



Solid Waste Management Improvement Project

ADB Loan No.: 3067-UZB

PROJECT MANAGEMENT, IMPLEMENTATION AND SUPERVISION CONSULTANCY SERVICES

Contract No.: SUE/Maxsustrans/QCBS-Cons_1-2016-01



Social Safeguard Monitoring Report

Quarterly report – June -September 2019

CLIENT – IMPLEMENTING AGENCY

State Unitary Enterprise (SUE) “MAXSUSTRANS” (Uzbekistan)

LEAD CONSULTANT

H.P. Gauff Ingenieure GmbH & Co. KG-JBG (Germany)

in association with

Infratech Consulting SDN Ltd. (Uzbekistan)

October 2019

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Project No: 45366
ADB Loan 3067-UZB
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UZB: Solid Waste Management Improvement Project (SWMIP) Financed by the ADB

This document is prepared by JV «H.P. Gauff Ingenieure GmbH & Co. KG – JBG- (Germany) and Infratech Consulting SDN Ltd. (Uzbekistan)» for State Unitary Enterprise «Maxsustrans», Khokimiyat of Tashkent city and ADB. This report is a document of the Borrower.

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 October 17, 2019)

Currency Unit - sum (UZS) UZS 1,000.00 = \$0.1057
\$1.00 = UZS 9455.24

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

Compensation	Payment in cash or kind for an asset to be acquired or affected by a project at replacement cost.
Affected Persons	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.
Entitlement	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.
Khokimiyat	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.
Land acquisition	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.
Mahalla	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.
Meaningful Consultation	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.
Illegal	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 them. ADB's policy

explicitly states that such people are entitled to compensation for their non-land assets.

Replacement cost	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.
Significant impact	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).
Vulnerable Households	Low-income households, female-headed households with fewer than 2 adult income- earners, the elderly headed with unemployed family members, and disabled.
Leaseholder	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.

Table of contents

Abbreviations.....	3
Glossary	4
Executive Summary.....	7
1. Introduction.....	8
2. Project description and current activities.....	8
2.1 Project Description.....	8
2.2 Project Objectives and Outputs.....	9
2.3 Project Site Description.....	10
2.4 Project management and Contractors team.....	13
3 Social Safeguard activities	15
3.1 Objectives of the report and methodology.....	15
3.2 Scope of Social Safeguard Monitoring Report (SSMR)	15
3.3 Rationale for Social Safeguard Monitoring Report (SSMR)	15
3.4 Project activities at July - September 2019.....	15
4 Compliance to safeguards provisions in agreements under the project.....	18
4.1.1 Compliance to Project Administration Manual.....	18
4.1.2 Compliance with Social Safeguard Covenants of Loan Agreement	20
5 Gender and poverty assessment	23
38. Redress Grievances	24
6 Public Awareness and Consultations.....	26
7 Conclusion	27

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. **Project stage:** The detailed design of a new landfill has already been completed in August 2019 and approved at the end of October 2019. The project is at the stage of a tender for the procurement of a construction contractor. The construction contractor will carry out work on the construction of a new landfill and the implementation of measures to close the existing dumpsite. Expected start of construction works is the first quarter of 2020. The contract with the construction company provides guarantees for compliance with the developed social safeguard measures during construction work to prevent any negative impacts on lands, structures, people and livelihoods.
- iv. **Social Safeguards Monitoring and Evaluation:** Social Safeguards Monitoring and Evaluation of the Solid Waste Management Improvement Project is carried out to serve the purpose for compliance with ADB's safeguards on involuntary resettlement. Social safeguard monitoring is carried out on the quarterly basis to assess any social concerns occurred during the project implementation within the studied period. This quarterly report is prepared for the period of July - September 2019. During the monitoring period in August 2019, the development of detailed design was completed. In October 2019, approval for detailed design was obtained.
- v. Prior to the commencement of construction work on the project site, it is necessary to provide an assessment of the implementation of all social and resettlement impacts that may occur after preparation of the detailed design. Due to this, DD was carried out to make assessment and confirm that the project will not require land acquisition and involuntary resettlement for the construction. These are main indicators for social safeguard monitoring. Due Diligence was started in June and completed in October 2019. In view of this fact the monitoring report was completed at the end of October 2019 and guided by the results of Due diligence on social safeguards finalized in October 2019.
- vi. **Land acquisition and resettlement:** Due diligence confirmed that the project will not require any land acquisition and involuntary resettlement for the construction.
- vii. **Gender:** Gender action plan is prepared and submitted to ADB through Bi-annual report.
- viii. **Redress grievances:** Grievance redress mechanism is designed for the project in LARP 2012. The complaint handling process is reported to ADB through quarterly and 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 (July - September 2019).
- ix. **Public Awareness and Consultations:** Public Awareness and Consultations: Public consultations were conducted with stakeholders and people living along the project corridor within due diligence (October 2019). Stakeholders and people were informed on the future construction, safeguard social and environmental measures designed for the construction period as well as existing GRM.

