Facility Administration Manual

Project Number: 47273 Loan Numbers: XXXX July 2014

Democratic Socialist Republic of Sri Lanka: Integrated Road Investment Program

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Facility Administration Manual Purpose and Process

The facility administration manual (FAM) describes the essential administrative and management requirements to implement the investment program on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The FAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the FAM.

The executing and implementing agencies are wholly responsible for the implementation of ADB financed projects under the investment program, as agreed jointly between the borrower and ADB, and in accordance with Government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by executing and implementing agencies of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At Loan Negotiations the borrower and ADB shall agree to the FAM and ensure consistency with the Loan Agreement. Such agreement shall be reflected in the minutes of the Loan Negotiations. In the event of any discrepancy or contradiction between the FAM and the Loan Agreement, the provisions of the Loan Agreement shall prevail.

After ADB Board approval of the investment program's report and recommendations of the President (RRP) changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures (including the Facility Administration Instructions) and upon such approval they will be subsequently incorporated in the FAM.

Abbreviations

ADB	=	Asian Development Bank
	=	Asian Development Fund
	=	conventional road contracts
	=	design and monitoring framework
	=	environmental assessment and review tramework
EMP	=	environmental management plan
EMOP	=	environmental monitoring plan
ESDD	=	Environment and Social Development Division of Road Development Authority
FGIA	=	first generation imprest account
GAP	=	gender action plan
GN	=	Grama Niladhari
ICTAD	=	Institute for Construction, Training and Development
IEE	=	initial environmental examination
IPP	=	indigenous peoples plan
IPPF	=	indigenous peoples planning framework
MOHPS	=	Ministry of Highways, Ports & Shipping (formerly Ministry of Ports and Highways)
OPRC	=	output and performance-based road contract
PIC	=	project implementation consultant
PIU	=	project implementation unit
PPMS	=	project performance management system
RDA	=	Road Development Authority
RF	=	resettlement framework
RMC	=	road management contracts
RRP	=	report and recommendation of the President to the Board
SAPE	=	survey and preliminary engineering consultant
SGIA	=	second generation imprest account
SOE	=	statement of expenditure
SPS	=	Safeguard Policy Statement

I. INVESTMENT PROGRAM DESCRIPTION

1. The poor transport infrastructure has hindered the spread of economic activities and the access to basic health and education resource in rural areas. The impact of the investment program will be improved connectivity between rural communities and socioeconomic centers. The outcome will be increased transport efficiency on project roads. The investment program will deliver two outputs: (i) improved road conditions between selected rural communities and socioeconomic centers, and (ii) enhanced capacity of road agencies. The two outputs will be achieved through two components.

- (i) **Road improvement component** will design, improve, and maintain about 2,200 km of rural access roads, including provincial and local authority roads, and about 400 km of national roads.
- (ii) **Capacity development component** will build the capacity of road agencies on road asset management, project management, and contract administration.

2. The investment program will comprise five projects: Project 1 is in Southern Province, Project 2 in Sabaragamuwa Province and the Kalutara District of Western Province, Project 3 in Central Province, Project 4 in North Central Province, and Project 5 in North Western Province. The MFF will finance slices of long-term contract packages under the investment program. Each tranche will finance slices of a group of contracts for civil works or consulting services. Each contract is sliced according to the indicative tranching schedule.

3. **Tranche 1 and Project 1.** Project 1 is estimated to cost \$235 million. The first tranche will require a loan of \$100 million from ADB's Special Funds resources to finance the first slice of Project 1. The first tranche will finance the first slice of Project 1, and deliver three outputs: (i) improved road conditions between selected rural communities and socioeconomic centers in Southern Province, and (ii) enhanced capacity of road agencies, including MOHPS, RDA and road agencies in Southern Province, and (iii) project preparation of following tranches.

4. A list of project roads under the Project 1 is in Attachment A. The civil works in Project 1 will involve two types of contract modalities.

- (i) Conventional Road Contracts (CRC). The conventional measure and value contracts, requiring detailed contract supervision, will be used for the rehabilitation of provincial, local authority, and isolated national road sections. Initial construction is to be completed in the first 1-2 years, followed by a 3 year maintenance period.
- (ii) **Road Management Contracts (RMC).** The RMC is based on the sample bidding documents developed by the World Bank for Output and Performance-based Road Contracts. ¹ Within each package a significant proportion will require rehabilitation in the first 1-2 years, with the remainder possibly requiring periodic resurfacing throughout the contract period (7 years in total). Routine maintenance of the entire length throughout the contract period is part of the work.

¹ World Bank. 2006. *Procurement of Works and Services under Output- and Performance-based Road Contracts and Sample Specifications*. Washington, DC.

II. IMPLEMENTATION PLANS

			20	14		2015		201	6	2	2017		2018	2	201	9	1	2020		202	21	20)22	2	2	023	;	2	024
	MFF Availability Period					Year 1		Year	2	Y	'ear 3		Year 4	Y	'ear	· 5	Y	'ear 6	Τ	Year	r 7	Ye	ar	8	Y	ear 9	9	Ye	ar 10
	Activity	1	2	3 4	1	234	4 1	1 2 3	3 4	1	2 3 4	4	1234	1	2 3	3 4	1	2 3 4	4	1 2 3	3 4	1 2	3	4	1	2 3	4	1 2	234
Α	Project Preparation																												
1	Preparation of Project 1																						Π						
2	Preparation of Project 2, 3, 4, and 5																												
В	Project Management																												
1	Establishment of PIU			-																									
2	Selection of Consultants																												
3	Procurement of civil works under Project 1																												
4	Procurement of civil works under Project 2, 3, 4, and 5																												
5	Contract Administration																						+++	•					
																										ſ			
С	Civil Works																												
1	Implementation of civil works under Project 1																												
2	Implementation of civil works under Project 2																												
3	Implementation of civil works under Project 3																												
4	Implementation of civil works under Project 4																							•					
5	Implementation of civil works under Project 5					-																		•					
D	Capacity Building																												
1	Capacity Building Program																												
																			П						Π				

PIC = Project Implementation Consultants, PIU = Project Implementation Unit Source: Road Development Authority

III. PROJECT MANAGEMENT ARRANGEMENTS

A. Project Implementation Organizations – Roles and Responsibilities

Project Stakeholders	Management Roles and Responsibilities						
Executing agency (EA)	Ministry of Highways, Ports and Shipping (MOHPS, formerly Ministry of Ports & Highways)						
	 overall coordination of project implementation interagency coordination 						
Implementing agency (IA)	Road Development Authority (RDA)						
	 day-to-day project and safeguards management consultant recruitment and procurement of works withdrawal applications project progress reports and safeguard monitoring reports maintaining project accounts and complete loan financial records 						
 National Steering Committees Chair: Secretary of MOHPS; Members: Chief Secretaries of the provinces under the investment program Secretary, Finance Commission Director General, RDA Senior Project Director (iRoad) Commissioners of Local Government authorities under the investment program Heads of provincial road agencies District Secretaries External Resources Department, National Planning Department, and Project Monitoring and Management Department of MOFP 	 oversee and monitor project implementation as well as the adequacy of overall project funding hold meeting as required but at least quarterly to discuss overall status and project issues, and when and as necessary invite representatives from the Central Environmental Agency, Geological Survey and Mines Bureau, and utilities (electricity, telecommunications, water, and drainage) for coordination purposes 						
 Provincial Coordination Committees Chair: Chief Secretary of the Province Members: Project Director (Secretary to the Committee) District Secretaries Representatives of Provincial Road Agencies Representatives of Local Authorities 	 coordinate and facilitate project implementation hold meeting as required but at least quarterly to discuss implementation progress and address project issues, and when and as necessary invite representatives from the relevant offices a coordination committee will be established in each province under the investment program 						
Asian Development Bank	 monitor and review overall implementation of the project in consultation with the EAs/IAs including: the project implementation schedule; actions required in terms of poverty reduction, environmental impacts, and resettlement plans (RPs) if applicable; timeliness of budgetary allocations and counterpart funding; project expenditures; progress with procurement and disbursement; statement of expenditure when applicable; compliance with particular loan covenants; and the likelihood of attaining the project's immediate development objectives. 						

B. Key Persons Involved in Implementation

Executing Agency MOHPS	Mr. R.W. Ranjith Pemasiri Secretary Ministry of Highways, Ports and Shipping Sethsiripaya Office Complex Battaramulla, Sri Lanka. Telephone: 94-11-2887462 Fax: 94-11-2862705
Implementing Agency RDA	Mr. W.A.S. Weerasinghe Director General, Road Development Authority Sethsiripaya, Battaramulla, Sri Lanka Telephone: +94 11 2862795 / 2862485 Fax: +94 11 2872272 / 2889363
	Mr. R.M. Gamini Senior Project Director Road Development Authority Sethsiripaya, Battaramulla, Sri Lanka
	Ms. Jennifer Weerakoon Project Director (Southern Province) Road Development Authority No. 347, Kaduwela Road, Koswatta Battaramulla, Sri Lanka Telephone : +94 773099916 Fax : +94 11 2872214 Email address: jenniferweerakoon@yahoo.com
ADB	
Officer-in-Charge, SATC, South Asia Regional Department	Hiroaki Yamaguchi Officer-in-Charge, SATC Telephone No.: (63) 2 632 6745 Email address: <u>hyamaguchi@adb.org</u>
Mission Leader	Chen Chen Senior Transport Specialist, SATC Telephone No.: (63) 2 632 6268 Email address: <u>cchen@adb.org</u>
Resident Mission Focal	Aruna Nanayakkara Senior Project Officer (Roads and Transport), SLRM Telephone No.: +94 11 4455455 Email address: <u>ananayakkara@adb.org</u>

C. Project Organization Structure

5. The flow chart below shows the reporting lines and essential internal structures of key organizations involved in implementation, including the national steering committees, executing agency, provincial coordinating committee, implementing agency, and PIU.



6. The following flow charts show the reporting lines and essential internal structures of the project implementation units and their staffing assignments. Currently the PIU is established for the implementation of works in Southern Province and the preparation of future tranches. RDA will review and strengthen the PIU as required for the projects in other provinces.



	Sr. No	Position	Name	Existing	New Recruit [timeframe]
1	[1]	Sr. Project Director	R.M. Gamini	appointed	
2	[1A]	Project Director (Southern Province)	Jennifer Weerakoon	appointed	
3	[2]	Deputy Project Director		appointed	[2014.06]
4	[2A]	Project Engineer 1		appointed	[2014.06]
5	[2B]	Project Engineer 2		appointed	[2014.06]
6	[2C]	Project Engineer 3		appointed	[2014.06]
7	[2D]	Project Engineer 4		appointed	[2014.06]
8	[2E]	Project Engineer 5		appointed	[2014.06]
9	[2F]	Project Engineer 6		appointed	[2014.06]
10	[2G]	Project Engineer 7		appointed	[2014.06]
11	[2H]	Project Engineer 8		appointed	[2014.06]
12	[21]	Project Engineer 9		appointed	[2014.06]
13	[2J]	Safeguard Officer 1		appointed	[2014.06]
14	[2K]	Safeguard Officer 2		appointed	[2014.06]
15	[2L]	Safeguard Officer 3		appointed	[2014.06]
16	[3]	Deputy Project Director		appointed	[2014.06]
17	[3A]	Project Engineer 1		appointed	[2014.06]
18	[3B]	Project Engineer 2		appointed	[2014.06]
19	[3C]	Project Engineer 3		appointed	[2014.06]
20	[4A]	Environment Officer		appointed	[2014.06]
21	[4B]	Social Officer		appointed	[2014.06]
22	[5A]	Asset Management Officer		appointed	[2014.06]
23	[6]	Project Accountant		appointed	[2014.06]
24	[6A]	Assistant Accountant 1		appointed	[2014.06]
25	[6B]	Assistant Accountant 2		appointed	[2014.06]
26	[6C]	Management Assistant 1		appointed	[2014.06]
27	[6D]	Management Assistant 2		appointed	[2014.06]
28	[6E]	Management Assistant 3		appointed	[2014.06]
29	[7]	Project Secretary		appointed	[2014.06]
30	[7A]	Admin Assistant		appointed	[2014.06]
31	[7B]	Management Assistant 1		appointed	[2014.06]
32	[7C]	Management Assistant 2		appointed	[2014.06]
33	[7D]	Management Assistant 3		appointed	[2014.06]
34	[7E]	Management Assistant 4		appointed	[2014.06]
35	[7F]	Management Assistant 5		appointed	[2014.06]
36	[7G]	Office Aid 1		appointed	[2014.06]
37	[7H]	Office Aid 1		appointed	[2014.06]
38	[71]	Office Aid 1		appointed	[2014.06]
39	[7J]	Driver 1		appointed	[2014.06]
40	[7K]	Driver 2		appointed	[2014.06]

Staffing Assignment and Recruitment Plan

IV. COSTS AND FINANCING

A. Cost Estimates by Expenditure Category

7. The investment program is estimated to cost \$906 million, including taxes and duties, physical and price contingencies, interest and other charges during implementation.

Table 1: Investment Program

(\$ million)

Item			Amount ^a
Α.	Base	e Cost ^D	
	1.	Civil works	701.12
	2.	Consulting services	40.48
	3.	Recurrent costs (project management)	15.00
		Subtotal (A)	756.60
В.	Cont	ingencies	130.90
C.	Finar	ncing Charges During Implementation ^d	18.50
		Total (A+B+C)	906.00
a	-		

^a Includes taxes and duties of \$82.60 to be financed from government resources.

^b In mid-2014 prices.

^c Physical contingencies computed at 10% for civil works; and 10% for consulting services. Price contingencies computed at about 2% on foreign exchange costs and about 6% on local currency costs; includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

^d Includes interest and commitment charges. Interest during construction for ADB loan(s) has been computed at the 5-year forward London interbank offered rate plus a spread of 0.5% for the ordinary capital resources loan, and at 2.0% per annum for the loan from ADB's Special Funds resources. Commitment charges for the ordinary capital resources loan(s) are 0.15% per year to be charged on the undisbursed loan amount. Source: Asian Development Bank.

8. The government has requested a multitranche financing facility of \$800 million from ADB's ordinary capital resources and Special Funds resources to help finance civil works, consulting service, and project management costs of the investment program. The government will provide counterpart financing of \$106 million for feasibility study and engineering, tax and duties, and part of the contingency. The tax and duties will be funded either by way of exemption or through payment. The Government will confirm the approach by the time of inception mission.

9. The financing plan and an indicative tranche schedule are in Table 2. The MFF will finance slices of long-term contract packages under the investment program, so that the appraisal and procurement works under the investment program are frontloaded to the first 2 to 3 years of implementation. The tranching schedule is based on the disbursement projection, which will minimize financing charges and improve the disbursement ratio under the investment program. Each tranche will finance slices of a group of contracts for civil works or consulting services. Each contract is sliced according to the indicative tranching schedule.

			Indicative Tranching Plan and Amount (\$ million)									
Source	Amount (\$ million)	Share of Total (%)	1 (2014)	2 (2014)	3 (2016)	4 (2017)	5 (2018)	6 (2020)				
Asian Development Bank	800.0	88.3	100.0	100.0	200.0	150.0	150.0	100.0				
Government	106.0	11.7	18.0	15.0	25.0	18.0	18.0	12.0				
Total	906.0	100.0	118.0	115.0	225.0	168.0	168.0	112.0				

 Table 2: Investment Program Financing Plan

Source: Asian Development Bank

Β. Allocation and Withdrawal of Loan Proceeds in Tranche 1

The following table should be read in conjunction with the loan agreements - schedule 10. entitled "Allocation and Withdrawal of Loan Proceeds".

	I able 3: Allocation and withdrawal of Loan Proceeds (Integrated Road Investment Program – Tranche 1)										
	Total Amount Allocated for										
Number	Item	ADB Financing (SDR)	Basis for Withdrawal from the Loan Account								
		Category									
1	Works	[\$85,000,000]	100% of total expenditure claimed*								
2	Consulting Services	[\$8,000,000]	100% of total expenditure claimed*								
3	Project Management	[\$3,150.000]	100% of total expenditure claimed*								
4	Interest Charge	[\$3,850,000]	100% of amount due								
	Total	[\$100,000,000]									
*Evaluation	of to yoo and duited income of	within the territory of the Development									

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Exclusive of taxes and duties imposed within the territory of the Borrower.

11. The first tranche will finance the first time slice of Project 1: Southern Province Integrated Road Project. Therefore the contingency is not included in the allocation of loan proceeds. It is expected the following tranche(s) will finance the contingency as required. Any incidental expenditure relating to bank charges, local transport, freight and insurance are eligible for ADB financing. The Detailed Cost Estimates for Project 1 and Financing Plan of Tranche 1 are as show in the following table.

Table 4: Cost Estimates of Project 1 and Financing Plan of Tranche 1

	(\$ million)				
	Project 1		Tra	nche 1	
			% of	ADB	Government
Item	Total	Total	Project 1	(%)	(%)
A Investment Costs [a] [b]					
1. Civil Works	153.44	95.20	62.0%	89.3%	10.7%
2. Consultancy	37.94	15.80	41.6%	50.6%	49.4%
Subtotal (A)	191.38	111.00	58.0%	83.8%	16.2%
B. Recurrent Costs [c]					
1. Project Management	3.15	3.15	100.0%	100.0%	
Subtotal (B)	3.15	3.15	100.0%	100.0%	
C. Contigencies					
1. Physical Contingency [d]	19.45	0.00	0.0%		
2. Price Contingency [e]	15.17	0.00	0.0%		
Subtotal (C)	34.62	0.00	0.0%		
D. Financing Charges During Implementation					
1. Interest During Implementation	5.40	3.85	71.3%	100.0%	0.0%
2. Commitment Charges	0.45	0.00	0.0%		
Subtotal (D)	5.85	3.85	65.8%	100.0%	0.0%
Total Project Cost (A+B+C+D)	235.00	118.00	50.2%	84.7%	15.3%
Notes:					
[a] In 2014 prices based on detail design.					
[b] Inclusive of local taxes and duities compute at and equipment, and 25% for foreign consultant re	12.0% for ci muneration.	vil works c	ontract valu	es, consul	ting services,
[c] Incremental administrative expenditures, includ	ing bank ch	arges, loca	al transport a	and insurar	ice.
[d] Computed at 10% for civil works.					
[e] Computed at about 2% for foreign currency cos	sts, and 6-79	% for local	currency co	osts.	

[f] Capitalized during implementation period, consisting of interest of ADF loan at 2.0% per annum.

C. Contract and Disbursement S-curve



D. Fund Flow Diagram

12. The following diagram show how the funds will flow from ADB and the Borrower to implement project activities.



Notes on funds flow:

1. **From ADB to the Imprest Account.** Loan proceeds will be channeled through an Imprest Account opened at the Central Bank of Sri Lanka to a sub account to be managed by RDA at state owned banks acceptable to the Government and ADB. ADB funds will be allocated based on the annual budget estimates prepared by the RDA. RDA will process all other disbursement requests to ADB, including direct payment to contractors and consultant fee. The Imprest Account will be liquidated and replenished according to the ADB's *Loan Disbursement Handbook*.

2. **From ADB to contractors as well as consultants.** Dollar-denominated payments above \$100,000 for contractors, contracted by RDA, will be paid directly by ADB, which requires RDA's submission of approved invoices and documentation to ADB in accordance with ADB's *Loan Disbursement Handbook*.

