

Project Number: 55157-001

Transaction Technical Assistance Facility (F-TRTA)

October 2021

Republic of Uzbekistan: Preparing Road Modernization Projects

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Asian Development Bank

CURRENCY EQUIVALENTS

(as of 3 September 2021)

Currency unit – sum (SUM) SUM1.00 = \$0.000093 \$1.00 = SUM10,633.00

ABBREVIATIONS

A380 – Guzar–Bukhara–Nukus–Beyneu

ADB – Asian Development Bank

CAREC – Central Asia Regional Economic Cooperation

ITS – intelligent transport system

km – kilometer

MOT – Ministry of Transport TA – technical assistance WIM – weigh-in-motion

NOTE

In this report, "\$" refers to United States dollars.

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^a Outposted to the Uzbekistan Resident Mission.

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TRANSACTION TECHNICAL ASSISTANCE AT A GLANCE

1.	Basic Data		- ASSISTANCE AT A GI	Project Numbe	r: 55157-001
	Project Name	Preparing Road Modernization Projects	Department/Division	CWRD/CWTC	
	Nature of Activity Modality	Project Preparation Facility	Executing Agency	Committee for Ro	pads
	Country	Uzbekistan			
2.	Sector	Subsector(s)	·	ADB Financir	g (\$ million)
1	Transport	Road transport (non-urban)		Tatal	0.70
				Total	0.70
3.	Operational Priorities		Climate Change Informa		
✓	Addressing remaining	g poverty and reducing inequalities	GHG Reductions (tons pe		0.000
1	Accelerating progress	s in gender equality	Climate Change impact of	n the Project	Low
1		nance and institutional capacity	ADR Eineneing		
,	• • •	operation and integration	ADB Financing Adaptation (\$ million)		0.00
•	r ostornig regional co	roperation and integration			
			Mitigation (\$ million)		0.00
			Cofinancing		
			Adaptation (\$ million)		0.00
			Mitigation (\$ million)		0.00
	Sustainable Develop	oment Goals	Gender Equity and Mair		
	SDG 1.3, 1.a SDG 5.5		Some gender elements (SGE)	1
	SDG 7.b		Poverty Targeting		
	SDG 9.1		Geographic Targeting		1
	SDG 10.3				
4.	Risk Categorization	Complex			
5.	Safeguard Categoriz	zation Safeguard Policy Statement of	loes not apply		
6.	Financing				
	Modality and Source	es		Amount (\$ million)	
	ADB				0.70
		cal assistance: Technical Assistance S	pecial Fund		0.70
	Cofinancing				1.00
	Republic of Korea (Administration)	e-Asia and Knowledge Partnership Fur	nd (Full ADB		1.00
	Counterpart				0.00
	None				0.00
	Total				1.70

