

Social Due Diligence Report

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Uzbekistan: Integrated Urban Development Project

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ABBREVIATIONS AND GLOSSARY

ADB	Asian Development Bank
AHs	Affected households
APs	Affected persons
AM	Accountability mechanism
COVID	Corona Virus Disease
CRO	Complaint Receiving Officer
DED	Detail Engineering Design
DMA	District Metered Area
EA	Executing agency
GIS	Geographic Information System
GoU	Government of Uzbekistan
GPS	Geographic Positioning System
GRM	Grievance redress mechanism
GRC	Grievance resolution commission
Ha	Hectare
IA	Implementing Agency
IR	Involuntary resettlement
IT	Information Technology
IUDP	Integrated Urban Development Project
JSC	Joint Stock Company
km	Kilometer
LAR	Land acquisition and resettlement
LARP	Land acquisition and resettlement plan
LLC	Limited Liability Company
MIFT	Ministry of Investments and Foreign Trade
MSW	Municipal Solid Waste
NRW	Non-Revenue Water
O&M	Operation and Maintenance
PIU	Project Implementation Unit
PM	Person-month
PPP	Public Private Partnership
PVC	Polyvinyl Chloride
ROW	Right of way
SCADA	Supervisory Control and Data Acquisition
SCEEP	State Committee on Ecology and Environmental Protection of Uzbekistan
SDDR	Social due diligence report
SPS	Safeguard Policy Statement
SUE	State Unitary Enterprise
SWM	Solid Waste Management
TA	Technical Assistance
TRTA	Transitional Technical Assistance
USD	United States Dollars
UZS	Uzbekistan currency “Soum”
Hokimiyat districts	Local executive power in the regions and districts
Mahalla	Self-governance community bodies in villages
Toza Hudud	National solid waste company
Djizzak Suvtaminoti	National water supply company

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EXECUTIVE SUMMARY

1. **Background.** This Social Due Diligence Report (SDDR) is prepared under the proposed loan to the Republic of Uzbekistan: Integrated Urban Development Project that Asian Development Bank (ADB) is considering to finance. The project will provide inclusive, resilient, and sustainable urban services in four secondary cities (the project cities are Djizzak, Khiva, Havast, and Yangier)¹ experiencing low livability and lagging economic growth exacerbated by the coronavirus disease (COVID-19). It will demonstrate integrated development, pilot innovative solutions, and strengthen local government capacity for “building back better.”² These measures will (i) enhance quality of life, reduce inequalities, and create jobs targeting women; (ii) strengthen resilience and economic recovery, particularly in the tourism sector; and (iii) increase the coverage, quality, efficiency, and reliability of urban services. The project is aligned with the government’s national development strategy 2017–2021³ and Presidential Decree No. 5623, 4 which aim to accelerate growth and reduce poverty through improved urbanization and balanced regional development.

2. The project impact and outcome are followings: Impact: Sustainable urbanization and welfare of the urban population enhanced (Government of Uzbekistan, Presidential Decree 5623, 2019)⁴; and Outcome: By 2030 Access to inclusive, resilient, and sustainable urban services in secondary cities enhanced. The project has the following outputs:

- Outputs 1. Inclusive municipal and tourist infrastructure and services provided.
- Output 2. Climate-resilient drinking water, sanitation, and solid waste services enhanced with smart systems.
- Output 3. Urban governance, institutional capacity, and livelihood support strengthened.

3. **Project scope description.** The project has the following subprojects in four cities, summarized below and in detail presented in the main body of the SDDR:

Havast City

- (i) New 6 ha green open space with livelihood training and multifunctional community center with training facility.
- (ii) Transfer station (solid waste) for Yangiyer and Havast.

Djizzak City

- (iii) Area-based urban upgrading of three mahallas (Ittifoq, Dustlik, Yoshlik).
- (iv) Smart water and sanitation pilot in the three mahallas (Ittifoq, Dustlik, Yoshlik).
- (v) Modernizing and improving bulk water supply and distribution system for Djizzak city.
- (vi) Hygiene measures to address COVID-19.
- (vii) Water supply operational improvements.

¹ The government requested the ADB to demonstrate international practices in integrated urban development. The four project cities were selected by the government as a representative slice of secondary cities in terms of size, geographic coverage, and strategic potentials: Khiva, a tourist city (92,400); Djizzak, a growing industrial hub (177,000); Havast (28,437); and Yangier (43,600), neighboring cities with strong agglomeration potential. The government aims to replicate lessons from the project in other secondary cities across the country.

² ADB. 2020. Livable Cities: Post-COVID-19 New Normal. Manila.

³ Government of Uzbekistan. 2017. Presidential Decree No. 4947. On Strategy of Actions for Further Development of the Republic of Uzbekistan. Tashkent.

⁴ Government of Uzbekistan. 2019. Presidential Decree No. 5623. On measures to fundamentally improve the process of urbanization.

Khiva City

- (viii) New visitor information center with digital museum.
- (ix) New Polvon Canal greenway.

All 4 cities:

- (x) Waste minimization and 3R campaign.
- (xi) Strengthening urban governance in Hokimiyats
- (xii) Improving waste collection systems.
- (xiii) Behavior change and public awareness raising campaigns.

4. **Land Acquisition and Resettlement (LAR) Due Diligence.** The following LAR due diligence activities have been conducted based on the preliminary detail engineering design during the project preparation stage:

- (i) Review of the project technical reports available at the project preparation stage,
- (ii) Discussions of the project scope, the planned construction works and the summary of requirements of ADB Safeguard Policy Statement (SPS 2009) with the MIFT PIU and the TRTA technical team;
- (iii) Site visits and examination of the project sites and adjacent areas;⁵
- (iv) Review of the project areas through Google Earth;

5. As per impact assessment, it is confirmed that only the subproject **(v) Modernizing and improving Djizzak City bulk water supply system** will cause LAR impacts from “Rehabilitating 9.4km water conduit from Amir Timur water intake to Sanzar water intake (Ø600mm, steel pipe) and 3.1km to Djizzak city (Ø700mm, steel pipe) with with electrochemical protection (total 12.5 km)”. Accordingly, a draft Land Acquisition and Resettlement Plan (LARP) is prepared for this subproject, hence this SDDR will not discuss about the identified LAR impacts. All the other subprojects are not expected to cause any LAR impact based on the assessment conducted at project preparation stage. This Social Due Diligence Report (SDDR) is prepared to confirm the LAR impact is not identified on subprojects listed below.

Havast City

- (i) New 6 ha green open space with livelihood training and multifunctional community center with training facility.

Djizzak City

- (ii) Area-based urban upgrading of three mahallas (Ittifoq, Dustlik, Yoshlik).
- (iii) Smart water and sanitation pilot in the three mahallas (Ittifoq, Dustlik, Yoshlik).
- (iv) Hygiene measures to address COVID-19.
- (vi) Water supply operational improvements.

Khiva City

- (vii) New visitor information center with digital museum.
- (viii) New Polvon Canal greenway.

All 4 cities

- (ix) Waste minimization and 3R campaign.
- (x) Strengthening urban governance in Hokimiyats
- (xi) Improving waste collection systems.
- (xii) Behavior change and public awareness raising campaigns.

⁵ Site visits under the TRTA have been conducted from February to October 2021, and in February 2022.

6. The SDDR shall be updated based on the final detailed engineering design (DED) for every subproject (and their components/parts) listed in paragraph 5 above. In case LAR impact will be identified in any of these subprojects following the final DED for each component/part of each subproject, a LARP shall be prepared for such subprojects.

7. **Institutional Arrangement.** The Ministry of Investment and Foreign Trade (MIFT) is the executing agency (EA). The project will be coordinated through its Center for the Development of Investment Projects, and implemented through its Project Implementation Unit (PIU). The MIFT as an EA has overall responsibility and decision-making role for timely implementation in accordance with the loan agreement; MIFT Center for the Development of Investment Projects will be responsible for: (i) facilitating inter-ministerial and local coordination; (ii) project monitoring, troubleshooting key issues, and focal point for ADB official meetings and missions; (iii) endorsing withdrawal applications; (iv) approving procurement plans, bidding documents, bid evaluation, and contract awards following ADB and Government of Uzbekistan requirements. The MIFT PIU will plan and implement resettlement tasks, prepare, and implement LARP upon ADB's approval, and ensure involuntary resettlement safeguards compliance, grievances management, public consultations, and information disclosure, and monitoring and reporting to ADB and other government agencies. The MIFT will have a Social Safeguard Specialist to ensure timely implementation of involuntary resettlement safeguard tasks. There will be four PIU Field Coordinators in Khiva (1), Djizzak (2), and Havast and Yangier (1). The PIU Field Coordinators will facilitate implementation coordination at the city level, and monitoring and reporting the subprojects implementation progress, including resettlement tasks and safeguards together with PMSC team. There will also be a City Level Project Steering Committee comprised of city level project stakeholders to oversee the project progress and ensure timely implementation (Figure 3 in main text). There will be project stakeholders including Hokimiyats, Uzsuvtaminot JSC, Suvtaminot Limited Liability Company (LLC), SCEEP, Toza Hudud to ensure their active involvement during the project implementation.

8. **Grievance Redress Mechanism.** A project-level Grievance Redress Mechanism (GRM) is prepared following ADB SPS (2009) and national law⁶ and practices in Uzbekistan, to address and resolve any grievances and inquiries that people may have during the project implementation. The MIFT PIU will formalize the proposed GRM after the project approval and inform people in the project area and AHs, about it through public consultations and other information disseminations methods following the national COVID-19 safety protocols.

9. **Information Disclosure and Public Consultations.** The MIFT PIU with support of TRTA consultants have conducted information disclosure and public consultations with the project stakeholders such as cities authorities and AHs considering COVID-19 restrictions. The MIFT PIU will ensure continuous information disclosure and meaningful consultations with the project communities and AHs throughout the project implementation following the country's COVID-19 safety protocol. This SDDR will be disclosed in ADB website. ADB will also disclose the draft LARP prepared for the subproject with LAR impact in its website and requires the MIFT PIU to disclose these safeguard documents in its website too. The summary content of the draft LARP will be disseminated to AHs.

10. **Monitoring and Reporting.** The MIFT PIU will ensure safeguard monitoring and submit semi-annual monitoring reports (SMRs) to ADB during the project implementation. Social safeguards covenants will be included in the Contractor's contract and the MIFT PIU with its consultants will monitor their compliance status.

⁶ Law "On appeals of individual persons and legal entities" (#ZRU-378, 03 December 2014).

11. **Conclusions.** Based on the conducted due diligence, the subprojects covered in this SDDR are not anticipated to cause LAR impact. As one of the subprojects, **(v) Modernizing and improving Djizzak City bulk water supply system**, will cause insignificant temporary LAR impact which is addressed by a draft LARP, the project is assessed as Category B for involuntary resettlement safeguards as per ADB SPS (2009). There are no indigenous peoples (IP) in the project area as defined in ADB's SPS (2009) and the project is treated as Category C for the IP safeguards. This SDDR is prepared in the project preparation stage, and following the draft DED and preliminary designs, therefore it will be updated after final DEDs are prepared for each subproject. In case any LAR impacts are identified in these subprojects following the final DEDs, LARP shall be prepared for the subprojects with LAR impacts following ADB SPS 2009 and laws of Uzbekistan instead of SDDR. Contract awards for any subprojects are conditional to ADB's clearance of final DED-based LARP and SDDRs. Commencement of works for subprojects with LAR impact is conditional to the full implementation of the approved final LARP.

I. INTRODUCTION

A. Background

1. This Social Due Diligence Report (SDDR) is prepared for the proposed Loan: Republic of Uzbekistan: Integrated Urban Development Project that Asian Development Bank (ADB) considering to finance. The project will provide inclusive, resilient, and sustainable urban services in four secondary cities (Djizzak, Khiva, Havast and Yangier)¹ experiencing low livability and lagging economic growth exacerbated by the coronavirus disease (COVID-19). It will demonstrate integrated development, pilot innovative solutions, and strengthen local government capacity for “building back better.”² These measures will (i) enhance quality of life, reduce inequalities, and create jobs targeting women; (ii) strengthen resilience and economic recovery, particularly in the tourism sector; and (iii) increase the coverage, quality, efficiency, and reliability of urban services. The project is aligned with the government’s national development strategy 2017–2021³ and Presidential Decree No. 5623, 4 which aim to accelerate growth and reduce poverty through improved urbanization and balanced regional development.

2. The Ministry of Investment and Foreign Trade (MIFT) will be the Executing Agency (EA). The project will be coordinated through its Center for the Development of Investment Projects, and implemented through its Project Implementation Unit (PIU).

3. The project is aligned with the following impact: sustainable urbanization and welfare of the urban population enhanced. The project has the following outcome: access to inclusive, resilient, and sustainable urban services in secondary cities enhanced.

4. **Outputs 1. Inclusive municipal and tourist infrastructure and services** provided. The project will: (i) develop a new 6 hectare (ha) public park in Havast with multifunctional community center including public library and livelihood training facility to support skills development for small and medium-sized enterprises targeting women; (ii) construct a new two-story multifunctional visitor center in Khiva featuring Uzbekistan's first digital museum showcasing Silk Road-themed heritage, and with and include women-friendly facilities, and bicycle rental;⁴ (iii) create a new 2.4 kilometer (km) linear public greenway in Khiva linked to the new visitor center along an existing drainage irrigation canal with cycle and pedestrian paths, green space, street furniture, signage, and playgrounds; and (iv) demonstrate holistic area-based development in three underserved communities (mahallas) (Ittifoq, Dustlik, Yoshlik) in Djizzak through the integrated development of street corridors including surfaces, drainage, pavements, lightings, pedestrian sidewalks, public open spaces including with neighborhood parks and playgrounds, and a bus stand, and include water supply and sanitation improvements (see Output 2). All facilities will be designed with universal access for persons with mobility impairments and feature women-friendly designs. Assets under Output 1 will be owned and operated by local governments.

¹ The government requested ADB to demonstrate international practices in integrated urban development. The four project cities were selected by the government as a representative slice of secondary cities in terms of size, geographic coverage, and strategic potentials: Khiva, a tourist city (92,400); Djizzak, a growing industrial hub (177,000); Havast (28,437); and Yangier (43,600), neighboring cities with strong agglomeration potential. The government aims to replicate lessons from the project in other secondary cities across the country.

² ADB. 2020. *Livable Cities: Post-COVID-19 New Normal*. Manila.

³ Government of Uzbekistan. 2017. Presidential Decree No. 4947. On Strategy of Actions for Further Development of the Republic of Uzbekistan. Tashkent.

⁴ The visitor center, located near the rail station, will complement the ADB rail electrification project between Bukhara and Khiva to boost tourist arrivals. Women-friendly travel services include information on safety and security.

5. Output 2. Climate-resilient drinking water, sanitation, and solid waste services enhanced with smart systems. In Djizzak city the project will (i) support universal coverage of basic water supply and sanitation (WSS) services in three underserved mahallas (Ittifoq, Dustlik, and Yoshlik) through the development of around 21 km of distribution networks metered house connections, construction of around 14 km of sewerage networks with house connections,⁵ and a smart water pilot demonstrating NRW management in six new district metered areas;⁶ (ii) improve the bulk water supply transmission, distribution, and monitoring system for Djizzak city through the development of around 12.5 km of a bulk water transmission pipelines and, around 27 km of distribution pipelines, installation of ultrasonic bulk water meters, energy efficient variable frequency controlled pumps, water disinfection systems, new pressure regulators and air vent valves, and improve two intake facilities (chlorination equipment, fencing), installation of a Supervisory Control And Data Acquisition (SCADA) system to optimize remote monitoring of water production, establishment of a Geographic Information System (GIS) hydraulic model for the Djizzak city-wide water supply network, implementation of an asset management system, energy audit, and purchase O&M equipment. In the four cities, the project will implement a WASH+H program by providing toilet and handwashing facilities at public spaces complemented by behavior change and awareness campaigns).⁷ The project will enhance solid waste management services in the four cities as follows: (i) provide collection equipment and waste containers, (ii) expand waste collection through construction of total 25 community collection points in Yangiyer and Havast;⁸ (iii) construct a shared transfer station for Havast and Yangiyer located in Havast, and (iv) implement a public awareness campaign on waste minimization and recycling in all four cities. Assets under Output 2 will be operated by the respective utility operators.

6. Output 3. Urban governance, institutional capacity, and livelihood support strengthened. The project will provide a structured capacity development program to improve sustainability, operational efficiency, and services delivery in the four project cities. The four city governments will receive comprehensive training in integrated urban development including strategic development planning and, budgeting, municipal finance, asset management, O&M, planning and budgeting, municipal finance, e-governance, citizen participation, and private sector cooperation, citizen participation, and livelihood programs. The water operator in Djizzak and the solid waste operators in the project cities will receive training in key areas of utility management including service standards, digital tools, service standards, operational efficiency, O&M, asset management, business development, financial management, and bill and collection, and customer services. The solid waste operators and communities will be exposed to waste minimization and 3R awareness campaigns. This output will also support customized livelihood and skills trainings programs, including in tourism, among others, other areas to support local businesses in the project area targeting women and youth. Output 3 will be supported by the urban governance and institutional strengthening consultants, and TA experts in areas of municipal finance, tourism, and livelihood development.⁹

⁵ The water and sanitation investments in the three mahallas are part of the comprehensive area-based development approach supported under Output 1, and will benefit 4,598 households (2,620 Ittifoq, 926 Dustlik, 1,052 Yoshlik).

⁶ The smart water pilot will be implemented in close coordination with the proposed United States Trade and Development Agency (USTDA) grant-funded pilot on digital twin technology for remote monitoring of pressure and leaks in the pilot area. This USTDA pilot is a scaling up of a successful demonstration activity supported by a grant under ADB's Digital Innovation Sandbox Grant Program (2020-2021) in Tashkent Province.

⁷ ADB. 2020. [Technical Assistance for the COVID-19 Infection Prevention and Control through an Integrated Water, Sanitation, Hygiene, and Health Approach](#). Manila (TA 6612-REG). This TA will support an awareness building and behavior change communications program in the project cities. Toilet facilities will be maintained by building owners or city government.

⁸ The government confirmed waste collected in the four cities will ultimately be disposed in new regional landfills being planned in parallel with commissioning tentatively planned around the time of the project completion.

