer jointly with the representative body of workers;
 - c) Committing intentional damage or theft of the organization's property at the place of work;
 - d) Employee's violation of labor protection requirements, which entailed grave consequences, including injuries and accidents;
 - e) Disclosure of the state, official, banking, commercial or other secrets protected by the Law, which has become known to the employee in connection with performance of labor duties and if the condition for its preservation is stipulated in the Labor Contract.
- В отношении некоторых категорий работников законами и уставами, положениями о дисциплине могут предусматриваться и другие виды однократных грубых нарушений трудовых обязанностей; With regard to certain categories of workers, the laws, charters and discipline regulations may provide for other types of single gross violations of labor duties;
- 7) committing the guilty actions by an employee directly serving monetary or commodity values, if these actions give rise to a loss of confidence in him/her by the employer;
 - 8) committing an immoral act by an employee performing educational functions incompatible with the continuation of this work;
 - 9) the adoption of an unreasonable decision by the Head of the organization (branch, representative office), by his Deputies and Chief Accountant, entailing a breach of security, improper use or other damage to the property of the organization;
 - 10) submission of fraudulent documents or deliberately false information by the employee to the employer when entering into an Labor Contract, if these documents or information could be grounds for refusal to enter into the Labor Contract;
 - 11) a single gross violation by the Head of organization (branch, representative office), his/her Deputies of their labor duties;
 - 12) in other cases established by the Labor Code and other Laws.

5.3. ARIS 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 Project and the Consultant, as well as the legislation of the Kyrgyz Republic.

B6: Communication Outputs

Possible communication activities and tools *at the national (country) and local (regional) levels:*

Activities and Tools	Effect		Target Groups		
	Raise awareness	Feedback	External	Internal	Secondary
General Tools					
ARIS website	❖	❖	❖	❖	❖
Distribution of information releases (central and regional media)	❖		❖	❖	❖
Mass media (publications, TV programs, radio programs, reports, messages in news agencies (positive experience and success stories): central and mostly regional, district media	❖	❖	❖	❖	❖
Social networks	❖	❖		❖	❖
Special Tools					
Promo video (clips): regional media	❖			❖	❖
Specialized CSP brochures (positive stories)	❖		❖		❖
International conferences	❖		❖		❖
Round tables, discussion forums at the local level	❖	❖	❖	❖	❖
Ancestral meetings (once per year)	❖	❖		❖	❖
Use of radio rooms / cars with loudspeakers	❖	❖		❖	❖

Conducting sports events of regional importance	❖	❖		❖	❖
Cooperation with AKF organizations (CBT, public associations, women's councils, VHCs, council of elders, CDWUU, youth committees, WUA-through murabs (irrigation water distributors)	❖	❖		❖	❖
Announcements in cattle markets (important information about village gatherings on the project issues)	❖	❖		❖	❖
Filling with information about the various stages of CSP project (on the information boards near Aiyl Okmotu)	❖	❖		❖	❖
Information of project partners at the Aiyl Okmotu sessions	❖	❖		❖	❖
Implementation of the Feedback Mechanism (FBM) in the project corridor (informing, using the helpline, booklets, posters, questionnaires)	❖	❖	❖	❖	❖

B8: MOU Between Kyrgyz Republic's Community Development and Investment Agency and Oshelektro

**MEMORANDUM OF COOPERATION
BETWEEN
KYRGYZ REPUBLIC'S
COMMUNITY DEVELOPMENT AND INVESTMENT AGENCY (ARIS)
AND
"OSHELEKTRO" OPEN JOINT STOCK COMPANY**

This Memorandum on cooperation (hereinafter – Memorandum) was drafted and signed in _____ on « ____ » _____ 2018 between:

- Community Development and Investment Agency of the Kyrgyz Republic (hereinafter ARIS) on behalf of the Executive Director Muktarov A. K. and
- *"Oshelektro" Open Joint Stock Company on behalf of General Director Daminov D.I.* hereinafter referred to as "Parties".

This Memorandum is signed to settle the Parties responsibilities during "CASA1000 Community Support Project" implementation financed by the International Development Association (IDA), Community and Capacity Development Support Program (MDTF).

The Parties are convinced that comprehensive cooperation between them will contribute to the *improvement of access to electric power supply* reflected in a number of villages with improved voltage and reduction of electric power supply shortage which in the end shall result in poverty reduction and economic growth in rural areas.

THE PARTIES AGREED ON THE FOLLOWING:

Part 1. Subject of Memorandum

- 1.1. The Parties will undertake joint actions aimed at the implementation of "CASA 1000 Community Support Project" according to the conditions and procedure established by this Memorandum and agreements signed between the Parties to carry out joint actions.
- 1.2. Relations between the Parties as business parties will be based on mutual respect, trust and strategic cooperation.

Part 2. The obligations of the Parties

2.1. ARIS is responsible to:

- Develop technically feasible options of sub-projects consistent with budget limitations based on community selection;
- Prepare detailed designs for the selected electric power supply facilities;
- Prepare technical specifications for the procured equipment;
- Procure required equipment and materials with further transfer to EC;

2.2. "Oshelektro" LLC is responsible to:

- Participate in preparation of terms of reference for the development of detailed design;
- Participate in preparation of technical specifications for the procured equipment;
- Accept from ARIS procured equipment and materials for further installation;
- Conduct construction and assembly works in sub-projects at the expense of EC and accept the assets to the balance after work completion;
- Develop operation and maintenance (O&M) plans;
- Subsequent ownership, operation and maintenance of the facilities;
- Apply similar mechanisms in implementing works required to extend electric power supply in new settlements.

Part 3. Other conditions

- 4.1. The Parties confirm their intention to cooperate and agree on actions with each other to increase the project implementation effectiveness.
- 4.2. The Parties also agreed on conducting joint meetings, exchanging and disseminating information on project implementation progress and results.
- 4.3. The Parties will take all measures to settle amicably all disputes and disagreements which may rise during the process of joint activities based on this Memorandum.
- 4.4. In case if the Parties have not agreed all disputes and disagreements shall be settled in accordance with the law of Kyrgyz Republic.

Part 4. Duration of the Memorandum

- 5.1. This Memorandum enters into force upon its signature by both Parties, and all ARIS and "Oshelektro" obligations within this Memorandum will be completed on the project completion day, August 30, 2022.
- 5.2. The Memorandum may be terminated by a written notification and shall cease to have effect after one month from the day of sending written notification on termination of the Memorandum by one of the Parties to the other. In this case the conditions of Memorandum termination are determined by the mutual consent of the Parties.

Part 5. Final provisions

- 6.1. Any amendments or supplements to this Memorandum shall be made in a written form as an addendum to the Memorandum and signed by both Parties.
- 6.2. This Memorandum is made in duplicate in Russian language both copies having equal legal power, one of the copies is kept by ARIS and the other copy is kept by "Oshelektro".

Signatures of the Parties:

On behalf of ARIS
 Executove director General director
 A.K. Muktarov

On behalf of "Oshelektro" LLC
 D.I. Daminov

 Date: « ____ » _____ 2018

 Date: « ____ » _____ 2018

B7: Travel Policy

ANNEX C: COMMUNITY ENGAGEMENT AND SOCIAL ACCOUNTABILITY PROCESSES

C1: Project Initiation Meetings

DIRECTIONS

This form records the results of each project initiation meetings. Meetings are led by ARIS and ARIS is responsible for recording data and entering information into the database. More than one meeting can be held in a given village, AA or Oblast.

DATA

Level of the
meeting

- ☐ Village
☐ AA
☐ Oblast

Check one. This describes
what kind of meeting was
held or the level of
administration attending

Name of village,
AA, or Oblast

Date of the
meeting

Total number of
participants

Include only the audience,
not presenters, i.e. ARIS staff.

Number of female
participants

Number of youth
participants

Main results

Summarize in one paragraph
the main results of the
meeting and who attended.

Village Resource
Mapping

Key Local Service
Providers

Unemployment Overall/
Unemployment Youth

Gaps in Major
Services

DATA ACCOUNTABILITY STATEMENT

Data has been provided by ARIS staff facilitating the meeting and is verified by an ARIS senior manager

To the best of my
knowledge the data
provided is complete and
accurate

Signature ARIS Staff Member

Date:

I have reviewed the data
provided and believe it is
complete and accurate and
can now be entered into
the database

Signature ARIS Manager

Date:

SUPPORTING DOCUMENTATION: Minutes will be uploaded into the M&E database

C2: Volunteer Nomination Form

DIRECTIONS

This form records meetings held to elect C-VIA members, facilitators, and reporters at Village levels. Each time a new representative is selected this form must be used again.

DATA ON THE MEETING

Name of village	<input type="text"/>	
Date of the meeting	<input type="text"/>	
Total number of participants	<input type="text"/>	Include only the audience, not ARIS staff.
Number of female participants	<input type="text"/>	
Number of youth participants	<input type="text"/>	

VOLUNTEER NOMINATIONS

List all candidates and the number of votes they received. If they were awarded the position and accepted it, mark the last column "Yes"

Name Of The Candidate	POSITION	NOMINATION ACCEPTED	
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No

DATA ACCOUNTABILITY STATEMENT

Data has been provided by ARIS staff facilitating the meeting and is verified by an ARIS senior manager

To the best of my knowledge the data provided is complete and accurate

Signature ARIS Staff Member

Date:

I have reviewed the data provided and believe it is complete and accurate and can now be entered into the database

Signature ARIS Manager

Date:

SUPPORTING DOCUMENTATION

Minutes will be uploaded into the M&E database

C3: CVIA Representative Records

DIRECTIONS

This form records names and biographical details of CVIA 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. If the representative is a woman check yes; if the representative is a youth check yes (otherwise leave blank)

DATA

Name of CVIA

Last name of representative	First name of representative	Village the representative is from	Gender and Youth	Level of education	Date selected	Date service ended
			<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
			<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
			<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
			<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		

DATA ACCOUNTABILITY STATEMENT

Data has been provided by the CVIA chief and is verified by the ARIS member serving the community

To the best of my knowledge the data provided is complete and accurate

Signature CVIA Chief

Date:

I have reviewed the data provided and believe it is complete and

Signature by ARIS Officer

Date:

C4: Village Representative Records

DIRECTIONS

This form records names and biographical details of village level representatives (facilitators and reporters). 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. If the representative is a woman check yes; if the representative is a youth check yes (otherwise leave blank)

Name of Village

DATA ON COMMUNITY FACILITATORS

Last name of the facilitator	First name of the facilitator	Gender and Youth	Level of education	Date selected	Date service ended
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		

Form continues on the next page

DATA ON VILLAGE REPORTERS

Last name of the reporter	First name of the reporter	Gender and Youth	Level of education	Date selected	Date service ended
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female <input type="checkbox"/> Youth	<input type="checkbox"/> Incomplete <input type="checkbox"/> High school <input type="checkbox"/> University		

DATA ACCOUNTABILITY STATEMENT

Data has been provided by the CVIA chief and is verified by the ARIS member serving the community

To the best of my knowledge the data provided is complete and accurate

Signature CVIA Chief

Date:

I have reviewed the data provided and believe it is complete and accurate and can now be entered into the database

Signature by ARIS Officer

Date:

C5: CVIA Formation

DIRECTIONS

This form records basic information about CVIAs. It includes information about its official registration, code of ethics, and bank account

DATA

List of villages covered		List all villages which are covered by the CVIA
Date charter was signed by all members		The charter describes the operations of the CVIA
Registration Number		
Date of Registration		Include only the audience, not presenters, i.e. ARIS staff.
Date Code of Ethics was signed by all members		
Date bank account was opened		
Name of bank		Summarize in one paragraph the main results of the meeting

DATA ACCOUNTABILITY STATEMENT

Data has been provided by ARIS staff facilitating the meeting and is verified by an ARIS senior manager

To the best of my knowledge the
data provided is complete and
accurate

Signature CVIA Chief

Date:

I have reviewed the data provided
and believe it is complete and
accurate and can now be entered
into the database

Signature ARIS Manager

Date:

SUPPORTING DOCUMENTATION: The following should be uploaded into the M&E database: (i) copy of registration; (ii) signed copy of the charter; (iii) signed copy of the code of ethics

C6: Youth Accountants

DIRECTIONS

This form records names and biographical details of Youth Accountants. It records the date they were selected and the date their service ended or was terminated. Each time a new accountant is selected, this form must be used to record the details of the new accountant. If the accountant is a woman check yes (otherwise leave blank)

Name of CVIA

DATA ON YOUTH ACCOUNTANTS

Last name of the facilitator	First name of the facilitator	Gender	Level of education	Date selected	Date service ended
		<input type="checkbox"/> Female	<input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female	<input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female	<input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female	<input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female	<input type="checkbox"/> High school <input type="checkbox"/> University		
		<input type="checkbox"/> Female	<input type="checkbox"/> High school <input type="checkbox"/> University		

DATA ACCOUNTABILITY STATEMENT

Data has been provided by the CVIA chief and is verified by the ARIS member serving the community

To the best of my knowledge the data provided is complete and accurate

Signature CVIA Chief

Date:

I have reviewed the data provided and believe it is complete and accurate and can now be entered into the database

Signature by ARIS Officer

Date:

C7: Documentation of Awareness Raising

C8: Form to Guide Needs Assessment

Instructions: The purpose of the needs assessment is to guide identify community priorities for the local development strategy. In instances where a local development strategy already exists, the needs assessment will update the local development strategy. All subgrants awarded under Component 1B will be based on needs directly identified through a participatory needs assessment. This form provides detailed instructions on how to conduct a needs assessment and record community feedback.

The needs assessment has four steps:

- (i) Brainstorm local needs;
- (ii) Score initial/existing condition of services/facilities; and
- (iii) Score and rank priority areas.

Step 1. Brainstorm local needs.

- The facilitator guides the community in assessing local needs.
- Ask the group “What are the characteristics of a community...(including local school, health center, roads, local government office)”?
- Emphasize that the goal is to identify “investments that will enhance the community” not “problems” or “issues.”
- Ask the group “Who will benefit from these investments?”
- Based on responses, agree on no more than 4-6 priority areas and list these in the box below.

Step 2. Score initial/existing condition of services/facility.

- As people to score existing condition of services/facility they identified.
- Rank the facility/service on a scale of 1 to 5.
- Explain to people know that the 1 implies that the facility/service is not working well or functional and 5 implies that it is functioning at an adequate level.
- Taking each criterion in turn, lead a group discussion about why participants gave the scores they did. It is critical to discuss the reasons for the scores.
- This rating will help the participants identify priority areas below.

Scoring of Initial/Existing Condition

Location:

Group:

Date:

Priority Area	Very Good 5 😊😊	Good 4 😊	OK 3 😐	Bad 2 😞	Very Bad 1 😞😞	Strengths	Weaknesses/ Problems
<i>Area 1</i>							
<i>Area 2</i>							
<i>Area 3</i>							
<i>Area 4</i>							

Step 3. Invite participants to score/rank the priority areas.

- The ranking of the priority area will be based on three factors: 1) area of greatest need; 2) Supports the majority of people living in the community; and 3) Feasibility of the project (to be determined by ARIS).
- Review the strengths and weaknesses above.
- Ask people to consider the rating above and select facility/services where there is a greatest need.
- Prioritization should be conducted as simply, quickly and democratically as possible. Experience shows that trying to identify priorities through group discussion and a show of hands is not effective, and tends to lead to domination by more powerful or outspoken participants.
- Ask people to ask who will benefit from investment in the facility. Document the priority area with who will benefit into two columns.

Priority Area Ranked by Need	Who will benefit	Votes
<i>Priority Area 1</i>		
<i>Priority Area 2</i>		
<i>Priority Area 3</i>		
<i>Priority Area 4</i>		
<i>Priority Area 5</i>		

- Based on these two factors, lead the participants in a collective voting to select the priority areas.
- The use of stickers is recommended. (If stickers are not available, small slips of paper that can be stuck on a piece of folded, double-sided masking tape next to each voting option can be used as a substitute.)
- Begin by creating a clear list of items among which participants are being asked to prioritize (by deleting any unfeasible items and combining items as necessary to avoid duplication) before beginning the prioritization process.
- Make sure that next to each item, there is room for participants to place stickers (or room to place a piece of folded masking tape on which participants can stick slips of paper)
- Give each participant three stickers (or slips of paper) that they can use to “vote” for the criteria or actions that they consider to be most important. Explain to participants that they can use their stickers to vote for up to three items that they consider priorities, or they can use all three stickers to vote multiple times for the same item if they feel strongly that this is the most important. If the initial list of criteria is not too long and it is only necessary to delete one or two to reduce the list to 4-6 priorities, then it can be easier to give each participant just 1-2 stickers and invite them to pick the criteria they feel are least important.
- Invite all participants to vote simultaneously (rather than lining up). This can look a bit “chaotic” but is much quicker (and more confidential) than lining up.
- Once everyone has voted (this should take no more than 5-10 minutes), the facilitators quickly count the number of votes for each item and identify the top five priority items, according to those that received the most votes.

C9: Record of Village Needs Assessment Meeting

DIRECTIONS

This form records the results of a village needs assessment, carried out as part of the participatory planning process. It is completed by community facilitators [XXX record issues identified?]

DATA

Name of village	<input type="text"/>	
List names of all facilitators	<input type="text"/>	List the content of the training
Date of the needs assessment	<input type="text"/>	
Total number of participants	<input type="text"/>	Include only community members.
Number of female participants	<input type="text"/>	Include only community members.
Number of youth participants	<input type="text"/>	Include only community members.
Summary of the results	<input type="text"/>	Write one paragraph summarizing the most important needs or list of problems

DATA ACCOUNTABILITY STATEMENT

Data has been provided by community facilitators, with one facilitator preparing the data and another verifying it

To the best of my knowledge the data provided is complete and accurate

Signature by lead facilitator

Date:

I have reviewed the data provided and believe it is complete and accurate and can now be entered into the database

Signature of second facilitator

Date:

SUPPORTING DOCUMENTATION: Upload signed participant list; upload the situation analysis

C10: Youth Development Plan

C11: Local Development Strategy

C12: C-VIA Meeting Minutes Template**Date:****Attending:****Key Discussion Items:**

-
-
-
-

Action Taken	Follow-up Necessary	Responsible	Target Date

Other Items:

C13: The Scorecard

C14: Social Audit Forms

ANNEX D: TERMS OF REFERENCE

D1: Terms of Reference for Project Coordination Committee (PCC)

1. Introduction

Mandate. The fundamental documents of the CSP are the Financial Agreement signed between IDA and KR Government, ratified by the KR legislation, the Project Operational Manual, also annual action plans, budgets and procurement plans, approved by IDA and Ministry of Finance.

Objective. The main objective of the Project Coordination Committee (PCC) is the supervision of the project's progress, provision of recommendation, and suggestions on ways to improve project management implementation. The PCC will adhere to the POM and provide oversight of the project based on the guidance in this POM.

improvement of implementing bodies work, and on approaches of project implementation. Meanwhile, the Project Coordination Committee must not make changes or additions to Project Operational Manual, interfere daily organization and financial issues of ARIS, AKF, and other CSP participants related to project implementation.

2. Membership

CSP PCC members will include:

- i. ARIS representative responsible for project implementation (this entity is the PCC chairman)
- ii. Osh Oblast State administration representative
- iii. Batken Oblast State administration representative
- iv. Dzhahal-Abad Oblast State administration representative
- v. One representative from each Osh, Batken, Dzhahal-Abad Oblasts
- vi. NEGK representative
- vii. "Osh-Electro" OJSC representative
- viii. "Dzhahal-Abad" OJSC representative
- ix. AKF representative

Final number and quality of CSP PCC members is approved by ARIS Executive Director after written approval of the World Bank.