V. FINANCIAL MANAGEMENT

A. Financial Management Assessment

13. A Financial Management Assessment (FMA) for RDA and its PIUs was performed in 2013 for Southern Road Connectivity Project and has been duly updated in accordance with ADB Guidelines for the *Financial Management and Analysis of Projects* (2005) and *Financial Due Diligence a Methodology Note* (2009). The capacity of RDA has been evaluated with focus on fund flows, staffing, accounting policies and procedures, internal controls, financial reporting and monitoring, and internal and external audit in relation to administering the investment program. RDA's financial management risk is assessed as moderate and the financial management arrangements are considered adequate.

14. RDA has comprehensive experience of implementing ADB-funded projects and has satisfactory capacity in terms of project financial accounting and knowledge of ADB procedures. RDA has a dedicated project accounting and finance team with suitably qualified accountants: a project accountant, an accounts assistant, four accounts clerks and a computer operator. RDA will maintain separate project records and accounts to identify the financing resources received and expenditures made for the project, ensuring an adequate audit trail. RDA operates with the Computer Integrated Government Accounting System (CIGAS) for monthly cash reports under statutory reporting. PIUs under RDA use a combination of manual and off the shelf packages for accounting and recording purposes depending on the size of the project financial statements and related accounts in accordance with Sri Lanka Auditing Standards. Audited project financial statements for previous ADB funded projects implemented by RDA were of adequate quality and there are no significant unresolved audit observations.

15. RDAs own audited statutory financial statements for the FY 2011 indicate that the entity is functioning primarily with treasury grants, but has adequate financial management and internal controls. The audit for the FY 2012 has not yet been completed. The Financial Statements are prepared in accordance with Sri Lanka Accounting standards. RDA is primarily governed by financial regulations of the government. RDA has an internal audit department and ADB funded projects are subject to Internal Audit. Internal audit department should include this investment program in their annual audit program.

16. Timely availability of counterpart funds has been identified as an issue in previous projects. To mitigate this, under this tranche the government plans to obtain exemptions from tax authorities for VAT & CIGFL. Civil works contracts shall be financed at 89.3%, thus reducing government counterpart funding. To minimize the risk of implementation delays, ADB's direct payment procedure will be used for disbursement above \$100,000 for works, goods, and consulting services. Furthermore the continuation of staff throughout the implementation period is also essential. Frequent transfer of staff should be minimized. There is a risk of losing experienced staff of RDA as many are nearing their retirement age. Continues training should be given to the new staff and existing staff to minimize this type of loss.

17. Financial management risks should be considered and updated² throughout the life of the project. Risk mitigation measures should also be updated accordingly.

² Available at: <u>http://www.adb.org/Documents/Others/FM-toolkit/Methodology-Note.pdf</u>, and Financial Management. See also Analysis of Projects Guidelines (2005): <u>http://www.adb.org/Documents/Guidelines/Financial/default.asp</u>.

B. Disbursement

18. The Loan proceeds will be disbursed in accordance with ADB's *Loan Disbursement Handbook* (2012, as amended from time to time),³ and detailed arrangements agreed upon between the Government and ADB.

19. Direct payment procedure by ADB will be utilized for progress payments above \$100,000 on civil works, consultant's fees, and equipment (vehicle) supplier. Reimbursement, imprest fund (liquidation or replenishment) procedures will be utilized for recurrent costs (project management), and progress payment less than \$100,000 on civil works, consultant's fees, and equipment (vehicle) supplier. One imprest account in US dollar and one sub account in local currency will be established and maintained by RDA as summarized in the following table:

	Funding Source
	ADF
Imprest Account	(1) account (\$) established at the Central Bank of Sri Lanka in the name of RDA's
	Project Implementation Unit
Sub Account	(1) account (SLRs) established at the state owned bank in the name of RDA's
	Project Implementation Unit

20. The Imprest Account will be established, managed, replenished and liquidated in accordance with the Loan Disbursement Handbook. The request for advance to the Imprest Accounts should be accompanied by an Estimate of Expenditure Sheet setting out the estimated expenditures for the forthcoming six (6) months of project implementation, and submission of evidence satisfactory to ADB that the Imprest Accounts have been duly opened. For every liquidation and replenishment request of the imprest account, the borrower will furnish to ADB (a) Statement of Account (Bank Statement) where the imprest accounts are maintained, and (b) the Imprest Account Reconciliation Statement reconciling the above mentioned bank statement against the EA's records.

21. ADB's statements of expenditure (SOE) procedure will be utilized for reimbursement and liquidation and replenishment of advance to the imprest account. Under this facility, no specific ceiling amount per individual payment is set for using the SOE procedure. SOE records should be maintained and made readily available for review by ADB's disbursement and review mission or upon ADB's request for submission of supporting documents on a sampling basis, and for independent audit.

22. Before the submission of the first withdrawal application, the borrower should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the borrower, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is US\$100,000, unless otherwise approved by ADB. Individual payments below this amount should generally be paid from the imprest/sub account, or by the RDA and subsequently claimed to ADB through reimbursement. ADB reserves the right not to accept withdrawal applications below the minimum amount. Withdrawal applications and supporting documents will demonstrate, among other things that the goods, and/or services were produced in or from ADB members, and are eligible for ADB financing.

³ Available at: <u>http://www.adb.org/documents/loan-disbursement-handbook</u>.

23. RDA will be responsible for (i) preparing disbursement projections, (ii) requesting budgetary allocations for counterpart funds, (iii) collecting supporting documents, and (iv) preparing and sending withdrawal applications to ADB.

C. Accounting

24. RDA will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on the project. RDA will prepare project financial statements in accordance with the government of Sri Lanka's accounting laws and regulations which are consistent with international accounting principles and practices. Project financial statements shall include at a minimum, a statement of receipts and payments with accompanying notes and schedules. These shall be prepared to ensure maximum alignment to international accounting standards. Financial statements for individual tranches will be consolidated.

D. Auditing

25. RDA will cause the detailed project financial statements to be audited in accordance with International Standards on Auditing and with the Government's audit regulations, by an independent auditor acceptable to ADB. The audited project financial statements will be submitted in the English language to ADB within six months of the end of the fiscal year by the RDA.

26. The annual audit report for the project financial statements will include audit opinions which cover (i) whether the project financial statements present a true and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting framework; (ii) whether loan proceeds were used only for the purposes of the project or not; (iii) the level of compliance for each financial covenant contained in the legal agreements for the project; (iv) use of the imprest fund procedure; and (v) the use of the statement of expenditure procedure certifying to the eligibility of those expenditures claimed under SOE procedures, and proper use of the SOE and imprest procedures in accordance with ADB's Loan Disbursement Handbook and the project documents. A management letter shall also be provided.

27. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

28. The Government and RDA have been made aware of ADB's policy on delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.⁴ ADB reserves the right to require a change in the auditor (in a manner

⁴ ADB Policy on delayed submission of audited project financial statements:

[•] When audited project financial statements are <u>not received by the due date</u>, ADB will write to the executing agency advising that (i) the audit documents are overdue; and (ii) if they are not received within the next six months, requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.

When audited project financial statements <u>have not been received within 6 months after the due date</u>, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters. ADB will (i) inform the executing agency of ADB's actions; and (ii) advise that the loan may be suspended if the audit documents are not received within the next six months.

consistent with the constitution of the borrower), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

29. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011)⁵. After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website. The management letter will not be disclosed.

[•] When audited project financial statements <u>have not been received within 12 months after the due date</u>, ADB may suspend the loan.

⁵ Available from http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications.

VI. **PROCUREMENT AND CONSULTING SERVICES**

Α. **Advance Contracting**

30. All advance contracting will be undertaken in conformity with ADB's Procurement Guidelines (2013, as amended from time to time).⁶ and ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).⁷ The issuance of invitations to bid under advance contracting will be subject to ADB approval. The Government, MOHPS, and RDA have been advised that approval of advance contracting does not commit ADB to finance the ensuing Project.

31. Advance contracting includes tendering and bid evaluation for all civil works packages, and recruitment of consultants. The detailed advance action schedules and actual dates are presented as follows.

Proje	Project Implementation Consultant for CRC packages in Southern Province										
No.	Activity	Days	Timeframe	Action By	Status	Actual Date					
1	Prepare Request for Expression of Interest		01/07/2014	RDA							
2	Advertise in the newspapers & ADBBO	5	06/07/2014	RDA							
3	EOI Submission	31	06/08/2014	External							
4	Submission (1) to ADB: Shortlisting/Draft Request for Proposal (RFP)	21	27/08/2014	RDA							
5	ADB's Review and No-Objection	21	17/09/2014	ADB							
6	Issue RFP	4	21/09/2014	RDA							
7	Proposal Submission	46	06/11/2014	External							
8	Submission (2) to ADB: Technical Evaluation	21	27/11/2014	RDA							
9	ADB's Review and No-Objection	14	11/12/2014	ADB							
10	Public Opening of the Financial Proposals	3	14/12/2014	RDA							
11	Submission (3) to ADB: Financial Evaluation/Ranking	14	28/12/2014	RDA							
12	ADB's Review and No-Objection	7	04/01/2015	ADB							
13	Invite 1st Ranked Firm - Negotiate/Draft Contract	7	11/01/2015	RDA							
14	Submission (4) to ADB: Draft Negotiated Contract	2	13/01/2015	RDA							
15	ADB's Review and No-Objection	7	20/01/2015	ADB							
16	Contract Signing & Issue Notice to Proceed	2	22/01/2015	RDA							

Procurement - Civil Works Southern Province CRC (9 lots)

No.	Activity	Days	Timeframe	Action By	Status	Actual Date
1	Finalize Bidding Document		01/07/2014	RDA		
2	ADB Review	28	29/07/2014	ADB		
3	Final Revisions as Necessary	4	02/08/2014	RDA		

 ⁶ Available at: <u>http://www.adb.org/Documents/Guidelines/Procurement/Guidelines-Procurement.pdf</u>.
 ⁷ Available at: <u>http://www.adb.org/Documents/Guidelines/Consulting/Guidelines-Consultants.pdf</u>.

4	Advertise Invitation for Bids in Newspaper/ADBBO	1	03/08/2014	RDA	
5	Preparation of Bids	42	14/09/2014	External	
6	Submission of Bids/Public Opening	0	14/09/2014	RDA	
7	TEC Evaluate Technical Envelope (Qual./Technical)	14	28/09/2014	RDA	
8	Review by Procurement Committee	7	05/10/2014	RDA	
9	ADB Review	21	26/10/2014	ADB	
10	Public Opening of Financial Envelope	11	06/11/2014	RDA	
11	Evaluate Financial Bid	9	15/11/2014	RDA	
12	Bid Evaluation Report & Recommend Award	3	18/11/2014	RDA	
13	Review by Procurement Committee	7	25/11/2014	RDA	
14	ADB Review and No-Objection	28	23/12/2014	ADB	
15	Issue Notice of Award	48	09/02/2015	RDA	

Procurement – Civil Works Southern Province RMC (2 lots)

No.	Activity	Days	Timeframe	Action By	Status	Actual Date
1	Finalize Bidding Document		30/08/2014	RDA		
2	ADB Review	28	27/09/2014	ADB		
3	Final Revisions as Necessary	4	01/10/2014	RDA		
4	Advertise Invitation for Bids in Newspaper/ADBBO	1	02/10/2014	RDA		
5	Preparation of Bids	42	13/11/2014	External		
6	Submission of Bids/Public Opening	0	13/11/2014	RDA		
7	TEC Evaluate Technical Envelope (Qual./Technical)	14	27/11/2014	RDA		
8	Review by Procurement Committee	7	04/12/2014	RDA		
9	ADB Review	21	25/12/2014	ADB		
10	Public Opening of Financial Envelope	11	05/01/2015	RDA		
11	Evaluate Financial Bid	9	14/01/2015	RDA		
12	Bid Evaluation Report & Recommend Award	3	17/01/2015	RDA		
13	Review by Procurement Committee	7	24/01/2015	RDA		
14	ADB Review and No-Objection	28	21/02/2015	ADB		
15	Issue Notice of Award	48	10/04/2015	RDA		

B. Procurement of Goods, Works and Consulting Services

32. All procurement of goods and works will be undertaken in accordance with ADB's *Procurement Guidelines (2013, as amended from time to time).*

33. The government will inform ADB on the changes made to the national procurement regulations if any and carry out a joint review of the NCB Annex if necessary. The procurement plan should be updated whenever change in the procurement arrangements and/or the NCB Annex is required and agreed.

34. An 18-month procurement plan indicating threshold and review procedures, goods, works, and consulting service contract packages and national competitive bidding guidelines is in Attachment B (Procurement Plan).

35. All consultants will be recruited according to ADB's *Guidelines on the Use of Consultants* (2013, as amended from time to time).⁸ The terms of reference for all consulting services are detailed in Attachments C.

36. To facilitate project management and implementation, four separate international firms, as project implementation consultants will be recruited, one for CRC packages of Project 1, one for CRC packages of Project 2 and 3, one for CRC packages of Project 4 and 5, and one for all RMC packages. The PIC will assume the role of the "Engineer" and will supervise respective civil works and provide on-the-job training to counterpart staff from RDA, and/or provincial and local road agencies. The consulting firm will be engaged using the quality- and cost-based selection (QCBS) method with a weighting of 90% technical and 10% financial as the nature of the assignment requires priority consideration for quality.⁹

C. Procurement Plan

37. The procurement plan is in Attachment B and describes all procurement of goods, works, and consulting services to be undertaken for the Project.

D. Consultant's Terms of Reference

38. Outlines of the consultant's terms of reference are in the following attachments:

- C-1: Project Implementation Consultants (CRC packages of Project 1)
- C-2: Project Implementation Consultants (CRC packages of Project 2 and 3)
- C-3: Project Implementation Consultants (CRC packages of Project 4 and 5)
- C-4: Project Implementation Consultants (RMC packages)
- C-5: Individual Advisory Consultants

⁸ Checklists for actions required to contract consultants by method available in e-Handbook on Project Implementation at: <u>http://www.adb.org/documents/handbooks/project-implementation/</u>.

⁹ The consultants will be required to support the implementation of several innovative activities, including performance-based maintenance, and climate change adaptation measures. Therefore 90:10 is considered more appropriate.

VII. SAFEGUARDS

39. Pursuant to ADB's Safeguard Policy Statement, 2009 (SPS) ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS.¹⁰

A. Environment

40. **Categorization**. The scope of works under tranche I involves rehabilitation of existing rural and national roads. Some of the national roads will require only routine maintenance works to keep the roads in good riding condition. There will be no widening and no roads falling inside protected areas will be included in the project. Therefore, tranche I has been categorized as "B" in accordance with ADB SPS. Since there are a large number of short roads under the investment program, preparation of individual initial environmental examinations (IEEs) for each and every road will be difficult and time consuming. Hence a consolidated province level IEE has been prepared for all roads in the southern province and disclosed on the ADB website. The IEE was prepared based on completed road specific environmental assessment and review framework (EARF) has been prepared to guide environmental assessment of succeeding tranche's under the program. Categorization and assessments for succeeding tranche's will be carried out in accordance with the requirements of the EARF, Ministry of Environment and Renewable Energy of the Government of Sri Lanka and ADB SPS.

41. Ensuring Implementation of Environmental Standards. The EA and IA will ensure that all environment safeguard requirements under the program will be implemented as required by the EARF and respective province level IEE including a standard environmental management plan (EMP) and environmental monitoring plan (EMOP). Environment checklists will be completed for each and every road including bridges. Based on these checklists one province level IEE report will be prepared by the Survey and Preliminary Engineering (SAPE) team of RDA. The report must clearly present information and issues that may be unique to a district or geographic area or project road and all sensitive issues identified in the environment checklist must be clearly documented. The standard EMP and EMOP will be comprehensive and cover all environmental issues that may be expected during road construction and/or maintenance within the respective province. The contractor who is responsible for preparing the final detailed design of the roads, will be required to prepare contract package specific EMPs and EMOPs based on the final detailed design, information in the road specific environment checklists and the standard EMP. These will be subject to approval by the PIC and PIU. Necessary provisions for this will be included in the bidding documents and accordingly the contractor will be required to include all costs for implementing the contract package specific EMP and EMOP.

42. The EMP is a plan for mitigating all anticipated environment impacts during project construction and operation. Specific mitigation measures with details on location, time and responsible agency for implementation is given in the EMP.

43. The EMOP is a plan for monitoring various environment quality parameters and checking the effectiveness of the EMP. It comprises of activities on testing the quality of air, water, noise through laboratory tests and physical monitoring of problems of soil erosion, tree

¹⁰ Available at: http://www.adb.org/Documents/Policies/Safeguards/Safeguard-Policy-Statement-June2009.pdf

plantations and habitat enhancement activities carried out and occupational health and safety issues. Quality testing of air, water and noise will be outsourced by the contractor to recognized and approved laboratories. The PIC will conduct regular monitoring of EMP and EMOP implementation and review monitoring records maintained by the contractors. Environment and Social Development Division (ESDD) will also conduct on site monitoring and review of documents at least bi-annually and provide technical advice to enhance EMP implementation as necessary.

44. All required clearances, permits and licenses as applicable must be obtained by the project implementation unit (PIU) before start of construction works in the respective road sections. Permits, licenses etc. for activities such as operation of asphalt plants, quarries, borrow areas etc. must be obtained by the contractor before the implementation of the respective construction activity.

B. Involuntary Resettlement

45. **Project 1.** Project 1 for the improvement of rural access roads and national roads in Southern Province is classified as category "B" in accordance with SPS. The improvement of project roads will be carried out all within the existing alignment with no widening. A land acquisition due diligence was undertaken for all Project 1 roads and did not identify any impact on land, structures, private trees, or community resource properties. Social impact assessment comprising of at least 20% households and focused group discussions were also conducted. However, for the 7-year road management contract of selected national roads, resettlement impact might be encountered at a late stage.

46. **Pre-construction.** The RDA supported by its ESDD and consultants will be responsible for conducting a transect walk for each rural road, during which the community will consulted and involved in providing including (i) minimize construction impact, (ii) identify and minimize social and environment impact, and (iii) integrate road safety design into road. The community will also be briefed about the Grievance Redressal Mechanism. The results from the transect walk (report and map) will be submitted to the civil works contractor who will integrate feasible features into the Level 1 final design. The PIC will review final design.

47. **Construction and maintenance.** During construction phase, the PIC will be responsible for conducting semi-annual onsite social safeguard monitoring. During maintenance phase, the PIC will be responsible for conducting annual onsite social safeguard monitoring. PIC should pay close attention to ensure that all grievances are addressed in a timely manner. Reporting templates can be found in the Resettlement Framework.

48. **Preparation of Subsequent Tranches or Unanticipated Impact.** A Resettlement Framework has been prepared to guide the preparation of subsequent Projects or unanticipated impact. For preparation of subsequent Projects, the PIC will be responsible for carrying out a due diligence on the ongoing Project(s). RDA will be responsible for initial road selection based on growth potential of Grama Niladhari (GN) Divisions as rural hub. The ESDD will then conduct land acquisition due diligence and social impact assessment. 100% of affected households will need to be covered and 20% census of households in the project impact area will be surveyed. If land is required for the rural roads component, the voluntary land donation system will be used. For land donation, specific procedural requirements involving comprehensive consultations with the communities have been prepared in Appendix 3 of the resettlement framework (RF) and the Government will ensure that land donation is undertaken without coercion and documented in a transparent manner. Eminent domain will not occur if negotiation

regarding land donation fails. Households will not donate more than 5% of land holding and no physical displacement will take place. The PIC will visit roads with land donation on a monthly basis until land donation process is finalized. An independent monitor will be engaged to verify and certify the process has been done as per RF. For national roads requiring land, acquisition will take place in accordance to requirements of the Government and the ADB SPS and land and assets will be compensated at replacement cost for both titleholders and non-titleholders. A Resettlement Plan will need to be prepared for projects with impact. For all roads, civil works cannot commence until the right of way is free of encumbrance, meaning that the affected household must be fully compensated and/or assisted prior to dismantling or relocation. The PIU will be supported by the RDA's Environment and Social Development Division (ESDD) and a social safeguard team under the PIC.