⁹ ADB. 2020. [Support to the Implementation of Strategy 2030 Operational Plans](#). Manila (TA 6574-REG). Supports capacity building in municipal finance and financial sustainability in the project cities. Other TA support for Output 3 in areas of tourism and livelihood support will be provided by the RCIF-funded TA (para 22).

B. LAR Due Diligence Approaches

7. The project includes ten subprojects (Section II) and only one found to cause land acquisition and resettlement (LAR) impact. Following LAR due diligence have been conducted based on the preliminary detail engineering design during the project preparation stage:

- Review of the project technical reports available at the project preparation stage;
- Discussions of the project scope, the planned construction works, the findings of the LAR due diligence and requirements of ADB SPS 2009 with the MIFT PIU and the technical TRTA team;
- Review of the project areas through Google Earth; site visits and examination of the project sites and adjacent areas (during February 2021 to February 2022).¹⁰

8. The findings of the LAR due diligence are discussed in Section III.

II. PROJECT SCOPE DESCRIPTION

9. The project has the following subprojects in Havast, Djizzak, Khiva and Yangier cities prepared at the project feasibility study and will be further detailed during the engineering survey and design stage:

Havast City

- (i) **New 6 ha green open space with livelihood training and multifunctional community center with training facility.** This subproject will convert an existing unused open area in central Havast into an attractive 6 ha community green space to improve urban livability and attractiveness for residents, businesses, and visitors. The new public space will introduce walking/cycling paths (1.2 ha), administrative space (0.30 ha); zones for cultural and educational events (0.9 ha); children's leisure zones (0.75 ha); sports (1.4 ha); public areas (0.5 ha); zones for passive and quiet rest (0.95 ha). The park will be designed with universal access for people with disabilities and the elderly and will feature women-friendly facilities such as street lighting, women's washrooms and by maintaining clear sight lines throughout the park. The park will feature LED lighting for energy efficiency. The design also includes an access road (1.2 km) connecting the park to the main road. A two-story multifunctional training, co-working and community center of 1,100 m² will be located in the park to support livelihood and skill development for small and medium-sized businesses targeting women and youth. The center will be universally accessible and designed with green building principles for energy, water, and materials efficiency.¹¹ Both the park and training center will be owned and operated by the hokimiyat. This subproject will benefit the entire population of Havast (28,400 people).

¹⁰ The national resettlement safeguard specialist under the TRTA had number of visits to all subproject's sites. Due to COVID-19 pandemic restrictions, international resettlement safeguards specialists could not visit the sites physically, but collected/reviewed photo and video materials of the project areas with GPS coordinators.

¹¹ Green building features includes: i) maximize use of natural light, ii) LED lighting, iii) double pane windows, iv) energy efficient boilers, v) ventilation, and vi) centralized Variable Refrigerant Flow (VRF) system (technology that circulates only the minimum amount of refrigerant needed during a single heating or cooling period).

- (ii) **Transfer station in Yangier and Havast.** This subproject will support the construction of a solid waste transfer station located in Havast,¹² from which solid waste collected in Yangier and Havast is transferred to large waste transfer vehicles with trailers and then taken to an existing regional dumpsite in Mirzabad.¹³ The transfer station will be located on the premises of the existing Havast dumpsite, and no LAR impact is expected. The transfer station will be jointly operated by the Yangier and Havas Toza Hudud city branches. The transfer station will be equipped with 2 hook lift trucks, 12 containers and 1 front-end loader.

Djizzak City

- (iii) **Area-based urban upgrading of three mahallas (Ittifoq, Dustlik, Yoshlik).** The subproject will demonstrate holistic area-based community development in three underserved mahallas with poor infrastructure services and public space. The project will improve livability through the improvement of: (i) street corridors (7.3 km in Ittifoq, 19.5 km in Dustlik, 2.5km in Yoshlik) including surfaces, drainage pavements, lightings, pedestrian sidewalks; (ii) public open spaces including children playgrounds, sport facilities, open space, neighborhood parks and surfaced footpaths (4.5 ha open space, 0.92 km of footpaths in Ittifoq, 1.1 ha open space in Dustlik, 2.8 ha open space and 1.2 km of footpaths in Yoshlik); and (iii) an existing small bus terminal in Ittifoq. All pedestrian and public space areas will be designed to support universal access for people with disabilities and elderly, and a safe environment for women including streetlights. This subproject will benefit 5,032 households (3,050 Ittifoq, 890 Dustlik, 1,092 Yoshlik). All facilities will be owned and operated by the hokimiyat.
- (iv) **Smart water and sanitation pilot in the three mahallas (Ittifoq, Dustlik, Yoshlik).** This subproject will support: (i) reconstruction of 4.29 km of water supply distribution networks (Ø50-225mm) with household connections to 69 multi-story buildings (1,380 households) and 30 single-family houses in Ittifoq; (ii) construction of 16.69 km of water supply distribution network (Ø30-160mm) and household connections to 3 multi-story buildings (60 households) and 890 single-family houses in Dustlik, and; (iii) construction of 14.13 km of sewerage pipelines (Ø160-630mm) and house connections for 600 households in Dustlik. A smart pilot will be implemented to demonstrate international good practice in reducing non-revenue water through a District Metered Area (DMA) approach involving the installation of inlet chambers, valves, smart bulk water, and mechanical consumer meters to create 6 DMAs in the project mahallas. All facilities will be owned and operated by the Djizzak Suvta'minoti, LLC. This subproject will benefit 4,376 households (2,620 Ittifoq, 704 Dustlik, 1,052 Yoshlik).
- (v) **Modernizing and improving bulk water supply system for Djizzak city.** This subproject will support universal and smart metering of piped water consumption and includes (i) rehabilitating 9.4km water conduit from Amir Timur water intake to Sanzar water intake (Ø600mm, steel pipe) and 3.1km to Djizzak city (Ø700mm, steel pipe) with electrochemical protection; (ii) rehabilitating 22.2 km and constructing 5.21 km of distribution pipelines varying from Ø160-710mm,

¹² The transfer station will be located on the premises of the existing Havast dumpsite, and will be jointly operated by the Yangier and Havas Toza Hudud city branches.

¹³ SCEEP confirmed plans to upgrade the regional dumpsite in Mirzabad into a sanitary landfill before 2028. It is currently seeking funding from international donors through MIFT.

including 15 pressure regulators and 22 air valves, in central Djizzak; (iii) implement a Supervisory Control And Data Acquisition (SCADA) system to optimize remote monitoring of water production; (iv) support installation of automation equipment at Amir Timur and Sanzar intakes, 5 water distribution centers, 4 local wells and 1 booster pumping station, installation of 72 smart bulk water meters, installation of frequency controlled pumps and water disinfection system at 4 wells; (v) establish a Geographic Information System (GIS) and hydraulic model for the Djizzak city-wide water supply network; (vi) implement an Asset Management System; (viii) conduct Energy Audits; (viii) purchase of Operation and Maintenance Equipment (2 emergency recovery vehicles, 2 excavators, 1 truck mounted crane, 1 dump truck, 1 mini bus, 2 Dmas Labo, 1 trialed pneumatic mobile air compressor, PVC welding equipment, 1 pipe detector, 1 mobile power generator, 1 welding machine); and (ix) construction of fencing for Amir Timur water intake, and; (x) repair of chlorination equipment for Sanzar water intake.

- (vi) **Hygiene measures to address COVID-19.** This subproject will construct 5 public toilets in public areas. These physical measures will be complemented by behavior change awareness campaigns.
- (vii) **Water supply operational improvements.** To strengthen the operational efficiency capacity the project will support: (i) training courses on organizational management, financial, asset and quality management for Uzsuvtaminot JSC; (ii) staff vocational training on use of SCADA, GIS and energy efficiency auditing, and on-the-job training on NRW management (leak detection, DMA management), preventive maintenance and emergency response, and modern financial management for targeted staff at Djizzak Suvtaminoti, and; (iii) development of a water safety plan, grievance redress mechanism, and performance based corporate business plan for Djizzak Suvtaminoti.

Khiva City

- (viii) **New visitor information center with digital museum.** The subproject will construct a two-story multifunctional visitor center of 3,500-4,000 m² with information desk, offices, retail and food and beverage space, and handicraft demonstration outlets. The center will also feature Uzbekistan's first digital museum showcasing Khiva's Silk Road heritage. The center will be complemented by a vehicle parking area (100 spaces), bicycle rental facility (50 bikes), an access road and ornament landscaping. The parking facility design includes solar power, water recycling facilities and will provide universal access for people with disabilities and elderly, and women friendly facilities such as women's washrooms and nursing facilities.
- (ix) **New Polvon Canal greenway.** The subproject will convert an existing 2.4 km stretch of the Polvon drainage canal embankment into a new recreational greenway with: (i) 1.1 m wide cycle and 2.2 m wide pedestrian paths at both sides of the canal; (ii) green space (lawns, trees, flowers, irrigation); (iii) street furniture (including decorative lamp posts, benches and urns in traditional style); (iv) tourist friendly signage; (v) a multifunctional recreational open space with a football field (798m²), tennis court (448m²), basketball court (448m²), children playground (211m²), and an administrative building (260m²) with changing rooms, washbasins, coaching room, and showers; (vi) 2 footbridges of 10 by 1.5

m, and; (vii) 2 observation bridges of 10 by 9 m; (viii) 1 workout and kids playground, and; (ix) fencing along the canal. The greenway will be universally accessible for people with disabilities and elderly and will feature tree planting for shading, and water retention and women friendly facilities such as street lighting, clear signage, and women's washrooms.

All 4 cities

- (x) **Waste minimization and 3R campaign.** Expose SCEEP and Toza Hududs to international best practices in implementing waste minimization and 3R (reduce, reuse, and recycle) awareness raising campaigns. **All 4 cities: Gender, social inclusion and livelihood support.** To address structural causes of gender inequality and gender-based discrimination the project supports implementation of a Gender Action Plan in all cities. The project will also support conduct of tourism operational skills training for entrepreneurs in Khiva and conduct livelihood enhancement training for local entrepreneurs in Havast.
- (xi) **Strengthening urban governance in Hokimiyats.** The project will support the following capacity building of all four project hokimiyats: (i) urban management executive training for senior hokimiyat officials (mayors/deputy mayors); (ii) project and financial management, including IT e-governance solutions for targeted hokimiyat staff; (iii) urban development planning and management for relevant city, regional and national level staff; (iv) public realm property management training for Khiva and Havast beautification departments; (v) operational training for museum and visitor center operations in Khiva; (vi) development of citizen report cards and directory in all four cities; (vii) financial resource mobilization plan and user charges and non-tax revenue enhancement plans and training for participating cities and utilities; (viii) developing PPP strategies and engaging with the private sector, and; (ix) O&M and asset management training for municipal assets.
- (xii) **Improving waste collection systems.** This subproject will support the project cities with: (i) construction of new community collection points (7 in Havast, 18 in Yangiyer); (ii) purchase of waste containers varying from 250 to 1,100 liters and 6 cum (38 for Khiva, 679 for Djizzak, 814 for Havast and 696 for Yangiyer); (iii) purchase of vacuum sweeper trucks and waste compactor trucks (2 each for Djizzak, Yangiyer and Havast), and; (iv) purchase of 7 cum waste collection trucks (20 for Djizzak, 15 for Khiva, 17 for Havast and 5 for Yangiyer).
- (xiii) **Behavior change and public awareness raising campaigns.** This component is partially funded under ADB grant technical assistance (\$250,000)¹⁴ in the IUDP project cities and project costs under the Urban Governance and Institutional Strengthening consultant package. It will be based on stakeholder mapping and a project specific communications strategy, the project will support development and conduct of (i) campaigns on waste minimization and recycling, water conservation, environmental awareness, climate change, targeting communities

¹⁴ ADB. 2020. *Technical Assistance to the Republic of Uzbekistan COVID-19 Infection Prevention and Control through an Integrated Water, Sanitation, Hygiene, and Health Approach* Manila (TA 6612-REG).

in all four project cities particularly women; and (ii) project implementation related campaigns.

III. DUE DILIGENCE FINDINGS

10. As per LAR impact assessment, it was confirmed that only the subproject **(v) Modernizing and improving Djizzak city bulk water supply system** will cause LAR impacts from “Rehabilitating 9.4km water conduit from Amir Timur water intake to Sanzar water intake (Ø600mm, steel pipe) and 3.1km to Djizzak city (Ø700mm, steel pipe) with with electrochemical protection (total 12.5 km)”. Accordingly, a draft LARP is prepared for this subproject, hence this SDDR will not discuss about the identified LAR impacts. All the other subprojects are not expected to cause any LAR impact based on the assessment conducted at project preparation stage. This SDDR is prepared to confirm LAR impact is not identified on all other subprojects discussed below.

A. Havast city

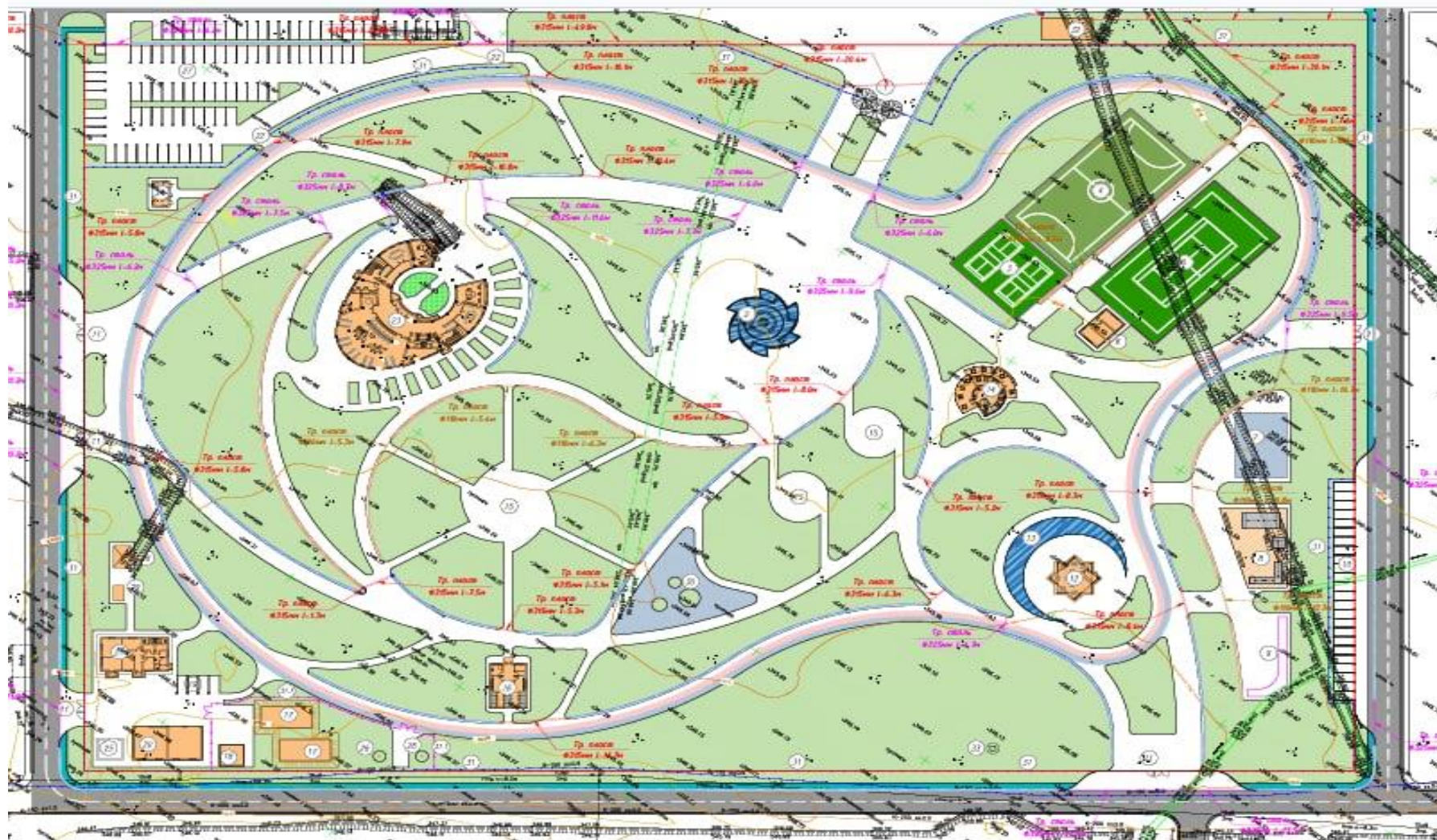
Subproject 1. New 6ha green open space with livelihood training and multifunctional community center with training facility

11. **Figure 1** shows the expected boundaries of the new park area and livelihood training center highlighted in green color with explanation of the park components. The layout plan of the training center is shown in **Figure 2**. The site visit conducted in March 2021 and February 2022 did not find any potential resettlement impact for construction of a new park and training center in Havast town. The land is state-owned and is not occupied or leased by anybody which was screened during the site visit and also confirmed by state land cadaster and Hokimiyat. The proposed access road (1.2 km), connecting the park to the main road is within the boundaries of the state land allocated for the park (on sides of the park as shown in Figure 2). There are no any private land users, buildings/structures, business, or agricultural activities on the proposed construction site to be impacted. The land is a barren land not suitable for agricultural activity. Site photos are in **Annex 1** for the new park and the training center.

Figure 1. Boundaries of the site for the new green open space with livelihood training and multifunctional community center with training facility



Figure 2. Plan of a new for the new green open space with livelihood training and multifunctional community center with training facility



Subproject 2. Transfer station for Yangiyer and Havast.

12. This subproject will support the construction of a solid waste transfer station located in Havast,²¹ from which solid waste collected in Yangiyer and Havast is transferred to large waste transfer vehicles with trailers and then taken to an existing regional dumpsite in Mirzabad.²² The transfer station will be located on the premises of the existing state-owned Havast dumpsite, and no LAR impact is expected. Site visits have been conducted, and no LAR impact identified (photos from dumpsite area in Annex 6). The transfer station will be jointly operated by the Yangiyer and Havas Toza Hudud city branches. The transfer station will be equipped with 2 hook lift trucks, 12 containers and 1 front-end loader.