1. Introduction

1. This report is the Quarterly Report on Social Safeguard Monitoring under Solid Waste Management Improvement Project is prepared in October 2019. The report covers the period of July-September 2019.
2. 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) recommend mitigation measures (if required any). The report describes the status of the social safeguard indicators of project during the period of monitoring.
3. 2. 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. 3. The stage of project implementation is detailed design. The detailed design was prepared within December 2018 - August 2019. The approval for detailed design was in October 2019. The contractor for detailed design of new landfill and closure the existing landfill is Sanitary Landfill Design and Supervision Consultant – China Urban Construction Design & Research Institute Co., Ltd."
5. After approval the detailed PIU started preparation of tender documentation for procurement the construction company. International Construction Contractor has not been hired yet. The planned period of start of construction works is the first quarter of 2019. The construction period will be 18 months.
6. During the previous monitoring stages it was found out that the lands required for project implementation was owned by the local authorities. Land plots required for the construction allocated to SUE "Maxsustrans" in August 2018 from the district reserve land fund¹. Due diligence carried out for the project was completed in October 2019 and 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.

2. Project description and current activities

2.1 Project Description

7. The Government of Uzbekistan (GOU) seriously recognizes the need to develop and implement a national Solid Waste Management (SWM) strategy. Solid Waste Management Improvement Project (L3067-UZB) is implemented for the development and improvement of Solid Waste Management (SWM) system of the capital city (Tashkent). Therefore, the GOU has requested support from ADB to address the SWM challenges. The proposed Project will contribute to sustainable urban development in Uzbekistan by:
 - (i) modernizing SWM to provide continuous and reliable municipal services;
 - (ii) promoting financial sustainability of municipal services through tariff rationalization and prudent financial management;

¹ Decrees of hokimiyat on land allocation were given in previous Bi annual Social safeguard monitoring reports and Due diligence report, October 2019.

- (iii) supporting policy and institutional reforms for improved sanitation and environmental management;
- (iv) mitigating climate change through a major reduction of GHG emissions, and through compliance with international standards on waste minimization and material recycling; and through all these measures;
- (v) improving livability of cities.

8. The volume of the existing dumpsite is exhausted and the original plan of the city was to extend its dumpsite operations to an adjacent lot of additional 30 hectares of area. Being fully aware of the inevitable environmental impacts through the extension of this practice, the city asked the national government for assistance in this matter. Based on these activities, the Cabinet of Ministers approved in summer 2012 the location of new dumpsite on 30 hectares of agricultural area for the utilization for waste management activities.

9. According to the designed Feasibility study of the project, 30-hectare land plot located immediately to the south of the existing Akhangaran dumpsite (25 ha for Landfill and 5 ha for facilities) was considered as land plot for new potential landfill. This land plot was planned to allocate for development an interim dumpsite extension and also for upgrading this facility to a sanitary landfill facility in compliance to internationally accepted standards of environmental protection.

10. Project entails potential land acquisition of 30 ha. The appropriate Land acquisition and resettlement plan for potential allocation of land plot was prepared in 2012. LARP included all the potential impacts, mitigation measures and requirements for the project implementation. In compliance with ADB SPS requirements LARP will be updated once the detailed design is ready (May 2019).

2.2 Project Objectives and Outputs

11. The overall objective is to provide an improved solid waste management (SWM) system in Tashkent, the capital city, to upgrade urban infrastructure and services. 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.

