

# Social Safeguard Monitoring Report

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Semi-Annual Report  
For the period covered January – June 2020  
Project Number: 45366-004  
July 2020

## Uzbekistan: Solid Waste Management Improvement Project (SWMIP)

Prepared by State Unitary Enterprise «Maxsustrans» and Khokimiyat of Tashkent city with the assistance of JV «H.P. Gauff Ingenieure GmbH & Co. KG – JBG (Germany) and Infratech Consulting SDN Ltd. (Uzbekistan)» for the Republic of Uzbekistan and the Asian Development Bank.

## Abbreviations

ADB	-	Asian Development Bank
AH	-	Affected Household
AP	-	Affected Person
CAP	-	Correction Action Plan
EA	-	Executing Agency
GFP	-	Grievance Focal Point
GOU	-	Government of Uzbekistan
GRM	-	Grievance Redress Mechanism
Ha	-	Hectare
IA	-	Implementing Agency
IR	-	Involuntary Resettlement
IWP	-	Informal Waste Picker
LARP	-	Land Acquisition and Resettlement Plan
MOF	-	Ministry of Finance
MSW	-	Municipal Solid Waste
O&M	-	Operation and Maintenance
PIU	-	Project Implementation Unit
PPTA	-	Project Preparatory Technical Assistance
SLF	-	Sanitary Landfill
SSEMP	-	Social safeguard and Environmental Monitoring plan
SWM	-	Solid Waste Management

## NOTE

In this report, "\$" refers to United State dollars (USD) and UZS refers to Uzbekistan sum.

### CURRENCY EQUIVALENTS (as on the day of June 20, 2020)

Currency Unit - sum (UZS) UZS 1,000.00 = \$0.0985  
\$1.00 = UZS 10151.90

This social safeguard monitoring report is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

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As per ADB Safeguard Policy Statement (2009) and the Operations Manual section on safeguard policy (OM F1), borrowers/clients are required to establish and maintain procedures to monitor the status of implementation of social safeguards management and ensure progress is made towards the desired outcomes.

## Glossary

<b>Compensation</b>	Payment in cash or kind for an asset to be acquired or affected by a project at replacement cost.
<b>Affected Persons</b>	Affected persons (APs) are those who experience full or partial, permanent or temporary physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) resulting from (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. APs could be of three types: (i) persons with formal legal rights to land lost in its entirety or in part; (ii) persons who lost the land they occupy in its entirety or in part who have no formal legal rights to such land, but who have claims to such lands that are recognized or recognizable under national laws; and (iii) persons who lost the land they occupy in its entirety or in part who have neither formal legal rights nor recognized or recognizable claims to such land.
<b>Entitlement</b>	The range of measures comprising cash or kind compensation, relocation cost, income rehabilitation assistance, transfer assistance, income substitution, and relocation which are due to /business restoration which are due to AH, depending on the type and degree nature of their losses, to restore their social and economic base. All entitlements will be given to all affected households as per the entitlement matrix.
<b>Hokimiyat</b>	Local government authority that interfaces between local communities and the government at the regional and national level. It has ultimate administrative and legal authority over local populations residing within its jurisdiction.
<b>Land acquisition</b>	The process whereby a person is compelled by a public agency to alienate all or part of the land s/he owns or possesses, to the ownership and possession of that agency, for public purposes, in return for fair compensation.
<b>Mahalla</b>	Is a local level community-based organization recognized official by the GoU that serves as the interface between state and community and is responsible for facilitating a range of social support facilities and ensuring the internal social and cultural cohesiveness of its members. Mahalla leaders are elected by their local communities.
<b>Meaningful Consultation</b>	A process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.
<b>Illegal</b>	HHs that are not registered their business, agriculture, residential and orchard and those who have no recognizable rights or claims to the land that they are occupying and includes people using private or state land without permission, permit or grant i.e. those people without legal lease to land and/or structures occupied or used by

	<p>them. ADB's policy explicitly states that such people are entitled to compensation for their non-land assets.</p>
<b>Replacement cost</b>	<p>Replacement cost is the principle to be complied with in compensating for lost assets. Calculation of which should include: (i) fair market value; (ii) transaction costs; (iii) interest accrued, (iv) transitional and restoration costs; and (v) other applicable payments, if any. Where market conditions are absent or in a formative stage, APs and host populations will be consulted to obtain adequate information about recent land transactions, land value by types, land titles, land use, cropping patterns and crop production, availability of land in the project area and region, and other related information. Baseline data on housing, house types, and construction materials will also be collected. Qualified and experienced experts will undertake the valuation of acquired assets. In applying this method of valuation, depreciation of structures and assets should not be taken into account.</p>
<b>Significant impact</b>	<p>200 people or more will experience major impacts, which are defined as; (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating).</p>
<b>Vulnerable Households</b>	<p>Low-income households, female-headed households with fewer than 2 adult income- earners, the elderly headed with unemployed family members, and disabled.</p>
<b>Leaseholder</b>	<p>Legal entity (registered farm) running agricultural production with the use of land plots granted to him on a long-term lease. Lease term is limited up to fifty years but not less than for ten years. Leaseholder cannot sell - buy, mortgage, sublease present, exchange the land.</p>