B. Djizzak City

Subproject 3: Area-based urban upgrading of three mahallas (Ittifok, Dustlik, Yoshlik)

13. The subproject includes:

(i) Improvement of street corridors (7.3 km in Ittifok, 19.5 km in Dustlik and 2.5km in Yoshlik mahallas)

14. **Improvement of 7.3 km of street roads in Ittifok mahalla** will be on the existing asphalt-concrete road of Category V between the multi-story dwelling buildings (map of mahalla roads in **Figure 3**). The road has not been repaired for many years, about 30-40% of roads are destroyed and the rest has cracks, potholes, and pits of 25-30 cm deep and 3-4 meters in diameter, and about 50% of the existing trays and sidewalks are in bad condition. The existing roads' width is 6 m with LK-6 trays (for drainage) and sidewalks on both sides. The exact location, parameters and distribution of trays and sidewalks shall be defined by the detail design. Roads will be improved according to the "Typical section" concept with 6 m road width and sidewalks 1.5 m (**Figure 4**) as it is now. All improvement works will be within the existing road alignment and the road Category V will remain unchanged. LAR impact is not anticipated. There are public and private trees along roads and any impact on ant of trees will be defined based on the detail design. Photos from the project sites are in **Annex 2.1**.

15. **Improvement of 19.5 km of road corridors in Dustlik Mahalla.** This mahalla internal roads (**Figure 5**) are not asphalted, and transverse and longitudinal slopes of the footpath need correction. Mahalla "Dustlik" consists of one-story private houses and there are ditches on all streets to evacuate rain water. The ditches are located by the road, the distance between the ditches and the houses is at least 2-3 m. The roads improvements will be according to two design types. Type I (**Figure 6**) includes pavement and shoulder strengthening works using existing drainage ditches. It is intended for relatively narrow mahalla streets and installation of sidewalks and trays for drainage is not possible. Type II (**Figure 7**) is designed for wide mahalla streets, including the construction of roads, trays, and sidewalks. In some sections sidewalks can be installed and expected to lay "PTK 2.1.5.14" type slabs. To separate the road and sidewalk, it is expected to install "LK-6" type trays. As per visual inspections at project preparation stage, Type II will account for 15-20% of the mahalla. All improvement works are planned within the existing road alignment and the current road Category V will not change. No LAR impacts are found at this stage. There are public and private trees along roads and impact on trees not expected. Photos from the sites are in **Annex 2.2**.

²¹ The transfer station will be located on the premises of the existing Havast dumpsite, and will be jointly operated by the Yangiyer and Havas Toza Hudud city branches.

²² SCEEP confirmed plans to upgrade the regional dumpsite in Mirzabad into a sanitary landfill before 2028. It is currently seeking funding from international donors through MIFT.

Figure 3. Map of roads to be rehabilitated in Ittifoq mahalla

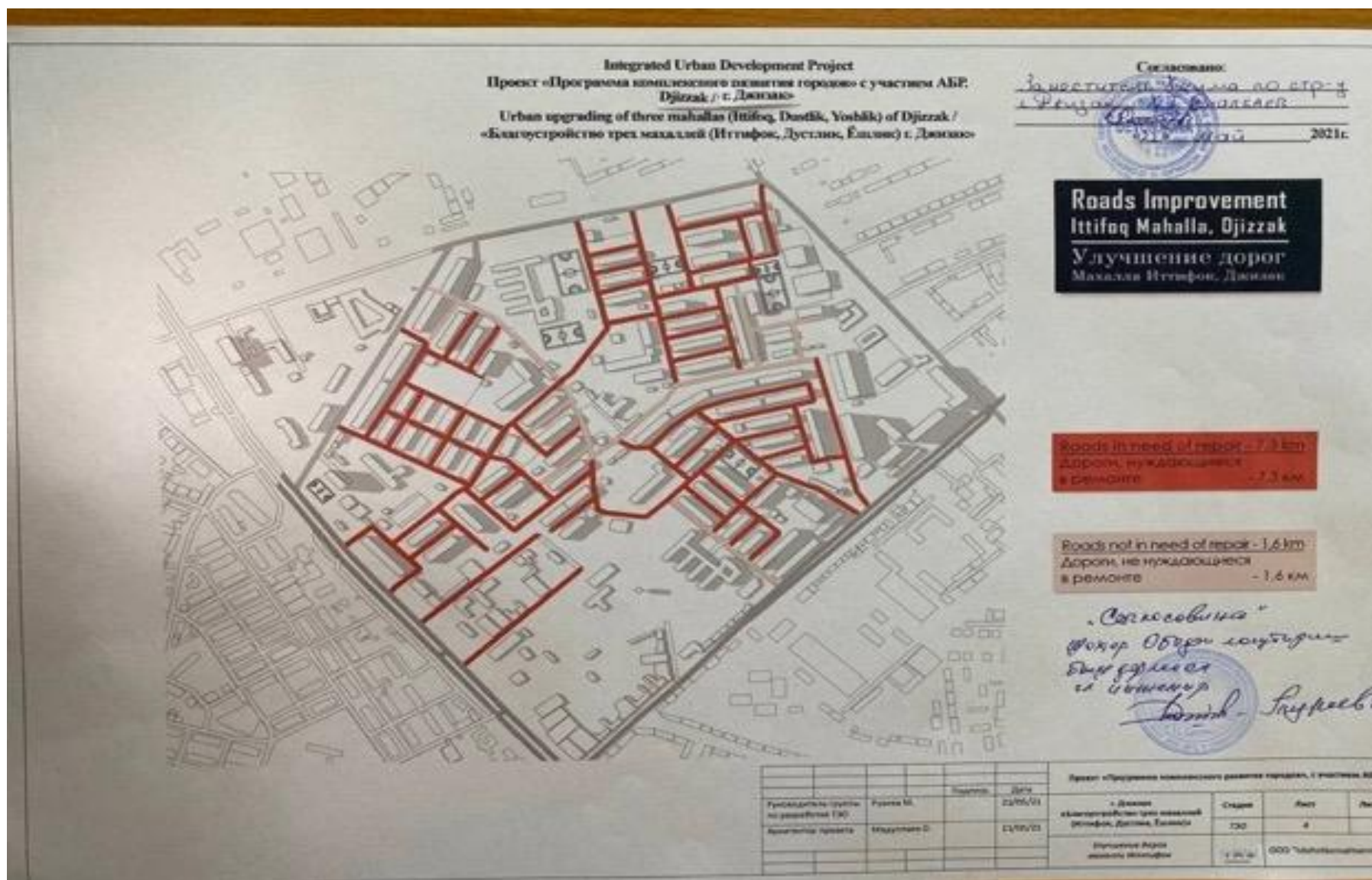


Figure 4. Proposed road improvement concept design for Ittifok mahalla

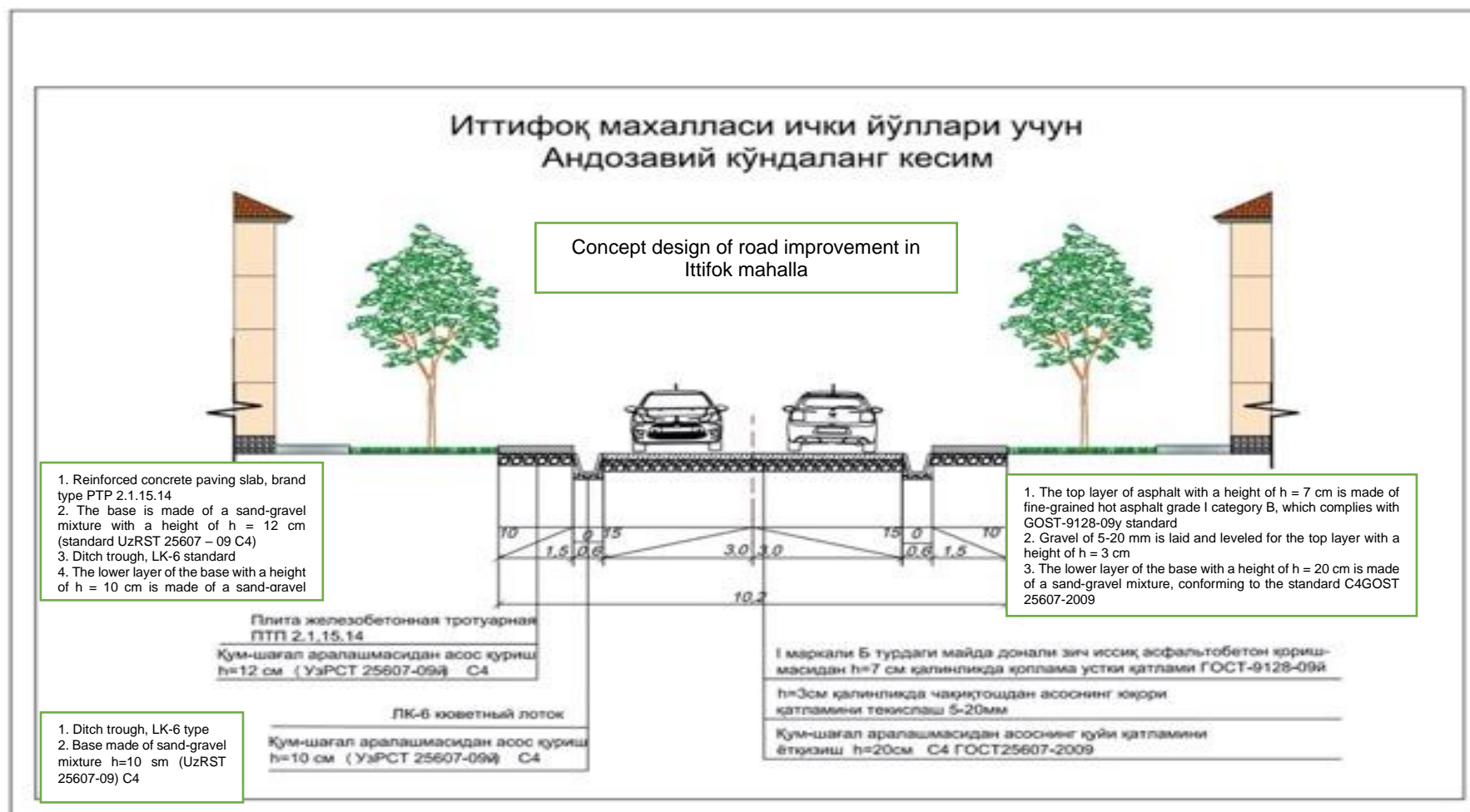


Figure 5. Roads in Dustik mahalla

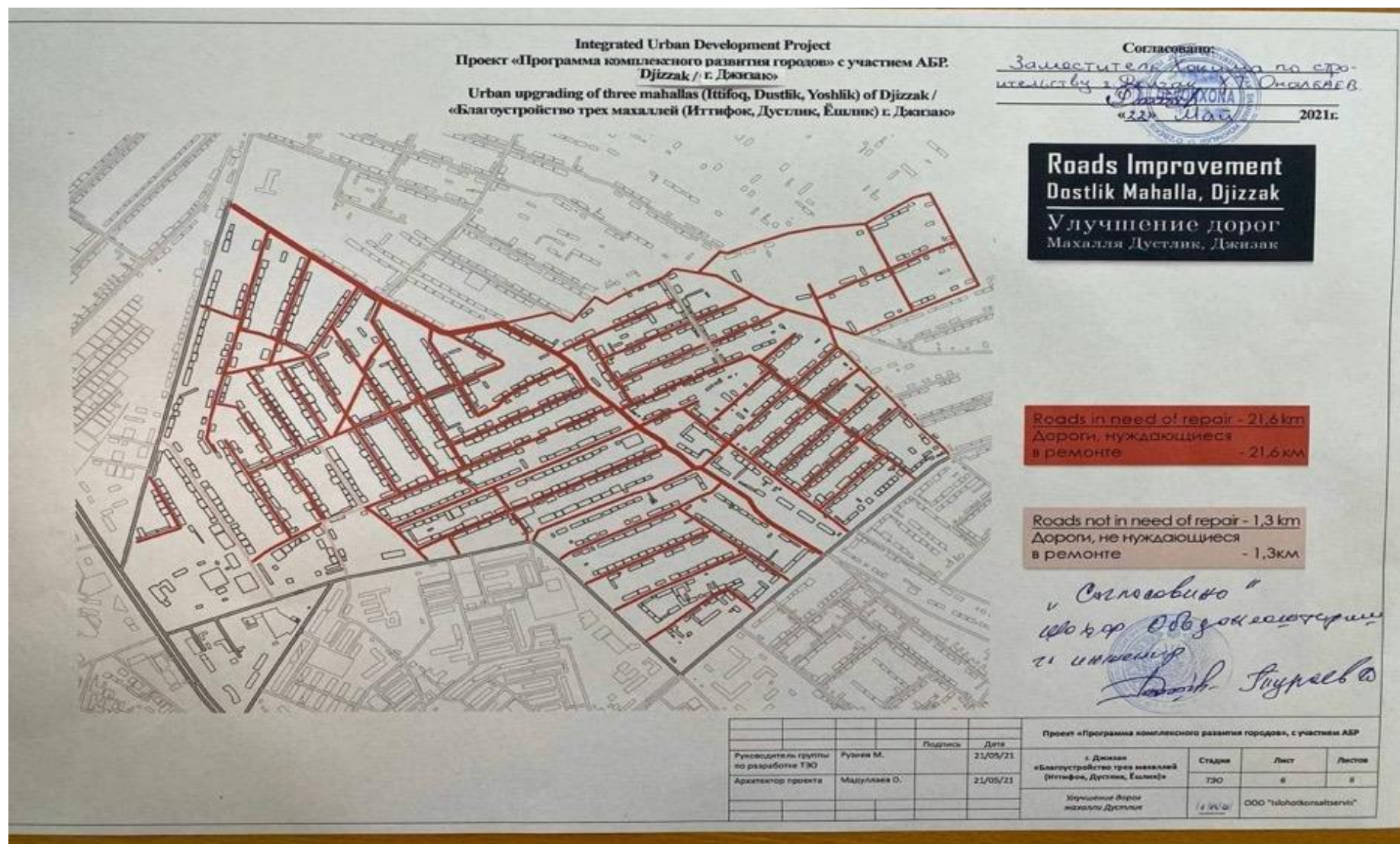


Figure 6. Road design concept Type I in Dustlik mahalla

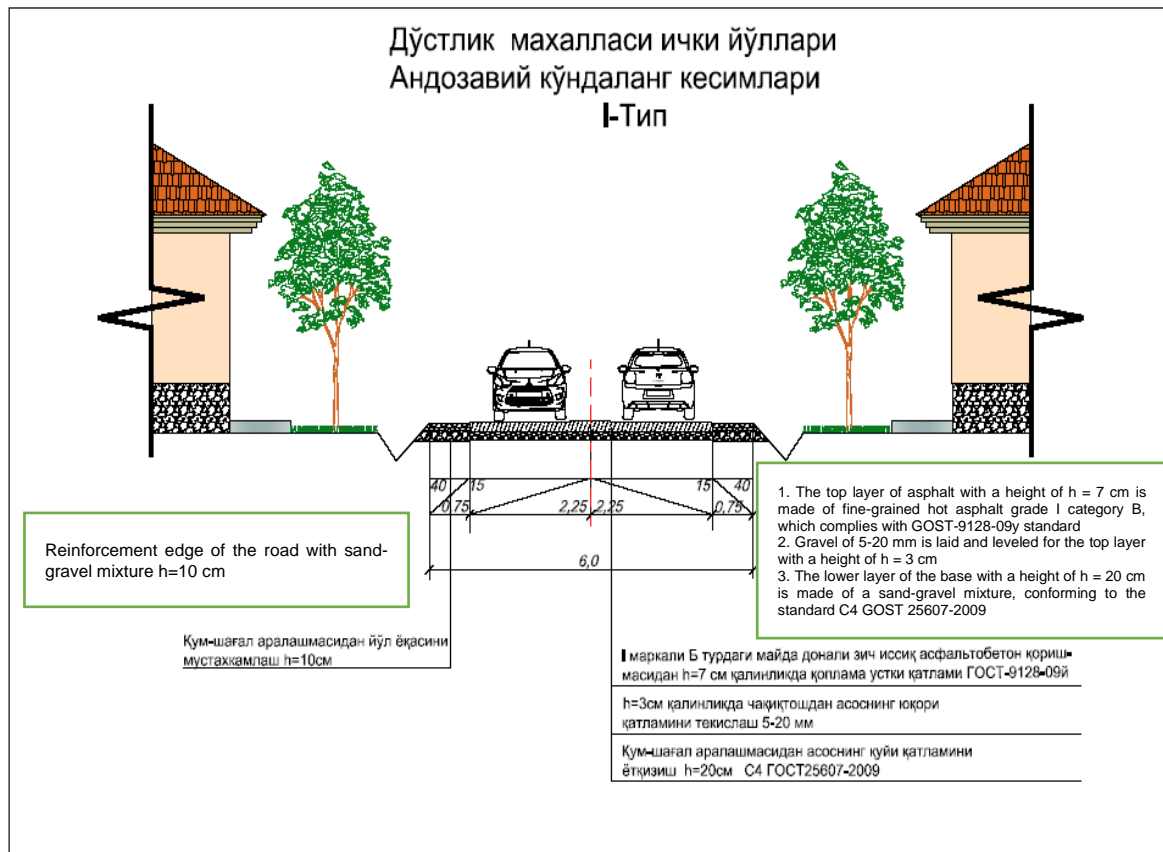
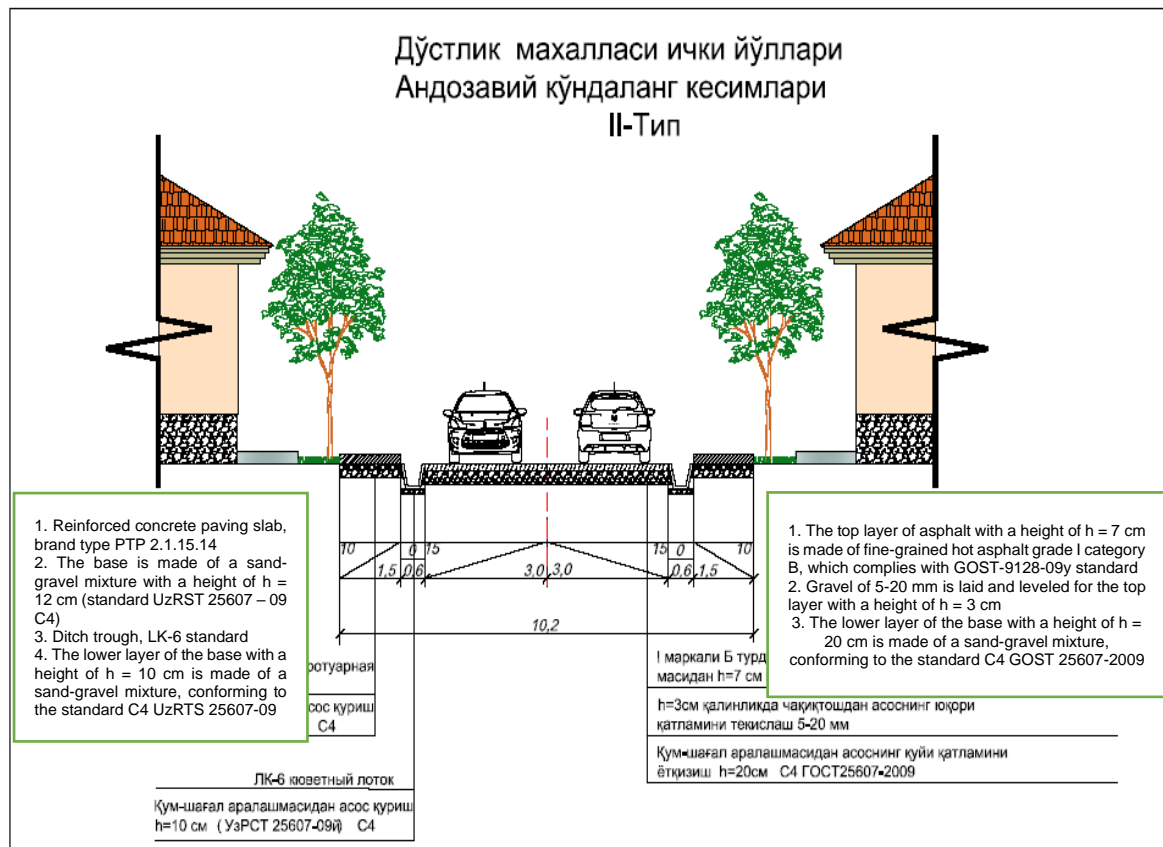