12. Given the current SWM practices, the option converting and allocating an area adjacent to the existing dumpsite to an engineered Sanitary Landfill was decided. The proposed sanitary landfill facility (SLF) concept will be based on the Best Environmental Practices (BEP) resulting to a state-of-the-art design consistent with international acceptable standards. This "stand alone" facility will drastically improve the SWM system (i.e. the handling and final disposal of MSW) with a possible integration capability for a long-solution to cover the entire Tashkent region. The inclusion into the design of a multi-barrier system, leachate and gas collection systems will result in a significant reduction of anticipated impacts. Solid Waste Management Improvement Project (hereinafter called "Project") is to contribute to the following issues:

- Segregation of Municipal Solid Waste stream;
- Proper collection and dumping to appropriate sites
- Establishment of modern SWM systems

➤ Remediation of old 'truck and dump' practices in cities and regions

13. The project was prepared to impact an improved urban environment and quality of life for the residents of Tashkent. The outcome will be improved SWM services and management in Tashkent with the following key outputs: (i) Output 1 - Rehabilitated and expanded solid waste management (SWM) system in Tashkent; (ii) Output 2 - Strengthened operational capacity; (iii) Output 3 - National SWM strategy.

14. There are two executing agencies (EAs) for the project – the Tashkent Municipality (Hokimiyat of Tashkent city) for the overall oversight and monitoring of Outputs 1 and 2 and State Committee of the Republic of Uzbekistan of Ecology and Environment Protection (SCEEP)² for execution of Output 3–the national SWM strategy. Outputs 1 and 2 will be implemented by State Unitary Enterprise "MAXSUSTRANS". A PIU was established within MAXSUSTRANS to support project implementation. This support will include project management, financial management, procurement, contract administration, safeguards implementation, construction and technical supervision, and monitoring and evaluation.

15. GoU through its Implementing Agency (IA), the State Unitary Enterprise (SUE) "MAXSUSTRANS" utilizes part of project loan proceeds towards the cost of the contract for Consulting Services related to Project Management, Implementation and Supervision, supporting the Project Implementation Unit (PIU).

2.3 Project Site Description

16. The Akhangaran landfill is located approximately 30-35 km south of the center of Tashkent City in the Akhangaran district of Tashkent Province. The facility has been in use since 1967 and is currently handling the wastes collected from Tashkent city and partial from Chirchik.

² 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)

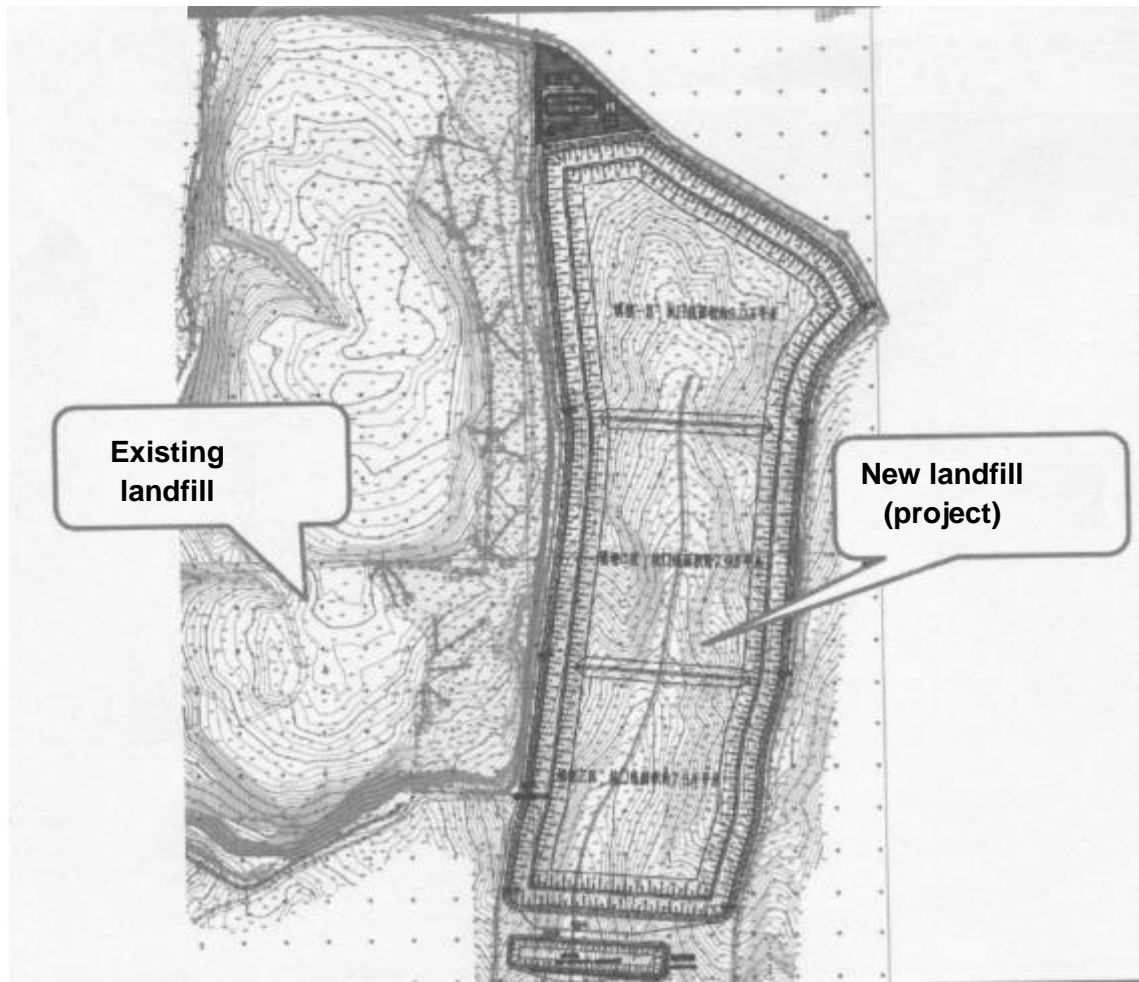
Figure 1 Location map of Akhangaran landfill