3. Project Coordination Committee's rights and obligations

1. The CPS PCC is a consultative body. The Committee supervise the Project implementation progress based on target indicators, approved by the action plan and budget;
2. The CSP PCC reviews and discusses the information and the reports of ARIS, AKF, and other participants on project implementation progress and the achieved results, it also approves annual reports, annual action plans, and CSP budgets;
3. All proposals, initiatives, recommendations of CSP PCC must comply with CSP development objectives and tasks approved by annual action plan and budget, also with the abovementioned requirements of fundamental Project documents;
 4. If necessary, the CSP PCC may form a small working groups in order to resolve certain issues raised during the implementation that require coordination and expert support as from CSP PCC members, as well as from external experts. The Decisions on establishment of temporary working group with specific tasks are made at the CSP PCC meetings
 5. CSP PCC and its separate members must not make changes or additions to Project Operational Manual, interfere daily organization and financial issues of ARIS, AKF, and other CSP participants related to project implementation;
 6. Review, discuss the information of ARIS and AKF on project progress, annual action plans, information on project funds allocation;
 7. Review the project progress and objectives and tasks achievement specified in the Project Operational Manual and in annual action plans, approved by WB;

8. Conduct discussions and provide expert support related to project implementation improvement, introduction of new ideas and approaches.

b) PCC meetings decisions

1. All Decisions of CSP PCC in accordance with the rights and obligations described in section 3 are accepted by the majority of votes from the number of CSP PCC members participated at the meeting
2. The minutes of the PCC decisions is made, which is signed by CSP PCC chairman and each meeting secretary;
3. The signed minutes, written recommendations of CSP PCC, in a mandatory manner, are submitted to WB for review and if necessary for no-objection.
4. The minutes of the PCC decisions is made, which is agreed with all PCC members and PCC vised chairman;
5. The PCC decisions must not contradict with conditions of Financial Agreement between IDA and KR Government, and/or the approved POM

c) Frequency and logistics of holding meeting

1. CSP PCC meetings are conducted twice a year;
2. ARIS will act as the secretariat of CSP PCC, and is also responsible for preparation and holding the meetings;
3. The venue may be the project target oblasts upon agreement with PCC members if necessary;
4. CSP PCC members may receive from the Project the compensation for the costs, incurred due to participation at the CSP PCC meeting, i.e. transport expenses, accommodation, daily costs.

d) Financing the business trips of CSP PCC members and its meetings

1. The transport and business trips expenses and reimbursed to the CSP PCC members who incurred the expense for participating at the CSP PCC meetings and for field visits within the project area, in accordance with the current KR legislation and established Project financial procedures;
2. All expenses related to organization and holding of the meeting, target field visits of CSP PCC are reimbursed from CSP budget.

e) Other conditions

1. CSP PCC members do not receive salary, fee or other compensation from the Project for carrying out its activity as a member, and also they are not eligible to receive salary, fee or other compensation from any other source for carrying out its activity in CSP PCC;

f) Conflict of interest

1. CSP PCC members are not eligible to take part in tenders conducted within CSP as service, goods and works providers.

D2: Terms of Reference C-VIA & Charter

1.

D3: Draft Terms of Reference Youth Accountants**1. Overview**

The Youth Accountants are responsible for the daily financial management and book-keeping of the Corridor-Village Investment Association (C-VIA). Each C-VIA will have one accountant who will undertake basic accounting for the projects implemented by the C-VIA related to electricity improvements and social and economic infrastructure development. The Youth Accountant is responsible for preparing financial statements, maintaining accounts payable, and assisting in other office operations. The Youth Accountants may take on additional administrative and accounting tasks on an as-needed basis. The detailed tasks are outlined below.

2. Responsibilities

- Assist in maintaining the finances of the C-VIA;
- Assist in preparing the project budget;
- Prepare and reconcile bank statements;
- Process payment receipts;
- Assist in preparing income statements, monthly balance sheet; and
- Assist in overall office management.

3. Abilities and Skills

- Education and training: Completion of a basic book-keepers course
- Interest in a career in accounting;
- Willingness to commit to a two-year position;
- Computer skills; and
- Excellent verbal and written communication skills.

D4: Draft Terms of Reference for Volunteers

a. Youth Facilitators

1. Overview:

The CASA1000 Community Support Program will engage communities in the development of social and economic infrastructure in order to enhance services, livelihoods and inclusion in target villages near the CASA1000 Transmission Line. Youth Facilitators (YFs) are volunteers, who play a critical role in raising awareness and community empowerment and facilitate between the project's stakeholders. In particular, they will: 1) undertake critical project outreach to raise awareness about the project; 2) conduct local needs assessment; and 3) coordinate among the implementing agency, local authorities, and other actors involved in the project. YFs will be nominated and selected directly by the communities.

2. Key Responsibilities:

- **Outreach & Awareness Raising:** YFs will conduct outreach on key topics determined during the training. The YFs will employ innovative, participatory methods to pass on information within their communities and villages in their target area. The purpose of awareness raising will be to raise information about the project, various topics related to the improvement of social and economic infrastructure, livelihoods, and the empowerment of women. Through this outreach, YFs will encourage participation in the overall project, especially of women and other disadvantaged populations. The project's implementing agency will provide necessary training and mentorship.
- **Planning & Needs Assessment:** YFs will work with the communities to conduct a needs assessment in each of the 37 project communities. YFs will undertake a participatory process to lead the process, helping the communities to identify areas for electricity improvements and priorities for investments in social and economic infrastructure, as well as opportunities for livelihood development. YFs will be responsible for organizing and leading the meetings and documenting the outcomes of the discussion.
- **Coordination:** YFs will provide an overall coordination function through the project. This will entail helping the implementing agencies, local authorities, and other volunteers to organize community meetings when necessary, relay critical project information, and provide ongoing facilitation. The YFs will especially assist in coordinating the social accountability activities.

3. Skill & Experience Required:

- YFs will be independent, respected, and not have any political affiliation.
- YFs will be based in the local communities and able to volunteer their time for at least one year.
- YFs will have excellent communication skills.
- Experience working with NGOs and civil society is a plus.

4. Opportunities:

- YFs will receive training throughout the project on facilitation, coordination, and the local government structure.
- The service of YFs will be acknowledged by the local government through an official certificate.
- The project will also allow YFs an introduction into non-profit careers.

b. Youth Reporters

1. Overview:

Under the Community Engagement and Social Accountability Project will support the CASA1000 Community Support Program (CSP) through targeted social accountability activities. These activities will allow the community to monitor the projects implemented under CSP as well as assess the intended impact of the project. Youth Reporters (YRs) are critical actors in the project and will: 1) coordinate between the implementing agencies; local authorities, and the community and 2) coordinate social accountability activities, including the community scorecard (CSC) and social audit. The YRs will provide critical monitoring for the overall project, support community empowerment, and encourage the participation of different stakeholders, especially women and youth. The YRs will be directly nominated and selected by local communities.

2. Key Responsibilities:

- **Coordination:** YRs will importantly coordinate between the local community and the implementing agency regarding the projects. In particular, they will help to organize meetings to undertake social accountability activities. They will also serve as intermediaries overall, helping to convey the feedback of communities to the implementing agencies.
- **Social Accountability Activities:** The primary activity of the YRs will be to lead the social accountability activities, which will serve as the primary form of community monitoring of the main project activities. The implementing agency will provide training in these methods.
 - YRs will lead the CSC. The CSC is a way for the community to assess the projects implemented by the project that will contribute to developing the social and economic infrastructure within the target community corridor. The CSC is an opportunity for the service citizens or the beneficiaries of the project and the implementers to assess the service, identify gaps, and develop joint priorities for implementation.
 - The YRs will also implement a social audit. This will involve a participatory assessment of the various processes implemented by the project, including access to information, how well the project reflects the community priorities, financial management and procurement, and other aspects of the project. The parameters of the audit will be identified during implementation.

3. Key Skills and Experience Required:

- The YRs will be seen as independent actors, with no political affiliation, and well-respected by the community.
- They will be based in the local community and willing to volunteer under the project.
- YRs will be able to serve at least one year under the project.
- They will have excellent communication skills.

4. Opportunities:

- YRs will receive training throughout the project on facilitation, coordination, and the local government structure.
- The service of YRs will be acknowledged by the local government through an official certificate.
- The project will also allow YRs an introduction into non-profit careers.

c. Village Representatives

1. **Overview:** The CASA1000 Community Support Program will engage communities in the development of social and economic infrastructure in order to enhance services, livelihoods and inclusion in target villages near the CASA1000 Transmission Line. Village representatives have four main functions: 1) assist in encouraging recruitment of individuals for the key volunteer positions; 2) coordinate between the implementing agency and the community; 3) encourage villagers to participate, especially women; and 4) represent their communities in the scorecard process. Overall, the village representatives are critical to the success of the project.

2. Key responsibilities:

- **Recruitment of volunteer positions:** Village Representatives will work with the staff of the implementing agency to encourage nominations for the volunteer positions. Prior to the recruitment of volunteer positions, the representative will share information about the project and encourage people to nominate themselves. The representative will also help to identify appropriate people if people do not nominate themselves.
- **Coordination:** Throughout the project, the representatives will help the volunteers and the staff of the implementing agency to coordinate meetings and invite guests. The representatives will share critical information about the project, identify meeting venues, and invite the participants to attend.
- **Participation:** Throughout the project, the representatives will motivate people to participate by sharing information about the project and its intended benefits. The representatives in particular will encourage the participation of women.
- **Social Accountability:** The village representatives will participate in the social accountability activities

3. Skills and Qualifications:

- The village representatives will not have any political affiliations and will be seen as neutral and respected community leaders.
- The village representatives will be committed to the project for at least one year.

4. Opportunities:

- The contributions of the Village Representatives will be officially acknowledged by the local government officials.

D5: Terms of Reference — Field Staff

a. Community Development Support Officers

1. Overview:

The CASA1000 Community Support Program will engage communities in the development of social and economic infrastructure in order to enhance services, livelihoods and inclusion in target villages near the CASA1000 Transmission Line. The Community Development Support Officers (CDSO) will be at the front-lines of project implementation and responsible for: 1) Developing and implementing an awareness-raising strategy; 2) Recruiting and supporting the selection of volunteers; 3) Undertaking capacity-building; 4) Supporting the field activities including the needs assessment, development of the local development strategy, and social accountability activities and 5) Supporting the Corridor-Village Investment Agencies.

2. Key Responsibilities:

- **Awareness-Raising:** The CDSO will be responsible for awareness-raising. They will organize events at the Aiyi Okmotu, district, and community level to raise information about the project and the benefits of participating. The CDSO will organize the logistics of the meeting, invite participants, and work with the project coordinator to develop the meeting agenda. At the community level, the CDSO will lead the outreach meetings and share information about the project. In particular, the CDSO will work with the village representatives and community leaders to share information about the project.
- **Recruitment of Project Volunteers:** The CDSO will work with the community leaders to recruit the project volunteers. CDSOs will work with the village representatives to share information about the project and encourage suitable candidates to nominate themselves.
- **Capacity Building:** The CDSO will undertake capacity building for the project volunteers to strengthen the volunteers' understanding of the project and approach as well as awareness-raising strategies. The CDSO will also work with the volunteers on how to conduct a needs assessment as well as implement social accountability tools. The CDSO will shadow the volunteers and mentor them throughout the application process.
- **Support Field Activities:** The CDSO will backstop and support the field activities including the needs assessment, development of the local development strategy, and social accountability activities. In addition to leading workshops on various social accountability approaches, the CDSO will provide mentorship throughout the field activities. It is anticipated that they will strategically shadow and support the volunteers throughout implementation, providing them guidance on the various approaches, as well as helping them troubleshoot specific issues.
- **Support the C-VIAs:** Finally, the CDSOs will support the C-VIAs as necessary during their formation, helping them understand the project, how to manage and monitor projects, as well as seek the necessary approval.

3. Skills and Qualifications:

- CDSOs will have a B.A. in social work, political science, sociology or a related field.
- They will have 2-3 years of experience working with a nonprofit or civil society organization within the field.
- Exposure to participatory approach, community monitoring, and social accountability is highly desired

- A CDSO will have excellent verbal and written communication skills.

b. Project coordinator

1. Overview:

The CASA1000 Community Support Program will engage communities in the development of social and economic infrastructure in order to enhance services, livelihoods and inclusion in target villages near the CASA1000 Transmission Line. The Project Coordinator will manage the field operations. The main areas of responsibilities include: designing and implementing the overall awareness-raising strategy; 2) Managing relationships with government officials; 3) Contributing to the design and implementation of the project's capacity building activities ; and 4) Technical inputs into the strengthening of the Corridor-Village Investment Agencies.

2. Key Responsibilities:

- **Awareness-Raising:** The Project Coordinator will design and implement the awareness raising strategy based on the communication strategy outlined in the Project's Operational Manual. The Coordinator will contribute to the design, train the field staff, and contribute to its overall implementation. The Coordinator will lead all higher-level meetings with the government and share the project's intended outcome, approach, and activities.
- **Management of relationships with the government:** The Coordinator will work with his/her government counterparts to oversee all aspects of implementing. This will include coordinating between the engineering staff and the government counterparts, overseeing the process of permissions, as well as developing mechanisms to ensure smooth project implementation.
- **Capacity building** The Coordinator will provide technical inputs into the design of the capacity building and training program, working with the consultants recruited under the project.
- **Institutional Strengthening:** The Coordinator will contribute to the institutional development strategy for all C-VIAs. This will entail overseeing the implementation of the organizational assessment and development of appropriate strategies.

3. Skills and Qualifications:

- The position requires a M.A. in social work, political science, sociology or a related field.
- A successful candidate will have 6-8 years of experience working with a nonprofit or civil society organization within the field.
- The Coordinator will have experience implementing governance, participatory, civil society, and or social accountability projects.
- The Coordinator will have extensive experience working with the government.
- A background in organizational development is especially valued.

- c. Social mobilization and capacity building specialist
- d. Economical analysis specialist
- e. Disbursement specialist
- f. Procurement specialist
- g. M&E specialist
- h. Micro-project engineer
- i. Energy engineer
- j Media officer
- k Project assistant
- l. Regional coordinator
- m. Regional micro-projects engineer

D6: Terms of Reference — Community Engagement and Social Accountability Project Coordinator

The Aga Khan Foundation (AKF) is a private, international non-denominational and not-for-profit organization established in 1967 in Switzerland. The Foundation seeks to develop and promote creative solutions to long-standing global challenges including poverty, hunger, illiteracy, and disease. AKF implements a range of integrated interventions in rural development, education, and health, which are implemented in collaboration with and between community-based groups and local authorities. AKF is active in five oblasts in the Kyrgyz Republic, covering a total population of more than 520,000.

The World Bank has provided financing to the Government of the Kyrgyz Republic for a Community Support Project that will focus on communities living along the 450km CASA 1000 Transmission Line in the Ferghana Valley area of the Kyrgyz Republic, traversing three oblasts (Jalalabad, Osh, Batken) and estimated 22 Aiyl Aimaks. The CASA 1000 Community Support Project will support a series of energy, social and economic infrastructure investments in communities lying within the vicinity of the transmission line.

The “Community Engagement and Social Accountability” is a 4-year initiative that aims to complement those investments by supporting a range of activities to promote youth-focused community mobilization and social accountability activities, the aim of which is to ensure that: (i) communities, particularly youth and marginalized groups, are actively engaged in selecting poverty-focused project interventions; (ii) investments in social and economic infrastructure are those that have been most highly prioritized by communities; and (iii) all members of the target communities are provided with the information, facilitation, and capacity building necessary to make decisions that are needs-based, and inclusive of women, vulnerable, and poor households. The project will be implemented in partnership with the Community Development and Investment Agency (ARIS), appointed as the implementing agency by the Government of the Kyrgyz Republic, and will pilot an innovative youth-led approach to community mobilization and social accountability.

AKF is looking for a **Project Coordinator to lead the Community Engagement and Social Accountability (CESA) grant which** is designed to complement and work in parallel with the CASA 1000 Community Support Project (CSP).

Duty Station: Bishkek, Kyrgyz Republic with frequent travel to Osh.

Working Arrangement: Duration of the appointment: 30 months; Report to AKF Director Partnership and Program Development.

Duties and Accountabilities:

- Leadership over the project, ensuring a timely, efficient and effective delivery of activities in line with the timeframe and workplan, setting priorities and direction, maintain and value team spirit
- To act as the main point of contact for the regular coordination and collaboration with the Community Development and Investment Agency (ARIS) in terms of timeframes, implementation, and reporting.
- Overall planning of the project activities, including establishing a skilled, resourceful team for the management and local implementation of the project.
- Technical leadership and ongoing capacity building of local and national actors as to the goals and processes of the CESA part of the CSP project.
- Develop and nurture relationships with the stakeholders/partners/government institutions within the project and region
- Understanding of and commitment to the implementation of the project as set out in the Operations manual, and as agreed under the legal instruments for the project.
- Oversee and ensure effective project financial management and procurement
- Conduct regular monitoring of progress made towards the objectives and indicators set in the project through the organization of regular management meeting and field visits

- Prepare accurate and comprehensive reports on the project progress as per donor requirements and maintain communication with the donor on issues related to the implementation and management of the project
- Conduct field visits and spot checks, identify training needs for the project team and partner organizations essential for the implementation of the project activities and support skill development as required
- Ensure leadership over AKF's overall support and engagement with other CASA1000 CSP-related initiatives

Required Qualifications and Experience:

- Master Degree in Social Science/Management/Governance.
- 10 years of experience and proven background in development management and programming.
- At least 7 years of experience in community-driven development (CDD) programming with an excellent track record and references.
- Familiarity with World Bank requirements for project implementation and reporting is an advantage, or a track record working with other international development agencies in CDD.
- Previous experience in community mobilization, social accountability, peacebuilding.
- Solid understanding of community driven development, the voice and empowerment aspects of the CDD process and social accountability tools.
- Sound understanding of gender mainstreaming tools and approaches.
- Knowledge of the system on local governance in the Kyrgyz Republic.
- Excellent report writing capacity and computer literacy.
- Excellent communication skills with a high level of written and spoken English, Kyrgyz, and Russian.

D7: Terms of Reference — Field Facilitators

The **Aga Khan Foundation (AKF)** is a private, international non-denominational and not-for-profit organization established in 1967 in Switzerland. The Foundation seeks to develop and promote creative solutions to long-standing global challenges including poverty, hunger, illiteracy, and disease. Through its local partner, the Public Foundation Kyrgyzstan Mountain Societies Development Support Programme, AKF implements a range of integrated interventions in rural development, education, and health, which are implemented in collaboration with and between community-based groups and local authorities. AKF is active in five oblasts in the Kyrgyz Republic, covering a total population of more than 520,000.

AKF is looking for three **Field Facilitators for Community Engagement and Social Accountability (CESA) – Community Support Programme**. The CESA project is designed to complement and work in parallel with the CASA 1000 Community Support Programme (CSP), focusing on communities living along the 450km CASA 1000 Transmission Line in the Ferghana Valley area of the Kyrgyz Republic, traversing three oblasts (Jalalabad, Osh, Batken) and estimated 22 Aiyl Aimaks. The CASA 1000 Community Support Programme will support a series of energy, social, and economic infrastructure investments in communities lying within the vicinity of the transmission line. The CESA will complement those investments by supporting a range of activities to promote youth-focused community mobilization and social accountability activities, the aim of which is to ensure that: (i) communities, particularly youth and marginalized groups, are actively engaged in selecting poverty-focused project interventions; (ii) investments in social and economic infrastructure are those that have been most highly prioritized by communities; and (iii) all members of the target communities are provided with the information, facilitation, and capacity building necessary to make decisions that are needs-based, and inclusive of women, vulnerable, and poor households. The project will be implemented in partnership with the Community Development and Investment Agency (ARIS), and will pilot an innovative youth-led approach to community mobilization and social accountability.

Duty Station: Osh (1 position); Jalal-Abad (1 position) and Batken (1 Position), Kyrgyz Republic

Working arrangement: Report to the Project Coordinator; Expected to cover around 12 villages and to spend at 3 day/week in target communities.

Duties and Accountabilities:

- Coordinate and cooperate with ARIS at community level in delivering on CSP community mobilization activities
- Facilitate community mobilization activities, including : (i) technical advisory support to the project on community engagement, including a focus on social cohesion and conflict sensitivity; (ii) youth development; and (iii) leading and handing over innovative mechanisms for community mobilization
- Facilitate training events, exchanges, and workshops to support youth facilitators, Aiyl Okmotus, members of the Aiyl Kenesh and other community stakeholders
- Build the voice and agency of young women and men by supporting: (i) awareness-building activities; and (ii) social accountability activities to be carried out by young women and men within target communities. More specifically, the Facilitators will be responsible to: (i.a) Facilitate training for youth on forum theatres methodology; (i.b) Conduct debriefing sessions and follow-up mentoring with trainees; (i.c) Monitor the work of the trained actors; (ii.a) Train target youth in participatory monitoring; (ii.b) Provide training on social audits & community scorecards to target youth; (ii.c) Support citizen feedback process in each villages using social audit & community scorecard methodologies; (iii.a) Support the logistic of the community check meeting .
- Contribute to project progress reports
- Collection of data for the purposes of monitoring and evaluation

Required Qualifications and Experience:

- University Degree in Social Science/Management/Governance

- 3 - 4 years of experience in community mobilization, especially targeting youth, women, and marginalized groups, including experience working with NGOs/civil society organizations as well as for or with international organizations
- Community leadership and mentoring skills: able to support, motivate and liaise effectively
- Proven ability and experience in workshop and training facilitation and giving presentations in both formal and non-formal settings
- Basic understanding of social accountability tools, including community scorecards, social audits, public hearings an asset
- Sound cross-cultural, gender-sensitive, interpersonal and networking skills
- Ability to work independently and as part of a team
- Strong report writing capacity and computer literacy
- Excellent communication skills with a high level of written and spoken Kyrgyz and Russian

D8 Terms of Reference — Finance Specialist

The Aga Khan Foundation (AKF) is a private, international, non-denominational and not-for-profit organization established in 1967 in Switzerland by his Highness the Aga Khan. The Foundation seeks to develop and promote creative solutions to long-standing global challenges including poverty, hunger, illiteracy and disease. Through its local partner, the Public Foundation Kyrgyzstan Mountain Societies Development Support Programme, AKF implements a range of integrated interventions in rural development, education, and health, which are implemented in collaboration with and between community-based groups and local government authorities. AKF is active in five oblasts in the Kyrgyz Republic, covering a total population of more than 520,000 people. For more information, please refer to www.akdn.org

AKF is looking for a **Finance Specialist** for an anticipated project to support improvement in the performance and accountability of primary and secondary schools through a piloting approach that focuses on stimulating community awareness and engagement, and parent-school interaction, for improved student performance in selected poorest districts of the Kyrgyz Republic.