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## Executive Summary

i. The Government of Uzbekistan (GoU) has applied for a loan from the Asian Development Bank (ADB) for the development and improvement of Solid Waste Management (SWM) system of the capital city (Tashkent). The loan reference number is L3067-UZB: Solid Waste Management Improvement Project (SWMIP). The loan was signed between the Republic of Uzbekistan and Asian Development Bank (ADB) dated 27 February 2014 and Project Agreement dated 12 March 2014 signed between ADB, Tashkent City Municipality and the State Unitary Enterprise "MAXSUSTRANS".

ii. The project was prepared to impact an improved urban environment and quality of life for the residents of Tashkent. The project will develop a sanitary landfill that meets international standards, rehabilitate transfer stations, and modernize the waste collection and transfer fleet. It will build capacity in waste management and help formulate a national strategy on solid waste management.

iii. **Social safeguard monitoring** at this stage of project is carried out to report any other social concerns occurred during project implementation. Social safeguard monitoring is carried out in compliance with the ADB requirements. This 6<sup>th</sup> Bi-annual Report on Social Safeguards Monitoring and Evaluation of the Solid Waste Management Improvement Project is prepared to serve the purpose for compliance with ADB's safeguards on social safeguard issues during implementation of the project. It covers the period of January – June 2020.

**Land acquisition and resettlement:** To assess the project impacts on land related to the construction of new landfill at the stage of preparation of Feasibility study within the project in 2012 the land acquisition and resettlement plan was designed. In compliance with the ADB requirements the LARP must be updated at the stage of detailed project design. The project category was specified as Category B. In 2019 the detailed design of the project was prepared and approved (October 2019). However, regular Social safeguard monitoring showed that the project does not involve the involuntary land acquisition and resettlement impacts. Due Diligence was conducted in 2019 and approved by ADB in October 2019. Due Diligence confirmed that there are no the involuntary land acquisition and resettlement impacts within the project. In compliance with the request of ADB Due Diligence was updated in April 2020 and included more detailed clarification on land acquisition and resettlement impacts. The updated Due Diligence report was submitted to ADB for consideration in May 2020.

**Gender:** Gender action plan is prepared and submitted to ADB through Bi-annual reports.

iv. **Redress grievances:** Grievance redress mechanism is designed for the project in LARP 2012. The complaint handling process is reported to ADB through bi-annual reports. The PIU safeguard consultant periodically reviews and records the efficiency and effectiveness of the GRM highlighting the project's ability to prevent and address grievances. No complaints are received during this monitoring period (January –June 2020).

v. **Public Awareness and Consultations:** Within the monitoring period – January – June 2020 no public consultations were planned. Consultant will conduct the public consultations with stakeholders and residents during the construction stage to discuss any problems which may appear within civil works.

## 1. Introduction

1. This report is the 6<sup>th</sup> Bi-annual Report on Social Safeguard Monitoring under Solid Waste Management Improvement Project. The report is prepared to comply with social safeguard requirements of the Government of Uzbekistan and ADB as well as to fulfill the loan covenant as described in the loan agreement No.: 3067-UZB signed between Government and ADB.
2. The report describes the monitoring and evaluation of social safeguards activities for January – June 2020. The social safeguard monitoring report covers, in particular, the current status of social safeguard indicators of project at the preconstruction stage. The objective of this report is (i) review overall progress of the project implementation; (ii) identify any social issues and constraints that encountered in project implementation, (iii) development of social safeguard monitoring indicators for the construction stage (iv) recommend mitigation measures (if required any). The report describes the status of the social safeguard indicators of project during the period of monitoring.
3. To conduct the safeguard monitoring under the project, PIU Consultants (H.P. Gauff Ingenieure GmbH & Co. KG – JBG- (Germany) and GWK Consult GmbH (Germany) and ENG-INVEST Consulting Ltd (Uzbekistan) were selected through the tender, and the agreement was concluded with them in December of 2016.
4. The project is at the pre-construction stage. International Construction Contractor has not been hired yet. The construction period will be 18 months. The evaluation of the City Tender Commission of the contractor for the construction works is still in progress. City Tender Commission under Hokimiyat of Tashkent city did not approve the awarding of the contract for the civil works within first quarter of 2020. Consultant carried out the works on additional improvements of the evaluation report for tender in compliance with the comments of the City Tender Commission .It was planned to select the constructor for the civil works within second quarter of 2020. However, due to the limitations resulted by the quarantine measures of COVID 19, no activity on tender were carried out in the mentioned period. The planned start of the civil works is delayed for the third quarter of 2020.
5. The detailed design for the construction of new landfill was approved in October 2019. The contractor for detailed design of new landfill and closure the existing landfill according package C2 for Sanitary Landfill Design and Supervision Consultant – is China Urban Construction Design & Research Institute Co., Ltd."
6. Environmental Management & Social Safeguard monitoring is implemented during the whole period of project detailed design and civil works.
7. The social safeguard monitoring is carried out on semiannual basis. The main objective of safeguard monitoring is to provide assessment on social safeguard issues, and any other social concerns occurred during current stage of project implementation. Due Diligence carried out within the project and completed in October 2019 confirmed that the project will not require land acquisition and involuntary resettlement for the construction new landfill. The land plot is now considered as construction site.
8. From March until now the Government of the Republic of Uzbekistan took relevant measures against to COVID 19 pandemic. During this time, the social as well the economic and business life has been locked down.
9. All international Experts of this and other projects left the country and have not yet returned.
10. The Government initiated some steps to relief to a normal life since beginning of June.