I. THE TECHNICAL ASSISTANCE FACILITY

A. Justification

- The transaction technical assistance (TA) facility will provide project preparation and capacity building support to a series of two ensuing projects that focus on the improvement of the remaining sections of the Guzar-Bukhara-Nukus-Beyneu (A380) highway. The Guzar-Bukhara-Nukus-Beyneu Road Reconstruction Project 1 comprises (i) upgrading an existing 25 kilometers (km) section of the A380 (673-698 km), (ii) installing an intelligent transport system (ITS) in sections of the A380 upgraded under the previous Asian Development Bank (ADB) projects (228-581 km), and (iii) installing two weigh-in-motion (WIM) systems in adjacent sections of the A380 (228–766 km). The Guzar–Bukhara–Nukus–Beyneu Road Reconstruction Project 2 comprises (i) replacing the existing 92 km alignment of the A380 (581-673 km) by approximately 86 km of a new alignment (named Turtkul Bypass); (ii) construction of a service area; (iii) strengthening quality control through the provision of laboratory testing equipment and training in its use: and (iv) repair of 40 km of local roads and 10 bridges along the A380. Both ensuing projects will be in the road sector. The two projects and the TA facility are listed in ADB's country operations business plan for Uzbekistan, 2021–2023 and prepared at the request of the government, which asked the ADB to prioritize the 25 km section in January 2020.1 The TA facility will conduct the relevant due diligence, improve project readiness, and provide capacity building activities for the concerned executing and implementing agencies.
- 2. The Government of Uzbekistan has invested significantly in upgrading the 1,204 km A380 that runs from Guzar through Bukhara and Nukus to Beyneu in Kazakhstan. The A380 forms part of the Central Asia Regional Economic Cooperation (CAREC) Corridor 2 and is an important route from eastern Uzbekistan to the Caspian Sea port of Aktau and onwards to Turkey, the Russian Federation, and Europe that are amongst Uzbekistan's most important trading partners.² It also forms a key route for domestic integration, connecting the remote Republic of Karakalpakstan to the rest of Uzbekistan. Since 2007, different sections of the A380 have been successively upgraded through seven consecutive ADB loan projects and with government funding.³ Currently there only remains 117 km gap (581–698 km) that has not yet been upgraded, located around the town of Turtkul in the Republic of Karakalpakstan.
- 3. **Road infrastructure**. In Uzbekistan, the principal modes of transport are roads and railways, which reinforce each other in forming a unified transport network. Uzbekistan has 142,000 km of roads, out of which 42,695 km are public roads managed by the Committee for Roads. These are classified as international (3,981 km), state (14,100 km), and local roads (24,614 km). Over 95% of passengers are transported by road, so is 60% of freight. While the road network is adequate in providing access throughout the country, it suffers from a backlog of rehabilitation work and is, thus, in generally poor condition, with older sections having outdated standards. Since 2004, Uzbekistan's gross domestic product has grown by more than 7% per

² By value, these countries are the origin of approximately 40% of Uzbekistan's imports and the destination of approximately 60% of its exports.

¹ ADB. 2020. Country Operations Business Plan: Uzbekistan, 2021–2023. Manila.

³ ADB. 2007. Report and Recommendation of the President to the Board of Directors: Proposed Loan to the Republic of Uzbekistan for the for CAREC Regional Road Project. Manila (Loan 2403); ADB. 2010. CAREC Corridor 2 Road Investment Program - Tranche 1. Manila (Loan 2635); ADB. 2011. CAREC Corridor 2 Road Investment Program - Tranche 2. Manila (L2746); ADB. 2012. CAREC Corridor 2 Road Investment Program - Tranche 3. Manila (Loan 2868); ADB. 2012. Second Central Asia Regional Economic Cooperation Corridor 2 Road Investment Program - Tranche 2. Manila (Loan 2965); and ADB. 2020. Central Asia Regional Economic Cooperation Corridor 2 Karakalpakstan Road (A380 Kungrad to Daut-Ata Section) Project. Manila (Loans 3963 and 3965).

year, contributing to a strong demand for road transport and increasing traffic volumes. Improvements in relationships between Uzbekistan and its neighbors will further increase such demand. Uzbekistan is one of the countries in the world that is most vulnerable to climate change.⁴ The proposed projects will adopt climate change adaption features in the design.⁵