Figure 7. Road design concept Type II in Dustlik mahalla



16. **Improving 2.5 km of road corridors in Yoshlik mahalla.** The will improving existing asphalt-concrete internal roads in mahalla (**Figure 8**). Almost half of the existing roads have been repaired by local and national level authorities, and the project will repair the remained unrepaired 2.5 km that is in bad conditions (cracks, potholes and pits of 25-30 cm deep and 3-4 meters in diameter exist and sidewalks and trays are in bad condition too). The existing asphalt pavement should be cut with milling cutters, then using mechanisms to adjust the height and longitudinal slopes. The “LK-6” type trays and the existing unusable pavement of asphalt concrete will be replaced.

17. Mahalla "Yoshlik" has both multi-story buildings and one-story houses. It is proposed to use two “Typical Sections” roads design concepts for this area (**Figures 9-10**). The width of the road on the streets between the multi-storey buildings is 6 meters, and drainage ditches and sidewalks exist on both sides of roads. On the streets between one-story houses, the road distance from wall to wall is 10 – 11 m, there is no sidewalk and drainage ditches. During the rainy season, water on the road accumulates in the lower parts of the road and forms puddles and the water seeps under the road that destroyed it. The road improvement as per Type I design with drainage ditches on the road side with total width of 7.2 m (width of road itself - 6 m and width of the double-sided trays: $0.6\text{m} + 0.6\text{m} = 1.2\text{m}$) is proposed for roads in area of one-story houses. The Type II is proposed for the roads between the multi-storey buildings. Width of roads for the Type II will be the same as for the Type I (site photos in **Annex 2.3**).

Figure 8. Road corridors in Yoshlik mahalla

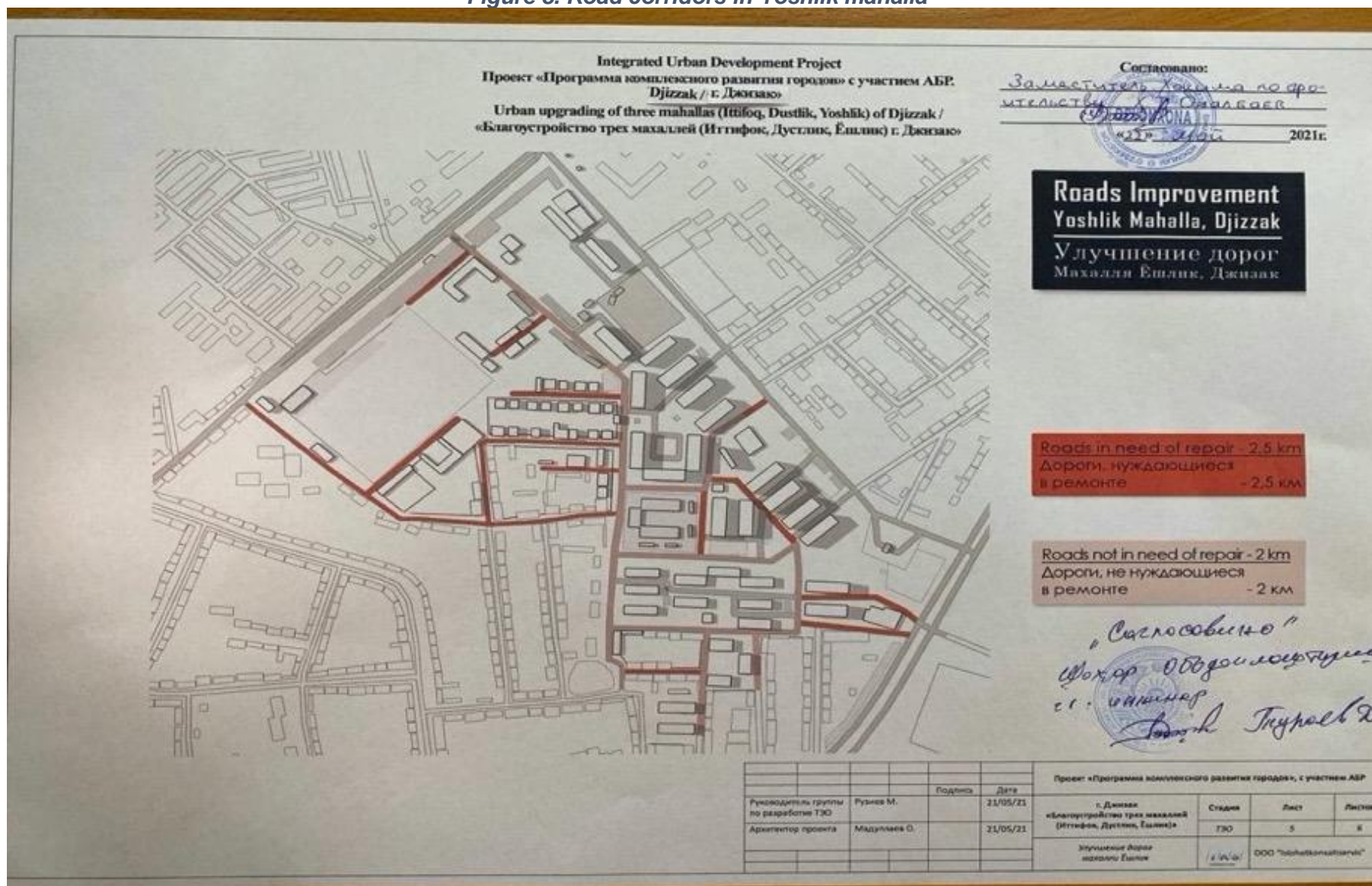


Figure 9. Road design concept Type I

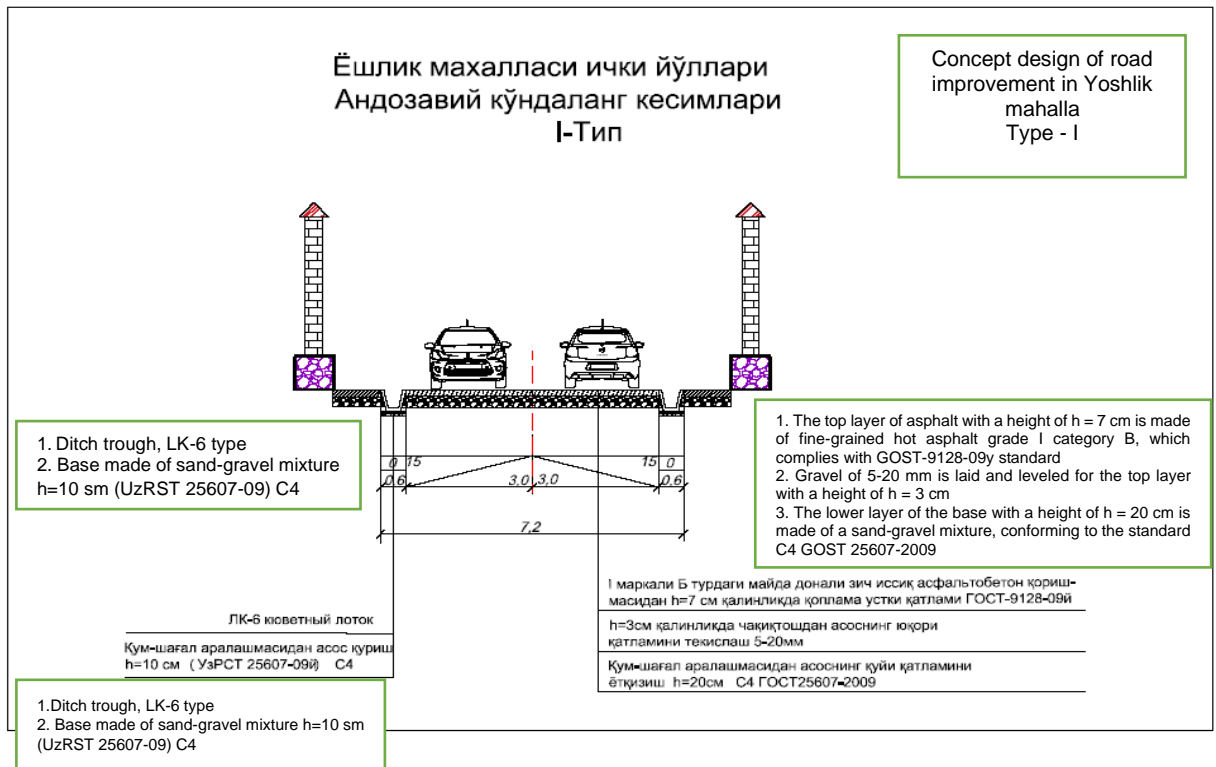
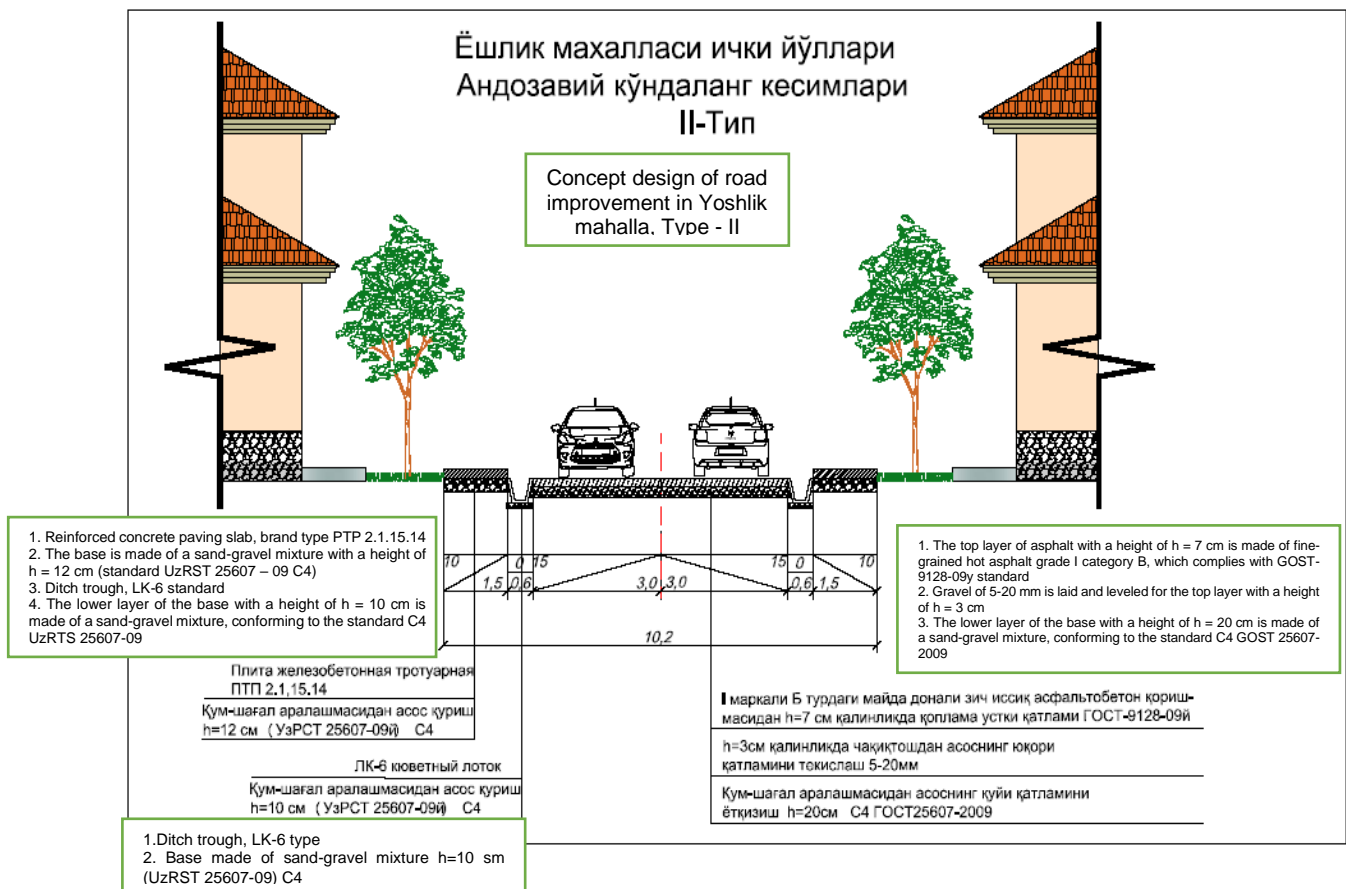


Figure 10. Road design concept Type II



- (ii) **Improvement of public open spaces including children's playgrounds, sport facilities, open space, neighbourhood parks and surfaced footpaths (5.2 ha open space and 0.92 km of footpaths in Ittifok mahalla, 4.0 ha open space in Dustlik mahalla, and 2.8 ha open space and 1.2 km of footpaths in Yoshlik mahalla)**

18. Improvement of public open spaces within three mahallas will be in existing community open spaces. These are scattered small sites/areas, as shown in Figure 11 in next page. **Improvement of 4.5 ha existing open space and 0.92 km of footpaths in Ittifok mahalla** will include installation of the street lightings, the landscape improvement and greening with allocating zones for recreational facilities, children's playgrounds, outdoor exercise areas including places for chess and other various board games, footpaths, and places for public events (**Figure 11**). All improvement works are planned within the existing public open spaces in the state-owned lands and impact on private lands, crops, trees, or livelihoods is not identified (site photos in **Annex 2.4**). Some people have installed metal fences near their apartments and planted trees, and put metallic garages on such public open spaces without any legal permission. The metallic fences and garages will be removed and returned to the owners to make the existing public spaces accessible to all members of communities. The feasibility stage considers not to cut but keep trees for greening public spaces. Any minor impact to any tree and its location will be known following the detail design.

19. **Improvement of 1.1 ha of existing open space in Dustlik mahalla** will include creating children's playgrounds, recreational and sport facilities, footpath, and outdoor exercise areas²³ for basketball, football, and passive leisure points (with sound barriers) and built-in equipment such as chess, and other board games (**Figure 12**). All works will be within the existing open space areas in the state-owned lands. LAR impacts on privately used lands, crops, trees, or livelihoods have not been identified (site photos in **Annex 2.5**). Some people have installed metal fences near their apartments and planted trees, and put metallic garages on such public open spaces without any legal permission. The metallic fences and garages will be removed and returned to the owners to make the existing public spaces accessible to all members of communities. As per the design trees shall be preserved for greening the public spaces. Based on observation from site visits on 7-10 February 2022, some areas for open space might be changed as the local authorities meanwhile have allocated the project's pre-selected areas to other land users, however, this shall be confirmed by the final DED.

20. **Improvement of 2.8 ha of existing open space and 1.2 km of footpaths in Yoshlik mahalla** will include installing the street lightings, children's playgrounds, creating zones for passive and active leisure (chess and other board games), outdoor sports, benches, places for public events, and 1.2 km footpath (**Figures 13-14**). All improvement works are planned within the existing open spaces on the state-owned lands and LAR impact on privately used lands, crops, trees, or livelihoods have not been identified (site photos in **Annex 2.6**). Some residents have installed metal fences near their apartments and planted trees, and put metallic garages on such public open spaces without legal permission. The metallic fences and garages will be removed and returned to the owners to make the existing public spaces accessible to all community members. As per the design, trees shall be preserved for greening the public spaces. Based on observation from site visits on 7-10 February 2022, some areas for open space might be changed as the local authorities meanwhile have allocated the project's pre-selected areas to other land users, however, this shall be confirmed by the final DED.

²³ When carrying out work, the Contractor shall follow regulatory documents: (i) Urban Planning Code of the Republic of Uzbekistan (Approved by the Law of the Republic of Uzbekistan dated 02.22.2021 N ZRU-676); (ii) (SHNK 2.07.01.03) 23.12.2009 "Urban planning. Planning the development and development of urban and rural areas"; (iii) Resolution of the Cabinet of Ministers of the Republic of Uzbekistan. No. 671 08/17/2018 "On the approval of the regulation on the methodology for the organization of recreation parks and green areas".