## 2. Project current activities

### 2.1 Project management and Contractors team

11. **Agencies involved in Investment Program Implementation:** The following agencies are involved in implementing the investment program:

- State Committee on Ecology and Environmental Protection (SCEEP<sup>1</sup>) and Tashkent Hokimiyat (Municipality) are the Executing Agencies (EA). Tashkent Hokimiyat responsible for management, coordination and execution of all activities funded under the loan and has overall responsibility for compliance with loan covenants. SCNP is responsible for implementation of output 3 of the project – preparation of National Municipal Solid Waste Strategy of city Tashkent.
- State Unitary Enterprise “Maxsustrans” (Maxsustrans) is the implementing agency (IA), which is responsible for administration, implementation (design, construction and operation) and all day-to-day activities under the loan. An Investment Program Implementation Unit (PIU) is established within Maxsustrans for Investment Program related functions. The PIU coordinates construction of subprojects, and ensures consistency of approach and performance.

12. **Project team:** Maxsustrans hired International Project Management and Supervision Consultant (PIU Consultants) - *H.P. Gauff Ingenieure*. The Company has a many-year-long work experience in the field of waste management. Under the Tender terms and conditions, the mentioned Company hired a national Social Safeguard Specialist (Ms. Maria Malinovskaya) and national Environmental expert (Mr. Sergey Karandayev), who are implementing social and environmental safeguards services.

13. The selection of a consultant began in December 2017. The contract was awarded on November 16, 2018. The main reasons for the delay are the following: 1) Changes in the legislation of the Republic of Uzbekistan on procurement procedures, including for IFC funds. 2) Process of institutional reforms among the government bodies and executive agencies initiated by the government in 2017; 3) Composition of Tender Commission of Tashkent Khokimiyat responsible for holding a large-scale tenders changes 3 times due to the amendments in order and regulations of tender commissions. This all delayed the process of evaluation, approval of the results of the evaluation and award of the contract.

14. Construction Supervision Company is responsible for preparing quarterly progress reports which cover the implementation of the Social safeguard measures that may occur during the implementation. All mitigation measures during construction will be implemented by the contractor and these will be monitored by the Supervision Consultant (SC).

15. Sanitary Landfill Design and Supervision Consultant "China Urban Construction Design & Research Institute Co., Ltd." has been hired on December 14, 2018. This consulting company carried out design works of closing old landfill and establishing of new sanitary landfill. During the construction work they will supervise all construction works related to Landfill establishment.

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<sup>1</sup> According to the President Decree # 5024 as of 21.04.2017 the State Committee of Uzbekistan for Nature Protection was renamed into the State Committee of the Republic of Uzbekistan of Ecology and Environment Protection (SCEEP)



## 2.2 Current project activity

16. The official opening of the Bidding documents for G\_1 has been done on 26.11.2019. The Evaluation report (BER) has been submitted to the appraisal commission on 18.12.2019. The first ranked Bidder is still not decided by the City Tender Commission. This problem is still being worked on.
17. International Construction Contractor has not been hired yet. The evaluation of the appraisal commission of the contractor for the construction works is still under consideration. Due to the limitations resulted by the quarantine measures against COVID 19, no activity of tender commission were carried out within the second quarter of 2020. The tender for appraisal of the contractor for the construction works will be conducted once the quarantine measures are eased. The preliminary period for start of the civil works is postponed to the second half of 2020.
18. CW2 package - Reconstruction of 2 garbage transfer stations. On June 8, an international tender for the selection of a contractor was announced. The planned period for completing the tender is July 20, 2020. If the contract is awarded, the start of work is preliminary scheduled for September 2020.
19. CW4 package - Reconstruction of 2 garage facilities. In the second quarter of 2020, tender documentation and project documents are being revised based on ADB comments and technical specifications recently issued by public utilities (electro and water supply organizations). It is expected that the national tender will be announced on June 20-22, 2020 and will end on July 20, 2020.
20. In addition, during this first half of 2020, two contracts were concluded with the Swiss company THG Handelstechnik GmbH for the supply of special equipment for the needs of the Akhangaran new landfill. Expected period for delivery is November-December 2020.
21. Due to the order of quarantine measures against COVID 19 established by the government, the project activity in the period of second quarter of 2020 is reduced.

### 3. Social Safeguard activities

#### 3.1 Objectives of the report and methodology

22. The objectives of the Social safeguard monitoring report at the pre-construction stage are the following:

- review overall progress of the project implementation;
- identify any social issues and constraints that encountered in project implementation;
- development of social safeguard monitoring indicators for the construction stage;
- recommend mitigation measures (if required any).

23. Monitoring and evaluation is directed to confirm that the project implementation does not trigger ADB's Safeguard Policy Statement (2009)'s Safeguard Requirements.

#### 3.2 Scope of Social Safeguard Monitoring Report (SSMR)

24. This social safeguard monitoring relates to the Akhangaran landfill. The SSMR has been prepared by Social safeguard consultant as bi-annual social safeguard monitoring to assess any social impacts that may occur within the preconstruction stage and period of construction of new landfill and any mitigation measures required respectively.