Duty Station: Bishkek City, Kyrgyzstan

Duties and Responsibilities.

- Maintaining the project records and accounts according to generally accepted accounting principles and practices and local legislation; ensuring that all project accounts maintained in accordance with the World Bank relevant regulations and guidelines;
- Establishing and operating adequate and reliable financial management system for the project, including financial planning and accounting system/software. Developing, maintaining and updating written procedures (Financial Management Manual or FM sections of the POM and other respective manuals for the project) for operation of the project accounting system;
- Maintaining procedures for collecting, checking and preparing documentation required for verifying Suppliers'/Contractors'/Consultants' invoices/payment requests. Recording payment documentation and payments to Suppliers/Contractors/Consultants. Preparing invoices for payments by verifying the invoice against contract terms and conditions; ensuring that all payments are made on a timely basis and according to contract terms and conditions as well as the WB relevant guidelines, regulations, legal agreements and other applicable documents;
- Maintaining contract management/monitoring system for the project in order to prevent payments against ineligible expenditures as well as overpayments under contracts, conducting regular reconciliations of the project bank account balances to the project accounts, as well as to the World Bank Client Connection system. Conducting regular foreign exchange revaluation of un-disbursed balances of the project funds;
- Ensuring the safety, accuracy and validity of bank guarantee letters, insurance certificates (or other warranty securities), verifying the accuracy, reliability and acceptability of the bank guarantee letters, insurance certificates (or other warranty securities), reconciling with the respective terms and conditions in contracts, and ensuring that those documents are kept in a safe place. Registering the recording the bank guarantee letters, insurance certificates (or other warranty securities) in a register and keeping track of the validity date in order to take appropriate action, if needed, before the validity date expiration.
- Preparing, and securing approval of the project's budgets based on the operating plans of the projects' components/sub-components; implementing financial planning in co-operation with the procurement specialist and other relevant project staff;
- Keeping up-to-date and accurate project accounts; maintaining fixed asset register for the equipment brought from the project funds;
- reviewing and verifying accuracy and validity of the micro-grants period financial reports and supporting documentation;
- ensuring the timely preparation of financial reports, progress and monitoring reports to the Kyrgyz Government and to donors, and providing the projects' internal and external auditors with all information, documentation and explanations required for the purposes of audit; ensuring that the project accounting system is reliable for preparation of the project's quarterly Interim Un-audited

Financial Reports (IFRs). Preparing and submitting to the World Bank regular IFRs in time and manner indicated in the legal agreements;

- Preparing the project annual financial statements to be audited and coordinating the audit arrangements of the project and cooperating with the auditors; ensuring 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;
- Managing the disbursement of the Project's funds, supervising the operation of the projects' Designated Account(s) and project accounts in accordance with World Bank procedures and local legislation requirements; preparing disbursement applications according to the World Bank and government procedures; establishing and managing the project's Designated Accounts; preparing requests for Special Commitments, opening Letters of Credit, preparing payment orders and making payments from the Designated Accounts; prepare all necessary documentation (WAs, SOEs, Summary Sheets, etc.) for submission to the World Bank to request for replenishment/recovery of the Designated Account(s) on timely basis;
- Cooperating with the World Bank missions in conducting regular financial management supervisions of the project and properly addressing the observations and recommendations provided;
- Liaising with the taxation, customs and social security agencies and other budgetary agencies in issues relating to Project implementation; estimating and making timely tax payments to the state budget;
- Performing project administrative duties as required to ensure that all contract files and procurement activities are complete and accurately reflect the financial status of each contract; performing filing and archiving of the accounting and financial documentation.

Required Qualifications and Experience:

- Higher Education or Master's Degree in Finance and/or accounting;
- At least 3 years of experience in finance and accounting of the not-for-profit organizations
- Experience in the World Bank -financed projects is an advantage
- Fluency in English. Oral and written proficiency in Kyrgyz and Russian;
- Good level of computer literacy (Windows-based programs such as Word, Excel, Power Point, etc.), experience in using of accounting software (1C software or similar).
- Knowledge of main requirements of the KR Tax and Labor Codes.

ANNEX E: TECHNICAL FORMS

E3: Community Project Cycle Forms (PC1-11)

E4: Training & Capacity Building Forms (T1-2)

E5: Human Resources Forms (HR1-2)

E6: Procurement Forms (P1-7)

E7: TA Reporting Forms (TA1-2)

E8: GRM Grievance/Inquiry Record

GRIEVANCE/INQUIRY RECORD (Form A)				
<i>Instructions: This form is to be completed by staff receiving the inquiry or grievance and sent to the [GRM MANAGER] at the national office. Attach any supporting documentation/letters as relevant.</i>				
Date Grievance Received:			Name of Staff Completing Form:	
Grievance Received (check v): <input type="checkbox"/> National <input type="checkbox"/> Oblast <input type="checkbox"/> Raion <input type="checkbox"/> Ayil Aimak <input type="checkbox"/> Village				
Mode of Filing Inquiry or Grievance (check v): <input type="checkbox"/> In person <input type="checkbox"/> Telephone <input type="checkbox"/> E-mail <input type="checkbox"/> Phone Text Message <input type="checkbox"/> Website <input type="checkbox"/> Grievance/Suggestion box <input type="checkbox"/> Community meeting <input type="checkbox"/> Public consultation <input type="checkbox"/> Other _____				
Name of Person Raising Grievance: <i>(information is optional and always treated as confidential)</i>				
Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female				
Address or contact information for Person Raising Grievance: <i>(information is optional and confidential)</i>				
Location where grievance/problem occurred [write in]				
National:	Oblast:	Raion:	Ayil Aimak:	Village:
Brief Description of Grievance or Inquiry: <i>(Provide as much detail and facts as possible)</i>				
	Category 1	Social Safeguards, including compensation disputes, land allocation and delays in compensation		
	Category 2	Environmental Safeguards		
	Category 3	Grievances regarding violations of policies, guidelines and procedures		
	Category 4	Grievances regarding contract violations		
	Category 5	Grievances regarding the misuse of funds/lack of transparency, or other financial management concerns		
	Category 6	Grievances regarding abuse of power/intervention by project or government officials		
	Category 7	Grievances regarding PIU staff performance		
	Category 8	Reports of force majeure		
	Category 9	Suggestions		
	Category 10	Appreciation		
Who should handle and follow up on the grievance:				
Progress in resolving the grievance (e.g answered, being resolved, settled)/Proposed timeframe:				
Other Comments:				

E9 GRM Notification Form

GRIEVANCE ACKNOWLEDGEMENT (Form B)	
<i>Instructions: This form is to be completed by the [GRM MANAGER] and mailed or delivered to the complainant.</i>	
Date Grievance Received:	Tracking Number:
Grievance Received (check v): <input type="checkbox"/> National <input type="checkbox"/> Oblast <input type="checkbox"/> Raion <input type="checkbox"/> Ayil Aimak <input type="checkbox"/> Village	
Mode of Filing Inquiry or Grievance (check v): <input type="checkbox"/> In person <input type="checkbox"/> Telephone <input type="checkbox"/> E-mail <input type="checkbox"/> Phone Text Message <input type="checkbox"/> Website <input type="checkbox"/> Grievance/Suggestion box <input type="checkbox"/> Community meeting <input type="checkbox"/> Public consultation <input type="checkbox"/> Other _____	
Name of Person Raising Grievance: <i>(information is optional and always treated as confidential)</i>	
Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	
Contact information for the Person Raising Grievance: <i>(information is optional and confidential)</i> Email: Phone: Address:	
Deadline for Response from DWLI (60 days from date grievance received):	

E10: Environmental Social Management Plans (ESMP)

E11: Environmental and Social Impacts and Mitigation Measures

E12: Resettlement Policy Framework (RPF)

ANNEX F FINANCIAL MANAGEMENT DOCUMENTS AND FORMS

F1: Terms of Reference Annual Audit

TERMS OF REFERENCE (TOR)
FOR THE AUDIT OF THE [NAME OF PROJECT] FOR THE YEAR (PERIOD) ENDED [MONTH DATE, YEAR]

Background [OPTIONAL]

The TOR should provide appropriate background information of the project, including:

- (a) a brief description of the project including information on project sources of funding;*
- (b) a general description of implementation arrangements, including the organizational structure of all implementing entities (if more than one);*
- (c) list the source and total amount of funds for the period subject to audit under this TOR (Bank's loan/credit, trust funds, counterpart funds, etc).*

Objective

The objective of the audit of the project financial statements (PFS) is to enable the auditor to express a professional opinion on the project's financial position as at the end of [AUDIT REFERENCE DATE] and of the income and expenditure for the accounting period ending on that date. The project's books of account provide the basis for preparation of the financial statements and are established to reflect the financial transactions in respect of the project.

Responsibility for preparation of financial statements

The responsibility for the preparation of financial statements including adequate disclosure is that of the project's management. This includes the maintenance of adequate accounting records and internal controls, the selection and application of accounting policies, and the safeguarding of the assets of the project. As part of the audit process, the auditor will request from management written confirmation concerning representations made to us in connection with the audit.

Scope

The audit will be conducted in accordance with [International Standards on Auditing](#) (ISA) published by the International Auditing and Assurance Standards Board of the International Federation of Accountants (IFAC). Those Standards require that the auditor plans and performs the audit to obtain reasonable assurance about whether the financial statements are free of material misstatements. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation.

In complying with ISA, the auditor is expected to pay particular attention to the following matters, including special considerations for public sector entities:

- a) In planning and performing the audit to reduce audit risk to an acceptably low level, the auditor should consider the risks of material misstatements in the financial statements due to fraud as required by [International Standard on Auditing 240: The Auditor's Responsibilities Relating to Fraud in an Audit of Financial Statements](#).
- b) When designing and performing audit procedures and in evaluating and reporting the results thereof, the auditor should recognize that noncompliance by the entity with laws and regulations may materially affect the financial statements as required by [International Standard on Auditing 250: Consideration of Laws and Regulations in an Audit of Financial Statements](#).
- c) The auditor should communicate audit matters of governance interest arising from the audit of financial statements to those charged with governance of an entity as required

by [International Standard on Auditing 260: Communication with Those Charged with Governance](#).

- d) The auditor should communicate appropriately to those charged with governance and management deficiencies in internal control that the auditor has identified in an audit of financial statements as required by [International Standard on Auditing 265: Communicating Deficiencies in Internal Control to Those Charged with Governance and Management](#).
- e) In order to reduce audit risk to an acceptably low level, the auditor should determine overall responses to assessed risks at the financial statement level, and should design and perform further audit procedures to respond to assessed risks at the assertion level as required by [International Standard on Auditing 330: The Auditor's Response to Assessed Risks](#).
- f) In instances where certain aspects of an entity's operations are performed by a third party service provider, the auditor is expected to include an understanding and assessment of the internal control environment of the service provider during the audit process as required by [International Standard on Auditing 402: Audit Considerations Relating to an Entity Using a Service Organization](#).
- g) As part of the audit process, the auditor is expected to obtain written representations from management and, where appropriate, those charged with governance as required by [International Standard on Auditing 580: Written Representations](#).

In evidencing compliance with agreed project financing arrangements the auditor is expected to carry out tests to confirm that:

- a) External funds have been used in accordance with the conditions of the relevant general conditions, relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which the financing was provided. Relevant general conditions and financing agreements are [CITE RELEVANT GENERAL CONDITIONS AND FINANCING AGREEMENTS];
- b) Counterpart funds have been provided and used in accordance with the relevant general conditions, relevant financing agreements, and only for the purposes for which they were provided;
- c) Goods and services financed have been procured in accordance with the relevant general conditions and relevant financing agreements, including specific provisions of the World Bank Procurement Guidelines^{8,9};
- d) Necessary supporting documents, records, and accounts have been kept in respect of all Project ventures including expenditures reported via Summary Report or Statements of Expenditures (SOEs), or Designated Accounts (DAs). The auditor is expected to verify that respective reports issued during the period were in agreement with the underlying books of account;
- e) Where Designated Accounts have been used, they have been maintained in accordance with the provisions of the relevant general conditions and relevant financing agreements;
- f) Review the compliance on each of the financial covenants in the [STATE SPECIFIC SECTION OF LOAN/FINANCING AGREEMENT and list, as necessary].

⁸ Depending on the complexity of procurement activities, the auditor may consider involving technical experts during the audit engagement. In cases where such experts are involved, the auditor is expected to comply with provisions of [International Standard on Auditing 620: Using the Work of an Auditor's Expert](#). Consideration to use of the work of experts should be brought to the early attention of the borrower and the World Bank for mutual agreement and appropriate guidance.

⁹ See [Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants - January 2011](#) and [Guidelines: Selection and Employment of Consultants under IBRD Loans & IDA Credits & Grants by World Bank Borrowers - January 2011](#).

Project Financial Statements

The Project Financial Statements should include as a minimum the information required by the 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). These would include

- a) A Summary of Funds received, showing the World Bank, Project funds from other donors, and counterpart funds separately.
- b) A Summary of Expenditures paid in cash, shown under the main project headings and by main categories of expenditures, both for the current fiscal year and accumulated to-date;
- c) Accounting policies and explanatory notes¹⁰ (including additional accounting policies and disclosures), covering
 - a Summary of Summary Reports or SOEs used as the basis for the submission of withdrawal applications in the notes, as appropriate;
 - a Statement of Designated Account in the notes, as appropriate;
 - a Statement of Financial Position showing Accumulated Funds of the Project, bank balances, other assets of the Project, and liabilities, if any; and
- d) When the entity makes publicly available its approved budget, a comparison of budget and actual amounts either as a separate additional financial statement or as a budget column in the statement of cash receipts and payments.

Summary Reports or Statement of Expenditures

The auditor is required to audit all Summary Reports or SOEs submitted to the World Bank in support of requests for periodic replenishment of the project designated account(s). Expenditures should be examined for eligibility based on criteria defined in the terms of the financing agreement and detailed in the Project Appraisal Document. Where ineligible expenditures are identified as having been included in withdrawal applications and reimbursed, they should be separately reported.

The Project Financial Statements should include a schedule listing of individual Summary Reports or SOEs withdrawal applications by specific reference number and amount.

The auditor should pay particular attention as to whether:

- a) the Summary Reports or SOEs have been prepared in accordance with the provisions of the relevant financing agreement.
- b) expenditures have been made wholly and necessarily for the realization of project objectives.
- c) information and explanation necessary for the purpose of the audit have been obtained;
- d) supporting records and documents necessary for the purpose of the audit have been retained, and
- e) the Summary Reports or SOEs can be relied upon to support the related withdrawal applications.

Designated Accounts

During the audit of the project financial statements, the auditor is required to review the activities of the project’s designated account(s). Activities to be examined will include deposits received, payments made, interest earned and reconciliation of period-end balances.

¹⁰ The explanatory notes should include reconciliation between the amounts shown as “received by the project from the World Bank” and that disbursed by the Bank and a summary of movements on the project’s Designated Account.

The auditor should pay particular attention as to the compliance with the Bank's procedures and the balances of the Designated Accounts at the end of the fiscal year [OR PERIOD] and the adequacy of internal controls for this type of disbursement mechanism.

Audit Reports

The auditors will issue an audit opinion on the Project Financial Statements.

In addition to the audit opinion, the auditor will prepare a "management letter," in which the auditor will:

- a) provide comments and observations on the accounting records, systems, and controls that were examined during the course of the audit;
- b) identify specific deficiencies and areas of weakness in systems and controls and make recommendation for their improvement;
- c) report on instances of non-compliance with the terms of the financial agreement(s);
- d) quantify and report expenditures that are considered to be ineligible and either paid out of the designated account(s) or which have been claimed from the World Bank;
- e) communicate matters that have come to their attention during the audit which might have a significant impact on the implementation of the project;
- f) bring to the borrower's attention any other matters that the auditor considers pertinent; and
- g) include management's comments in the final management letter.

If none of the above applies, and a management letter is therefore not prepared, the auditor will issue a letter stating that during the audit nothing has come to their attention that the auditor considers pertinent to be brought to the attention of the borrower. The financial statements, including the audit opinion, and management letter should be received by the Project implementing agency, no later than six months after the end of the audited fiscal year. The Project's implementing agency should then promptly forward two copies of these to the World Bank.

Public Disclosure

In accordance with "The World Bank (the Bank) Policy on Access to Information" dated July 1, 2010 for Bank-financed operations for which the invitation to negotiate is issued on or after July 1, 2010, the Bank requires that the borrower makes the audited financial statements publicly available in a timely fashion and manner acceptable to the Bank. **In addition**, following the Bank's formal receipt of these financial statements from the borrower, the Bank makes them available to the public in accordance with this policy.

Management Letters, special audits (i.e. whose nature is not financial), and unaudited financial statements (e.g. Interim Financial Reports) are not considered to be a part of the definition of the audited financial statements for the purposes of disclosure.

Only in exceptional cases the Bank may agree—i.e., when the audited financial statements contain proprietary or commercially sensitive information—that the borrower or designated project entity may be exempted from disclosing the full set of audited financial statements, but is still required to disclose an abridged version of them in a form acceptable to the Bank.

Exceptions are approved by World Bank management.

General

The responsibility for the preparation of financial statements including adequate disclosure is that of the management of the [PROJECT IMPLEMENTING AGENCY]. As part of the audit process, the auditor will request from management written confirmation concerning representations made to the auditor in connection with the audit.

The auditor is entitled to unlimited access to all information and explanations considered necessary to facilitate the audit including legal documents, project preparation and supervision reports, reports of reviews and investigations, correspondences, and credit account information. The auditor may also seek written confirmation of amounts disbursed and outstanding in the Bank records.

The auditor is encouraged to meet and discuss audit related matters including input to the audit plan with the World Bank project task team.

It is highly desirable that the auditor become familiar with the relevant World Bank guidelines, which explain the Bank's financial reporting and auditing requirements. These guidelines include:

- Reference Material to the Financial Management Manual for World Bank-Financed Investment Operations (March 2010): *RM 3 - Financial Reporting and Auditing*;
- [Disbursement Handbook for World Bank Clients](#), dated May 2006 (available on Client Connection web site);
- [Disbursement Guidelines for Projects](#), dated May 2006 (available on Client Connection web site).
- [Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants - January 2011](#).
- [Guidelines: Selection and Employment of Consultants under IBRD Loans & IDA Credits & Grants by World Bank Borrowers - January 2011](#).

This term of engagement will remain effective for future fiscal years unless it is terminated, amended or superseded.

The auditor should understand that working papers under World Bank project can be subject to the review by Client's and/or World Bank designated staff.

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F2.1: Loan Disbursement**Loan:** IDAXXX**Status:** Disbursing**Country:** Kyrgyz Republic**Project:** CASA1000 Community Support Project

Exchange rate as of [31 December] e.g.