C. Indigenous Peoples

49. For the investment program, an Indigenous Peoples Planning Framework (IPPF) has been prepared to guide the screening and preparation of safeguard planning for future Projects.

50. For Project 1, no indigenous people were identified during due diligence. In case of any adverse impacts is identified during implementation, the RDA will ensure that the Indigenous peoples plan (IPP) is prepared in accordance with the IPPF and the IPP is reviewed and approved by ADB before commencement of the relevant section of the civil works contract.

D. Grievance Redress Mechanism

51. Grievances from the affected people on social and environmental issues during project implementation will be addressed mainly through the existing local administrative system. Depending on the nature and significance of the grievances or complaints, grievances will be addressed at three levels. The first will be at the grass roots level where complaints will be directly received and addressed by the contractor, PIC or PIU representative on site. Grievances which are simple but still cannot be addressed at the grass roots level will be addressed at the GN level. More complex grievances which cannot be addressed at the GN level will be addressed at the Divisional Secretariat level. There will be a Grievance Redress Committee at both the GN and Divisional Secretariat levels.

VIII. GENDER AND SOCIAL DIMENSIONS

A. Gender and Development

52. A gender action plan (GAP) has been formulated for Project 1. Gender mainstreaming activities include (i) ensuring that at least 40% women are consulted in the final design of rural access roads, (ii) integrating safety and elderly-women-children-disabled friendly features, (iv) employing at least 30% local women for road maintenance and ensure equal wages for equal work, (v) providing training in routine road maintenance to all employed women, and (vi) encourage women's participation in road safety, STI and human trafficking awareness campaigns.

53. To ensure that these and other gender issues are addressed and complied with, the project implementation consultant will include a social/gender development expert. The project implementation consultants will provide monitoring support and ESDD/RDA will be responsible for the overall implementation the GAP. Semi-annual monitoring of the GAP shall be prepared and submitted to ADB for disclosure.

54. A separate Gender Action Plan will be prepared for each Project. The gender mainstreaming activities for Project 1 are in the following table:

	Activity	Indicator	Responsibility	Timeframe
Outp	ut 1: Improved Rural Roads and nation	onal roads network		
1.1.	For 560 km of rural roads to be improved, conduct community consultations and integrate findings into final design, addressing issues of: (i) road safety and EWCD features; (ii) construction impact and mitigation measures; and (iii) social and environmental impact and mitigation measures.	 At least 40% female representation in consultations related to the final design. Consultation findings are integrated into the final design. Road safety and EWCD features include: pedestrian crossings and location of signage. 	Conducted by ESDD/ RDA	Year 1
1.2	For 130 km of national roads to be improved, integrate safety and elderly-women-children-disabled (EWCD) friendly features into final design.	 EWCD and safety design features integrated into final design. Designs include: paved shoulders, pedestrian crossings and location of signage. 	 Conducted by civil works contractor Monitored by PIC and ESDD/RDA 	Year 1-Year 2
1.3	Employ local women for road maintenance and ensure equal wages for equal work done by both male and female skilled and unskilled labor in project works	 At least 30% of local maintenance workers are women. For rural roads, a 3-year maintenance period with an estimated 40,000 person- days of work for women. For national roads, a 7-year maintenance period with an estimated 18,000 person- days of work for women. 	Conducted by ESDD/ RDA	Year 3-Year 7

Table 3: Gender Action Plan for Project 1 - Southern Province

1.4	Train local women for routine road maintenance.	•	100% women employed for maintenance are trained	•	Conducted by contractor Monitored by PIC	Year 3-Year 6
1.5	Ensure women's participation in road safety awareness campaigns targeting local communities	•	At least 30% female participation in at least 3 awareness sessions per district, with a total of 9.	•	Conducted by PIC Monitored by ESDD/ RDA	Year 2-Year 5
1.6	Provide awareness training on sexually transmitted diseases, STI, including HIV, and human trafficking for civil works employees and local communities	•	3 gender segregated awareness sessions per district, with a total of 9. Awareness training conducted on an annual basis for civil works employees by all 11 contractors	•	Conducted by PIC (for community) Conducted by civil works contractor (for civil works staff)	Year 2-Year 7
Outp	ut 2: Enhanced capacity of RDA and	prov	incial roads executing agenci	es		
2.1	Institutionalize sex-disaggregated database and conduct gender analysis during preparatory surveys for all rural roads projects in Sri Lanka.	•	Poverty and social assessment study include gender assessment with sex-disaggregated data for relevant indicators.	•	Conducted by ESDD Supported by Gender Focal Point, ADB SLRM	Year 1-Year 7
2.2	Appoint a social and gender focal at the PIU level and trained by Specialist in PIC	•	Effective social and gender officer engaged	•	Engaged PIU Trained by PIC Monitored by ESDD/RDA	Year 1
2.3	Build the capacity of RDA and provincial road agencies on gender- inclusive design and mainstreaming gender in project preparation, consultation; road construction; and maintenance	•	20 RDA staff from the national level trained 20 staff from the provincial road agency trained	•	Conducted by PIC Supported by Gender Focal Point, ADB SLRM Monitored by ESDD/RDA	Year 2-Year 4
2.4	Conduct impact assessment for sample roads with sex- disaggregated indicators	•	Socioeconomic impact assessment conducted for sample roads with a focus on time-use study of women road users.	•	Conducted by ADB (ERD)	Year 1- Year 8
Outp	Output 3: Project preparation of the following tranches					
3.1	Collect sex-disaggregated data and conduct a gender analysis during preparatory surveys, feasibility studies, assessments and reports.	•	Poverty and social assessment study include gender assessment with sex-disaggregated data for relevant indicators.	•	Conducted by ESDD/ RDA	Year 1-Year 2
3.2	Integrate gender-inclusive features into final design and formulate gender-mainstreaming activities.	•	At least 50% of outputs for subsequent tranches include gender-related targets.	•	Conducted by ESDD	Year 1-Year 2

ERD = Economic Research Department of ADB, ESDD = Environment and Social Development Division of Road Development Authority; PIC = project implementation consultant; RDA = Road Development Authority.

B. HIV and AIDS

55. RDA will ensure that all civil works contractors complete the following: (i) carry out awareness programs for labor on the risks of sexually transmitted diseases/AIDS and human trafficking; and (ii) disseminate information at worksites on the risks of sexually transmitted diseases and HIV/AIDS as part of health and safety measures for those employed during

construction. Contracts for all subprojects will include specific clauses on these undertakings, and compliance will be strictly monitored by RDA, with the support of construction supervision consultants during project implementation.

C. Health

56. RDA shall ensure that contractors provide adequately for the health and safety of construction workers and further ensure that bidding documents include measures on how contractors will address this, including an information and awareness raising campaign for construction workers on sexually transmitted diseases, HIV/AIDS, and human trafficking.

D. Labor

57. The Project construction is expected to generate employment opportunities for local communities during construction and maintenance phases. Men and women will be paid equally for equal work. Provisions are in the bidding documents for the contractors to ensure that all the civil works comply with core labor standards (e.g. no child labor; no bonded labor; no work discrimination regardless of gender, race, and ethnicity; and freedom of association and collective bargaining). Targets for employing women for construction and maintenance have been established in the GAP. The project implementation consultant will monitor the provisions.

IX. PERFORMANCE MONITORING, EVALUATION, REPORTING AND COMMUNICATION

A. Project Design and Monitoring Framework

58. The design and monitoring framework (DMF) for the Investment Program is in Schedule 2 of Framework Financing Agreement. DMF for Tranche 1 is attached to PFR1.

B. Monitoring

59. **Project performance monitoring:** The achievement of the project performance targets will be assessed following the DMF. RDA assisted by PIC, SAPE consultants and other consultants as required will establish and assist with the implementation of a project performance management system (PPMS). PPMS will include detailed methodology of data collection and analysis ensuring statistical validity, isolation of compounding factors and comparison with baseline and control data. As a minimum, the indicators will be monitored before and after construction/project, both on the subprojects and control roads.

60. Indicators to be monitored may include, but not be limited to the following: (i) number of newly connected habitations (total, by districts, and size); (ii) length of roads constructed/upgraded (total, by district, by habitation size, terrain etc); (iii) traffic volume and travel time on constructed roads; (iv) periods of construction (by road length, terrain etc), amounts and frequencies of variation orders, frequencies and durations of holding up of civil works by rural communities (by causes, including instances of holding up of civil works due to the omissions in design); (v) pavement condition index on rural roads under 3 year maintenance; (vi) percentage of detailed design undergoing road safety audits (RSAs) and amended following RSAs of detailed design; etc.

61. PIC will also establish a system for the monitoring of socio-economic indicators in the selected habitation served by the Investment Program roads as compared to the unconnected habitations, such as (i) poverty rates, (ii) number of maternal and infant deaths, (iii) number of total vs. safe deliveries, (iv) immunization rates, (v) unemployment rates, (vi) agricultural production of perishable goods, (vii) income and expenditures of rural households, and (vii) district cash turnover of agricultural produce in local markets served by Investment Program roads, etc. PIC will conduct baseline surveys at the outset of each Tranche.

62. RDA will also monitor (i) the project budget and actual expenditure, (ii) road maintenance budget, (iii) ratio of km of rural road network per one staff dedicated to road maintenance, (iv) road maintenance cost per km, and other relevant indicators.

63. The results of the performance monitoring will be carefully documented and made accessible to MOHPS, RDA, and ADB. PIC will establish a practice of annual presentation to MOHPS, RDA, and ADB on the key performance indicators of the Investment Program.

64. Compliance monitoring: Compliance with loan covenants will be monitored through ADB's project administration missions-including project inception mission to discuss and confirm the timetable for compliance with the loan covenants; project review missions to review the compliance with particular loan covenants and, where there is any noncompliance or delay, discuss proposed remedial measures with MOHPS/RDA; and mid-term review mission if necessary to review covenants to assess whether they are still relevant or need to be changed, or waived due to changing circumstances.

65. **Environment.** Implementation of the EMP will be monitored internally by the PIU, and externally by the PIC. For environment safeguards monitoring of EMP implementation will be carried out during the preconstruction, construction, and operation and maintenance stages of the Investment Program. Based on the EMP, monitoring checklists will be prepared for each of these stages. Every road must have at least one monitoring checklist completed during preconstruction, one to three¹¹ during construction depending on the length of the road and one per year during operation and maintenance. Records of these completed monitoring checklists must be systematically maintained within the PIC and/or PIU office. Based on these records and site visits monitoring reports will be prepared during the construction and operation stage on an annual basis per province and submitted to ADB for disclosure on the ADB website. Satisfactory due diligence reports will be prepared and submitted to ADB before approval of the next tranche.

66. **Involuntary Resettlement.** Internal monitoring will be carried out by PIU with the support from PIC if land donation is required, an independent monitor will be engaged to verify the land donation process. Annual monitoring reports will be submitted to RDA and ADB. Annual monitoring report will be disclosed on the ADB website. Satisfactory due diligence reports will be prepared and submitted to ADB before approval of the next tranche.

67. **Indigenous People**, If impact is identified, the IPPF will guide the preparation, implementation and monitoring of relevant actions.

68. **Gender and Development.** In order to monitor the Gender Action Plan implementation, a GAP implementation matrix that tracks implementation progress of each GAP activity should be included in semi-annual monitoring report. Semiannual monitoring reports will be prepared by PIU with the support from PIC and submitted to ESDD/RDA and ADB.

C. Evaluation

69. ADB inception missions will be fielded within 3 months after the legal agreements for the Investment Program and each Project are declared effective; thereafter, regular reviews will follow at least annually. As necessary, special loan administration missions and a midterm review mission will be fielded, under which any changes in scope or implementation arrangement may be required to ensure achievement of project objectives. RDA at the central level and PIU at the project level will monitor the implementation of the Investment Program in accordance with the schedule and time-bound milestones, and keep ADB informed of any significant deviations that may result in the milestones not being met. Within 6 months of physical completion of each of the Projects under the Investment Program, RDA will submit a project completion report to ADB.¹²

D. Reporting

70. Disaggregated data for all output and outcome indicators will be updated and reported quarterly. MOHPS through RDA will provide ADB and the Department of Project Management

¹¹ The monitoring checklist during construction stage will be completed three times when the progress of physical works is 25%, 50% and 75% respectively. This may not be practically feasible for shorter roads that are only 1 to 3 km long. Hence for these shorter roads only one completed monitoring checklist during construction stage will be adequate.

¹² Project completion report format available at: <u>http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar</u>.

and Monitoring, MOFP with (i) quarterly progress reports submitted within 45 days after the end of each quarter in a format consistent with PPMS, DMF and will provide information necessary to update ADB's project performance reporting system; ¹³ (ii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions, (c) updated procurement plan, and (d) updated implementation plan for the next 12 months; and (iii) a project completion report within 6 months of physical completion of each Project under the Investment Program. To ensure viability and sustainability, project accounts and the audited financial statements, together with the associated auditor's report, will be adequately reviewed.

71. For civil works, progress will be reported on a regular basis by field engineers to PIU. The PIU will submit to MOHPs/RDA monthly progress reports. Based on these reports, MOHPS, with assistance from RDA, will include in the quarterly progress reports all required information on the progress in the implementation of civil works. This will include data on progress made during the period of review, changes if any in the implementation schedule, problems or difficulties encountered and remedial actions taken, and work to be undertaken in the coming quarter.

E. Stakeholder Communication Strategy

72. Various information regarding the Investment Program and each of the tranches, including scope, general progress status, beneficiaries, invitation for bids, and consultant recruitment notices, will be provided to the general public. The information will be made available and updated through the official RDA website and ADB. ADB's communication strategy is summarized below.

Project Documents	Means of Communication ^a	Responsible Party	Frequency	Audience(s)
Project Information Document (PID)	ADB's website	ADB	initial PID no later than 30 calendar days of approval of the concept paper; quarterly updates afterwards	General Public
Design and Monitoring Framework (DMF)	ADB's website	ADB	draft DMF after fact-finding mission for the investment program and each tranche	General Public
Initial Environmental Examination Reports (IEEs)	ADB's website RDA website	ADB	post fact-finding mission for the investment program and each tranche	General Public, project-affected people in particular
Resettlement Framework (RF) and Social Safeguard Due Diligence Report	ADB's website RDA website	ADB	post fact-finding mission for the investment program and each tranche	General Public, project-affected people in particular
Indigenous Peoples Planning Framework (IPPF)	ADB's website	ADB	post fact-finding mission for the investment program and each tranche	General Public, project-affected people in particular
Summary Poverty Reduction and Social Strategy (SPRSS)	ADB's website	ADB	post fact-finding mission for investment program and each tranche	General Public, project-affected people in particular

¹³ ADB's project performance reporting system is available at:

http://www.adb.org/Documents/Slideshows/PPMS/default.asp?p=evaltool.

Project Documents	Means of Communication ^a	Responsible Party	Frequency	Audience(s)
Gender Action Plan	ADB's website	ADB	post fact-finding mission for investment program	General Public, project-affected people in particular
Legal Agreements	ADB's website	ADB	no later than 14 days of Board approval of the project	General Public
Facility Administration Manual	ADB's website	ADB	After loan negotiations	General Public
Social Monitoring Reports	ADB's website	ADB	annually	General Public, project-affected people in particular
Environment Monitoring Report	ADB's website	ADB	annually	General Public, project-affected people in particular

^a RDA website will have a hyperlink to the ADB website where all these documents will be posted.

X. ANTICORRUPTION POLICY

73. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the Investment Program.¹⁴ All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all Investment Program contractors, suppliers, consultants and other service providers.

74. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB financed activity and may not be awarded any contracts under the Investment Program.¹⁵

75. To support these efforts, relevant provisions are included in the loan agreements, regulations and the bidding documents for the Investment Program.

76. RDA shall ensure that its website provide updated, detailed information on implementation of the Investment Program, specifically procurement related information, including the list of participating bidders, name of the winning bidder, basic details on bidding procedures adopted, amount of each contract awarded, and adequate details of the goods, works and consulting services procured for the Investment Program.

¹⁴ ADB's Integrity Office web site is available at: <u>http://www.adb.org/integrity/unit.asp</u>.

¹⁵ Available at: <u>http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf</u>.

XI. ACCOUNTABILITY MECHANISM

77. People who are, or may in the future be, adversely affected by the project may address complaints to ADB, or request the review of ADB's compliance under the Accountability Mechanism.¹⁶

78. Grievance redress mechanism will be established throughout the Investment Program. Grievance redress committees at both the GN and DS levels will be in place to receive and resolve complaints, as well as to act upon stakeholders' reports of irregularities on project related matters, including grievances concerning land donation procedures. RDA will widely publicize the existence of this mechanism to ensure that stakeholders are aware that a venue is available to address concerns or grievances relating to fraud, corruption, abuse, and any other aspects of project implementation.

¹⁶ For further information see: http://compliance.adb.org/.

XII. RECORD OF FAM CHANGES

79. All revisions/updates during course of implementation should be recorded and retained under this Section to provide a chronological history of changes to implemented arrangements recorded in this FAM.

