



# Ministry of Public Works and Transport Kingdom of Cambodia

## Second Greater Mekong Subregion (GMS) Corridor Towns Development Project

Loan No. 3314-CAM

# 1st Quarterly Report 2018

April 2018

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## ABBREVIATIONS AND ACRONYMS

ADB	-	Asian Development Bank
CAD	-	Cost Estimate Report
CBTS	-	Capacity Building and Training Specialist
CS	-	Construction Supervision
CTDP	-	Corridor Towns Development Project
DED	-	Detailed Engineering Design
DMF	-	Design and Monitoring Framework
EA	-	Executive Agency
EM	-	External Monitoring
EMP	-	Environmental Management Plan
GAP	-	Gender Action Plan
GDR	-	General Department of Resettlement
GMS	-	Greater Mekong Sub-region
ICB	-	International Competitive Bidding
IEE	-	Initial Environmental Examination
IOL	-	Inventory of Loss
IRC	-	Inter-Ministerial Resettlement Committee
LAR	-	Land Acquisition and Resettlement
M&E	-	Monitoring and Evaluation
MEF	-	Ministry of Economy and Finance
MPWT	-	Ministry of Public Works and Transport
NCB	-	National Competitive Bidding
O&M	-	Operation and Maintenance
PAP	-	Project-affected People
PDPWT	-	Provincial Department of Public Works and Transport
PISCB	-	Project Implementation Support and Capacity Building
PIU	-	Project Implementation Unit
PMU	-	Project Management Unit
PPMS	-	Project Performance Management System
PPP	-	Public-Private Partnership
Q	-	Quarter
RGC	-	Royal Government of Cambodia
RP	-	Resettlement Plan



SDR	-	Special Drawing Rights
SEC	-	Southern Economic Corridor
SLEDP	-	Strategic Local Economic Development Plan
WWT	-	Wastewater Treatment
WWTP	-	Wastewater Treatment Plant



## SECTION 1 INTRODUCTION AND BASIC DATA

### 1.1 PROJECT OVERVIEW

The Royal Government of Cambodia has received loans and grants from the Asian Development Bank (ADB) towards the cost of the Second Greater Mekong Sub-region (GMS) Economic Corridor Towns Development Project (the Project).

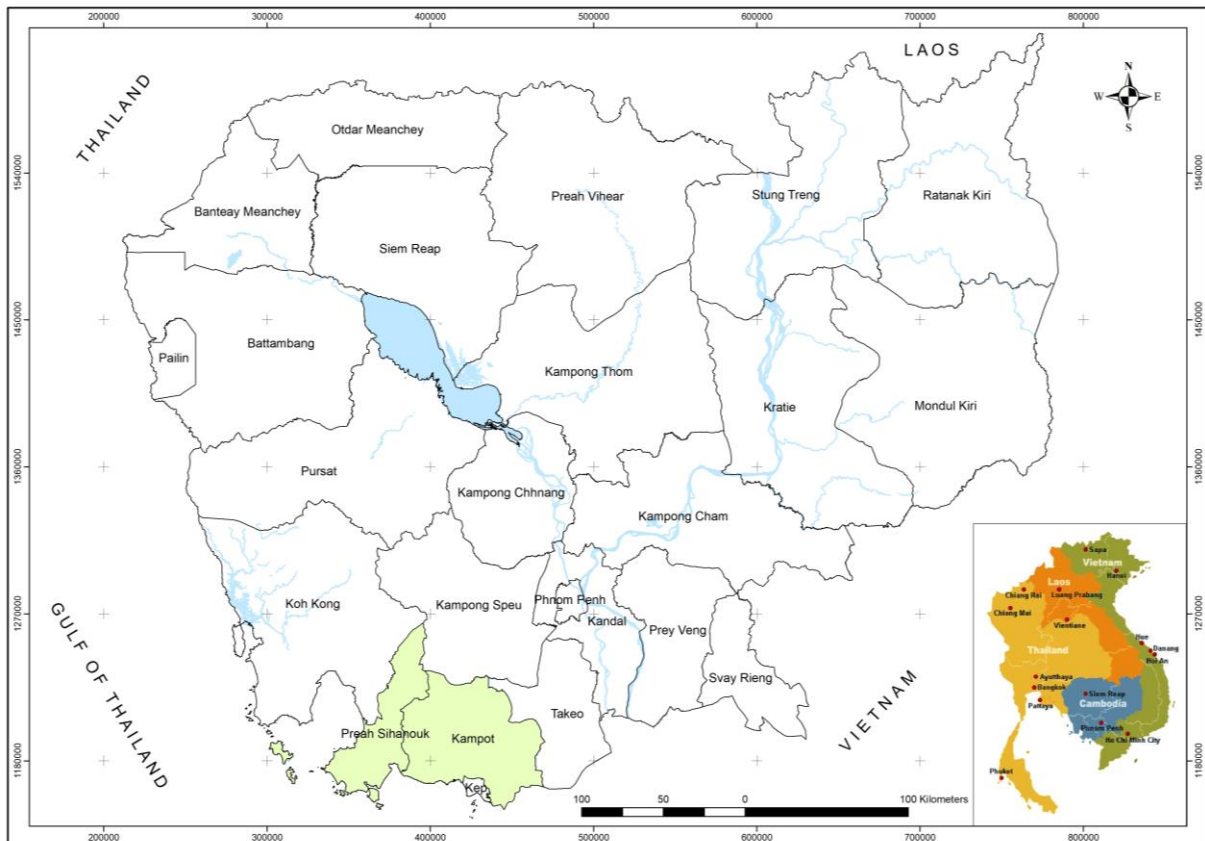
Loan Number 33-14 CAM, a Loan agreement between the Kingdom of Cambodia and the Asian Development Bank (ADB), will be used to fund implementation of the Second Mekong Sub-region (GMS) Corridor Town Development Project (CDTP). The Loan agreement was signed on 22 December 2015. The Loan was declared effective on 29 February 2016. The Implementation Period is from 2016 to 2020. The expected loan closing date is 30 June 2021.

The participating corridor towns in Cambodia, Kampot and Sihanoukville, continue to face the urgent task of coping with the demands of expanding urban areas. The local authorities want to plan and manage urban growth using an integrated approach, operate and maintain urban environmental and economic infrastructure and efficiently deliver municipal services. Kampot is a provincial capital and; agricultural, commercial and service center and a regional tourism center. Its strategic location provides excellent road based connections in the Southern Economic Corridor (SEC) and to Phnom Penh. There are significant opportunities for increased economic activities and investment. Sihanoukville is a regional center and provincial capital with a rapidly expanding economy and a significant level of urbanization. Its success is built around investment in strategic infrastructure, including an international port, an airport and a special economic zone, coupled with a beach environment that has given the town an international resort status.

The proposed Second Greater Mekong Sub-region (GMS) Corridor towns Development Project for Cambodia will improve urban services in the two towns of Kampot and Sihanoukville. The project will cover four subprojects comprising: (i) Strategic Local Economic Development Plans (SLEDPs) implemented; (ii) priority urban infrastructure investments implemented; (iii) institutional capacities for managing public investments strengthened; and (iv) Community Awareness on project activities and environmental sustainability improved.

The location of the towns of Kampot and Sihanoukville are shown on Figure 1.1

**FIGURE 1.1**  
**LOCATION OF THE TOWNS OF KAMPOT AND SIHANOUKVILLE**



The projects expected outcome will improve urban infrastructure and enhanced climate resilience in Kampot and Sihanoukville. The project will cover five subprojects comprising, (a) Three subprojects in Kampot, (b) Two subprojects in Sihanoukville:

(a) Kampot:

- Wastewater Collection and Treatment
- Urban Drainage
- Solid Waste Management

Note: The sewerage element of 'Wastewater Collection and Treatment' is now part of the Drainage and Sewerage contract which includes 'Urban Drainage'

(b) Sihanoukville:

- Solid Waste Management
- Urban Drainage



## 1.2 BASIC DATA

Presented below is the basic Project data.

<b>Project Title:</b>	Second Greater Mekong Subregion Economic Corridor Towns Development Project		
<b>Project Number</b>	46443-002		
<b>Borrower:</b>	Kingdom of Cambodia		
<b>Executing Agency (EA) and Implementing Agencies (IA)</b>	The EA of the Project is the Ministry of Public Works and Transport (MPWT). The EA assumes overall responsibility for the project implementation through the Project Management Unit (PMU). The Provincial Town Governor in each of the two Towns, in cooperation with PMU, has set up the PIUs for the implementation of subproject activities. The key members of the PMU and PIUs are presented in <b>Appendix A</b> .		
<b>Total Project Cost and Financing Plan</b>			
<b>Loan/Grant No.</b>	<b>Source of Funding</b>	<b>Amount (US\$ million)</b>	<b>Share of Total (%)</b>
Loan No. 3314-CAM	Asia Development Fund	33.00	86.6%
	Government of Cambodia	5.10	13.4%
	<b>Total Project Cost</b>	<b>38.10</b>	<b>100.0%</b>

Source: Asian Development Bank estimates.

<b>Date of Loan Approval</b>	13 November 2015
<b>Date of Signing of Agreement</b>	22 December 2015
<b>Date of Effectiveness</b>	29 February 2016
<b>Loan Closing Date</b>	30 June 2021 (loan period is 5.42 years from date of effectiveness)
<b>Elapsed Loan Period</b>	2.08 years from date of effectiveness (as of 31 March 2018) 39% of loan period
<b>Dates of ADB Review Missions</b>	07 – 14 December 2016, 14 - 15 June 2017 and 25 – 29 August 2017

## 1.3 REPORTING PERIOD

This Quarterly Report is for the 1<sup>st</sup> Quarter of 2018 – January - March 2018 reporting period. It provides a summary of accomplishments during the reporting period, identifies major issues and concerns and recommends the action required, compliance with safeguards and covenants, and lists activities to be carried out in the next quarter.



## SECTION 2 UTILIZATION OF FUNDS

### 2.1 PROJECT COST ESTIMATE

The Project million cost estimates was amended to take into consideration, the reallocation of loan proceeds due to contract awards under loan categories that already exceeded their allocation and the prioritization of subprojects such that total cost will be within the available budget. **Table 2.1 and 2.2** presents the Detailed Cost Estimate by Output and Financier prepared by MEF, and approved by ADB.

**TABLE 2.1  
DETAILED COST ESTIMATE BY OUTPUT AND BY FINANCIER (US\$ MILLION)**

(Second Greater Mekong Subregion Economic Corridor Towns Development Project)

No.	Item	Total		ADB Loan		RGC			
		Amount	%	Amount	%	Amount	Taxes & Duties	Subtotal	%
<b>A</b>	<b>Base Cost</b>								
<b>1</b>	<b>Kampot</b>								
1.1	Wastewater collection and treatment	9.74	26%	7.28	75%	1.73	0.73	2.46	25%
1.2	Solid waste management	3.01	8%	2.53	84%	0.23	0.25	0.48	16%
1.3	Urban drainage	1.80	5%	1.48	82%	0.17	0.15	0.32	18%
	<b>Subtotal Kampot</b>	<b>14.55</b>	<b>38%</b>	<b>11.29</b>	<b>78%</b>	<b>2.13</b>	<b>1.13</b>	<b>3.26</b>	<b>22%</b>
<b>2</b>	<b>Sihanoukville</b>								
2.1	Wastewater collection and treatment	2.90	8%	2.64	91%	-	0.26	0.26	9%
2.2	Solid waste management	9.68	25%	8.80	91%	-	0.88	0.88	9%
	<b>Subtotal Sihanoukville</b>	<b>12.58</b>	<b>33%</b>	<b>11.44</b>	<b>91%</b>	<b>-</b>	<b>1.14</b>	<b>1.14</b>	<b>9%</b>
3	Project Implementation and Capacity Development	3.58	9%	3.25	91%	-	0.33	0.33	9%
4	Incremental Administration Cost								
4A	Salary Supplements and Project Audit	0.37	1%	-	0%	0.34	0.03	0.37	100%
2D	Other Incremental Administration Cost	0.56	1%	0.56	100%	-	-	-	0%
	<b>Subtotal (A)</b>	<b>31.64</b>	<b>83%</b>	<b>26.54</b>	<b>84%</b>	<b>2.47</b>	<b>2.63</b>	<b>5.10</b>	<b>16%</b>
<b>B</b>	<b>Contingencies</b>								
1	Physical Contingencies	2.95	8%	2.95	100%	-	-	-	0%
2	Price Contingencies	2.66	7%	2.66	100%	-	-	-	0%
	<b>Subtotal (B)</b>	<b>5.61</b>	<b>15%</b>	<b>5.61</b>	<b>100%</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0%</b>
<b>C</b>	<b>Financial Charges During Implementation</b>	<b>0.85</b>	<b>2%</b>	<b>0.85</b>	<b>100%</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0%</b>
	<b>Total (A+B+C)</b>	<b>38.10</b>	<b>100%</b>	<b>33.00</b>	<b>86.6%</b>	<b>2.47</b>	<b>2.63</b>	<b>5.10</b>	<b>13.4%</b>



**TABLE 2.2**  
**DETAILED COST ESTIMATES BY FINANCIER**  
**(Second Greater Mekong Subregion Economic Corridor Towns Development Project)**

No.	Item	ADB		RGC			Total	
		Amount	%	Amount	Amount (Taxes & Duties)	Amount (Total)		%
<b>A</b>	<b>Base Cost</b>							
1	Civil Works	22.18	90.9%	-	2.22	2.22	9.1%	24.40
2	Equipment and Materials	0.55	90.2%	-	0.06	0.06	9.8%	0.61
3	Land Acquisition and Resettlement	-	0.0%	2.13	-	2.13	100.0%	2.13
4	Project Implementation and Capacity Building	3.25	<b>90.8%</b>	-	0.33	0.33	<b>9.2%</b>	3.58
5	Incremental Administration Cost							
5A	Salary Supplements and Project Audit	-	0.0%	0.34	0.03	0.37	100.0%	0.37
5B	Other Incremental Administration Cost	0.56	100.0%	-	-	-	0.0%	0.56
	<b>Subtotal (A)</b>	<b>26.54</b>	<b>83.9%</b>	<b>2.47</b>	<b>2.64</b>	<b>5.11</b>	<b>16.1%</b>	<b>31.65</b>
<b>B.</b>	<b>Contingencies</b>							
1	Physical contingencies	2.95	100.0%	-	-	-	0.0%	2.95
2	Price contingencies	2.66	100.0%	-	-	-	0.0%	2.66
	<b>Subtotal (B)</b>	<b>5.61</b>	<b>100.0%</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.0%</b>	<b>5.61</b>
<b>C.</b>	<b>Financial Charges During Implementation</b>	0.85	100.0%	-	-	-	0.0%	0.85
	<b>Total (A+B+C)</b>	<b>33.00</b>	<b>86.6%</b>	<b>2.47</b>	<b>2.64</b>	<b>5.11</b>	<b>13.4%</b>	<b>38.11</b>

Source: Project Administrative Manual



## 2.2 LOAN PROCEEDS

Loan utilization by category, as of 31 March 2018 is indicated in Table 2.3 below and the master spreadsheets used for CAD Project to Date and Year to Date is shown in **Appendix 3**.

**TABLE 2.3**  
**STATUS OF LOAN UTILIZATION (LOAN 3314)**

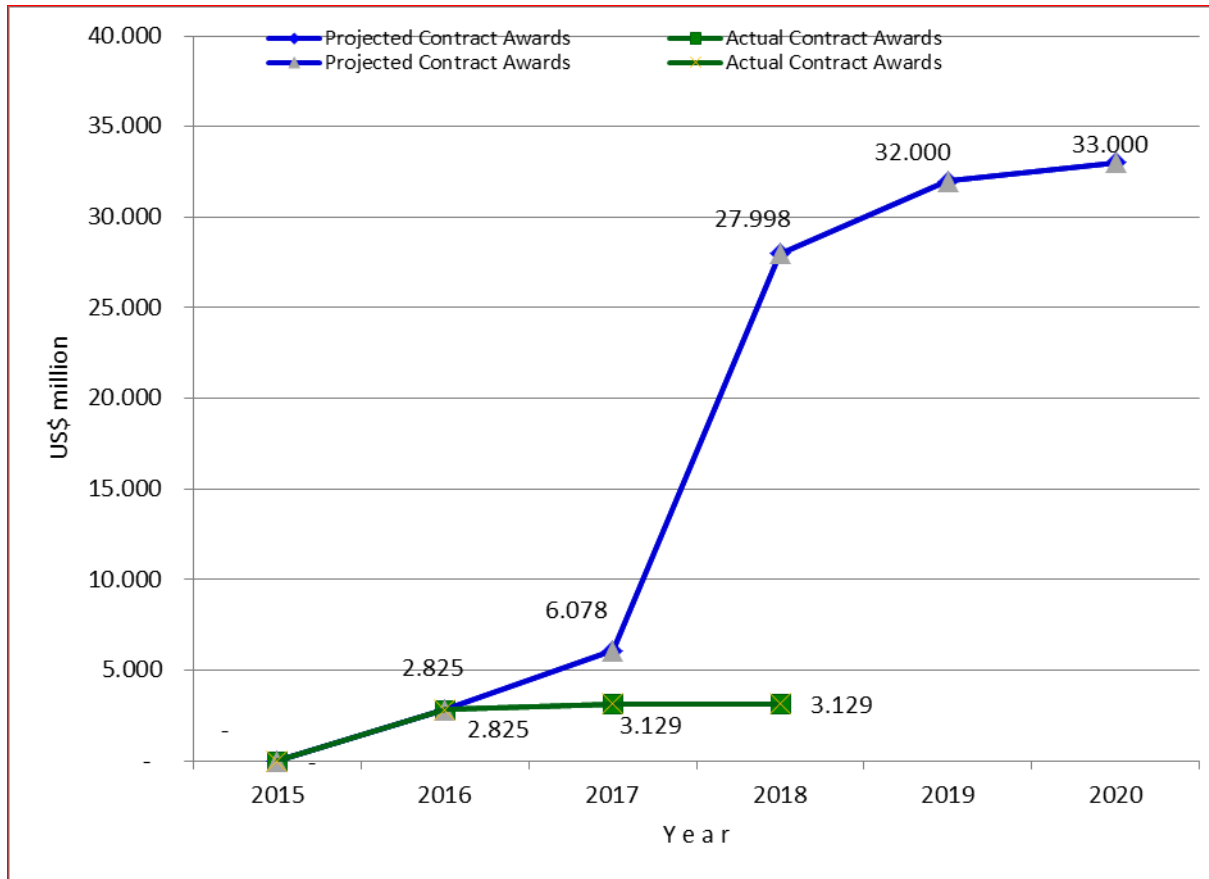
As of 31 Mar 2018							
Cat. Ref.	Category Name	US Dollars, million					
		Allocation	Contracts Awarded	Uncontracted Loan Balance	Contracts Disbursed	Undisbursed Loan Balance	Undisbursed Contract Balance
		A	B	C = A - B	D	E = A - D	F = B - D
A	<b>Base Cost</b>						
1	<b>Kampot</b>						
1.1	Wastewater collection and treatment	9.740	-	9.740	-	9.740	-
1.2	Solid waste management	3.010	-	3.010	-	3.010	-
1.3	Urban drainage	1.800	-	1.800	-	1.800	-
	<b>Subtotal Kampot</b>	<b>14.550</b>	<b>-</b>	<b>14.550</b>	<b>-</b>	<b>14.550</b>	<b>-</b>
2	<b>Sihanoukville</b>						
2.1	Wastewater collection and treatment	2.900	-	2.900	-	2.900	-
2.2	Solid waste management	9.680	-	9.680	-	9.680	-
	<b>Subtotal Sihanoukville</b>	<b>12.580</b>	<b>-</b>	<b>12.580</b>	<b>-</b>	<b>12.580</b>	<b>-</b>
3	Project Implementation and Capacity Development	3.580	2.825	0.755	0.895	2.685	1.930
4	Incremental Administration Cost	-	-	-	-	-	-
5A	Salary Supplements and Project Audit	0.370	-	0.370	0.004	0.366	(0.004)
5B	Other Incremental Administration Cost	0.560	0.304	0.304	0.265	0.295	0.039
	<b>Subtotal (A)</b>	<b>31.640</b>	<b>3.129</b>	<b>28.559</b>	<b>1.163</b>	<b>30.477</b>	<b>1.966</b>
B	Contingencies	-	-	-	-	-	-
1	Physical Contingencies	2.950	-	2.950	-	2.950	-
2	Price Contingencies	2.660	-	2.660	-	2.660	-
	<b>Subtotal (B)</b>	<b>5.610</b>	<b>-</b>	<b>5.610</b>	<b>-</b>	<b>5.610</b>	<b>-</b>
C	<b>Financial Charges During Implementation</b>	<b>0.850</b>	<b>-</b>	<b>0.850</b>	<b>0.007</b>	<b>0.843</b>	<b>(0.007)</b>
	Imprest Account				0.161	(0.161)	(0.161)
	<b>Total (A+B+C)</b>	<b>38.100</b>	<b>3.129</b>	<b>35.019</b>	<b>1.331</b>	<b>36.769</b>	<b>1.798</b>



## 2.3 CONTRACT AWARDS

No contract awards were made during the reporting period. As of 31 March 2018, the contracts awarded by PMU amounted to US\$3.129 million, or 9.48% of total loan amount. **Figure 2.1** shows the S-curves of the cumulative actual and original contract awards.

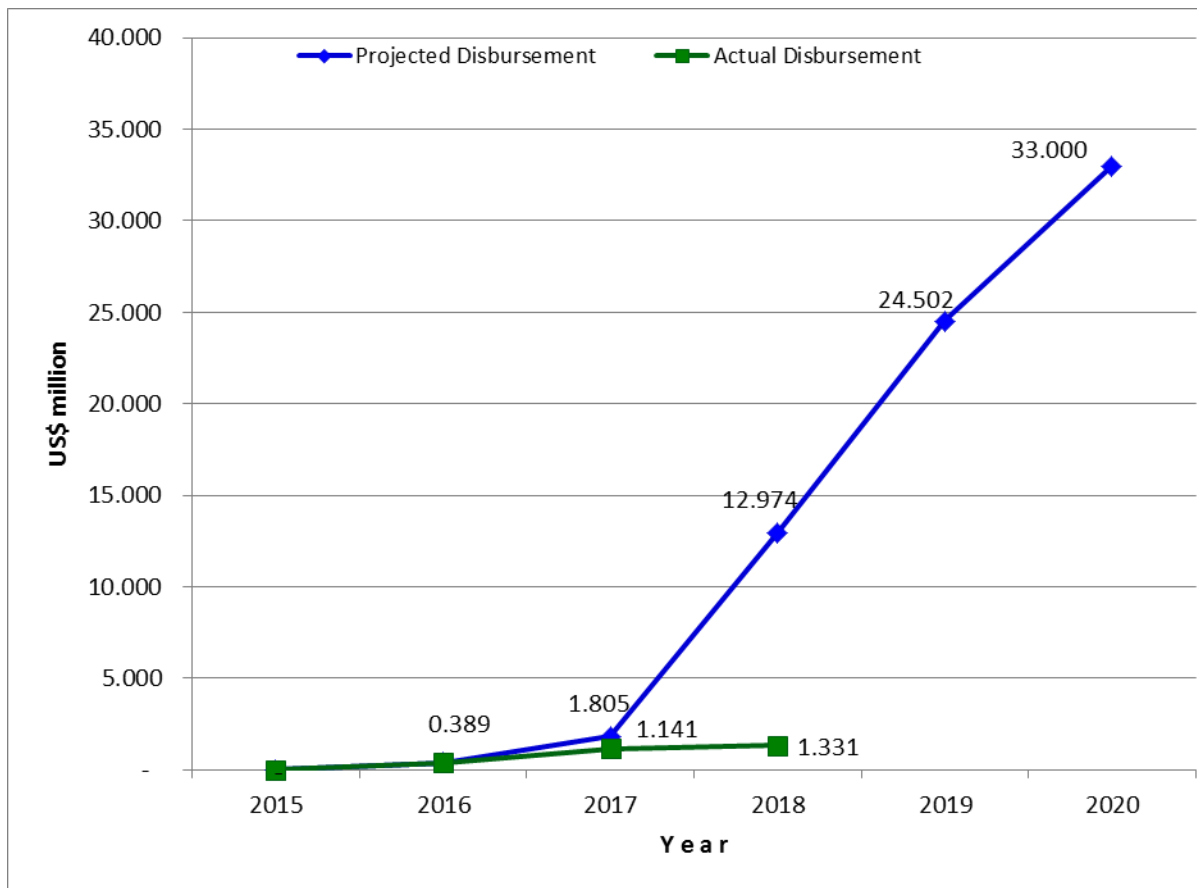
**FIGURE 2.1**  
**CUMULATIVE ACTUAL VERSUS PROJECTED CONTRACT AWARDS**



## 2.4 DISBURSEMENT

Disbursements during Q1 2018 were made through direct payment for PISCD consulting services, salary supplements and incremental administration costs. So far, a total of US\$ 1.331 million, or 43% of total contract awards, has been disbursed. This is equivalent to 3.5 % of total loan amount. The S-curves of the cumulative actual versus projected disbursements and original are shown in **Figure 2.2**.