25. The SSMR includes development of monitoring indicators for the construction period to minimize any social impacts related to the construction site.

#### 3.3 Project activities at January – June 2020

26. Within the monitoring period the following activities were carried out: A tender was announced for the selection of an international construction contractor for the implementation of the project on the construction of new landfill and the closure of the existing landfill in accordance with the project design documentation at the end of 2019. The construction period will be 18 months. City Tender Commission under Hokimiyat of Tashkent city did not approve the awarding of the contract for the civil works until yet. The works on additional improvements of the evaluation report for tender is carried out in compliance with the comments of the City Tender Commission. Due to the limitations resulted by the quarantine measures against COVID 19, no activity of tender commission were carried out within the second quarter of 2020. The tender for appraisal of the contractor for the construction works will be conducted once the quarantine measures are eased. International Construction Contractor has not been hired yet. The planned start of the civil works isn't fixed and will be postponed to the second half of 2020.

27. In June 2020, the government of Uzbekistan adopted the resolution that the limitations resulted by the quarantine measures against COVID 19 in Uzbekistan are prolonged for August 1, 2020.

### 3.4 Project monitoring for the construction period

28. The next monitoring step is the development of indicators for conducting social monitoring during the construction phase (civil works of the new sanitary landfill existing dumpsite closure) The requirements for social safety at the construction site are included into the ToR for the contractor. Contractor engaged in sanitary landfill construction works will consider implementation and monitoring of the following social and gender issues. In particular, Consultant will monitor, but not limited, by the following indicators:

**Table 1 Social safeguard monitoring indicators for construction stage of project implementation**

Stage	Monitoring indicator	Mitigation measures	Responsible institutes
Community Impacts	Community health, safety and security	<ul style="list-style-type: none"> <li>• Development and implementation of procedures for protecting public health and safety will be provided;</li> <li>• Ensure safety for the population during the movement of vehicles. Set the minimum vehicle speed for the project site and nearby roads;</li> <li>• Establish fences and warning signs for the residents in order to avoid accidents and harm to human health;</li> <li>• Work on the construction site will not be carried out during rest time and at night;</li> <li>• Sound absorbing installations at the construction site should be installed to reduce noise / vibration from the operation of the equipment.</li> <li>• Necessary measures to prevent the spread of infectious diseases among the population should be taken;</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor

	Lands	<ul style="list-style-type: none"> <li>• Land plots are allocated for the project from the reserve fund of the khokimiyat. no additional land plots will be required for the project construction;</li> <li>• All construction works should be carried out within the allocated land;</li> <li>• Storage of building materials in the territory of used agricultural land plots is not allowed;</li> <li>• Storage of building materials and their disposal in places of location of irrigation canals for crops irrigation is not allowed.</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor
	Losses of agricultural crops	<ul style="list-style-type: none"> <li>• The entry and exit of vehicles and equipment at the construction site should be under strict control. Traffic on the construction site should be carried out only within the existing roads. Entry of vehicles on the area of used agricultural land is not allowed.</li> <li>• Properly regulation of the delivery and storage of materials to the project site should be provided;</li> <li>• Regular monitoring to ensure that any impacts on agricultural land and crops are minimized and compensated in a timely manner (if necessary) should be carried out.</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor
	Income losses	<ul style="list-style-type: none"> <li>• Regular monitoring will be carried out to assess the impact of the project on the population. If the monitoring reveals the impact on the incomes of the population living / working near the construction site caused by the project implementation, an impact assessment will be carried out and measures will be developed to address it.</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor
	Local economic and employment	<ul style="list-style-type: none"> <li>• Employment during the construction period as much as possible of the local population in order to increase employment and income.</li> <li>• Provision of job opportunities for local residents, low income people and women.</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor

	Existing social infrastructure and services	<ul style="list-style-type: none"> <li>Construction site is located in the sanitary protection zone and is removed from the social infrastructure;</li> <li>Transport machinery, equipment, transportation and storage of building materials should not limit the access of the population to roads, driveways, canals and any other social facilities.</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor
	Public meetings and consultations	<ul style="list-style-type: none"> <li>Inform the population and all interested persons and organizations about the current situation of the project.</li> <li>Hold as necessary public meetings with the population of communities nearby to the construction site.</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor
Construction site	Occupational health and safety	<ul style="list-style-type: none"> <li>Complying with ADB labor standards and national labor laws;</li> <li>Introduction and operation meetings should be undertaken by all workers.</li> <li>The entry and exit of vehicles and equipment at the construction site should be under strict control. Traffic on the construction site should be carried out only within the existing roads. Speed limits will be used for traffic safety.</li> <li>HSE manuals and require placement of safety signs and placards.</li> <li>Safety for the population during the movement of vehicles will be provided.</li> <li>Fences and warning signs for the residents in order to avoid accidents and harm to human health will be established;</li> <li>Work on the construction site will not be carried out during rest time and at night;</li> <li>Sound absorbing installations at the construction site will be installed to reduce noise / vibration from the operation of the equipment.</li> <li>Only qualified workers will be hired. Strictly impose and monitor use of PPE by workers. Regular</li> </ul>	Contractor, PIU, CUCD and Social safeguard consultant to monitor