District	Road ID	Road Name	Length (Km)
	71	Karapitiya-Waduraba	12.7
	72A	Nagoda-Gonnadeniya	4.0
	72B	Gonadeniya-Udugama Bar Junction	4.4
	73A	Udugama- Hiniduma	11.0
Galle	73B	Hiniduma-Thawalama	6.6
	74	Thawalama- Neluwa- Batuwangala	9.7
	75A	Wanduramba- Yatalamaththa- Nagoda	10.2
	75B	Udugama (Bar Junction)- Udugama (Bus Stand)	2.8
	44A	Elpitiya- Awithawa	9.5
	62	Bengamuwa-Molokgamuwa Galdola	9.3
Matara	63	Bengamuwa -Heegoda	7.8
Matara	4	Akuressa- Ketanwila	7.0
	24A	Deniyaya-Wiharahena	6.3
	53	Kirama- Warapitiya- Hulankanda- Heegoda	14.4
Hambantota	54	Kirama-Walasmulla	7.3
	55	Walasmulla-Weeraketiya	7.8
	56	Weeraketiya- Gonadeniya	7.0
Total (A)			137.75
	<u> </u>	B. Provincial Road	
District	Serial No.	Road Name	Length (Km)
	1	Mavita - Dooliella	6.2
	15	Pangiri hena - Mayakaduwa	5.8
	20	Hapugala Eriyagaha Junction	1.2
Galle	34	Wackwella- Ginimellagaha	6.0
	38	Goluwamulla-Atakohota	2.2
	42	Opatha- Omatta-Gulugaha	4.8
Matara	16	Berala panathara- Thalapala kanda	6.0
Malara	60	Thumbe- Kongala	4.7
Hambantota	14	Magama Road	8.4
Tambaniola	36	Koggalla Sooriyawewa	7.3
Total (B)			52.6
		C.1 Rural Road - Galle District	
District	Serial No.	Road Name	Length (Km)
Galle	2	Batuwangala - Ehalapitiya	1.1
	3	Madagama-Ihalamadagama-Puswelkada- Maddegama-Bopagoda	7.3
	4	Danwala - Mawita	3.7
	5	Batahena-Kudagalpola-Habarakada	9.0
	6	Dharmapala Vidyalaya-Dunhena	1.2
	7	Habarakanda-Ibbawala Yattapatha	3.2
	8	Kumburagoda-Mandalapura	6.8
	9	Halwitigala Janapadaya Thawalama Mukalana	2.8
	10	Mandalapura 12th mile post	2.2
	11	Mayakaduwa Kombala Temple Watiyadeniya Heenpendala	1.0
	12	Kabaragala Badipita Puswelkada Unagaswita Galpoththa Kombala Junior School 10th mile Post Thivabarahena Road	7.0
	13	Tharamulla Allalagoda Road	23
	14	Galketiya Jayasumanaramaya Goviyapana Junction	1.5

ROAD LIST (CATEGORY BASED) A. National Road

	Serial		l onath
		C 2 Bural Boad - Matara District	101.4
Total (C 1)	57	Thanhanongoud thu	161.4
	67	Thannahengoda Bd	20
	66	Hatharaman junction-Pasman Junction	1.3
	65	Bogaha junction Kaluwala goda	1.9
	64	Mada Kubura junction Kaluwala ooda	4.5
	63	Kaluwalanoda Road	<u>2.3</u> 5.0
	<u> </u>	Galduwa Aranya Rd	<u>۱.۲</u>
	<u> </u>	Duury Senanayaka Wawalna Weragoua Boosa Hagoda Rajakoratuwa Rd	1.4
	59	Sinkauura walla Sunami Niwasa Ko	1.4
	<u>58</u>	Ralagama Impulagooa	1.4
	5/	Buddajayantni Mawatna Thirangama	1.3
	56	Boosa Kakilla mandiya Regjipura Madawala Rd	3.0
	<u> </u>	Dewagoda-Balabokka Kd	0.7
	<u> </u>	Kanawa-Galduwa Ko	1.9
	53	ININGANA SCHOOL to 5th mile post via Waturawila	5.0
	<u> </u>	Batapola Dorala junction to Kirimatiara Road	1.1
	<u>51</u>	Ampegama School-Unapandura junction Road	1.3
	50	vvelibokkuwa-Banwelgodella	0.9
	48	Ivianampita-Dehigana Bedda Kirindiela	2.7
		Soratha Gammanaya	
	47	Waduweliwitiya Muktawela Junction Putuwagoda watta via	1.3
	46	Deddugala Bataduwa	1.0
	45	Surasena Mawatha	1.7
	44	Galparaya Road	2.0
	41	Pinikahana - Puwakdola	2.7
	40	Amuna Junction Maitrigama	3.9
	39	Goluwamulla Welimanana Nagahathenna	1.9
	37	Nagasdeniya Halpathota	2.0
	36	Waulugala Batakatiya	2.0
	35	K.G. Palis Mawatha	2.0
	33	Nawala Community Hall to Goluwamalhena via Ellagawa	5.1
	32	Janahitha Tea Factory Nawungala School via Usbim Janapadaya	2.7
	31	Yakkalamulla via Udumullagala to Nakiyadeniya	4.0
	30	Udugama Aluthwatta	5.0
	29	Udugama Kothalawala Road	6.6
	28	Kurupanawa Maliban Junction Old Samurdhi Building via Polkella	1.2
	27	Hattaka Pitigala North Sasanathilaka Mawatha	3.4
	26	Kimbulawala Porawagama Road	3.9
	25	Hiyare East School Road via Kaluwala Badipita Hawpe	1.2
	24	Bataduwa Sudarmaramaya Road	1.0
	23	Poorwarama Road Bataduwa	20
	22	Kapuhempala Ambalamakanda Hinidumooda Haliwala	1.0
	21	Edirisinghe Mawatha Nawinna	1.6
	19	Mayakaduwa Wadiyakanda Makaduwa Lemple Kakillawatta	3.3
	18	Kombala Halamulla Niriwella	3.5
	17	Dodampe Pedinnoruwa	1.8
	16	Liyanagoda Lanumodara Pitiduwa	3.0

District	Serial No.	Road Name	Length (Km)
Matara	1	Kohugoda Road	5.5
	2	Poramba School – Diyalape Junction via Hikgoda	3.7
3	Iluppella – Mahingoda- Bopitiya	5.2	
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5	Paraduwa-Pahuranwila	2.4	
6	Bangama junction-Dola Mawatha	2.5	
7	Sri Sudarshi Pirivena Junction to Bibulewela Shramadana Road	3.7	
8	Alapaladeniya – Thalpekumbura	2.5	
9	Dangala – Dellawa	2.4	
10	Morawaka – Millawa	2.9	
11	Abewala - Thibbatuwawa	4.9	
12	Millagaha hena-Kudagala hena	4.0	
13	Darangala-Dahaya Kanda Mahena	3.5	
14	Batavaya – Kandilpana – Bewraliiva	13.5	
15	Morawaka-Paragala Divadawa	11.2	
17	Kosmodara-Bodeniva	4.0	
18	Pathawala-Nadakanda- Keeriwellagama	28	
19	Kiriwellagama Market to Dewala Boad	12	
20	Kiriwalladola junction to Hingurahena	21	
21	Keeriwaldola- Keeriwelgama	2.3	
22	Porunitiva Annasigalawila	1.0	
23	Millalle via Aluwana Sankassa to Madde Ala Bd	69	
20	Weliwa Paburuthota - Neel Ella	4.2	
24	Bongamuwa-Dabogala Road up to Nanath Ella	4.2	
23	Kanaka, Palhana, Nagashana, Ruhulhana Paad	0.2	
	Debigebeberge Udukewe	2.7	
20	Deniyariarieria – Odukawa	2.5	
29	Vetinila Udebebene Henwele	2.0	
- 30	Idupila – Oudrianena – Heriwala	1.0	
- 31		1.0	
32	Ibbawala-Palicitaliya-Allougoua	2.3	
- 33	Malinitiva Junatian Addarawala	1.3	
34	leburgede Dedbirukkeremene	2.2	
30	Dethegone Kudelumulle	2.3	
- 30	Faineyania Kuualullulla	2.3	
		1.0	
	Katavila Kudawalla Sulthanagada	1.0	
39		2.0	
40	Voliaitive inneties Musemeles Lieukeuve	1.2	
41	Weilpiliya junction-iviunamaipe Odukawa	2.4	
42	Urawa-Pilikannanena Thaigasthenna Rotuba	2.5	
43	Lew Polnoeniya	2.6	
44	Orubokka - Polndeniya	6.4	
45	Baragammulia Moragasmanolya	2.7	
46	Narangalgoda - Palliya Gedara	2.3	
4/	10th Mile Post-Hakmana Gedara Kade	3.4	
48	Karatota School-Gewal Danaya	2.4	
49	Kubalgoda Seelaratha Mawatha	1.7	
50	Samagimawatta via Siridewapriya mawatha	2.7	
51	Atapattukanda Handiya-Pothuvila	1.4	
52	Wilpita-Ukgashena via Ransagoda Galpothta junction	5.4	
	Keeriwellagama		
53	Agawaththa thalagoda	1.2	
54	Ogaspe junction to Maligathenna Athtuduwa	1.2	
55	Pahattu Kade to Nagoda via Welihinda junction	1.0	
56	Sulthangoda Kotavila	1.2	
57	Sulthangoda-Welihinda	1.0	

58	Kongala D.C Abeywickrama Rd	2.4
59	Obadakanda Badabadda Rd	4.7
61	Sri Piyarathana Mawtha (Kakuluwangoda-Mawatha)	1.9
62	Ashokarama Rd	1.7
63	Degigewatta Hakalamulla	1.2
64	Kaluhena Kolaniya Rd	4.3
65	Diyadawa-Olakumbura via Kosmodara	2.5
66	Diyadawa - Bata Adura	7.5
67	Kolawenigama- Uggalpotha	1.6
		193.5

Total (C.2)

C.3 Rural Road - Hambantota District

District	Serial No.	Road Name			
Hambantota	1	Pattiyawela – Pallattara	3.9		
	2	Upaskagoda well – Water Tank	1.2		
	3	Edirisinghe Mawatha	1.2		
	4	Polapothe Watta Rd	1.0		
	5	Siyabalapa hena	1.3		
	6	Anamaduwa-Aranwela	2.2		
	7	Pattiyawela – Tharapeliya	1.3		
	8	Boralukand junction Uda Beragama to mahaa Ara junction	3.2		
	9	4 Ela – School Road	1.5		
	10	Boondala-Meda Para	1.4		
	11	Boralu kanda Cooperative to Boralukanda handiya (Laksiri Rd)	0.7		
	12	Godawaya junction to temple Rd	1.6		
	13	Manchgawa layma handiya	0.4		
	15	Nadigamvila Vijithapura Road	4.2		
	16	Sabapathikade – Gonamuwa Hospital Rd	1.9		
	17	Ikkapallama School Road	1.9		
	18	Diya bediya Road	1.3		
	19	Weeravila Ara 01st cross Road	1.2		
	20	Ittan wewa 02nd Cross Road	0.7		
	21	Piyapala Mawatha	2.1		
	22	Uswewa – Binkama Road	15.1		
	23	Dambarella Co-op-Kanabandi Area	4.5		
	24	Gajanayakagama Debokkawa junction-Gajanayakagama Junction	2.0		
	25	Uswewa via Pahalagama Sooriya Pokuna junction	5.2		
	26	Eraminiyaya-Hadunkatuwa	5.1		
	27	Thuduwa mulla-Habarakathawala Goda Koggalla Rd	5.9		
	28	Hathagala handiya-Deniya Pingama to Athbatuwa to	95		
	20	Hadunkatuwa Gamaralagama Handiya	0.0		
	29	Ridiyagama Livestock farm to Gangawalana Rd	6.1		
	30	Ridiyagama-Kahabodawila-Thuduwa mulla Rd	6.5		
	31	Thorakolayaya-Gammaimpara	3.0		
	32	Welipitiya Ambagasara via Siyarapitiya	8.8		
	33	Pattiyapola – Marakolliya	3.3		
	34	Kadurupokuna-Seenimodara Rd	2.6		
	35	Pattiyapola-Akkarawela Thalunna	4.0		
	37	Ela Banteka Para	3.6		
	38	Bariyar junction to Galwadiya 4th Mile post	2.6		
	39	Warapitiya Hospital to Karadeniya RD	3.1		
	40	School to Ela Banteka Para	2.0		
	41	Pallekanda junction Udahatana Gambaddala	1.1		
	42	Sumihirigama Co-Op city-Kukula Mandiya Hena Mahamadiththa	1.9		

	43	Kadigamauwa Palamkada to Ekamuthu Mawatta to Batalawatta	5.7
	44	Gonadenihena Kanda via Rajapaksha Mawatha	1.1
	45	Kakunayaya Market to bhuweliara Rd	1.0
	46	Maregawa Rd	0.8
	47	Kudabibula Lidagawa Rd	1.0
	48	Okandayaya Paluwatta Rd	1.5
	49	Gonadeniya-Kaluwagaha yaya-Talawa	5.2
	50	Perahara Mawatha - Mulkirigala School	3.2
	51	Katuwewa to Mulgirigala School Rd	2.8
	52	Watarauma Rd	2.8
Total (C.3)			155.2

PROCUREMENT PLAN

Basic Data						
Project Name: Integrated Road Investment Program	m (Tranche 1)					
Project Number: Approval Number:						
Country: SRI LANKA	Executing Agency : Ministry of Highways, Ports and Shipping					
Total Financing Amount: \$118 million ADB Financing:\$100 million Non-ADB Financing: \$18 million	Implementing Agency: Road Development Authority					
Date of First Procurement Plan 20 June 2014Date of this Procurement Plan: 11 July 2014						

A. Methods, Thresholds, Review and 18-Month Procurement Plan

1. Procurement and Consulting Methods and Thresholds

Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works.

Procurement of Goods and Works						
Method	Threshold					
International Competitive Bidding (ICB) for Works	\$7,500,000					
International Competitive Bidding for Goods	\$1,000,000					
National Competitive Bidding (NCB) for Works	Beneath that stated for ICB, Works					
National Competitive Bidding for Goods	Beneath that stated for ICB, Goods					
Shopping for Works	Below \$100,000					
Shopping for Goods	Below \$100,000					

Consulting Services					
Method	Comments				
Quality and Cost Based Selection (QCBS)					
Individual Consultant Selection					

2. Goods and Works Contracts Estimated to Cost \$1 Million or More

The following table lists goods and works contracts for which the procurement activity is either ongoing or expected to commence within the next 18 months.

Package Number	General Description	Estimated Value (\$ million)	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertisement Date (quarter/year)
CRC-SP1	Improving and maintaining 63.6 km of rural access roads in 4 DS Divisions, Galle District	10.60	ICB	Prior	1S2E	Q3/2014
CRC-SP2	Improving and maintaining 61.8 km of rural access roads in 5 DS Divisions, Galle District	11.21	ICB	Prior	1S2E	Q3/2014
CRC-SP3	Improving and maintaining 72.2 km of rural access roads in 8 DS Divisions, Galle District	12.64	ICB	Prior	1S2E	Q3/2014
CRC-SP4	Improving and maintaining 96.9 km of rural access roads in 2 DS Divisions, Matara District	18.38	ICB	Prior	1S2E	Q3/2014
CRC-SP5	Improving and maintaining 65.7 km of rural access roads in 6 DS Divisions, Matara District	13.55	ICB	Prior	1S2E	Q3/2014
CRC-SP6	Improving and maintaining 54.9 km of rural access roads in 6 DS Divisions, Matara District	9.28	ICB	Prior	1S2E	Q3/2014
CRC-SP7	Improving and maintaining 70.9 km of rural access roads in 5 DS Divisions, Hambantota District	12.99	ICB	Prior	1S2E	Q3/2014
CRC-SP8	Improving and maintaining 58.6 km of rural access roads in 4 DS Divisions, Hambantota District	9.23	ICB	Prior	1S2E	Q3/2014
CRC-SP9	Improving and maintaining 41.4 km of rural access roads in 3 DS Divisions, Hambantota District	7.38	ICB	Prior	1S2E	Q3/2014
RMC-SP1	Rehabilitating and/or maintaining 61 km of national roads in Galle District	26.32	ICB	Prior	PQ, 1S1E	Q1/2015
RMC-SP2	Rehabilitating and/or maintaining 54 km of national roads in Matara and Hambantota Districts	19.45	ICB	Prior	PQ, 1S1E	Q1/2015

3. Consulting Services Contracts Estimated to Cost \$100,000 or More

The following table lists consulting services contracts for which the recruitment activity is either ongoing or expected to commence within the next 18 months.

Package Number	Package General Estimated Number Description Value		Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal
CS1	Project Implementation Consultants (Project 1)	\$4.15 million	QCBS (90:10)	Prior	Q3/2014	Full
CS2	Institutional Specialist (int.)	\$450,000	Individual Consultant	Prior	Q3/2014	N/A
CS3	OPRC Specialist (int.)	\$300,000	Individual Consultant	Prior	Q4/2014	N/A
CS4	Road Asset Management Specialist (int.)	\$300,000	Individual Consultant	Prior	Q4/2014	N/A
CS5	Capacity Development Specialist (int.)	\$400,000	Individual Consultant	Prior	Q3/2014	N/A

CS8	Information Management Specialist (nat.)	\$140,000	Individual Consultant	Post	Q3/2014	N/A
CS9	Project Implementation Consultants (Project 2&3)	\$6.30 million	QCBS (90:10)	Prior	Q4/2014	Full
CS10	Project Implementation Consultants (Project 4&5)	\$4.65 million	QCBS (90:10)	Prior	Q4/2014	Full
CS11	Project Implementation Consultants (road management contracts)	\$4.97 million	QCBS (90:10)	Prior	Q1/2015	Full

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

The following table groups smaller-value goods, works and consulting services contracts for which the activity is either ongoing or expected to commence within the next 18 months.

Consulting Services									
Package Number	General Description	Estimated Value	Number of Contracts	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal		
CS12	Rural Road	\$90,000	1	Individual	Post	Q3/2014	N/A		
	Specialist (nat.)			Consultant					
CS13	Procurement Specialist (nat.)	\$70,000	1	Individual Consultant	Post	Q3/2014	N/A		

B. Indicative List of Packages Required Under the Project

The following table provides an indicative list of goods, works and consulting services contracts over the life of the project, other than those mentioned in previous sections (i.e., those expected beyond the current period).

Goods and Works								
Package Number	General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Comments	

Consulting Services								
Package Number	General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Review (Prior / Post)	Type of Proposal	Comments	

C. List of Awarded and On-going, and Completed Contracts

The following tables list the awarded and on-going contracts, and completed contracts.

1. Awarded and Ongoing Contracts

Package Number	General Description	Estimated Value	Contract Value	Procurement Method	Advertisement Date (quarter/ year)	Date of ADB Approval of Contract Award	Comments
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Package Number	General Description	Estimated Value	Contract Value	Recruitment Method	Advertisement Date (quarter/ year)	Date of ADB Approval of Contract Award	Comments

2. Completed Contracts

Goods and V	Vorks							
Package Number	General Description	Estimated Value	Contract Value	Procurement Method	Advertisement Date (quarter/ year)	Date of ADB Approval of Contract Award	Date of Completion	Comments

Consulting S	Services							
Package Number	General Description	Estimated Value	Contract Value	Recruitment Method	Advertisement Date (quarter/ year)	Date of ADB Approval of Contract Award	Date of Completion	Comments

D. Non-ADB Financing

The following table lists goods, works and consulting services contracts over the life of the project, financed by Non-ADB sources.

Goods and Works						
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Comments		

Consulting Services				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Comments

E. National Competitive Bidding

1. General

National competitive bidding shall conform to the provisions for "National Competitive Bidding" as prescribed in the *Procurement Guidelines 2006 for Goods and Works* issued in January 2006 by the National Procurement Agency, and the specific procedures prescribed by the *Procurement Manual* issued on March 2006, with the clarifications and modifications described in the following paragraphs required for compliance with the provisions of the ADB Procurement Guidelines.

2. Registration

(i) Bidding shall not be restricted to pre-registered firms under the national

registration system of the Institute for Construction, Training and Development (ICTAD), and such registration shall not be a condition for the submission of bids in the bidding process.

- (ii) Where registration is required prior to award of contract, bidders: (i) shall be allowed a reasonable time to complete the ICTAD registration process; and (ii) shall not be denied registration for reasons unrelated to their capability and resources to successfully perform the contract, which shall be verified through post-qualification.
- (iii) National sanction lists or blacklists may be applied only with prior approval of ADB.

3. Prequalification

Post qualification shall be used unless prequalification is explicitly provided for in the loan agreement/procurement plan. When used for large or complex Works contracts, *i.e.* turnkey, design and build, or management contracts; or custom-designed equipment, industrial plants, and specialized services, prequalification evaluation shall not include the evaluation of equipment and personnel. This assessment shall be undertaken at the bid evaluation stage. Irrespective of the procedure applied (whether prequalification or postqualification), no domestic or foreign contractor shall be precluded from participation.

4. Advertising

Bidding of NCB contracts estimated at \$500,000 or more for goods and related services or \$1,000,000 or more for civil works shall be advertised on ADB's website via the posting of the Procurement Plan.

5. Bidding Documents

Procuring entities shall use standard bidding documents acceptable to ADB for the Procurement of Goods, Works and Consulting Services, based ideally on the standard bidding documents issued by ADB.

6. Packaging

Slicing or splitting of contracts within a package shall not be used to change the contract sizes and their corresponding methods of procurement as approved in the Procurement Plan.

7. Bid Security

Where required, bid security shall be in the form of a bank guarantee from a reputable bank.

8. Preferences

- (i) No preference of any kind shall be given to domestic bidders or for domestically manufactured goods.
- (ii) Foreign suppliers and contractors from ADB member countries shall be allowed to bid, without registration, licensing, and other government authorizations, leaving compliance with these requirements for after award and before signing of contract.