17. According to the detailed design of the project 30.91 hectare land plot located directly to the south of the existing Akhangaran dumpsite are required for the project:

- The landfill area is about 26.51 hectares (including roads), the landfill area is about 24.62 hectares (actual landfill area);
- Regulation point - 0.7 ha;
- Control point - 0.76 ha;
- Other facilities (including water sump) 2.94 ha.
- The content of the construction is the territory of the reservoir, the road, the leaching pool, the control zone and other structures.
- The landfill capacity is 7.66 million cubic meters.
- The expected service life is 12.1 years.

Figure 2 Designed new landfill site



18. **Access to the site:** The detailed design developed for the project showed that the new landfill will use the existing access road and require the construction of additional access road to the new site. This is visualized below on given image (Figure below).

Figure 3 Access road to new landfill site



2.4 Project management and Contractors team

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

- State Committee on Ecology and Environmental Protection (SCEEP³) 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.

20. **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

³ 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)

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.

21. 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.

22. 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).

23. 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.

3 Social Safeguard activities

3.1 Objectives of the report and methodology

24. The objective of the Social safeguard monitoring report at the stage of detailed design is to monitor and confirm that the project does not trigger ADB's Safeguard Policy Statement (2009)'s Safeguard Requirements.

3.2 Scope of Social Safeguard Monitoring Report (SSMR)

25. This SSMR relates to the Akhangaran landfill. The SSMR has been prepared by Social safeguard consultant as quarterly social safeguard monitoring to substantiate that the land required for the new landfill construction has been allocated from local reserve land⁴ fund and no mitigation measures are required to be completed prior the construction. The final design is approved in October 2019. The planned period for start of the construction works is the first quarter of 2020.

26. The SSMR includes briefly results of Due Diligence approved in October 2019 to confirm compliance with the requirements of ADB safeguard policy on LAR issues.

3.3 Rationale for Social Safeguard Monitoring Report (SSMR)

27. The ADB Safeguards Policy Statement (SPS) 2009 and the provisions of ADB approved Land Acquisition and Resettlement Plan (LARP) was published on the ADB website in 2012. The LARP was required as the project expected involuntary resettlement, land acquisition and loss of incomes. The project category was specified as Category B.

28. Due diligence carried out for the project and approved in October 2019 confirmed that the project does not involve the involuntary land acquisition and resettlement impacts related to the construction of new landfill. Due diligence report is available at <https://www.adb.org/projects/documents/uzb-45366-004-smr>.

3.4 Project activities at July - September 2019

27. The detailed design of closing the existing landfill and construction of a new landfill on allocated 30 ha of lands are carried out by Design and Supervision Consultant "China Urban Construction Design & Research Institute Co., Ltd." Consultant has already completed the detailed design of the facility. The project documentation was approved by ADB in October 2019.

28. Consultant within the monitoring period has conducted Due diligence of the LAR issues in compliance with the detailed design data. The Due diligence report was approved in October 2019. Within the Due diligence Consultant assessed the situation with the planned construction and the allocation of land for the construction of a new landfill, Consultant examined all the documents available within the project, made a site visit to the project site.