		<p>inspections will be conducted.</p> <ul style="list-style-type: none"> <li>• Equal working conditions for men and women should be provided;</li> <li>• Properly regulation of the delivery and storage of materials to the project site should be provided;</li> <li>• Awareness and training programs on safety and health issues will be conducted by the designated HSE Officer. Regular worksite safety trainings for all workers. Proper records of trainings;</li> <li>• Provision of necessary hygiene facilities for all workers at the worksite, including appropriate and adequate facilities for women workers;</li> <li>• Conducting trainings on communicable diseases ad HIV/ AIDS for all workers as well as nearby communities. Proper records of trainings;</li> <li>• Registration of any complaints raised by local residents or workers at the worksite.</li> </ul>	
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## 4. Compliance to safeguards provisions in agreements under the project

### 4.1.1 Compliance to Project Administration Manual

29. The Project Administration Manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The PAM is mandatory and serves as the main document describing implementation details. The status of implementing the safeguards requirements set out in PAM is provided in Table below.

**Table 2 Compliance to PAM**

Details	Compliance Status	Remarks
<b>Section VII - Safeguards b) Social – Involuntary resettlement.</b>	Completed	Monitoring of social safeguards is implemented semiannually (Bi-annual reports).
Municipality and Maxsustrans ensure that LARP would be implemented and monitored to ensure that no affected people would suffer by unattended impacts associated with land acquisition.	Completed	<p>IA ensures that no affected people would suffer by unattended impacts associated with land acquisition.</p> <p>LARP 2012 was prepared in compliance with the designed Feasibility study of the project.</p> <p>Due diligence for LAR issues completed in October 2019. The due diligence was updated in compliance with the ADB requirement. In May 2020 the more detailed clarification on land acquisition and resettlement is included into the report. Due diligence assessment confirmed that there are no LAR related issues at the project site.</p> <p>Monitoring of LAR issues is completed.</p>
Municipality and Maxsustrans ensure that: (i) The PIU recruit a social development specialist to implement the LARP and address other social concerns of the project, if any.	Completed	<p>In 2017 PIU recruited a social development specialist to monitor the LARP and other social concerns of the project.</p> <p>Consultant carries out monitoring of LARP and submits the results of monitoring in Bi-annual reports.</p> <p>Next stages of monitoring will cover any social concern which may occur during the project implementation (if any).</p>
(ii) The LARP would be updated upon completion. The report should at least indicate any change to land acquisition	Completed	No civil works are started under the project. The preliminary planned period for start of construction work is the second half of 2020. Detailed design is approved in October 2019.

<p>from the detailed designed, change to affected people, or change to budget for LARP implementation. The updated LARP must be submitted to ADB for concurrence prior to implementation.</p>		<p>Project requires allocated 30 ha for construction of new landfill and additionally 1.2 ha allocated for the construction of access road. Lands for the project are allocated from the state reserve fund<sup>2</sup>. Hence, no LARP is required.</p> <p>In compliance with the ADB requirements Due diligence is carried out. Assessment within Due diligence showed that project does not involve the involuntary land acquisition and resettlement impacts.</p>
<p>(iv) The LARP would be disclosed to affected people.</p>	<p>Completed</p>	<p>LARP 2012 was disclosed on ADB and Maxsustrans websites. The link to JMRC site is <a href="https://www.adb.org/projects/45366-004/main">https://www.adb.org/projects/45366-004/main</a>.</p> <p>Due Diligence was completed in October 2019 and will be disclosed at ADB and Maxsustrans websites. The link on the disclosed report at ADB site is the following: <a href="https://www.adb.org/projects/documents/uzb-45366-004-smr">https://www.adb.org/projects/documents/uzb-45366-004-smr</a>.</p> <p>Due Diligence with more detailed clarifications on LAR issues was prepared in April 2020 and submitted to ADB for consideration and approval in May 2020.</p>
<p>(vi) The awarding of civil works any contract would be done only after affected people (including other parties to receive compensation for developing new agricultural land) receive full payment of compensation, and report on full payment of compensation is submitted to ADB. The advance payment to the contractor only can be released by ADB after the report on full payment is received.</p>	<p>On-going.</p>	<p>All safeguard issues are completed prior the commencement of construction and procurement tenders (Due Diligence report, disclosed in October 2019).</p> <p>There are no affected people.</p> <p>All LAR issues within the project are completed.</p> <p>The contractor for civil works is under assessment of City Tender Commission. The period of construction is 18 months.</p>

<sup>2</sup> Decrees of hokimiyat on land allocation were given in previous Bi annual Social safeguard monitoring reports and Due diligence report, October 2019.