21. Based on the feedback received on 4 November 2021 from the project technical team working on feasibility study, it is proposed to exclude some open space sites in three above-mentioned mahallas from the project scope as shown in figures 11-13.

Figure 11. Open space locations and concept design for Ittifok mahalla

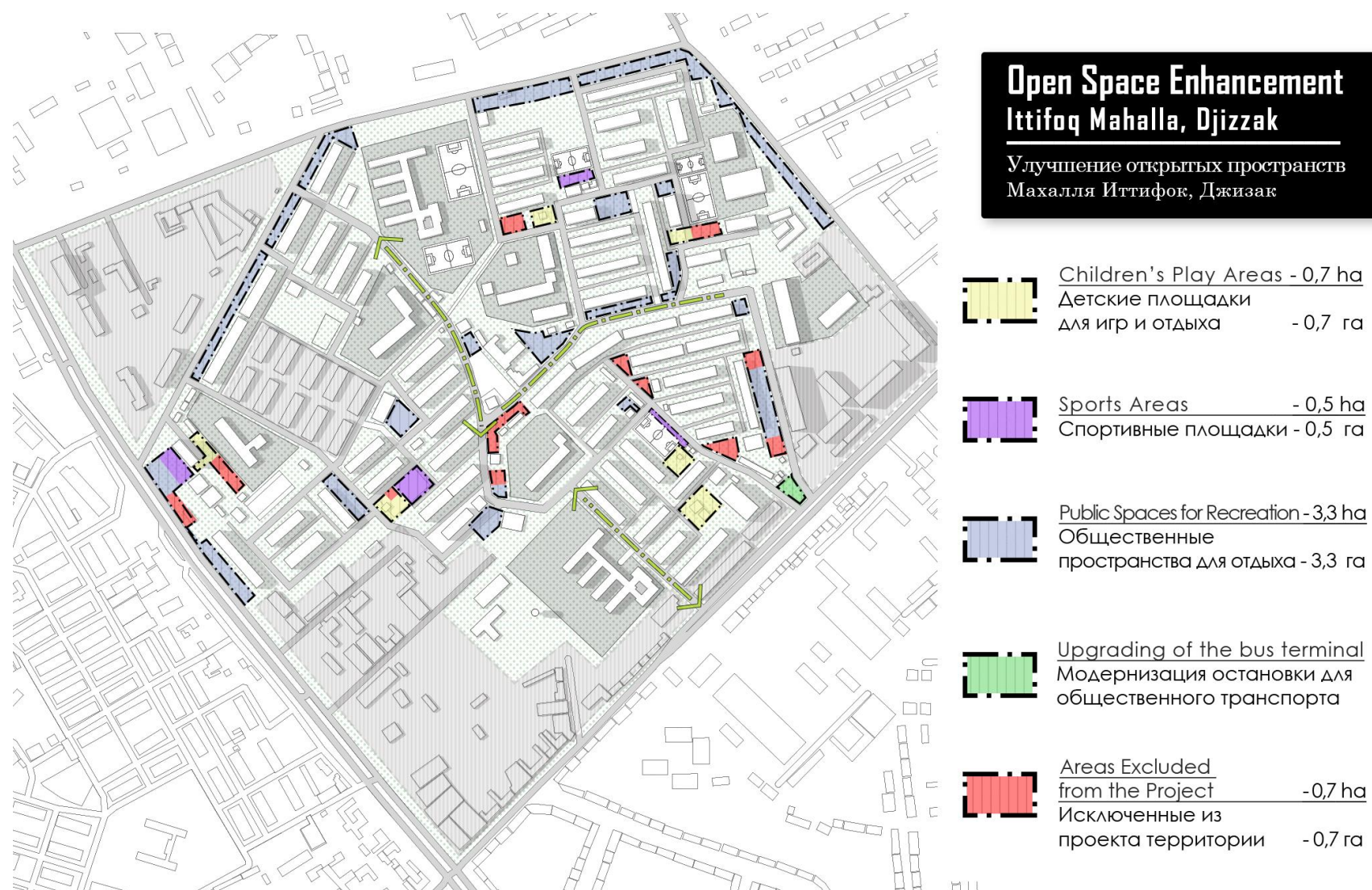


Figure 12. Open space locations and improvement map in Dostlik mahalla

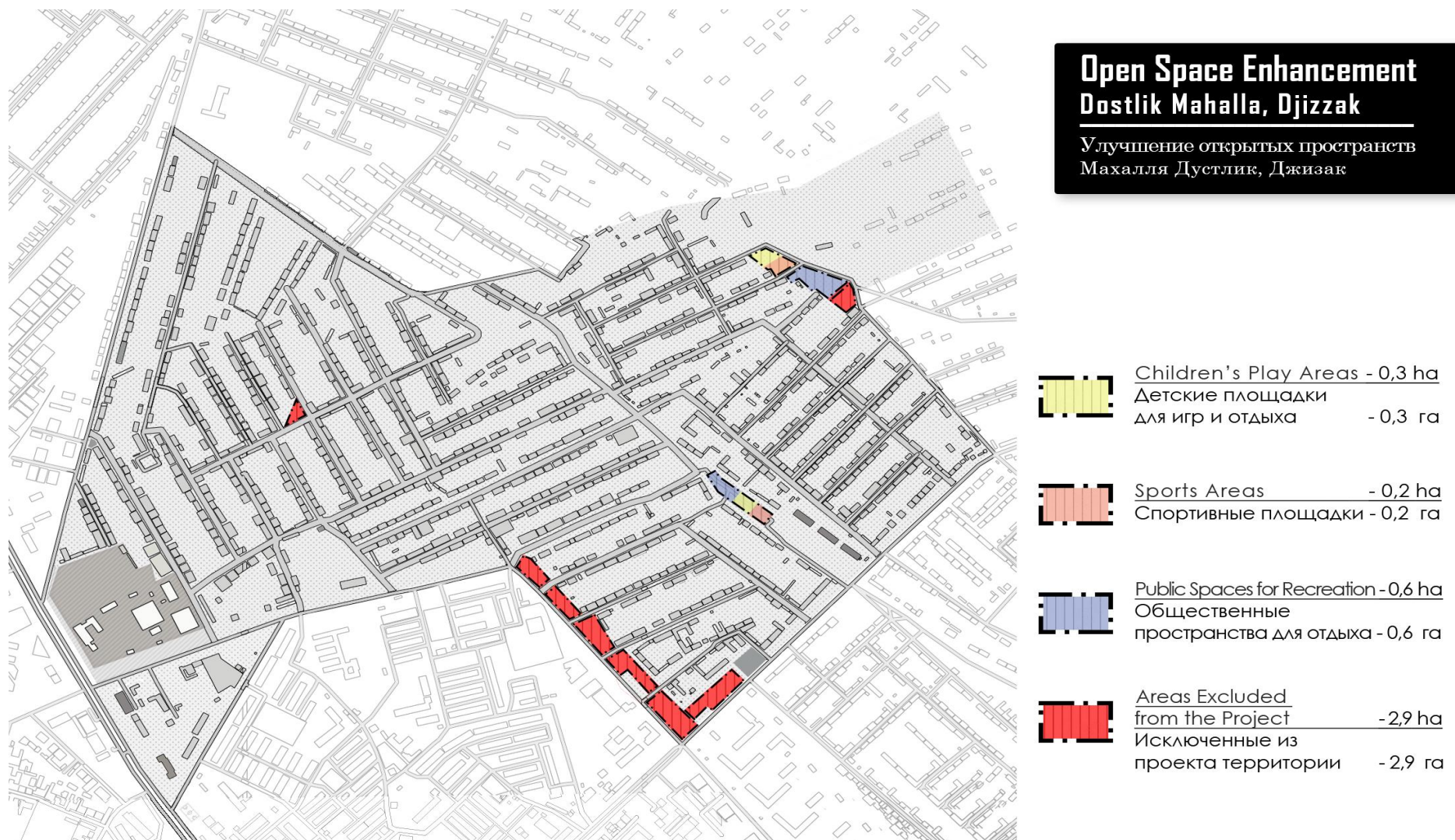
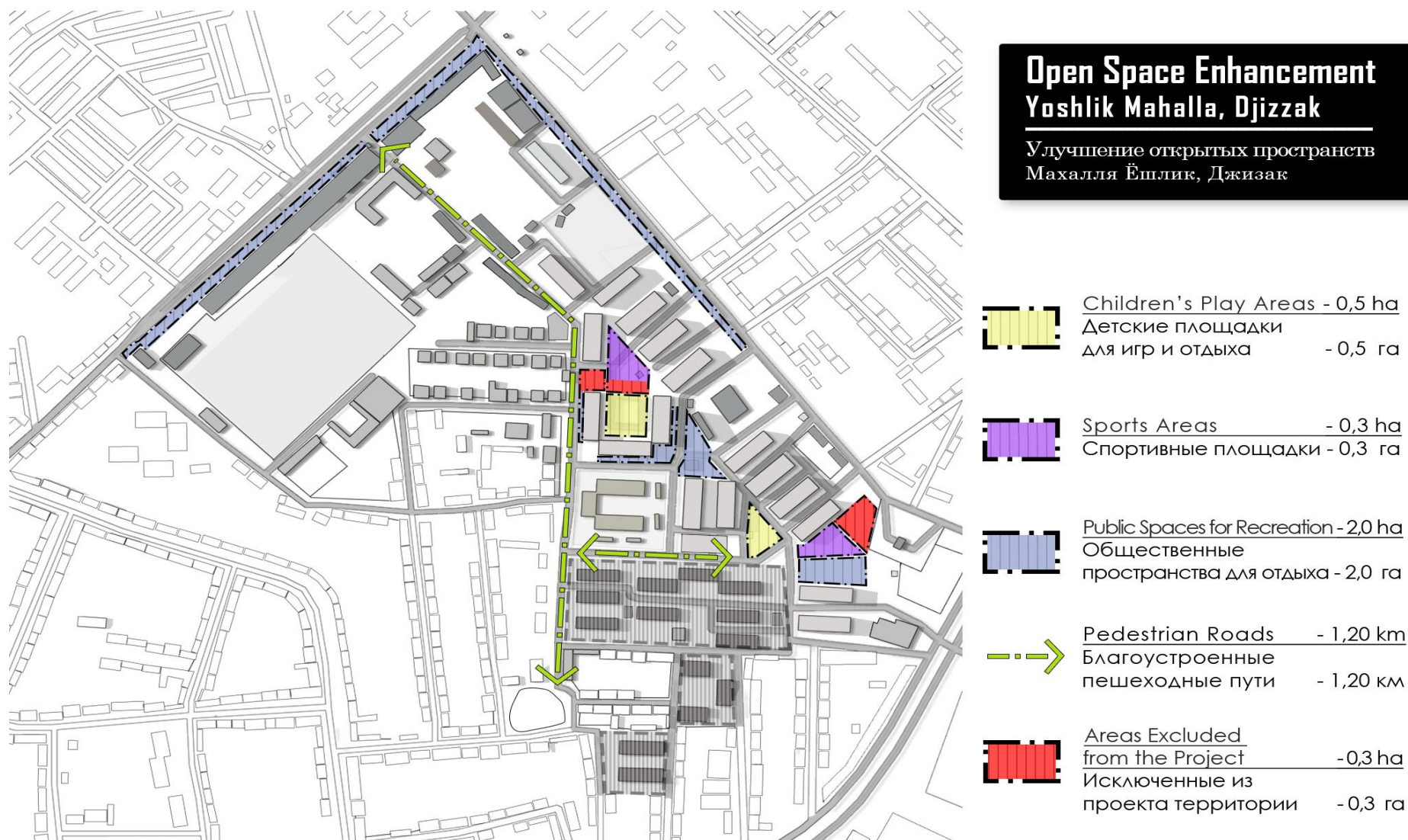


Figure 13. Open space locations and improvement concept design in Yoshlik mahalla



(iii) Improvement of existing small bus terminal in Ittifok mahalla

22. The subproject will improve an existing small bus stop and car parking area, including the passengers' waiting areas with easy access to public transport and comfort amenities. The site is the existing bus terminal on stated-owned land (green spot in **Figure 11** above). There is no informal land users and any livelihoods activities by anyone to be impacted, and LAR impact is not expected (site photos in **Annex 2.7**).

Subproject 4. Smart water and sanitation pilot in the three mahallas (Ittifok, Dustlik, Yoshlik)

23. For physical works, the subproject works include:

24. **Reconstruction of 4.29 km of water supply distribution networks (varying from Ø50-225mm) with household connections to 69 multi-story buildings (1,380 households) and 30 private houses in Ittifok mahalla.** The works will consist of reconstructing of existing small diameter water network pipelines with 99 household connections (household connection means a pipeline from a water distribution point in a street up to multi-story dwelling) in Ittifok mahalla where the project will also rehabilitate roads (subproject 4 described above). The green color lines in **Figure 14** are the lines need reconstruction. This will be small pipelines (varying from Ø63-225mm), and construction works for the roads' improvement and the water pipelines' rehabilitation will be done in sequence. The site visits including walkover survey along the water network pipeline routes did not find any LAR impacts. Site photos in **Annex 2.1** for the Subproject 2 applies here too as the reconstruction of the 5.57 km water supply distribution network (varying from Ø63-225mm) will be along the same roads.

25. **Construction of 16.69 km of water supply distribution network (Ø50-160mm) and household connections to 3 multi-story buildings (60 households) and 890 single-family houses in Dustlik mahalla.** The works will be construction of small water distribution pipelines (Ø32-160mm) (red color lines in **Figure 14**) along the existing road and connecting one-floor houses to the water supply pipeline in the street. Length of house connecting pipeline would vary from few up to 20 meters depending on the distance between each house and the pipeline in the street. Pipeline construction works will be conducted along the same roads which will be rehabilitated by subproject 2 in this mahalla and LAR impact is not expected. Site photos in **Annex 2.2** are relevant here as construction works on water distribution networks under this subproject will be carried out along the same roads in this mahalla to be improved under the subproject 2.

26. **Construction of 14.13 km of sewerage pipelines (Ø160-630mm) and house connections for 775 households in Dustlik mahalla (pink color, Figure 15).** These works will be carried out along the existing roads in Dustlik mahalla which will be improved by subproject 2 described above. Household connection means a pipeline connecting houses to sewerage pipeline in a street. Length of house connecting pipeline would vary from few up to 20 m depending on the distance between each house and the pipeline in the street. Sewerage pipelines construction works will be implemented along the same roads which will be improved by the Subproject 2 in Dustlik (site photos **Annex 2.2**) and LAR impacts are not expected. **Figure 15** shows the layout for the sewerage networks for Ittifok, Dustlik and Yoshlik mahallas.

27. An updated due diligence shall be conducted to reconfirm the absence of LAR impact for all works envisaged in subproject 2 and 3 in these three mahallas as works will be on same roads/sites before construction works. Any minor LAR impact from the works associated with subprojects 2 and 3 shall be identified and addressed entirely as the sites are the same.

Figure 14. Layout for the drinking water supply pipelines rehabilitation and construction in Ittifok, Dustlik and Yoshlik mahallas