- 4. **Institutional framework.** The Ministry of Transport (MOT) was established to develop and implement a unified state policy for road, rail, air, river, and urban transport, and carry out state regulation for transport and road agencies. The main institution for road transport is the Committee for Roads under the MOT, which is engaged in the design, construction, and operation of public roads. The Republican Road Fund under the Cabinet of Ministers was subsumed under the Committee for Roads on 1 January 2019. In December 2019, the Republican Road Fund was transformed into the agency "Avtoyulinvest" and designated as the body for the implementation of road transport investment projects involving funding from international financial institutions and foreign government financial organizations, as financing is handled by the Committee for Roads through Avtoyulinvest.
- Strategic context. The government's Development Strategy for 2017–2021 pursues five 5. priority areas, with transport and communications seen as a key element in supporting the priority area related to economic development and liberalization. The TA facility also promotes the implementation of CAREC 2030,8 particularly operational clusters 2 (trade, tourism, and economic corridors) and 3 (infrastructure and economic connectivity). This project also promotes the CAREC Transport Strategy 2030,9 particularly the strategic pillars on (i) cross-border transport and logistics facilitation, by facilitating the movement of cargo from Europe and the Commonwealth of Independent States countries; (ii) road safety, by increasing the road safety management capacity of the Committee for Roads; and (iii) road asset management, by introducing state-of-the-art WIM systems for vehicle overloading control and ITS for traffic management. The TA facility is furthermore aligned with the ADB's Strategy 2030, 10 which gives attention to the needs of landlocked economies and supports improving regional connectivity and competitiveness by addressing cross-border infrastructure needs. It is also consistent with ADB's country partnership strategy for Uzbekistan 2019–2023. 11 The project will contribute to improved trade and tourism activities in Uzbekistan through improved regional connectivity to key CAREC corridor, as well as boosting Uzbekistan's role in transiting international goods and shipments by reducing transport costs and time, and increased road safety. The TA facility supports Area 3 of the country partnership strategy (i.e., Promoting regional cooperation and integration). ADB has a long tradition of supporting regional integration and cooperation through the CAREC Program, and its activities will support Uzbekistan's emerging role as a driver of regional cooperation. ADB will promote regional power trade within the Central Asia Power System and regional connectivity along major CAREC corridors: it will rehabilitate last-mile transport infrastructure near borders. modernize cross-border gas pipelines, and support various sanitary and phytosanitary measures

⁴ World Bank. <u>Climate change in Uzbekistan</u> (accessed 6 October 2021).

⁵ Republic of Uzbekistan, Food and Agricultural Organization of the United Nations. 2015. <u>Intended Nationally Determined Contributions of the Republic of Uzbekistan (INDC)</u>. Tashkent.

Resolution of the President of the Republic of Uzbekistan No. PP-4086 "On the forecast of the main macroeconomic indicators and parameters of the state budget of the Republic of Uzbekistan for 2019 and budget guidelines for 2020—2021" dated 26 December 2018. The Republican Road Fund under the Ministry of Finance was reassigned to the Cabinet of Ministers by Presidential Resolution No. PP-2776 dated 14 February 2017.

Resolution of the President of the Republic of Uzbekistan No. PP-4545 "On measures to further improve the road management system" dated 09 December 2019.

⁸ ADB. 2017. <u>CAREC 2030 – Connecting the Region for Shared and Sustainable Development.</u> Manila.

⁹ ADB. 2020. CAREC Transport Strategy 2030. Manila.

¹⁰ ADB. 2018. Strategy 2030: Achieving a Prosperous, Inclusive, and Sustainable Asia and the Pacific. Manila.

¹¹ ADB. 2019. Country Partnership Strategy: Uzbekistan, 2019–2023—Supporting Economic Transformation. Manila.

and certifications to boost the prospects for regional trade and World Trade Organization (WTO) accession. Having adopted the Concept for Tourism Development for 2019–2025, Uzbekistan aims to transform tourism into a strategic sector of the economy. ADB will consider prospects for greater trade integration along economic corridors between Kazakhstan, Tajikistan, and Uzbekistan. The development of these economic corridors and increased regional tourism are promising undertakings with potentially far-reaching implications for the Central Asia region as a whole. Uzbekistan will also benefit from knowledge sharing between CAREC countries on various topics of interest, including on WTO accession.