**FIGURE 2.2**  
**CUMULATIVE ACTUAL VERSUS PROJECTED DISBURSEMENTS**



## 2.5 COUNTERPART FUNDS

Payment made from the RGC counterpart fund during the reporting period was US\$18,838.12. PMU and PIU staff allowances were paid from the account's balance of this quarter. As of 31 March 2018, the total counterpart funds released to the Project was US\$38, 838.12 or 0.8% of the total government contribution.



## SECTION 3 IMPLEMENTATION PROGRESS

### 3.1 OVERALL PROGRESS

As of 31 March 2018, project implementation is behind the originally envisaged program; the estimated physical completion of the Project is 3.5% and while the time elapsed from effective date for the completion of the design activities was complete in the first quarter of 2018, except solid waste dump sites of both towns is ongoing.

#### Kampot

- Team meetings to identify components and to set final date for contract CW01b (Urban Drainage, Trunk Sewers, Collector Sewers, and Household Connection), and CW01a (WWTP, Pumping Station, Force Main).
- Contract CW01a: Wastewater Treatment Plant, Pumping Stations and Rising Mains. Detailed engineering design and preparation of BoQ and specifications is 100% complete and final review also completed.
- Contract CW01b: Drainage and Sewerage Detailed engineering design and preparation of BoQ and specifications is 100 % complete and final review also completed.
- Finished bidding documents of Vol.2 to Vol.4 for contract CW01a (WWTP, Pumping Station, Force Main), and submitted to PMU on March 15, 2018.
- Completed combining contracts CW01a and CW01b to form contract CW01 of bidding documents Vol.2 to Vol.4 and submitted to PMU on 30 March 2018.
- Detailed engineering design of solid waste management in Kampot remains hold on due to landfill site not yet purchased, ongoing negotiation between land owners and GDR.
- ADB requested Rapid Environmental Report for proposed Solid Waste Management site on 27<sup>th</sup> February 2018 prior to purchase of land, response awaited.
- Field visit to two new sites of proposed new landfill facility in Kampot, Figure 1, date 20 February 2018. Team work was involved from senior environmental officer of ADB resident in Phnom Penh.
- Followed up with KP's PIU, PMU/GDR, and ADB's environmental expert on new landfill site acquisition, Figure 3.1.

#### Sihanoukville

- Contract CW3: Drainage Detailed engineering design and preparation of BoQ and specifications is 100% complete and final review also completed.

- Contract CW4: Detailed engineering design of solid waste management in Sihanoukville, still hold pending the approval on environmental assessment, especially biodiversity survey. Terms of Reference (TOR) for biodiversity survey requested together with TOR for watershed survey. No response and Solid Waste Management aspect of project now cancelled.
- Prepared site visit note on new encroachment activities into the approval landfill site in Sihanoukville, and unofficial submitted by email to PMU and SHV-PIU on 9 March 2018.

Training Need Assessment (TNA) was conducted at Sihanoukville and Kampot province. Site visits and field investigations were carried out and the draft report (Capacity Building and Training Program Framework) was completed, activities of capacity building and training program framework (see Subsection 3.9).

Environmental and Social Safeguard were carried out and updated, the draft reports submitted to PMU and ADB, detailed activities of environmental and social safeguard (see Section 5).

**FIGURE 3.1**  
**NEW TWO PROPOSED LANDFILL SITES**



### 3.2 PROJECT MANAGEMENT and IMPLEMENTATION UNIT

Since approval on 13 November 2015 and the declaration of effectiveness on 29 February 2016, and for project implementation, the MPWT has established a Project Management Unit (PMU) at the national level and a project Implementation Unit (PIU) at the provincial level, the composition of the PMU and PIU and the role of each of the members is shown in **Appendix 1**.



The work plan and implementation schedule were jointly reviewed and updated during ADB mission on 14-15 June 2017. Due to revisions to contract awards and disbursement projections and the procurement plan has been updated to reflect the current work plan and schedule. Following a joint review and discussion, the update work plan and implementation schedule is shown in **Appendix 2**.

### 3.3 PROJECT MOBILIZATION and REMOBILIZATION

The contract for the consulting services package for the project has been awarded, and The Project Implementation Support and Capacity Building (PISCB) consultant is continuing to mobilize and remobilize both international and national inputs as are required for the works. During the reporting period three international and one national engineer re-mobilized and mobilized, and submitted to PMU on 9 March, 2018. The International and National Consultants who worked during Q1 2018 for preparing detailed engineering design of subprojects in Kampot and Sihanoukville are listed **Table 3.1** below:

**TABLE 3.1  
STAFFING MOBILIZE**

No.	Name	Position	Input used in Q1 2018
International			
KI-1	Mr. Christopher Mark Dunn	Team Leader/Municipal Engineer	2.87
KI-9	Mr. Joop Schaap	Capacity Building and Training Specialist	0.87
KI-10	Ms. Evelyn M. Buenaventura	Community Development Specialist	0.60
KI-16	Mr. Akio Natsui	Mechanical/Electrical Engineer	0.60
National			
KN-1	Mr. Taing Sophanara	Deputy Team Leader and Engineering and Procurement Specialist No.1	2.93
KN-3	Mr. Song Kim Chhuon	Project Performance Monitoring System	1,80
KN-4	Mr. Yin Somean	Solid Waste Management Specialist	2.30
KN-5	Mr. Som Kosal	Wastewater/Civil Engineer	0.53
KN-6	Mr. Yang Bora	Drainage Engineer	3.00
KN-9	Mr. Chea Mong	Environmental Specialist	1,10
KN-10	Mr. Mel Sophanna	Resettlement Specialist	0.30
KN-17	Mr. Ky Senghun	Mechanical/Electrical Engineer	2.97
KN-18	Mr. Cheam Sar	Civil/Structural Engineer	0.63
Support Engineers	Kun Chantrea / Thlork Mesa	Technical / Support Engineer	1.94
	Born Mary	Technical / Support Engineer	0



	Chan Thanin	Technical / Support Engineer	0
	Seang Chhay Ngorn	Technical / Support Engineer	0
	Chuk Channarong	Technical / Support Engineer	0

### 3.4 PROCUREMENT

The Project involves the procurement of: (i) civil works with an estimated amount of \$24.39 million; (ii) project implementation and capacity development, \$3.58 million; and (iii) goods and equipment, \$0.61 million.

MPWT and the consulting team combined the Kampot wastewater collection (CW01a) and urban drainage (CW01b) in one package CW01 and divide two parts (part 2 and part 3); by budget shortfalls some part of subproject component was adjusted. Summary of subproject components, cost estimate and summary of contract CW01 is shown in **Appendix 4**.

#### 3.4.1 Signed Contract Document and Completed Contracts

There were no activities for procurement work during the reporting period. As of 31 March 2018, the completion of recruitment Consulting Services, signed contract document and Office renovation for the Second GMS Corridor Towns Development Project are shown below:

1. Consulting Services
  - Completed recruitment of Consulting Services for: Project Management and Implementation Support, Detailed Design and Construction Supervision (Package 1) and Capacity Building (Package 2)
  - Completed recruitment of National Financial management specialist and National Procurement specialist
2. Goods
  - Signed contract for supply of Office Equipment
  - Signed contract for supply of Office furniture
  - Signed contract for supply of 3 vehicles
3. Works
  - Signed contract for PIU Kampot Office renovation
  - Signed contract for PIU Sihanoukville Office renovation

#### 3.4.2 Procurement Plan

The procurement plan was jointly reviewed and updated during ADB mission on December 07 – 14, 2016. Due to EA provided detailed cost estimates for office repairs, office equipment and furniture proposed for the PMU and the two PIUs in Sihanoukville and Kampot. Following a joint review and discussion, these items were included in the goods and works table in the procurement plan was prepared and agreed upon by the EA and ADB, the update procurement plan is shown in **Appendix 5**.



### **3.5 PROJECT IMPLEMENTATION SUPPORT AND CAPACITY BUILDING (PISCB)**

Contract No. ICB/MPWT/PMU/CTDP1/001 between the Ministry of Public Works and Transport and NJS Consultants Co., Ltd. in Joint Venture with CEST incorporated and Key Consultants (Cambodia) Ltd. was signed on October 14, 2016. The consultant began mobilizing the consulting team by November 18, 2016.

Activities of the PISCD Consultant included assisting the PMU with Procurement, Detailed Engineering Design, Strengthening of Institutional Capacity, Environmental Safeguard, Resettlement, Implementation of Gender Action Plan, and Assessment of Project Performance through PPMS.

The PISCB Consultants assisted PMU in the preparation of this Quarterly Report.

### **3.6 CONSULTING SERVICES**

The consulting services will provide support during Project implementation, the following consultants are engaged: (i) Project Implementation Support and Capacity Development (PISCD), (ii) Procurement Specialist, and (iii) Financial Specialist. The Financial and Procurement Specialists, who are directly contracted by the PMU, are responsible for the preparation of quarterly financial management reports, and procurement reports, respectively.

### **3.7 ADOPTION AND IMPLEMENTATION OF THE SLEDP (OUTPUT 1)**

Draft SLEDPs for each town have been prepared based on a technical assessment of potential investments in the strategic context of the GMS economic corridors, and stakeholder consultations and discussion at the provincial and town level, which were all prepared in 2011, were reviewed by relevant Government agencies and provincial authorities and are expected to be adopted by these agencies/authorities by December 2016.

The capacity building program will manage by the Urban Planning Specialist, who will, in turn work closely with the DPI/PDPWT/PIUs and the other specialist in the capacity program team. The specialist will also liaise with and consult key community stakeholders and public on important planning issue. The following activities will be performed:

1. Review the recommendations in the SLEDPs so that priorities in the MTIP can be confirmed or adjusted accordingly and that the SLEDPs consider poverty, social and gender issues in its strategic planning. Potential sources of funding from government, donor agencies, the private sector and the communities will be identified with links with these funding sources will be developed and further strengthened. Where appropriate, feasibility studies and plans to support funding request will be prepared.
2. Make recommendations, prepare plans and work closely with DPIs to achieve the improvement business development climate. In actualizing the recommendations, it is important that such that the plans include organizational frameworks, implementation mechanisms and incentives, as well as measures to increase marketing capacity.
3. Thereafter, prepare training plans for PDPWT/PIUs on improvement business development climate and assist in the implementation of appropriate capacity



building to increase marketing capability, taking into account known resource constraints at provincial and town levels.

4. Provide advice and training to improve capacity in urban planning and urban design related issues with the PIUs in both towns. In this connection, training materials will again be prepared.
5. Assist in the preparation of a concept, “Green City Action Plans”

### 3.8 IMPLEMENTATION OF PRIORITY URBAN INFRASTRUCTURE INVESTMENTS (OUTPUT 2)

At the end of the reporting period the priority urban infrastructure contracts were completed up to the DED stage for three priority subprojects (CW01a, CW01b and CW03). The Detailed Engineering Design documents, preparation of the BoQ and specification for two subprojects (CW02 and CW04) are still on hold.

It was agreed by the EA and ADB that the criteria for the prioritization of subprojects be based on the importance and urgency of works to be done, and readiness in terms of safeguards requirements and detailed engineering designs. The agreed of subprojects, is shown in **Table 3.2:**

**TABLE 3.2  
SUBPROJECTS AND READINESS**

Package	Subproject	Readiness
CW01	Kampot Wastewater Collection and Treatment, and Urban Drainage.	Detailed engineering designs of CW01a Kampot Wastewater Collection and Treatment including pumping stations and rising mains completed in the first quarter of 2018 and submitted to PMU for tendering. Drawings, BoQ and specifications are 100% complete. CW01a Kampot Wastewater Collection and Treatment including pumping stations will contract award in Q3 2018.
		Detailed engineering designs of CW01b Kampot Urban Drainage and Sewerage completed in the first quarter of 2018 and submitted to PMU for tendering. Drawings, BoQ and specifications are 100% complete. CW01b Kampot Urban Drainage will contract award in Q3 2018.
CW02	Kampot Solid Waste Management.	The new proposed landfill site in Kampot will take time for acquisition, topographical and geotechnical surveys, and a detailed environmental assessment. The current status is waiting for ADB comments on the Rapid Environmental Assessment and only then can negotiation between land owners and GDR of MEF continue
CW03	Sihanoukville Urban Drainage	Detailed engineering designs, BoQ and specifications of CW03 Urban Drainage completed in the first quarter of 2018 with contract award in Q3 2018.
CW04	Sihanoukville Solid Waste Management	Detail design Sihanoukville solid waste management subprojects will conduct after approval on environmental assessment report from ADB Environmental Specialist.
		Disclosure of the project information and approval managed landfill in Sihanoukville to the local authorities is needed to ban the encroachment activities form other people.



### 3.9 STRENGTHENING OF INSTITUTIONAL CAPACITY and COMMUNITY DEVELOPMENT

The capacity development program is intended to ensure smooth implementation of urban infrastructure and to provide sustainable capacity development. The contract with NJS Consultants Co., Ltd in Joint Venture with CEST Incorporated and Key Consultants (Cambodia), Ltd. was signed on 14 October 2016.

During the reporting period, PISCB capacity building and training specialists conducted training needs assessment (TNA) workshop and meetings with stakeholders in Kampot and Sihanoukville, drafted evaluation of training course and preparing TNA report. The capacity development program is intended to ensure smooth implementation of urban infrastructure and to provide sustainable capacity development.

#### a) Capacity Building and Training Activities in Package 1

Package 1 is the “Project Management and Implementation Support, Detailed Design and Construction Supervision “package where a range of specialists and consultants, working under the guidance of the Team Leader / Municipal Engineer and assisted by two Deputy Team Leaders, will assist the EA, PMU and PIUs with detailed design and construction supervision of civil works, compliance with ADB policies and operational requirements (including social and environmental safeguards monitoring and compliance) and provided project management and administrative support to the PMU and PIUs.

Capacity building activities are also integrated into the execution of the project, that is, in project implementation and operation and maintenance of the constructed infrastructure, thus providing an integrated approach to capacity building and incorporating and addressing all possible stakeholders in an adequate way in each phase of the project. A summary of these Capacity Building activities is presented in Table 3.3.

**TABLE 3.3  
CAPACITY BUILDING PROGRAM PACKAGE 1 ACTIVITIES**

No.	Activity name	Expert	Description	Target Group
P1.1	Project Management and oversight	KI-1	Design program for initial training on project management & oversight	PIUs
P1.2	Financial Management Training	KI-2	Loan disbursement procedures and financial practices of ADB projects	PIUs and PMU INPUT NO LONGER REQUIRED
P1.3	Project Performance Monitoring Training	KN-3, KI-5, 6, 7	Training on project requirement for Monitoring and Evaluation	EA, IA, PMU, PIU and stakeholders
P1.4	Solid Waste Management Training	KI-3	On-the-job training of PIUs managed landfill sites	PIU landfill site managers
P1.5	Manual Outline for Operate & Maintain	KI-4	Preparation manual outline for O&M Kampot WWT plant, road drainage	PIU technical staff and management
P1.6	Environmental Workshop & Seminars	KI-6 KI-8, 10	Capacity building for PMU/PIUs Community awareness campaigns	PMU, PIUs, stakeholders, community



P1.7	Grievance Mechanism Training (Resettlement)	KI-7	Training on Grievance Mechanism	PMU, PIUs staff, other officials
P1.8	GAP training, Social Development, Gender	KI-8	Training courses, awareness, campaigning	PMU, PIUs, stakeholders, community

Note: KI =Key expert International, KN= Key expert National

### b) Capacity Building and Training Activities in Package 2

Capacity Building in Package 2 will support capacity-building for project stakeholders, including provincial and municipal administrations (with a focus on PDPWT) as well as relevant local stakeholders that may play a role in the provision of urban services, including NGOs/CSOs, the business community, residents and the heads of local communities (sangkats). Women, including through representation from the Cambodian Women's Development Association, will be a key focus. This capacity building will cover three key areas:

#### Area 1: Implementation and O&M for project investments

The first capacity building area is on the implementation and O&M for project investments, focusing on improving the capacities of key provincial agencies to implement the subprojects and strengthen their capacities for O&M of the facilities constructed and financed by ADB loan.

#### Area 2: Sustainable Livelihoods Development and Community Awareness

Community development involves working alongside people in the communities to help build relationship with key people and organizations. It necessitates an approach that facilitates coordination and collaboration among local/ community stake holders to identify common concern in order to bring about social inclusion and equity.

#### Area 3: Refinement and Implementation of SLEDPs

The urban planning initiatives will focus on recommendations contained in the Medium Term Investment Program (MTIP) of both towns which are now experiencing intensified development activities. Higher levels of private sector investments in various sectors are expected, thus placing increasing pressure on essential infrastructure and services. The approach is to manage urban expansion by fostering competitiveness, innovation, social inclusion and environmental sustainability by balancing the various social, cultural, economic and physical needs of the towns when leading the implementation of the strategic local economic development plans. A summary of Capacity Building activities in Package 2 is presented in Table 3.4

**TABLE 3.4**  
**CAPACITY BUILDING PROGRAM PACKAGE 2 ACTIVITIES**

No.	Activity name	Expert	Description	Target Group
2.2	Managed Landfill O&M			
2.2.1	Area 1.2 Assistance to Managed Landfill O&M	KI-13	All aspects involved in operation and maintenance of managed landfill	Management, site staff, waste pickers, etc.



2.3	Business Management			
2.3.1	Area 1.3 Simplifies Business Development Plans	KI-11	Assistance in designing five year simplifies Corporate Dev. Plans	PDPWT staff
2.3.2	Area 1.6 Improving Business Climate for SSPs	KI-11	Build capacity of SSPs and involve them in town development	Small service providers, local government officials
2.4	Municipal Finance			
2.4.1	Area 1.4 Revenue Improvement Action Plans	KI-12	Develop and implement financial plans and reforms	Municipality and PDPWT and others
2.4.2	Area 1.5 Physical Assets Management	KI-12	Cost control principals and cost control analysis	Municipality and PDPWT and others
2.5	Community Development			
2.5.1	Area 2.1 Skills development	KI-10 and KI-8	Pilot studies, concept notes assist in stimulating the role of women	Communities, unskilled women
2.5.2	Area 2.2 Improving Community Awareness	KI-10 and KI-8	Awareness on gender, environment, sanitation, human trafficking, etc	Training of trainers PIUs
2.6	Urban planning			
2.6.1	Area 3.1 SLEDP Implementation	KI-14	Improve business climate, advice improve urban planning cap.	Gov., Businesses, other stakeholders

Note: KI= Key expert International

### c) Campaigning

There are many focus areas of awareness and campaigning activities included in the Project. In order to achieve a durable change in behavior to improve the living environment of the population in Kampot it is essential to embark on a long-lasting awareness and campaigning program using a variety of media to reach all generations, and rich as well as poor. A summary of campaigning activities is presented in Table 3.5

**TABLE 3.5  
SUMMARY OF CAMPAIGNING ACTIVITIES IN THE TORS**

No.	Activity name	Expert	Description	Target Group
1.4	Solid Waste Management			
1	Awareness activities	KI 3	Positive/attractive presentations of PMU's mission and duty, participate meeting on advantages of an efficient municipal solid waste service to improve living conditions in	Community level all citizens of project towns



			villages, dissuade habitants to burn their wastes	
1.6	Environmental Workshop and Seminars			
2	Community awareness campaigns on environmental sustainability and conservation themes	KI 6, 8, 10	10 community awareness and dissemination campaigns in each town	Community level all citizens of project towns
3	Clean City campaigns on solid waste collection at community level	KI 6, 8, 10	Campaigning on solid waste collection	Community level all citizens of project towns
1.8	GAP training Social Development and Gender			
2	Develop livelihoods, social development,	KI 8	Community information and awareness and mobilization campaigns	Community levels all citizens of project towns emphasis on urban poor and disadvantaged hh.
2.5	Community Development			
	Training on gender sensitization, environmental sanitation, social risk human trafficking, etc	KI-10 and KI-8	Pilot studies, concept notes assist in stimulating the role of women	Communities, unskilled women

Note: KI= Key expert International



## SECTION 4 PROJECT PERFORMANCE

### 4.1 GENERAL

Project performance M&E includes tracking progress from the baseline situation against the targets and the indicators identified in the DMF and assessing progress toward achieving the respective result level outputs and outcome.

In this Project, although outputs and outcome will be achieved only as subprojects are completed (some of the subprojects sooner, others later; some fully, others partly), it is necessary to assess the likelihood or degree of the achievement of outputs and outcome already during implementation. The subjectivity of the judgments involved can be reduced by taking into account the implementation progress and, equally important, by realistically reassessing the risks that affect outputs and development objectives.

### 4.2 ASSESSMENT OF RISKS

Risks are the external factors which cannot be controlled by the project manager or the executing agencies, but which influences the success of project implementation. These are identified in the DMF. The assessment of risks is presented in **Appendix 6**.

### 4.3 PROJECT PERFORMANCE AGAINST THE TARGETS SET OUT IN THE DMF

M&E of performance indicators involves the tracking and assessment of the degree of attainment and sustainability of Project outputs and outcome by comparing actual performance and project implementation plan, as measured by its corresponding indicator, to the baseline and performance target.

The Project's performance against the targets set out in the DMF is reported in **Appendix 7**. As of 31 March 2018, assessments of progress toward achieving Outputs 1 are being carried out since the activities toward attaining these outputs have commenced and are ongoing, Outputs 2, Outputs 3 and Outputs 4 have not yet implemented, Outcome, however, can only be assessed upon completion of subprojects and during their operation.

### 4.4 PROJECT IMPLEMENTATION AND PERFORMANCE M&E FRAMEWORK MATRIX

Project Implementation M&E Framework Matrix and Project Performance M&E Framework Matrix are designed based on the Design and Monitoring Framework, M&E framework matrix are shown in **Appendix 8**.