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

29. Detailed assessment of the LAR issues showed that the project construction works will not require involuntary land acquisition and resettlement. The project will not affect people living in the nearby settlements and their livelihoods.

30. The table given below gives the detailed information on project implementation:

Table 1 Check list of project impacts after the detailed design

Project activity	Type of losses	Name of APs	Possible social impacts	Details			
				Involuntary resettlement	Project affected people	Associated impacts	Project Category
Construction of new landfill site	No losses applicable	No losses applicable	<ul style="list-style-type: none"> • No IR impacts; • No requirements for involuntary land acquisition; • The required lands for construction allocated from the district reserve land⁵; • There is no possibility of any impacts in terms of losing incomes and livelihoods. • No grievance and complaints are received on project activity. 	<p>Not required.</p> <p>The lands for project construction (30 ha of agricultural land and 1.2 ha of land for access road) were allocated from local reserve land fund.</p> <p>The Project constructions WILL NOT entail involuntary land acquisition and involuntary resettlement impacts on agricultural land.</p> <p>It was confirmed by the results of Due diligence.</p>	No project affected people impacted by the project.	<p>There will be no any other impact associated with land acquisition for the sanitary landfill.</p> <p>The existing dumpsite will be closed after the operation of new Akhangaran landfill is started.</p>	<p>No project impacts / no involuntary land acquisition and resettlement, no losses of incomes.</p> <p>Detailed design developed for the project confirmed that the project will not involve any LAR.</p>
Construction of additional access road							

31. Taking into account the results of Due Diligence on LAR issues, Consultant considers the issues of land allocation for the construction of the project completed. Further monitoring of LAR issues is not required. All LAR issues are closed prior to the start of construction work. No additional mitigating measures are required. The next monitoring step will be the development of detailed indicators for conducting social monitoring during the construction phase.

⁵ Decrees of hokimiyat on land allocation were given in previous Bi annual Social safeguard monitoring reports and Due diligence report, October 2019.

4 Compliance to safeguards provisions in agreements under the project

4.1.1 Compliance to Project Administration Manual

32. 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 are provided in Table below.

Table 2 Compliance to PAM

Details	Compliance Status	Remarks
Section VII - Safeguards b) Social – Involuntary resettlement.	Completed	Monitoring of social safeguards is implemented quarterly (Quarterly Reports -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	IA ensures that no affected people would suffer by unattended impacts associated with land acquisition. LARP 2012 was prepared in compliance with the designed Feasibility study of the project. Due diligence for LAR issues completed in October 2019. The assessment confirmed that there are no LAR related issues at the project site. Monitoring of LAR issues is completed.
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	In 2017 PIU recruited a social development specialist to monitor the LARP and other social concerns of the project. Consultant carries out monitoring of LARP and submits the results of monitoring in Quarterly reports /Bi-annual reports. Next stage of monitoring will cover any social concern which may occur during the project implementation (if any).
(ii) The LARP would be updated upon completion. The report should at least indicate any change to land acquisition from the detailed designed, change to affected people, or change to budget for LARP implementation. The updated LARP must be submitted to	Completed	No civil works are started under the project. Development of detailed design is completed. Detailed design is approved in October 2019. Project requires allocated 30 ha for construction of new landfill and additionally 1.2 ha allocated for the construction of access

<p>ADB for concurrence prior to implementation.</p>		<p>road. Lands for the project are allocated from the state reserve fund⁶.</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 https://www.adb.org/projects/45366-004/main.</p> <p>Due Diligence is 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: https://www.adb.org/projects/documents/uzb-45366-004-smr.</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>IA ensures that all safeguard issues are completed prior the commencement of construction and procurement tenders.</p> <p>Due diligence results showed that no compensation for project impacts is required. The lands required for project are allocated from local reserve land plot. No project affected people.</p> <p>All LAR issues within the project are completed. The detailed design is approved in October 2019. The tender documentation for hiring the construction company is developed. Civil works will be started in the first quarter of 2020. The period of construction is 18 months.</p>
<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>

⁶ Decrees of hokimiyat on land allocation were given in previous Bi annual Social safeguard monitoring reports and Due diligence report, October 2019.