9. **Procurement of Works**

- (i) Specifications for works may be based on specifications recommended by ICTAD to the extent possible, but ICTAD approval shall not be required for adoption of specifications in a particular procurement activity.
- (ii) The determination of the financial capacity of a bidder for award of the contract in postqualification evaluation shall take into account current contract commitments and shall not be confined, for domestic bidders, to the ICTAD registration.

10. Bid Rejection for Unrealistic Rates

Bids shall not be subjected to a test for unrealistic rates. No lowest evaluated and substantially responsive bid shall be rejected on the basis of comparison to rates, including but not limited to market, historical, or agency established rates, without prior approval of ADB.

11. Rejection of All Bids and Rebidding

Bids shall not be rejected and new bids solicited without the ADB's prior concurrence.

12. Price Negotiations

Price negotiation shall be allowed only where the price offered by the lowest evaluated and substantially responsive bidder substantially exceeds costs estimates. Approval of ADB is required prior to any negotiation of prices.

13. Participation by Government-Owned Enterprises

Government-owned enterprises in the Democratic Socialist Republic of Sri Lanka shall be eligible to participate only if they can establish that they are legally and financially autonomous, operate under commercial law, and are not a dependent agency of the procuring entity, or the Project Executing Agency or Implementing Agency.

14. Member Country Restrictions

Bidders must be nationals of member countries of ADB, and offered goods, works and services must be produced in and supplied from member countries of ADB.

Project 1: Integrated Road Project in Southern Province

Outline Terms of Reference: Project Implementation Consultants for Conventional Road Contracts

1 Background

- 1. The Democratic Socialist Republic of Sri Lanka is applying for a multitranche financing facility (MFF) for the Integrated Road Investment Program (iRoad) from the Asian Development Bank (ADB). The MFF will comprise a series of loans, to improve the access routes between rural areas and socioeconomic centers, in tranches. The program includes Conventional Road Contracts (CRC), covering rural access road including post construction performance base maintenance, in 3 separate geographical areas and one Road Management Contract (RMC), based on Output and Performance based Road Contracts (OPRC) concept, covering national roads in the Southern, Sabaragamuwa, Western, Central, North-Western and North-Central Provinces. Part of the funds from the MFF shall be used for providing consulting services for project implementation including construction supervision, supervision of post construction maintenance work, contract management, and other implementation activities in the CRC component. This outline TOR is for providing consulting services for the CRC in the Southern Province.
- 2. The Executing Agency (EA) of the iRoad Investment Program is Ministry of Highways, Ports and Shipping (MOHPS), and the Implementing Agency (IA) is the Road Development Authority (RDA).A Project Implementation Consultants (PIC) is to be engaged. The overall project organizational chart is shown below.



PIU = Project Implementation Unit, PIC(CRC) = Project Implementation Consultants for Conventional Road Contracts PIC(RMC) = Project Implementation Consultants for Road Management Contract SAPE = Survey and Preliminary Engineering.

3. The general roles and responsibilities of the various parties are as follows:

iROAD Participant	General Role and Responsibility
iRoad PIU	 Project and safeguard management Approval of all variations of contracts for consulting services and civil works
Advisory Consultants	• FacilitatingPIU in areas requiring special expertise to achieve the program objective e.g. RAM, OPRC, and institutional matters etc.

iROAD Participant	General Role and Responsibility
SAPE Team	Feasibility study, safeguard documents, and level-2 designs
	Community consultation along project roads
PIC(CRC)	 Reviewing and confirming the design and scope of works when the contractors apply the level-2 designs to the roads under Conventional Road Contract packages
	 Construction supervision of Conventional Road Contract packages Supervision of post construction maintenance work in Conventional Road Contract packages
	Monitoring safeguard activities
	 Providing on-the-job training to the PIU, EA, IA, and provincial and local road agencies in project management and contract administration.
PIC(RMC)	 Supervision and monitoring of construction in road management contract Supervision and monitoring of post construction maintenance in road management contract Monitoring safeguard activities Assist PIU in contract administration of the road management contracts.
	 Providing support to the PIO, EA, IA, and contractors in understanding and implementing the road management contracts.
Contractors	 Detailed design based on the level-2 design for conventional road contract packages, or the conceptual design for the road management contract packages.
	• Deliver the physical works as required in the conventional road contract, or the level of services as required in the road management contract.
	 For the road management contract packages, the work includes various asset management tasks.
	 Implementing safeguard requirements in the contract

4. Among other scopes of the consulting services, the main task of PIC (CRC) is to assist RDA in supervising and/or implementing the civil works in the CRC component of the iRoad investment program:

5. In the CRC component conventional measure and value contracts, requiring detailed contract supervision, will be used for the rehabilitation of approximately 596km of provincial and rural roads. Initial construction is to be completed in the first 2 years, followed by a 3 year maintenance period. The roads under the contract packages will be isolated lengths of roads dispersed across the Southern Province.

2 Scope of Services

6. **Project Implementation in Southern Province.**The Contract Packages of civil works to be monitored and supervised by the PIC are as per the table below.

Contract	Description	District		Length		
Package				(km)		
Conventional Road (Contracts				Construction	PBM (mantha)
					(months)	(monuns)
RDA/ADB/iRoad/SP/RF	R (G1) Improving maintainin access roa Divisions	and (g 65 km of rural ads in 4 DS	Galle	65	24	36
RDA/ADB/iRoad/SP/RF	R (G2) Improving maintaining	and (g 63 km of	Galle	63	24	36

Table 1: Contract Packages in Southern Province

	rural access roads in 5 DS Divisions				
RDA/ADB/iRoad/SP/RR (G3)	Improving and maintaining 74 km of rural access roads in 8 DS Divisions	Galle	74	24	36
RDA/ADB/iRoad/SP/RR (M1)	Improving and maintaining 98 km of rural access roads in 2 DS Divisions	Matara	98	24	36
RDA/ADB/iRoad/SP/RR (M2)	Improving and maintaining 66 km of rural access roads in 6 DS Divisions	Matara	66	24	36
RDA/ADB/iRoad/SP/RR (M3)	Improving and maintaining 56 km of rural access roads in 6 DS Divisions	Matara	56	24	36
RDA/ADB/iRoad/SP/RR (H1)	Improving and maintaining 72 km of rural access roads in 5 DS Divisions	Hambantota	72	24	36
RDA/ADB/iRoad/SP/RR (H2)	Improving and maintaining 60 km of rural access roads in 4 DS Divisions	Hambantota	60	24	36
RDA/ADB/iRoad/SP/RR (H3)	Improving and maintaining 42 km of rural access roads in 3 DS Divisions	Hambantota	42	24	36

7. The PIC will assist the PIU in the implementation of the contracts, including site supervision of construction activities, monitoring on maintenance performance, and other due diligence as defined in further details below.

8. The indicative timeline for implementation of the physical works is as follows:

	CRC Packages
Physical works commence	January 2015
Duration of rehabilitation works	2 years
End of maintenance period	3 years from end of physical
	works

3 Outline Terms of Reference

9. A team of consultants (the Consultant) will be engaged to act as the Engineer on behalf of the Employer in respect of the contract listed above. The Consultant will also be required to discharge other responsibilities outlined in the TOR.

10. The Consultant shall use most up-to-date software and technology for administration of the construction contracts. The Consultant shall ensure that all electronic files in relation to the deliverables of this TOR are in a format compatible with those used by the EA. The EA uses the Microsoft Office suite of software, ArcGIS for GIS applications and AutoCad for drawings. Further clarification on any aspect of this requirement can be gained from the PIU. While all files are to be provided in soft copy,

hard copies of reports are also required as defined below. Subject to request by the PIU, some reports should also be provided in PDF format.

3.1 Project Implementation in Southern Province

11. Civil Works under the CRC packages will be carried out based on the International Federation of Consulting Engineers (FIDIC) contract MDB Harmonised Edition (June 2010).

12. The PIC will (i) undertake contract administration based on the FIDIC contract; (ii) undertake safeguards compliance; ensure that all safeguards (social, environment and indigenous peoples) are being complied under the project, (iii) undertake the Project Performance and Monitoring Survey 3 times; at the start of the Project, at midterm and at the end of the Project: (iv) prepare and implementa capacity development program including training, workshops, and seminars to staff of MOHPS, RDA, and provincial and local road agencies on project management and contract administration, (v) prepare monthly reports on progress and other issues, (vi) prepare a project completion report when the Project is substantially completed incorporating comments from the PIU, the IA, the EA and the ADB.

13. The PIC will administer the construction contracts and ensure that the contractual clauses for both quality and specifications of works are complied with, and the works are constructed in accordance with the provisions of the construction contracts.

14. The PIC, while supervising construction works, will make all necessary arrangements for implementation of quality assurance and quality control plans following industry standards and best practices. The Consultant in consultation with the PIU and EA will make all engineering decisions required for the successful and timely completion of the construction contracts, and will have all the powers defined as those of the Engineer under FIDIC.

4 Inputs and Qualifications of Key Positions

15. The consulting services will be carried out by a team of international and national consultants. A total of 36 person-months of international consultant inputs and 572 person-months of national consultant will be required in a period of 63 months (actual duration of service shall be in line with the schedule of civil works). All experts, international or national, must be proficient in both written and spoken English. The key an non-key positions are given in the table below.

		Input	Total
Position	No.	(person-	-month)
International Experts			
Team Leader/ Chief Resident Engineer	1	30	30
FIDIC Contract & Claims Specialist	1	6	6
subtotal	2		36
National Experts			
For the Construction Period			
Resident Engineer –SP/RR (G1), (G2), (G3)	1	27	27
Resident Engineer –SP/RR (M1), (M2), (M3)	1	27	27
Resident Engineer –SP/RR (H1), (H2), (H3)	1	27	27
Rural Road Design and Safety Engineer	2	28	56
Structural Engineer	1	6	6
Material Engineer	3	24	72
Quantity Surveyor	3	27	81

1	30	30
1	30	30
3	12	36
1	30	30
3	24	72
01	39	39
01	39	39
25		572
	_	_
10	24	240
18	24	432
28		672
60		1244
	1 3 1 3 01 01 01 25 10 18 28 60	1 30 1 30 3 12 1 30 3 24 01 39 01 39 01 39 25

Notes:

1. CVs of Junior Engineers and Technical Officers (National) are not required for inclusion in the proposal and will not be evaluated. However, CVs must be submitted to Client for approval prior to mobilization.

2. The estimated person-months are indicative, and the actual will vary based on actual duration of works and will be paid on actual time-basis. As common basis for financial proposal, the Consultant must use the staff person-months indicated above.

3. FIDIC Contract & Claims Specialist (International) will be mobilized on as-needed basis. His/ Her CV is required for inclusion in the technical proposal and will be evaluated.

16. The consultant is required to propose assignment of experts in accordance with the scope and expected deliverables. The qualifications and responsibilities of key positions are described as follow. Regional and country experience of the international staff is preferable.

17. **Team Leader/Chief Resident Engineer** shall be responsible for the overall tasks as defined here under the scope. He/she shall hold a minimum of bachelor degree in civil engineering and preferably a master degree holder in road engineering/contracts management. He/she shall have minimum 20 year experience in road construction. He/she shall be familiar with various international standards for design and construction (FIDIC) including stage of works and method of construction such as temporary works, construction plans, schedules, construction method, assignments of equipment and personnel, testing and trials, and drawings.

18. The Team Leader will (i) maintain records and advise the PIU with the day-to-day coordination and supervision of Project and its components, including the preparation of regular progress reports, (ii) coordinate and review updated designs and cost estimate as required by the contract, (iii) coordinate and supervise the work of field teams in supervising and certifying construction in accordance with contract conditions. (iv) coordinate and liaise with employer, attend meetings arranged by employer and update the employer regularly on progress of work, delays, and variations and recommend the remedial measures. (v) submit to the employer and obtain the approval on variation, extension of time and other specific items defined in the Particular Conditions of Contract. (vii) chair the site progress review meeting. He/she will ensure that the safeguards aspects under the project are being complied. He/she will ensure that the specifications under the contract are being met, and quality is maintained.

19. **FIDIC Contract & Claims Specialist** shall be a bachelor in engineering with minimum 15-year experience in road works contract administration including FIDIC contract administration. He/she will (i) evaluate and settle variations and standard format of claims, and (ii) guide the employer in case of disputes by the contractor on claims settlement.

20. **Resident Engineers (for the construction period)** shall assist the Team Leader on coordination and supervision of road construction works in the field. The Resident Engineer shall have a bachelor degree in civil engineering with minimum 10 year experience in road construction. He/she will conduct day-to-day construction supervision, monitoring schedule, preparing monthly certificates, reviewing and approving shop drawing and as-built-drawings. Issue Site Instructions in consultation with TL. Timely inform the Team Leader on issues relating to the quality of works, progress of work, and any other constraints affecting the work.

21. **Assistant Resident Engineers** shall assist the Resident Engineers on coordination and supervision the road construction works in the field. The Assistant Resident Engineer shall have a bachelor degree in civil engineering with minimum 5 year experience in road construction. He/she will assist Resident Engineers in day-to-day construction supervision, monitoring schedule, checking monthly certificates, and reviewing shop drawing and as-built-drawings.

22. **Rural Road Design and Safety Engineer** shall have a bachelor in civil engineering, professionally qualified with 8 year experience in road design, especially in asphalt pavement design and construction of roads. He/she will assist the Resident Engineer in reviewing the rural road and pavement design by the CRC contractors, checking design centerline set out and make necessary adjustments, and issuing instructions to the contractors.

23. He/she will also conduct systematic road safety audits (RSA) of 10% of preliminary design, and 10% of detailed design including preparation of formal RSA and safety check reports, Conduct systematic road safety inspections (RSI) on a randomly selected sample of roads under maintenance, and document issues and countermeasures; prepare semestral summary road safety monitoring reports; provide training and support to PIU; assist PIU with road safety complaints and accident investigations; and assess the effectiveness of RSA procedures and recommend improvements as needed.

24. **Structural Engineer** shall assist RE in ensuring that the design complies with technical and safety standards. The bridge engineer shall have a bachelor degree in civil engineering with minimum 8 year experience in bridge construction supervision. He/she will update designs and cost estimates prepared by the design consultants. Supervise the bridge constructions and assist Resident Engineer in issuing instructions to the contractors.

25. **Material Engineers** shall have a bachelor degree in civil engineering with minimum 5 year experience or National Certificate in civil engineering with minimum 10 year experience in major road construction works especially in material testing. He/she will undertake day-to-day supervision of compliance to material specifications and testing, supervise the contractors work, and certify the construction in accordance with contract conditions including acceptance standards of materials, approval of source supply, and material testing methods.

26. **Quantity Surveyor (for the construction period)** shall have a bachelor degree in quantity surveying with minimum 4 year experience or National Diploma Certificate with minimum 7 year experience in quantity surveying of major projects. He/she shall check and recommend the payment certificates, maintain measurement records, and review and update the estimates as required. Assist Resident Engineer to check the quantity, variations, justification.

27. **Land Surveyor** shall assist RE in ensuring that the setting outs are checked and assist in adjusting the profiles to suit the site conditions. Continuously check the contractors setting outs and approve. Ensure designed centreline fixed complies with technical and safety standards. He/she shall be a qualified surveyor with minimum 10 years field experience.

28. **Contract & Claims Engineer** shall be an engineer with a bachelor degree in civil engineering with minimum 15 year experience in road contract administration including FIDIC contract

administration and minimum 5 year experience as a contract engineer. He/she will (i) evaluate and settle variations and standard format of claims and (ii) advise CRE/RE on potential claims, (iii) assist contract specialist in evaluating claims and variations, (iv) assist CRE/RE in responding to the contractors on contractual matters, (v) guide the employer in case of disputes by the contractor on claims settlement, and (vi) assist employer in establishing a dispute resolution board.

29. **Environmental Specialist** shall have a master degree in environmental science or equivalent, and have at least 10 year experience in preparing, implementing and monitoring environment management schemes associated with infrastructure projects. He/she will (i) assist in reviewing the Environmental checklists and contract package specific EMPs for all project roads and ensure that they have been prepared in accordance with requirements of the environmental assessment and review framework (EARF) for all tranches, (ii) during preparation of subsequent tranche, ensure all nominated roads comply with the selection criteria provided in the EARF and prepare due diligence reports on 20% of randomly selected sample of roads for all ongoing project tranches, (iii) check compliance of (a) the IEE and standard EMP prepared by the SAPE team with requirements of the EARF (b) the contract package specific EMP with requirements of the EARF and respective province level IEE, (iv) provide technical advice to the contractor and conduct on the job training as necessary, and (v) prepare monitoring reports on an annual basis based on monitoring checklists completed for each project road during pre-construction, construction and post construction or operation stages.

30. Social/Gender/Resettlement Specialist shall have a master degree in social science or equivalent, and have at least 10 year experience in preparing, implementing and monitoring social development schemes associated with infrastructure projects. He/she will(i) ensure compliance of all preliminary design of rural roads and national roads projects prepared by the SAPE consultant are in accordance to the Resettlement Framework for all tranches; (ii) check and ensure detail design prepared by civil works contractors have incorporated feasible features based on the outcome from transect walks, (iii) during preparation of subsequent tranche, prepare due diligence reports on 20% of randomly selected sample of roads for all ongoing project tranches; (iv) monitor and evaluate implementation of the community participation process prescribed in the RF and recommend improvements to the participatory process to ensure broader participation of rural population in project roads formulation, (v) for rural roads require land donation, monitor the land donation process and conduct field visit on a monthly basis until land donation is finalized. (vi) during construction phase. conduct monitoring of all project roads and prepare monitoring reports on a biannual basis for all project tranches, and (vii) during maintenance phase, conduct monitoring of all project roads and prepare monitoring reports on an annual basis for all project tranches.

31. He/she will also (i) provide training and support to PIU on implementing the gender action plan (GAP) activities at the field level, (ii) lead the implementation of specific gender-mainstreaming activities as detailed in the GAP, and (iii) monitor and report the overall implementation of relevant activities included in the GAP for all tranches on a semi-annual basis.

32. **Resident Engineer** (for the maintenance period) shall coordinate and supervise post construction road maintenance work. The Resident Engineer shall have a bachelor degree in civil engineering with minimum 10 year experience in road maintenance.

33. **Quantity Surveyor** (for the maintenance period) shall have a bachelor degree in quantity surveying with minimum 4 year experience or National Diploma Certificate with minimum 7 year experience in quantity surveying

34. **Junior Engineers** shall hold a bachelor degree in civil engineering and minimum 3 year experience. He/she will assist CRE/RE/ARE on day to day works.

35. **Technical Officers** shall have National Diploma in civil engineering with minimum 8 year experience in road construction works especially in workmanship and construction methods. He/she

shall ensure the construction works are carried out according to the drawings and specifications, take measurements of daily work done, and coordinate and liaise with Land Surveyor and Materials Engineer in checking and testing.

5 Output and Reporting Requirements

36. The Consultant will prepare reports including monthly reports on the project progress in a format and level of detail agreed with IA and ADB. The Consultant will maintain records documenting information supplied by the field teams, decisions made at meetings, progress on civil works, certified achievements and milestones, financial records, and any deviations from or changes to the contract plans. The Consultant will assist PMU/PIU in preparing quarterly progress reports, safeguard compliance reports including sections on environment, social, and gender, a project completion report, and monitoring and evaluation reports as required under the Contract. The Consultants will also undertake surveys, design reviews and workshops and submit relevant reports.