## SECTION 5 COMPLIANCE WITH SAFEGUARDS AND COVENANTS

### 5.1 ENVIRONMENTAL SAFEGUARDS

There were activities related to Environmental Safeguards during Q1 2018. The PISCD Environment Specialists was mobilized and undertake the following activities:

- Completed the ADB requested improvements to the Site Environmental Assessment (SEA) Report of the proposed Sihanoukville Solid Waste Managed landfill and submitted to PMU/ADB on 9 March 2018. Further comment and works outside of original TOR requested and comment provided by PISCB consultant on 27 March 2018 asking for content/description of revised TOR
- Finished the Rapid Environmental Assessment of the proposed site for the Solid Waste Management for comment from ADB's Environmental Specialist and submitted to the ADB on 27 February 2018. This is considered essential before land purchase is made. At the end of the reporting period comment from ADB has not been received.
- The national environmental specialists completed the updated IEE and EMP for the Urban Drainage and Wastewater Collection and Treatment subprojects in Kampot and Urban drainage in Sihanoukville but ADB require these to be prepared by International Environmental Specialist and have not therefore been submitted.
- KCC submitted draft IEIA report for "Wastewater Collection and Treatment and Urban Drainage in Kampot Town" in Khmer to PISCB Consultant in March 29, 2018.

### 5.2 RESETTLEMENT

The International and National Resettlement Specialists were mobilized in Q2 of 2017. The PISCD Social Safeguards and Resettlement Specialists have carried out field investigations on subproject sites and have held meetings and discussions with PMU, IRC/MEF about the resettlement policy. A start has been made on drafting the Kampot and Sihanoukville resettlement plans and preparing an affected household's database and updated resettlement report.

During last quarter and the current reporting period National Resettlement Specialists have carried out field investigations on subproject sites and have held meetings and discussions with PMU, IRC/MEF about the resettlement policy. Final draft of resettlement report submitted to the team leader, revised and sent to interested parties.

The inventory of losses (IOL) and census of affected persons (APs) and affected households (AHs) were conducted between on November 17, 2017 in Kampot. Summary of impacts includes the following (see in Table 5.1).

Based on detailed engineering design and field visits, it has been found that the proposed landfill is pending due to the provincial government is seeking for available vacant land. 101,178m<sup>2</sup> of farmland had acquired by MEF for the proposed Waste Water Collection and Treatment Component. For the urban drainage component, 350m<sup>2</sup> of residential land will



be acquired. Moreover, about 34 households will be affected by this project component. Out of 34 AHs, nine AHs found as landless AHs. They will permanently lose their entire houses; five AHs will partially lose house structures. Other 25 AHs will lose only secondary structures such as extend eaves, kitchen, pig shelter, fence, and fruit trees.

**TABLE 5.1  
SUMMARY OF LAR IMPACTS**

Components	Area of Affected (m <sup>2</sup> )	Type of Land	Structures	Trees	No. of AHs	No. of APs	Status of Impact
Solid Waste Management	N/A	N/A	N/A	N/A	N/A	N/A	Waiting
Wastewater Collection and Treatment	101,178	Agriculture land	00	00	00	00	Land bought by MEF
Urban drainage	350	Residential land (ROW)	14 main & 19 secondary structures	58 Trees (coconuts, Mangos and sour sop trees)	34 AHs	136 APs	9 entirely, 24 partially lost

### 5.3 IMPLEMENTATION OF GENDER ACTION PLAN

The International and National Social development and Gender Specialists mobilized in Q4 of 2017, the report from the International Specialist was received by the PISCB consultant on 4 March and sent to the ADB on 12 March 2018, at the end of the reporting period ADB comment has not been received.

A section has been included in the Specification of the Bidding/Contract documentation covering the ADB requirements to be implemented by the contractors.

Accomplishment of International Community Development Specialist (ICDS) for the Progress Report of PISCB and Gender Specialists updated the implementation gender action plan and proposed carrying out the following activities:

#### A. TOR of the ICDS

The ICDS is expected to perform the following responsibilities as per the ToR under Package 2 of the Capacity-Building and Training (CBT), specifically Area 2.2 on Sustainable Livelihood Development and Community Awareness with focus to: i.) Skills training and ii.) Improving Community Awareness and in the accomplishments of the “deliverables” coordination with the Social Development and Gender Specialist and the Environment Specialist whose ToRs are under package 1 of the CBT is imperative. Specifically, the ICDS and the National Community Development Specialist (NCDS) are responsible for:

- i.) Design, manage and assist in the implementation of training, which includes the development of training materials and delivery of training for the following target group of participants:
  - “Training of Trainers’ program, together with a focus group, in gender equality, women in development and self-esteem building for women; and
  - The PIUs on survey methodologies for surveys among resident (social, economic, health and education, etc.) and a limited pilot survey related to stakeholder priorities;



ii.) Advise, and facilitate, as well as assist the PIUs:

- In raising awareness on vulnerable women, ethnic minority, human trafficking and prostitution; and
- By designing a communications strategy to raise the level of awareness and degree of engagement by the community using available media channels such as print (brochures), broadcast (radio), digital platforms (website, social media), and face-to-face (meetings and seminars) and mass marketing events.

## **B. Accomplishments as per TOR**

In compliance with the ICDS ToR, initial mobilization to the project commenced on 14 March 2018 and will be completed on 30 April, 2018. The total planned input to the project is 90 person-days or 3 person-months. Total input days for this initial mobilization is 48 and remaining person-days for the next and final mobilization to the project is 42 person-days.

In compliance with the ToR, the ICDS accomplished the following during the 18 person-days initial mobilization to the project on 14-31 March, 2018 to wit:

- i. Discussed with the Team Leader and the lead consultant to the CBT, the action plan for the initial mobilization and the corresponding coordination with co-consultants;
- ii. Reviewed project documents such as the Inception Report of PISCB, the RRP, PAM and the 2017 Quarterly Progress Report;
- iii. Met with National Community Development Specialist on the functions of the CDS as per ToR of PISCB and delineated responsibilities with respect to the ToR;
- iv. Prepared:
  - a. Matrix of roles and responsibilities as delineated with other co-consultants and
  - b. The areas for coordination with other co-consultants whose support is deemed necessary to produce my expected outputs as per ToR;
- v. Met with the International CBT Specialist on the implementation of the guidelines on CBT Program Framework;
- vi. Prepared and completed the following training and information campaign designs:
  - Training of Trainers Program, together with a focus group, on gender equality, women in development initiatives in Cambodia and building of self-esteem for women where the these topics will be delivered by the trained PIU facilitators and focus group from M/PDOWA to the conduct of the gender sensitization activities for project stakeholders at commune level which is a part of the Social Development and Gender Specialists' TOR to backstop the PIUs in the actual implementation;
  - The PIU's, on survey methodologies for surveys among residents (social, economic, education, health etc.); and a limited pilot survey related to stakeholder priorities;
  - Project's Communications Strategy to raise the level of awareness and degree of engagement of the community using available media channels or Information Education, Communication (IEC) tools and materials;
  - Information Campaign on the social issues of vulnerable women and the social risks of human trafficking and prostitution;



- vi.) Met with the National Training Specialist and the National CDS regarding budget for training and campaigning activities under Area 2.2. of Package 2. This formed the basis of PISCB management's preparation of VO3 re: budget for CBT to be requested from ADB.

Gender Specialists Updated the Implementation Gender Action Plan:

- At the project detailed design phase to provide technical leadership related to the proposed subproject components from the social development and gender perspectives; commencing with a review and reconfirmation of the subproject components developed during project preparation in close association with the PMU/PIUs;
- Included in the contract documentation the need for the contractor to follow the ADB GAP policy;
- Review the SPRSS and the GAP prepared under the PPTA and their application in the two subprojects and specifically working with the PIUs and the project affected communities in providing advice on implementing the GAP, including reference to: (i) coordinating gender development with sector/technical issues; (ii) gender sensitive communication; (iii) equal access to training and capacity development; and (iv) mentoring issues;
- Work closely with the PIUs in both project towns and support them in implementing the activity plans that constitute part of the SPRSS/GAP. This will include, but not be limited to refining training and capacity building activities for the PIUs, with particular reference to support for implementation of the project loan;
- Coordinate with the project resettlement specialists regarding the livelihood and social development aspects of the resettlement action plans, and advising the PIUs on a training needs assessment of impacted households, including disaggregation of livelihoods by gender;
- Gather information on GAP implementation progress and indicate results in a Gender Field Report and prepare progress report of GAP; Gender action plan are shown in **Appendix 9**.
- Prepare and conduct the gender awareness and sensitization training for project beneficiaries in Kampot and Sihanoukville.

#### **5.4 STATUS OF COMPLIANCE WITH LOAN COVENANTS, AND RISK ASSESSMENT AND RISK MANAGEMENT PLAN**

There are 16 key loan covenants, out of which eight (8) are complied with, four (4) are compliance ongoing, and four (4) are not yet due for compliance. The list of covenants under relevant categories and their status of compliance as of March 31, 2018 is provided in **Appendix 10**.

The status of compliance with the Risk Assessment and Risk Management Plan is presented in **Appendix 11**.



## SECTION 6 MAJOR PROJECT ISSUES AND PROBLEMS, AND ACTIONS TAKEN

The major project issues and problems encountered, and actions taken during Q1 2018 were:

Issues/Problems	Action Taken
<b>Kampot</b>	
The new proposed landfill sites for making acquisition, was raised by KP-PIU in mid of Jan. 2018, but no result yet from GDR/MEF. Delay of detail design and bidding document due to no land.	The current status is ongoing negotiations between land owners and GDR of MEF. Delay in land purchase in part due to lack of response from ADB on the Rapid Environmental Assessment report.
<b>Sihanoukville</b>	
Some people intend to occupy some part of the approved site. In September 17-19, 2017, during an environmental assessment on the proposed site the survey team of the PISCB Consultant found two marker-columns in the project site. Based on this mark it means that some people occupied the proposed landfill site that approved by SHV Governor May 9, 2017. Moreover, during site investigation by an environmental engineer and solid waste management specialists of the PISCB Consultant in March 2 and March 8, 2018 it was found that a new access road constructed by Mr. Chea Vandeth (reported by villager) had encroached into the approved site by about 100m	This issue was confirmed in the Monthly Reports and also by phone to the PIU chief in Sihanoukville since October 2017 to February 2018 by the PISCB Consultant. Disclosure of the project information and approval managed landfill in Sihanoukville to the local authorities is needed to ban the encroachment activities from other people. Delay of detailed design on managed landfill in Sihanoukville, due to environmental issues, also affected the project schedule.
The environmental assessment report of managed landfill not yet approval by ADB environmental specialist	Accelerate review and comment by ADB



## SECTION 7 ACTIVITIES FOR THE NEXT QUARTER

TABLE 7.1  
WORK PLAN FOR NEXT QUARTER (2ND QUARTER 2018)

Main Task	Activities to be Carried out	Responsible
New landfill site in Kampot	Follow up with ADB, PIU, PMU, and GDR on land acquisition of new landfill site	ADB, PISCB consultant & PMU to push ADB approval of the REA report
Detailed design of urban drainage	Sihanoukville Urban Drainage (to be completed and submitted by 12 April, 2018)	PISCB consultant/ Design engineers
Detailed design of two solid waste management subprojects	<ul style="list-style-type: none"><li>- Sihanoukville Solid Waste Management will be continued after approval on environmental assessment report from ADB Environmental Specialist.</li><li>- Kampot Solid Waste Management detailed design was hold on until new site was purchased, see comment above</li><li>- Provide assistance during bidding stage</li><li>- Provide assistance during bid evaluation stage</li></ul>	ADB to confirm land availability and then PISCB consultant/ Design engineers
BoQ and Specification for Contract CW03	<ul style="list-style-type: none"><li>- Prepare BoQ and Specification for bidding documents of Sihanoukville Urban Drainage, to be completed and submitted to PMU End of April, 2018</li></ul>	PISCB consultant
Environmental	Update IEE and EMPs	Carried out by PISCB National Consultant but needs to be done by International Consultant
GAP Activities	<ul style="list-style-type: none"><li>• Preparation of the remaining information campaigning designs on solid waste collection at household level and on environmental sanitation;</li><li>• Design on pilot studies and concept notes related to micro-finance promoting women's economic activities and livelihood projects;</li><li>• Meeting with Social Development and Gender Specialists regarding areas of coordination/role delineation with regards gender mainstreaming in both packages 1 and 2 of the CBT;</li><li>• Start preparation of the training and information materials for the various training and information campaigning activities;</li><li>• Follow-up Orientation Training /capacity development on GAP implementation in overall project implementation for PMU/PIU /PISCB.</li></ul>	PISCB
Resettlement	<ul style="list-style-type: none"><li>• Participated with PRSC for conduct DMS</li><li>• Participated to Conduct consultation meeting with affected persons with IRC working group, local authorities and affected person (Aps)</li></ul>	PISCB/PMU
Others	Prepare monthly report for PMU Prepare 2 <sup>nd</sup> quarter 2018 report	PISCB



**APPENDIX 1**  
**KEY MEMBERS OF PROJECT MANAGEMENT UNIT**  
**AND PROJECT IMPLEMENTATION UNITS**

**1.Key Members of Project Management Unit**

No.	Name of member	Role and responsibility	Phone Number
1	H.E. Vong Pisith	Project Director	
2	Mr. Pou Manith	Responsible for Procurement	012 803 203
3	Miss. Chhoun Sovady	Responsible for Financial	
4	Mr. Eang Daravuth	Responsible for Technical	
5	Mr. Nop Keilarith	Responsible for Social and Environment	
6	Mr. Vong Rada	Responsible for Urban Planning	012 451545
7	Mr. Eab Visoth	Responsible for Resettlement	
8	Mr. Chok Borith	Responsible for Administration	

**2.Key Members of Project Implementation Units**

No.	Description	Position	Role and responsibility
<b>A</b>	<b>Kampot PIU</b>		
1	Mr. Thorn Saravuth	Deputy director of DPWT	Chief PIU
2	Mr. Veth Vathana	Chief of multi-sector office of provincial hall	Vice chief PIU
3	Mr. Tauch Channsereyboth	Officer of DPWT	Responsible for Technical
4	Mr. Seth Kosal	Officer of DPWT	Resp. for Technical
5	Miss. Tauch Meakthoura	Officer of DPWT	Resp. for Financial
6	Mr. Pov Vanntha	Officer of DPWT	Resp. for Urban Planning
7	Mr. Seng Vutha	Deputy governor of Kampot City	Resp. for Administration
8	Miss. Tho Phearun	Officer of multi-sector office of provincial hall	Resp. for Social & Environment
9	Mr. Ith Sary	Vice chief office of provincial hall	Resp. for Solving Impact
<b>B</b>	<b>Preah Sihanouk PIU</b>		
1	Mr. Nop Heng	Director of DPWT	Chief PIU
2	Mr. Chrea Tharavuth	Deputy director of DPWT	Vice chief PIU
3	Mr. Lim Sran	Deputy director of DPWT	Responsible for Technical
4	Mr. Chrea Thavrith	Officer of DPWT	Resp. for Technical
5	Mr. Heng Bunthean	Officer of DPWT	Resp. for Financial
6	Mr. Pich Pheary	Officer of DPWT	Resp. for Urban Planning
7	Mr. Yos Chamnan	Officer of DPWT	Resp. for Administration
8	Mr. Nhem Sidoen	Officer of DPWT	Resp. for Social & Environment
9	Mr. Soun Sopheap	Officer of provincial hall	Resp. for Solving Impact



## APPENDIX 2 OVERALL PROJECT IMPLEMENTATION PLAN

Project Implementation Schedule (Review of April 2018)

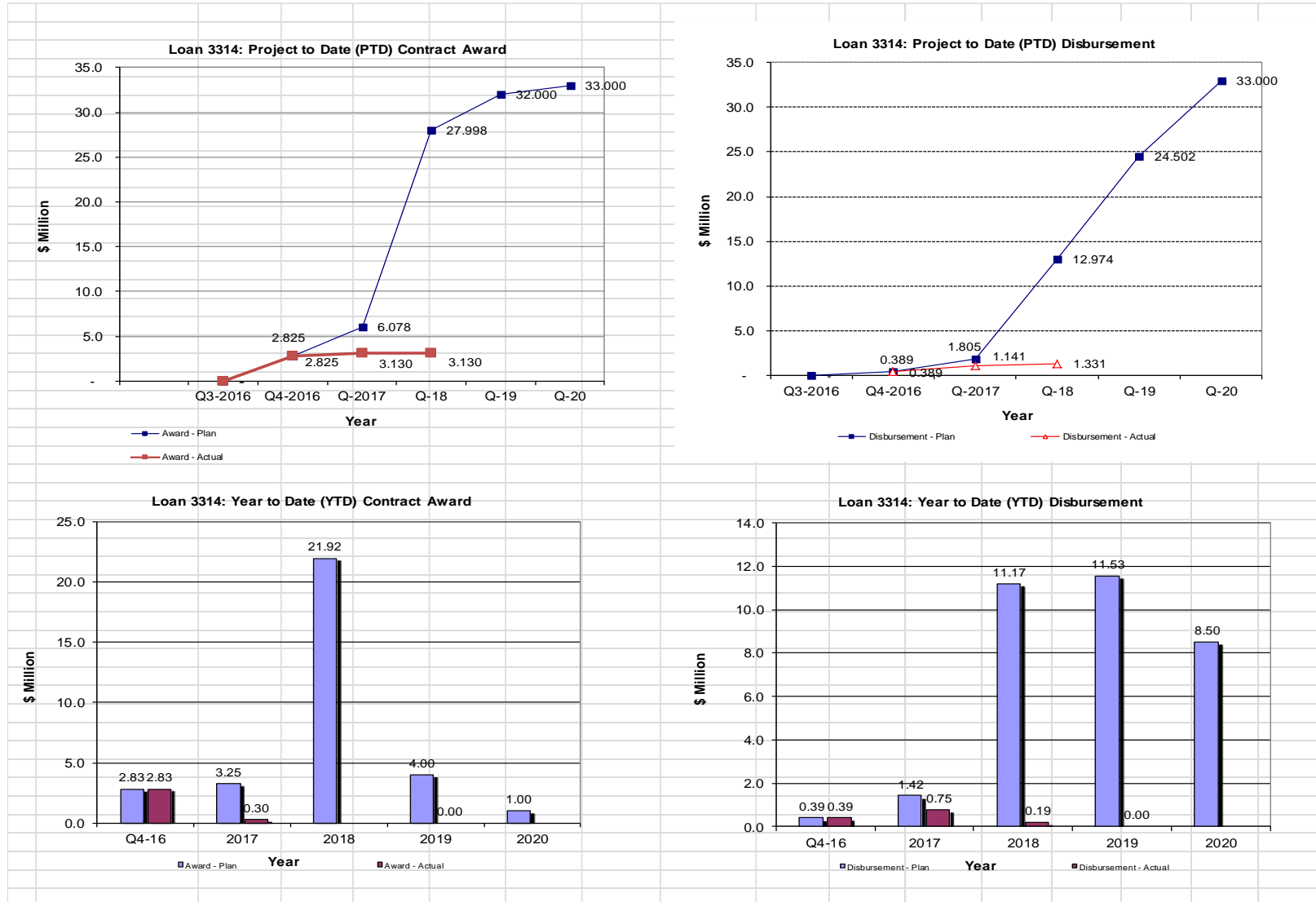
Key Milestones Project Component	Dates																												
			2017												2018												Midterm Review		
			Q4	1st Quarter			2nd Quarter			3rd Quarter			4th Quarter			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter				
	Duration	Start	Complete	4	Jan	Feb	March	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	
<b>PISCB Consulting</b>																													
<b>A. Kampot – All Subproject Components</b>																													
<b>Contract CW01 - Wastewater Collection &amp; Treatment and Urban Drainage (ICB)</b>																													
1A. Detailed Engineering Design																													
a. Topographic Surveys																													
b. Geotechnical Testing																													
c. Preliminary Design																													
d. Detailed Design																													
e. Tender Documents																													
f. Environmental Issues																													
Submission of Detailed Design to PMU																													
Submission of Draft Bidding Documents to ADB			04/05/18																										
ADB Review & Issue of No-Objection	9	06/05/18	15/05/18																										
Approval of Bid Invitation, Advertising, Bidders EOI, etc	17	16/05/18	02/06/18																										
1A.2. Bidding and Award																													
Issue & Return Bidding Documents	43	03/06/18	16/07/18																										
Assist in Responding to Bidder's Queries	43	03/06/18	16/07/18																										
Bid Opening		17/07/18																											
Preparation of Bid Evaluation Report & Submit to ADB	61	18/07/18	17/09/18																										
Assist in Evaluation of Bids	61	18/07/18	17/09/18																										
ADB Review & Issue of No-Objection	18	18/09/18	06/10/18																										
Notification of Contract Award	21	07/10/18	28/10/18																										
1B.3. Construction and Implementation																													
	547	28/10/18	27/04/20																										
<b>Contract CW2 - Solid Waste Management - (NCB)</b>																													
<b>ON HOLD</b>																													
<b>B. Sihanoukville – All Subproject Components</b>																													
<b>Contract CW3 - Drainage - (ICB)</b>																													
3.1. Detailed Engineering Design																													
1a. Topographic Surveys																													
1b. Geotechnical Testing																													
1c. Preliminary Design																													
1d. Detailed Design																													
1e. Tender Documents																													
Submission of Detailed Design to PMU																													
Submission of Draft Bidding Documents to ADB			04/05/18																										
ADB Review & Issue of No-Objection	9	06/05/18	15/05/18																										
Approval of Bid Invitation, Advertising, Bidders EOI, etc	17	16/05/18	02/06/18																										
3.2. Bidding and Award																													
Issue & Return Bidding Documents	43	03/06/18	16/07/18																										
Assist in Responding to Bidder's Queries	43	03/06/18	16/07/18																										
Bid Opening		17/07/18																											
Preparation of Bid Evaluation Report & Submit to ADB	61	18/07/18	17/09/18																										
Assist in Evaluation of Bids	61	18/07/18	17/09/18																										
ADB Review & Issue of No-Objection	18	18/09/18	06/10/18																										
Notification of Contract Award	21	07/10/18	28/10/18																										
3.3. Construction and Implementation																													
	730	28/10/18	27/10/20																										
<b>Contract CW4 - Solid Waste Management - (NCB)</b>																													
<b>ON HOLD</b>																													
Note:																													
▲ Milestone																													
— Originally Envisaged/Actual Activity																													
— Originally Planned																													
— Currently Envisaged Activity																													



Key Milestones													Loan Closing			
Project Component	Dates			2019				2020				2021				
	Duration	Start	Complete	1	2	3	4	1	2	3	4	1	2	3	4	
	PISCB Consulting															
<b>A. Kampot – All Subproject Components</b>																
<b>Contract CW01 - Wastewater Collection &amp; Treatment and Urban Drainage (ICB)</b>																
1A.2. Bidding and Award		04/05/2018	28/10/2018													
1A.3. Construction and Implementation	547	28/10/2018	27/04/2020													
<b>Contract CW2 - Solid Waste Management - (NCB)</b>																
4. Restoration of Dumpsite																
<b>ON HOLD</b>																
<b>B. Sihanoukville – All Subproject Components</b>																
<b>Contract CW3 - Drainage - (ICB)</b>																
3.2. Bidding and Award		04/05/2018	28/10/2018													
3.3. Construction and Implementation	730	28/10/2018	27/10/2020													
<b>Contract CW4 - Solid Waste Management - (NCB)</b>																
<b>ON HOLD</b>																
4.2. Bidding and Award		03/06/2018	28/10/2018													
4.3. Construction and Implementation	#REF!	28/10/2018	#REF!													
Note:																
	Milestone															
	Originally Envisaged/Actual Activity															
	Originally Planned															
	Currently Envisaged Activity															