US\$1 = SDR 0.702

SDR 1 = US\$ 1.424

Category No.	Category Description	Allocated Amount in XDR	Disbursed Amount in XDR	Undisbursed Amount in XDR	Undisbursed Amount in USD	Committed Amounts in USD	Uncommitted Amounts in USD
1	Goods, works, consulting services, non-consulting services, and training under Part A of the Project						
2	Goods, works, consulting services, non-consulting services and training under Part B of the Project						
	Designated Account A						
	Designated Account B						

F2.2: Format of IFR Reports under CSP

CSP Credit XXX2-KG; CSP Grant XXX-KG Printed:

Government of Kyrgyz Republic

ARIS: CASA1000 Community Support Project

Credit # 5762-KG; Grant # D101-KG

Sources and Uses of Funds (by categories)

For the period from xx.xx.20.xx to yy.yy.20yy

(in US Dollars)

	Current Quarter	Year-To- Date	Cumulative
Opening Cash balances	0,00	0,00	0,00
IDA	0,00	0,00	0,00
Designated Account A Grant	0,00	0,00	0,00
Designated Account B Credit	0,00	0,00	0,00
Transit Account Grant	0,00	0,00	0,00
Transit Account Credit	0,00	0,00	0,00
GOK	0,00	0,00	0,00
Government Account	0,00	0,00	0,00
Other Accounts	0,00	0,00	0,00
Interest Account	0,00	0,00	0,00
Tender Account	0,00	0,00	0,00
Add: Sources of Funds	0,00	0,00	0,00
IDA Funds	0,00	0,00	0,00
- Initial Deposit	0,00	0,00	0,00
- DA&SOE	0,00	0,00	0,00
Direct Payment	0,00	0,00	0,00
Special Commitment	0,00	0,00	0,00
Government Funds	0,00	0,00	0,00
- In Cash	0,00	0,00	0,00
Other Accounts	0,00	0,00	0,00
Interest Account	0,00	0,00	0,00
Tender Account	0,00	0,00	0,00
Cash Available	0,00	0,00	0,00
EXPENDITURES			
(1) Goods, works, consulting services, non-consulting services and training under Parts 1(a) and 2 of the Project	0,00	0,00	0,00
(2) Goods, works, consulting services, non-consulting services and training under Part 1(b) of the Project	0,00	0,00	0,00
(3) Goods, consultants' services and additional operational costs under Part 3 of the Project	0,00	0,00	0,00
TOTAL EXPENDITURES	0,00	0,00	0,00
Banking Commission	0,00	0,00	0,00
Cash Available Less Expenditures	0,00	0,00	0,00
Add: Foreign Exchange Difference	0,00	0,00	0,00
Net cash available	0,00	0,00	0,00
Closing Cash balances	0,00	0,00	0,00

PART B: Annexes and Forms

IDA	0,00	0,00	0,00
Designated Account A Grant	0,00	0,00	0,00
Designated Account B Credit	0,00	0,00	0,00
Transit Account Grant	0,00	0,00	0,00
Transit Account Credit	0,00	0,00	0,00
GOK	0,00	0,00	0,00
Government Account	0,00	0,00	0,00
Other Accounts	0,00	0,00	0,00
Interest Account	0,00	0,00	0,00
Tender Account	0,00	0,00	0,00
Total closing cash	0,00	0,00	0,00

F2.3: Use of Funds

Date of Print:

Government of Kyrgyz Republic

ARIS: CASA1000 CSP

Credit # XXX-KG; Grant # XXX-KG

Uses of Funds by Component and Expenditure Type

For period from xx.xx.20xx to yy.yy.20yy

(in USD)

Project Components	Actual			Budget			Variance		
	Current Quarter	YTD	Cumulative	Current Quarter	YTD	Cumulative	Current Quarter	YTD	Cumulative
Component 1	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
(a) Sub-component A1:	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Goods	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Works	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Consulting services	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Non-consulting services	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Training	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
(b) Sub-component A2:	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Goods	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Works	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Consulting services	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Non-consulting services	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Training	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Component 2	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Training	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Component 3:	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Goods	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00

PART B: Annexes and Forms

<i>Consultant's services</i>	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
<i>Operating costs</i>	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
Total Project Expenditure	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00

F2.4: Statement of Project Financial Position

Project Name CASA1000 CSP
 Project/Credit/Loan XXX-KG#Grant # XXX-KG
A Statement of the Project Financial Position
 as at _____, 20__

		In USD
<u>Cash and cash equivalents:</u>		
Designated Account A Grant	x	0,00
Designated Account B Credit	x	0,00
Transit Account Grant	x	0,00
Transit Account Credit	x	0,00
Interest Account	x	0,00
Tender Account	x	0,00
		0,00
Project expenditures		0,00
Foreign exchange difference (if net loss)		0,00
Total assets		0,00
<u>Funding:</u>		
IDA	x	0,00
Interest Account		0,00
Tender Account		0,00
		0,00
Foreign exchange difference (if net income)		0,00
Total liabilities		-

NOTES:

ARIS: CASA1000 Community Support Project
Designated Account Statement
 Grant #IDA XXX
 as at _____, 20__

		In USD
1	Opening Balance as at xx.xx.20xx	0,00
	Add:	0,00
2	Cumulative unexplained discrepancy	
3	IDA advance/replenishment during the current semester	0,00
4	Less: Refund to IDA from DA during the current quarter	
5	Present outstanding amount advanced to DA	0,00
6	DA closing balance as at yy.yy.20yy carried forward to next period	0,00

7	Add: Amount of eligible expenditures paid during the current quarter	0,00
8	Service charges (if debited into DA)	
9	Less: Interest earned (if credited into DA)	
10	Total advance accounted for	0,00
11	Discrepancy(5)-(10) to be explained /II	-

Designated Account Statement

Credit # XXX-KG

as at _____, 20__

		In USD
1	Opening Balance as at xx.xx.20xx	0,00
	Add:	0,00
2	Cumulative unexplained discrepancy	
3	IDA advance/replenishment during the current semester	0,00
4	Less: Refund to IDA from DA during the current quarter	
5	Present outstanding amount advanced to DA	0,00
6	DA closing balance as at yy.yy.20yy carried forward to next period	0,00
7	Add: Amount of eligible expenditures paid during the current quarter	0,00
8	Service charges (if debited into DA)	
9	Less: Interest earned (if credited into DA)	
10	Total advance accounted for	0,00
11	Discrepancy(5)-(10) to be explained /II	-

SOE Withdrawal Schedule
for the period from xx.xx.20xx to yy.yy.20yy

W/A	Expenditure categories				Total
	(1) Goods, works, consulting services, non-consulting services and training under Parts 1(a) and 2 of the Project	(2) Goods, works, consulting services, non-consulting services and training under Part 1(b) of the Project	(2) Goods, works, consulting services, non-consulting services and training under Part 1(b) of the Project	DA Deposit	
1					

2					
		0		-	-



F2.5 Letter with Authorized Signatures

On CVIA	To: ARIS Executive Director
Hereby we notify you on the goals of Contract No. _____, The below representatives have an authority to sign Withdrawal application.	
XXX CVIA? of the AA _____	Authorized signature
XXX CVIA?'s Office subprojects manager	Authorized signature
General Director	Authorized signature
Managing accountant	Authorized signature
XXX CVIA? of _____ AA	
Date	

F2.6: Template of a Supporting Letter

<p>XXX CVIA? Office's headed paper</p> <p>To ARIS Executive Director/or CSP Coordinator</p> <p>XXX Office of _____AA is kindly asking you to provide remuneration to Contractor _____ for the works accomplished during the period from ____ to ____ 20____, under Contract No. _____,</p> <p>At the amount of KGS_____.</p> <p>XXX CVIA?</p> <p>Name, signature</p>
--

F2.7 Sample of Supporting Letter for Advance Payment

On municipality's letter-head stationary

To: ARIS Executive Director

Municipality_____ is kindly asking you to pay to Contractor _____
Advance payment under Contract No. in the amount of (____) KGS Invoice No. _____ dated

XXX CVIA?

Name, signature

F2.8 Sample of A Supporting Letter for Advance Payment

On municipality's letter-head stationary

To: ARIS Executive Director

Municipality_____ is kindly asking you to pay to Contractor _____

Advance payment under Contract No. in the amount of 37% of IDA share (____) KGS and 63% of GoK's
share (____) KGS

Invoice No. _____ dated

F2.9 (Advance payment) under Component 1

Invoice No. 1 for " ____ " _____ 20 ____		
Client: Works: Contractor: TIN No.: Contract No.: Contract amount: Contract date: Contract completion date: Contractor's bank details: Transaction account No.: Currency: (KGS)		
Advance payment	Advance payment amount according to contract (not over 20% of the contract amount)	0,00
Total payable:		0,00
IDA cofinancing: 100%		
Amount in writing: _____ KGS		
General Director		
Managing accountant		
Stamp here		

Approved by:

XXX CVIA? of _____ AA (or authorized person)

name, signature

Approved by:

XXX CVIA? Office's subprojects manager

name, signature

ARIS Technical Supervision

name, signature

Approved by:

Infrastructure engineer

name, signature

Note:

a) Bank transaction account – 16 symbols

b) BIC - 6 symbols

c) TIN No. -14 symbols.

F2.10 Invoice (Advance payment) under Component A. 2

Invoice No. 1 for “___” _____ 20___		
Client: Works: Contractor: TIN No: Contract No.: Contract amount: Contract date: Contract completion date: Contractor's bank details: Transaction account No.: Currency: (KGS)		
Advance payment	Advance payment amount according to contract (not over 20% of the contract amount)	0,00
	Advance payment provided by IDA (37% of the advance payment amount)	0,00
	Advance payment provided by GoK (63% of the advance payment amount)	0,00
Total payable:		0,00
IDA cofinancing : 37%		0,00
GoK cofinancing : 63%		0,00
Amount in writing: _____ KGS		
General Director		
Managing accountant		
Stamp here		

Approved by:
 XXX CVIA? of _____ AA (or authorized person) name, signature

Approved by:
 XXX CVIA? Office's subprojects manager name, signature

ARIS Technical Supervision name, signature

Approved by:
 Infrastructure engineer name, signature

Note:

- a) Bank transaction account – 16 symbols
- b) BIC - 6 symbols
- c) TIN No. -14 symbols.

F.2.11 Invoice under Component 1

Invoice No. 2		
for "___" _____ 20__		
Client:		
Works:		
Contractor:		
TIN No.:		
Contract No.		
Contract amount:		
Contract date:		
Contract completion date		
Contractor's bank details:		
Transaction account No.:		
Currency: (KGS)		
Advance payment	Advance payment amount according to contract (not over 20% of the contract amount)	0,00
	Advance payment provided by IDA (37% of the advance payment amount)	0,00
	Advance payment provided by GoK (63% of the advance payment amount)	0,00
Accomplishment		
	Including the current period	0,00
	Cumulative total amount of accomplished works:	0,00
Deduction	Total:	0,00
	Payment of advance amount –XX %	0,00
	Deduction of guarantee amount-5%	0,00
Total payable:		0,00
IDA cofinancing - 37%		0,00
GoK cofinancing - 63%		00
Amount in writing: _____ KGS		
General Director		
Managing accountant		
Stamp here		

Approved by:

XXX of _____ AA (or authorized person)

name, signature

Approved by:

XXX Office's subprojects manager

name, signature

ARIS Technical Supervision

name, signature

Approved by:

Infrastructure engineer

name, signature

Note:

a) Bank transaction account – 16 symbols

b) BIC - 6 symbols

c) TIN No. -14 symbols.

F2.12 Invoice under Component 2 and 3

Invoice No. 2 for “ ” 20		
Client: Works: Contractor: TIN No.: Contract No.: Contract amount: Contract date: Contract completion date Contractor's bank details: Transaction account No.: Currency: (KGS)		
Advance payment	Advance payment amount according to contract (not over 20% of the contract amount)	0,00
	Advance payment provided by IDA (37% of the advance payment amount)	0,00
	Advance payment provided by GoK (63% of the advance payment amount)	0,00
Accomplishment		
	Including the current period	0,00
	Cumulative total amount of accomplished works:	0,00
Deduction	Total:	0,00
	Payment of advance amount –XX %	0,00
	Deduction of guarantee amount-5%	0,00
Total payable:		0,00
IDA cofinancing - 37%		0,00
GoK cofinancing - 63%		0,00
Amount in writing: _____ KGS		
General Director		
Managing accountant		
Stamp here		

Approved by:

XXX of _____ (or authorized person)

name, signature

Approved by:

XXX Office's subprojects manager

name, signature

ARIS Technical Supervision

name, signature

Approved by:

Infrastructure engineer

name, signature

Note:

a) Bank transaction account – 16 symbols

b) BIC - 6 symbols

c) TIN No. -14 symbols.

F.2.13 Statement of Accomplished Works under Component 12

Approved for payment by:
XXX CVIA?

" " 20__

Statement of Accomplished Works No. 1

For period: from 20__ to 20__

facility " "

Contract No. _____

Contractor _____

№	Project works and costs	Unit	Contract details			Actual accomplishment					
			Number	Unit price (KGS)	Amount (KGS) inclusive of VAT/taxes	Number			Amount including VAT/taxes		
						Previous	For reporting amount	Cumulative total	Previous	For reporting amount	Total
1	2	3	4	5	6	7	8	9	10	11	12

Contractor:

General Director _____

Approved by:

ARIS Technical Supervision engineer _____

Approved by:

XXX Office's subprojects manager _____

ARIS Infrastructure engineer _____

F.2.14 Disbursements made for the reporting periods under the contracts subject to prior review by the Bank

Contract No.	Contractor	Contract date	Contract amount	Date of NO of the Contract by the Bank	Amount paid to the Contractor for the reporting period	Share of the World Bank in the amount paid to the contractor for the reporting period

F2.15 Designated Account Reconciliation Statement

LOAN/CREDIT/PPF/COFINANCIER NUMBER _____
 ACCOUNT NUMBER _____ WITH (BANK) _____

1. TOTAL ADVANCED BY WORLD BANK (OR COFINANCIER) \$ _____
2. LESS: TOTAL AMOUNT RECOVERED BY WORLD BANK - \$ _____
3. EQUALS PRESENT OUTSTANDING AMOUNT ADVANCED TO
 THE DESIGNATED ACCOUNT (NUMBER 1 LESS NUMBER 2) = \$ _____

=====

4. BALANCE OF DESIGNATED ACCOUNT PER ATTACHED BANK
 STATEMENT AS OF DATE _____ \$ _____
5. PLUS: TOTAL AMOUNT CLAIMED IN THIS
 APPLICATION NO. _____ + \$ _____ *
6. PLUS: TOTAL AMOUNT WITHDRAWN AND NOT YET CLAIMED
 REASON: _____ + \$ _____ *
7. PLUS: AMOUNTS CLAIMED IN PREVIOUS APPLICATIONS
 NOT YET CREDITED AT DATE OF BANK STATEMENTS

<u>APPLICATION NO.</u>	<u>AMOUNT *</u>
_____	_____
_____	_____

- SUBTOTAL OF PREVIOUS
 APPLICATIONS NOT YET CREDITED + \$ _____
8. MINUS: INTEREST EARNED - \$ _____ *
9. TOTAL ADVANCE ACCOUNTED FOR (NO. 4 THROUGH NO. 9) = \$ _____
10. EXPLANATION OF ANY DIFFERENCE BETWEEN THE TOTALS APPEARING ON LINES 3 AND 9:

11. DATE: _____ SIGNATURE: _____

TITLE: _____

F2.16. Cash Receipt Voucher (CRV)

Unified form No.1

Approved by division

Of the National Statistics Committee of KR dated 07.04.03 No. 4

entry	Code
	GKUD 0310001
	OKPO
subdivision	

Cash receipt voucher

Document No.	Date

Debit	Credit			Amount KGS	Purpose code	
	Code of subdivision	Corresponding accounting	Code of analytical accounting			

Signed : _____

Reason : _____

Amount : _____

including: _____ KGS _____

attachment: _____

FM

entry

Voucher

Cash receipt NO.

dated " " _____

Received from:

Amount KGS _____

incl: _____ GKS _____

" " _____

Stamp

FM _____ signature

Deciphering

	deciphering		Cashier
signature	deciphering	signature	deciphering

F2.17 Payment Voucher

		Unified form No.1
		Approved by division
		Of the National Statistics Committee of KR dated
		07.04.03 No. 4
		Code
name,	GKUD	0310002
subdivision	OKPO	23364688

Document No.	Date
<i>Payment voucher</i>	00.00.20

Debit			Credit	Amount, KGS	Purpose code
Code of subdivision	Corresponding account	Code of analytical accounting			

Provide to:

name

Reason:

Amount :

signature

Attachment:

Manager

position

signature

deciphering

FM

signature

deciphering

Recipient

Amount in writing

Signature

Based on

Document's title, number, date, issuing entity

Identifying the recipient

Provided by

cashier:

signature

deciphering

F2.18 Business Travel Certificate

Issued to _____
(name, position)

Stamp _____

Sent to _____

(destination points, entities)

duration «___» days.

Business trip purpose _____

Justification: Order No. _____ dated «___» _____ 2016

Valid upon ID

Stamp here

Signature of manager _____

Check-in, check-out notes:

Check-out from _____ Check-in

at _____

«___» _____ 20

«___» _____ 20

Signature

Signature

Stamp

stamp

Check-out from _____ Check-in

at _____

«___» _____ 20

«___» _____ 20

Signature

Signature

Stamp

stamp

Check-out from _____ Check-in

at _____

«___» _____ 20

«___» _____ 20

Signature

Signature

Stamp

stamp

F2.19 Advance Report Template

Entity	MoF KR/ARIS		Standard template No. 286		
Unit	position		Payment No.	date	
name	_____		Debit account	Credit account	amount
Advance report No. -CSP00001 or __.__.20__					
purpose					
Balance (overrun)	amount	Report checked by section \$ CT			
Received from (name)	0.00	Approved for			
1.		00 KGS			
2.	0.00	Accountant			
Total received		00.00.20__			
	0.00 KGS				
Spent		Report confirmed to the amount:			
Balance (overrun)	0,00	00 KGS 00 tiyn			
	0.00	Accountant			
Attachment of 3 documents					
Date					
00.00.____					
00.00.____					

Total **00.00**

Signature of accountable person

F2.20 Contract for Transportation Services

This Contract was signed " ____ " _____ 20 ____ .

between

Party 1: Client

Address: _____

Party 2 :Service Provider

Service Provider _____

Date of birth _____ TIN _____

Passport No.: _____ Issuing entity _____ Date of issuing _____

Patent _ serial NO. _____, issued by _____

For period of _____

Address: _____

Provisions

1.Service Provider shall _____

2. the Service Provider shall pay taxes and charges to the Social Fund and other charges according to the current legislation of the Kyrgyz Republic.

3.the Client shall pay to the Service Provider, after delivery of the services, the amount of

Client _____

Signature _____

Service Provider _____

Signature _____

Statement of delivered services

Date _____

The driver of the vehicle, the state plate number _____
_____ according to the contract _____ in
the period from _____ to _____ delivered the following services:
According to the route sheet, _____ km was driven;

Work accepted by:

Work provided by:

Acknowledgement of cash receipt

I, _____ the driver of the vehicle No. _____, have actually
received on « ____ » _____ from _____
_____ KGS for the services delivered
based on the Statement of delivered services dated « ____ » _____

F2.21 Route sheet

<p> МИНИСТЕРСТВО ВНЕШНЕЙ ТОРГОВЛИ Организация ИНН-92310200310235 АГЕНТСТВО СЕРВИСА И РЕГИСТРАЦИИ САМОХОДНЫХ АВТОМОБИЛЕЙ </p>	<p>Типовая межведомственная форма №3</p> <p>Код по ОКУД 0305003 3</p>
--	---

ПУТЕВОЙ ЛИСТ ЛЕГКОВОГО АВТОМОБИЛЯ № _____

от _____ до _____ 20__ г.

<p>Марка автомобиля _____</p> <p>Номерной знак _____ Гаражный № _____</p> <p>Водитель _____ Табельный № _____</p> <p style="text-align: center;">Задание водителю</p> <p style="text-align: center;">наименование _____</p> <p>Адрес подачи _____ организации _____</p> <p>Время выезда из гаража час., мин. _____</p> <p>Диспетчер-нарядчик _____</p> <p>Время возвращения в гараж час., мин. _____</p> <p>Диспетчер-нарядчик _____</p> <p>Опоздания, простои в пути, заезды в гараж и прочие отметки _____</p>	<p>Автомобиль технически исправен <input type="checkbox"/></p> <p>Показания спидометра, км. <input type="text"/></p> <p>Выезд разрешаю Механик _____</p> <p>Автомобиль в технически исправном состоянии принял Водитель _____</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Горючее</td> <td style="width: 50%;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">марка</td> <td style="width: 50%;">код</td> </tr> <tr> <td style="height: 20px;"></td> <td style="height: 20px;"></td> </tr> </table> </td> </tr> </table> <p>Движение горючего _____</p> <p>Выдано по заправочному листу № _____</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"></td> <td style="width: 20%; text-align: center;">количество л., кг.</td> </tr> <tr> <td>Остаток при выезде</td> <td></td> </tr> <tr> <td>при возвращении</td> <td></td> </tr> <tr> <td>Расход: по норме</td> <td></td> </tr> <tr> <td>фактический</td> <td></td> </tr> <tr> <td>Экономия</td> <td></td> </tr> <tr> <td>Перерасход</td> <td></td> </tr> </table> <p>Автомобиль принял. Показания спидометра при возвращении в гараж _____</p> <p style="text-align: right;">Механик _____</p>	Горючее	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">марка</td> <td style="width: 50%;">код</td> </tr> <tr> <td style="height: 20px;"></td> <td style="height: 20px;"></td> </tr> </table>	марка	код				количество л., кг.	Остаток при выезде		при возвращении		Расход: по норме		фактический		Экономия		Перерасход	
Горючее	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">марка</td> <td style="width: 50%;">код</td> </tr> <tr> <td style="height: 20px;"></td> <td style="height: 20px;"></td> </tr> </table>	марка	код																		
марка	код																				
	количество л., кг.																				
Остаток при выезде																					
при возвращении																					
Расход: по норме																					
фактический																					
Экономия																					
Перерасход																					



F2.22 Route sheet

Route sheet for the period from _____ to _____ 20__

Driver:

Vehicle brand, No.:

Speedometer readings _____ 20__

Date	time		name	Purpose of trip	Km readings		Signature	
	from	to			from	to	passenger	In charge

Speedometer readings _____

Annex №4.16 Trainees

Topic _____

Date _____

Venue _____

No.	Name	Entity, position	Address, telephone number, e-mail (if any)	Signature

F2.23 Statement of Transportation Costs

according to the decree of GoK No. 471 dated 26.08.2008 for trainees.