<p>(vii) Report on monitoring the implementation of LARP will be submitted to ADB on a quarterly basis until the payment of compensation to affected parties are fully paid.</p>	<p>Completed</p>	<p>All LAR issues within the project are completed.</p> <p>Social safeguard monitoring reports will cover any social concerns which may occur within the construction stage of project implementation.</p>
<p>(viii) The Social development specialist of PIU will develop the implementation plan in close consultation with local government for livelihood improvement program to address impacts to waste pickers and waste collection points due to closure of existing dumpsite.</p>	<p>On-going</p>	<p><b>Informal waste pickers:</b> No informal / unofficial waste pickers work at the existing landfill who may be affected.</p> <p><b>Waste collection points (waste paper, plastic, polyethylene and other):</b> At this stage of project implementation there are no impacts on waste collection points.</p>
<p><b>Section IX - Performance Monitoring, Evaluation, Reporting and Communication B. Monitoring. Safeguards monitoring – Resettlement:</b> Land acquisition completion report would be submitted to ADB before award of civil works contracts which involves land acquisition and resettlement concerns. Monitor the progress on implementation and performance in regards to the safeguards requirements would be carried out before the civil works start.</p>	<p>Completed.</p>	<p>Due diligence carried out within the assessment the LAR issues at the stage of detailed design confirmed that there are no involuntary land acquisition and resettlement under the project. DDR approved by ADB and disclosed in October 2019.</p> <p>No safeguard requirements are need to be completed before the civil works start.</p>
<p><b>Section IX - Performance Monitoring, Evaluation, Reporting and Communication B. Monitoring. Disclosure of Monitoring Reports</b> All the reports prepared within the project must be disclosed at ADB' website and website of PIU or Maxsustrans.</p>	<p>Being complied.</p>	<p>Bi annual social safeguard monitoring reports will disclosed on ADB and PIU and/ or Maxsustrans websites.</p> <p>The link to project documents site will be given in the reports and public materials.</p>

#### 4.1.2 Compliance with Social Safeguard Covenants of Loan Agreement

30. The status of Compliance with social Safeguard Covenants of Loan Agreement is presented in below:

**Table 3 Compliance to social safeguard covenants**

Indicators	Status	Remarks
<p><b>Resettlement:</b> The Borrower shall ensure that all land and all rights-of-way required for the project are made available to the Works contractor in accordance with schedule agreed under the related Work contract and all land acquisition and resettlement activities are implemented in compliance with (a) all applicable laws and regulation of the Borrower relating to land acquisition and involuntary resettlement, (b) the involuntary Resettlement Safeguards; and (c) all measures and requirements set forth in the LARP, and corrective of preventative action set forth in the Social Safeguards Monitoring Reports. Without limiting the application of the Involuntary Resettlement Safeguards or the LARP, the Borrower shall ensure that no physical or economic displacement takes in connection with the Project until; compensation and other entitlements have been provided to affected people in accordance with LARP; and a comprehensive income and livelihood restoration program has been established in accordance with LARP.</p>	Complied	<p>IA ensures that all land and all rights of rights-of-way required for the project are made available.</p> <p>The project has complied with the ADB Safeguard Policy Statement 2009, Land Code of the Republic of Uzbekistan, Resolution of Cabinet of Ministers of RUz # 97 (29 May 2006), Resolution of Cabinet of Ministers of RUz # 146 (25 May 2011) and other relevant laws and guidelines of the Republic of Uzbekistan on the safeguard issues of land acquisition and involuntary resettlement.</p> <p>Civil works are not started yet. Detailed design for the construction site is approved in October 2019.</p> <p>Due to the results of detailed design the Due diligence of LAR impacts was prepared. Assessment within Due Diligence showed that project does not require involuntary land acquisition and resettlement. The lands required for the project needs (30 ha for construction new landfill and 1.2 ha for access road<sup>3</sup>) were allocated from local reserve land fund<sup>4</sup>.</p>
<p><b>Indigenous Peoples:</b> The Borrower shall ensure that the preparation,</p>	Not applicable.	N/A.

<sup>3</sup> The existing road for the operating landfill will connect to the planned access road to new landfill. The planned access road is designed to make the access to the new landfill more convenient for special transport (trucks).

<sup>4</sup> Decrees of hokimiyat on land allocation were given in previous Bi annual Social safeguard monitoring reports and Due diligence report, approved and disclosed in October 2019.