### APPENDIX 3 MASTER SPREADSHEETS CAD PROJECT TO DATE AND YEAR TO DATE





**APPENDIX 4**  
**SUMMARY OF SUBPROJECT COMPONENTS AND COST ESTIMATE**

Item	Description	Unit	Feasibility Study		Preliminary design		Detailed Engineering Design (DED)		Bidding Document	
			Quantity	Cost Estimation in Million US\$	Quantity	Cost Estimation in Million US\$	Quantity	Cost Estimation in Million US\$	Quantity	Cost Estimation in Million US\$
<b>Subprojects in Kampot Town</b>				<b>14.56</b>		<b>20.40</b>		<b>14.49?</b>		<b>16.78?</b>
1.	<b>Urban Drainage Subproject:</b> Primary Storm Water Drains	km	7.83	1.81	9.41	2.10	10.83	3.11	CW01b-Drainage and Sewerage	9.99
2.	<b>Wastewater Collection and Treatment</b>									
	WWTP (3,500 m <sup>3</sup> /d)	set			1		1		CW01a-WWTP, PS, and FM	6.79
	Pumping Station	set			3		3			
	Force Main	km		9.74	8.34		8.34	11.38		
	Trunk Sewers	km			16.70		16.97			
	Collector Sewers	km					14,71			
	Household connection	set					3000			
3.	<b>Solid Waste Subproject:</b> Managed Landfill and closure existing dump site	ha	17.2	3.01	17.2	3.60	N/A	N/A	N/A	N/A
<b>Subprojects in Sihanoukville Town</b>				<b>12.58</b>		<b>23.38</b>				
1.	<b>Urban Drainage Subproject:</b> Primary Storm Water Drains	km	64.1	9.68	56,34	16.50	64.1	N/A	N/A	N/A
2.	<b>Solid Waste Subproject:</b> Managed Landfill and closure existing dump site	ha	15	2.90	15	6.88	N/A	N/A	N/A	N/A

**Note:** Summary only two subproject Urban Drainage and Wastewater Collection and Treatment, or CW01b and CW01a



**APPENDIX 5**  
**PROCUREMENT PLAN**  
**Civil Works Contracts Estimated to Cost \$1 Million or More**

Package Number <sup>5</sup>	General Description	Estimated Value	Procurement Method	Review [Prior/Post]	Bidding Procedure	Advertisement Date (quarter/year)	Comments <sup>7</sup>
<b><u>Kampot</u></b>							
CW01a	Wastewater Collection and Treatment	5.99	ICB	Prior	1S1E	2/2018	No PQ; large works bidding documents Domestic Preference
CW01b	Drainage & Sewerage	8.40	ICB	Prior/Post	1S1E	1/2018	No PQ; large works bidding documents Domestic Preference
CW02	Solid Waste Management	2.47	NCB	Prior/Post	1S1E	ON HOLD	SOP
<b><u>Sihanoukville</u></b>							
CW03	Urban Drainage	9.68	ICB	Prior	1S1E	1/2018	No PQ; large works bidding documents Domestic Preference
CW04	Solid Waste Management	2.59	NCB	Prior/Post	1S1E	1/2018	SOP

1S1E = single stage-one envelope; ICB = international competitive bidding; NCB = national competitive bidding; PQ = prequalification; SOP = Standard Operating Procedure



**1. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000 (Smaller Value Contracts)**

Goods and Works								
Package Number <sup>5</sup>	General Description	Estimated Value	Number of Contracts	Procurement Method	Review [Prior/Post]	Bidding Procedure	Advertisement Date (quarter/year)	Comments <sup>7</sup>
G01	Equipment for solid waste management.	0.61	1	NCB	Prior/Post		2/2017	SOP
G02	Supply of 3 units 4WD Double Cabin Pick up Vehicles	0.12	1	NCB	Prior		1/2017	SOP
G03	Office Equipment (PMU/PIU)	0.023	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017
G04	Office Furniture	0.021	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017
CW5	Office Repair Kampot PIU	0.014	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017
CW06	Office Repair Sihanoukville PIU	0.008	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017

NCB = national competitive bidding; PQ = prequalifications; SOP = Standard Operating Procedure

**2. Consultant Services Contracts**

Consulting Services								
Package Number	General Description	Estimated Value	Number of Contracts	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
CS2	Finance Specialist	0.065	1	ICS	Prior	1/2017	EOI	National Assignment
CS3	Procurement Specialist	0.065	1	ICS	Prior	1/2017	EOI	National Assignment

Consulting Services							
Package Number	General Description	Estimated Value	Awarded Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Comments
CS01	Project	3.58	2.83 M	QCBS	4Q 2015	13 October	



**Ministry of Public Works and Transport, Kingdom of Cambodia**  
**Second GMS Corridor Towns Development Project**

	Implementation Support, Detailed Design, Construction Supervision (Package 1) and Capacity Building (Package 2)					2016	
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## APPENDIX 6 ASSESSMENT OF RISKS

### MONITORING AND EVALUATION OF RISKS Second GMS: Economic Corridor Towns Development Project

M&E Form no. 7A  
Version: June 2015

Reporting Date: 30 March 2018  
[Quarterly]

Prepared by: Chris Dunn; Consultant Team Leader  
[PMU/PIUs]

Risk for Outputs	Mitigated (Y/N)	Rating (HS,S,PS,U)	Assessment of Current Status
1. Delay in project start-up and implementation.	Y	S	Early project implementation was largely on track
2. Irregularities in procurement and financial management.	Y	S	PRC established in 22.10. 2014. DFEC signed for each transaction, and copies of DFEC of winning bidders made part of awarded contracts
3. Potential archeological finds could cause delays.	Y	S	No potential archeological finds in subproject areas to date
4. In Kampot the site for the Land Fill aspects is not available	?	U	Alternative site located REP to be approved by ADB
5. In Sihanoukville land for the Land Fill aspects possibly within environmentally sensitive area	?	U	Environmental assessment carried out, revised and still deemed inadequate
6. In Kampot the site for the WWTP is adjacent to a holiday camp currently under construction	?	U	Environmental assessment carried out taking into account proximity of holiday camp

a/ HS = Highly Satisfactory; S = Satisfactory; PS = Progressing Satisfactorily; U = Unsatisfactory



**MONITORING AND EVALUATION OF ASSUMPTION AND RISKS**  
**Second GMS: Economic Corridor Towns Development Project**

**M&E Form no. 7B**  
June 2015

Reporting Date: 30 March 2018  
[Quarterly]

Prepared by: Chris Dunn; Consultant Team Leader  
[PMU/PIUs]

Risk for Outcome			Rating (HS,S,PS,U)	Assessment of Current Status
Risks:		Mitigated (Y/N)	Rating (HS,S,PS,U)	Assessment of Current Status
1.	Lack of capacity for project implementation and management.	Y	S	Specific training will be provided to all staff of executing & implementing agencies & project implementing units
2.	Lack of financial sustainability due to non-cost recovery tariffs.	Y	S	O&M of infrastructure by provincial agencies was strengthened and financed by the ADB loan.

a/ HS = Highly Satisfactory; S = Satisfactory; PS = Progressing Satisfactorily; U = Unsatisfactory



## APPENDIX 7 DMF TARGETS VS ACHIEVEMENTS

**PROJECT PERFORMANCE MONITORING AND EVALUATION**  
**Second GMS: Economic Corridor Towns Development Project**

*M&E Form no. 8A*

Reporting Date: 30 March 2018 [Quarterly]

Prepared by: C M Dunn: Consultant Team Leader  
[PMU/PIU member in-charge of M&E/Impact Assessment]

Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
<b>Output 1: The SLEDPs developed</b>			
SLEDPs endorsed by the participating provinces and towns (2015 baseline: final draft SLEDPs completed)	SLEDP of each town prepared in 2015	SLEDPs adopted by December 2016	
<b>Output 2: Priority urban infrastructure investments implemented</b>			
2.1 At least 30% of unskilled laborers employed in subproject construction are women. At least 30% of staff employed in operation and maintenance are women. At least 75% of all unskilled laborers or staff are of local origin (2015 baseline: N/A)  <i>[Updates from CS Consultant and from infrastructure operator during operation from Q3 2018 to Q4 2021 onward]</i>	Nil, as construction starts Q3 2018	Regular implementation in contract document	Assessment to start from commencement of construction in Q3 2018 up to Q4 2021. Social Development to be mobilised in mid to late October 2017
2.2 Wastewater treatment capacity of 4,500 cubic meters/day added in Kampot through construction of one new wastewater treatment plant (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of WWTP in Q4 2020.
2.3 15.6 km of drainage trunk mains and 11.4 km of drainage collection mains constructed in Kampot (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of drainages in Q4 2020.



Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
2.4 2,700 new connections in Kampot for wastewater provided with free connection costs (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	Nil		Assessment to start upon completion of construction of WWTP in Q4 2020 onwards.
2.5 7.9 km of separated primary storm water drains are constructed or upgraded in Kampot and 64.1 km in Sihanoukville. (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of storm water drains in Q4 2020.
2.6 In Kampot, a new managed landfill is made operational (2015 baseline: N/A). <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of landfill in Q4 2020.
2.7 In Sihanoukville, the existing dump site is upgraded with improved operations (2015 baseline: N/A).  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of landfill in Q4 2020.
2.8 8,100 households provided with new or improved solid-waste management collection in Kampot (3,330 households) and Sihanoukville (4,770 households) (2015 baseline: N/A) <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	The baseline value for the indicator is “nil” since subproject is construction of new facilities		Assessment to start upon completion of construction of new or improved facilities in Q4 2020 onwards.
2.9 100% of informal waste pickers near existing dump sites (2015 baseline: 160 persons) ensured continued access to the landfill and alternative livelihood skills training (2015 baseline: N/A) <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	waste pickers(2015 baseline: 160 persons) and alternative livelihood skills training (2015 baseline: 0)		Training Need Assessment (TNA) was conducted in SHV and KP (Apr and May 2017)  Finalize draft of Capacity Building and Training Program Framework Q1 2018
<b>Output 3: Institutional capacities for managing public investments strengthened</b>			



Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
3.1 At least 20 persons (30% female) trained in key project management areas (2015 baseline: N/A)  <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	Nil	ADB Gap video conference attended  Need to include ADB GAP requirements in contract documentation appreciated	Training Need Assessment (TNA) was conducted in SHV and KP (Apr and May 2017)  Finalize draft of Capacity Building and Training Program Framework Q1 2018
3.2 At least 100 persons (50% female) trained on gender sensitization training for community leaders, government officers, and consultants involved in project implementation and delivery (2015 baseline: N/A)  <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	Nil	PISCB Social Development specialist mobilized October	Training Need Assessment (TNA) was conducted in SHV and KP (Apr and May 2017)  Finalize draft of Capacity Building and Training Program Framework Q1 2018
3.3 Project implementation units shall target recruitment of 30% female staff, including 20% in decision-making positions (2015 baselines: N/A).	Nil (Before Project)	12% (PMU 1 of 8, KP 2 of 9 and SHV 0 of 9)	As of Q1 2018, women hold 12% of overall staff positions in PMU & PIUs
<b>Output 4: Community awareness on project activities and environmental sustainability improved</b>			
At least 10 community awareness and dissemination campaigns covering environmental sustainability and conservation themes conducted with equal participation by men and women (2015 baseline: N/A)  <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	Nil		
<b>Outcome : Improved urban services in the two participating towns</b>			
1. 2,700 households and businesses serviced by new and improved wastewater collection and treatment facilities in Kampot	Nil		Assessment to start upon completion of construction of drainages in Q4 2020 onwards.



Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
<i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>			
2. 8,100 households serviced by improved solid-waste collection in the two towns  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	Nil		Assessment to start upon completion of construction of drainages in Q4 2020 onwards.
3. 3,765 households with reduced flood risks in both towns  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	Nil		Assessment to start upon completion of construction of drainages in Q4 2020 onwards.



## APPENDIX 8 PROJECT IMPLEMENTATION AND PERFORMANCE M&E FRAMEWORK MATRIX

### Project Implementation M&E Framework Matrix

Activities <i>(Col. 1)</i>	Data Sources/ Means of Verification <i>(Col. 2)</i>	Data Collection Method/Forms <i>(Col. 3)</i>	Timing & Frequency of Data Collection <i>(Col. 4)</i>	Responsible Person/Agency for Data Collection <i>(Col. 5)</i>
<b>Output 1: The SLEDPs developed</b>				
1.1 Participating provinces and towns endorse SLEDPs by Q2 2016	Executive agencies' copies of Letters of Endorsement by participating provinces and towns.	Validation with implementing agencies	Q2 2016	PMU / PIU supported by PISCB Social Development & Gender Specialist (SDGS)
<b>Output 2: Priority urban infrastructure investments implemented</b>				
2.1 Complete detailed engineering designs by Q4 2016	PISCB DED Team's progress reports	Updates from DED Team using M&E form no. 1A	Monthly (Apr - Nov 2017)	PMU supported by PISCB
2.2 Complete land acquisition and resettlement by Q4 2016	PISCB Resettlement Specialist progress reports On-site verification	Updates from Resettlement Specialist using M&E form no. 1A	Monthly (Jul - Dec 2018)	PMU supported by PISCB
2.3 Bid civil works contracts by Q4 2017	Prequalification, bidding and awards reports	Updates from Procurement Specialist using M&E form no.1A	Monthly (Jan - Jun 2018)	PMU supported by Procurement Specialist
2.4 Sign civil works contracts by Q4 2017	Prequalification, bidding and awards reports	Updates from Procurement Specialist using M&E form no.1A	Jun 2018	PMU supported by Procurement Specialist
2.5 Complete civil works by Q4 2020	PISCB Construction Supervision (CS) Team progress reports On-site verification	Updates from CS Team using M&E form nos. 2A and 2B.	Monthly (Jul 2018 - Dec 2020)	PMU supported by PISCB
2.6 Conduct environmental safeguards monitoring and reporting by Q1 2016–Q4 2020	Environmental Safeguards Monitoring Team (ESMT) reports. On-site verification	Updates from ESMT using M&E form no. 3.	Monthly (Jul 2018 - Dec 2020)	PMU supported by ESMT
2.7 Conduct social safeguards monitoring and reporting by Q1 2016–Q4 2017	Social Safeguards Monitoring Team (SSMT) reports. On-site verification	Updates from SSMT	Monthly (Jul 2018 - Dec 2020)	PMU supported by SSMT
<b>Output 3: Institutional capacities for managing public investments strengthened</b>				
3.1 Formulate capacity building program by Q4 2016	Report on capacity building program formulated	Updates from PISCB Capacity Building & Training Specialist (CBTS) using M&E form no. 1B	Q2 2017	PMU / PIU supported by PISCB CBTS
3.2 Complete key trainings and capacity building activities by Q4 2018	Reports on key trainings and capacity building activities	Updates from PISCB CBTS using M&E form no. 1B	Monthly (Apr 2017 – Sep 2019)	PMU / PIU supported by PISCB CBTS
<b>Output 4: Community awareness on project activities and environmental sustainability improved</b>				
4.1 Conclude community awareness and dissemination campaigns (Q4 2020)	Reports on actual conduct of community awareness & dissemination campaign.	Updates from PISCB Capacity Development Specialist (CDS) using M&E form nos. 1B and 5	Monthly (Apr 2017 - Sept 2019)	PMU / PIU supported by CDS



### Project Performance M&E Framework Matrix

Indicators (with Baseline and Performance Targets) (Col. 1)	Data Sources/ Means of Verification (Col. 2)	Data Collection Method/Forms (Col. 3)	Timing & Frequency of Data Collection (Col. 4)	Responsible Person/Agency for Data Collection (Col. 5)
<b>Output 1: The SLEDPs developed</b>				
1.a. SLEDPs endorsed by the participating provinces and towns (2015 baseline: final draft SLEDPs completed)	Executive agencies' copies of Letters of Endorsement by participating provinces and towns.	Validation with implementing agencies	Q2 2016	PMU / PIU supported by PISCB Social Development & Gender Specialist (SDGS)
<b>Output 2: Priority urban infrastructure investments implemented</b>				
2.a. At least 30% of unskilled laborers employed in subproject construction are women.	Contractors' / PISCB Construction Supervision (CS) Team's progress reports On-site verification	Updates from CS Team using M&E form nos. 4B and 8A.	Monthly (Jul 2018 - Dec 2020)	PMU / PIU supported by PISCB. GAP requirements included in Contract Documents
At least 30% of staff employed in operation and maintenance are women.	Infrastructure Operator's reports Local authorities' statistical data	Updates from Infrastructure Operator using	Quarterly (Q1 2021 onward)	PMU/PIU supported by Infrastructure Operator
At least 75% of all unskilled laborers or staff are of local origin (2015 baseline: N/A)	Contractors' / PISCB Construction Supervision (CS) Team's progress reports On-site verification	Updates from CS Team using M&E form nos. 4B and 8A.	Monthly (Jul 2018 - Dec 2020)	PMU / PIU supported by PISCB. GAP requirements included in Contract Documents
2.b Wastewater treatment capacity of 4,500 cubic meters/day added in Kampot through construction of one new wastewater treatment plant (2015 baseline: 0)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	Operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.c 15.6 km of drainage trunk mains and 11.4 km of drainage collection mains constructed in Kampot (2015 baseline: 0)	Contractors/ Construction Supervision (CS) progress reports On-site verification	Updates from CS Consultant progress reports using M&E form no. 8A.	Monthly July 2017- December 2020	PMU / PIU supported by PISCB CS
2.d 2,700 new connections in Kampot for wastewater provided with free connection costs (2015 baseline: 0)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.e 7.9 km of separated primary storm water drains are constructed or upgraded in Kampot and 64.1 km in Sihanoukville (2015 baseline: 0)	Contractors/ Construction Supervision (CS) progress reports On-site verification	Updates from CS Consultant progress reports using M&E form no. 8A.	Monthly July 2017- December 2020	PMU / PIU supported by PISCB CS
2.f In Kampot, a new managed landfill is made operational (2015 baseline: N/A)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.g In Sihanoukville, the	Construction records,	During operation:	During	During operation:



Indicators (with Baseline and Performance Targets) (Col. 1)	Data Sources/ Means of Verification (Col. 2)	Data Collection Method/Forms (Col. 3)	Timing & Frequency of Data Collection (Col. 4)	Responsible Person/Agency for Data Collection (Col. 5)
existing dump site is upgraded with improved operations (2015 baseline: N/A)	subproject completion reports, end of project survey	PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.h 8,100 households provided with new or improved solid-waste management collection in Kampot (3,330 households) and Sihanoukville (4,770 households) (2015 baseline: N/A)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	During operation: PMU/PIU supported by Infrastructure Operator
2.i. 100% of informal waste pickers near existing dump sites ensured continued access to the landfill and alternative livelihood skills training (2015 baseline: N/A)	Subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
<b>Output 3: Institutional capacities for managing public investments strengthened</b>				
3.a At least 20 persons (30% female) trained in key project management areas (2015 baseline: N/A)	Project progress and completion reports, attendance lists, training reports	Updates from PISCBCBTS using M&E form no. 5	Monthly April 2017-September 2019	PMU / PIU supported by PISCBCBTS
3.b At least 100 persons (50% female) trained on gender sensitization training for community leaders, government officers, and consultants involved in project implementation and delivery (2015 baseline: N/A)	Project progress and completion reports, attendance lists, training reports	Updates from PISCBCBTS using M&E form no. 5	Monthly April 2017-September 2019	PMU / PIU supported by PISCBCBTS
3.c Project implementation units shall target recruitment of 30% female staff, including 20% in decision-making positions (2015 baseline: N/A)	Project management unit and government employment records	Updates from PISCBCBTS using M&E form no. 5	Quarterly Inception Report	PMU / PIU supported by PISCBCBTS
<b>Output 4: Community awareness on project activities and environmental sustainability improved</b>				
4.a At least 10 community awareness and dissemination campaigns covering environmental sustainability and conservation themes conducted with equal participation by men and women (2015 baseline: N/A)	Project progress and completion reports, attendance lists, training reports	Updates from PISCBCDS using M&E form no. 5	Monthly April 2017-September 2019	PMU / PIU supported by PISCBCDS
<b>Outcome: Improved urban services in the two participating</b>				
a. 2,700 households and businesses serviced by new and improved wastewater collection and treatment facilities in	Reports of provincial department of public works and transportation, project progress reports, end	During operation: PIU updates from infrastructure operator's & local authorities' data.	Annual (2021 onward)	PMU/PIU supported by Infrastructure Operator



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<b>Indicators</b> (with Baseline and Performance Targets) (Col. 1)	<b>Data Sources/ Means of Verification</b> (Col. 2)	<b>Data Collection Method/Forms</b> (Col. 3)	<b>Timing &amp; Frequency of Data Collection</b> (Col. 4)	<b>Responsible Person/Agency for Data Collection</b> (Col. 5)
Kampot (2015 baseline: 0)	of project survey	Using M&E Form no. 8A.		
b. 8,100 households serviced by improved solid-waste collection in the two towns (2015 baseline: 0)	Reports of provincial department of public works and transportation, project progress reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	Annual (2021 onward)	PMU/PIU supported by Infrastructure Operator
c. 3,765 households with reduced flood risks in both towns (2015 baseline: 0)	Reports of provincial department of public works and transportation, project progress reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	Annual (2021 onward)	PMU/PIU supported by Infrastructure Operator



**APPENDIX 9**  
**GAP Implementation Plan: Schedule of Activities (DRAFT)**  
**International Social and Gender Specialist/ National Social and Gender Specialist**

A. Preparatory Activities	Output	Responsible	Target Dates	Remarks
1. Review of project related and GAP documents		PISCB International and National Social Development and Gender Consultants	November 10-14,2017	GAP specialist mobilized during November, report supplied to ADB in March, no comment date
2. Review the comments of L. Adams on the GAP implementation and recommendations	-Output 2 GAP Targets /Indicators Revised  -Aligned Loan Covenant with GAP and DMF	PISCB International and National Social Development and Gender Consultants	November 15-16,2017	GAP specialist mobilized during November, report supplied to ADB in March, no comment date
3. Discuss with Project team leader (about aligned loan covenant, with GAP and DMF)	- Aligned/Adjusted Loan Covenant with GAP and DMF/ GAP Budget to be integrated into the work plan/ project budget	PISCB Project Team Leader and Social Development and Gender Consultants	November-December 2017	Budget not provided by GAP specialist
4. Meet with Social and Gender Officer at Cambodia ADB Resident Mission Office	-Discuss/clarify GAP related concerns	PISCB International and National Social Development and Gender Consultants	November 16,2017 2 pm -5pm	Validate assigned PMU focal person, not able to meet with assigned PMU gender focal person/unable to contact her through the contact numbers available
5. Orient/ discuss with PMU Gender Focal the Gender Action Plan (GAP)	Finalized alignment of Loan Covenant with GAP and DMF/ GAP Budget to be integrated into the	PISCB Project Team Leader and Social Development and	November 22,2017	Insufficient time in November, planned for March but specialist not arriving until mid-April 2018



	work plan/ project budget/update	Gender Consultants		
6.Review SLEDP (Strategic Local Economic Development Plan) and Training Needs Assessment	Provided inputs for SLEDP and Training needs assessment			Prepare input for the SLEDP/but no English version can be found
7. Prepare questionnaire for updating socio-economic profile of project beneficiaries in the town/villages of Sihanoukville and Kampot and consultation guide for women about their issues/ concerns, needs and aspirations about the project  (Task 3 in my TOR)  Design and assist the PIUs in the implementation of appropriate additional socio-economic and other relevant surveys in each town, with data disaggregated by sex, ethnicity, and income.	-Questionnaire prepared  -Guide questions for women group consultation meetings/ KIIs.  -Coordination Meeting with PIU ( Kampot) regarding conduct socio-economic survey /consultation with women's group and other stakeholders	International Social Development and Gender Consultant  PISCB International and National Social Development and Gender Consultants  PISCB International and National Social Development and Gender Consultants	1st Quarter 2018  1 <sup>st</sup> Quarter 2018  1 <sup>st</sup> quarter 2018	Validate with L. Adams if there is still the need for the conduct surveys  Discuss with PIU if it has the personnel to conduct the survey / discuss other options if survey is not feasible  National Social and Gender Specialist to translate the questionnaire to Khmer.  National Social and gender Specialist supervise data gathering, edit questionnaire after data gathering.