TA facility rationale. The Government of Uzbekistan, through the Committee for Roads, 6. has the capacity to prepare technical feasibility and detailed design studies. A detailed design has already been prepared for the 25 km upgrading section, and a second detailed design is under preparation for the new Turtkul bypass. The TA facility will carry out due diligence for these designs, assessing the technical design standards, ensuring that climate change adaptation and road safety features are properly incorporated, assessing any social and environmental impacts and related mitigation measures, identifying feasible gender design features, and verifying the economic and financial viability of the concerned projects and their respective outputs. Attention will also be given to institutional strengthening in the preparation and implementation of the selected project activities. The TA facility will support the government in these areas, ensuring that the project activities are properly designed and prepared, and creating the necessary capacities, through on the job training in the Committee for Roads and underlying entities, to carry out the two projects. The TA facility modality has been selected in light of the fact that the two ensuing projects involve adjacent road sections located in similar geographical settings, both fulfilling a similar function of addressing the last remaining gap in the A380 and providing connectivity to the Republic of Karakalpakstan and the border with Kazakhstan. As such it is considered more efficient to pool TA resources for both projects and to combine the different project preparatory activities such as technical due diligence, socioeconomic impact assessment, and environmental and climate change impact assessment, for both projects.

B. Outputs and Activities

- Road Reconstruction Project 1 carried out. The TA facility will provide technical expertise to prepare the road investment project for upgrading the existing 25 km section of the A380. This will include all requisite technical due diligence, strategic procurement planning, environmental impact assessment, social safeguards and indigenous peoples' due diligence, poverty, social, and gender assessment, governance assessment and integrity due diligence, economic and financial analysis, financial management assessment, road safety, climate change assessment, audit, and bidding document preparation and support. The TA facility will also identify existing capacity and institutional constraints to be addressed in project 1, and identify measures to strengthen project implementation and policy related issues.
- 8. Output 2: Due diligence and preparation of the Guzar-Bukhara-Nukus-Beyneu Road Reconstruction Project 2 carried out. The TA facility will provide technical expertise to prepare the road investment project for constructing the new Turtkul bypass in the A380. This will include all requisite technical due diligence, strategic procurement planning, environmental impact assessment, social safeguards and indigenous peoples' due diligence, poverty, social, and gender assessment, governance assessment and integrity due diligence, economic and financial analysis, financial management assessment, road safety audit, climate change assessment, and bidding document preparation and support. The TA facility will also identify

existing capacity and institutional constraints to be addressed in project 2, and identify measures to strengthen project implementation and policy related issues.

9. The TA facility is considered *complex*, because one of the ensuing projects is considered complex, and the loan amount for an ensuing project may exceed \$200 million. ADB has experience with each of the executing agencies, and safeguards classifications for the ensuing projects would likely be B for environment and resettlement for project 1 and A for environment and resettlement for project 2.

C. Cost and Financing

- 10. The TA facility is estimated to cost \$1,700,000, of which (i) \$700,000 will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF-7), and (ii) \$1,000,000 will be financed on a grant basis by the Republic of Korea e-Asia and Knowledge Partnership Fund and administered by ADB, 12 The key expenditure items are listed in Appendix 1.
- 11. The government will provide counterpart support in the form of counterpart staff, office space, information materials, data, maps, and other in-kind contributions. The government was informed that approval of the TA does not commit ADB to finance any ensuing project.

D. Implementation Arrangements

- 12. The TA facility activities for the ensuing projects will start only after ADB approves the project concept paper for each of the ensuing projects.
- 13. ADB will administer the TA facility, and the Transport and Communications Division of the Central and West Asia Department will select, administer, and evaluate consultants under the TA facility. The Committee for Roads will be the executing agency of the TA facility and will supervise project preparation and strategy discussions. The Avtoyulinvest agency under the Committee for Roads will be the primary implementing agency of the TA facility and will provide staff to support and monitor project preparation under the TA facility for the ensuing projects.
- 14. The implementation arrangements are summarized in the table.

Implementation Arrangements

Aspects	Arrangements		
Indicative implementation period	October 2021–June 2023		
Executing agency	Committee for Roads		
Implementing agency	Avtoyulinvest Agency		
Consultants	To be selected and engaged by AD)B	
	Individual: individual selection/resource person Immediate support to preparation of project 1 and specific specialists for both projects	International (11 person- months) and national expertise (5 person- months)	\$250,000
	Firm: Quality and cost-based selection (90:10)	International (40 person- months) and national expertise (33 person- months)	\$1,200,000

¹² On 8 September 2021, the e-Asia and Knowledge Partnership Fund application was approved by the Government of the Republic of Korea.