Topic _____

Date _____

Venue _____

Nº	Name	Entity, position, route			km	amount	Signature
	Total: (amount in writing)						

Provided by: name, position

F2.24 Statement of Receipt of Hand-outs or Stationery**Topic** _____**Date** _____**Venue** _____

№	Name	Entity, position	stationery		Signature
			Pen	Copybook	

Provided by: name, position _____***Statement of writing off of stationery***

« ____ » _____ 20__

We, the undersigned, the Commission involved in the training,

Have executed this statement of writing off of stationery, indicating that the following stationery was used in the training:

_____.

Signatures :

F3: AKF Chart of Accounts

AKF NF

Chart of Accounts

Account	Name	Account	Name	Account	Name	Account	Name
1 ASSETS		2 LIABILITIES		4 EXPENSES			
*1011001	Cash-AKF Buhlek USD	*2011001	Deferred income asgmt USD	*4019001	Other Project Grants	*4081001	Consultant Fees USD
*1011011	Cash-AKF Buhlek KOS	*2011002	Deferred income asgmt CAD	*4021001	Salary Local Staff USD	*4081002	Consultant Travel USD
*1011021	Cash-AKF Buhlek EUR	*2021001	Accrued Expenses USD	*4021002	Salary Expatriate USD	*4081003	Service contracts
*1011031	Cash-AKF Buhlek KZT	*2021002	Accrued Expenses KOS	*4022001	Social Charges USD	*4081004	Legal and Professions USD
*1021001	KICB AKF Buhlek USD	*2061001	Payable AKDN Inst USD	*4023001	Medical Allowance USD	*4082001	Legal Fees USD
*1021002	KICB Bank AKF Buhlek KOS	*2061002	Payable AKDN Inst KOS	*4023002	Insurance Equip USD	*4082999	Professional Chrg Othr USD
*1021003	KICB Bank AKF Buhlek EUR	*2061003	Payable Funding USD	*4023003	Medical Services USD	*4083001	Service Contracts USD
*1021004	KICB Bank AKF Buhlek OBP	*2065001	Payable Donor Agency USD	*4023004	Housing allowance USD	*4084001	Audit Fees USD
*1021005	KICB AKF Buhlek USD RevF	*2065002	Payable Donor Agency KOS	*4023101	CEO Benefits USD	*4084002	Audit Out-of-Pocket USD
*1021006	KICB AKF Buhlek KOS (RD)	*2067001	Payable Tax 10% KOS	*4023999	Other Allowances USD	*4091001	Commun Printing USD
*1021007	KICB Bank AKF Buhlek CHF	*2067101	Payable 27.25% SocCharg KOS	*4029999	Other Direct personnel USD	*4092001	Commun Audio Visual USD
*1021008	KICB AKF Card Account USD	*2068001	Payable Salaries USD	*4031001	Salary Temp Staff USD	*4093001	Commun Photography USD
*1021009	KICB AKF Buhlek KOS Poli	*2068002	Payable Salaries KOS	*4032001	Recruitment Costs USD	*4094001	Commun Mailings USD
*1031001	Prepaid USD	*2069991	Payable Others USD	*4033001	Staff Training-Local USD	*4095001	Commun Translations USD
*1031002	Prepaid KOS	*2069992	Payable Others KOS	*4035011	Staff Training-Intern USD	*4096001	Commun Exhibits Produc USD
*1063001	Receiv AKDN Instituti USD	*2069993	Payable Others OBP	*4039999	Other Indirect persnl USD	*4097001	Commun Events USD
*1063002	Receiv AKDN Instituti EUR	*2111002	Revolving Fund USD	*4041001	Rent USD	*4099001	Commun Mass Media USD
*1063003	Receiv Funding USD	*2113003	Helvetas Margin Fund USD	*4041031	Rent Apartment USD	*4099999	Commun Other USD
*1065001	Receiv Donor Agencies USD	*2902001	Reserves General USD	*4042001	Maintenance Office USD	*4101001	Exchange Gain/Loss USD
*1069002	Receiv VAT KOS	*2902002	Other Income Fund USD	*4042011	Maintenance Storage USD	*4101011	Exchange Rounding USD
*1069003	Receiv MSDSP	*2902011	Capital Fund USD	*4043001	Electricity Charges USD	*4102001	Bank Charges USD
*1069004	Receiv MSDSP DN	*2902012	Deferred Capital Grant	*4043011	Water Charges USD	*4105001	Fixed asset Disposal USD
*1069991	Receiv Others USD	*2903002	Revolving Fund USD	*4043021	Generator Operations USD	*4106001	Taxes USD
*1069992	Receiv Others KOS	*2903003	Helvetas Margin Funds USD	*4043991	Utilities other USD	*4109999	Fin Charges Other USD
*1069993	Receiv Others OBP	*2909101	Current Year Result USD	*4044001	Premises Contribution USD	*4311001	Expensed Furnit & Fix USD
*1069994	Receiv Others EUR			*4045001	Premises Insurance USD	*4312001	Expensed Office Equip USD
*1081001	Bad debt allowance USD			*4049999	Premises Other USD	*4313001	Expensed IT Equip USD
*1101001	Advance Staff USD	*3011001	IUF Donation	*4051001	Telephone local USD	*4314001	Expensed Vehicles USD
*1101002	Advance Staff KOS	*3012001	IUF Agency Grants	*4051002	Telephone Satellite USD	*4319999	Expensed Other Capitt USD
*1101003	Advance Staff EUR	*3012011	Agency/Donor Grant USD	*4051003	Telephone Mobile USD	*4325001	Degrec office equip USD
*1102001	Advance to Other USD	*3012012	HH Grant USD	*4051004	Office Expenses USD	*4326001	Degrec furnit & fix USD
*1102002	Advance to Other KOS	*3013001	IUF Agency Admin Grant	*4051011	Emails and Internet USD	*4327001	Degrec equip&machine USD
*1105001	Advance agent Salary USD	*3021001	Direct Agency Grant	*4052001	Postage & Courier USD	*4328001	Degrec vehicles USD
*1105002	Advance agent Salary KOS	*3022001	Direct Agency Admin Grant	*4053001	Printing & Photocopying U	*4402001	Project Costs USD
*1201002	Stk AKF KOS	*3022012	Released Deff Capitt Grant	*4054001	Books and Periodicals USD	*4402011	Fertilizer USD
*1316001	Fixed Assets USD	*3031001	HH Contribution	*4055001	Maintenance Equipment USD	*4402021	Chemicals USD
*1323001	Accum Deprec Of Equip USD	*3036001	HH contrb project	*4055002	Rental Equipment USD	*4402031	Fuel USD
*1324001	Accum Deprec of Furn USD	*3051001	Endowment Donation	*4056001	Supplies & Stationary USD	*4402041	Machinery&Spare parts USD
*1326001	AccumDeprecVHCLUSD	*3054001	EndowmentDistributinIncome	*4057001	Office Refreshments USD	*4402101	Construction Material USD
		*3061001	DepositandInterest Income	*4057011	Food Supply USD	*4402991	Materials Others USD
		*3499999	Miscellaneous Income USD	*4059999	Other Office Expenses USD	*4402992	Printing Materials USD
				*4062001	Trav Local - CEO USD	*4403001	Training Travel&Transp USD
				*4062011	Trav Intern - CEO USD	*4403002	Training Meals USD
				*4062021	Entertainment - CEO USD	*4403011	Training-Fees USD
				*4063001	Trav Loc-Prog Staf USD	*4403021	Training - Handouts USD
				*4063011	Trav Intern-Prog Staf USD	*4403022	Training - Supplies USD
				*4063021	Entertainment-Prog Staf USD	*4403031	Training Project costs
				*4064001	Trav Local - Fin/Adm USD	*4403999	Training Other USD
				*4064011	Trav Intern - Fin/Adm USD	*4404001	Workshop USD
				*4064021	Entertainment-Fin/Adm USD	*4405001	Labour Costs-Projects USD
				*4069001	Trav Locl - Non Staff USD	*4406001	Transportation Expenses U
				*4069011	Trav Intern-Non Staff USD	*4407001	Project Mass Media USD
				*4071001	Vehicle Fuel USD	*4408001	Staff Travel
				*4072001	Vehicle Maintenance USD	*4409001	Survey expenses USD
				*4073001	Vehicle Insurance USD	*4401999	Other Expenses USD
				*4074001	Vehicle Rentals USD	*4801001	Bad debt expenses USD
				*4079999	Vehicle Oper Other USD		

F4: AKF Per-Diem Rate**Per Diem Rates for Project Staff**

- In Bishkek City KGS 1000 (One Thousand per day)
- In other regions of Kyrgyzstan KGS 850 (Eight Hundred & Fifty per day)

The per diem will be adjusted, if the meal of breakfast, lunch or dinner provide by the organization (30% for breakfast, 30% for lunch and 40% for dinner).

Daily meal allowance for beneficiaries

- To pay daily meal allowance amount to non-employees or partner beneficiaries who are invited by AKF KR to attend public events or training organized by AKF KR in Bishkek city is KGS 600 (Six Hundred per day) in reference to Kyrgyz legislation #471 dated to 26.08.2008.
- To pay daily meal allowance amount to non-employees or partner beneficiaries who are invited by AKF KR to attend public events or training organized by AKF KR in other regions of Kyrgyzstan is KGS 500 (Five Hundred per day) in reference to Kyrgyz legislation #471 dated to 26.08.2008.

F5: AKF Bank Signatories**First signature:**

<u>Chief Executive Officer</u>	<u>up to KGS 8,000,000</u>
--------------------------------	----------------------------

<u>Senior Partnership Officer</u>	<u>up to USD 50,000</u>
-----------------------------------	-------------------------

Second signature:

<u>Director Finance</u>	<u>up to KGS 8,000,000</u>
-------------------------	----------------------------

<u>Senior Finance Officer</u>	<u>up to USD 50,000</u>
-------------------------------	-------------------------

*For amounts exceeding KGS 8,000,000, written approval from the General Manager of AKF (Geneva) is required prior to CEO's signature.

** Signatories for withdrawal applications follow the same process.

F6: AKF Bank Account Reconciliation Statement

AGA KHAN FOUNDATION		
(KYRGYZ REPUBLIC)		
Bank reconciliation Statement		
as at May 31, 2017		
Account number:		
Currency:		
Balance as per General Ledger		-
Add : Unpresented Cheques - Annexure "A"		-
Less : Deposits not credited by bank - Annexure "B"		-
Add: Unrecorded Bank Credit Advices - Annexure "C"		-
Less: Unrecorded Bank Debit Advices - Annexure "D"		-
Reconciled Balance as per General Ledger		-
Balance as per Bank Statement		
Reconcile		-
Add : Unpresented Cheques		Annexure "A"
Date	Chq #	Description
		-
Less : Deposits not credited by bank		Annexure "B"
Date	Chq #	Description
		-
Add: Unrecorded Bank Credit Advices		Annexure "C"
Date	Chq #	Description
		-
Less: Unrecorded Bank Debit Advices		Annexure "D"
Date	Tr. №	Description
		-
Prepared By: Finance assistant		Nazgul Karabaeva
Verified by By: Finance Officer		Jamal Uraimova

F7: AKF Sample Interim Un-Audited Financial Reports

Project Interim Un-audited Financial Reports (IFR)											
Report for Current Period											
Project Name _____											
Grant # _____											
Implementing PIU name _____											
<u>Table of contents</u>											
Financial report											
1A Project sources and Uses of Funds											
1B Uses of Funds by Project Components											
1C Statement of Financial Position											
1D Designated Account(DA) Statement											
1E SOW Withdrawal Schedule											

Project name # _____										
Project Sources & Uses of Funds										
For the period from ---- to ---- (in USD Currency)										
	Actual			Planned			Variance			PAD/I
	Current quarter	Year to Date` YTD	Cumulative to Date	Current quarter	Year to Date` YTD	Cumulative to Date	Current quarter	Year to Date` YTD	Cumulative to Date	
Opening Working Capital										
Designated Account										
Transit Account										
Tender Account										
Interest Account										
Total										
Sources of Funds										
WB Funds										
Other funds										
SubTotal										
Foreign Exchange Difference										
Total										
Less:										
Uses of Funds										
Sub-Categories										
Works										
Goods										
Consultancy										
Non-consultancy										
Operating Expenses										
Total										
Closing Working Capital										
Designated Account										
Transit Account										
Tender Account										
Interest Account										
Total										

Project name # _____

Uses of Funds by Project Activity
For the period from --- to --- (in USD Currency)

Project Activities	Actual			Planned			Variance			PAD
	Current quarter	Year to Date` YTD	Cumulative to Date	Current quarter	Year to Date` YTD	Current quarter	Current period	Year to Date` YTD	Cumulative to Date	
Component 1										
Subcomponent 1.a										
Subcomponent 1.b										
Component 2										
Subcomponent 1.a										
Subcomponent 1.b										
Component 3										
Total Project Expenditure										

NOTES:

Project Name/Grant # _____			
Balance Sheet			
as at yy.yy.yyyy			
<u>Cash and cash equivalents:</u>			
Designated Account (USD)	x		
Transit Account	x		
Tender Account	x		
Interest Account	x		
		x	
Project expenditures		x	
Foreign exchange difference (if net loss)		x	
Total assets		x	
<u>Funding:</u>			
World Bank	x		
Other	x		
		x	
Foreign exchange difference (if net income)		x	
Total liabilities		x	
NOTES:			

Project Name # _____			
Designated Account (DA) Statement			
as at yy/yy/yyyy			
1	Opening Balance as at xx/xx/xxxx		
	Add:		
2	Cumulative unexplained discrepancy		
3	WB advance/replenishment during the current quarter		
4	Less: Refund to IDA/IBRD from DA during the current quarter		
5	Present outstanding amount advanced to DA	0.00	
6	DA closing balance as at yy/yy/yyyy carried forward to next period		
7	Add: Amount of eligible expenditures paid during the current quarter		
8	Service charges (if debited into DA)		
9	Less: Interest earned (if credited into DA)		
10	Total advance accounted for	0.00	
11	Discrepancy(5)-(10) to be explained /II	-	
NOTES:			

	SOE Withdrawal Schedule				
	for the period from xx / xx / xxxx to yy/yy/yyyy				
W/A	Expenditure sub-categories			Total	
	Works	Goods			
				0	
				0	
				0	
				0	
				0	
				0	
				0	
	0	0	0	0	

ANNEX G: PROCUREMENT

G1: ARIS Procurement Manual

G2: AKF Procurement Plan

Activity	Category	Estimated cost	Procurement arrangement
Equipment for AKF office	Goods	\$10,110	RFQ
CQS, IC consultancies under Components 1 and 2	Consulting services	\$133,000	CQS, ICS

No	Description	Estimated Cost (USD)	Approach competition	Procur. Method	WB Review (Prior/Post)
	GOODS				
1	Equipment for AKF Office	\$10,110	National	RFQ	Post
	Total Goods	\$10,110			
	CONSULTING SERVICES				
1	Feasibility studies of economic facilities	\$10,000	National	CQS	Post
2	Consultancies to support Youth Facilitators and enhance institutional sustainability of C-VIA	\$31,000	International	CQS	Post
3	Develop guidelines and conduct ToT on social audits	\$4,000	National	CQS	Post
4	International social accountability expert	\$50,000	International	ICS	Post
5	Audit services	\$ 28,000	International	CQS	Post
6	Direct contract with ARIS for Community Mobilization activities	\$300,000	National	DS	Post
7	Baseline evaluation	\$10,000	National	CQS	Post
	Total Consulting Services	\$433,000			
	OPERATING COST				
1	Operating costs	\$398,300			
2	Training	\$158,590			
	Total Operating Cost	\$556,890			
	General Total	\$1,000,000			

G3: Invitation to Quote

Invitation to Quote (ITQ) - Shopping For Goods

Project Title: _____

Date: _____

Source of Funding: _____

Contract Ref: _____

To: _____

Dear Supplier,

1. You are invited to submit your price quotation(s) for the supply of the following items:

(i) _____

(ii) _____

(iii) _____

(iv) _____

Information on technical specifications and required quantities are attached.

2. (You may quote for any or more items under this invitation. Each item shall be evaluated and contract will be awarded separately to the firm(s) offering the lowest evaluated price for each item) or (You must quote for all the items combined under this Invitation Price quotations will be evaluated for all the items together and contract will be awarded to the firm offering the lowest evaluated total cost of all the items together). Note: The Purchaser must select one of the two options and delete the non-applicable option and delete the (brackets).

3. Your price quotation in the form attached may be submitted by hand, mail, facsimile or electronically at the following address:

(Purchaser's Address)_____
Tel: _____

Fax: _____

email: _____

4. The deadline for receipt of your quotation (s) by the Purchaser at the addressed indicated in this paragraph: [insert date of submission deadline - normally 7 days from invitation date].

5. Your quotation in [insert national language], should be accompanied by adequate technical documentation and catalogue(s) and other printed material or pertinent information for each item quoted, including names and addresses of firms providing service facilities in _____ [insert name of the country].

6. Your quotation(s) should be submitted as per the following instructions and in accordance with the attached Contract. The attached Terms and Conditions of Supply is an integral part of the Contract.

(i) PRICES: The prices should be quoted in [insert local currency] for the Total Cost at final destination [insert place of destination], which includes all taxes, VAT, customs, duties, inland transportation and insurance, loading and unloading.

(ii) EVALUATION OF QUOTATIONS: Offers determined to be substantially responsive to the technical specifications will be evaluated by comparison of the total price at final destination as per para. 2 above.

In evaluating the quotations, the Purchaser will determine for each quotation the evaluated price by adjusting the price quotation by making any correction for any arithmetical errors as follows:

(a) where there is a discrepancy between amounts in figures and in words, the amount in words will govern;

(b) where there is a discrepancy between the unit rate and the line item total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern;

(c) if a Supplier refuses to accept the correction, his quotation will be rejected.

(iii) AWARD OF PURCHASE ORDER/Contract: The award will be made to the bidder offering the lowest substantially evaluated responsive quotation and that meets the required technical and financial capabilities. The successful bidder will sign a Contract as per attached form of contract and terms and conditions of supply.

(iv) VALIDITY OF THE OFFER: Your quotation(s) should be valid for a period of forty five (45) days from the deadline for receipt of quotation(s) indicated in Paragraph 4 of this Invitation to Quote.

7. Further information can be obtained from:

Telephone: _____

Fax: _____

E-mail: _____

8. Inspections and Audits

8.1 The Supplier shall carry out all instructions of the Purchaser which comply with the applicable laws where the destination is located.

PART B: Annexes and Forms

8.2 The Supplier shall permit, and shall cause its Subcontractors and consultants to permit, the Bank and/or persons appointed by the Bank to inspect the Supplier's offices and all accounts and records relating to the performance of the Contract and the submission of the bid, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Supplier's and its Subcontractors and consultants' attention is drawn to Clause 5 Fraud and Corruption of the Form of Contract, which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility pursuant to the Bank's prevailing sanctions procedures).

9. Please confirm by fax/e-mail the receipt of this invitation and whether or not you will submit the price quotation(s).

Sincerely,

G4: Procurement of Goods under Shopping – Evaluation Form

1. Project Name _____
2. Implementing Agency _____
3. Details of goods _____
procured _____
4. Estimated Cost _____ Equivalent US\$ _____
5. Quotations Submission _____ time allowed (days) _____
Submission Deadline _____ (date) _____
6. Bidders Invited Bidders Quoted Quotation Receipt Date Price Quoted
7. Ranking of Responsive
Quotations by Price

	Bidder	Evaluated Price
--	--------	-----------------
8. Non-Responsive Quotations

	Bidder	Reason(s) for Rejection
--	--------	-------------------------
9. Name of the lowest evaluated Bidder _____
10. Total Price of the Contract Award _____ US\$ _____ equivalent
11. Estimated Date of Contract award _____
12. Any issues (to be) discussed at finalization of contract. Give details.
13. Complaints from other Suppliers, if any. Provide details.

Date: _____

Signature of Procurement Official

G5: Request for expressions of interest (consulting services – firms selection)**REQUEST FOR EXPRESSIONS OF INTEREST
(CONSULTING SERVICES – FIRMS SELECTION)****[COUNTRY]****[NAME OF PROJECT]**

Loan No./Credit No./ Grant No.: _____

Assignment Title: _____**Reference No.** (as per Procurement Plan): _____

The *[insert name of Borrower/Beneficiary/Recipient]* *[has received/has applied for/intends to apply for]* financing from the World Bank toward the cost of the *[insert name of project or grant]*, and intends to apply part of the proceeds for consulting services.

The consulting services (“the Services”) include *[insert brief description, implementation period, etc.]*ⁱ

The *[insert name of implementing agency/client]* now invites eligible consulting firms (“Consultants”) to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The shortlisting criteria are: *[insert criteria related to required qualifications and experience of the firm, but not individual experts’ bio data]*.

The attention of interested Consultants is drawn to paragraph 1.9 of the World Bank’s *Guidelines: Selection and Employment of Consultants [under IBRD Loans and IDA Credits & Grants]* by World Bank Borrowers *[insert correct title and date of applicable Guidelines edition as per legal agreement]* (“Consultant Guidelines”), setting forth the World Bank’s policy on conflict of interest. *[If applicable, insert the following additional text: In addition, please refer to the following specific information on conflict of interest related to this assignment: [insert information on conflict of interest related to the assignment as per paragraph 1.9 of Consultant Guidelines].*

Consultants may associate with other firms in the form of a joint venture or a sub-consultancy to enhance their qualifications.

A Consultant will be selected in accordance with the *[insert selection method]* method set out in the Consultant Guidelines.