	- Write-up/ Updated socio-economic profile/ women's profile (input for updated GAP/ Implementation Schedule)	PISCB International and National Social Development and Gender Consultants		Data processing and table preparation to be prepared by a Research Assistant.  Need to look for budget for the survey
7. Consult with project related beneficiaries to ensure women's needs and aspirations are addressed in the subprojects detailed design, implementation and subsequent monitoring	-Prepare consultation guidelines and training needs assessment focus on livelihood skills of women (waste pickers, disadvantaged, poor, ect.), skills interest, current skills, livelihood needs-( capital assistance, employment, socioeconomic/ livelihood skills profile of women			
8. Follow-up Orientation Training /capacity development on GAP implementation in overall project implementation for PMU/PIU /PISCB	-Orient PMU/PIU on GAP Implementation in relation to overall project implementation	PISCB International and National Social Development and Gender Consultants	February 2018	GAP specialist mobilizing in mid April
9. Design and assist the	-Prepare Indicative Plan	PISCB Project	Quarter 2018	



<p>PIUs in the implementation of information campaigns and community mobilization, and further, programs and projects to develop livelihoods, social development, and vocational needs with an emphasis on the urban poor and disadvantaged households/ including youth and women's livelihood needs.</p>	<p>for the implementation of information campaigns and community mobilization</p> <p>-Consultation meetings with Project Stakeholders on potential collaboration in GAP implementation ( MoWA, DoWA, Ministry of Health/ Village Health Centers, NGOs/CSOs, etc.)</p> <p>-Consultation meetings with town/commune/ village councils</p>	<p>Team Leader and Social Development and Gender Consultants</p> <p>PISCB Project Team Leader and Social Development and Gender Consultants</p>	<p>First Quarter 2018</p>	<p>GAP specialist mobilizing in mid April</p>
<p>10.Coordinate with resettlement specialist regarding livelihood and social development aspects of the resettlement plans; and advise PIU on training needs assessment of impacted households, including disaggregation of livelihoods by gender</p>	<p>-Discuss livelihood and social development aspects, and related needs assessment including disaggregated livelihoods by gender</p>	<p>PISCB Project Team Leader and Social Development and Gender Consultants</p>	<p>1<sup>st</sup> quarter 2018</p>	<p>Training needs assessment to be undertaken by Resettlement Specialist for impacted households disaggregated by gender and will be shared with PISCB International and National Social and Gender Consultants</p>
<p>11. Design and assist the</p>	<p>-Prepare Indicative Plan</p>	<p>PISCB Project</p>	<p>3<sup>rd</sup> quarter 2018</p>	



PIUs in the implementation of information campaigns and community mobilization, and further, programs and projects to develop livelihoods, social development, and vocational needs with an emphasis on the urban poor and disadvantaged households/ including youth and women's livelihood needs.	for the implementation of information campaigns and community	Team Leader and Social Development and Gender Consultants		
12. Assist the PIUs with provision of technical assistance and coordination of demand driven awareness building and training and guidelines to support vulnerable households and groups.		PISCB International/ National Social Development and Gender Consultants	3 <sup>rd</sup> quarter 2018	
13. Gather information on GAP implementation progress and indicate results in a Gender Field Report and prepare progress report for GAP		Team Leader and Social Development and Gender Consultants	1 <sup>st</sup> quarter 2018	GAP specialist mobilizing in mid April
14. Assist the PIUs by acting as a gender focal point and facilitator for gender mainstreaming in data /information collection, monitoring sector	-Follow-up all types of activities	National Social and Gender Specialist	2018 and up to end of project	



coordination, technical design issues, communication, training and capacity development and mentoring				
15. Contribute to the preparation and delivery of training courses and stakeholder workshops to inform and raise awareness about project related and other more general social development and gender issues in both towns		National Social and Gender Specialist	2018 and up to end of project	GAP specialist mobilizing in mid April

**Detailed Implementation Plan: Capacity building and Training (Budget)**

Output 3 and 4 from the GAP	Activities	Responsible	Target Dates	Participants	Indicative Budget
Institutional Capacities for managing public investments strengthened			(2018)		Previous budgets rejected without reason by MEF
a. Capacity Building		PISCB consultants /PMU/DoWA			
1. Orientation Training GAP Implementation and monitoring (Target participants)	(i) review training needs assessment (TNA) for identified needs regarding GAP  (ii)develop curriculum and training design,		1 <sup>st</sup> quarter 2018 (February)	(i)PMU 8 participants  1day training	Meeting room at PMU conference / snacks and lunch for participants  \$300



	<p>materials</p> <p>(iii) identify and select leaders through the commune council</p> <p>(iv) implement training</p> <p>(v) monitor training progress</p> <p>(vi) prepare monitoring report with participants disaggregated by gender</p> <p>(vii) collect information/ write monitoring report</p>			<p>(ii) PIU/ Sangkats chief/ partner departments of agencies, women group representatives</p> <p>(15- 20 participants)</p>	<p>\$ 450 each subproject</p> <p>\$400 x2 Sub projects= \$ 800 total</p>
<p>2. Gender Awareness /Sensitivity Training (target: community leaders, government officers, consultant involved in project implementation delivery)</p>	<p>(ii) consultation/training needs assessment with community leaders and government agencies</p> <p>(ii) develop curriculum and training design, materials</p> <p>(iii) identify and select leaders through the commune council</p>	<p>PMU /DoWA, PISCB</p>	<p>3<sup>rd</sup> and 4<sup>th</sup> quarter 2018</p>	<p>-100 persons (50 %female)</p> <p>-50 participants for each sub-project</p> <p>- 1day training</p> <p>-Hand-outs Food</p>	



	<p>(iv) implement training</p> <p>(v) monitor training progress</p> <p>(vi) prepare monitoring report with participants disaggregated by gender</p> <p>(vii) collect information/ write monitoring report</p>			Training Materials	
<p>3.Vocational/employment skills training: Target:20 poor young women in Kampot and 20 waste pickers in Sihanoukville</p>	<p>(i) consultation/ needs assessment meetings with women (concerns, needs. Vocational skills interest, current skills</p> <p>(ii) prepare consultation and needs assessment report</p> <p>(iii) Consult with DoWA re available training for livelihood skills for employment by NGOs/DoWA</p> <p>(iv) Draft TOR/ arrangement with</p>	<p>PMU /DoWA, PISCB</p>	<p>1<sup>st</sup> quarter 2019</p>	<p>Target: (at least 20 per project site: Sihanoukville and Kampot)</p>	<p>Payment for resource persons/ for participants food/ Training materials/ on the job skills training</p> <p>(coordinate with concerned agencies with available potential livelihood skills training</p>



	<p>identified NGO/government agency re: vocational training skills</p> <p>(v) Implement livelihood/employment skills training</p> <p>(vi) monitor outcome of livelihood/employment training activities /collect data</p> <p>(vii) prepare training report of women trainees who completed the training</p>				
<p>3.Community Awareness on environmental sustainability/information dissemination campaign on benefits of solid waste collection/Clean city theme</p>	<p>(i)Conduct consultation with men and women on project benefits, concerns and issues on environment, current practices garbage disposal practices, role of men and women in solid waste, recommendation to improve environmental conditions and hygiene.</p>	<p>PMU /DoWA, PDWA, PISCB consultants</p>	<p>1st quarter (2019)</p>	<p>2-day environmental awareness trainings ( campaign environmental and solid waste collection preparation/ on the job training</p> <p>10 session (</p>	<p>To be contracted to an NGO in partnership with DoWA/PDW)</p>



	<p>(ii) identify NGOs that could partner with PDWA and DoWA in conducting the community awareness campaign and info dissemination</p> <p>(iii) Prepare TOR/ Provide input in the design of the environmental community awareness and information dissemination campaigns/</p> <p>(iv) Implementation of community awareness and information dissemination activities</p> <p>(v) prepare sex disaggregated monitoring report</p> <p>(vi) collect data and outcome of training and prepare monitoring report</p>			<p>community Information dissemination/ campaigns</p> <p><u>Information dissemination media/materials</u>        Radio, TV, Social network, pamphlet, poster, tarpaulin,</p> <p><u>Target Audience/partners</u>        Schools/ students business, households, pagoda, institutions/NGOs/</p>	
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## APPENDIX 10 STATUS OF COMPLIANCE WITH LOAN COVENANTS

No.	Covenant	Reference in LA	Status of Compliance
1.	<b>Implementation Arrangements</b> The Borrower and Project Executing Agency shall ensure that the Project is implemented in accordance with the detailed arrangements set forth in the PAM. Any subsequent change to the PAM shall become effective only after approval of such change by the Borrower and ADB. In the event of any discrepancy between the PAM and this Loan Agreement, the provisions of this Loan Agreement shall prevail.	Schedule 5, Para. 1	Complied with
2.	<b>Environment</b> The Borrower shall ensure, and cause the Project Executing Agency to ensure that the preparation, design, construction, implementation, operation and decommissioning of the Project comply with: (a) all applicable laws and regulations of the Borrower relating to environment, health and safety; (b) the Environmental Safeguards; and (c) all measures and requirements set forth in the IEEs, the EMPs and any corrective or preventative actions set forth in a Safeguards Monitoring Report.	Schedule 5, Para. 2	Ongoing
3.	<b>Land Acquisition and Involuntary Resettlement</b> The Borrower shall ensure or cause the Project Executing Agency to ensure that all land and all rights-of-way required for the Project are made available to be Works contractor in accordance with the schedule agreed under the related Works contract and all land acquisition and resettlement activities are implemented in compliance with the RP based on (a) all applicable laws and regulations of the Borrower relating to land acquisition and involuntary resettlement; (b) the applicable principles and requirements set forth in the SPS; and (c) any necessary corrective or preventive actions as agreed by the IRC set forth in the Safeguards Monitoring Report .	Schedule 5, Para. 3	Ongoing
4.	Without limiting the application of the SPS or the RPs, the Borrower shall ensure or cause the Project Executing Agency to ensure that no physical or economic displacement takes place in connection with the Project until:  (a) compensation and other entitlements have been provided to affected people in accordance with the RPs; and  (b) a comprehensive income and livelihood improvement program has been put in place in accordance with the RPs.	Schedule 5, Para. 4	Not yet due
5.	<b>Indigenous Peoples</b> The Borrower shall ensure that the Project does not have any indigenous people impacts, all within the meeting of ADB's Saguard Policy Statement. In the event that the Project complies with the applicable laws and regulations of the Borrower and with ADB's Saguard Policy Statement.	Schedule 5, Para. 5	Ongoing
6.	<b>Human and Financial Resources to Implement Safeguards</b>		



No.	Covenant	Reference in LA	Status of Compliance
	<p><b>Requirements</b></p> <p>The Borrower shall make available or cause the Project Executing Agency to make available, necessary budgetary and human resources to fully implement the EMPs and the RPs.</p>	Schedule 5, Para. 6	Complied with
7.	<p><b>Safeguards – Related Provisions in Bidding Documents and Works Contracts</b></p> <p>The Borrower shall ensure, and cause the Project Executing Agency to ensure that all bidding documents and contracts for Works contain provisions that require contractors to:</p> <ul style="list-style-type: none"> <li>(a) comply with the measures relevant to the contractor set forth in the IEEs, the EMPs and the RPs (to the extent they concern impacts on affected people during construction), and any corrective or preventative actions set forth in a Safeguards Monitoring Report;</li> <li>(b) make available a budget for all such environmental and social measures;</li> <li>(c) provide the Borrower with a written notice of any unanticipated environmental, or resettlement risks or impacts that arise during construction, implementation or operation of the Project that were not considered in the IEEs, the EMPs and the RPs;</li> <li>(d) adequately record the condition of roads, agricultural land and other infrastructure prior to starting to transport materials and construction; and</li> <li>(e) reinstate pathways, other local infrastructure, and agricultural land to at least their pre-project condition upon the completion of construction.</li> </ul>	Schedule 5, Para. 7	Ongoing
8.	<p><b>Safeguards Monitoring and Reporting</b></p> <p>The Borrower shall do the following or cause the Project Executing Agency to do the following:</p> <ul style="list-style-type: none"> <li>(a) submit semiannual Safeguards Monitoring Reports to ADB and disclose relevant information from such reports to affected persons promptly upon submission;</li> <li>(b) if any unanticipated environmental and/or social risks and impacts arise during construction, implementation or operation of the Project that were not considered in the IEEs, the EMPs and the RPs, promptly inform ADB of the occurrence of such risks or impacts, with detailed description of the event and proposed corrective action plan; and</li> <li>(c) report any actual or potential breach of compliance with the measures and requirements set forth in the EMPs and the RPs promptly after becoming aware of the breach.</li> </ul>	Schedule 5, Para. 8	Not yet due
9.	<p><b>Prohibited List of Investments</b></p> <p>The Borrower shall ensure that no proceeds of the Loan are used to finance any activity included in the list of prohibited</p>	Schedule 5, Para. 9	Complied with



No.	Covenant	Reference in LA	Status of Compliance
	investment activities provided in Appendix 5 of the SPS.		
10.	<p><b>Gender and Development</b></p> <p>The Borrower shall ensure that: (a) the gender action plan is implemented in accordance with its terms; (b) the bidding documents and contracts include relevant provisions for contractors to comply with the measures set forth in the GAP; (c) adequate resources are allocated for the implementation of the GAP; and (d) progress on implementation of the GAP, including progress toward achieving key gender outcome and output targets, are regularly monitored and reported to ADB; and (e) key gender outcome and output targets include, but not limited to: (i) the project implementation units shall target recruitment of 30% female staff, including 20% in decision-making positions; (ii) at least 20 persons (30% female) trained in key project management areas; (iii) at least 100 persons (50%female) provide gender sensitization training for community leaders, government officers, and consultants involved in project implementation and delivery; (iv) the project management unit and the Borrower's department of Women's Affairs will organize, through an NGO vocational training in livelihood and employment opportunities related to the project, e.g. tourism skills development, for at least 20 poor young women in Kampot, and offer the same for waste pickers at dumpsite in Sihanoukville; (v) 30% of unskilled laborers employed in sub-project construction are women; (vi) 30% of staff employed in operations and maintenance are women; and (vii) 75% of all unskilled laborers/staff are of local origin.</p>	Schedule 5, Para. 10	See comments in Report and Appendices
11.	<p><b>Governance and Anticorruption</b></p> <p>The Borrower, the Project Executing Agency, and the Project Implementing Agencies shall: (a) comply with ADB's Anticorruption Policy (1998, as amended to date) and acknowledge that ADB reserves the right to investigate directly, or through its agents, any alleged corrupt, fraudulent, collusive or coercive practice relating to the Project; and (b) cooperate with any such investigation and extend all necessary assistance for satisfactory completion of such investigation.</p>	Schedule 5, Para. 11	Complied with
12.	<p>The Borrower, the Project Executing Agency, and the Project Implementing Agencies shall ensure that the anticorruption provisions acceptable to ADB are included in all bidding documents and contracts, including provisions specifying the right of ADB to audit and examine the records and accounts of the Project Executing Agency and the Project Implementing Agencies and all contractors, suppliers, consultants, and other service providers as they relate to the Project.</p>	Schedule 5, Para. 12	Complied with
13.	<p>Within six (6) months of the Effective Date, the Project Executing Agency shall create or modify a Project website to disclose information about various matters on the Project. The website will include information on Project procurement include the list of participating bidders, name of each winning bidder, basic details on bidding procedures adopted, the value of each contract awarded, and the list and value of goods/services procured and the intended utilization of Loan proceeds under each contract being awarded. The website shall also include general Project information, Project progress</p>	Schedule 5, Para. 13	Complied with



No.	Covenant	Reference in LA	Status of Compliance
	<p>and contact details for the Project Executing Agency's counterpart staff in Khmer and English languages, and shall link to ADB's Integrity Unit website at <a href="http://www.adb.org/site/integrity/complaint-form">http://www.adb.org/site/integrity/complaint-form</a> for reporting to ADB any grievances or allegations of corrupt practices arising out of the Project and /or Project activities. The Borrower shall cause the Project Executing Agency to ensure that all Project staff are fully aware of ADB's procedures, including, but not limited to, procedures for implementation, procurement, use of consultants, disbursements, reporting, monitoring, and prevention of fraud and corruption.</p>		
14.	<p><b>Grievance Redress Mechanism</b></p> <p>The Borrower shall through the Project Executing Agency further ensure that within nine (9) months of the Effective Date, a grievance redress mechanism (GRM) acceptable to ADB is established for non-safeguards complaints in accordance with the PAM. In each case, such GRM shall function to (i) review and document eligible complaints of Project stakeholders; (ii) proactively address grievances; (iii) provide the complainants with notice of the chosen mechanism and/or action; and (iv) prepare and make available to ADB upon request periodic reports to summarize (a) the number of complaints received and resolved; (b) chosen actions; and (c) final outcomes of the grievances and make these reports available to ADB upon request. Eligible non-safeguards complaints include those related to the Project, any of the service providers, any person responsible for carrying out the Project, complaints on misuse of funds and other irregularities as well as gender issues.</p>	Schedule 5, Para. 14	Complied with
15.	<p><b>Sector Development and Counterpart Support</b></p> <p>(a) The Borrower shall (i) cause the Project Executing Agency and the relevant Project Implementation Agency to adopt business plans consistent with the terms and requirements of the PAM(including, but not limited to, the necessary tariff, tariff collection rates, increases in tariff rates and service coverage rates for wastewater collection and treatment services and facilities in Kampot and rates for solid waste collection services and facilities in Kampot and Sihanoukville for the operational period of the relevant facilities), subject to prior consultation with ADB, for achieving full cost recovery to cover operations and maintenance expenditures of the facilities developed under Parts 1,2 and 4of the Project, as applicable, prior to their physical completion; and (ii) cause each Project Implementation Agency to administer the applicable business plan in accordance with its terms and the PAM, including, but not limited to, the collection of all necessary tariffs and Implementation of any tariff increases, as applicable. .</p>	Schedule 5, Para. 15	Not yet due
16.	<p>(b) The Borrower shall (i) if there is any deficiency in the budget for the operations and maintenance of the facilities constituting Parts 1, 2 and 4 (or any or all of them ) of the Project in any fiscal year, require the applicable Project Implementation Agency to Fund immediately such deficiency through budget allocations for such facilities;</p>	Schedule 5, Para. 16	Not yet due



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	and (ii) if the applicable Project Implementation Agency fails to undertake its obligation under clause (b)(i) above, fund immediately such deficiency in the budget for the operations and maintenance for the facilities constituting Parts 1, 2 and 4 (or any or all of them ) of the Project, as applicable, for the relevant fiscal year to ensure proper operations and maintenance of such facilities for the remainder of the relevant fiscal year.		



**APPENDIX 11  
RISK ASSESMENT AND RISK MANAGEMENT PLAN (RARMP)**

No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
<b>Element 1: Procurement</b>							
1.a	Irregularities relating to leaking prior or post procurement information before the contract award, collusion during the bidding process, and bid evaluation.	High	EA/IAs to establish PRC under the project in accordance with SOP/PM which are in line with ADB guidelines. EA/IAs shall ensure that the Declarations of Fraud and Ethical Conduct (DFEC) for PRC members and bidders (contractors, suppliers and consultants) are signed for each transaction. A copy of the declarations of winning bidders shall be part of the awarded contracts.	EA/IAs	All procurement transactions. EA/IA to monitor, ADB to verify during review missions, prior reviews and post reviews	PRC established on 22 October 2014. DFEC signed for each transaction, and copies of DFEC of winning bidders made part of awarded contracts.	PRC minutes of meetings. DFEC in awarded contracts.
1.b	Insufficient compliance with procedures	High	EA/ IAs are to adhere strictly to the procedures and guidelines set forth in the Loan Agreement, ADB's Procurement Guidelines, and SOP/PM that also cover ICB, NCB and shopping.	EA/IAs MEF monitors compliance with LA, ADB Procurement Guidelines and SOP/PM	All procurement transactions. EA/IA to monitor, ADB to verify during review missions, prior reviews and post reviews	Sufficient adherence/ compliance to procurement procedures and guidelines by EA/IAs, as monitored by MEF.	Bid Evaluation Committee (BEC) / Consultant Evaluation Committee (CEC) Reports & Recommendation. PRC minutes of meetings.
1.c	Weak procurement capacity.	High	EA/ IAs will receive continued hands-on training and technical assistance from consultants recruited under the project. SOP/PM will be used under the project.	ADB	Throughout Project duration	Training conducted by ADB in Dec. 2016. Inquiries on procurement can be directly made through ADB's procurement clinic.	PMU/ADB records.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
			<p>Recruitment of a well-experienced procurement officer and website officer in PMU to avoid procurement and eventual implementation delays</p> <p>Closely monitor and review procurement conduct, and where necessary, take measures to improve procedures based on lessons learnt from each successive procurement activity.</p> <p>EA/IAs will recruit additional national and/or national procurement staff if required.</p>	<p>EA/IAs</p> <p>EA, MEF and ADB</p> <p>EA/IAs</p>	<p>Throughout Project duration</p> <p>Throughout Project duration</p>	<p>Procurement Specialist contracted in Aug 2014 by PISCD and in June 2016 by PMU. Website officer is a PMU member.</p> <p>EA/MEF monitoring and reviewing the conduct of procurements.</p> <p>No additional procurement staff required.</p>	<p>Copies of contracts with PMU.</p> <p>BEC and CEC reports. PRC minutes of meetings.</p> <p>-</p>
1.d	Delayed execution of schedules in the Procurement Plans and failure to track to procurement transactions.	High	Preparation of realistic annual Procurement Plan, tied to annual work plan and budget. EA/IAs will maintain Procurement Monitoring and Tracking Forms as defined in the SOP/PM, and take actions to address delays through additional consultant inputs, if necessary.	EA/IAs to prepare updated procurement plans and procurement tracking form.	Update procurement plan and monitor procurement tracking form during review missions as required	Procurement plan updated in August 2016. Procurement Monitoring & Tracking Forms maintained.	Updated Procurement Plan. Filled out Procurement Monitoring & Tracking Forms.
1.e	Informal payments by contractors, suppliers and consultants	High	All contractors, suppliers and consultants – firms or individuals, national and international – bidding for contracts under the project shall sign the Declaration on Ethical Conduct and Fraud and Corruption in the SOP/ procurement manual.	EA/IAs and MEF	Throughout Project duration	Signed DFECs included in bids.	Signed DFECs.
<b>Element 2: Financial Management</b>							
2.a	Weak internal controls	High	EA/IAs to follow the financial management procedures specified in: (i) the Project Financing Agreement; (ii) the government's	EA/IAs; MEF to ensure compliance with	Throughout Project duration	Specified fin'l. management procedures	Quarterly Report and PMU reports to MEF and ADB.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
			SOP and FMM.	SOP/ FMM, Loan Agreement and ADB's Anticorruption Policy		followed since 31 Dec 2015 and ongoing.	
2.b	Weak financial management capacity	High	EA/IAs to receive continued hands-on training from consultants recruited under the project. The SOP/FMM will be used under the project, as well as relevant provisions of the Loan Agreement and ADB's guidelines on procurement and consulting services.  Project to closely monitor and review financial management conduct and make necessary improvements as required.	EA and IAs and ADB  EA and IAs	Throughout Project duration, conducted as a part of capacity building activities in the project	Hands-on-training ongoing. CapDev training scheduled.  Monitoring & review since Dec 2015 and ongoing	CapDev Plan and training modules.  Supported by Financial Management Specialist
2.c	Minimize cash transactions	High	Project to make all progress payments to contractors, suppliers and consultants – firms, individuals, national and international – by check or transfer to bank accounts, and retain evidence for audit and donor supervision missions.	MEF, EA and IAs	Throughout Project duration	Payments by check or bank transfer complied and ongoing.	Project Financial Statements
2.d	Delayed or non-existent reconciliation of advances for operating costs and expenses	High	Project to reconcile advances for operating expenses to staff or field offices within one week of the end of each month.  No further advances to be paid until previous advance reconciled and cleared against documentary evidence.	EA and IAs	Throughout Project duration  Project director to monitor and ADB to verify during review missions.	Reconciliation of advances complied and ongoing.	Project Financial Statements
<b>Element 3 : Disclosure</b>							
3.a	Possible conflict of interest among Project staff	Extremely High	Project staff to disclose private and public affiliations or personal interest before becoming involved in any project-related transaction, such as contract award. EA to	EA/IAs to ensure all Project staff sign the disclosures	Throughout Project duration  Project director to ensure all project		