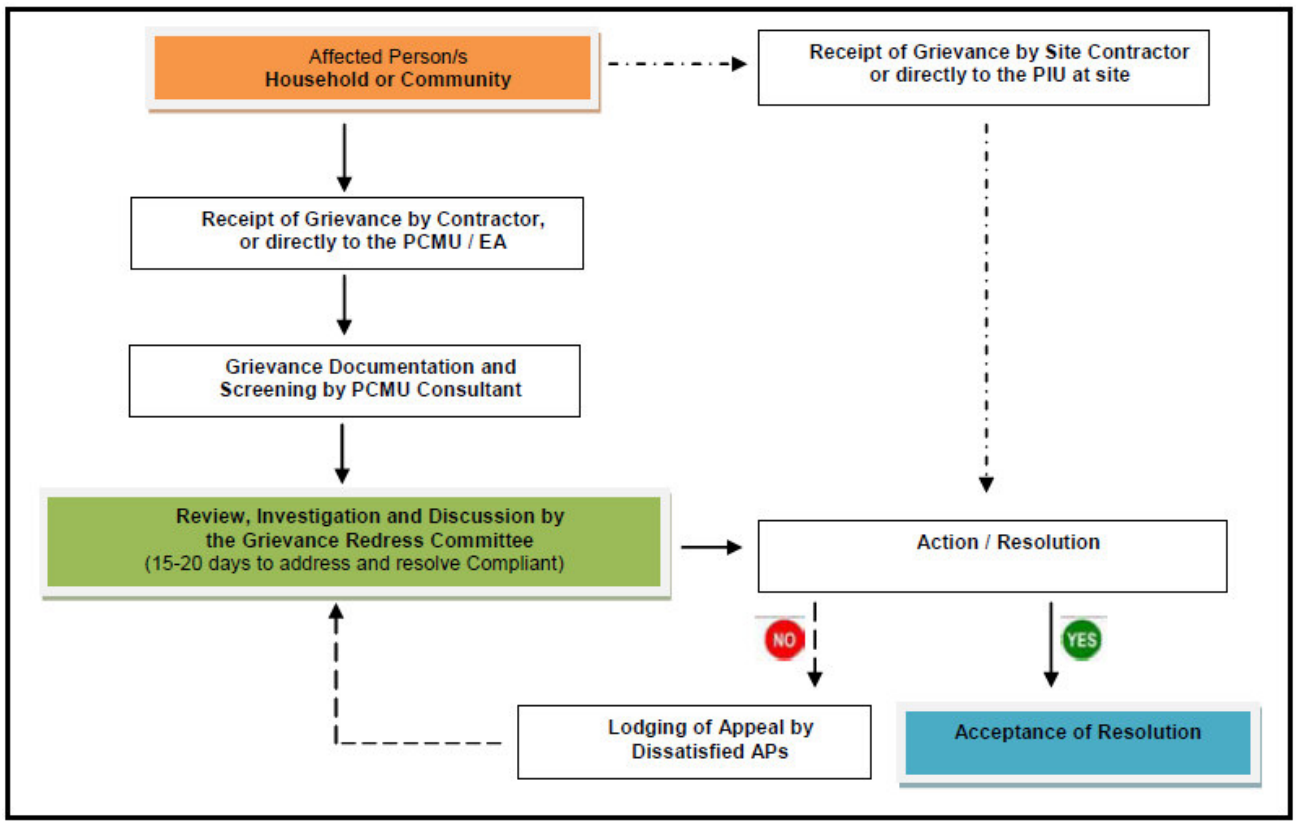
<p>design, construction, implementation and operation of the Project and all project facilities comply with (a) all applicable laws and regulation of the Borrower relating to indigenous people; (b) the Indigenous people Safeguards; and (c) all measure and requirements set forth in the IPP (indigenous peoples plan), and any corrective or preventative actions set forth in as Safeguards monitoring Report.</p>		<p><i>There are no groups of people maintain a separate cultural and social identity from the mainstream Uzbekistan society that would classify them as ethnic group, ethnic minority or indigenous people as described in ADB SPS, 2009.</i></p>
<p><b>Grievance Redress Mechanism:</b> Within 12 months after the Effective Date, Borrower shall prepare a grievance redress mechanism acceptable to ADB and establish a special committee to receive and resolve complaints/grievance or act upon reports from stakeholders on misuse of funds and other irregularities, Including grievance due to resettlement. The special committee shall (i) make public of the existence of this grievance redress mechanism, (ii) review and address grievance of stakeholders of the Project, in relation to either Project, any of the service providers, or any person responsible for carrying out any aspect of the project; and (iii) proactively and constructively responding them.</p>	<p>Complied</p>	<p>Grievance redress mechanism was designed within the preparation of LARP in 2012.</p> <p>IA ensures monitoring of complaints and addresses received within the project.</p> <p>During the monitoring period of January – June 2020 there are no registered complaints and addresses.</p>

<p><b>Safeguards Monitoring and Reporting:</b> The Borrower shall do the following: (a) submit quarterly Safeguards monitoring reports to ADB and disclose relevant information from such reports to affected person promptly upon submission; (b) if any unanticipated social risks and impacts arise during construction, implementation or operation of the Project that were not considered in the LARP, promptly inform ADB or the occurrence of such risks or impacts, with detailed description of the event and the proposed corrective action plan; (c) report any actual or potential breach of compliance with the measures and requirements set forth in the LARP promptly after becoming aware of the breach.</p>	<p>On-going</p>	<p>Social safeguard monitoring reports are prepared on semiannual basis.</p> <p>Any actual or potential breach of compliance with the social safeguard measures and requirements will be reported to PIU and ADB.</p> <p>Bi-annual reports on social safeguard monitoring will be submitted to ADB and disclosed.</p>
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## 5. Redress Grievances

31. A project-specific grievance redress mechanism (GRM) is established by the EA to provide a transparent mechanism to voice and resolve environmental concerns linked to the project. According to the Decree of President of the Republic of Uzbekistan SUE Maxsustrans established (organized) "People's Reception Room" in its each district branch in Tashkent city, including one in SUE Maxsustrans building for PIU related queries. The EA ensures that grievances and complaints are addressed in a timely and satisfactory manner to avoid any potential delays in the establishment of the project. Figure below gives the details of the grievance redress mechanism.