Further information can be obtained at the address below during office hours *[insert office hours if applicable, i.e. 0900 to 1700 hours]*.

PART B: Annexes and Forms

Expressions of interest must be delivered in a written form to the address below (in person, or by mail, or by fax, or by e-mail) by *[insert date]*.

[insert name of office]

Attn: *[insert name of officer & title]*

[insert postal address and/or street address]

[insert postal code, city and country]

Tel: *[include the country and city code]*

Fax: *[include the country and city code]*

E-mail: *[include e-mail address]*

G6: Evaluation Report on Qualification and Experience of Consultants for Selection Based on Consultant's Qualifications (CQ)

Evaluation Report on Qualifications and Experience of Consultants for Selection Based on Consultant's Qualifications (CQ)

Country. Project Title:
Loan/Credit/Grant Number:

Date:

1. Implementing Agency _____(address, telephone/Fax No, email)
2. Name of consulting assignment:
3. Package number (per Procurement Plan):
4. Total estimated cost of assignment:
5. Assignment period:
6. Name of Publication and Date of advertisement requesting expressions of interest:
7. Deadline for submission of the expression of interest:
8. Members of Selection Committee (Name and Position of each member):
9. Criteria for evaluating Consultant's qualifications and experience-[Total of all maximum scores should add up to 100]

Core business and years in business (20-30 points)

Qualifications in the field of assignment - similar experience (30-40 points)

General qualifications and number of key staff (30-40 points)

10. Name of consultants who expressed interest in response to the advertisement:
11. Rank list of consultants after evaluation of qualifications and experience as per 9 above:

<i>Name of Consultants</i>	<i>Score</i>	<i>Strengths</i>	<i>Weaknesses</i>
1			
2			

PART B: Annexes and Forms

3			

12. The following top ranking firm (the highest scoring) is recommended to be invited for submit a technical and a financial proposal which will become the basis of contract negotiations between the Client and the highest scoring firm.

13. Complaints, if any: _____

Signatures of the Members of the Selection Committee: _____

Individual Evaluation Form (Long List)										
Consultancy on _____										
Evaluated by:										
	Name Of Company	Country	Core business & Years in business		Qualifications in the field of assignment (similar experience)		General Qualifications and number of key staff		Rating	Average Group Rating (If applicable)
			No. of Points, e.g. 30		No. of Points, e.g. 40		No. of Points, e.g. 30			
			Rating*	(A) x (Points)	Rating *	(C) x (Points)	Rating*	(E) x (Point s)	(B) + (D) + (F)	
			(A)	(B)	(C)	(D)	(E)	(F)	(G)	
1.										
2.										

Signed by: _____

Name of Evaluator

Sample Summary of Consultants' Individual Evaluation Forms for the Consultancy _____ (Name of Consulting Assignment)										
Evaluated by:										
Names of the Members of the Evaluation Committee										
Name of Company		Core business & Years in business		Qualifications in the field of assignment (similar experience)		General Qualifications and number of key staff		Rating	Average Group Rating (if applicable)	
		30 Points		40 Points		30 Points				
		Rating*	B1+B2+B3 / 3	Rating*	D1+D2+D3 / 3	Rating*	F1+F2+F3 / 3			(B) + (D) + (F)
		(A)	(B)	(C)	(D)	(E)	(F)			(G)
1.		83.33	B1=25.00 B2=25.00 B3=25.00 <u>25.00</u>	62.50	D1=25.00 D2=25.00 D3=25.00 <u>25.00</u>	91.10	F1=25.00 F2=30.00 F3=27.00 <u>27.33</u>	77.33	I	
2.		16.66	B1=0.00 B2=5.00 B3=10.00 <u>5.00</u>	100.00	D1=40.00 D2=40.00 D3=40.00 <u>40.00</u>	94.43	F1=30.00 F2=30.00 F3=25.00 <u>28.33</u>	73.33	II	

PART B: Annexes and Forms

3.		22.20	B1=20.00 B2=0.00 B3=0.00 <u>6.66</u>	80.00	D1=18.00 D2=40.00 D3=38.00 <u>32.00</u>	100.00	F1=30.00 F2=30.00 F3=30.00 <u>30.00</u>	68.66	III
4.		27.76	B1=0.00 B2=15.00 B3=10.00 <u>8.33</u>	66.65	D1=40.00 D2=20.00 D3=20.00 <u>26.66</u>	100.00	F1=30.00 F2=30.00 F3=30.00 <u>30.00</u>	64.99	IV

Note: Figures in the table are inserted as an example.

Signed by:

Name of Evaluator

Name of Evaluator

Name of Evaluator

G7: Request for Proposals – Selecting a Firm through GQ

Request for Proposals – Selecting a Firm through CQ

Date _____

To

1. The _____ (hereinafter referred to as the “Client”) invites you to submit a combined technical and financial proposals to provide the following consulting services: _____ . More details of the services are provided in the attached Terms of Reference.
2. Please submit your technical and financial proposals in accordance with the attached forms. Your proposals will be subject to negotiation between your authorized representative and the Client and may result in a contract. A draft contract is also attached.
3. Your technical and financial proposals should be submitted at the following address, not later than _____ 2005.
4. Please confirm receipt of this invitation by fax and that you will submit the proposals as requested

Sincerely

(Client’s authorized representative)

TECHNICAL PROPOSAL SUBMISSION FORM

_____ [Date]

To:

Ladies/Gentlemen:

We, the undersigned, offer to provide the consulting services for implementation of the assignment as described in the attached terms of reference and in accordance with your Request for Proposal dated [.....] and our proposals. We are hereby submitting our technical and financial proposals for the proposed services.

Our proposals are binding upon us and subject to the modifications resulting from Contract negotiations.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature:

Name and Title of Signatory:

Name of Entity:

ENTITY'S REFERENCES

**Relevant Services Carried Out in the Last Three Years
that Best Illustrate Qualifications**

Using the format below, provide information on each assignment for which your entity, either individually as a corporate entity or within an association, was legally contracted.

Assignment Name:

Professional Staff Provided by Your Entity
(profiles):

- Location:

Name of Client:

Nº of Staff-Months:

Address and telephone:

- ---

Approx. Value of Services

(in USD/or respective currency)

Entity's Name:

Sample Format of Curriculum Vitae (CV)

Proposed Position: _____

Name of Firm: _____

Name of Staff: _____

Profession: _____

Date of Birth: _____

Years with Firm/Entity: _____ Nationality: _____

Membership in Professional Societies: _____

Detailed Tasks Assigned: _____

Key Qualifications:

[Give an outline of staff member's experience and training most pertinent to tasks on assignment. Describe degree of responsibility held by staff member on relevant previous assignments and give dates and locations. Use about half a page.]

Education:

[Summarize college/university and other specialized education of staff member, giving names of schools, dates attended, and degrees obtained. Use about one quarter of a page.]

Employment Record:

[Starting with present position, list in reverse order every employment held. List all positions held by staff member since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments. For experience in last ten years, also give types of activities performed and client references, where appropriate. Use about two pages.]

Languages:

[For each language indicate proficiency: excellent, good, fair, or poor in speaking, reading, and writing.]

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.

_____ Date: _____

[Signature of staff member and authorized representative of the firm] *Day/Month/Year*

Full name of staff member: _____

Full name of authorized representative: _____

Cost Estimate of Services and Schedule of Rates

(1) Remuneration

<i>Name</i>	<i>Rate (per working day)</i>	<i>Time spent (number of working days)</i>	<i>Total (currency)</i>
			Sub-Total (1)

(2) Reimbursables¹

	<i>Rate</i>	<i>Calendar days</i>	<i>Total</i>
(a) International Travel			
(b) Local Transportation			
(c) Interpreter/Translation			
(d) Per Diem			
			Sub-total (2)

TOTAL COST _____

CONTRACT CEILING _____

¹ To include expenses for international travel, local transportation, interpretation/translation, per diem, visas, airport taxes, and other such travel related expenses as may be necessary; reimbursable at cost with supporting documents/receipts; except for per diem (which is fixed and includes cost of housing, meals and subsistence for the period spent in the country).

**TERMS OF REFERENCE (TORs)
(ATTACH)**

MAIN SECTIONS OF THE TORs INCLUDE:

- 1. BACKGROUND INFORMATION ON THE PROJECT**
- 2. OBJECTIVE(s) OF THE ASSIGNMENT**
- 3. SCOPE OF WORK**
- 4. EXPECTED OUTCOMES**
- 5. QUALIFICATION REQUIREMENTS AND BASIS FOR EVALUATION (EVALUATION CRITERIA)**
- 6. DURATION OF THE ASSIGNMENT AND ESTIMATED TIME INPUT**
- 7. REPORTING REQUIREMENTS**

Sample Format of Curriculum Vitae (CV)

Assignment Title: _____

Name of Consultant: _____

Profession: _____

Date of Birth: _____

Nationality: _____

Membership in Professional Societies: _____

Detailed Tasks Assigned: _____

Key Qualifications:

[Give an outline of consultant's experience and training most pertinent to tasks on assignment. Describe degree of responsibility held by consultant on relevant previous assignments and give dates and locations. Use about half a page.]

Education:

[Summarize college/university and other specialized education of consultant, giving names of schools, dates attended, and degrees obtained. Use about one quarter of a page.]

Employment Record:

[Starting with present position, list in reverse order every employment held. List all positions held by consultant since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments. For experience in last ten years, also give types of activities performed and client references, where appropriate. Use about two pages.]

Languages:

[For each language indicate proficiency: excellent, good, fair, or poor in speaking, reading, and writing.]

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.

_____ Date: _____

[Signature of consultant]

Day/Month/Year

Full name of consultant: _____

G8: Sample Contract for Consulting Services, Small Assignments, Time-Based Payments

SAMPLE CONTRACT FOR CONSULTING SERVICES
SMALL ASSIGNMENTS - Firm
LUMP-SUM PAYMENTS
(IBRD/IDA FINANCED)

CONTRACT No. *[insert]*

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *[insert Client's name]* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Consultant's name]* ("the Consultant") having its principal office located at *[insert Consultant's address¹]*.

WHEREAS, the Client wishes to have the Consultant perform the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. **Services**
 - (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
 - (ii) The Consultant shall provide the personnel listed in Annex B, "Consultant's Personnel," to perform the Services.
 - (iii) The Consultant shall submit to the Client the reports in the form and within the time periods specified in Annex C, "Consultant's Reporting Obligations."
2. **Term**

The Consultant shall perform the Services during the period commencing *[insert starting date]* and continuing through *[insert completion date]*, or any other period as may be subsequently agreed by the parties in writing.
3. **Payment**
 - A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed *[insert amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant.

¹ Avoid use of "P.O. Box" address

B. Schedule of Payments

The schedule of payments is specified below²:

[insert detailed list of payments specifying amount of each installment, deliverable/output for which the installment is paid and currency]

C. Payment Conditions

Payment shall be made in *[specify currency]*, no later than 30 days following submission by the Consultant of invoices in duplicate to the Coordinator designated in paragraph 4.

Payments shall be made to Consultant's bank account *[insert banking details. If payment by bank wire is not possible, prior Bank approval to apply cash payments option shall be obtained]*

4. **Project Administration**A. Coordinator.

The Client designates Mr./Ms. *[insert name and job title]* as Client's Coordinator; the Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables by the Client and for receiving and approving invoices for the payment.

B. Reports.

The reports listed in Annex C, "Consultant's Reporting Obligations," shall be submitted in the course of the assignment, and will constitute the basis for the payments to be made under paragraph 3.

5. **Performance Standards**

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

6. **Inspections and Auditing**

The Consultant shall permit, and shall cause its Sub-Consultants to permit, the Bank and/or persons or auditors appointed by the Bank to inspect and/or audit its accounts and records and other documents relating to the submission of the Proposal to provide the Services and performance of the Contract. Any failure to comply with this obligation may constitute a prohibited practice subject to contract termination and/or the imposition of sanctions by the Bank (including without limitation s determination of ineligibility) in accordance with prevailing Bank's sanctions procedures.

7. **Confidentiality**

The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating

² Fill in based on required outputs as described in Annex A (Terms of Reference) and Annex C (Reporting Requirements). Avoid front-loaded payments. Advance payments in contracts with firms require a bank guarantee for the same amount.

to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

- | | |
|--|--|
| 8. Ownership of Material | Any studies reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software ³ . |
| 9. Consultant Not to be Engaged in Certain Activities | The Consultant agrees that, during the term of this Contract and after its termination, the Consultants and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than consulting services that would not give rise to a conflict of interest) resulting from or closely related to the Consulting Services for the preparation or implementation of the Project |
| 10. Insurance | The Consultant will be responsible for taking out any appropriate insurance coverage. |
| 11. Assignment | The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent. |
| 12. Law Governing Contract and Language | The Contract shall be governed by the laws of <i>[insert government]</i> , and the language of the Contract shall be ⁴ <i>[insert language]</i> |
| 13. Dispute Resolution⁵ | Any dispute arising out of the Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country. |
| 14. Termination | <p>The Client may terminate this Contract with at least ten (10) working days prior written notice to the Consultant after the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause:</p> <p>(a) If the Consultant does not remedy a failure in the performance of its obligations under the Contract within seven (7) working days after being notified, or within any further period as the Client may have subsequently approved in writing;</p> <p>(b) If the Consultant becomes insolvent or bankrupt;</p> |

³ Restrictions about the future use of these documents and software, if any, shall be specified at the end of paragraph 8.

⁴ The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

⁵ In case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 13: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

15. Conflict of Interest

- (c) If the Consultant, in the judgment of the Client or the Bank, has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices (as defined in the prevailing Bank's sanctions procedures) in competing for or in performing the Contract.
- (d) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.

15.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client's interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

15.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.

15.2.1 Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:

a. Conflicting activities

- (i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

b. Conflicting assignments

- (ii) Conflict among consulting assignments: a Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another

c. Conflicting relationships

- assignment of the Consultant for the same or for another Client.
- (iii) Relationship with the Client's staff: a Consultant (including its Experts and Sub-consultants) that has a close business or family relationship with a professional staff of the Borrower (or of the Client, or of implementing agency, or of a recipient of a part of the Bank's financing) who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) 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.

16. Corrupt and Fraudulent Practices

16.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Attachment 1.

16.2 In further pursuance of this policy, Consultant shall permit and shall cause its agents, Experts, Sub-consultants, sub-contractors, services providers, or suppliers to permit the Bank to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an award), and to have them audited by auditors appointed by the Bank.

17. Eligibility

17.1 The Bank permits consultants (individuals and firms, including Joint Ventures and their individual members) from all countries to offer consulting services for Bank-financed projects.

17.2 Furthermore, it is the Consultant's responsibility to ensure that its Experts, joint venture members, Sub-consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by the Bank in the Applicable Guidelines.

17.3 As an exception to the foregoing Clauses 17.1 and 17.2 above:

a. Sanctions

17.3.1 A firm or an individual sanctioned by the Bank in accordance with the above Clause 16.1 or in accordance with “Anti-Corruption Guidelines” shall be ineligible to be awarded a Bank-financed contract, or to benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall determine. The list of debarred firms and individuals is available at the electronic address: www.worldbank.org/debarr.

b. Prohibitions

17.3.2 Firms and individuals of a country or goods manufactured in a country may be ineligible:

- (a) as a matter of law or official regulations, the Borrower’s country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or
- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower’s Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

c. Restrictions for Government-owned Enterprises

17.3.3 Government-owned enterprises or institutions in the Borrower’s country shall be eligible only if they can establish that they (i) are legally and financially autonomous, (ii) operate under commercial law, and (iii) that they are not dependent agencies of the Client

To establish eligibility, the government-owned enterprise or institution should provide all relevant documents (including its charter) sufficient to demonstrate that it is a legal entity separate from the government; it does not currently receive any substantial subsidies or budget support; it is not obligated to pass on its surplus to the government; it can acquire rights and liabilities, borrow funds, and can be liable for repayment of debts and be declared bankrupt; and it is not competing for a contract to be awarded by the government department or agency which, under the applicable laws or

regulations, is its reporting or supervisory authority or has the ability to exercise influence or control over it.

d. Restrictions for public employees

17.3.4 Government officials and civil servants of the Borrower's country are not eligible to be included as Experts in the Consultant's Proposal unless such engagement does not conflict with any employment or other laws, regulations, or policies of the Borrower's country, and they

(i) are on leave of absence without pay, or have resigned or retired;

(ii) are not being hired by the same agency they were working for before going on leave of absence without pay, resigning, or retiring

(in case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants or government employees in the Borrower's country, whichever is longer. Experts who are employed by the government-owned universities, educational or research institutions are not eligible unless they have been full time employees of their institutions for a year or more prior to being included in Consultant's Proposal.; and

(iii) their hiring would not create a conflict of interest.

FOR THE CLIENT

FOR THE CONSULTANT

Signed by _____

Signed by _____

Title: _____

Title: _____

Attachment 1. Bank Policy – Corrupt and Fraudulent Practices
(this Attachment shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011 and Revised July 2014:

“Fraud and Corruption

1.23 It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Bank:

- (a) defines, for the purposes of this provision, the terms set forth below as follows:
 - (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party⁶;
 - (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation⁷;
 - (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party⁸;
 - (iv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁹;
 - (v) “obstructive practice” is

⁶ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

⁷ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

⁸ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

⁹ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

- (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
 - (bb) acts intended to materially impede the exercise of the Bank's inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing Bank's sanctions procedures¹⁰, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated¹¹ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

¹⁰ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

¹¹ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant's proposal for the particular services; or (ii) appointed by the Borrower.

LIST OF ANNEXES

- Annex A: Terms of Reference and Scope of Services
- Annex B: Consultant's Personnel and corresponding unit rates
- Annex C: Consultant's Reporting Obligations

**SAMPLE CONTRACT FOR CONSULTING SERVICES
SMALL ASSIGNMENTS
LUMP-SUM PAYMENTS (INDIVIDUAL CONSULTANT)
(IBRD/IDA FINANCED)**

CONTRACT No. *[insert]*

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *[insert Client's name]* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Consultant's name]* ("the Consultant") having its principal office located at *[insert Consultant's address¹]*.

WHEREAS, the Client wishes to have the Consultant perform the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. **Services**
 - (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
 - (ii) The Consultant shall submit to the Client the reports in the form and within the time periods specified in Annex C, "Consultant's Reporting Obligations."
2. **Term**

The Consultant shall perform the Services during the period commencing *[insert starting date]* and continuing through *[insert completion date]*, or any other period as may be subsequently agreed by the parties in writing.
3. **Payment**
 - A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed *[insert amount]*. This amount has been established based on the understanding that it includes all of the

¹ Avoid use of "P.O. Box" address

Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant.

B. Schedule of Payments

The schedule of payments is specified below²:

[insert detailed list of payments specifying amount of each installment, deliverable/output for which the installment is paid and currency]

C. Payment Conditions

Payment shall be made in *[specify currency]*, no later than 30 days following submission by the Consultant of invoices in duplicate to the Coordinator designated in paragraph 4.

Payments shall be made to Consultant's bank account *[insert banking details. If payment by bank wire is not possible, prior Bank approval to apply cash payments option shall be obtained]*

4. Project Administration

A. Coordinator.

The Client designates Mr./Ms. *[insert name and job title]* as Client's Coordinator; the Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables by the Client and for receiving and approving invoices for the payment.

B. Reports.

The reports listed in Annex C, "Consultant's Reporting Obligations," shall be submitted in the course of the assignment, and will constitute the basis for the payments to be made under paragraph 3.

5. Performance Standards

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

6. Inspections and Auditing

The Consultant shall permit the Bank and/or persons or auditors appointed by the Bank to inspect and/or audit its accounts and records and other documents relating to the submission of the Proposal to provide the Services and performance of the Contract. Any failure to comply with this obligation may constitute a prohibited practice subject to contract termination and/or the imposition of sanctions by the Bank (including without limitation s determination of ineligibility) in accordance with prevailing Bank's sanctions procedures.

² Fill in based on required outputs as described in Annex A (Terms of Reference) and Annex C (Reporting Requirements). Avoid front-loaded payments. Advance payments in contracts with firms require a bank guarantee for the same amount.

- | | |
|--|--|
| 7. Confidentiality | The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client. |
| 8. Ownership of Material | Any studies reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software ³ . |
| 9. Consultant Not to be Engaged in Certain Activities | The Consultant agrees that, during the term of this Contract and after its termination, the Consultants and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than consulting services that would not give rise to a conflict of interest) resulting from or closely related to the Consulting Services for the preparation or implementation of the Project |
| 10. Insurance | The Consultant will be responsible for taking out any appropriate insurance coverage. |
| 11. Assignment | The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent. |
| 12. Law Governing Contract and Language | The Contract shall be governed by the laws of <i>[insert government]</i> , and the language of the Contract shall be ⁴ <i>[insert language]</i> |
| 13. Dispute Resolution⁵ | Any dispute arising out of the Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country. |
| 14. Termination | <p>The Client may terminate this Contract with at least ten (10) working days prior written notice to the Consultant after the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause:</p> <p>(a) If the Consultant does not remedy a failure in the performance of its obligations under the Contract within seven (7) working days after being notified, or within any further period as the Client may have subsequently approved in writing;</p> |

³ Restrictions about the future use of these documents and software, if any, shall be specified at the end of paragraph 8.