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
			prepare a declaration statement for staff's signature.		staff signs the disclosures.		
3.b	Inadequate transparency and disclosure	High	Project to agree information to be disclosed on the project and EA/IA websites biannually, with hard copies available for public inspection on request. At a minimum, the Project will disclose the information required by the Loan Agreement.	EA and ADB to agree the final list.  Project director to arrange disclosure	Throughout Project duration.	Development of project website to be completed in February 2017. Information will then be uploaded to the website.	Project website.
<b>Element 4: Complaints and Remedies Mechanism</b>							
5.a	Inadequate complaints and remedies mechanisms		Project to build well-defined complaints and remedies mechanism into project documents. Complaints procedures regarding procurement to follow process set out in Loan Agreement and SOP/PM.  Following established publication of evaluation and awards, debriefing mechanism is also necessary not only to enhance transparency but also for the losing bidders to know their weak points.	EA/IAs  EA and IAs in consultation with ADB	At effectiveness	To be complied with.  PMU provides all bidders with copies of the evaluation and awards through email.	-  Copies of emails from PMU
<b>Element 5: Code of Ethical Conduct</b>							
6.a	Poor enforcement of the Code of Conduct for civil servants		Project to provide copies of the relevant laws and articles on Code of Conducts for civil servants to all project staff, including contracted staff. Project will maintain signed declaration of receipt of these documents by all project staff, including contracted staff.  Similarly, all members of the procurement committee undertaking the evaluation shall sign the Declaration on Ethical Conduct.	EA and IAs	Throughout Project duration	The Department of Human Resources provides copies of Code of Conducts for Civil Servants to Ministry personnel upon employment.	Signed receipts available with the Department of Human Resources.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
<b>Element 6: Sanctions</b>							
7.a	Inadequate sanctions for fraudulent and corrupt activity by Project staff, contractors, suppliers and consultants		The Project to identify and apply sanctions available under current law and regulations of Cambodia, ADB's Loan Regulations, the Loan Agreement, and ADB's Procurement Guidelines and Consulting Guidelines. Sanctions for individuals may include transfer of duties, retraining, suspension, dismissal, re-grading, and prosecution under Cambodian Law. Sanctions for firms may include: termination of contract, debarment or blacklisting under ADB's Procurement Guidelines and Consulting Guidelines, or prosecution under Cambodian Law	EA and IAs, and in consultation with ADB	Effectiveness		
<b>Element 7: Project Specific Elements</b>							
7.a	Poor enforcement of contract terms and need to conduct contractors' performance evaluation		EA to ensure that contract terms are strictly enforced and the loan consultant will be a party to ensuring quality control of contract outputs, include acceptance of completion of works and services.	EA and IAs	Throughout Project duration	Contract terms for previous DED Consultant enforced, with the assistance of PISCD.	Evaluation of DED Consultant's output.
7.b	Poor quality of design and works construction		EA and IAs to ensure that approved infrastructure's design standards and specification developed by the respective agencies are utilized for the design of structures under the project.  Project to recruit experienced detailed design consultant on a timely basis to assist the project.	EA and IAs, and with ADB NOL	Throughout Project duration  Contract signed immediately after effectiveness	DED to be carried out by PISCD and CS Consultants.  DED to be carried out by PISCD and CS Consultants.	DED reports and bid documents.  V.O. no. 6 to PISCD contract, and CS contract.
7.c	Risk of low quality construction and		Project to recruit experienced site supervision consultants to assist EA/IAs..	EA and IAs, and with ADB NOL	Prior to award of first works contract.	Construction Supervision	CS contract document.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
	supervision		Regular technical audit is to be undertaken with any adverse findings to be acted upon immediately. Project to evaluate contractors' performance with poor performing contractors declared ineligible to bid for at least one year.	EA and IAs  EA and IAs, and with ADB NOL	Throughout Project duration.  Annually	Consultant recruited  To be complied during construction.  To be complied during construction.	-  -



**APPENDIX 1**  
**KEY MEMBERS OF PROJECT MANAGEMENT UNIT**  
**AND PROJECT IMPLEMENTATION UNITS**

**1.Key Members of Project Management Unit**

No.	Name of member	Role and responsibility	Phone Number
1	H.E. Vong Pisith	Project Director	
2	Mr. Pou Manith	Responsible for Procurement	012 803 203
3	Miss. Chhoun Sovady	Responsible for Financial	
4	Mr. Eang Daravuth	Responsible for Technical	
5	Mr. Nop Keilarith	Responsible for Social and Environment	
6	Mr. Vong Rada	Responsible for Urban Planning	012 451545
7	Mr. Eab Visoth	Responsible for Resettlement	
8	Mr. Chok Borith	Responsible for Administration	

**2.Key Members of Project Implementation Units**

No.	Description	Position	Role and responsibility
<b>A</b>	<b>Kampot PIU</b>		
1	Mr. Thorn Saravuth	Deputy director of DPWT	Chief PIU
2	Mr. Veth Vathana	Chief of multi-sector office of provincial hall	Vice chief PIU
3	Mr. Tauch Channsereyboth	Officer of DPWT	Responsible for Technical
4	Mr. Seth Kosal	Officer of DPWT	Resp. for Technical
5	Miss. Tauch Meakthoura	Officer of DPWT	Resp. for Financial
6	Mr. Pov Vanntha	Officer of DPWT	Resp. for Urban Planning
7	Mr. Seng Vutha	Deputy governor of Kampot City	Resp. for Administration
8	Miss. Tho Phearun	Officer of multi-sector office of provincial hall	Resp. for Social & Environment
9	Mr. Ith Sary	Vice chief office of provincial hall	Resp. for Solving Impact
<b>B</b>	<b>Preah Sihanouk PIU</b>		
1	Mr. Nop Heng	Director of DPWT	Chief PIU
2	Mr. Chrea Tharavuth	Deputy director of DPWT	Vice chief PIU
3	Mr. Lim Sran	Deputy director of DPWT	Responsible for Technical
4	Mr. Chrea Thavrith	Officer of DPWT	Resp. for Technical
5	Mr. Heng Bunthean	Officer of DPWT	Resp. for Financial
6	Mr. Pich Pheary	Officer of DPWT	Resp. for Urban Planning
7	Mr. Yos Chamnan	Officer of DPWT	Resp. for Administration
8	Mr. Nhem Sidoeun	Officer of DPWT	Resp. for Social & Environment
9	Mr. Soun Sopheap	Officer of provincial hall	Resp. for Solving Impact



## APPENDIX 2 OVERALL PROJECT IMPLEMENTATION PLAN

Project Implementation Schedule (Review of April 2018)

Key Milestones Project Component	Dates																											
			2017												2018												Midterm Review	
	Duration	Start	Complete	Q4	1st Quarter			2nd Quarter			3rd Quarter			4th Quarter			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
			4	Jan	Feb	March	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	
<b>PISCB Consulting</b>																												
<b>A. Kampot – All Subproject Components</b>																												
<b>Contract CW01 - Wastewater Collection &amp; Treatment and Urban Drainage (ICB)</b>																												
1A. Detailed Engineering Design																												
a. Topographic Surveys																												
b. Geotechnical Testing																												
c. Preliminary Design																												
d. Detailed Design																												
e. Tender Documents																												
f. Environmental Issues																												
Submission of Detailed Design to PMU																												
Submission of Draft Bidding Documents to ADB																												
ADB Review & Issue of No-Objection	9	06/05/18	15/05/18																									
Approval of Bid Invitation, Advertising, Bidders EOI, etc	17	16/05/18	02/06/18																									
1A.2. Bidding and Award																												
Issue & Return Bidding Documents	43	03/06/18	16/07/18																									
Assist in Responding to Bidder's Queries	43	03/06/18	16/07/18																									
Bid Opening		17/07/18																										
Preparation of Bid Evaluation Report & Submit to ADB	61	18/07/18	17/09/18																									
Assist in Evaluation of Bids	61	18/07/18	17/09/18																									
ADB Review & Issue of No-Objection	18	18/09/18	06/10/18																									
Notification of Contract Award	21	07/10/18	28/10/18																									
1B.3. Construction and Implementation	547	28/10/18	27/04/20																									
<b>Contract CW2 - Solid Waste Management - (NCB)</b>																												
<b>ON HOLD</b>																												
<b>B. Sihanoukville – All Subproject Components</b>																												
<b>Contract CW3 - Drainage - (ICB)</b>																												
3.1. Detailed Engineering Design																												
1a. Topographic Surveys																												
1b. Geotechnical Testing																												
1c. Preliminary Design																												
1d. Detailed Design																												
1e. Tender Documents																												
Submission of Detailed Design to PMU																												
Submission of Draft Bidding Documents to ADB																												
ADB Review & Issue of No-Objection	9	06/05/18	15/05/18																									
Approval of Bid Invitation, Advertising, Bidders EOI, etc	17	16/05/18	02/06/18																									
3.2. Bidding and Award																												
Issue & Return Bidding Documents	43	03/06/18	16/07/18																									
Assist in Responding to Bidder's Queries	43	03/06/18	16/07/18																									
Bid Opening		17/07/18																										
Preparation of Bid Evaluation Report & Submit to ADB	61	18/07/18	17/09/18																									
Assist in Evaluation of Bids	61	18/07/18	17/09/18																									
ADB Review & Issue of No-Objection	18	18/09/18	06/10/18																									
Notification of Contract Award	21	07/10/18	28/10/18																									
3.3. Construction and Implementation	730	28/10/18	27/10/20																									
<b>Contract CW4 - Solid Waste Management - (NCB)</b>																												
<b>ON HOLD</b>																												

Note:

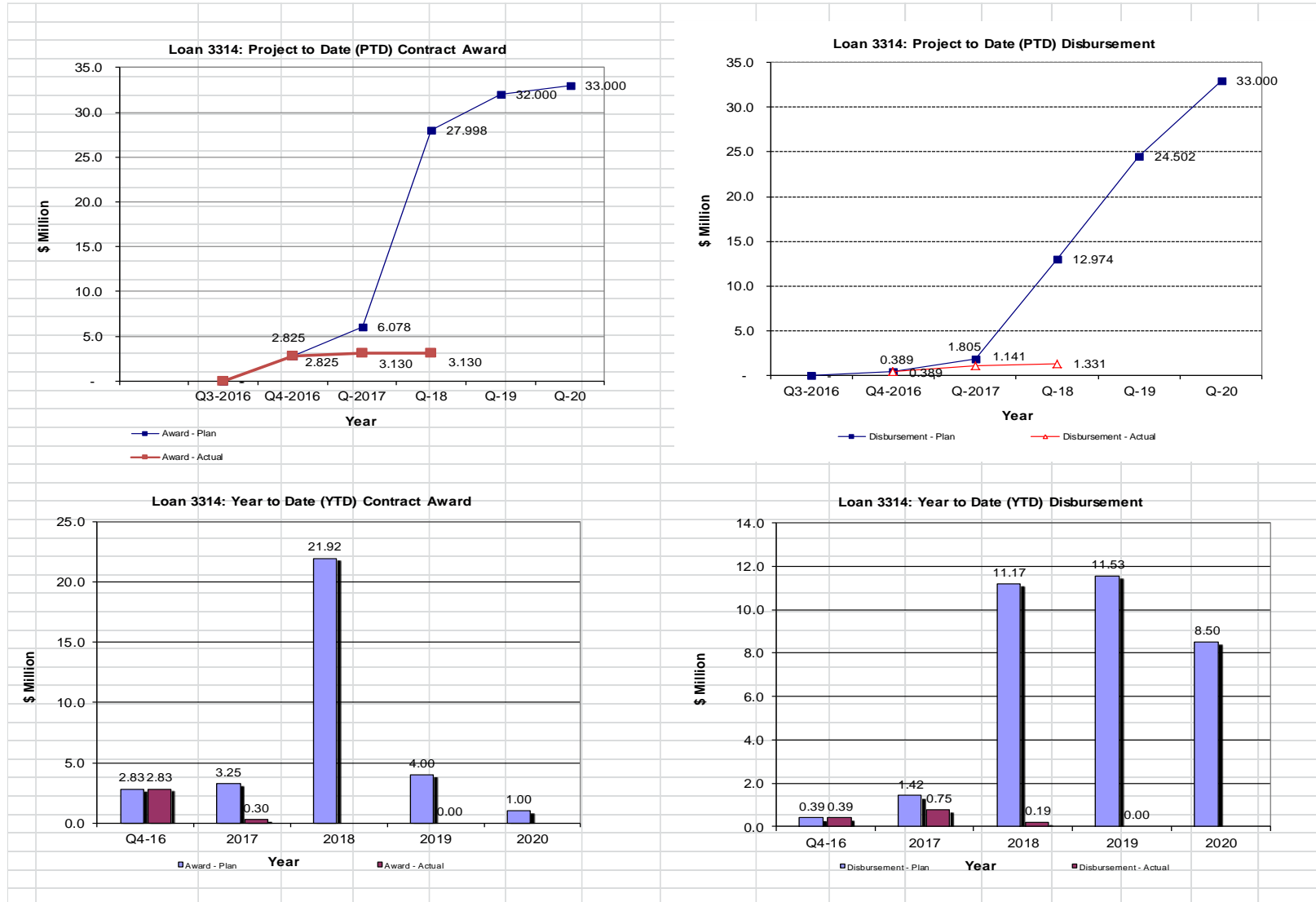
- Milestone
- Originally Envisaged/Actual Activity
- Originally Planned
- Currently Envisaged Activity



Key Milestones													Loan Closing			
Project Component	Dates			2019				2020				2021				
	Duration	Start	Complete	1	2	3	4	1	2	3	4	1	2	3	4	
	PISCB Consulting															
<b>A. Kampot – All Subproject Components</b>																
<b>Contract CW01 - Wastewater Collection &amp; Treatment and Urban Drainage (ICB)</b>																
1A.2. Bidding and Award		04/05/2018	28/10/2018													
1A.3. Construction and Implementation	547	28/10/2018	27/04/2020													
<b>Contract CW2 - Solid Waste Management - (NCB)</b>																
4. Restoration of Dumpsite																
<b>ON HOLD</b>																
<b>B. Sihanoukville – All Subproject Components</b>																
<b>Contract CW3 - Drainage - (ICB)</b>																
3.2. Bidding and Award		04/05/2018	28/10/2018													
3.3. Construction and Implementation	730	28/10/2018	27/10/2020													
<b>Contract CW4 - Solid Waste Management - (NCB)</b>																
<b>ON HOLD</b>																
4.2. Bidding and Award		03/06/2018	28/10/2018													
4.3. Construction and Implementation	#REF!	28/10/2018	#REF!													
Note:																
	Milestone															
	Originally Envisaged/Actual Activity															
	Originally Planned															
	Currently Envisaged Activity															



### APPENDIX 3 MASTER SPREADSHEETS CAD PROJECT TO DATE AND YEAR TO DATE





**APPENDIX 4**  
**SUMMARY OF SUBPROJECT COMPONENTS AND COST ESTIMATE**

Item	Description	Unit	Feasibility Study		Preliminary design		Detailed Engineering Design (DED)		Bidding Document	
			Quantity	Cost Estimation in Million US\$	Quantity	Cost Estimation in Million US\$	Quantity	Cost Estimation in Million US\$	Quantity	Cost Estimation in Million US\$
<b>Subprojects in Kampot Town</b>				<b>14.56</b>		<b>20.40</b>		<b>14.49?</b>		<b>16.78?</b>
1.	<b>Urban Drainage Subproject:</b> Primary Storm Water Drains	km	7.83	1.81	9.41	2.10	10.83	3.11	CW01b-Drainage and Sewerage	9.99
2.	<b>Wastewater Collection and Treatment</b>									
	WWTP (3,500 m <sup>3</sup> /d)	set			1		1		CW01a-WWTP, PS, and FM	6.79
	Pumping Station	set			3		3			
	Force Main	km		9.74	8.34		8.34	11.38		
	Trunk Sewers	km			16.70		16.97			
	Collector Sewers	km					14,71			
	Household connection	set					3000			
3.	<b>Solid Waste Subproject:</b> Managed Landfill and closure existing dump site	ha	17.2	3.01	17.2	3.60	N/A	N/A	N/A	N/A
<b>Subprojects in Sihanoukville Town</b>				<b>12.58</b>		<b>23.38</b>				
1.	<b>Urban Drainage Subproject:</b> Primary Storm Water Drains	km	64.1	9.68	56,34	16.50	64.1	N/A	N/A	N/A
2.	<b>Solid Waste Subproject:</b> Managed Landfill and closure existing dump site	ha	15	2.90	15	6.88	N/A	N/A	N/A	N/A

**Note:** Summary only two subproject Urban Drainage and Wastewater Collection and Treatment, or CW01b and CW01a



**APPENDIX 5**  
**PROCUREMENT PLAN**  
**Civil Works Contracts Estimated to Cost \$1 Million or More**

Package Number <sup>5</sup>	General Description	Estimated Value	Procurement Method	Review [Prior/Post]	Bidding Procedure	Advertisement Date (quarter/year)	Comments <sup>7</sup>
<b><u>Kampot</u></b>							
CW01a	Wastewater Collection and Treatment	5.99	ICB	Prior	1S1E	2/2018	No PQ; large works bidding documents Domestic Preference
CW01b	Drainage & Sewerage	8.40	ICB	Prior/Post	1S1E	1/2018	No PQ; large works bidding documents Domestic Preference
CW02	Solid Waste Management	2.47	NCB	Prior/Post	1S1E	ON HOLD	SOP
<b><u>Sihanoukville</u></b>							
CW03	Urban Drainage	9.68	ICB	Prior	1S1E	1/2018	No PQ; large works bidding documents Domestic Preference
CW04	Solid Waste Management	2.59	NCB	Prior/Post	1S1E	1/2018	SOP

1S1E = single stage-one envelope; ICB = international competitive bidding; NCB = national competitive bidding; PQ = prequalification; SOP = Standard Operating Procedure



**1. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000 (Smaller Value Contracts)**

Goods and Works								
Package Number <sup>5</sup>	General Description	Estimated Value	Number of Contracts	Procurement Method	Review [Prior/Post]	Bidding Procedure	Advertisement Date (quarter/year)	Comments <sup>7</sup>
G01	Equipment for solid waste management.	0.61	1	NCB	Prior/Post		2/2017	SOP
G02	Supply of 3 units 4WD Double Cabin Pick up Vehicles	0.12	1	NCB	Prior		1/2017	SOP
G03	Office Equipment (PMU/PIU)	0.023	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017
G04	Office Furniture	0.021	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017
CW5	Office Repair Kampot PIU	0.014	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017
CW06	Office Repair Sihanoukville PIU	0.008	1	Shopping	Post		1/2017	Shopping without advertising per SOP; Awarding in 1/2017

NCB = national competitive bidding; PQ = prequalifications; SOP = Standard Operating Procedure

**2. Consultant Services Contracts**

Consulting Services								
Package Number	General Description	Estimated Value	Number of Contracts	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
CS2	Finance Specialist	0.065	1	ICS	Prior	1/2017	EOI	National Assignment
CS3	Procurement Specialist	0.065	1	ICS	Prior	1/2017	EOI	National Assignment

Consulting Services							
Package Number	General Description	Estimated Value	Awarded Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Comments
CS01	Project	3.58	2.83 M	QCBS	4Q 2015	13 October	



**Ministry of Public Works and Transport, Kingdom of Cambodia**  
**Second GMS Corridor Towns Development Project**

	Implementation Support, Detailed Design, Construction Supervision (Package 1) and Capacity Building (Package 2)					2016	
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**APPENDIX 6  
ASSESSMENT OF RISKS**

**MONITORING AND EVALUATION OF RISKS  
Second GMS: Economic Corridor Towns Development Project**

*M&E Form no. 7A  
Version: June 2015*

Reporting Date: 30 March 2018  
*[Quarterly]*

Prepared by: Chris Dunn; Consultant Team Leader  
*[PMU/PIUs]*

<b>Risk for Outputs</b>	<b>Mitigated (Y/N)</b>	<b>Rating (HS,S,PS,U)</b>	<b>Assessment of Current Status</b>
1. Delay in project start-up and implementation.	Y	S	Early project implementation was largely on track
2. Irregularities in procurement and financial management.	Y	S	PRC established in 22.10. 2014. DFEC signed for each transaction, and copies of DFEC of winning bidders made part of awarded contracts
3. Potential archeological finds could cause delays.	Y	S	No potential archeological finds in subproject areas to date
4. In Kampot the site for the Land Fill aspects is not available	?	U	Alternative site located REP to be approved by ADB
5. In Sihanoukville land for the Land Fill aspects possibly within environmentally sensitive area	?	U	Environmental assessment carried out, revised and still deemed inadequate
6. In Kampot the site for the WWTP is adjacent to a holiday camp currently under construction	?	U	Environmental assessment carried out taking into account proximity of holiday camp

a/ HS = Highly Satisfactory; S = Satisfactory; PS = Progressing Satisfactorily; U = Unsatisfactory



**MONITORING AND EVALUATION OF ASSUMPTION AND RISKS**  
Second GMS: Economic Corridor Towns Development Project

**M&E Form no. 7B**  
June 2015

Reporting Date: 30 March 2018  
[Quarterly]

Prepared by: Chris Dunn; Consultant Team Leader  
[PMU/PIUs]

Risk for Outcome			Rating (HS,S,PS,U)	Assessment of Current Status
Risks:		Mitigated (Y/N)	Rating (HS,S,PS,U)	Assessment of Current Status
1.	Lack of capacity for project implementation and management.	Y	S	Specific training will be provided to all staff of executing & implementing agencies & project implementing units
2.	Lack of financial sustainability due to non-cost recovery tariffs.	Y	S	O&M of infrastructure by provincial agencies was strengthened and financed by the ADB loan.

a/ HS = Highly Satisfactory; S = Satisfactory; PS = Progressing Satisfactorily; U = Unsatisfactory



## APPENDIX 7 DMF TARGETS VS ACHIEVEMENTS

**PROJECT PERFORMANCE MONITORING AND EVALUATION**  
**Second GMS: Economic Corridor Towns Development Project**

*M&E Form no. 8A*

Reporting Date: 30 March 2018 [Quarterly]

Prepared by: C M Dunn: Consultant Team Leader  
[PMU/PIU member in-charge of M&E/Impact Assessment]

Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
<b>Output 1: The SLEDPs developed</b>			
SLEDPs endorsed by the participating provinces and towns (2015 baseline: final draft SLEDPs completed)	SLEDP of each town prepared in 2015	SLEDPs adopted by December 2016	
<b>Output 2: Priority urban infrastructure investments implemented</b>			
2.1 At least 30% of unskilled laborers employed in subproject construction are women. At least 30% of staff employed in operation and maintenance are women. At least 75% of all unskilled laborers or staff are of local origin (2015 baseline: N/A)  <i>[Updates from CS Consultant and from infrastructure operator during operation from Q3 2018 to Q4 2021 onward]</i>	Nil, as construction starts Q3 2018	Regular implementation in contract document	Assessment to start from commencement of construction in Q3 2018 up to Q4 2021. Social Development to be mobilised in mid to late October 2017
2.2 Wastewater treatment capacity of 4,500 cubic meters/day added in Kampot through construction of one new wastewater treatment plant (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of WWTP in Q4 2020.
2.3 15.6 km of drainage trunk mains and 11.4 km of drainage collection mains constructed in Kampot (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of drainages in Q4 2020.



Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
2.4 2,700 new connections in Kampot for wastewater provided with free connection costs (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	Nil		Assessment to start upon completion of construction of WWTP in Q4 2020 onwards.
2.5 7.9 km of separated primary storm water drains are constructed or upgraded in Kampot and 64.1 km in Sihanoukville. (2015 baseline: 0)  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of storm water drains in Q4 2020.
2.6 In Kampot, a new managed landfill is made operational (2015 baseline: N/A). <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of landfill in Q4 2020.
2.7 In Sihanoukville, the existing dump site is upgraded with improved operations (2015 baseline: N/A).  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020]</i>	Nil		Assessment to start upon completion of construction of landfill in Q4 2020.
2.8 8,100 households provided with new or improved solid-waste management collection in Kampot (3,330 households) and Sihanoukville (4,770 households) (2015 baseline: N/A) <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	The baseline value for the indicator is “nil” since subproject is construction of new facilities		Assessment to start upon completion of construction of new or improved facilities in Q4 2020 onwards.
2.9 100% of informal waste pickers near existing dump sites (2015 baseline: 160 persons) ensured continued access to the landfill and alternative livelihood skills training (2015 baseline: N/A) <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	waste pickers(2015 baseline: 160 persons) and alternative livelihood skills training (2015 baseline: 0)		Training Need Assessment (TNA) was conducted in SHV and KP (Apr and May 2017)  Finalize draft of Capacity Building and Training Program Framework Q1 2018
<b>Output 3: Institutional capacities for managing public investments strengthened</b>			



Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
3.1 At least 20 persons (30% female) trained in key project management areas (2015 baseline: N/A)  <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	Nil	ADB Gap video conference attended  Need to include ADB GAP requirements in contract documentation appreciated	Training Need Assessment (TNA) was conducted in SHV and KP (Apr and May 2017)  Finalize draft of Capacity Building and Training Program Framework Q1 2018
3.2 At least 100 persons (50% female) trained on gender sensitization training for community leaders, government officers, and consultants involved in project implementation and delivery (2015 baseline: N/A)  <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	Nil	PISCB Social Development specialist mobilized October	Training Need Assessment (TNA) was conducted in SHV and KP (Apr and May 2017)  Finalize draft of Capacity Building and Training Program Framework Q1 2018
3.3 Project implementation units shall target recruitment of 30% female staff, including 20% in decision-making positions (2015 baselines: N/A).	Nil (Before Project)	12% (PMU 1 of 8, KP 2 of 9 and SHV 0 of 9)	As of Q1 2018, women hold 12% of overall staff positions in PMU & PIUs
<b>Output 4: Community awareness on project activities and environmental sustainability improved</b>			
At least 10 community awareness and dissemination campaigns covering environmental sustainability and conservation themes conducted with equal participation by men and women (2015 baseline: N/A)  <i>[Updates from TIC, from Q3 2017 to Q1 2020]</i>	Nil		
<b>Outcome : Improved urban services in the two participating towns</b>			
1. 2,700 households and businesses serviced by new and improved wastewater collection and treatment facilities in Kampot	Nil		Assessment to start upon completion of construction of drainages in Q4 2020 onwards.



Indicators (with Baseline and Performance Targets)	Baseline	Achievements/Status (as of end of reporting period)	Assessment of Current Progress/ Status & Reason for any Negative Variance
<i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>			
2. 8,100 households serviced by improved solid-waste collection in the two towns  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	Nil		Assessment to start upon completion of construction of drainages in Q4 2020 onwards.
3. 3,765 households with reduced flood risks in both towns  <i>[Updates from CS Consultant upon completion of infrastructure in Q4 2020, and from infrastructure operator during operation from Q1 2021 onward]</i>	Nil		Assessment to start upon completion of construction of drainages in Q4 2020 onwards.



## APPENDIX 8 PROJECT IMPLEMENTATION AND PERFORMANCE M&E FRAMEWORK MATRIX

### Project Implementation M&E Framework Matrix

Activities <i>(Col. 1)</i>	Data Sources/ Means of Verification <i>(Col. 2)</i>	Data Collection Method/Forms <i>(Col. 3)</i>	Timing & Frequency of Data Collection <i>(Col. 4)</i>	Responsible Person/Agency for Data Collection <i>(Col. 5)</i>
<b>Output 1: The SLEDPs developed</b>				
1.1 Participating provinces and towns endorse SLEDPs by Q2 2016	Executive agencies' copies of Letters of Endorsement by participating provinces and towns.	Validation with implementing agencies	Q2 2016	PMU / PIU supported by PISCB Social Development & Gender Specialist (SDGS)
<b>Output 2: Priority urban infrastructure investments implemented</b>				
2.1 Complete detailed engineering designs by Q4 2016	PISCB DED Team's progress reports	Updates from DED Team using M&E form no. 1A	Monthly (Apr - Nov 2017)	PMU supported by PISCB
2.2 Complete land acquisition and resettlement by Q4 2016	PISCB Resettlement Specialist progress reports On-site verification	Updates from Resettlement Specialist using M&E form no. 1A	Monthly (Jul - Dec 2018)	PMU supported by PISCB
2.3 Bid civil works contracts by Q4 2017	Prequalification, bidding and awards reports	Updates from Procurement Specialist using M&E form no.1A	Monthly (Jan - Jun 2018)	PMU supported by Procurement Specialist
2.4 Sign civil works contracts by Q4 2017	Prequalification, bidding and awards reports	Updates from Procurement Specialist using M&E form no.1A	Jun 2018	PMU supported by Procurement Specialist
2.5 Complete civil works by Q4 2020	PISCB Construction Supervision (CS) Team progress reports On-site verification	Updates from CS Team using M&E form nos. 2A and 2B.	Monthly (Jul 2018 - Dec 2020)	PMU supported by PISCB
2.6 Conduct environmental safeguards monitoring and reporting by Q1 2016–Q4 2020	Environmental Safeguards Monitoring Team (ESMT) reports. On-site verification	Updates from ESMT using M&E form no. 3.	Monthly (Jul 2018 - Dec 2020)	PMU supported by ESMT
2.7 Conduct social safeguards monitoring and reporting by Q1 2016–Q4 2017	Social Safeguards Monitoring Team (SSMT) reports. On-site verification	Updates from SSMT	Monthly (Jul 2018 - Dec 2020)	PMU supported by SSMT
<b>Output 3: Institutional capacities for managing public investments strengthened</b>				
3.1 Formulate capacity building program by Q4 2016	Report on capacity building program formulated	Updates from PISCB Capacity Building & Training Specialist (CBTS) using M&E form no. 1B	Q2 2017	PMU / PIU supported by PISCB CBTS
3.2 Complete key trainings and capacity building activities by Q4 2018	Reports on key trainings and capacity building activities	Updates from PISCB CBTS using M&E form no. 1B	Monthly (Apr 2017 – Sep 2019)	PMU / PIU supported by PISCB CBTS
<b>Output 4: Community awareness on project activities and environmental sustainability improved</b>				
4.1 Conclude community awareness and dissemination campaigns (Q4 2020)	Reports on actual conduct of community awareness & dissemination campaign.	Updates from PISCB Capacity Development Specialist (CDS) using M&E form nos. 1B and 5	Monthly (Apr 2017 - Sept 2019)	PMU / PIU supported by CDS



### Project Performance M&E Framework Matrix

Indicators (with Baseline and Performance Targets) (Col. 1)	Data Sources/ Means of Verification (Col. 2)	Data Collection Method/Forms (Col. 3)	Timing & Frequency of Data Collection (Col. 4)	Responsible Person/Agency for Data Collection (Col. 5)
<b>Output 1: The SLEDPs developed</b>				
1.a. SLEDPs endorsed by the participating provinces and towns (2015 baseline: final draft SLEDPs completed)	Executive agencies' copies of Letters of Endorsement by participating provinces and towns.	Validation with implementing agencies	Q2 2016	PMU / PIU supported by PISCB Social Development & Gender Specialist (SDGS)
<b>Output 2: Priority urban infrastructure investments implemented</b>				
2.a. At least 30% of unskilled laborers employed in subproject construction are women.	Contractors' / PISCB Construction Supervision (CS) Team's progress reports On-site verification	Updates from CS Team using M&E form nos. 4B and 8A.	Monthly (Jul 2018 - Dec 2020)	PMU / PIU supported by PISCB. GAP requirements included in Contract Documents
At least 30% of staff employed in operation and maintenance are women.	Infrastructure Operator's reports Local authorities' statistical data	Updates from Infrastructure Operator using	Quarterly (Q1 2021 onward)	PMU/PIU supported by Infrastructure Operator
At least 75% of all unskilled laborers or staff are of local origin (2015 baseline: N/A)	Contractors' / PISCB Construction Supervision (CS) Team's progress reports On-site verification	Updates from CS Team using M&E form nos. 4B and 8A.	Monthly (Jul 2018 - Dec 2020)	PMU / PIU supported by PISCB. GAP requirements included in Contract Documents
2.b Wastewater treatment capacity of 4,500 cubic meters/day added in Kampot through construction of one new wastewater treatment plant (2015 baseline: 0)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	Operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.c 15.6 km of drainage trunk mains and 11.4 km of drainage collection mains constructed in Kampot (2015 baseline: 0)	Contractors/ Construction Supervision (CS) progress reports On-site verification	Updates from CS Consultant progress reports using M&E form no. 8A.	Monthly July 2017- December 2020	PMU / PIU supported by PISCB CS
2.d 2,700 new connections in Kampot for wastewater provided with free connection costs (2015 baseline: 0)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.e 7.9 km of separated primary storm water drains are constructed or upgraded in Kampot and 64.1 km in Sihanoukville (2015 baseline: 0)	Contractors/ Construction Supervision (CS) progress reports On-site verification	Updates from CS Consultant progress reports using M&E form no. 8A.	Monthly July 2017- December 2020	PMU / PIU supported by PISCB CS
2.f In Kampot, a new managed landfill is made operational (2015 baseline: N/A)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.g In Sihanoukville, the	Construction records,	During operation:	During	During operation:



Indicators (with Baseline and Performance Targets) (Col. 1)	Data Sources/ Means of Verification (Col. 2)	Data Collection Method/Forms (Col. 3)	Timing & Frequency of Data Collection (Col. 4)	Responsible Person/Agency for Data Collection (Col. 5)
existing dump site is upgraded with improved operations (2015 baseline: N/A)	subproject completion reports, end of project survey	PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
2.h 8,100 households provided with new or improved solid-waste management collection in Kampot (3,330 households) and Sihanoukville (4,770 households) (2015 baseline: N/A)	Construction records, subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	During operation: PMU/PIU supported by Infrastructure Operator
2.i. 100% of informal waste pickers near existing dump sites ensured continued access to the landfill and alternative livelihood skills training (2015 baseline: N/A)	Subproject completion reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	During operation - quarterly (Q1 2018 onward)	PMU/PIU supported by Infrastructure Operator
<b>Output 3: Institutional capacities for managing public investments strengthened</b>				
3.a At least 20 persons (30% female) trained in key project management areas (2015 baseline: N/A)	Project progress and completion reports, attendance lists, training reports	Updates from PISCB CBTS using M&E form no. 5	Monthly April 2017-September 2019	PMU / PIU supported by PISCB CBTS
3.b At least 100 persons (50% female) trained on gender sensitization training for community leaders, government officers, and consultants involved in project implementation and delivery (2015 baseline: N/A)	Project progress and completion reports, attendance lists, training reports	Updates from PISCB CBTS using M&E form no. 5	Monthly April 2017-September 2019	PMU / PIU supported by PISCB CBTS
3.c Project implementation units shall target recruitment of 30% female staff, including 20% in decision-making positions (2015 baseline: N/A)	Project management unit and government employment records	Updates from PISCB CBTS using M&E form no. 5	Quarterly Inception Report	PMU / PIU supported by PISCB CBTS
<b>Output 4: Community awareness on project activities and environmental sustainability improved</b>				
4.a At least 10 community awareness and dissemination campaigns covering environmental sustainability and conservation themes conducted with equal participation by men and women (2015 baseline: N/A)	Project progress and completion reports, attendance lists, training reports	Updates from PISCB CDS using M&E form no. 5	Monthly April 2017-September 2019	PMU / PIU supported by PISCB CDS
<b>Outcome: Improved urban services in the two participating</b>				
a. 2,700 households and businesses serviced by new and improved wastewater collection and treatment facilities in	Reports of provincial department of public works and transportation, project progress reports, end	During operation: PIU updates from infrastructure operator's & local authorities' data.	Annual (2021 onward)	PMU/PIU supported by Infrastructure Operator



**Ministry of Public Works and Transport, Kingdom of Cambodia**  
**Second GMS Corridor Towns Development Project**

<b>Indicators</b> (with Baseline and Performance Targets) <i>(Col. 1)</i>	<b>Data Sources/ Means of Verification</b> <i>(Col. 2)</i>	<b>Data Collection Method/Forms</b> <i>(Col. 3)</i>	<b>Timing &amp; Frequency of Data Collection</b> <i>(Col. 4)</i>	<b>Responsible Person/Agency for Data Collection</b> <i>(Col. 5)</i>
Kampot (2015 baseline: 0)	of project survey	Using M&E Form no. 8A.		
b. 8,100 households serviced by improved solid-waste collection in the two towns (2015 baseline: 0)	Reports of provincial department of public works and transportation, project progress reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	Annual (2021 onward)	PMU/PIU supported by Infrastructure Operator
c. 3,765 households with reduced flood risks in both towns (2015 baseline: 0)	Reports of provincial department of public works and transportation, project progress reports, end of project survey	During operation: PIU updates from infrastructure operator's & local authorities' data. Using M&E Form no. 8A.	Annual (2021 onward)	PMU/PIU supported by Infrastructure Operator



**APPENDIX 9**  
**GAP Implementation Plan: Schedule of Activities (DRAFT)**  
**International Social and Gender Specialist/ National Social and Gender Specialist**

A. Preparatory Activities	Output	Responsible	Target Dates	Remarks
1. Review of project related and GAP documents		PISCB International and National Social Development and Gender Consultants	November 10-14,2017	GAP specialist mobilized during November, report supplied to ADB in March, no comment date
2. Review the comments of L. Adams on the GAP implementation and recommendations	-Output 2 GAP Targets /Indicators Revised  -Aligned Loan Covenant with GAP and DMF	PISCB International and National Social Development and Gender Consultants	November 15-16,2017	GAP specialist mobilized during November, report supplied to ADB in March, no comment date
3. Discuss with Project team leader (about aligned loan covenant, with GAP and DMF)	- Aligned/Adjusted Loan Covenant with GAP and DMF/ GAP Budget to be integrated into the work plan/ project budget	PISCB Project Team Leader and Social Development and Gender Consultants	November-December 2017	Budget not provided by GAP specialist
4. Meet with Social and Gender Officer at Cambodia ADB Resident Mission Office	-Discuss/clarify GAP related concerns	PISCB International and National Social Development and Gender Consultants	November 16,2017 2 pm -5pm	Validate assigned PMU focal person, not able to meet with assigned PMU gender focal person/unable to contact her through the contact numbers available
5. Orient/ discuss with PMU Gender Focal the Gender Action Plan (GAP)	Finalized alignment of Loan Covenant with GAP and DMF/ GAP Budget to be integrated into the	PISCB Project Team Leader and Social Development and	November 22,2017	Insufficient time in November, planned for March but specialist not arriving until mid-April 2018



	work plan/ project budget/update	Gender Consultants		
6.Review SLEDP (Strategic Local Economic Development Plan) and Training Needs Assessment	Provided inputs for SLEDP and Training needs assessment			Prepare input for the SLEDP/but no English version can be found
7. Prepare questionnaire for updating socio-economic profile of project beneficiaries in the town/villages of Sihanoukville and Kampot and consultation guide for women about their issues/ concerns, needs and aspirations about the project  (Task 3 in my TOR)  Design and assist the PIUs in the implementation of appropriate additional socio-economic and other relevant surveys in each town, with data disaggregated by sex, ethnicity, and income.	-Questionnaire prepared  -Guide questions for women group consultation meetings/ KIIs.  -Coordination Meeting with PIU ( Kampot) regarding conduct socio-economic survey /consultation with women's group and other stakeholders	International Social Development and Gender Consultant  PISCB International and National Social Development and Gender Consultants  PISCB International and National Social Development and Gender Consultants	1st Quarter 2018  1 <sup>st</sup> Quarter 2018  1 <sup>st</sup> quarter 2018	Validate with L. Adams if there is still the need for the conduct surveys  Discuss with PIU if it has the personnel to conduct the survey / discuss other options if survey is not feasible  National Social and Gender Specialist to translate the questionnaire to Khmer.  National Social and gender Specialist supervise data gathering, edit questionnaire after data gathering.



	- Write-up/ Updated socio-economic profile/ women's profile (input for updated GAP/ Implementation Schedule)	PISCB International and National Social Development and Gender Consultants		Data processing and table preparation to be prepared by a Research Assistant.  Need to look for budget for the survey
7. Consult with project related beneficiaries to ensure women's needs and aspirations are addressed in the subprojects detailed design, implementation and subsequent monitoring	-Prepare consultation guidelines and training needs assessment focus on livelihood skills of women (waste pickers, disadvantaged ,poor, ect.), skills interest, current skills , livelihood needs-( capital assistance, employment, socioeconomic/ livelihood skills profile of women			
8. Follow-up Orientation Training /capacity development on GAP implementation in overall project implementation for PMU/PIU /PISCB	-Orient PMU/PIU on GAP Implementation in relation to overall project implementation	PISCB International and National Social Development and Gender Consultants	February 2018	GAP specialist mobilizing in mid April
9. Design and assist the	-Prepare Indicative Plan	PISCB Project	Quarter 2018	



<p>PIUs in the implementation of information campaigns and community mobilization, and further, programs and projects to develop livelihoods, social development, and vocational needs with an emphasis on the urban poor and disadvantaged households/ including youth and women's livelihood needs.</p>	<p>for the implementation of information campaigns and community mobilization</p> <p>-Consultation meetings with Project Stakeholders on potential collaboration in GAP implementation ( MoWA, DoWA, Ministry of Health/ Village Health Centers, NGOs/CSOs, etc.)</p> <p>-Consultation meetings with town/commune/ village councils</p>	<p>Team Leader and Social Development and Gender Consultants</p> <p>PISCB Project Team Leader and Social Development and Gender Consultants</p>	<p>First Quarter 2018</p>	<p>GAP specialist mobilizing in mid April</p>
<p>10.Coordinate with resettlement specialist regarding livelihood and social development aspects of the resettlement plans; and advise PIU on training needs assessment of impacted households, including disaggregation of livelihoods by gender</p>	<p>-Discuss livelihood and social development aspects, and related needs assessment including disaggregated livelihoods by gender</p>	<p>PISCB Project Team Leader and Social Development and Gender Consultants</p>	<p>1<sup>st</sup> quarter 2018</p>	<p>Training needs assessment to be undertaken by Resettlement Specialist for impacted households disaggregated by gender and will be shared with PISCB International and National Social and Gender Consultants</p>
<p>11. Design and assist the</p>	<p>-Prepare Indicative Plan</p>	<p>PISCB Project</p>	<p>3<sup>rd</sup> quarter 2018</p>	



PIUs in the implementation of information campaigns and community mobilization, and further, programs and projects to develop livelihoods, social development, and vocational needs with an emphasis on the urban poor and disadvantaged households/ including youth and women's livelihood needs.	for the implementation of information campaigns and community	Team Leader and Social Development and Gender Consultants		
12. Assist the PIUs with provision of technical assistance and coordination of demand driven awareness building and training and guidelines to support vulnerable households and groups.		PISCB International/ National Social Development and Gender Consultants	3 <sup>rd</sup> quarter 2018	
13. Gather information on GAP implementation progress and indicate results in a Gender Field Report and prepare progress report for GAP		Team Leader and Social Development and Gender Consultants	1 <sup>st</sup> quarter 2018	GAP specialist mobilizing in mid April
14. Assist the PIUs by acting as a gender focal point and facilitator for gender mainstreaming in data /information collection, monitoring sector	-Follow-up all types of activities	National Social and Gender Specialist	2018 and up to end of project	



coordination, technical design issues, communication, training and capacity development and mentoring				
15. Contribute to the preparation and delivery of training courses and stakeholder workshops to inform and raise awareness about project related and other more general social development and gender issues in both towns		National Social and Gender Specialist	2018 and up to end of project	GAP specialist mobilizing in mid April

**Detailed Implementation Plan: Capacity building and Training (Budget)**

Output 3 and 4 from the GAP	Activities	Responsible	Target Dates	Participants	Indicative Budget
Institutional Capacities for managing public investments strengthened			(2018)		Previous budgets rejected without reason by MEF
a. Capacity Building		PISCB consultants /PMU/DoWA			
1. Orientation Training GAP Implementation and monitoring (Target participants)	(i) review training needs assessment (TNA) for identified needs regarding GAP  (ii)develop curriculum and training design,		1 <sup>st</sup> quarter 2018 (February)	(i)PMU 8 participants  1day training	Meeting room at PMU conference / snacks and lunch for participants  \$300



	<p>materials</p> <p>(iii) identify and select leaders through the commune council</p> <p>(iv) implement training</p> <p>(v) monitor training progress</p> <p>(vi) prepare monitoring report with participants disaggregated by gender</p> <p>(vii) collect information/ write monitoring report</p>			<p>(ii) PIU/ Sangkats chief/ partner departments of agencies, women group representatives</p> <p>(15- 20 participants)</p>	<p>\$ 450 each subproject</p> <p>\$400 x2 Sub projects= \$ 800 total</p>
<p>2.Gender Awareness /Sensitivity Training (target: community leaders, government officers, consultant involved in project implementation delivery)</p>	<p>(ii) consultation/training needs assessment with community leaders and government agencies</p> <p>(ii) develop curriculum and training design, materials</p> <p>(iii) identify and select leaders through the commune council</p>	<p>PMU /DoWA, PISCB</p>	<p>3<sup>rd</sup> and 4<sup>th</sup> quarter 2018</p>	<p>-100 persons (50 %female)</p> <p>-50 participants for each sub-project</p> <p>- 1day training</p> <p>-Hand-outs Food</p>	