27	The consultant will submit reports in hardcony and softcony as follows
57.	The consultant will submit reports in hardcopy and solicopy as follows.

Deliverables	Deadline	Copies
Inception Report	End of Month 1	5
Monthly Report on CRC Packages	Within two weeks of end of month	5
Project Completion Report	By Project Completion	7
Draft PFR for iRoad (up to 10 PFRs)	Upon RDA's request	5
Special Reports as requested by RDA	Upon RDA's request	5

Project 2: Integrated Road Project in Sabaragamuwa Province and Kalutara District, and Project 3: Integrated Road Project in Central Province

Outline Terms of Reference: Project Implementation Consultants for Conventional Road Contracts

1 Background

- 1. The Democratic Socialist Republic of Sri Lanka is applying for a multitranche financing facility (MFF) for the Integrated Road Investment Program (iRoad) from the Asian Development Bank (ADB). The MFF will comprise a series of loans, to improve the access routes between rural areas and socioeconomic centers, in tranches. The program includes Conventional Road Contracts (CRC), covering rural access road including post construction performance base maintenance, in 3 separate geographical areas and one Road Management Contract (RMC), based on Output and Performance based Road Contracts (OPRC) concept, covering national roads in the Southern, Sabaragamuwa, Western, Central, North-Western and North-Central Provinces. Part of the funds from the MFF shall be used for providing consulting services for project implementation including construction supervision, supervision of post construction maintenance work, contract management, and other implementation activities in the CRC component. This outline TOR is for providing consulting services for the CRC in the Sabaragamuwa & Central Provinces and Kalutara District.
- 2. The Executing Agency (EA) of the iRoad Investment Program is Ministry of Highways, Ports and Shipping (MOHPS), and the Implementing Agency (IA) is the Road Development Authority (RDA).A Project Implementation Consultants (PIC) is to be engaged. The overall project organizational chart is shown below.



PIU = Project Implementation Unit,

PIC(CRC) = Project Implementation Consultants for Conventional Road Contracts PIC(RMC) = Project Implementation Consultants for Road Management Contract SAPE = Survey and Preliminary Engineering. 3. The general roles and responsibilities of the various parties are as follows:

iROAD Participant	General Role and Responsibility
iRoad PIU	 Project and safeguard management Approval of all variations of contracts for consulting services and civil works
Advisory Consultants	 FacilitatingPIU in areas requiring special expertise to achieve the program objective e.g. RAM, OPRC, and institutional matters etc.
SAPE Team	 Feasibility study, safeguard documents, and level-2 designs Community consultation along project roads
PIC(CRC)	 Reviewing and confirming the design and scope of works when the contractors apply the level-2 designs to the roads under Conventional Road Contract packages Construction supervision of Conventional Road Contract packages Supervision of post construction maintenance work in Conventional Road Contract packages Monitoring safeguard activities Providing on-the-job training to the PIU, EA, IA, and provincial and local road agencies in project management and contract administration.
PIC(RMC)	 Supervision and monitoring of construction in road management contract Supervision and monitoring of post construction maintenance in road management contract Monitoring safeguard activities Assist PIU in contract administration of the road management contracts. Providing support to the PIU, EA, IA, and contractors in understanding and implementing the road management contracts.
Contractors	 Detailed design based on the level-2 design for conventional road contract packages, or the conceptual design for the road management contract packages. Deliver the physical works as required in the conventional road contract, or the level of services as required in the road management contract. For the road management contract packages, the work includes various asset management tasks. Implementing safeguard requirements in the contract

4. Among other scopes of the consulting services, the main task of PIC (CRC) is to assist RDA in supervising and/or implementing the civil works in the CRC component of the iRoad investment program:

5. In the CRC component conventional measure and value contracts, requiring detailed contract supervision, will be used for the rehabilitation of approximately 1440km of provincial and rural roads. Initial construction is to be completed in the first 2 years, followed by a 3 year maintenance period. The roads under the contract packages will be isolated lengths of roads dispersed across the Sabaragamuwa & Central Provinces and Kalutara District.

2 Scope of Services

6. **Project Implementation in Sabaragamuwa & Central Provinces and Kalutara District.**The Contract Packages of civil works to be monitored and supervised by the PIC are as per the table below.

Contract Package	Description	District	Approximate Length (km))	
Conventional Road Contracts			(Construction (months)	PBM (months)
RDA/ADB/iRoad/SG/RR (R1)	Improving and maintaining approximately 80km of rural access roads in 5 DS Divisions	Ratnapura	80	24	36
RDA/ADB/iRoad/SG/RR (R2)	Improving and maintaining approximately 80km of rural access roads in 6 DS Divisions	Ratnapura	80	24	36
RDA/ADB/iRoad/SG/RR (R3)	Improving and maintaining approximately 80km of rural access roads in 6 DS Divisions	Ratnapura	80	24	36
RDA/ADB/iRoad/SG/RR (K1)	Improving and maintaining approximately 80km of rural access roads in 4 DS Divisions	Kegalla	80	24	36
RDA/ADB/iRoad/SG/RR (K2)	Improving and maintaining approximately 80km of rural access roads in 4 DS Divisions	Kegalla	80	24	36
RDA/ADB/iRoad/SG/RR (K3)	Improving and maintaining approximately 80km of rural access roads in 3 DS Divisions	Kegalla	80	24	36
RDA/ADB/iRoad/CP/RR (K1)	Improving and maintaining approximately 80km of rural access roads in 6 DS Divisions	Kandy	80	24	36
RDA/ADB/iRoad/CP/RR (K2)	Improving and maintaining approximately 80km of rural access roads in 7 DS Divisions	Kandy	80	24	36
RDA/ADB/iRoad/CP/RR (K3)	Improving and maintaining approximately 80km of rural access roads in 7 DS Divisions	Kandy	80	24	36
RDA/ADB/iRoad/CP/RR (NE1)	Improving and maintaining approximately 80km of rural access roads	Nuwara Eliy	a 80	24	36
RDA/ADB/iRoad/CP/RR (NE2)	Improving and maintaining approximately 80km of rural access roads	Nuwara Eliy	a 80	24	36
RDA/ADB/iRoad/CP/RR (NE3)	Improving and maintaining approximately 80km of rural access roads	Nuwara Eliy	a 80	24	36
RDA/ADB/iRoad/CP/RR (M1)	Improving and maintaining approximately 80km of rural access road in 4 DS Divisions	Matale	80	24	36
RDA/ADB/iRoad/CP/RR (M2)	Improving and maintaining approximately 80km of rural access road in 4 DS Divisions	Matale	80	24	36

Table 1: Contract Packages in Sabaragamuwa & Central Provinces and Kalutara District

RDA/ADB/iRoad/CP/RR (M3)	Improving and maintaining approximately 80km of rural access road in 3 DS Divisions	Matale	80	24	36
RDA/ADB/iRoad/WP/RR (K1)	Improving and maintaining approximately 80km of rural access road in 5 DS Divisions	Kalutara	80	24	36
RDA/ADB/iRoad/WP/RR (K2)	Improving and maintaining approximately 80km of rural access road in 4 DS Divisions	Kalutara	80	24	36
RDA/ADB/iRoad/WP/RR (K3)	Improving and maintaining approximately 80km of rural access road in 4 DS Divisions	Kalutara	80	24	36

7. The PIC will assist the PIU in the implementation of the contracts, including site supervision of construction activities, monitoring on maintenance performance, and other due diligence as defined in further details below.

8. The indicative timeline for implementation of the physical works is as follows:

	CRC Packages
Physical works commence	January 2015
Duration of rehabilitation works	2 years
End of maintenance period	3 years from end of physical
	works

3 Outline Terms of Reference

9. A team of consultants (the Consultant) will be engaged to act as the Engineer on behalf of the Employer in respect of the contract listed above. The Consultant will also be required to discharge other responsibilities outlined in the TOR.

10. The Consultant shall use most up-to-date software and technology for administration of the construction contracts. The Consultant shall ensure that all electronic files in relation to the deliverables of this TOR are in a format compatible with those used by the EA. The EA uses the Microsoft Office suite of software, ArcGIS for GIS applications and AutoCad for drawings. Further clarification on any aspect of this requirement can be gained from the PIU. While all files are to be provided in soft copy, hard copies of reports are also required as defined below. Subject to request by the PIU, some reports should also be provided in PDF format.

3.1 Project Implementation in Sabaragamuwa & Central Provinces and Kalutara District

11. Civil Works under the CRC packages will be carried out based on the International Federation of Consulting Engineers (FIDIC) contract MDB Harmonised Edition (June 2010).

12. The PIC will (i) undertake contract administration based on the FIDIC contract; (ii) undertake safeguards compliance; ensure that all safeguards (social, environment and indigenous peoples) are being complied under the project, (iii) undertake the Project Performance and Monitoring Survey 3 times; at the start of the Project, at midterm and at the end of the Project: (iv) prepare and implement capacity development program including training, workshops, and seminars to staff of MOHPS, RDA, and provincial and local road agencies on project management and contract administration, (v) prepare monthly reports on progress and other issues, (vi) prepare a project completion report when the Project is substantially completed incorporating comments from the PIU, the IA, the EA and the ADB.

13. The PIC will administer the construction contracts and ensure that the contractual clauses for both quality and specifications of works are complied with, and the works are constructed in accordance with the provisions of the construction contracts.

14. The PIC, while supervising construction works, will make all necessary arrangements for implementation of quality assurance and quality control plans following industry standards and best practices. The Consultant in consultation with the PIU and EA will make all engineering decisions required for the successful and timely completion of the construction contracts, and will have all the powers defined as those of the Engineer under FIDIC.

4 Inputs and Qualifications of Key Positions

15. The consulting services will be carried out by a team of international and national consultants. A total of 36 person-months of international consultant inputs and 906 person-months of national consultant will be required in a period of 63 months (actual duration of service shall be in line with the schedule of civil works). All experts, international or national, must be proficient in both written and spoken English. The key and non-key positions are given in the table below.

		Input	Total
Position		(person-	month)
International Experts			
Team Leader/ Chief Resident Engineer	1	30	30
FIDIC Contract & Claims Specialist	1	06	06
subtotal	2		36
National Experts			
For the Construction Period			
Resident Engineer –SG/RR (R1), (R2), (R3)	01	27	27
Resident Engineer –SG/RR (K1), (K2), (K3)	01	27	27
Resident Engineer –CP/RR (K1), (K2), (K3)	01	27	27
Resident Engineer – CP/RR (NE1), (NE2), (NE3)	01	27	27
Resident Engineer – CP/RR (M1), (M2), (M3)	01	27	27
Resident Engineer – WP/RR (K1), (K2), (K3)	01	27	27
Rural Road Design and Safety Engineer	03	24	72
Structural Engineer	03	06	18
Material Engineer	06	24	144
Quantity Surveyor	06	27	162
Environmental Specialist	01	27	27
Social/Gender/Resettlement Specialist	01	27	27
Land Surveyor	06	08	48

Contract & Claims Engineer	01	24	24
Assistant Resident Engineer	06	24	144
For the Maintenance Period (all SG,CP,WP/RR Contracts)			
Resident Engineer	01	39	39
Quantity Surveyor	01	39	39
subtotal	35		906
Non-key Experts			
Junior Engineers	24	27	648
Technical Officers	36	27	972
subtotal	54		1620
Total	89		2526

Notes:

 CVs of Junior Engineers and Technical Officers (National) are not required for inclusion in the proposal and will not be evaluated. However, CVs must be submitted to Client for approval prior to mobilization.
 The estimated person-months are indicative, and the actual will vary based on actual duration of works and will be paid on actual time-basis. As common basis for financial proposal, the Consultant must use the staff person-months indicated above.

3. FIDIC Contract & Claims Specialist (International) will be mobilized on as-needed basis. His/ Her CV is required for inclusion in the technical proposal and will be evaluated.

16. The consultant is required to propose assignment of experts in accordance with the scope and expected deliverables. The qualifications and responsibilities of key positions are described as follow. Regional and country experience of the international staff is preferable.

17. **Team Leader/Chief Resident Engineer** shall be responsible for the overall tasks as defined here under the scope. He/she shall hold a minimum of bachelor degree in civil engineering and preferably a master degree holder in road engineering/contracts management. He/she shall have minimum 20 year experience in road construction. He/she shall be familiar with various international standards for design and construction (FIDIC) including stage of works and method of construction such as temporary works, construction plans, schedules, construction method, assignments of equipment and personnel, testing and trials, and drawings.

18. The Team Leader will (i) maintain records and advise the PIU with the day-to-day coordination and supervision of Project and its components, including the preparation of regular progress reports, (ii) coordinate and review updated designs and cost estimate as required by the contract, (iii) coordinate and supervise the work of field teams in supervising and certifying construction in accordance with contract conditions. (iv) coordinate and liaise with employer, attend meetings arranged by employer and update the employer regularly on progress of work, delays, and variations and recommend the remedial measures. (v) submit to the employer and obtain the approval on variation, extension of time and other specific items defined in the Particular Conditions of Contract. (vii) chair the site progress review meeting. He/she will ensure that the safeguards aspects under the project are being complied. He/she will ensure that the specifications under the contract are being met, and quality is maintained.

19. **FIDIC Contract & Claims Specialist** shall be a bachelor in engineering with minimum 15-year experience in road works contract administration including FIDIC contract administration. He/she will (i) evaluate and settle variations and standard format of claims, and (ii) guide the employer in case of disputes by the contractor on claims settlement.

20. **Resident Engineers (for the construction period)** shall assist the Team Leader on coordination and supervision of road construction works in the field. The Resident Engineer shall have a bachelor degree in civil engineering with minimum 10 year experience in road construction. He/she will conduct day-to-day construction supervision, monitoring schedule, preparing monthly certificates, reviewing and approving shop drawing and as-built-drawings. Issue Site Instructions in consultation with TL. Timely inform the Team Leader on issues relating to the quality of works, progress of work, and any other constraints affecting the work.

21. **Assistant Resident Engineers** shall assist the Resident Engineers on coordination and supervision the road construction works in the field. The Assistant Resident Engineer shall have a bachelor degree in civil engineering with minimum 5 year experience in road construction. He/she will assist Resident Engineers in day-to-day construction supervision, monitoring schedule, checking monthly certificates, and reviewing shop drawing and as-built-drawings.

22. **Rural Road Design and Safety Engineer** shall have a bachelor in civil engineering, professionally qualified with 8 year experience in road design, especially in asphalt pavement design and construction of roads. He/she will assist the Resident Engineer in reviewing the rural road and pavement design by the CRC contractors, checking design centerline set out and make necessary adjustments, and issuing instructions to the contractors.

23. He/she will also conduct systematic road safety audits (RSA) of 10% of preliminary design, and 10% of detailed design including preparation of formal RSA and safety check reports, Conduct systematic road safety inspections (RSI) on a randomly selected sample of roads under maintenance, and document issues and countermeasures; prepare semestral summary road safety monitoring reports; provide training and support to PIU; assist PIU with road safety complaints and accident investigations; and assess the effectiveness of RSA procedures and recommend improvements as needed.

24. **Structural Engineer** shall assist RE in ensuring that the design complies with technical and safety standards. The bridge engineer shall have a bachelor degree in civil engineering with minimum 8 year experience in bridge construction supervision. He/she will update designs and cost estimates prepared by the design consultants. Supervise the bridge constructions and assist Resident Engineer in issuing instructions to the contractors.

25. **Material Engineers** shall have a bachelor degree in civil engineering with minimum 5 year experience or National Certificate in civil engineering with minimum 10 year experience in major road construction works especially in material testing. He/she will undertake day-to-day supervision of compliance to material specifications and testing, supervise the contractors work, and certify the construction in accordance with contract conditions including acceptance standards of materials, approval of source supply, and material testing methods.

26. **Quantity Surveyor (for the construction period)** shall have a bachelor degree in quantity surveying with minimum 4 year experience or National Diploma Certificate with minimum 7 year experience in quantity surveying of major projects. He/she shall check and recommend the payment certificates, maintain measurement records, and review and update the estimates as required. Assist Resident Engineer to check the quantity, variations, justification.

27. **Land Surveyor** shall assist RE in ensuring that the setting outs are checked and assist in adjusting the profiles to suit the site conditions. Continuously check the contractors setting outs and approve. Ensure designed centreline fixed complies with technical and safety standards. He/she shall be a qualified surveyor with minimum 10 years field experience.

28. **Contract & Claims Engineer** shall be an engineer with a bachelor degree in civil engineering with minimum 15 year experience in road contract administration including FIDIC contract administration and minimum 5 year experience as a contract engineer. He/she will (i) evaluate and settle variations and standard format of claims and (ii) advise CRE/RE on potential claims, (iii) assist contract specialist in evaluating claims and variations, (iv) assist CRE/RE in responding to the contractors on contractual matters, (v) guide the employer in case of disputes by the contractor on claims settlement, and (vi) assist employer in establishing a dispute resolution board.

29. **Environmental Specialist** shall have a master degree in environmental science or equivalent, and have at least 10 year experience in preparing, implementing and monitoring environment management schemes associated with infrastructure projects. He/she will (i) assist in reviewing the Environmental checklists and contract package specific EMPs for all project roads and ensure that they have been prepared in accordance with requirements of the environmental assessment and review framework (EARF) for all tranches, (ii) during preparation of subsequent tranche, ensure all nominated roads comply with the selection criteria provided in the EARF and prepare due diligence reports on 20% of randomly selected sample of roads for all ongoing project tranches, (iii) check compliance of (a) the IEE and standard EMP prepared by the SAPE team with requirements of the EARF (b) the contract package specific EMP with requirements of the EARF and respective province level IEE, (iv) provide technical advice to the contractor and conduct on the job training as necessary, and (v) prepare monitoring reports on an annual basis based on monitoring checklists completed for each project road during pre-construction, construction and post construction or operation stages.

30. Social/Gender/Resettlement Specialist shall have a master degree in social science or equivalent, and have at least 10 year experience in preparing, implementing and monitoring social development schemes associated with infrastructure projects. He/she will(i) ensure compliance of all preliminary design of rural roads and national roads projects prepared by the SAPE consultant are in accordance to the Resettlement Framework for all tranches; (ii) check and ensure detail design prepared by civil works contractors have incorporated feasible features based on the outcome from transect walks, (iii) during preparation of subsequent tranche, prepare due diligence reports on 20% of randomly selected sample of roads for all ongoing project tranches; (iv) monitor and evaluate implementation of the community participation process prescribed in the RF and recommend improvements to the participatory process to ensure broader participation of rural population in project roads formulation, (v) for rural roads require land donation, monitor the land donation process and conduct field visit on a monthly basis until land donation is finalized, (vi) during construction phase, conduct monitoring of all project roads and prepare monitoring reports on a biannual basis for all project tranches, and (vii) during maintenance phase, conduct monitoring of all project roads and prepare monitoring reports on an annual basis for all project tranches.

31. He/she will also (i) provide training and support to PIU on implementing the gender action plan (GAP) activities at the field level, (ii) lead the implementation of specific gender-mainstreaming activities as detailed in the GAP, and (iii) monitor and report the overall implementation of relevant activities included in the GAP for all tranches on a semi-annual basis.

32. **Resident Engineer** (for the maintenance period) shall coordinate and supervise post construction road maintenance work. The Resident Engineer shall have a bachelor degree in civil engineering with minimum 10 year experience in road maintenance.

33. **Quantity Surveyor** (for the maintenance period) shall have a bachelor degree in quantity surveying with minimum 4 year experience or National Diploma Certificate with minimum 7 year experience in quantity surveying

34. **Junior Engineers** shall hold a bachelor degree in civil engineering and minimum 3 year experience. He/she will assist CRE/RE/ARE on day to day works.