	Preparation and due diligence of projects 1 and 2			
	Firm: consultants' qualification selection Environmental impact	International (7 person- months) and national expertise (10 person- months)	\$250,000	
	assessments of projects 1 and 2	,		
Advance contracting	Advance contracting will not be undertaken under the TA facility.			
Disbursement	The TA resources will be disbursed following ADB's <i>Technical Assistance Disbursement Handbook</i> (2020, as amended from time to time).			
Asset turnover or disposal arrangement upon TA activities. All assets and equipment procured under the TA facility will be handed on the executing agency after completion of TA activities.			nanded over to	

ADB = Asian Development Bank, TA = technical assistance.

Source: Asian Development Bank.

- 15. **Consulting services.** ADB will engage the consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated staff instructions. The consultants will procure goods necessary for contract execution, such as office and surveying equipment. Approximately 58 person-months of international consultants and 48 person-months of national consultants will be required under the TA facility. The consultants will provide expertise in engineering, social and environmental safeguards, climate change, road safety, WIM, ITS, procurement, and economic and financial assessments.
- 16. **Cofinancier requirements.** As per EAKPF implementation guidelines, the CWTC team will submit progress status report twice a year (January and July) together with event photos, media release, etc. Eligible expenditures will finance operational expenses related to eligible activities indicated in Article 2. It will be used for (i) civil works, (ii) procurement of large equipment, (iii) permanent staffing costs, or (iv) hiring of staff consultants, unless otherwise agreed between the GOK and ADB.

II. THE PRESIDENT'S DECISION

17. The President, acting under the authority delegated by the Board, has approved (i) the Asian Development Bank (ADB) administering a portion of technical assistance not exceeding the equivalent of \$1,000,000 to be financed on a grant basis by the Republic of Korea e-Asia and Knowledge Partnership Fund and (ii) ADB providing the balance not exceeding the equivalent of \$700,000 on a grant basis to the Government of Uzbekistan for Preparing Road Modernization Projects, and hereby reports this action to the Board.

¹³ Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3).

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COST ESTIMATES AND FINANCING PLAN

(\$'000)

A. Asian Development Bank ^a 1. Consultants	Amount
a. Remuneration and per diem	
i. International consultants	427.2
ii. National consultants	70.1
b. Out-of-pocket expenditures	
i. International and local travel	44.6
ii. Surveys	22.3
iii. Training, seminars, and conferences ^b	10.0
iv. Reports and communications ^c	30.0
2. Goods and equipment (rental and/or purchase)d	2.4
3. Training, seminars, and conferences ^b	9.8
4. Miscellaneous administration and support costs ^c	20.0
5. Contingencies (10%)	63.6
Subtotal (A)	700.0
B. Republic of Korea e-Asia and Knowledge Partnership Funde 1. Consultants	
Remuneration and per diem i. International consultants	601.8
	100.1
	100.1
b. Out-of-pocket expendituresi. International and local travel	63.7
ii. Goods and equipment (rental and/or purchase) ^d	2.6
iii. Surveys	30.0
iv. Training, seminars, and conferences ^b	33.2
v. Reports and communications ^c	30.0
2. Surveys	30.0 17.7
3. Miscellaneous administration and support costs ^c	30.0
4. Contingencies (10%)	90.9
Subtotal (B)	1,000.0
Total (A+B)	1,700.0

Note: The government will provide counterpart support in the form of counterpart staff, office accommodation, information materials, data, maps, and other in-kind contributions.

Source: Asian Development Bank estimates.

^a Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF-7).

b Includes in-country training and capacity building workshops as well support to staff of the Committee for Roads to participate in on-the-job training in the field.