	<p>(iv) implement training</p> <p>(v) monitor training progress</p> <p>(vi) prepare monitoring report with participants disaggregated by gender</p> <p>(vii) collect information/ write monitoring report</p>			Training Materials	
<p>3.Vocational/employment skills training: Target:20 poor young women in Kampot and 20 waste pickers in Sihanoukville</p>	<p>(i) consultation/ needs assessment meetings with women (concerns, needs. Vocational skills interest, current skills</p> <p>(ii) prepare consultation and needs assessment report</p> <p>(iii) Consult with DoWA re available training for livelihood skills for employment by NGOs/DoWA</p> <p>(iv) Draft TOR/ arrangement with</p>	<p>PMU /DoWA, PISCB</p>	<p>1<sup>st</sup> quarter 2019</p>	<p>Target: (at least 20 per project site: Sihanoukville and Kampot)</p>	<p>Payment for resource persons/ for participants food/ Training materials/ on the job skills training</p> <p>(coordinate with concerned agencies with available potential livelihood skills training</p>



	<p>identified NGO/government agency re: vocational training skills</p> <p>(v) Implement livelihood/employment skills training</p> <p>(vi) monitor outcome of livelihood/employment training activities /collect data</p> <p>(vii) prepare training report of women trainees who completed the training</p>				
<p>3.Community Awareness on environmental sustainability/information dissemination campaign on benefits of solid waste collection/Clean city theme</p>	<p>(i)Conduct consultation with men and women on project benefits, concerns and issues on environment, current practices garbage disposal practices, role of men and women in solid waste, recommendation to improve environmental conditions and hygiene.</p>	<p>PMU /DoWA, PDWA, PISCB consultants</p>	<p>1st quarter (2019)</p>	<p>2-day environmental awareness trainings ( campaign environmental and solid waste collection preparation/ on the job training</p> <p>10 session (</p>	<p>To be contracted to an NGO in partnership with DoWA/PDW)</p>



	<p>(ii) identify NGOs that could partner with PDWA and DoWA in conducting the community awareness campaign and info dissemination</p> <p>(iii) Prepare TOR/ Provide input in the design of the environmental community awareness and information dissemination campaigns/</p> <p>(iv) Implementation of community awareness and information dissemination activities</p> <p>(v) prepare sex disaggregated monitoring report</p> <p>(vi) collect data and outcome of training and prepare monitoring report</p>			<p>community Information dissemination/ campaigns</p> <p><u>Information dissemination media/materials</u>        Radio, TV, Social network, pamphlet, poster, tarpaulin,</p> <p><u>Target Audience/partners</u>        Schools/ students business, households, pagoda, institutions/NGOs/</p>	
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**APPENDIX 10**  
**STATUS OF COMPLIANCE WITH LOAN COVENANTS**

No.	Covenant	Reference in LA	Status of Compliance
1.	<p><b>Implementation Arrangements</b></p> <p>The Borrower and Project Executing Agency shall ensure that the Project is implemented in accordance with the detailed arrangements set forth in the PAM. Any subsequent change to the PAM shall become effective only after approval of such change by the Borrower and ADB. In the event of any discrepancy between the PAM and this Loan Agreement, the provisions of this Loan Agreement shall prevail.</p>	Schedule 5, Para. 1	Complied with
2.	<p><b>Environment</b></p> <p>The Borrower shall ensure, and cause the Project Executing Agency to ensure that the preparation, design, construction, implementation, operation and decommissioning of the Project comply with: (a) all applicable laws and regulations of the Borrower relating to environment, health and safety; (b) the Environmental Safeguards; and (c) all measures and requirements set forth in the IEEs, the EMPs and any corrective or preventative actions set forth in a Safeguards Monitoring Report.</p>	Schedule 5, Para. 2	Ongoing
3.	<p><b>Land Acquisition and Involuntary Resettlement</b></p> <p>The Borrower shall ensure or cause the Project Executing Agency to ensure that all land and all rights-of-way required for the Project are made available to be Works contractor in accordance with the schedule agreed under the related Works contract and all land acquisition and resettlement activities are implemented in compliance with the RP based on (a) all applicable laws and regulations of the Borrower relating to land acquisition and involuntary resettlement; (b) the applicable principles and requirements set forth in the SPS; and (c) any necessary corrective or preventive actions as agreed by the IRC set forth in the Safeguards Monitoring Report .</p>	Schedule 5, Para. 3	Ongoing
4.	<p>Without limiting the application of the SPS or the RPs, the Borrower shall ensure or cause the Project Executing Agency to ensure that no physical or economic displacement takes place in connection with the Project until:</p> <p>(a) compensation and other entitlements have been provided to affected people in accordance with the RPs; and</p> <p>(b) a comprehensive income and livelihood improvement program has been put in place in accordance with the RPs.</p>	Schedule 5, Para. 4	Not yet due
5.	<p><b>Indigenous Peoples</b></p> <p>The Borrower shall ensure that the Project does not have any indigenous people impacts, all within the meeting of ADB's Saguard Policy Statement. In the event that the Project complies with the applicable laws and regulations of the Borrower and with ADB's Saguard Policy Statement.</p>	Schedule 5, Para. 5	Ongoing
6.	<p><b>Human and Financial Resources to Implement Safeguards</b></p>		



No.	Covenant	Reference in LA	Status of Compliance
	<p><b>Requirements</b></p> <p>The Borrower shall make available or cause the Project Executing Agency to make available, necessary budgetary and human resources to fully implement the EMPs and the RPs.</p>	Schedule 5, Para. 6	Complied with
7.	<p><b>Safeguards – Related Provisions in Bidding Documents and Works Contracts</b></p> <p>The Borrower shall ensure, and cause the Project Executing Agency to ensure that all bidding documents and contracts for Works contain provisions that require contractors to:</p> <ul style="list-style-type: none"> <li>(a) comply with the measures relevant to the contractor set forth in the IEEs, the EMPs and the RPs (to the extent they concern impacts on affected people during construction), and any corrective or preventative actions set forth in a Safeguards Monitoring Report;</li> <li>(b) make available a budget for all such environmental and social measures;</li> <li>(c) provide the Borrower with a written notice of any unanticipated environmental, or resettlement risks or impacts that arise during construction, implementation or operation of the Project that were not considered in the IEEs, the EMPs and the RPs;</li> <li>(d) adequately record the condition of roads, agricultural land and other infrastructure prior to starting to transport materials and construction; and</li> <li>(e) reinstate pathways, other local infrastructure, and agricultural land to at least their pre-project condition upon the completion of construction.</li> </ul>	Schedule 5, Para. 7	Ongoing
8.	<p><b>Safeguards Monitoring and Reporting</b></p> <p>The Borrower shall do the following or cause the Project Executing Agency to do the following:</p> <ul style="list-style-type: none"> <li>(a) submit semiannual Safeguards Monitoring Reports to ADB and disclose relevant information from such reports to affected persons promptly upon submission;</li> <li>(b) if any unanticipated environmental and/or social risks and impacts arise during construction, implementation or operation of the Project that were not considered in the IEEs, the EMPs and the RPs, promptly inform ADB of the occurrence of such risks or impacts, with detailed description of the event and proposed corrective action plan; and</li> <li>(c) report any actual or potential breach of compliance with the measures and requirements set forth in the EMPs and the RPs promptly after becoming aware of the breach.</li> </ul>	Schedule 5, Para. 8	Not yet due
9.	<p><b>Prohibited List of Investments</b></p> <p>The Borrower shall ensure that no proceeds of the Loan are used to finance any activity included in the list of prohibited</p>	Schedule 5, Para. 9	Complied with



No.	Covenant	Reference in LA	Status of Compliance
	investment activities provided in Appendix 5 of the SPS.		
10.	<p><b>Gender and Development</b></p> <p>The Borrower shall ensure that: (a) the gender action plan is implemented in accordance with its terms; (b) the bidding documents and contracts include relevant provisions for contractors to comply with the measures set forth in the GAP; (c) adequate resources are allocated for the implementation of the GAP; and (d) progress on implementation of the GAP, including progress toward achieving key gender outcome and output targets, are regularly monitored and reported to ADB; and (e) key gender outcome and output targets include, but not limited to: (i) the project implementation units shall target recruitment of 30% female staff, including 20% in decision-making positions; (ii) at least 20 persons (30% female) trained in key project management areas; (iii) at least 100 persons (50%female) provide gender sensitization training for community leaders, government officers, and consultants involved in project implementation and delivery; (iv) the project management unit and the Borrower's department of Women's Affairs will organize, through an NGO vocational training in livelihood and employment opportunities related to the project, e.g. tourism skills development, for at least 20 poor young women in Kampot, and offer the same for waste pickers at dumpsite in Sihanoukville; (v) 30% of unskilled laborers employed in sub-project construction are women; (vi) 30% of staff employed in operations and maintenance are women; and (vii) 75% of all unskilled laborers/staff are of local origin.</p>	Schedule 5, Para. 10	See comments in Report and Appendices
11.	<p><b>Governance and Anticorruption</b></p> <p>The Borrower, the Project Executing Agency, and the Project Implementing Agencies shall: (a) comply with ADB's Anticorruption Policy (1998, as amended to date) and acknowledge that ADB reserves the right to investigate directly, or through its agents, any alleged corrupt, fraudulent, collusive or coercive practice relating to the Project; and (b) cooperate with any such investigation and extend all necessary assistance for satisfactory completion of such investigation.</p>	Schedule 5, Para. 11	Complied with
12.	The Borrower, the Project Executing Agency, and the Project Implementing Agencies shall ensure that the anticorruption provisions acceptable to ADB are included in all bidding documents and contracts, including provisions specifying the right of ADB to audit and examine the records and accounts of the Project Executing Agency and the Project Implementing Agencies and all contractors, suppliers, consultants, and other service providers as they relate to the Project.	Schedule 5, Para. 12	Complied with
13.	Within six (6) months of the Effective Date, the Project Executing Agency shall create or modify a Project website to disclose information about various matters on the Project. The website will include information on Project procurement include the list of participating bidders, name of each winning bidder, basic details on bidding procedures adopted, the value of each contract awarded, and the list and value of goods/services procures and the intended utilization of Loan proceeds under each contract being awarded. The website shall also include general Project information, Project progress	Schedule 5, Para. 13	Complied with



No.	Covenant	Reference in LA	Status of Compliance
	<p>and contact details for the Project Executing Agency's counterpart staff in Khmer and English languages, and shall link to ADB's Integrity Unit website at <a href="http://www.adb.org/site/integrity/complaint-form">http://www.adb.org/site/integrity/complaint-form</a> for reporting to ADB any grievances or allegations of corrupt practices arising out of the Project and /or Project activities. The Borrower shall cause the Project Executing Agency to ensure that all Project staff are fully aware of ADB's procedures, including, but not limited to, procedures for implementation, procurement, use of consultants, disbursements, reporting, monitoring, and prevention of fraud and corruption.</p>		
14.	<p><b>Grievance Redress Mechanism</b></p> <p>The Borrower shall through the Project Executing Agency further ensure that within nine (9) months of the Effective Date, a grievance redress mechanism (GRM) acceptable to ADB is established for non-safeguards complaints in accordance with the PAM. In each case, such GRM shall function to (i) review and document eligible complaints of Project stakeholders; (ii) proactively address grievances; (iii) provide the complainants with notice of the chosen mechanism and/or action; and (iv) prepare and make available to ADB upon request periodic reports to summarize (a) the number of complaints received and resolved; (b) chosen actions; and (c) final outcomes of the grievances and make these reports available to ADB upon request. Eligible non-safeguards complaints include those related to the Project, any of the service providers, any person responsible for carrying out the Project, complaints on misuse of funds and other irregularities as well as gender issues.</p>	Schedule 5, Para. 14	Complied with
15.	<p><b>Sector Development and Counterpart Support</b></p> <p>(a) The Borrower shall (i) cause the Project Executing Agency and the relevant Project Implementation Agency to adopt business plans consistent with the terms and requirements of the PAM(including, but not limited to, the necessary tariff, tariff collection rates, increases in tariff rates and service coverage rates for wastewater collection and treatment services and facilities in Kampot and rates for solid waste collection services and facilities in Kampot and Sihanoukville for the operational period of the relevant facilities), subject to prior consultation with ADB, for achieving full cost recovery to cover operations and maintenance expenditures of the facilities developed under Parts 1,2 and 4of the Project, as applicable, prior to their physical completion; and (ii) cause each Project Implementation Agency to administer the applicable business plan in accordance with its terms and the PAM, including, but not limited to, the collection of all necessary tariffs and Implementation of any tariff increases, as applicable. .</p>	Schedule 5, Para. 15	Not yet due
16.	<p>(b) The Borrower shall (i) if there is any deficiency in the budget for the operations and maintenance of the facilities constituting Parts 1, 2 and 4 (or any or all of them ) of the Project in any fiscal year, require the applicable Project Implementation Agency to Fund immediately such deficiency through budget allocations for such facilities;</p>	Schedule 5, Para. 16	Not yet due



<b>No.</b>	<b>Covenant</b>	<b>Reference in LA</b>	<b>Status of Compliance</b>
	and (ii) if the applicable Project Implementation Agency fails to undertake its obligation under clause (b)(i) above, fund immediately such deficiency in the budget for the operations and maintenance for the facilities constituting Parts 1, 2 and 4 (or any or all of them ) of the Project, as applicable, for the relevant fiscal year to ensure proper operations and maintenance of such facilities for the remainder of the relevant fiscal year.		



**APPENDIX 11  
RISK ASSESMENT AND RISK MANAGEMENT PLAN (RARMP)**

No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
<b>Element 1: Procurement</b>							
1.a	Irregularities relating to leaking prior or post procurement information before the contract award, collusion during the bidding process, and bid evaluation.	High	EA/IAs to establish PRC under the project in accordance with SOP/PM which are in line with ADB guidelines. EA/IAs shall ensure that the Declarations of Fraud and Ethical Conduct (DFEC) for PRC members and bidders (contractors, suppliers and consultants) are signed for each transaction. A copy of the declarations of winning bidders shall be part of the awarded contracts.	EA/IAs	All procurement transactions. EA/IA to monitor, ADB to verify during review missions, prior reviews and post reviews	PRC established on 22 October 2014. DFEC signed for each transaction, and copies of DFEC of winning bidders made part of awarded contracts.	PRC minutes of meetings. DFEC in awarded contracts.
1.b	Insufficient compliance with procedures	High	EA/ IAs are to adhere strictly to the procedures and guidelines set forth in the Loan Agreement, ADB's Procurement Guidelines, and SOP/PM that also cover ICB, NCB and shopping.	EA/IAs MEF monitors compliance with LA, ADB Procurement Guidelines and SOP/PM	All procurement transactions. EA/IA to monitor, ADB to verify during review missions, prior reviews and post reviews	Sufficient adherence/ compliance to procurement procedures and guidelines by EA/IAs, as monitored by MEF.	Bid Evaluation Committee (BEC) / Consultant Evaluation Committee (CEC) Reports & Recommendation. PRC minutes of meetings.
1.c	Weak procurement capacity.	High	EA/ IAs will receive continued hands-on training and technical assistance from consultants recruited under the project. SOP/PM will be used under the project.	ADB	Throughout Project duration	Training conducted by ADB in Dec. 2016. Inquiries on procurement can be directly made through ADB's procurement clinic.	PMU/ADB records.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
			<p>Recruitment of a well-experienced procurement officer and website officer in PMU to avoid procurement and eventual implementation delays</p> <p>Closely monitor and review procurement conduct, and where necessary, take measures to improve procedures based on lessons learnt from each successive procurement activity.</p> <p>EA/IAs will recruit additional national and/or national procurement staff if required.</p>	<p>EA/IAs</p> <p>EA, MEF and ADB</p> <p>EA/IAs</p>	<p>Throughout Project duration</p> <p>Throughout Project duration</p>	<p>Procurement Specialist contracted in Aug 2014 by PISCD and in June 2016 by PMU. Website officer is a PMU member.</p> <p>EA/MEF monitoring and reviewing the conduct of procurements.</p> <p>No additional procurement staff required.</p>	<p>Copies of contracts with PMU.</p> <p>BEC and CEC reports. PRC minutes of meetings.</p> <p>-</p>
1.d	Delayed execution of schedules in the Procurement Plans and failure to track to procurement transactions.	High	Preparation of realistic annual Procurement Plan, tied to annual work plan and budget. EA/IAs will maintain Procurement Monitoring and Tracking Forms as defined in the SOP/PM, and take actions to address delays through additional consultant inputs, if necessary.	EA/IAs to prepare updated procurement plans and procurement tracking form.	Update procurement plan and monitor procurement tracking form during review missions as required	Procurement plan updated in August 2016. Procurement Monitoring & Tracking Forms maintained.	Updated Procurement Plan. Filled out Procurement Monitoring & Tracking Forms.
1.e	Informal payments by contractors, suppliers and consultants	High	All contractors, suppliers and consultants – firms or individuals, national and international – bidding for contracts under the project shall sign the Declaration on Ethical Conduct and Fraud and Corruption in the SOP/ procurement manual.	EA/IAs and MEF	Throughout Project duration	Signed DFECs included in bids.	Signed DFECs.
<b>Element 2: Financial Management</b>							
2.a	Weak internal controls	High	EA/IAs to follow the financial management procedures specified in: (i) the Project Financing Agreement; (ii) the government's	EA/IAs; MEF to ensure compliance with	Throughout Project duration	Specified fin'l. management procedures	Quarterly Report and PMU reports to MEF and ADB.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
			SOP and FMM.	SOP/ FMM, Loan Agreement and ADB's Anticorruption Policy		followed since 31 Dec 2015 and ongoing.	
2.b	Weak financial management capacity	High	EA/IAs to receive continued hands-on training from consultants recruited under the project. The SOP/FMM will be used under the project, as well as relevant provisions of the Loan Agreement and ADB's guidelines on procurement and consulting services.  Project to closely monitor and review financial management conduct and make necessary improvements as required.	EA and IAs and ADB  EA and IAs	Throughout Project duration, conducted as a part of capacity building activities in the project	Hands-on-training ongoing. CapDev training scheduled.  Monitoring & review since Dec 2015 and ongoing	CapDev Plan and training modules.  Supported by Financial Management Specialist
2.c	Minimize cash transactions	High	Project to make all progress payments to contractors, suppliers and consultants – firms, individuals, national and international – by check or transfer to bank accounts, and retain evidence for audit and donor supervision missions.	MEF, EA and IAs	Throughout Project duration	Payments by check or bank transfer complied and ongoing.	Project Financial Statements
2.d	Delayed or non-existent reconciliation of advances for operating costs and expenses	High	Project to reconcile advances for operating expenses to staff or field offices within one week of the end of each month.  No further advances to be paid until previous advance reconciled and cleared against documentary evidence.	EA and IAs	Throughout Project duration  Project director to monitor and ADB to verify during review missions.	Reconciliation of advances complied and ongoing.	Project Financial Statements
<b>Element 3 : Disclosure</b>							
3.a	Possible conflict of interest among Project staff	Extremely High	Project staff to disclose private and public affiliations or personal interest before becoming involved in any project-related transaction, such as contract award. EA to	EA/IAs to ensure all Project staff sign the disclosures	Throughout Project duration  Project director to ensure all project		



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
			prepare a declaration statement for staff's signature.		staff signs the disclosures.		
3.b	Inadequate transparency and disclosure	High	Project to agree information to be disclosed on the project and EA/IA websites biannually, with hard copies available for public inspection on request. At a minimum, the Project will disclose the information required by the Loan Agreement.	EA and ADB to agree the final list.  Project director to arrange disclosure	Throughout Project duration.	Development of project website to be completed in February 2017. Information will then be uploaded to the website.	Project website.
<b>Element 4: Complaints and Remedies Mechanism</b>							
5.a	Inadequate complaints and remedies mechanisms		Project to build well-defined complaints and remedies mechanism into project documents. Complaints procedures regarding procurement to follow process set out in Loan Agreement and SOP/PM.  Following established publication of evaluation and awards, debriefing mechanism is also necessary not only to enhance transparency but also for the losing bidders to know their weak points.	EA/IAs  EA and IAs in consultation with ADB	At effectiveness	To be complied with.  PMU provides all bidders with copies of the evaluation and awards through email.	-  Copies of emails from PMU
<b>Element 5: Code of Ethical Conduct</b>							
6.a	Poor enforcement of the Code of Conduct for civil servants		Project to provide copies of the relevant laws and articles on Code of Conducts for civil servants to all project staff, including contracted staff. Project will maintain signed declaration of receipt of these documents by all project staff, including contracted staff.  Similarly, all members of the procurement committee undertaking the evaluation shall sign the Declaration on Ethical Conduct.	EA and IAs	Throughout Project duration	The Department of Human Resources provides copies of Code of Conducts for Civil Servants to Ministry personnel upon employment.	Signed receipts available with the Department of Human Resources.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
<b>Element 6: Sanctions</b>							
7.a	Inadequate sanctions for fraudulent and corrupt activity by Project staff, contractors, suppliers and consultants		The Project to identify and apply sanctions available under current law and regulations of Cambodia, ADB's Loan Regulations, the Loan Agreement, and ADB's Procurement Guidelines and Consulting Guidelines. Sanctions for individuals may include transfer of duties, retraining, suspension, dismissal, re-grading, and prosecution under Cambodian Law. Sanctions for firms may include: termination of contract, debarment or blacklisting under ADB's Procurement Guidelines and Consulting Guidelines, or prosecution under Cambodian Law	EA and IAs, and in consultation with ADB	Effectiveness		
<b>Element 7: Project Specific Elements</b>							
7.a	Poor enforcement of contract terms and need to conduct contractors' performance evaluation		EA to ensure that contract terms are strictly enforced and the loan consultant will be a party to ensuring quality control of contract outputs, include acceptance of completion of works and services.	EA and IAs	Throughout Project duration	Contract terms for previous DED Consultant enforced, with the assistance of PISCD.	Evaluation of DED Consultant's output.
7.b	Poor quality of design and works construction		EA and IAs to ensure that approved infrastructure's design standards and specification developed by the respective agencies are utilized for the design of structures under the project.  Project to recruit experienced detailed design consultant on a timely basis to assist the project.	EA and IAs, and with ADB NOL	Throughout Project duration  Contract signed immediately after effectiveness	DED to be carried out by PISCD and CS Consultants.  DED to be carried out by PISCD and CS Consultants.	DED reports and bid documents.  V.O. no. 6 to PISCD contract, and CS contract.
7.c	Risk of low quality construction and		Project to recruit experienced site supervision consultants to assist EA/IAs..	EA and IAs, and with ADB NOL	Prior to award of first works contract.	Construction Supervision	CS contract document.



No.	Risk/Issue	Assessment without Mitigation	Action to Mitigated Risk	Responsibility	Target/Monitoring	Status as at (December 2016)	Supporting Evidence
	supervision		Regular technical audit is to be undertaken with any adverse findings to be acted upon immediately. Project to evaluate contractors' performance with poor performing contractors declared ineligible to bid for at least one year.	EA and IAs  EA and IAs, and with ADB NOL	Throughout Project duration.  Annually	Consultant recruited  To be complied during construction.  To be complied during construction.	-  -