⁴ The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

⁵ In case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 13: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

15. Conflict of Interest

- (b) If the Consultant becomes insolvent or bankrupt;
- (c) If the Consultant, in the judgment of the Client or the Bank, has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices (as defined in the prevailing Bank's sanctions procedures) in competing for or in performing the Contract.
- (d) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.

15.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client's interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

15.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.

15.2.1 Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:

a. Conflicting activities

- (i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

b. Conflicting assignments

- (ii) Conflict among consulting assignments: a Consultant or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.

c. Conflicting relationships

- (iii) Relationship with the Client's staff: a Consultant that has a close business or family relationship with a professional staff of the Borrower (or of the Client, or of implementing agency, or of a recipient of a part of the Bank's financing) who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) 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.

16. Corrupt and Fraudulent Practices

16.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Attachment 1.

16.2 In further pursuance of this policy, Consultant shall permit the Bank to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an award), and to have them audited by auditors appointed by the Bank.

17. Eligibility

17.1 The Bank permits consultants from all countries to offer consulting services for Bank-financed projects.

17.2 As an exception to the foregoing Clause 17.1 above:

a. Sanctions

17.2.1 An individual sanctioned by the Bank in accordance with the above Clause 16.1 or in accordance with "Anti-Corruption Guidelines" shall be ineligible to be awarded a Bank-financed contract, or to benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall determine. The list of debarred firms and individuals is available at the electronic address:
www.worldbank.org/debarr.

b. Prohibitions

17.2.2 Firms and individuals of a country or goods manufactured in a country may be ineligible:
(a) as a matter of law or official regulations, the Borrower's country prohibits

commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or

- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

c. Restrictions for public employees

17.2.3 Government officials and civil servants of the Borrower's country are not eligible to be included as Experts in the Consultant's Proposal unless such engagement does not conflict with any employment or other laws, regulations, or policies of the Borrower's country, and they

(i) are on leave of absence without pay, or have resigned or retired;

(ii) are not being hired by the same agency they were working for before going on leave of absence without pay, resigning, or retiring

(in case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants or government employees in the Borrower's country, whichever is longer. Experts who are employed by the government-owned universities, educational or research institutions are not eligible unless they have been full time employees of their institutions for a year or more prior to being included in Consultant's Proposal.; and

(iii) their hiring would not create a conflict of interest.

FOR THE CLIENT

FOR THE CONSULTANT

Signed by _____

Signed by _____

Title: _____

Title: _____

ATTACHMENT 1. Bank Policy – Corrupt and Fraudulent Practices
(this Attachment shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011 and Revised July 2014:

“Fraud and Corruption

1.23 It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Bank:

- (a) defines, for the purposes of this provision, the terms set forth below as follows:
 - (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party⁶;
 - (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation⁷;
 - (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party⁸;
 - (iv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁹;
 - (v) “obstructive practice” is
 - (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from

⁶ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

⁷ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

⁸ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

⁹ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or

- (bb) acts intended to materially impede the exercise of the Bank's inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing Bank's sanctions procedures¹⁰, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated¹¹ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

¹⁰ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

¹¹ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant's proposal for the particular services; or (ii) appointed by the Borrower.

LIST OF ANNEXES

Annex A: Terms of Reference and Scope of Services

Annex B: Consultant's corresponding unit rates

Annex C: Consultant's Reporting Obligations

G9: Sample Contract for Consulting Services, Small Assignments, Lumps-Sum Payment

SAMPLE CONTRACT FOR CONSULTING SERVICES SMALL ASSIGNMENTS - Firm TIME-BASED PAYMENTS (IBRD/IDA FINANCED)

CONTRACT No. *[insert]*

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *[insert Client's name]* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Consultant's name]* ("the Consultant") having its principal office located at *[insert Consultant's address³³]*.

WHEREAS, the Client wishes to have the Consultant performing the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

- 1. Services**
 - (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
 - (ii) The Consultant shall provide the reports listed in Annex B, "Consultant's Reporting Obligations," within the time periods listed in such Annex, and the personnel listed in Annex C, "Cost Estimate of Services, List of Personnel and Schedule of Rates" to perform the Services.
- 2. Term**

The Consultant shall perform the Services during the period commencing *[insert start date]* and continuing through *[insert completion date]* or any other period as may be subsequently agreed by the parties in writing.
- 3. Payment**
 - A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed a ceiling of *[insert ceiling amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant. The payments made under the Contract consist of the Consultant's remuneration as defined in

³³ Avoid use of "P.O. Box" address

sub-paragraph B below and of the reimbursable expenditures as defined in sub-paragraph C below.

B. Remuneration

The Client shall pay the Consultant for Services rendered at the rate(s) per man/month spent¹ (~~or~~ per day spent ~~or~~ per hour spent, subject to a maximum of eight hours per day) in accordance with the rates agreed and specified in Annex C, "Cost Estimate of Services, List of Personnel and Schedule of Rates."

C. Reimbursables

The Client shall pay the Consultant for reimbursable expenses, which shall consist of and be limited to:

- (i) normal and customary expenditures for official travel, accommodation, printing, and telephone charges; official travel will be reimbursed at the cost of less than first class travel and will need to be authorized by the Client's coordinator;
- (ii) such other expenses as approved in advance by the Client's coordinator.²

D. Payment Conditions

Payment shall be made in *[specify currency]* not later than 30 days following submission of invoices in duplicate to the Coordinator designated in paragraph 4.

Payments shall be made to Consultant's bank account *[insert banking details. If payment by bank wire is not possible, prior Bank approval to apply cash payments option shall be obtained]*

4. Project Administration

A. Coordinator

The Client designates Mr./Ms. *[insert name and job title]* as Client's Coordinator; the Coordinator shall be responsible for the coordination of activities under the Contract, for receiving and approving invoices for payment, and for acceptance of the deliverables by the Client.

B. Timesheets

During the course of their work under this Contract, including field work, the Consultant's employees providing services under this Contract may be

¹ Select the applicable rate and delete the others.

² Specific expenses can be added as an item (iii) in paragraph 3.C.

required to complete timesheets or any other document used to identify time spent, as well as expenses incurred, as instructed by the Project Coordinator.

C. Records and Accounts

The Consultant shall keep, and shall cause its Sub-Consultants to keep, accurate and systematic records and accounts in respect of the Services, which will clearly identify all charges and expenses. The Client reserves the right to audit, or to nominate a reputable accounting firm to audit, the Consultant's records relating to amounts claimed under this Contract during its term and any extension, and for a period of three months thereafter.

5. Performance Standard

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

6. Inspections and Auditing

The Consultant shall permit, and shall cause its Sub-Consultants to permit, the Bank and/or persons or auditors appointed by the Bank to inspect and/or audit its accounts and records and other documents relating to the submission of the Proposal to provide the Services and performance of the Contract. Any failure to comply with this obligation may constitute a prohibited practice subject to contract termination and/or the imposition of sanctions by the Bank (including without limitation a determination of ineligibility) in accordance with prevailing Bank's sanctions procedures.

7. Confidentiality

The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

8. Ownership of Material

Any studies, reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.³

9. Consultant Not to be Engaged in Certain Activities

The Consultant agrees that, during the term of this Contract and after its termination, the Consultants and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than consulting services that would not give rise to a conflict of interest) resulting from or closely related to the Consulting Services for the preparation or implementation of the Project.

³ Restrictions about the future use of these documents and software, if any, shall be specified at the end of Article 8.

10. Insurance	The Consultant will be responsible for taking out any appropriate insurance coverage.
11. Assignment	The Consultant shall not assign this Contract or Subcontract any portion of it without the Client's prior written consent.
12. Law Governing Contract and Language	The Contract shall be governed by the laws of <i>[insert government]</i> , and the language of the Contract shall be ⁴ <i>[insert language]</i> .
13. Dispute Resolution⁵	Any dispute arising out of this Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country.
14. Termination	<p>The Client may terminate this Contract with at least ten (10) working days prior written notice to the Consultant after the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause:</p> <ul style="list-style-type: none"> (a) If the Consultant does not remedy a failure in the performance of its obligations under the Contract within seven (7) working days after being notified, or within any further period as the Client may have subsequently approved in writing; (b) If the Consultant becomes insolvent or bankrupt; (c) If the Consultant, in the judgment of the Client or the Bank, has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices (as defined in the prevailing Bank's sanctions procedures) in competing for or in performing the Contract. (d) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.
15. Conflict of Interest	15.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client's interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

⁴ The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

⁵ In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 13: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

15.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.

15.2.1 Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:

a. Conflicting activities

(i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

b. Conflicting assignments

(ii) Conflict among consulting assignments: a Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.

c. Conflicting relationships

(iii) Relationship with the Client's staff: a Consultant (including its Experts and Sub-consultants) that has a close business or family relationship with a professional staff of the Borrower (or of the Client, or of implementing agency, or of a recipient of a part of the Bank's financing) who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) 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.

16. Corrupt and Fraudulent Practices

16.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Attachment 1.

16.2 In further pursuance of this policy, Consultant shall permit and shall cause its agents, Experts, Sub-consultants, sub-contractors, services providers, or suppliers to permit the Bank to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an award), and to have them audited by auditors appointed by the Bank.

17. Eligibility

17.1 The Bank permits consultants (individuals and firms, including Joint Ventures and their individual members) from all countries to offer consulting services for Bank-financed projects.

17.2 Furthermore, it is the Consultant's responsibility to ensure that its Experts, joint venture members, Sub-consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by the Bank in the Applicable Guidelines.

- a. Sanctions**
- 17.4 As an exception to the foregoing Clauses 17.1 and 17.2 above:
- 17.3.1 A firm or an individual sanctioned by the Bank in accordance with the above Clause 16.1 or in accordance with "Anti-Corruption Guidelines" shall be ineligible to be awarded a Bank-financed contract, or to benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall determine. The list of debarred firms and individuals is available at the electronic address: www.worldbank.org/debarr.
- b. Prohibitions**
- 17.3.2 Firms and individuals of a country or goods manufactured in a country may be ineligible:
- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or
 - (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.
- c. Restrictions for Government-owned Enterprises**
- 17.3.3 Government-owned enterprises or institutions in the Borrower's country shall be eligible only if they can establish that they (i) are legally and financially autonomous, (ii) operate under commercial law, and (iii) that they are not dependent agencies of the Client
- To establish eligibility, the government-owned enterprise or institution should provide all relevant documents (including its charter) sufficient to demonstrate that it is a legal entity separate from the government; it does not currently receive any substantial subsidies or budget support; it is not obligated to pass on its surplus to the government; it can acquire rights and liabilities, borrow funds, and can be liable for repayment of debts and be declared bankrupt; and it is not competing for a contract to be awarded by the government department or agency which, under the applicable laws or regulations, is its reporting or supervisory authority or has the ability to exercise influence or control over it.
- d. Restrictions for public employees**
- 17.3.4 Government officials and civil servants of the Borrower's country are not eligible to be included as Experts in the Consultant's Proposal unless such engagement does not conflict with any employment or other laws, regulations, or policies of the Borrower's country, and they
- (i) are on leave of absence without pay, or have resigned or retired;
 - (ii) are not being hired by the same agency they were working for before going on leave of absence without pay, resigning, or retiring

(in case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants or government employees in the Borrower's country, whichever is longer. Experts who are employed by the government-owned universities, educational or research institutions are not eligible unless they have been full time employees of their institutions for a year or more prior to being included in Consultant's Proposal.; and

(iii) their hiring would not create a conflict of interest.

FOR THE CLIENT

FOR THE CONSULTANT

Signed by _____

Signed by _____

Title: _____

Title: _____

Attachment 1. Bank Policy – Corrupt and Fraudulent Practices

(this Attachment shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011 and Revised July 2014:

"Fraud and Corruption

1.23 It is the Bank's policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Bank:

(a) defines, for the purposes of this provision, the terms set forth below as follows:

- (vi) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party³⁴;
- (vii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation³⁵;
- (viii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party³⁶;
- (ix) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party³⁷;
- (x) “obstructive practice” is
 - (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
 - (bb) acts intended to materially impede the exercise of the Bank’s inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

³⁴ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

³⁵ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

³⁶ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

³⁷ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

(c) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner they knew of the practices;

(d) will sanction a firm or an individual at any time, in accordance with prevailing Bank's sanctions procedures³⁸, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated³⁹ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

LIST OF ANNEXES

Annex A: Terms of Reference and Scope of Services

Annex B: Consultant's Reporting Obligations

Annex C: Cost Estimate of Services, List of Personnel and Schedule of Rates

³⁸ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

³⁹ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant's proposal for the particular services; or (ii) appointed by the Borrower.

ANNEX C

Cost Estimate of Services, List of Personnel and Schedule of Rates

(1) Remuneration of Staff

	Name	Rate (per month/day/ hour in currency)	Time spent (number of month/day/hour)	Total (currency)
(a)	Team Leader			
(b)				
(c)				
				Sub-Total (1)

(2) Reimbursables⁶

	Rate	Days	Total
(a)	International Travel		
(b)	Local Transportation		
(c)	Per Diem		
			Sub-total (2)

TOTAL COST _____

Physical Contingency⁷ _____

CONTRACT CEILING _____

**SAMPLE CONTRACT FOR CONSULTING SERVICES
SMALL ASSIGNMENTS
TIME-BASED PAYMENTS (INDIVIDUAL CONSULTANT)
(IBRD/IDA FINANCED)**

CONTRACT No. [insert]

⁶ To include expenses for international travel, local transportation, per diem, communications, reporting costs, visas, inoculations, routine medical examinations, portage fees, in-and-out expenses, airport taxes, and other such travel related expenses as may be necessary; reimbursable at cost with supporting documents/receipts; except for per diem (which is fixed and includes housing and _____ expenses).

⁷ From 0 to 15 percent of total cost; use of contingency requires prior approval of the Client.

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *[insert Client's name]* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Consultant's name]* ("the Consultant") having its principal office located at *[insert Consultant's address*⁴⁰].

WHEREAS, the Client wishes to have the Consultant performing the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

- 1. Services**
 - (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
 - (ii) The Consultant shall provide the reports listed in Annex B, "Consultant's Reporting Obligations," within the time periods listed in such Annex.
- 2. Term**

The Consultant shall perform the Services during the period commencing *[insert start date]* and continuing through *[insert completion date]* or any other period as may be subsequently agreed by the parties in writing.
- 3. Payment**
 - A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed a ceiling of *[insert ceiling amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant. The payments made under the Contract consist of the Consultant's remuneration as defined in sub-paragraph B below and of the reimbursable expenditures as defined in sub-paragraph C below.
 - B. Remuneration

The Client shall pay the Consultant for Services rendered at the rate(s) per man/month spent¹ (**or** per day spent **or** per hour spent, subject to a maximum of eight hours per day) in accordance with the rates agreed and specified in Annex C, "Cost Estimate of Services and Schedule of Rates."

⁴⁰ Avoid use of "P.O. Box" address

¹ Select the applicable rate and delete the others.

C. Reimbursables

The Client shall pay the Consultant for reimbursable expenses, which shall consist of and be limited to:

- (i) normal and customary expenditures for official travel, accommodation, printing, and telephone charges; official travel will be reimbursed at the cost of less than first class travel and will need to be authorized by the Client's coordinator;
- (ii) such other expenses as approved in advance by the Client's coordinator.²

D. Payment Conditions

Payment shall be made in *[specify currency]* not later than 30 days following submission of invoices in duplicate to the Coordinator designated in paragraph 4.

Payments shall be made to Consultant's bank account *[insert banking details. If payment by bank wire is not possible, prior Bank approval to apply cash payments option shall be obtained]*

4. Project Administration

A. Coordinator

The Client designates Mr./Ms. *[insert name and job title]* as Client's Coordinator; the Coordinator shall be responsible for the coordination of activities under the Contract, for receiving and approving invoices for payment, and for acceptance of the deliverables by the Client.

B. Timesheets

During the course of their work under this Contract, including field work, the Consultant may be required to complete timesheets or any other document used to identify time spent, as well as expenses incurred, as instructed by the Project Coordinator.

C. Records and Accounts

The Consultant shall keep accurate and systematic records and accounts in respect of the Services, which will clearly identify all charges and expenses. The Client reserves the right to audit, or to nominate a reputable accounting firm to audit, the Consultant's

² Specific expenses can be added as an item (iii) in paragraph 3.C.

records relating to amounts claimed under this Contract during its term and any extension, and for a period of three months thereafter.

- | | |
|--|---|
| 5. Performance Standard | The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. |
| 6. Inspections and Auditing | The Consultant shall permit, the Bank and/or persons or auditors appointed by the Bank to inspect and/or audit its accounts and records and other documents relating to the submission of the Proposal to provide the Services and performance of the Contract. Any failure to comply with this obligation may constitute a prohibited practice subject to contract termination and/or the imposition of sanctions by the Bank (including without limitation a determination of ineligibility) in accordance with prevailing Bank's sanctions procedures. |
| 7. Confidentiality | The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client. |
| 8. Ownership of Material | Any studies, reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software. ³ |
| 9. Consultant Not to be Engaged in Certain Activities | The Consultant agrees that, during the term of this Contract and after its termination, the Consultants and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than consulting services that would not give rise to a conflict of interest) resulting from or closely related to the Consulting Services for the preparation or implementation of the Project. |
| 10. Insurance | The Consultant will be responsible for taking out any appropriate insurance coverage. |
| 11. Assignment | The Consultant shall not assign this Contract or Subcontract any portion of it without the Client's prior written consent. |
| 12. Law Governing Contract and Language | The Contract shall be governed by the laws of <i>[insert government]</i> , and the language of the Contract shall be ⁴ <i>[insert language]</i> . |

³ Restrictions about the future use of these documents and software, if any, shall be specified at the end of Article 8.

⁴ The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

13. Dispute Resolution⁵

Any dispute arising out of this Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country.

14. Termination

The Client may terminate this Contract with at least ten (10) working days prior written notice to the Consultant after the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause:

- (a) If the Consultant does not remedy a failure in the performance of its obligations under the Contract within seven (7) working days after being notified, or within any further period as the Client may have subsequently approved in writing;
- (b) If the Consultant becomes insolvent or bankrupt;
- (c) If the Consultant, in the judgment of the Client or the Bank, has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices (as defined in the prevailing Bank's sanctions procedures) in competing for or in performing the Contract.
- (d) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.

15. Conflict of Interest

1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client's interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

15.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.

⁵ In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 13: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

15.2.1 Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:

a. Conflicting activities

- (i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

b. Conflicting assignments

- (ii) Conflict among consulting assignments: a Consultant or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.

c. Conflicting relationships

- (iii) Relationship with the Client's staff: a Consultant that has a close business or family relationship with a professional staff of the Borrower (or of the Client, or of implementing agency, or of a recipient of a part of the Bank's financing) who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) 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.

16. Corrupt and Fraudulent Practices

16.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Attachment 1.

16.2 In further pursuance of this policy, Consultant shall permit the Bank to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an award), and to have them audited by auditors appointed by the Bank.

17. Eligibility

17.1 The Bank permits consultants from all countries to offer consulting services for Bank-financed projects.

17.2 As an exception to the foregoing Clause 17.1 above:

a. Sanctions

17.2.1 An individual sanctioned by the Bank in accordance with the above Clause 16.1 or in accordance with "Anti-Corruption Guidelines" shall be ineligible to be awarded a Bank-financed contract, or to benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall determine. The list of debarred firms and individuals is available at the electronic address:

www.worldbank.org/debarr.

b. Prohibitions

17.2.2 Firms and individuals of a country or goods manufactured in a country may be ineligible:

- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or
- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

c. Restrictions for public employees

17.2.3 Government officials and civil servants of the Borrower's country are not eligible unless such engagement does not conflict with any employment or other laws, regulations, or policies of the Borrower's country, and they

(i) are on leave of absence without pay, or have resigned or retired;

(ii) are not being hired by the same agency they were working for before going on leave of absence without pay, resigning, or retiring

(in case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants or government employees in the Borrower's country, whichever is longer. Experts who are employed by the government-owned universities, educational or research institutions are not eligible unless they have been full time employees of their institutions for a year or more prior to being included in Consultant's Proposal.; and

(iii) their hiring would not create a conflict of interest.

FOR THE CLIENT

FOR THE CONSULTANT

Signed by _____

Signed by _____

Title: _____

Title: _____

ATTACHMENT 1. Bank Policy – Corrupt and Fraudulent Practices
(this Attachment shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants
by World Bank Borrowers, dated January 2011 and Revised July 2014:

“Fraud and Corruption

1.23 It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Bank:

(a) defines, for the purposes of this provision, the terms set forth below as follows:

(xi) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party⁴¹;

(xii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation⁴²;

(xiii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party⁴³;

(xiv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁴⁴;

(xv) “obstructive practice” is

(aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or

⁴¹ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

⁴² For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

⁴³ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

⁴⁴ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or

(bb) acts intended to materially impede the exercise of the Bank's inspection and audit rights;

(b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

(c) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner they knew of the practices;

(d) will sanction a firm or an individual at any time, in accordance with prevailing Bank's sanctions procedures⁴⁵, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated⁴⁶ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

LIST OF ANNEXES

Annex A: Terms of Reference and Scope of Services

Annex B: Consultant's Reporting Obligations

Annex C: Cost Estimate of Services and Schedule of Rates

⁴⁵ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

⁴⁶ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant's proposal for the particular services; or (ii) appointed by the Borrower.