^c Includes editing, reproduction, printing, and translation costs.

d Includes minor office equipment and furniture as well as survey equipment as required. All goods and equipment to be transferred to the Committee for Roads upon completion of the assignment.

^e The Government of Republic of Korea approved on 8 September 2021 an amount of \$1 million from e-Asia and Knowledge Partnership Fund.

PROJECTS UNDER TECHNICAL ASSISTANCE FACILITY

Table A2.1: Indicative Technical Assistance Budget Allocation (\$'000)

	Indicative	
Item	risk category	Budget Allocation
Guzar-Bukhara-Nukus-Beyneu Road Reconstruction		
Project 1 (673–698 km)	low risk	720
Guzar-Bukhara-Nukus-Beyneu Road Reconstruction		
Project 2 (581–673 km)	complex	980
TOTAL	·	1,700

Source: Asian Development Bank estimates.

Table A2.2: Indicative Consultants' Input Allocation-Project Due diligence (person-month)

· ·		Project 1 Guzar–Bukhara–	Project 2 Guzar–Bukhara–
		Nukus–Beyneu Road	Nukus–Beyneu Road
		Reconstruction (673–698 km)	Reconstruction (581–673 km)
Item	Total	low risk	complex
International	40.0	16.0	24.0
Team Leader (Highway Engineer)	10.0	4.0	6.0
Bridge and Structural Specialist	2.0	0.0	2.0
WIM Specialist	2.0	2.0	0.0
ITS Specialist	3.0	3.0	0.0
Quality Control Specialist	2.0	0.0	2.0
Transport Economist	3.0	1.0	2.0
Financial Management Specialist	3.0	1.5	1.5
Procurement Specialist	3.0	1.0	2.0
Climate Change Specialist	3.0	1.0	2.0
Road Safety Specialist	2.0	0.5	1.5
Social Development/Gender Specialist	3.0	1.0	2.0
Land Acquisition and Resettlement Specialist	4.0	1.0	3.0
National	33.0	10.5	22.5
Deputy Team Leader (Highway Engineer)	12.0	4.0	8.0
Axle Load Control Specialist	2.0	1.0	1.0
Traffic Management Specialist	3.0	1.0	2.0
Quality Control Specialist	2.0	0.0	2.0
Legal Specialist	2.0	1.0	1.0
Road Safety Specialist	2.0	0.5	1.5
Social Development/Gender Specialist	4.0	1.0	3.0
Land Acquisition and Resettlement Specialist	6.0	2.0	4.0

ITS = intelligent transport system, WIM = weigh-in-motion.

Source: Asian Development Bank estimates.

Table A2.3: Indicative Consultants' Input Allocation–Environmental Impact Assessment

ltem	Total	Project 1 Guzar–Bukhara–Nukus– Beyneu Road Reconstruction (673–698 km) low risk	Project 2 Guzar–Bukhara– Nukus–Beyneu Road Reconstruction (581–673 km) complex	
International	7.0	2.0	5.0	
Environmental Specialist	3.0	1.0	2.0	
Biodiversity Specialist	4.0	1.0	3.0	
National	10.0	2.0	8.0	
Environmental Specialist	5.0	1.0	4.0	
Biodiversity Specialist	5.0	1.0	4.0	

Source: Asian Development Bank estimates.

Table A2.4: Indicative Consultants' Input Allocation – Individual Consultants/Resource Person

(person-month) Project 1 Project 2 Item Total International 11.0 6.0 5.0 Highway Design Specialist 3.0 2.0 1.0 Road Safety Specialist 2.0 2.0 Concrete Pavement Specialist 4.0 1.0 3.0 Strategic Procurement Planning Expert 2.0 1.0 1.0 **National** 5.0 4.0 1.0 Highway Engineer 2.0 3.0 1.0 Road Safety Specialist 2.0 2.0

Source: Asian Development Bank.

LIST OF LINKED DOCUMENTS
http://www.adb.org/Documents/LinkedDocs/?id=55157-001-TAReport

1. Terms of Reference for Consultants