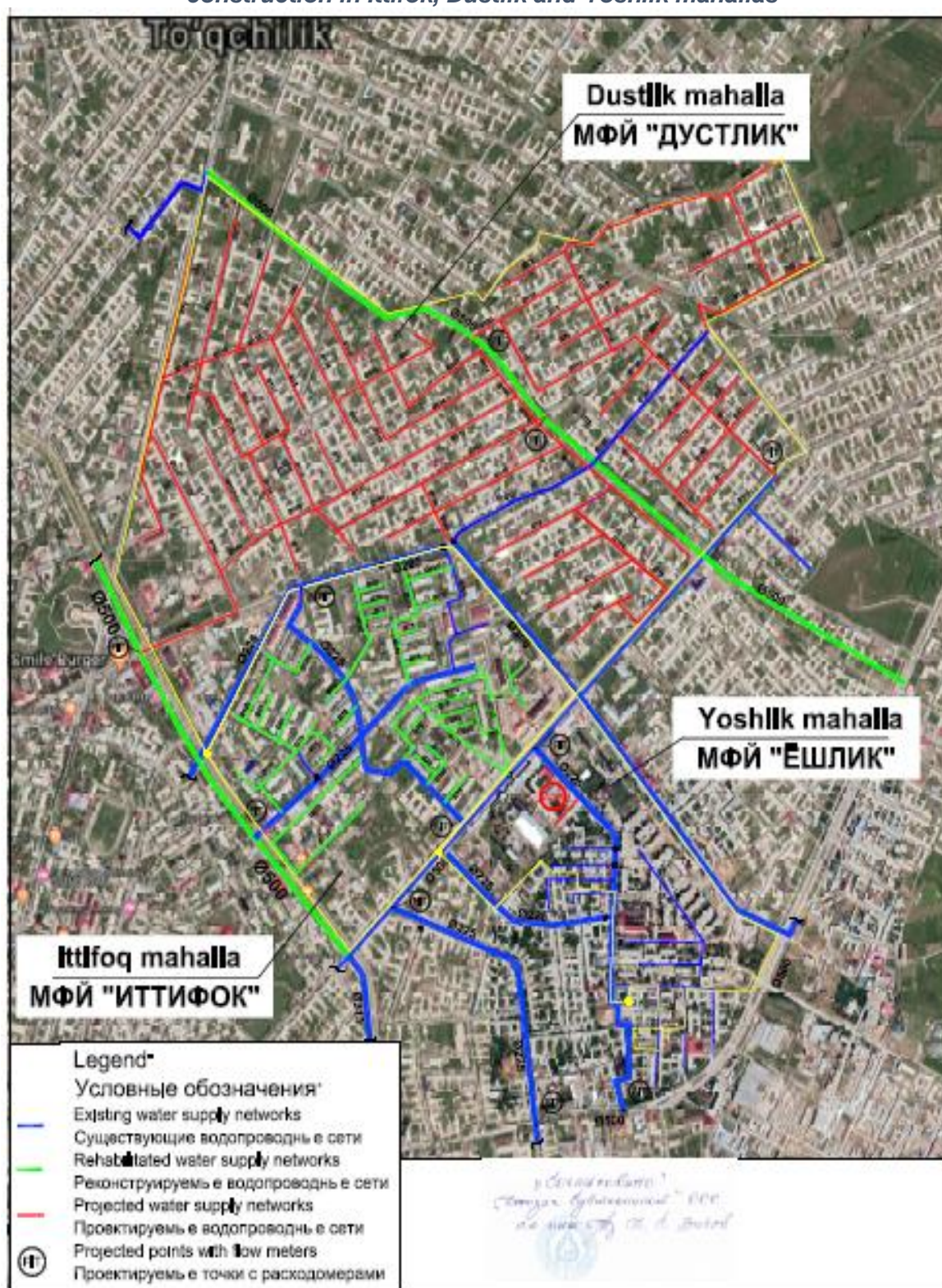
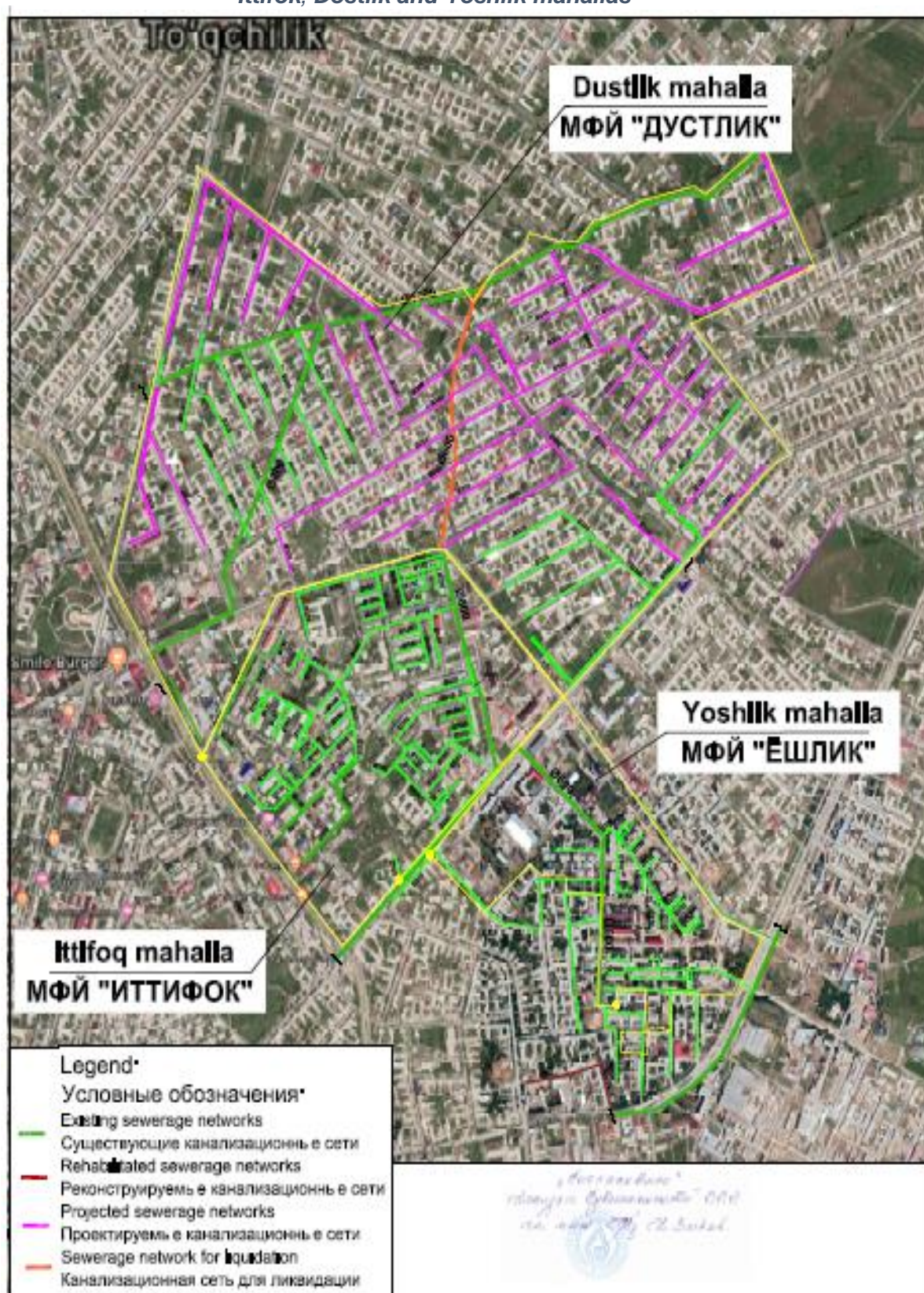


Figure 15. Sewerage networks rehabilitation and construction layout for Ittifoq, Dostlik and Yoshlik mahallas



Subproject 5. Modernizing and improving Djizzak city bulk water supply system

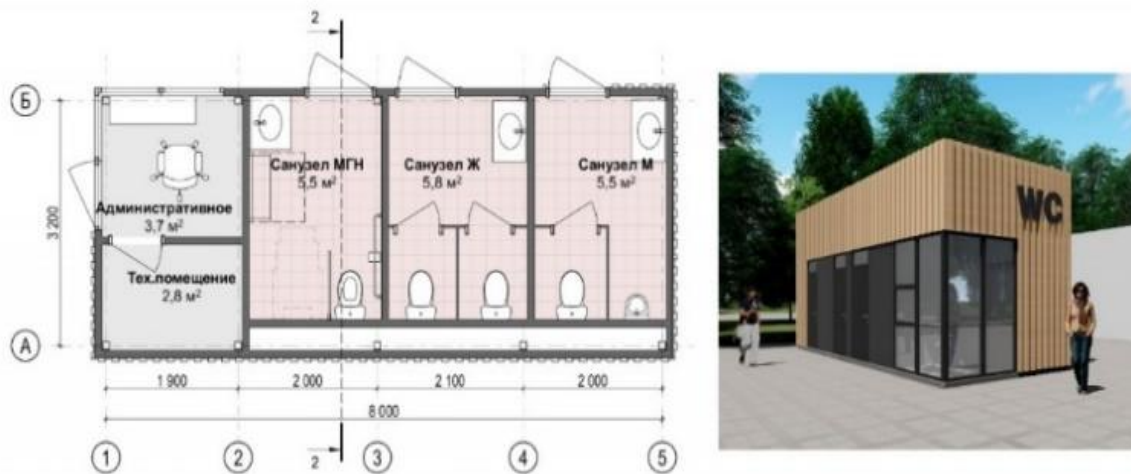
28. This subproject has LAR impacts that are addressed in a draft LARP.

Subproject 6: Hygiene measures to address COVID-19

29. This subproject will construct 5 public toilets in public areas in open public spaces where land is owned by state. These physical measures will be complemented by behavior change awareness campaigns.

30. **Annex 3** shows the locations of four of five public toilets that are identified and to be confirmed during the DED. The new toilets will be constructed in public spaces on state-owned lands in Djizzak city (location maps in Annex 3). The number of seats will be defined by the DED. **Figure 16** shows the preliminary design concept.

Figure 16. Toilets for 4 seats



Subproject 7: Water supply operational improvements.

31. This subproject has capacity strengthening and building support such as (i) training courses on organizational management, financial, asset and quality management for Uzsuvtaminot JSC; (ii) staff vocational training on use of SCADA, GIS and energy efficiency auditing, and on-the-job training on NRW management (leak detection, DMA management), preventive maintenance and emergency response, and modern financial management for targeted staff at Djizzak Suvtaminoti, and; (iii) development of a water safety plan, grievance redress mechanism, and performance based corporate business plan for Djizzak Suvtaminoti. No construction weeks and no LAR impact is expected.

C. Khiva City

Subproject 8. New visitor information center with digital museum

32. The project will construct a two-story multifunctional visitor center of 3,500-4,000 m² with information desk, offices, retail and food and beverage space, and handicraft demonstration outlets. The center will also feature Uzbekistan's first Digital Museum showcasing Khiva's Silk Road heritage. The center will be complemented by a vehicle parking area (100 spaces), bicycle rental facility (50 bikes), an access road and ornament landscaping. The parking facility design includes solar power, water recycling facilities and will provide universal access for people with disabilities and elderly, and women friendly facilities such as women's washrooms and nursing facilities (concept design in **Figure 17**).

33. The site for the subproject is a state-owned land, and there are no private land users, crops, trees, structures or any economic and livelihoods activities found on the site to be impacted (layout in **Figure 18**, and site photos in **Annex 4**). No LAR impacts are anticipated.

Figure 17. Concept design of a new visitor information center



Figure 18. Site of a new visitor information center



Subproject 9. New Polvon Canal greenway

34. The subproject will convert a 2.4 km stretches of the Polvon drainage canal embankment into a new linear greenway with (i) 1.1 m wide cycle and 2.2 m pedestrian paths at both side of the canal, (ii) green space (lawns, trees, flowers, irrigation), street furniture (including decorative lamp posts, benches and urns in traditional style, (iv) tourist friendly signage, multifunctional recreational open space with a football field (798m²), tennis court (448m²), basketball court (448m²), children playground (211m²), and an administrative building (260m²) with changing rooms, washbasins, coaching room, and showers; (vi) 2 footbridges of 10 by 1.5 m; (vii) 2 observation bridges of 10 by 9 m; (viii) 1 fitness and kids playground, and; (ix) fencing along the canal. The greenway will be universally accessible for people with disabilities and elderly and will feature tree planting for shading, and water retention, and women friendly facilities such as street lighting, clear signage and women's washrooms (**Figures 19 and 21**, site photos in **Annex 5**). During the project site visits on 7-10 February, two small commercial structures (one equipped with devices for making clean drinking water in bottles, and another one is a bread bakery, as the owner reported), have been noticed at the bank of the canal, which belongs to the same one person who was briefly interviewed. He informed he has been running these business premises already for few years. The final DED shall confirm if these two commercial structures will be preserved for public service and impact can be avoided.

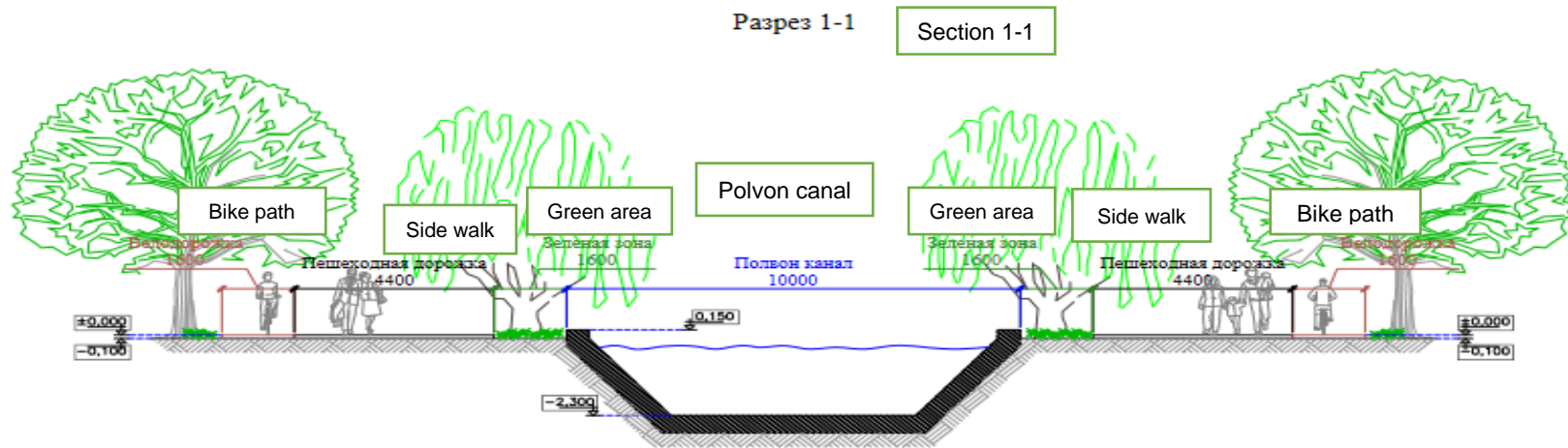
Figure 19. Polvon canal greenway design concept



Figure 20. Polvon canal greenway design concept



Figure 21. Greenway along Polvon canal concept design



D. All 4 cities

Subproject 10. Waste minimization and 3R campaign

35. This subproject has no physical works and no LAR impact expected but will support activities such as: (i) expose SCEEP and Toza Hududs to international best practices in implementing waste minimization and 3R (reduce, reuse, and recycle) awareness raising campaigns; (ii) **gender, social inclusion and livelihood support for all 4 cities**, and (iii) support conduct of tourism operational skills training for entrepreneurs in Khiva and conduct livelihood enhancement training for local entrepreneurs in Havast.

Subproject 11. Strengthening urban governance in Hokimiyats

36. This subproject has no physical works and no LAR impact expected but will provide capacity building of all four project hokimiyats on: (i) urban management executive training for senior hokimiyat officials (mayors/deputy mayors); (ii) project and financial management, including IT e-governance solutions for targeted hokimiyat staff; (iii) urban development planning and management for relevant city, regional and national level staff; (iv) public realm property management training for Khiva and Havast beautification departments; (v) operational training for museum and visitor center operations in Khiva; (vi) development of citizen report cards and directory in all four cities; (vii) financial resource mobilization plan and user charges and non-tax revenue enhancement plans and training for participating cities and utilities; (viii) developing PPP strategies and engaging with the private sector, and; (ix) O&M and asset management training for municipal assets.

Subproject 12. Improving waste collection systems

37. This subproject will support the project cities with (i) construction of new community waste collection points (7 in Havast, 18 in Yangiyer; (ii) purchase of waste containers varying from 250 liters to 1,100 liters and 6 cum (38 for Khiva, 679 for Djizzak, 814 for Havast and 696 for Yangier); (iii) purchase of vacuum sweeper trucks and waste compactor trucks (2 each for Djizzak, Yangiyer and Havast), and; (iv) purchase of 7 cum waste collection trucks (20 for Djizzak, 15 for Khiva, 17 for Havast and 5 for Yangiyer).²⁴

38. This subproject's part (i) has physical works for which the LAR assessment has been conducted and discussed below. The parts (ii), (iii), and (iv) will be the purchase of equipment and do not include physical works and no LAR impact.

39. The following types of works are expected under this subproject :

- construction of new waste collection points,
- provision of waste containers of various sizes, vacuum sweeper trucks and waste compactor trucks, and waste vehicle routing efficiency upgrades, including GPS for Djizzak, Havast and Yangier cities.

40. Construction of new community collection points (Table 1) will include provision of utilities (water supply, sewerage, and electrical power connections) in order to improve the facilities functioning.

²⁴ SCEEP confirmed that collected waste in Khiva, Djizzak, Havast and Yangiyer will be ultimately disposed in new regional landfills currently under planning for development in the respective regions. Until these regional landfills are developed, the waste will continue to be disposed at the existing disposal sites.

Table 1: SWM facilities, civil works, and equipment

Civil works and equipment	Djizzak	Yangier	Havast	Khiva
Community collection points		18	7	
Waste compactor trucks (10 cu capacity)	10	1	3	
Waste containers (varying from 250 liters to 1,100 liters and 6 cum)	679	698	814	38
7 cum waste collection trucks	20	5	17	15
Vacuum sweeper truck	2	2	2	

41. For the construction of the new community collection points, the sites are finalized and to be confirmed during the DED (Figures 22, 23). The new waste collection points are located on public state lands free of any private land user and no LAR impact is expected. Following DED, the updated LAR impact assessment shall be conducted to reconfirm the findings of this SDDR for locations of these new community collection points.