<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>Informal waste pickers: No informal / unofficial waste pickers work at the existing landfill.</p> <p>Waste collection points (waste paper, plastic, polyethylene and other): At this stage of project implementation there are no impacts on waste collection points.</p>
<p>Section IX - Performance Monitoring, Evaluation, Reporting and Communication B. Monitoring. Safeguards monitoring – Resettlement: 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.</p> <p>No safeguard requirements are need to be completed before the civil works start.</p>
<p>Section IX - Performance Monitoring, Evaluation, Reporting and Communication B. Monitoring. Disclosure of Monitoring Reports 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>Quarterly social safeguard monitoring reports will disclosed on ADB and PIU 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

33. 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
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<p>Resettlement: 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>	<p>Complied</p>	<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 no 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 road⁷) were allocated from local reserve land fund⁸.</p>
<p>Indigenous Peoples: The Borrower shall ensure that the preparation, 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>Not applicable.</p>	<p>N/A.</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>

⁷ 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).

⁸ Decrees of hokimiyat on land allocation were given in previous Bi annual Social safeguard monitoring reports and Due diligence report, October 2019.

<p>Grievance Redress Mechanism: 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 July - September 2019 there are no registered complaints and addresses.</p>
<p>Safeguards Monitoring and Reporting: 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 will be prepared on quarterly 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>Quarterly / semiannual reports on social safeguard monitoring will be submitted to ADB and disclosed.</p>

5 Gender and poverty assessment

34. **Gender and poverty assessment:** Gender action plan is prepared and submitted to ADB through semiannual report.

35. The GAP is prepared on semiannual period. As per GAP the equal role of women in the collection and processing of waste is guaranteed by SUE "Maxsustrans". In 2019, at the transfer station and the landfill site, all employees in the number of 154 people including 22 women were insured (15% are women). Women work in administrative and support staff positions. Men work at engineering and technical staff positions. According to the schedule, annual medical examination of all employees, including women, is conducted at the site.

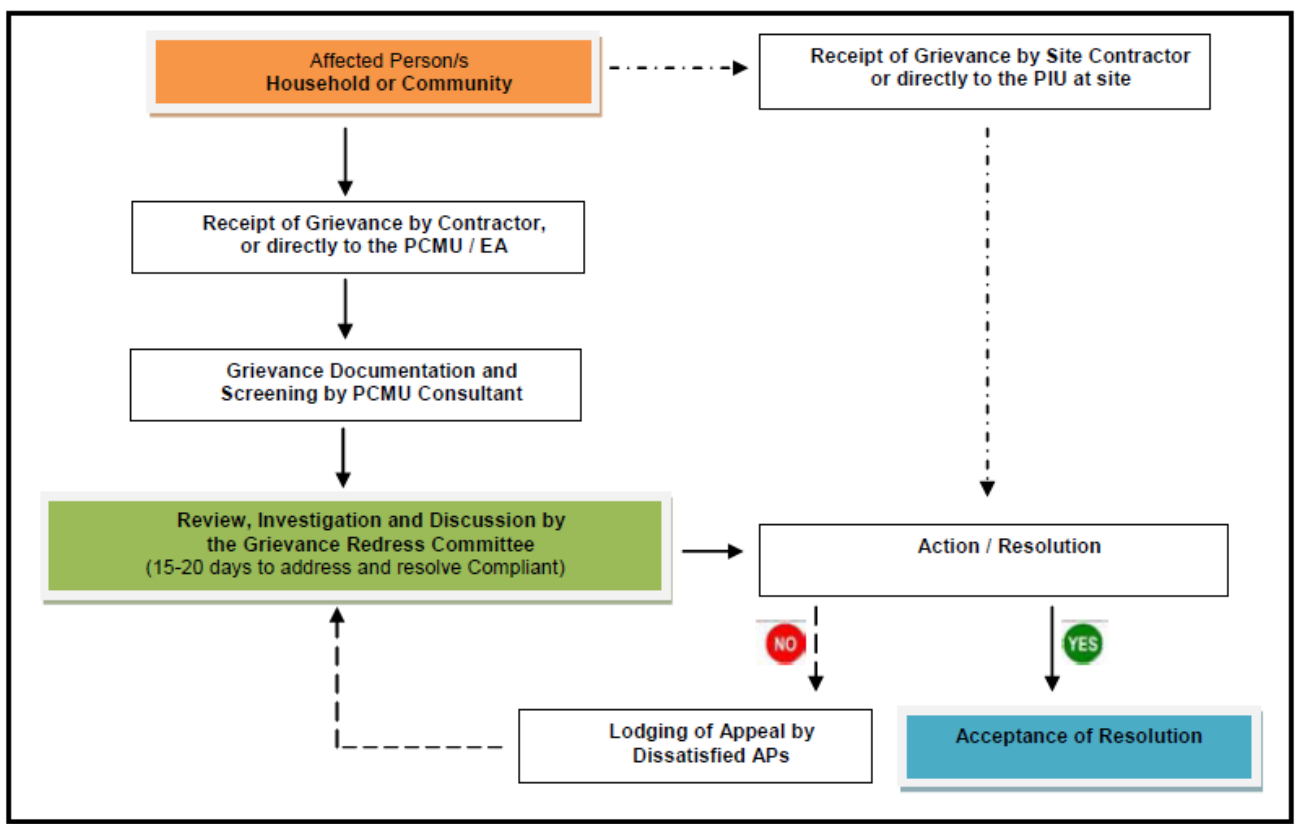
36. Improvement of working conditions for women is carried out due to the results of social evaluation of women's need. A social evaluation of the women's needs was conducted by SUE "Maxsustrans". As a result, it was found out that women have separate office rooms; the rooms are bright, clean with air conditioning; there is a sofa for rest in the office. There is a separate toilet. No requests for additional needs from women were obtained during the social evaluation. They are satisfied with the provided working conditions for them.