**Figure 1 Grievance Redress Mechanism\***



\* PIU – responsible person for GRM is the director of PIU, Mr. Rustam Shukurov, tel: +99871 2477923  
EA is SUE Maxsustrans. The responsible person for GRM is Mr. Shukhrat Inogamov, tel: +99871 2473599, email: [maxsustrans@inbox.ru](mailto:maxsustrans@inbox.ru)  
PCMU Consultant is social and resettlement specialist, Mrs. Maria Malinovskaya, tel: +99871 1508887, email: [malinovskaya@almarconsulting.org](mailto:malinovskaya@almarconsulting.org)

32. The PIU has established Grievance Redress Committee (GRC). GRC provides any APs a venue to file complaints and queries on any environmental (or social) aspect related to the project. Grievances can be submitted in writing or orally to the contractor or directly to the PIU / EA contact person. These are properly documented (i.e. indicating the date it was received, details of the complaint and complainant/s) and screened by the designated PCMU safeguard consultant for its veracity and validity. The committee has 15 to 20 days to address and come up

with a resolution. Under this GRM, unsatisfied grievances may be able to appeal for a final resolution. This mechanism also does not prevent any AP to approach regulatory agencies to assist and resolve complaints at any stage of the process. In occasions wherein grievances are perceived by the AP to be immediate and urgent; the contractor, EHS officer and PIU on-site supervisor will provide the most accessible and practical solution for a quick resolution of grievances. Such grievances and respective resolutions submitted to the PIU for proper documentation. The PIU contact person is responsible for recording the complaint, the step taken to address grievance, minute of the meetings and preparation of a report for each complaint. Records is kept by the PIU of all grievances received including contact details of AP, date the complaint waste received, nature of grievance, agreed remedial / corrective action and the date this was implemented, and the final outcome in Complaints Log Book kept at the PIU office.

33. The complaint handling process will be reported to ADB through bi-annual reports. The PIU safeguard consultant will periodically review and record the efficiency and effectiveness of the GRM highlighting the project's ability to prevent and address grievances.

34. In period of January – June 2020 Consultant contacted with the representatives of regional and district khokimiyat of the project area to obtain information on complaints. No complaints / addresses are received during current report preparation. Consultant will continue monitoring of complains under the project at further stage of project implementation to ensure the proper and timely address any complains under the project.

## 6. Public Awareness and Consultations

35. Within this monitoring period of January – June 2020 Consultant did not plan to conduct public consultations. Public consultations with project stakeholders and persons involved into the project implementation were held within Due Diligence in October 2019.

36. The public consultations with people living along the project corridor and stakeholders will be conducted at the construction stage to discuss the project progress and analyze any complaints within Grievance Redress Process.

## 7. Conclusion

37. Consultant carried out Bi-annual monitoring for the period of January – June 2020. Implementation of project is complied with the social safeguards requirements of loan agreements and PAM. The project is at the stage of evaluation of civil contractor for the project. Due to the limitations resulted by the quarantine measures against COVID 19, there is no activity of tender commission on appraisal the documentation for civil works. The preliminary planned period for start of construction works is postponed to the second half of 2020.

38. Table below presents the implementing schedule of the project. The schedule is modified due to the limitations of COVID 19 measures. Consultant emphasizes that there are possible departures from the schedule caused by the restrictions or limitations as a part of the governmental quarantine measures adopted against COVID 19. These measures fall on local and international travelling, local activity of organizations, institutes and governmental bodies.

Step	Action	Responsibility	Timing
<b>A)</b>	<b>Detailed design of the project</b>	EA / IA, PIU, Maxsustrans, Tashkent City Government, Construction Supervision Company	<b>December 2018 October 2019</b>
1	Topographic mapping and develop general layout	EA / IA, PIU, Maxsustrans, Construction Supervision Company	December 2018- February 2019
2	Detailed Engineering Design of Dumpsite Closure	EA / IA, PIU, Maxsustrans, Construction Supervision Company	February –April 2019
3	Final Design Documents	EA / IA, PIU, Maxsustrans, Construction Supervision Company	August – October 2019
4	Bidding procedure	EA / IA, PIU, Maxsustrans	November-December 2019
<b>B)</b>	<b>Civil Works</b>	EA / IA, PIU, Maxsustrans, Construction Supervision Company	<b>18 months</b> Start of construction works planned for the second half of 2020
	Procurement and evaluation of the contractor for civil works	EA / IA, PIU, Maxsustrans	October 2019 – August 2020
<b>C)</b>	<b>LARP (completed LAR issues)</b>		
1.	Updating LARP	PIU	Due Diligence report is completed in October 2019
2.	LARP Implementation	PIU	Not applicable / No project impacts



3.	Public consultation and information sharing on project activities	PIU	October 2019 Additional consultations at the stage of construction works
4.	Payment compensation to AHs / APs	Maxsustrans, Tashkent City Government	Not applicable / No project impacts
5.	External Review of LARP Implementation through submission of a compliance report (LARP verification)	External Resettlement Consultant	Not applicable / No project impacts
7.	Construction works	IA / PIU, Maxsustrans, Tashkent City Government	Start of construction works planned for the second half of 2020
<b>D)</b>	<b>MONITORING</b>		
1.	Internal monitoring: Reporting to ADB	PIU	Semiannual monitoring during the project

**39. Recommendation for next Social safeguard monitoring and evaluation report:**

- (i) Monitoring of any complaints that may appear at the construction stage of the project from the nearby population;
- (ii) Supervision, monitoring and evaluation of developed social safeguard indicators at the stage of construction works (H&S indicators, social impact assessment etc.);

Monitoring the social safeguards at the construction site will be carried out by the Social specialist of Sanitary Landfill Design and Supervision Consultant "China Urban Construction Design & Research Institute Co., Ltd.". Supervision of monitoring and assessment will be carried out by the Social safeguard consultant under PIU. Monitoring during the construction period will be carried out on quarterly basis.