35. **Technical Officers** shall have National Diploma in civil engineering with minimum 8 year experience in road construction works especially in workmanship and construction methods. He/she shall ensure the construction works are carried out according to the drawings and specifications, take measurements of daily work done, and coordinate and liaise with Land Surveyor and Materials Engineer in checking and testing.

5 Output and Reporting Requirements

36. The Consultant will prepare reports including monthly reports on the project progress in a format and level of detail agreed with IA and ADB. The Consultant will maintain records documenting information supplied by the field teams, decisions made at meetings, progress on civil works, certified achievements and milestones, financial records, and any deviations from or changes to the contract plans. The Consultant will assist PMU/PIU in preparing quarterly progress reports, safeguard compliance reports including sections on environment, social, and gender, a project completion report, and monitoring and evaluation reports as required under the Contract. The Consultants will also undertake surveys, design reviews and workshops and submit relevant reports.

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37. The consultant will submit reports in hardcopy and softcopy as follows.

6 Extension of Consulting Services

38. ThePIC contract may be extended for project implementation support in successive tranches of the MFF, subject to evaluation by the Steering Committee of the Government and agreement by ADB. The Steering Committee of the Government shall determine whether the consultant shall conduct the successive services based on the assessment of consultant's performance.

Project 3: Integrated Road Project in North Central Province, and Project 4: Integrated Road Project in North Western Province

Outline Terms of Reference: Project Implementation Consultants for Conventional Road Contracts

1 Background

- 1. The Democratic Socialist Republic of Sri Lanka is applying for a multitranche financing facility (MFF) for the Integrated Road Investment Program (iRoad) from the Asian Development Bank (ADB). The MFF will comprise a series of loans, to improve the access routes between rural areas and socioeconomic centers, in tranches. The program includes Conventional Road Contracts (CRC), covering rural access road including post construction performance base maintenance, in 3 separate geographical areas and one Road Management Contract (RMC), based on Output and Performance based Road Contracts (OPRC) concept, covering national roads in the Southern, Sabaragamuwa, Western, Central, North-Western and North-Central Provinces. Part of the funds from the MFF shall be used for providing consulting services for project implementation including construction supervision, supervision of post construction maintenance work, contract management, and other implementation activities in the CRC component. This outline TOR is for providing consulting services for the CRC in the North-Western and North-Central Provinces.
- 2. The Executing Agency (EA) of the iRoad Investment Program is Ministry of Highways, Ports and Shipping (MOHPS), and the Implementing Agency (IA) is the Road Development Authority (RDA).A Project Implementation Consultants (PIC) is to be engaged. The overall project organizational chart is shown below.



PIU = Project Implementation Unit,

PIC(CRC) = Project Implementation Consultants for Conventional Road Contracts PIC(RMC) = Project Implementation Consultants for Road Management Contract SAPE = Survey and Preliminary Engineering. 3. The general roles and responsibilities of the various parties are as follows:

iROAD	General Role and Responsibility
Participant	
iRoad PIU	 Project and safeguard management
	 Approval of all variations of contracts for consulting services and civil works
Advisory	FacilitatingPIU in areas requiring special expertise to achieve the program
Consultants	objective e.g. RAM, OPRC, and institutional matters etc.
SAPE Team	 Feasibility study, safeguard documents, and level-2 designs
	Community consultation along project roads
PIC(CRC)	 Reviewing and confirming the design and scope of works when the contractors apply the level-2 designs to the roads under Conventional Road Contract packages
	 Construction supervision of Conventional Road Contract packages
	Supervision of post construction maintenance work in Conventional Road
	Contract packages
	Monitoring safeguard activities
	 Providing on-the-job training to the PIU, EA, IA, and provincial and local road agencies in project management and contract administration.
PIC(RMC)	Supervision and monitoring of construction in road management contract
	 Supervision and monitoring of post construction maintenance in road management contract
	 Monitoring safeguard activities
	Assist PIU in contract administration of the road management contracts.
	 Providing support to the PIU, EA, IA, and contractors in understanding
	and implementing the road management contracts.
Contractors	• Detailed design based on the level-2 design for conventional road contract packages, or the conceptual design for the road management contract packages.
	 Deliver the physical works as required in the conventional road contract, or the level of services as required in the road management contract.
	 For the road management contract packages, the work includes various asset management tasks.
	 Implementing safeguard requirements in the contract

4. Among other scopes of the consulting services, the main task of PIC (CRC) is to assist RDA in supervising and/or implementing the civil works in the CRC component of the iRoad investment program:

5. In the CRC component conventional measure and value contracts, requiring detailed contract supervision, will be used for the rehabilitation of approximately 960km of provincial and rural roads. Initial construction is to be completed in the first 2 years, followed by a 3 year maintenance period. The roads under the contract packages will be isolated lengths of roads dispersed across the North-Western and North-Central Provinces.

2 Scope of Services

6. **Project Implementation in North-Western and North-Central Provinces.**The Contract Packages of civil works to be monitored and supervised by the PIC are as per the table below.

Contract	Description	District	Length(km	n)	
Package			(Approxim	nate)	
Conventional Road Contracts				Construction	PBM
				(months)	(months)
RDA/ADB/	Improving and maintaining	Kurunegala	80	24	36
iRoad/NW/	approximately 80km of rural access				
RR(K1)	roads in 10 DS Divisions				
RDA/ADB/	Improving and maintaining	Kurunegala	80	24	36
iRoad/NW/	approximately 80km of rural access				
RR(K2)	roads in 10 DS Divisions				
RDA/ADB/	Improving and maintaining	Kurunegala	80	24	36
iRoad/NW/	approximately 80km of rural access	-			
RR(K3)	roads in 10 DS Divisions				
RDA/ADB/	Improving and maintaining	Puttalam	80	24	36
iRoad/NW/	approximately 80km of rural access				
RR(P1)	roads in 6 DS Divisions				
RDA/ADB/	Improving and maintaining	Puttalam	80	24	36
iRoad/NW/	approximately 80km of rural access				
RR(P2)	roads in 5 DS Divisions				
RDA/ADB/	Improving and maintaining	Puttalam	80	24	36
iRoad/NW/	approximately 80km of rural access				
RR(P3)	roads in 5 DS Divisions				
RDA/ADB/	Improving and maintaining	Anuradhapura	80	24	36
iRoad/NC/	approximately 80km of rural access	•			
RR(A1)	roads in 8 DS Divisions				
RDA/ADB/	Improving and maintaining	Anuradhapura	80	24	36
iRoad/NC/	approximately 80km of rural access				
RR(A2)	roads in 8 DS Divisions				
RDA/ADB/	Improving and maintaining	Anuradhapura	80	24	36
iRoad/NC/	approximately 80km of rural access				
RR(A3)	roads in 7 DS Divisions				
RDA/ADB/	Improving and maintaining	Pollannaruwa	80	24	36
iRoad/NC/	approximately 80km of rural access				
RR(P1)	roads in 3 DS Divisions				
RDA/ADB/	Improving and maintaining	Pollannaruwa	80	24	36
iRoad/NC/	approximately 80km of rural access				
RR(P2)	roads in 2 DS Divisions				
RDA/ADB/	Improving and maintaining	Pollannaruwa	80	24	36
iRoad/NC/	approximately 80km of rural access				
RR(P3)	roads in 2 DS Divisions				

Table 1: Contract Packages in North	Western & North Central Provinces
--------------------------------------------	-----------------------------------

7. The PIC will assist the PIU in the implementation of the contracts, including site supervision of construction activities, monitoring on maintenance performance, and other due diligence as defined in further details below.

8. The indicative timeline for implementation of the physical works is as follows:

	CRC Packages
Physical works commence	January 2015
Duration of rehabilitation works	2 years
End of maintenance period	3 years from end of physical works

3 Outline Terms of Reference

9. A team of consultants (the Consultant) will be engaged to act as the Engineer on behalf of the Employer in respect of the contract listed above. The Consultant will also be required to discharge other responsibilities outlined in the TOR.

10. The Consultant shall use most up-to-date software and technology for administration of the construction contracts. The Consultant shall ensure that all electronic files in relation to the deliverables of this TOR are in a format compatible with those used by the EA. The EA uses the Microsoft Office suite of software, ArcGIS for GIS applications and AutoCad for drawings. Further clarification on any aspect of this requirement can be gained from the PIU. While all files are to be provided in soft copy, hard copies of reports are also required as defined below. Subject to request by the PIU, some reports should also be provided in PDF format.

3.1 Project Implementation in North-Western and North-Central Provinces

11. Civil Works under the CRC packages will be carried out based on the International Federation of Consulting Engineers (FIDIC) contract MDB Harmonised Edition (June 2010).

12. The PIC will (i) undertake contract administration based on the FIDIC contract; (ii) undertake safeguards compliance; ensure that all safeguards (social, environment and indigenous peoples) are being complied under the project, (iii) undertake the Project Performance and Monitoring Survey 3 times; at the start of the Project, at mid term and at the end of the Project: (iv) prepare and implement capacity development program including training, workshops, and seminars to staff of MOHPS, RDA, and provincial and local road agencies on project management and contract administration, (v) prepare monthly reports on progress and other issues, (vi) prepare a project completion report when the Project is substantially completed incorporating comments from the PIU, the IA, the EA and the ADB.

13. The PIC will administer the construction contracts and ensure that the contractual clauses for both quality and specifications of works are complied with, and the works are constructed in accordance with the provisions of the construction contracts.

14. The PIC, while supervising construction works, will make all necessary arrangements for implementation of quality assurance and quality control plans following industry standards and best practices. The Consultant in consultation with the PIU and EA will make all engineering decisions required for the successful and timely completion of the construction contracts, and will have all the powers defined as those of the Engineer under FIDIC.

4 Inputs and Qualifications of Key Positions

15. The consulting services will be carried out by a team of international and national consultants. A total of 36 person-months of international consultant inputs and 680 personmonths of national will be required in a period of 63 months (actual duration of service shall be in line with the schedule of civil works). All experts, international or national, must be proficient in both written and spoken English. The key and non-key positions are given in the table below.

		Input	Total			
Position	No.	(person	-month)			
International Experts						
Team Leader/ Chief Resident Engineer		30	30			
FIDIC Contract & Claim Specialist	1	6	6			
subtotal	2		36			
National Experts						
For the Construction Period						
Resident Engineer - NW/RR (K 1), (K2), (K3)	1	27	27			
Resident Engineer - NW/RR (P 1), (P2), (P3)	1	27	27			
Resident Engineer - NC/RR (A 1), (A2), (A 3)	1	27	27			
Resident Engineer - NC/RR (P 1), (P2), (P3)	1	27	27			
Rural Road Design and Safety Engineer		28	56			
Structural Engineer		6	6			
Material Engineer		24	96			
Quantity Surveyor		27	108			
Environmental Specialist		30	30			
Social/Gender/Resettlement Specialist		30	30			
Land Surveyor		12	48			
Contract & Claims Engineer		30	30			
Assistant Resident Engineer		24	96			
subtotal	28		680			
For the Maintenance Period (all NW & NC /RR Contracts)						
Resident Engineer		36	36			
Quantity Surveyor		36	36			
Non-key Experts						
Junior Engineers		24	312			
Technical Officers		24	576			
subtotal			888			
Total			1604			

Notes:

1. CVs of Junior Engineers and Technical Officers (National) are not required for inclusion in the proposal and will not be evaluated. However, CVs must be submitted to Client for approval prior to mobilization.

2. The estimated person-months are indicative, and the actual will vary based on actual duration of works and will be paid on actual time-basis. As common basis for financial proposal, the Consultant must use the staff person-months indicated above.

3. FIDIC Contract & Claims Specialist (International) will be mobilized on as-needed basis. His/ Her CV is required for inclusion in the technical proposal and will be evaluated.

16. The consultant is required to propose assignment of experts in accordance with the scope and expected deliverables. The qualifications and responsibilities of key positions are described as follow. Regional and country experience of the international staff is preferable.

17. **Team Leader/Chief Resident Engineer** shall be responsible for the overall tasks as defined here under the scope. He/she shall hold a minimum of bachelor degree in civil engineering and preferably a master degree holder in road engineering/contracts management. He/she shall have minimum 20 year experience in road construction. He/she shall be familiar with various international standards for design and construction (FIDIC) including stage of works and method of construction such as temporary works, construction plans, schedules, construction method, assignments of equipment and personnel, testing and trials, and drawings.

18. The Team Leader will (i) maintain records and advise the PIU with the day-to-day coordination and supervision of Project and its components, including the preparation of regular progress reports, (ii) coordinate and review updated designs and cost estimate as required by the contract, (iii) coordinate and supervise the work of field teams in supervising and certifying construction in accordance with contract conditions. (iv) coordinate and liaise with employer, attend meetings arranged by employer and update the employer regularly on progress of work, delays, and variations and recommend the remedial measures. (v) submit to the employer and obtain the approval on variation, extension of time and other specific items defined in the Particular Conditions of Contract. (vii) chair the site progress review meeting. He/she will ensure that the safeguards aspects under the project are being complied. He/she will ensure that the specifications under the contract are being met, and quality is maintained.

19. **FIDIC Contract & Claims Specialist** shall be a bachelor in engineering with minimum 15-year experience in road works contract administration including FIDIC contract administration. He/she will (i) evaluate and settle variations and standard format of claims, and (ii) guide the employer in case of disputes by the contractor on claims settlement.

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23. He/she will also conduct systematic road safety audits (RSA) of 10% of preliminary design, and 10% of detailed design including preparation of formal RSA and safety check reports, Conduct systematic road safety inspections (RSI) on a randomly selected sample of roads under maintenance, and document issues and countermeasures; prepare semestral summary road safety monitoring reports; provide training and support to PIU; assist PIU with road safety complaints and accident investigations; and assess the effectiveness of RSA procedures and recommend improvements as needed.

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1 Background

1. The Democratic Socialist Republic of Sri Lanka is applying for a multitranche financing facility (MFF) for the Integrated Road Investment Program (iRoad) from the Asian Development Bank (ADB). The MFF will comprise a series of loans to improve the access routes between rural areas and socioeconomic centers in tranches. Part of these funds shall be used for providing consulting services for project implementation.

- 2. There are two types of contracts for civil works in the iRoad investment program:
 - a. **Conventional Road Contracts (CRC).** The conventional measure and value contracts, requiring detailed contract supervision, will be used for the rehabilitation of approximately 600km of provincial, rural and selected national roads. Initial construction is to be completed in the first 1-2 years, followed by a 3 year maintenance period. The roads under the contract packages will be isolated lengths of roads dispersed across the Southern Province.
 - b. Road Management Contracts (RMC). The RMC is based on the sample bidding documents developed by the World Bank for Output and Performance-based Road Contracts.¹ Within each package a significant proportion will require rehabilitation in the first 1-2 years, with the remainder possibly requiring periodic resurfacing throughout the contract period (7 years in total). Routine maintenance of the entire length throughout the contract period is part of the work. In Southern Province, two RMC packages will be implemented, which comprise about 115 km of national roads, with about 70 km requiring rehabilitation in the first 1-2 years.

3. The Executing Agency (EA) of the iRoad Investment Program is Ministry of Highways, Ports and Shipping (MOHPS), and the Implementing Agency (IA) is the Road Development Authority (RDA). A Project Implementation Consultants (PIC) is to be engaged. The overall project organizational chart is shown below.



PIU = Project Implementation Unit,

PIC = Project Implementation Consultants,

SAPE = Survey and Preliminary Engineering.

¹ World Bank. 2006. *Procurement of Works and Services under Output- and Performance-based Road Contracts and Sample Specifications*. Washington, DC.
4. The general roles and responsibilities of the various parties are as follows:

iROAD Participant	General Role and Responsibility
iRoad PIU	 Project and safeguard management Approval of all variations of contracts for consulting services and civil works
Advisory Consultants	 FacilitatingPIU in areas requiring special expertise to achieve the program objective e.g. RAM, OPRC, and institutional matters etc.
SAPE Team	 Feasibility study, safeguard documents, and level-2 designs Community consultation along project roads
PIC(CRC)	 Reviewing and confirming the design and scope of works when the contractors apply the level-2 designs to the roads under Conventional Road Contract packages Construction supervision of Conventional Road Contract packages Supervision of post construction maintenance work in Conventional Road Contract packages Monitoring safeguard activities Providing on-the-job training to the PIU, EA, IA, and provincial and local road agencies in project management and contract administration.
PIC(RMC)	 Supervision and monitoring of construction in road management contract Supervision and monitoring of post construction maintenance in road management contract Monitoring safeguard activities Assist PIU in contract administration of the road management contracts. Providing support to the PIU, EA, IA, and contractors in understanding and implementing the road management contracts.
Contractors	 Detailed design based on the level-2 design for conventional road contract packages, or the conceptual design for the road management contract packages. Deliver the physical works as required in the conventional road contract, or the level of services as required in the road management contract. For the road management contract packages, the work includes various asset management tasks. Implementing safeguard requirements in the contract

Scope of Services 2

5. The PIC will assist the RDA on RMC packages on the following two tasks.

6. **Task 1: Project Implementation in Southern Province.** Two RMC Packages will be monitored and supervised by the PIC.

		ges in South		
Contract	Description	District	Length	
Package			(km)	
RMC-SP1	Rehabilitating and/or maintaining 61 km of national roads in Galle District	Galle	61	84
RMC-SP2	Rehabilitating and/or maintaining 54 km of national roads in Matara and Hambantota Districts	Matara and Hambantota	54	84

Table 1, PMC Backages in Southern Browings

7. The PIC will assist the PIU in the implementation of the contracts, including site supervision of construction activities, monitoring on maintenance performance, and technical support for the RMC initiatives and other due diligence as defined in further details below.

8. **Task 2: Preparation and Implementation of six new RMC packages.** The PIC will assist RDA in preparing six new RMC packages in Sabaragamuwa Province, Western Province, Central Province, North Central Province and North Western Province, undertaking the procurement, and implementing the packages.

9.	The indicative	timeline for in	nolementation	of the physic	cal works is as follows:
0.	The maloutive		npionioniaion	or the physic	

	RMC Packages in Southern Province	Six new RMC packages
Physical works commence	July 2015	July 2016
Duration of rehabilitation works	1-2 years	1-2 years
End of maintenance period	7 years from start of	7 years from start
	contract period	of contract period

3 Outline Terms of Reference

10. A team of consultants (the Consultant) will be engaged to act as the Engineer on behalf of the Employer. The PIC will be organized into two task teams under the team leader. Each team will have a Task Leader who will be responsible to the team leader for the management and coordination of the task team. Details of the role, composition and duties of each team are provided in Section 4. The task teams include: (i) Task 1: Project Implementation led by the Team Leader concurrently as Task Leader, and (ii) Task 2: Project Preparation led by a Transport Project Specialist. While the Consultant's staff may work across both Tasks, the Task Leaders will be dedicated for their respective tasks.

11. The Consultant shall use most up-to-date software and technology for administration of the construction contracts. The Consultant shall ensure that all electronic files in relation to the deliverables of this TOR are in a format compatible with those used by the EA. The EA uses the Microsoft Office suite of software, ArcGIS for GIS applications and AutoCad for drawings. Further clarification on any aspect of this requirement can be gained from the PIU. While all files are to be provided in soft copy, hard copies of reports are also required as defined below. Subject to request by the PIU, some reports should also be provided in PDF format.

3.1 Task 1: Project Implementation in Southern Province

12. Civil Works under the RMC packages will be carried out based on the Output and Performance-based Road Contract developed by the World Bank (2006).