Figure 22. Location of community collection points in Yangier

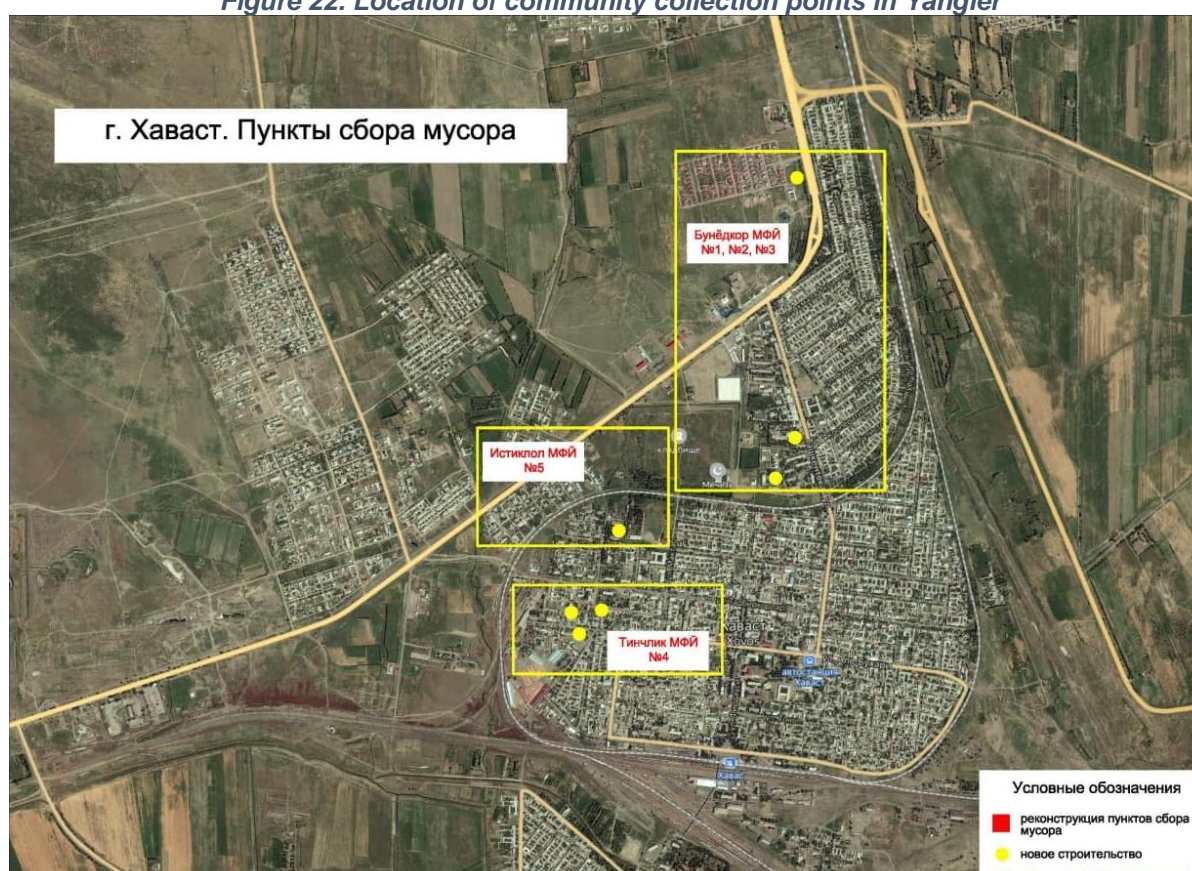
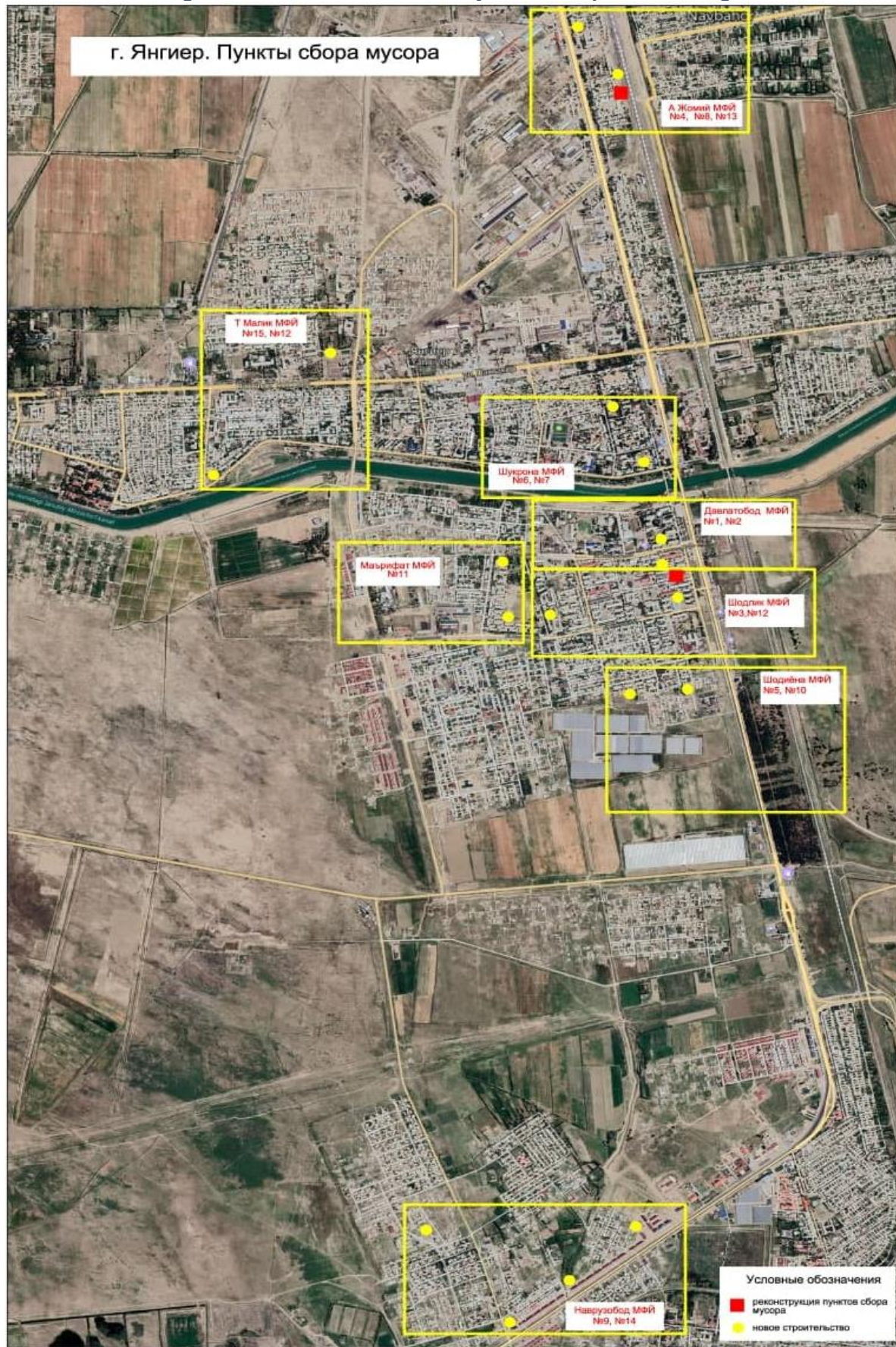


Figure 23. Location of community collection points in Yangier



Subproject 13. Behavior change and public awareness raising campaigns

42. This subproject has no physical works and no LAR impact expected. It is partially funded under ADB grant technical assistance (\$250,000)²⁵ in the IUDP project cities and project costs under the Urban Governance and Institutional Strengthening consultant package. It will be based on stakeholder mapping and a project specific communications strategy, the project will support development and conduct of (i) campaigns on waste minimization and recycling, water conservation, environmental awareness, climate change, targeting communities in all four project cities particularly women; and (ii) project implementation related campaigns.

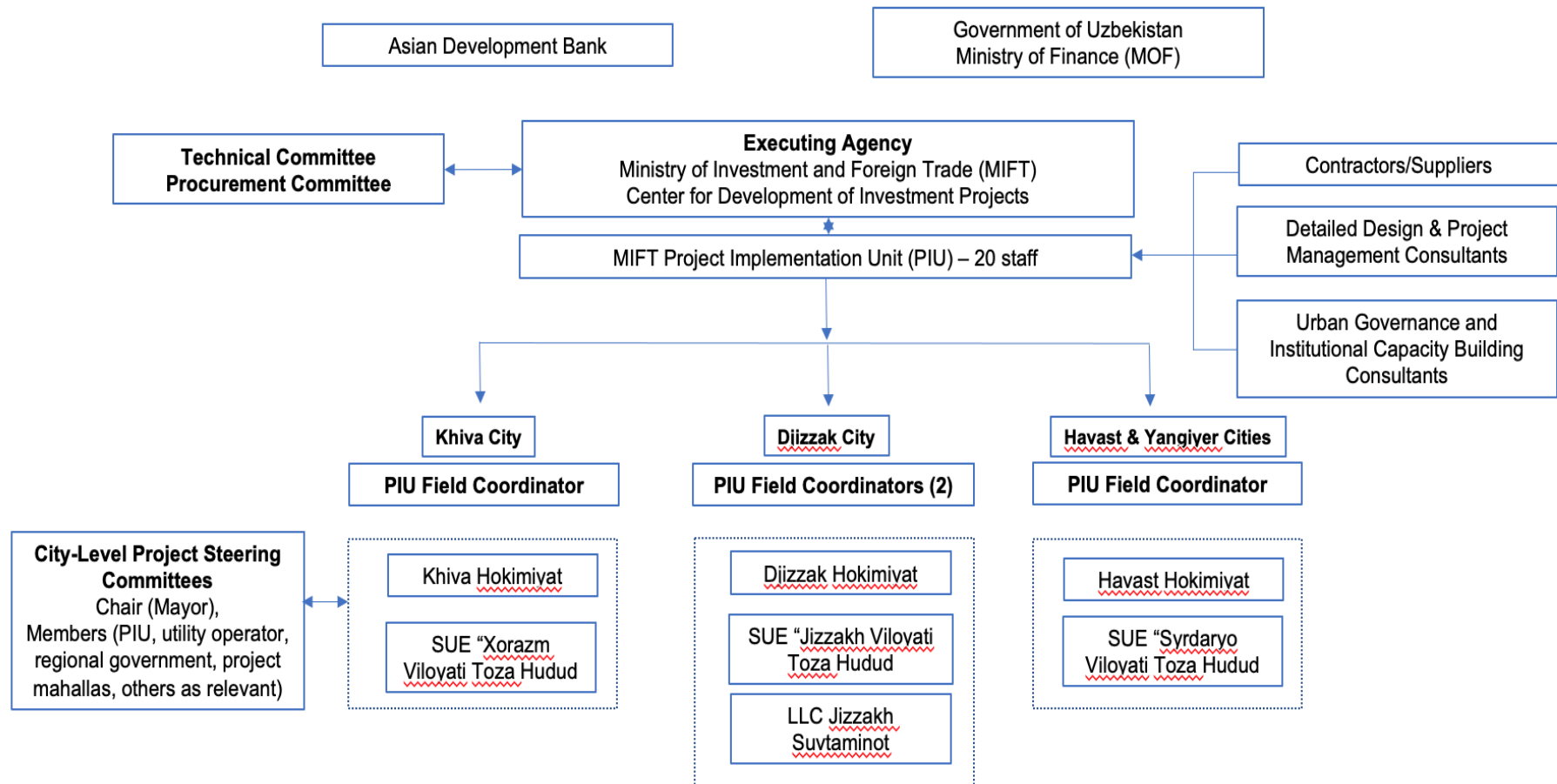
IV. INSTITUTIONAL ARRANGEMENT

43. The Ministry of Investments and Foreign Trade (MIFT) is the executing agency (EA). The project will be coordinated through its Center for the Development of Investment Projects, and implemented through its PIU. The MIFT as an EA has overall responsibility and decision making for timely implementation in accordance with the loan agreement; and ensuring purposeful and efficient use of the loan funds. MIFT Center for the Development of Investment Projects will be responsible for: (i) facilitating inter-ministerial and local coordination; (ii) project monitoring, troubleshooting key issues, and focal point for ADB official meetings and missions; (iii) endorsing withdrawal applications; (iv) approving procurement plans, bidding documents, bid evaluation, and contract awards following ADB and Government of Uzbekistan requirements. The MIFT PIU will plan and implement involuntary resettlement tasks, prepare, and implement LARP(s) upon ADB's approval, and ensure involuntary resettlement safeguards compliance, grievances management, public consultations, and information disclosure, and monitoring and reporting to ADB and other government agencies. The MIFT PIU will have a Social Safeguard Specialist to ensure supervision, and timely implementation of resettlement safeguard tasks. There will be four PIU Field Coordinators in Khiva (1), Djizzak (2), and Havast and Yangier (1). The PIU Field Coordinators will facilitate implementation, coordination at the city- level, and monitoring and reporting the subprojects implementation progress, including resettlement tasks and safeguards on the ground together with the Project Management and Supervision Consultant's (PMSC) team. There will also be a City Level Project Steering Committee comprised of city level project stakeholders to oversee the project progress and ensure timely implementation (Figure 22). There will be stakeholders including Hokimiyats, Uzsuvtaminot JSC, Suvtaminot Limited Liability Company (LLC), SCEEP, Toza Hudud to ensure their active involvement during project implementation.

44. There will be also Detailed Design and Project Management and Supervision Consultants (PMSC) and Contractors, who will be responsible to support the MIFT PIU and comply with resettlement safeguard requirements reflected in their contractual duties, and be part of the grievances redress resolution, and monitoring and reporting on social and resettlement issues, according to their roles and activities to be performed under the project. Details shall be specified in the LARPs for any project components with resettlement impact. The PMSC will have a national social and resettlement specialist (16PM) to support the MIFT on resettlement tasks for the period of 4 years of the project implementation.

²⁵ ADB. 2020. *Technical Assistance to the Republic of Uzbekistan COVID-19 Infection Prevention and Control through an Integrated Water, Sanitation, Hygiene, and Health Approach* Manila (TA 6612-REG).

Figure 24. IUDP organizational chart



V. MONITORING AND REPORTING AND SAFEGUARD MEASURES

Monitoring and Reporting

45. The MIFT PIU will be responsible for internal involuntary resettlement safeguard monitoring and submit semi-annual safeguards monitoring reports (SMRs) to ADB for review and approval during the project implementation. The monitoring and reporting will help to identify and address any unanticipated resettlement impacts, addressing timely potential grievances in line with ADB SPS (2009) and laws of Uzbekistan, and ensure compliance with involuntary resettlement safeguard requirements. Social safeguards covenants will be included in the Contractor's contract and the MIFT PIU with its PMSC will monitor their compliance status.

Safeguard Measures

46. Following the detailed design for each subproject and its components/works, the findings of this SDDR shall be reconfirmed. In case of any unanticipated LAR impact, LARP(s) following ADB SPS (2009) and laws of Uzbekistan shall be prepared and implemented before commencement of construction works. Further,

- (i) MIFT PIU will include in the Contractor's contract provisions about involuntary resettlement safeguards and mitigation measures the Contractor should comply with. The contractor(s) shall have social safeguards specialist(s) to monitoring the process and any social and resettlement issues, follow the ROW during the construction works, not block the peoples access to lands, inform people wherever relevant about the schedule of civil works), and provides update on social and involuntary resettlement issues, including on grievances (keeping the GRM Logbook) in the Monthly Progress Reports;
- (ii) If construction works affect any community's facilities/utilities (e.g., electricity lines/grids, irrigation and drinking water systems), the affected facilities shall be restored and/or people given access to temporary/alternative amenities during construction works;
- (iii) In case Contractor will need land on a temporary basis during civil works, it shall prioritize to use the state-owned lands not used by private land users. If such suitable land is not available, the Contractor shall agree the rent on mutual consent with the land users and based on compensating all losses of revenue by the land users, and land if applicable, restoring and/or compensating for all attachments on the subject land. Land shall be restored to its pre-project condition and returned to the land user;
- (iv) MIFT PIU will ensure the project information disclosure and consultations with people in the project areas (following the national protocols on COVID-19 control and use of digital media) and inform them about the nature and duration of the civil works.

47. ADB and MIFT PIU will disclose this SDDR the draft LARP prepared for the subproject with LAR impact in their websites.

VI. GRIEVANCE REDRESS MECHANISM

A. Project-level Grievance Redress Mechanism

48. The MIFT PIU will set up a project-level GRM following ADB SPS (2009) and the Law of Uzbekistan "About the order of submission of appeals of physical and legal entities" (№445 from 2017). The GRM scope is to resolve grievances/appeals of any project affected persons related to the project's resettlement and environmental impacts and consultations and information disclosure. The complaints related to other issues, such crime and fraud are not in the scope of the project-GRM and will not be reviewed and resolved by the project-GRM. The GRM will be maintained for the duration of the project. The borrower will inform affected persons about the GRM and contact information of responsible authorities (Table 3).

49. The MIFT PIU has overall responsibility for well-functioning of the GRM and resolving the grievances and inquiries in efficient, fair, and mutual consensus manner. MIFT PIU will involve relevant agencies and independent experts as needed. MIFT PIU's social safeguard specialist will serve as the GRM focal person.

50. The GRM should not impede access to the country's judicial or administrative remedies. The aggrieved persons reserve their rights to appeal to the Court of Uzbekistan at any stage of grievance resolution.

51. The following two-level project GRM process is proposed:

- (i) **Level 1** -PIU Field Coordinator together with the project beneficiary (city hokimiyats including Mahallas, regional and city SUE "Toza Hudud", LLC "Djizzak Suvtaminoti", Contractor, PMSC, and the MIFT PIU's social safeguard specialist) to resolve/decide on appeal **within 15 days** from the date of receipt.²⁶
- (ii) **Level-2** – MIFT PIU in Tashkent to resolve/decide on complaint **within 15 days** from the date of receipt, or **up to one month** if the case requires more studies;

52. **Level 1.** At this level, the complainants apply directly to the PIU Field Coordinator, who, after registering the received complaint/appeal (sample grievance log book table is proposed in Annex 7), will notify the complainant, and provide acknowledgement of receipt of the appeal/complaint, and inform the applicant about the procedure and terms of consideration of the appeal, study the nature and specifics of the appeal and, within its powers, take measures to solve it. At the same time the PIU Field Coordinator informs the relevant beneficiary of the project (city hokimiyats, regional state unitary enterprise "Toza Hudud", LLC "Djizzak Suvta'minoti") about the received appeal.

53. Also, affected persons may approach the Contractor. A Grievance Redress Register must be maintained by the contractor and PIU for all such complaints. The contractor shall register the complaint and make efforts to resolve the grievance at that level in a consultative manner with the complainants and the PIU Field Coordinator.

54. If necessary, the PIU Field Coordinator will send an appeal to the relevant party to resolve the issue. Depending on the nature of the appeal, it can be submitted for consideration to the state authorities and local administrations (contractors, mahalla, hokimiyat or to the city SUE "Toza Hudud", the city LLC "Djizzak Suvtaminoti" as well as specially authorized state bodies (Goskomecologii, TsGSEN, GASN, Goskomzemgeodezkadastr, etc.).

55. At this level, the appeal shall be considered and decision taken **within 15 days** from the date of receipt. Resolution of the appeal shall comply with the requirements of laws of

²⁶Following the project approval, the EA PIU coordinates with the relevant agencies and establish the CRCs in the project districts and at the central EA level which will be active during the project implementation.

Uzbekistan and ADB SPS (2009) and the Accountability Mechanism. The PIU Field Coordinator informs the applicant about the decision and planned measures of the reviewed complaint/appeal. At this level, the PIU Field Coordinator is the focal point for working with appeals and ensures close interaction with complainants and government authorities and/or subject experts for resolving the complaint in mutual consensus and timely manner.

56. **Level 2. PIU in Tashkent.** If the appeal cannot be resolved at the first level due to the specifics of the appeal or the applicant was not satisfied with the decision made, the appeal shall be forwarded to MIFT PIU in Tashkent for resolution.

57. After registering the received appeal/complaint, the MIFT PIU Social Safeguard Specialist in Tashkent shall notify the applicant of the receipt of the appeal including information about the registration number, date, and the person who accepted the appeal, and timeline of its review.

58. If the appeal/complaint is not directly related to the project and/or outside of the project GRM scope, MIFT PIU Social Safeguard Specialist shall familiarize the applicant with the project GRM scope, and explain why this appeal cannot be considered by the project GRM and project GRM, and recommend the applicant other instances as per national laws and regulations.