37. **Ethnicity Minorities and Indigenous People:** There is no minority in the project area. Therefore, as described in ADB's SPS, 2009 no special action is required for this indicator.

38. Redress Grievances

39. 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 4 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
PCMU Consultant is social and resettlement specialist, Mrs. Maria Malinovskaya, tel: +99871 1508887, email: malinovskaya@almarconsulting.org

40. 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 was 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.

41. The complaint handling process will be reported to ADB through semi-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.
42. In period of July - September 2019 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

43. Consultant conducted public consultations with project stakeholders and persons involved into the project implementation within Due Diligence. Public consultations were conducted in October 2019. The information on conducted public consultations presented in Due Diligence report (October 2019).

44. The key issues discussed during the public consultations are the following:

- Period of construction. Expected start: First quarter of 2020;
- Order of selection of contractor for construction works after evaluation, expected December 2019;
- Order of closure of existing landfill;
- Power supply of the construction works; local power network and generators;
- Impact from construction work of agricultural lands and roads. It is expected that all the construction works will be carried out inside the allocated lands for project needs.

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

7 Conclusion

46. Consultant carries out quarterly monitoring for the period of July - September 2019. The detailed design is completed and approved in October 2019.

47. Project requires 30 ha allocated in 2018 and 1.2 ha additionally required for construction of access road allocated in 2019. All the allocated lands are given from local reserve land fund. Due Diligence for LAR issues is completed in October 2019. DD carried out to make assessment and confirm that the project implementation will not require land acquisition and involuntary resettlement. Results of DD showed that the project does not require LA and IR.

48. Implementation of project is complied with the social safeguards requirements of loan agreements and PAM. At this period no civil works are started yet. The planned period for start of construction works is the first quarter of 2020.

49. Table below presents the implementing schedule of the project:

Step	Action	Responsibility	Timing
A)	Detailed design of the project	EA / IA, PIU, Mahsustrans, Tashkent City Government, Construction Supervision Company	December 2018 August 2019
1	Topographic mapping and develop general layout	EA / IA, PIU, Mahsustrans, Construction Supervision Company	December 2018- February 2019
2	Detailed Engineering Design of Dumpsite Closure	EA / IA, PIU, Mahsustrans, Construction Supervision Company	February –April 2019
3	Final Design Documents	EA / IA, PIU, Mahsustrans, Construction Supervision Company	August – October 2019
B)	Civil Works	EA / IA, PIU, Mahsustrans, Construction Supervision Company	18 months Start of construction works planned for the first quarter of 2020
C)	LARP		
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 before start of construction works (if required)

4.	Payment compensation to AHs / APs	Mahsustrans, 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, Mahsustrans, Tashkent City Government	Start of construction works planned for the first quarter of 2020
D)	MONITORING		
1.	Internal monitoring: Reporting to ADB	PIU	Quarterly monitoring during the project
2.	External Monitoring: Reporting to ADB	External Resettlement Consultant	Quarterly monitoring during the project

50. Recommendation for next Social safeguard monitoring and evaluation report:

- (i) Monitoring of any complaints that may appear upon the construction stage of the project from the nearby population;
- (ii) Development the detailed social indicators for monitoring during the construction period (H&S indicators 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."