ANNEX C

Cost Estimate of Services and Schedule of Rates

(1) Remuneration

(2) Reimbursables⁶

	Rate	Days	Total
(a) International Travel			
(b) Local Transportation			
(c) Per Diem			
			Sub-total (2)

TOTAL COST _____

Physical Contingency⁷ _____

CONTRACT CEILING _____

⁶ To include expenses for international travel, local transportation, per diem, communications, reporting costs, visas, inoculations, routine medical examinations, portage fees, in-and-out expenses, airport taxes, and other such travel related expenses as may be necessary; reimbursable at cost with supporting documents/receipts; except for per diem (which is fixed and includes housing and _____ expenses).

⁷ From 0 to 15 percent of total cost; use of contingency requires prior approval of the Client.

Evaluation Report - Selection of Consulting Services, Individual Consultant

Country. Project Title:

Loan/Credit/Grant Number:

Date_____

1. Implementing Agency _____(address, telephone/Fax No)
2. Name of consulting assignment:
3. Package Number (as per Procurement Plan):
4. Total Estimated Cost of Assignment: (Include fees, incidentals, travel costs, etc.)
5. Period of the Assignment:
6. Date of Issue of the LOI Or Request to Express Interest:
7. Name of individual consultants invited (list also those who expressed interest in response to advertisements and/or GPN, if there was an invitation issued):
8. Evaluation Criteria basis:
 - I. General Qualifications -.....points
 - -----
 - -----
 - II. Adequacy for the Project -..... points
 - -----
 - -----
 - -----
 - III. Language and Relevant Experience -----points
 - -----
 - -----
 - -----
9. Deadline for submission of CVs:
10. Name of consultants who expressed interest and submitted CVs:
11. Members of Evaluation Committee: (Name and Position of each member)
12. Consultants included on the Short List: (include at least three)

11. Results of evaluation of CVs with respect to TOR and other evaluation criteria/requirements)

Name of Short Listed consultant	Strengths	Weaknesses
1		
2		
3		

14. Based on the substantial responsiveness of the best evaluated CV with respect to compliance with technical and other related aspects specified in the TORs the following award of contract is recommended:

Name of the Selected Individual Consultant:

Contract Price: to be negotiated

Period of Consulting/Services: to be negotiated

Complaints, if any: _____

Signature of the Chairperson of the Evaluation Committee: _____

EVALUATION SHEET Consultant Names	Age	General Qualification (---Points)		Adequacy for Project (---Points)		Language and Experience (---Points)		Staff Rating
		Rating*	(A) x (Points)	Rating*	(C) x (Points)	Rating*	(E x (Points)	(B) + (D) + (F)
		(A)	(B)	(C)	(D)	(E)	(F)	(G)

* Footnote:

Rating: Highly Satisfactory 100% (or 1.0)

Satisfactory – 90% (or 0.9)

Good – 80% (or 0.8)

Poor – 60% (or 0.6)

Unsatisfactory – 50% (or 0.5)

ANNEX G: TRAINING PLAN

PART B: Annexes and Forms

NAME AND NUMBER OF TRAININGS ON CSP FOR FOUR YEARS

Name and number of trainings in the first investment year									
Sequence No.	Activities	Outputs	Level	Participants	Duration	Timing	Responsible	Reporting	Training costs
1.	“Organizational Capacity Development” workshop	Institution self-assessment using AKF Organizational Capacity Assessment Tool completed for 22 C-VIA and first round of training and mentoring to address the weakest areas identified during the assessment conducted.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	2 times 1-day	After establishment of C-VIA	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
2.	“Development of Social - Infrastructure Subprojects and Environmental checklist” training	88 C-VIA members have acquired knowledge on i) the steps to be followed for the development of social infrastructure project and ii) how to complete the project’s environmental checklist.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth) and 150 YF (50% women)	2 times 1-day	After the meeting of C-VIA	ARIS	Trainers’ report; Lists of training participant; Pictures of the training.	
3.	“Procurement Procedures” training	88 C-VIAs members acquired knowledge on the project tendering process methods	12-15 clusters	22 contest commissions, interested villagers from among the youth	2 times 1-day	After approving the investment plan	CSP FO specialists and hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
4.	“Vision/Local Development Strategy and Investment Plan” training	88 C-VIA members have acquired knowledge and skills in developing LDS vision and investment plan.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	2 times 1-day	After preparing the village profile	ARIS, hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
5.	“Training Mastership and Facilitation Skills” training	88 C-VIA members have acquired knowledge and skills in participatory community facilitation process.		88 C-VIA members (44 men, 44 women, 50% youth)	2 times 1-day	After establishment of C-VIA	ARIS, hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	

PART B: Annexes and Forms

6.	“Financial Literacy” training	88 C-VIA members and 22 youth accountant have acquired knowledge and skills in	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth) and 22 youth accountants	2 times 1-day	After selecting C-VIA accountant	ARIS	Trainers’ report; Lists of training participants; Pictures of the training.	
7.	“Facilitation Skills” training	150 youth facilitators (YF) (50% of women) have acquired general knowledge and skills in i) connecting with, collecting information from and response to the needs of diverse audience (style, personality, culture, gender, etc.); ii) Creating energy and provide a dynamic, interactive group meeting, dialogues, etc.; iii) reading and diagnosing the audience’s needs and adjust their approach to facilitation accordingly; iv) stimulating dialogue and create conditions for high levels of participation of different audience groups; v) managing difficult participant behaviors and group dysfunction; vi) helping participants transfer and apply the skills, concepts, and knowledge.	12-15 clusters	150 YF (50% of women)	2 times 1-day	Trainings will be held in Year 1. As required, refresher trainings will be conducted in the following years.	ARIS	Trainers’ report; Lists of training participants; Pictures of the training.	
8.	“Community Awareness on CSP” training	150 CR have general knowledge and skills to provide information to communities on i) CSP goal and key investment areas; iii) Range of entitlements to be received by the project beneficiaries; etc.	12 clusters	150 CR (50% women)	1 day	Year 1	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
9.	“Community Mobilization” training	150 YF (50% women) and C-VIA members have gained general skills on i) social network analysis; ii) asset mapping; iii) conflict mapping; iv) observational techniques community mobilization & civic engagement; v) rapport building, participatory planning and vi) empowerment of youth and women and marginalized	12-15 clusters	150 YF 88 C-VIA members for 22 C-VIA (44 men, 44 women, 50% youth)	2 times 1-day	Trainings will be held in Year 1.	AKF for YF ARIS for C-VIA (Before actual training, AKF and ARIS to discuss and decide on minimum common training content for both YFs and C-VIAs)	Trainers’ report; Lists of training participants; Pictures of the training.	

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10.	"Joint Study of Community Needs" training	150 YF (50% of women) have acquired general knowledge and skills in collecting data on i) village budget and profile (including information on demography, economic structures, social and technical infrastructure, public services, natural and construction environments, transport and communications); ii) village-based youth profiles and iii) youth needs assessments.	12-15 clusters	150 YF (50% of women)	2 times 1-day	After the introductory information meetings	AKF	Trainers' report; Lists of training participants; Pictures of the training.	
11.	"Advocacy" training	150 YF and 150 community reporters (CR) (50% of women) have gained general knowledge of tools for i) Identifying problems and policy issues; ii) Defining the objectives of advocacy goals; iii) Establishing relationship with stakeholders; iv) Establishing trust as credibility as an defender advocate; v) Mapping relations and comparing of power relations and decision-making; vi) Identifying target audiences, allies, and opponents; vii) Selecting the right approach to advocacy.	12-15 clusters	150 YF and 150 CR (50% women)	2 times 1-day	In the 1st and 3rd investment years	AKF	Trainers' report; Lists of training participants; Pictures of the training.	
12.	"Knowledge Days" training of trainers	Individuals or service providers knowledgeable in project-relevant topics identified by AKF and ARIS, who then delivered lectures or workshops for 150 YF (50% of women) have the skills and knowledge to lead awareness-building activities on livelihoods and services that create more informed and active communities.	12-15 clusters	150 YF (50% women)	0.5 day	In Year 1	AKF	Trainers' report; Lists of training participants; Pictures of the training.	
13.	"Forum Theater Methodology" training	150 youth actors (50% of women) have gained knowledge and skills in using forum theater methodology to help youth to express pressing issues that they and their communities face and to identify youth-led initiatives that can be implemented to address those problems. This will increase youth's development of positive civil identity, increase their self-confidence and improve the life of the community.	12-15 clusters	150 youth actors (50% women)	Initial 5 times 1-day introductory meeting, followed by a 2 times 1-day advanced training after 3-4 months	Year 1	AKF	Trainers' report; Lists of training participants; Pictures of the training.	

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14.	“Participatory Monitoring” Training	150 CR have acquired general knowledge and skills in i) participatory data collection methods (visual methods, beneficiary assessments, photographing evidence); ii) data analysis and information sharing; iii) developing a schedule for routine monitoring of project activities including scheduled meetings with C-VIA. Participants will also learn about the project structure.	12 clusters	150 CR (50% women)	2 times 1-day	Year 1	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
15.	“Community Scorecard Methods” training	150 CR and 88 C-VIA members have general knowledge in skills in community Scorecard method, including: i) defining users' entitlements; ii) facilitating meetings with service user; iii) identifying and facilitating meetings with service providers; iv) facilitating interface meetings; v) elements of a joint action accountability plans	12 clusters	150 community reporters (50% women); 88 C-VIA members from 22 C-VIA (44 men, 44 women, 50% youth)	2 times 1-day	Year 1	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
16.	“Training in social audit methodology” training	150 CR and 88 C-VIA members have general knowledge and skills in social audit methodology, including: Defining audit boundaries and identifying stakeholders; Social audit meetings and Feedback and institutionalization of social audits.	12 clusters	150 community reporters (50% women); 88 C-VIA members from 22 C-VIA (44 men, 44 women, 50% youth)	1 day	Year 2	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
17.	Follow-up mentoring session	AKF and ARIS staff have conducted mentoring session with the C-VIA, YF and CR who attended the different sessions that took place in Year 1. Based on those sessions, 1) trainees have gained confidence in the use of the different tools and techniques they learned; 2) Challenges faced by trained C-VIA members, YF and CR documented by AKF and ARIS staff and plan to those addressed during following mentoring sessions developed	12 – 15 clusters	22 C-VIA; 150 YF; 150 CR	0.5 day with C-VIA, YF and CR.	On a bi-monthly basis after the different training	ARIS AKF	Mentoring plan; Mentoring session report, including topics to discussed during the next sessions; List of participants	

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18.	Debriefing session with C-VIA, YF and CR	AKF and ARIS conducted debriefing sessions with 22 C-VIA, 150 YF and 150 CR. Feedbacks and lessons learned from participants on the use of the tools and techniques documented and work plans for Year 2 to address challenges identified developed by ARIS and AKF.	12-15 clusters	At least 30% of the trained 22 C-VIA, 150 YF and 150 CR (50% of women).	1 day	Q4 of Year 1	ARIS AKF	Debriefing session report; Year 2 work plan to address challenges identified through the provision of advance training.	
Name and number of trainings in the second investment year									
Sequence No.	Activities	Outputs	Level	Participants	Duration	Timing	Responsible	Reporting	
1.	Advanced training in “Organizational Strengthening ”	Second and third round of training and mentoring to address the weakest areas identified during the assessment conducted in Year 1	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	2 times 1-day	Year 2	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
2.	“Implementatio n of local development strategies” training	88 C-VIA members have acquired knowledge on i) The role of local government in local socio-economic development; ii) Analysis and mobilization of local resources to support implementation of development strategies; iii) Planning and budgeting for local development; iv) Differentiation of rights and responsibilities including the role of local self-government in local development.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	2 times 1-day	Year 2	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
3.	Advanced training in “Development of Social - Infrastructure Subprojects and Environmental checklist”	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings..	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth) and 150 YF (50% women)	1 day	Year 2	ARIS	Trainers’ report; Lists of training participants; Pictures of the training.	

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4.	Advanced training in “Procurement Procedures”	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	22 contest commissions, interested villagers from among the youth	1 day	Year 2	CSP FO specialists and hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
5.	Advanced training in “Vision/Local Development Strategy and Investment Plan”	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	1 day	Year 2	ARIS, hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
6.	Advanced training in “Training Mastership and Facilitation Skills”	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	1 day	Year 2	ARIS, hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
7.	Advanced training in “Financial Literacy”	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 88 C-VIA members and 22 youth accountants have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth) and 22 youth accountants	1 day	Year 2	ARIS	Trainers’ report; Lists of training participants; Pictures of the training.	
8.	Advanced training in “Facilitation Skills” training	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 150 youth facilitators (YF) (50% of women) have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF (50% of women)	2 times 1-day	Year 2	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
9.	Advanced training in “Community Awareness on CSP”	Based on the knowledge gaps identified during the Year 1 annual debriefing session and information on project activities implemented in Year 2, 150 CR have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12 clusters	150 CR (50% women)	0.5 day	Year 2	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	

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10.	Advance training in "Community Mobilization"	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 150 YF (50% women) and 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF 88 C-VIA members from 22 C-VIA (44 men, 44 women, 50% youth)	1 day	Year 2	AKF for YF ARIS for C-VIA	Trainers' report; Lists of training participants; Pictures of the training.	
11.	Advance training in "Joint Study of Community Needs"	Based on the knowledge gaps identified during the Year 1 annual debriefing session, 150 youth facilitators (YF) (50% of women) have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF (50% of women)	1 day	Year 2	AKF	Trainers' report; Lists of training participants; Pictures of the training.	
12.	"Knowledge Days" training of trainers	Individuals or service providers knowledgeable in project-relevant topics identified by AKF and ARIS, who then delivered lectures or workshops for 150 YF (50% of women) have the skills and knowledge to lead awareness-building activities on livelihoods and services that create more informed and active communities.	12-15 clusters	150 YF (50% women)	0.5 day	In Year 1	AKF	Trainers' report; Lists of training participants; Pictures of the training.	
13.	Follow-up mentoring session	AKF and ARIS staff have conducted mentoring session with the C-VIA, YF and CR who attended the different sessions that took place in Year 2. Based on those sessions, 1) trainees have gained confidence in the use of the different tools and techniques they learned; 2) Challenges faced by trained C-VIA members, YF and CR documented by AKF and ARIS staff and plan to those addressed during following mentoring sessions developed.	12 – 15 clusters	22 C-VIA; 150 YF and 150 CR (50% of women)	0.5 day with C-VIA, YF and CR.	Every quarter after the different training in Year 2	ARIS AKF	Mentoring plan; Mentoring session report; List of participants	
14.	Debriefing session with C-VIA, YF and CR	AKF and ARIS conducted debriefing sessions with 22 C-VIA, 150 YF and 150 CR. Feedbacks and lessons learned from participants on the use of the tools and techniques documented and work plans for Year 2 to address challenges identified developed by ARIS and AKF.	12-15 clusters	22 C-VIA; 150 YF and 150 CR (50% of women)	1 day	Q4 of Year 2	ARIS AKF	Debriefing session report; Year 3 & 4 work plan to address challenges identified.	
Name and number of trainings in the third investment year									
Sequence No.	Activities	Outputs	Level	Participants	Duration	Timing	Responsible	Reporting	

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1.	Advanced training in “Organizational Strengthening”	Second and third round of training and mentoring to address the weakest areas identified during the assessment conducted in Year 2	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	2 times 1-day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
2.	Advanced training in “Implementation of local development strategies”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the initial training.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	1 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
3.	Advanced training in “Development of Social - Infrastructure Subprojects and Environmental checklist”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings..	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth) and 150 YF (50% women)	1 day	Year 3	ARIS	Trainers’ report; Lists of training participants; Pictures of the training.	
4.	Advanced training in “Procurement Procedures”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	22 contest commissions, interested villagers from among the youth	1 day	Year 3	CSP FO specialists and hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
5.	Advanced training in “Vision/Local Development Strategy and Investment Plan”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth)	1 day	Year 3	ARIS, hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	
6.	Advanced training in “Training Mastership and Facilitation Skills”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.		88 C-VIA members (44 men, 44 women, 50% youth)	1 day	Year 3	ARIS, hired trainers	Trainers’ report; Lists of training participants; Pictures of the training.	

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7.	Advanced training in “Financial Literacy”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 88 C-VIA members and 22 youth accountants have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	88 C-VIA members (44 men, 44 women, 50% youth) and 22 youth accountants	1 day	Year 3	ARIS	Trainers’ report; Lists of training participants; Pictures of the training.	
8.	Advanced training in “Facilitation Skills” training	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 youth facilitators (YF) (50% of women) have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF (50% of women)	2 days	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
9.	Advanced training in “Community Awareness on CSP”	Based on the knowledge gaps identified during the Year 2 annual debriefing session and information on project activities implemented in Year 3, 150 CR have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12 clusters	150 CR (50% women)	0.5 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
10.	Advanced training in “Community Mobilization”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 YF (50% women) and 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF 88 C-VIA members from 22 C-VIA (44 men, 44 women, 50% youth)	1 day	Year 3	AKF for YF ARIS for C-VIA	Trainers’ report; Lists of training participants; Pictures of the training.	
11.	Advanced training in “Joint Study of Community Needs”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 youth facilitators (YF) (50% of women) have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF (50% of women)	1 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
12.	Advanced training in “Advocacy” training	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 YF and 150 community reporters (CR) (50% of women) have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 YF and 150 CR (50% women)	1 day	Year 3 of investments	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	

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13.	“ Knowledge Day” training of trainers	Individuals or service providers knowledgeable in project-relevant topics identified by AKF and ARIS, who then delivered lectures or workshops for 150 YF (50% of women) have the skills and knowledge to lead awareness-building activities on livelihoods and services that create more informed and active communities.	12-15 clusters	150 YF (50% women)	0.5 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
14.	Advanced training in “Forum Theater Methodology”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 youth actors (50% of women) have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12-15 clusters	150 youth actors (50% women)	3 days	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
15.	Advanced training in “Participatory Monitoring”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 CR have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	12 clusters	150 CR (50% women)	1 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
16.	Advanced training in “Community Scorecard Methods”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 CR and 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous trainings.	7 training	150 community reporters (50% women); 88 C-VIA members from 22 C-VIA (44 men, 44 women, 50% youth)	2 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
17.	Advanced training in “Training in social audit methodology”	Based on the knowledge gaps identified during the Year 2 annual debriefing session, 150 CR and 88 C-VIA members have improved their knowledge and skills on one or more of the topics covered in the previous training.	12 training	150 community reporters (50% women); 88 C-VIA members from 22 C-VIA (44 men, 44 women, 50% youth)	1 day	Year 3	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
18.	Follow-up mentoring session	AKF and ARIS staff have conducted mentoring session with the C-VIA, YF and CR who attended the different sessions that took place in Year 3. Based on those sessions, 1) trainees have gained confidence in the use of the different tools and techniques they learned; 2) Challenges faced by trained C-VIA members, YF and CR documented by AKF and ARIS staff and plan to those addressed during following mentoring sessions developed.	12 – 15 clusters	22 C-VIA; 150 YF and 150 CR (50% of women)	0.5 day with C-VIA, YF and CR.	Every quarter after the different training in Year 3	ARIS AKF	Mentoring plan; Mentoring session report; List of participants	

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19.	Debriefing session with C-VIA, YF and CR	AKF and ARIS conducted debriefing sessions with 22 C-VIA, 150 YF and 150 CR. Feedbacks and lessons learned from participants on the use of the tools and techniques documented and work plans for Year 3 to address challenges identified developed by ARIS and AKF.	12-15 clusters	22 C-VIA; 150 YF and 150 CR (50% of women)	1 day	Q4 of Year 3	ARIS AKF	Debriefing session report; Year 3 & 4 work plan to address challenges identified.	
Name and number of trainings in the fourth investment year									
1.	Follow-up mentoring session	AKF and ARIS staff have conducted mentoring sessions with the C-VIA, YF and CR who attended the different sessions that took place in Year 1. Based on those sessions, 1) trainees have gained confidence in the use of the different tools and techniques they learned; 2) Challenges faced by trained C-VIA members, YF and CR documented by AKF and ARIS staff and plan to those addressed during following mentoring sessions developed.	12 – 15 clusters	22 C-VIA; 150 YF; 150 CR	0.5 day with C-VIA, YF and CR.	On a bi-monthly basis after the different training	ARIS AKF	Mentoring plan; Mentoring session report; List of participants	
2.	“ Knowledge Days” training of trainers	Individuals or service providers knowledgeable in project-relevant topics identified by AKF and ARIS, who then delivered lectures or workshops for 150 YF (50% of women) have the skills and knowledge to lead awareness-building activities on livelihoods and services that create more informed and active communities.	12-15 clusters	150 YF (50% women)	0.5 day	In Year 1	AKF	Trainers’ report; Lists of training participants; Pictures of the training.	