59. Upon receipt of the appeal/grievance, the MIFT PIU will take the following actions:
- Create a group to consider the appeal, which will include the PIU Field Coordinator, representatives of Djizzak Suvtaminot LLC, State Unitary Enterprise Toza Hudud, Contractor, government, and local authorities (hokimiyats);
 - Meeting the applicant and resolve the issues, collection of materials about the case, and monitor complain/appeal resolution in timely and mutual consensus manner;
 - Consultations with the independent valuator (in case of complaints related to the valuation and compensations of loss assets) to obtain an appropriate valuation of the affected property/assets or business (valuation report);
 - Complaints/appeals shall be reviewed and decision made **within 15 days** from the date of receipt, and in the case **additional study is required, within a period of up to one month.**

Table 2

No.	Contacts of the grievances redress responsible agencies		
1.	Djizzak city	PIU Field Coordinator	To be defined later
		Hokimiyat of Djizzak city	Djizzak city, Uzbekistan street, Hamid Olimjon mahalla, 13; E-mail: jizzak.sh@exat.uz Phone number: +998722224010; +99872222497
		"Djizzak Suvtaminot LLC" LLC	Djizzak city, str. Sharof Rashidov ko'chasi, 115 E-mail: jizzakh_suvtaminoti@mail.ru Contact phone number: +998722260325
2.	MIFT PIU	PIU in Tashkent city	Tashkent city, T. Shevchenko street, 34 E-mail: iudpuzbekistan@gmail.com contact phone number: 71 252 42 20

60. **Court.** If the project-level GRM will not be able to resolve the grievance or the complaining party is not satisfied with the decision, it shall be resolved as per law and court order of Uzbekistan, which will be outside of the project GRM scope.

61. Also, if not satisfied with the resolution of the grievance/appeal by project-level GRM, the complaining party can send complaint to ADB's Accountability Mechanism discussed below, after making good faith efforts to resolve the grievance by the project-level GRM.

B. ADB's Accountability Mechanism

62. Affected persons and people in the project areas shall also be informed about the ADB's Accountability Mechanism, and that they should at first put good faith efforts for resolving the complaints on the project level-GRM and the project implementing agencies in the country. Two or more APs (can be from the same family) can submit their complaint to the ADB's Accountability Mechanism (AM). The AM is a last resort mechanism. The project-affected persons shall first address the issue with the project-level GRM, and then they shall make good faith efforts to address the issue with the relevant ADB operations department. Complaints will not be eligible in certain cases such as:

- About actions not related to something ADB did or not do in formulating, processing, or implementing an ADB-assisted project;
- About an ADB-assisted project for which 2 or more years have passed since the loan or grant closing date;
- About matters those complainants have not made good faith efforts to address with the operations department concerned;
- About decisions made by ADB, the borrower or executing agency, or the private sector client on the procurement of goods and services, including consulting services; and allegations of fraud or corruption in ADB-assisted projects (these will be managed by other facilities).

63. The complaint may be submitted by mail, fax, email, or in-person:

Complaint Receiving Officer (CRO), Accountability Mechanism

Asian Development Bank Headquarter, 6 ADB Avenue, Mandaluyong City 1550, Metro Manila, Philippines (+632) 632-4444 loc. 70309 (+632) 636 2086 amcro@adb.org

64. Alternatively, complaints may be submitted through ADB office in Tashkent, which will forward the complaint to the CRO.

C. Awareness and Accessibility

65. Accessibility and awareness of the affected persons and communities about the project-level GRM is important for its effective functioning. During the project implementation, the MIFT PIU shall inform the project affected persons and communities about the project GRM including through the project information leaflets and contact information of responsible persons²⁷ for the project GRM. This will ensure that people are aware about the project-level GRM and have contact information of responsible staff if they have inquiries or grievances.

66. Consultation and information dissemination about the GRM shall be in local language/s understandable for affected persons. The MIFT PIU shall further inform the affected communities and persons about the GRM through public consultations, individual meetings,²⁸ information leaflets, local media with approaches to facilitate participation of women and vulnerable APs. The MIFT PIU shall ensure that all grievances and their resolution status will be documented in the Grievance Logbook at the offices of the Contractor, District Hokimiyats, and Mahallas. The Mahallas and Hokimiyats of the project districts may use their own procedures for documenting the grievances. The MIFT PIU shall ensure that all grievances

²⁷E.g., PIU staff and GFP, PMSC, Contractor, Hokimiyats, Mahalla, and ADB Uzbekistan Resident Mission's Resettlement Specialist.

²⁸ Considering the pandemic situation and following with COVID-19 safety protocols.

and their status will be monitored and reflected in the project's progress reports. The Contractor should update grievances resolution status in monthly progress reports submitted to the MIFT PIU, who will reflect this in the semiannual social safeguard monitoring reports that will be submitted to ADB.

VII. CONCLUSIONS

67. The project is assessed as Category B for Involuntary Resettlement Safeguards as one of the subprojects, namely **(v) Modernizing and improving Djizzak City bulk water supply system**, will cause LAR impacts from “Rehabilitating 9.4km water conduit from Amir Timur water intake to Sanzar water intake (Ø600mm, steel pipe) and 3.1km to Djizzak city (Ø700mm, steel pipe) with with electrochemical protection (total 12.5 km)”. Accordingly, a draft LARP is prepared for this subproject. The LAR due diligence at this project preparation stage confirms that, all other subprojects covered in this SDDR are not expected to cause LAR impacts as they will be located in state-owned lands, most are existing facilities and on barren lands, with no private formal or informal land users, agricultural, livelihoods and any economic activities on the sites.

68. There are no indigenous people in the project area as defined in ADB's SPS (2009). Therefore, the project and all its components including those covered in this SDDR are assessed as Category C for Indigenous Peoples' Safeguards.²⁹

69. The MIFT PIU shall include safeguard measures and covenants in Contractors' contract and the MIFT PIU with its consultants will monitor their compliance status. The MIFT PIU with support of the PMSC will be responsible for all LAR tasks. The MIFT PIU will conduct internal safeguard monitoring and reporting to ADB during the project implementation. The monitoring and reporting will help to identify and address any unanticipated LAR impact, addressing timely potential grievances in line with ADB SPS (2009) and laws of Uzbekistan, and ensure compliance with social safeguard safeguards and avoiding delays in project implementation due to any unaddressed LAR safeguards and non-compliance. The MIFT PIU will submit internal involuntary resettlements safeguard SMRs to ADB for review and approval.

70. This SDDR is prepared in the project preparation stage, and preliminary DED, therefore it will be updated after final DEDs are prepared for each subproject. In case any unanticipated resettlement impact in any of the subprojects following the final DEDs, a LARP shall be prepared for the subprojects with LAR impacts following ADB SPS 2009 and laws of Uzbekistan instead of SDDR. Contract awards for any subprojects are conditional to ADB's clearance of final DED-based LARP and SDDRs. Commencement of works for subprojects with LAR impacts is conditional to the full implementation of the approved final LARP.

²⁹ A proposed project is classified as category C for IR impact if it does not cause involuntary resettlement impacts. Due diligence is conducted. No further action is required. A proposed project is classified as category C for indigenous people's impact if it is not expected to have impacts on Indigenous Peoples. No further action is required. ADB Operational Manual, Bank Policies, 2013.

Annex 1. Site photos New 6ha green open space with livelihood training center





Annex 2.1. Site photos Improvement of street corridors (7.3 km) in Ittifik





Annex 2.2. Site photos Improvement of 19.5 km of road corridors in Dustlik





Annex 2.3. Site photos Improving 2.5 km of road corridors in Yoshlik





Annex 2.4. Site photos Improvement of 4.5 ha open space and 0.92 km footpaths in Ittifok



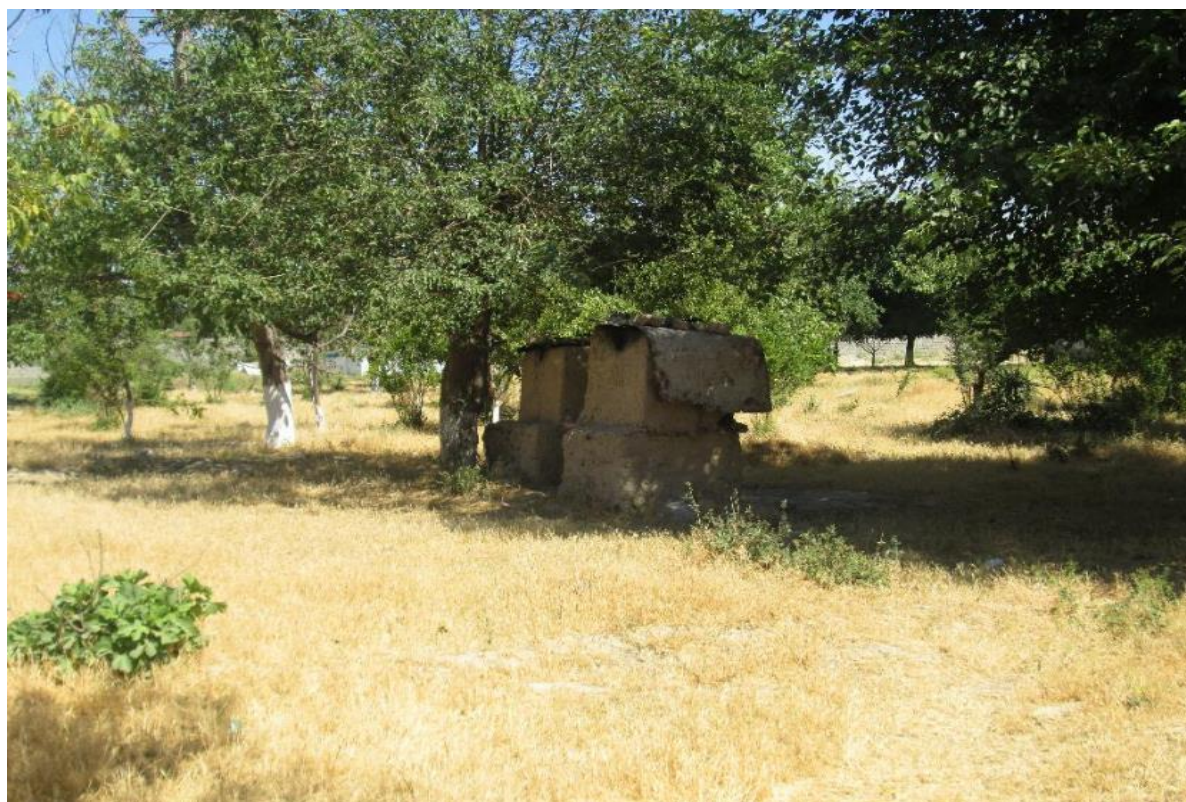


Annex 2.5. Site photos Improvement of 1.1 ha open space in Dustlik





Annex 2.6. Site photos Improvement of 2.8 ha open space and 1.2 km footpaths in Yoshlik





Annex 2.7. Site photos Improvement of an existing small bus terminal in Ittifok



Annex 3. Locations of Public Toilets in Djizzak



Locations of public toilets marked red on the map (English translation not yet available)

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"Жиззахшаҳаргаз" филиали бошлиғи
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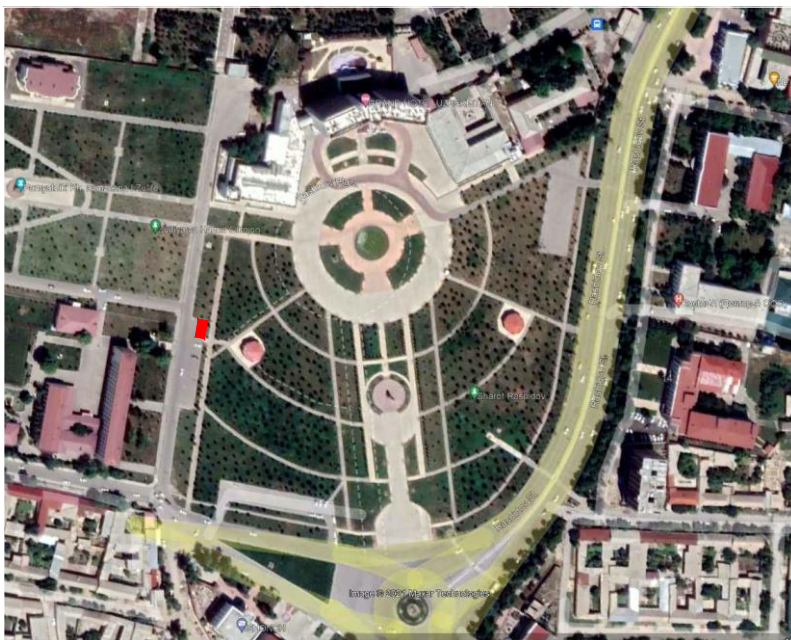
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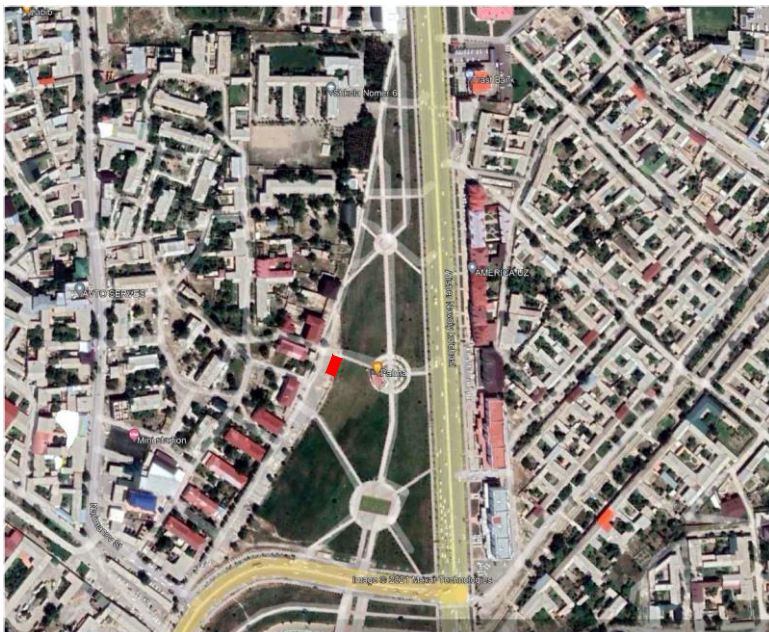
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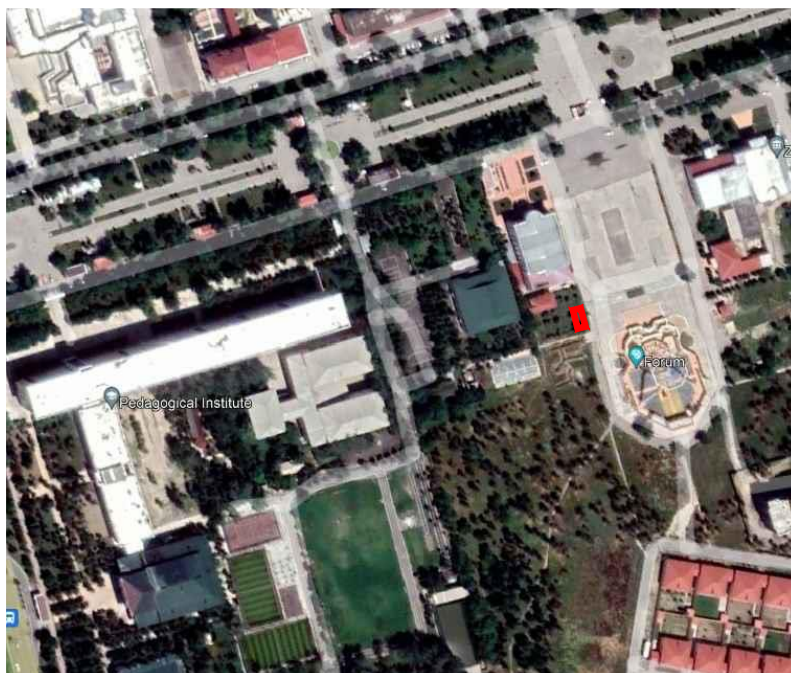
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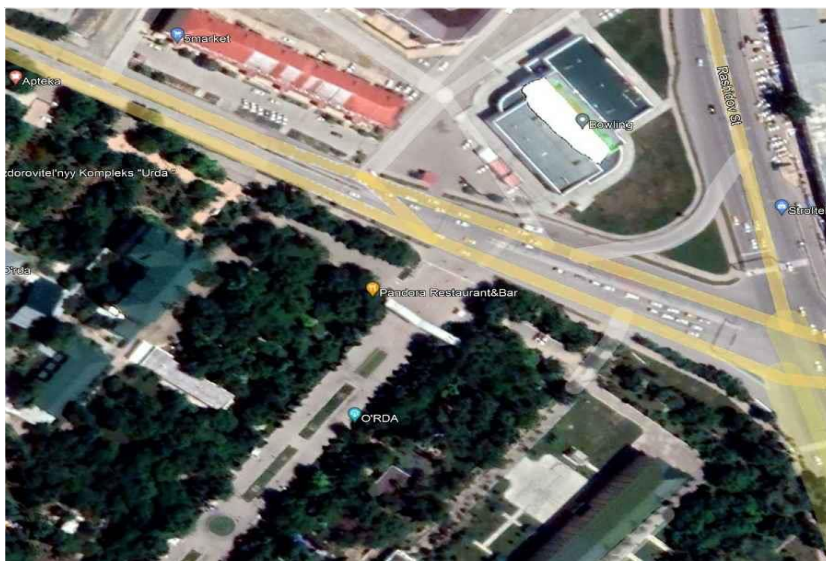
Location of the toilet in "Urda" will be within this area but specific final location is not yet decided.

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бошқармаси бошлиғи
Жиззахлик МФЙ раиси
Истирохат боғлари департаменти
бошқармаси бошлиғи



Бош режада жойлашган ўрни

Annex 4. Site photos New visitor information center with digital museum





Annex 5. Site photos Polvon canal in Khiva





Annex 6. Site photos Dumpsite in Havast





Annex 7. Sample GRM Logbook

GRIEVANCE MECHANISM: THE LOG BOOK OF COMPLAINTS AND APPEALS

Project name: _____ Mahalla _____ Contractor working office _____ or district Hokimiyat _____

Note: The compliant book should sequentially have numbered and pages have been

#	Date	Summary content of complaint/ inquiry/suggestion	Applicant/ Complainant (Full name, address)	Man	Woman	LAR AHs/APs		Contact details	Accepted by	Redress process/dates	Status (resolved, pending)
						Yes	No				
1											
2											
3											
4											
5											
6											
7											