13. The key tasks of PIC related to the RMC packages include:

(i) Supervision of Output-Based Works (Rehabilitation and Resurfacing): The PIC will undertake sufficient supervision of the rehabilitation and resurfacing works to ensure all work is completed to the necessary quality and design standards including safeguard requirements. Supervision will extend to material testing and confirmation of the extent of works completed in order to certify payment requests.

- (ii) **Monthly Combined Inspections:** Combined inspections, i.e. by the PIU, PIC & Contractor, will be undertaken every month and Night-time inspections undertaken every Three (3) Months.
- (iii) Auditing of Roads (Maintenance Activities): For the first 3 years of the RMC contract packages the PIC is required to audit 100% of each RMC package each month to measure conformance with the required RMC maintenance standards. Beyond three years, the audit requirement for the PIC may be reduced to a random 50% sample based on a series of 5km lengths of the road
- (iv) Auditing of All Data from RMC and Loading into RDA Systems: The RMC Contractor is required to provide the Client with various data items regarding the condition and works completed on the network. Prior to loading the data into the Client's information management system(s), the PIC is to undertake a sufficient level of auditing to confirm that the data is accurate and complete.
- (v) **Recommendations on Payment:** Based on the findings from the various inspections/audits, and the extent of the works completed, the Consultant is to make a recommendation to the Project Director with regard to the appropriate monthly payment that the Contractor is to receive (in accordance with the contractors contract).
- (vi) **Reporting:** The PIC is required to report monthly on the progress and performance of the RMC packages. Additionally an Annual Report is required to summarize the prior year's achievements and plan for the year ahead.
- (vii) Uploading Data and Reports to the Information Centre and Client Information Systems: The PIC is responsible for the uploading of all data and soft-copies of reports to the appropriate Client systems. These systems include the iRoad Information Center, and the Highway Information Management System (HIMS).
- (viii) **General Support and 'Championing' for RMC:** It is recognized that there are challenges in introducing a new contractual model into a marketplace and part of the Consultants role is to help promote a greater understanding of the nuances of the model. This role may involve coaching of the contractor, the PIU, RDA and MOHPS in various aspects of RMC to ensure the best possible chance of a successful outcome is achieved.

3.2 Task 2: Preparation and Implementation for Six new RMC packages

14. The PIC will also assist the PIU and RDA in (i) reviewing the lessons of preparing and implementing the two RMC packages in Southern Province, (ii) reviewing and validating the cost estimates and preliminary design of six new contract packages produced by RDA's Survey and Preliminary Engineering team (SAPE), (iii) preparing bidding documents, (iv) providing technical support in the procurement, and (v) implementing the six packages as described in task 1.

4 Inputs and Qualifications of Key Positions

15. The consulting services will be carried out by a team of international and national consultants. A total of 86 person-months of international consultant inputs and 968 person-months of national will be required in a period of 84 months (actual duration of service shall be in line with the schedule of civil works). All experts, international or national, must be proficient in both written and spoken English. The key an non-key positions are given in the table below.

		Input	Total
Position		(person	-month)
International Experts			
Team Leader/Chief Resident Engineer	1	48	48
Road Manangement Contract Specialist	1	12	12
subtotal	4		60
National Experts			
Resident Engineer	8	72	576
National Road Design and Safety Engineer	1	28	28
Structural Engineer	1	6	6
Material Engineer	4	24	96
Environmental Specialist	1	30	30
Social/Gender/Resettlement Specialist		30	30
Quantity Surveyor	3	12	36
Land Surveyor	3	12	36
Contract Engineer	1	24	24
Assistant Resident Engineer	6	36	216
subtotal	26		1078
Non-key Experts			
Junior Engineers	15	24	360
Technical Officers	15	24	360
subtotal	30		720
Total	60		1858

Notes:

1. CVs of Junior Engineers and Technical Officers (National) are not required for inclusion in the proposal and will not be evaluated. However, CVs must be submitted to Client for approval prior to mobilization.

 The estimated person-months are indicative, and the actual will vary based on actual duration of works and will be paid on actual time-basis. As common basis for financial proposal, the Consultant must use the staff person-months indicated above.
 Resident Engineers and Quantity Surveyors will provide intermittent service during the Defects and Liability Period and the maintenance period.
 FIDIC Contract Specialist (International) and Transport Project Specialist

4. FIDIC Contract Specialist (International) and Transport Project Specialist (International) will be mobilized on as-needed basis. Their CVs are required for inclusion in the technical proposal and will be evaluated.

16. The consultant is required to propose assignment of experts in accordance with the scope and expected deliverables. The qualifications and responsibilities of key positions are described as follow. Regional and country experience of the international staff is preferable.

17. **Team Leader/Chief Resident Engineer** shall serve as chief resident engineer for the RMC packages, manage the PIC's inputs for the RMC packages, supervise and mentor the works to be done by RMC contractors, provide technical support to the PIU and RDA on all aspects of the contract model, and assist RDA in preparing bidding documents for 6 to 8 additional RMC packages. He will directly report to the team leader. He/she shall hold a minimum of bachelor degree in civil engineering and preferably a master degree holder in road engineering/contracts management. He/she shall have minimum 15 year experience in road rehabilitation or maintenance contracting, and at least 10 year experience in the implementation of output- and performance-based road contracts (or similar contracts).

18. The Team Leader will (i) maintain records and advise the PIU with the day-to-day coordination and supervision of Project and its components, including the preparation of regular progress reports, (ii) coordinate and review updated designs and cost estimate prepared by the design consultants, (iii) coordinate and supervise the work of field teams in supervising and certifying construction in accordance with contract conditions. (iv) coordinate and liaise with employer, attend meetings arranged by employer and update the employer regularly on progress of work, delays, and variations and recommend the remedial measures. (v) submit to the employer and obtain the approval on variation, extension of time and other specific items defined in the Particular Conditions of Contract. (vii) chair the site progress review meeting. He/she will ensure that the safeguards aspects under the project are being complied. He/she will ensure that the specifications under the contract are being met, and quality is maintained.

19. **RMC Specialist** shall hold a minimum of bachelor degree in civil engineering and preferably a master degree holder in road engineering/contracts management. He/she shall have minimum 15 year experience in road rehabilitation or maintenance contracting, and at least 10 year experience in the preparation and procurement of output- and performance-based road contracts (or similar contracts).

20. The RMC Specialist will (i) assist RDA in preparing six road management contract packages under the iRoad investment program, (ii) provide technical assistance to RDA and PIU during the tendering process, (iii) advise RDA in capacity development required mainstream the road management contracts into RDA's operation, (iv) advise RDA and PIU in supervising the road management contracts, and (v) provide trainings to RDA, consultants, and contractors on implementing road management contracts.

21. **Resident Engineers** shall assist the Team Leader on coordination and supervision of road construction and maintenance works in the field. The Resident Engineer shall have a bachelor degree in civil engineering with minimum 10 year experience in road construction. He/she will conduct day-to-day construction supervision, monitoring schedule, preparing monthly certificates, reviewing and approving shop drawing and as-built-drawings. Issue Site Instructions in consultation with TL. Timely inform the Team Leader on issues relating to the quality of works, progress of work, and any other constraints affecting the work.

22. **Assistant Resident Engineers** shall assist the Resident Engineers on coordination and supervision the road construction works in the field. The Assistant Resident Engineer shall have a bachelor degree in civil engineering with minimum 5 year experience in road construction. He/she will assist Resident Engineers in day-to-day construction supervision, monitoring schedule, checking monthly certificates, and reviewing shop drawing and as-built-drawings.

23. **National Road Design and Safety Engineer** shall have a bachelor in civil engineering, professionally qualified with 8 year experience in road design, especially in asphalt pavement design and construction of roads. He/she will assist the Resident Engineer in reviewing the national road and pavement design by the RMC contractors, checking design centerline set out and make necessary adjustments, and issuing instructions to the contractors.

24. He/she will also conduct systematic road safety audits (RSA) of 10% of preliminary design, and 10% of detailed design including preparation of formal RSA and safety check reports, Conduct systematic road safety inspections (RSI) on a randomly selected sample of roads under maintenance, and document issues and countermeasures; prepare semestral summary road safety monitoring reports; provide training and support to PIU; assist PIU with road safety complaints and accident investigations; and assess the effectiveness of RSA procedures and recommend improvements as needed.

25. **Structure Engineer** shall assist RE in ensuring that the design complies with technical and safety standards. The bridge engineer shall have a bachelor degree in civil engineering with minimum 8 year experience in bridge construction supervision. He/she will update designs and cost estimates prepared by the design consultants. Supervise the bridge constructions and assist Resident Engineer in issuing instructions to the contractors.

26. **Material Engineers** shall have a bachelor degree in civil engineering with minimum 5 year experience or National Certificate in civil engineering with minimum 10 year experience in major road construction works especially in material testing. He/she will undertake day-to-day supervision of compliance to material specifications and testing, supervise the contractors work, and certify the construction in accordance with contract conditions including acceptance standards of materials, approval of source supply, and material testing methods.

27. **Quantity Surveyor** shall have a bachelor degree in quantity surveying with minimum 4 year experience or National Diploma Certificate with minimum 7 year experience in quantity surveying of major projects. He/she shall check and recommend the payment certificates, maintain measurement records, and review and update the estimates as required. Assist Resident Engineer to check the quantity, variations, justification.

28. **Land Surveyor** shall assist RE in ensuring that the setting outs are checked and assist in adjusting the profiles to suit the site conditions. Continuously check the contractors setting outs and approve. Ensure designed centreline fixed complies with technical and safety standards. He/she shall be a qualified surveyor with minimum 10 years field experience.

29. **Contract Engineer** shall be an engineer with a bachelor degree in civil engineering with minimum 15 year experience in road contract administration including FIDIC contract administration and minimum 5 year experience as a contract engineer. He/she will (i) evaluate and settle variations and standard format of claims and (ii) advise CRE/RE on potential claims, (iii) assist contract specialist in evaluating claims and variations, (iv) assist CRE/RE in responding to the contractors on contractual matters, (v) guide the employer in case of disputes by the contractor on claims settlement, and (vi) assist employer in establishing a dispute resolution board.

30. **Environmental Specialist** shall have a master degree in environmental science or equivalent, and have at least 10 year experience in preparing, implementing and monitoring environment management schemes associated with infrastructure projects. He/she will (i) assist in reviewing the Environmental checklists and contract package specific EMPs for all project roads and ensure that they have been prepared in accordance with requirements of the environmental assessment and review framework (EARF) for all tranches, (ii) during preparation of subsequent tranche, ensure all nominated roads comply with the selection criteria provided in the EARF and prepare due diligence reports on 20% of randomly selected sample of roads for all ongoing project tranches, (iii) check compliance of (a) the IEE and standard EMP prepared by the SAPE team with requirements of the EARF (b) the contract package specific EMP with requirements of the EARF and respective province level IEE, (iv) provide technical advice to the contractor and conduct on the job training as necessary, and (v) prepare monitoring reports on an annual basis based on monitoring checklists completed for each project road during pre-construction, construction and post construction or operation stages.

31. **Social/Gender/Resettlement Specialist** shall have a master degree in social science or equivalent, and have at least 10 year experience in preparing, implementing and monitoring social development schemes associated with infrastructure projects. He/she will (i) ensure

compliance of all preliminary design of rural roads and national roads projects prepared by the SAPE consultant are in accordance to the Resettlement Framework for all tranches; (ii) check and ensure detail design prepared by civil works contractors have incorporated feasible features based on the outcome from transect walks, (iii) during preparation of subsequent tranche, prepare due diligence reports on 20% of randomly selected sample of roads for all ongoing project tranches; (iv) monitor and evaluate implementation of the community participation process prescribed in the RF and recommend improvements to the participatory process to ensure broader participation of rural population in project roads formulation, (v) for rural roads require land donation, monitor the land donation process and conduct field visit on a monthly basis until land donation is finalized, (vi) during construction phase, conduct monitoring of all project roads and prepare monitoring reports on a biannual basis for all project tranches, and (vii) during maintenance phase, conduct monitoring of all project roads and prepare monitoring reports on a biannual basis for all project tranches, and prepare monitoring reports on an annual basis for all project tranches.

32. He/she will also (i) provide training and support to PIU on implementing the gender action plan (GAP) activities at the field level, (ii) lead the implementation of specific gender-mainstreaming activities as detailed in the GAP, and (iii) monitor and report the overall implementation of relevant activities included in the GAP for all tranches on a semi-annual basis.

33. **Junior Engineers** shall hold a bachelor degree in civil engineering and minimum 3 year experience. He/she will assist CRE/RE/ARE on day to day works.

34. **Technical Officers** shall have National Diploma in civil engineering with minimum 8 year experience in road construction works especially in workmanship and construction methods. He/she shall ensure the construction works are carried out according to the drawings and specifications, take measurements of daily work done, and coordinate and liaise with Land Surveyor and Materials Engineer in checking and testing.

5 Output and Reporting Requirements

35. The Consultant will prepare reports including monthly reports on the project progress in a format and level of detail agreed with IA and ADB. The Consultant will maintain records documenting information supplied by the field teams, decisions made at meetings, progress on civil works, certified achievements and milestones, financial records, and any deviations from or changes to the contract plans. The Consultant will assist PMU/PIU in preparing quarterly progress reports, safeguard compliance reports including sections on environment, social, and gender, a project completion report, and monitoring and evaluation reports as required under the Contract. The Consultants will also undertake surveys, design reviews and workshops and submit relevant reports.

Deliverables	Deadline	Copies
Inception Report	End of Month 1	5
Monthly Report on CRC Packages	Within two weeks of end of month	5
Monthly Report on each RMC Package	Within two weeks of end of month	5
Annual Report on each RMC Package	Within one month of end of year	5

36. The consultant will submit reports in hardcopy and softcopy as follows.

Project Completion Report	By Project Completion	7
Draft PFR for iRoad (up to	Upon RDA's request	5
10 PFRs)		
Special Reports as	Upon RDA's request	5
requested by RDA		

Outline Terms of Reference for Advisory Consultants (AdC)

1 Background

1. The Democratic Socialist Republic of Sri Lanka is applying for a multitranche financing facility (MFF) for the Integrated Road Investment Program (iRoad) from the Asian Development Bank (ADB). The MFF will comprise a series of loans to improve the access routes between rural areas and socioeconomic centers in tranches. Part of these funds shall be used for engaging individual consultants with special expertise as advisors to the iRoad project implementation unit (PIU) to facilitate the project implementation and to build the capacities of road agencies involved in the investment program.

2. The Executing Agency (EA) of the iRoad Investment Program is Ministry of Highways, Ports and Shipping (MOHPS), and the Implementing Agency (IA) is the Road Development Authority (RDA). The overall project organizational chart is shown below.



PIU = Project Implementation Unit, PIC = Project Implementation Consultants, SAPE = Survey and Preliminary Engineering.

3. The general roles and responsibilities of the various parties are as follows:

iROAD Participant	General Role and Responsibility
iRoad PIU	 Project management Approval of all variations of contracts for consulting services and civil works
Advisory Consultants	 Facilitating PIU in areas requiring special expertise to achieve the program objective e.g. RAM, OPRC, and institutional matters etc.
SAPE Team	 Feasibility study and level-2 designs Community consultation along project roads
Project Implementation Consultants (PIC)	 Reviewing and confirming the design and scope of works when the contractors apply the level-2 designs to the roads under Conventional Road Contract packages Construction supervision of conventional road contract packages Performance monitoring of the road management contracts. Assist PIU in contract administration of the road management contracts. Providing support to the PIU, EA, IA, and contractors in understanding and implementing the road management contracts. Providing on-the-job training to the PIU, EA, IA, and provincial and local road agencies in project management and contract administration

iROAD Participant	General Role and Responsibility
Contractors	 Detailed design based on the level-2 design for conventional road contract packages, or the conceptual design for the road management contract packages. Deliver the physical works as required in the conventional road contract, or the level of services as required in the road management contract. For the road management contract packages, the work includes various asset management tasks.

2 Outline Terms of Reference

2.1 Institutional Specialist (international 18 person-months)

4. The consultant should preferably have a bachelor degree on public administration, civil engineering or equivalent. He/she should have at least 20 years of relevant experience in transport sector covering institutional reform and capacity development in road agencies, and preferably in road asset management, project appraisal, project implementation, and contract administration. At least 10 years of the experience should be with the public sector.

5. The consultant will (i) review the reporting and communication practices between RDA and MOHPS, (ii) assist MOHPS in establishing an asset management unit as the focal point of MOHPS on managing key performance indicators, (iii) consult with the RDA on its business process, institutional capacity, and key performance indicators, (iv) develop a reporting protocol (scope and frequency) from RDA to MOHPS on asset management related key performance indicators, (v) develop a public communication policy on the road network performance for MOHPS and RDA, and (vi) assist MOHPS and RDA in implementing the protocol and policy.

6. The consultant will submit (i) an inception report within one month, (ii) a report on the protocol and policy within 3 months, (iii) quarterly reports on the implementation of the protocol and policy, and (iv) a final report within 12 months.

2.2 Capacity Development Specialist (international 12 person-months)

7. The consultant should preferably have a bachelor degree on civil engineering or equivalent. He/she should have at least 15 years of relevant experience in transport project management and contract administration, and at least 5 years on capacity development in road agencies.

8. The consultant will (i) assess the capacity of provincial and local road agencies involved in iRoad investment program on project selection, project management, and contract administration, (ii) consult with RDA about its in-house capacity on project management and contract administration, (iii) develop a skill transfer program to allow RDA and external experts as needed to provide training for staff of provincial and local road agencies, and (vi) assist MOHPS and RDA in implementing the skill transfer program.

9. The consultant will submit (i) an inception report within one month, (ii) a report on the skill transfer program with activities, implementation schedule, and venues within 3 months, (iii) a summary report of each training event within 3 days of the event, (iv) quarterly reports on the implementation progress of the skill transfer program, and (iv) a final report within 24 months.

2.3 OPRC Specialist (international 12 person-months)

10. The consultant should preferably have a bachelor degree on civil engineering or equivalent. He/she should have at least 15 years of relevant experience in the procurement and implementation of civil works in road projects with a focus on OPRC type projects. He/she should be knowledgeable about internationally-accepted OPRC procurement documents. Preference will be for the candidate with experience of working on similar project financed by international development agencies.

11. The consultant will (i) assist RDA in preparing six road management contract packages under the iRoad investment program, (ii) provide technical assistance to RDA and PIU during the tendering process, (iii) advise RDA in capacity development required mainstream the road management contracts into RDA's operation, (iv) advise RDA and PIU in supervising the road management contracts, and (v) provide trainings to RDA, consultants, and contractors on implementing road management contracts.

12. The consultant will submit (i) an inception report within one month, (ii) quarterly reports, and (iii) a final report within 24 months.

2.4 Road Asset Management Specialist (international 12 person-months)

13. The consultant should preferably have a bachelor degree on civil engineering or equivalent. He/she should have at least 15 years of relevant experience in road asset management. He/she should be knowledgeable about internationally-accepted road asset management standards covering data collection and management, strategic planning and programming, road maintenance and rehabilitation plan, and performance-based maintenance. Preference will be for the candidate with experience of working on similar project financed by international development agencies.

14. The consultant will (i) review the road asset management system of RDA, (ii) assess the road asset management practice in provincial and local road agencies involved in the iRoad investment program, (iii) develop an action plan to expand the scope of RDA's road asset management system to cover the provincial and local road network, including the hardware and software requirements, (iv) develop a road asset management business process for RDA and provincial and local road agencies, (v) assist RDA and provincial and local road agencies in implementing the action plan and the business process, and (vi) design and provide trainings to RDA and provincial and local road agencies through the skill transfer program.

15. The consultant will submit (i) an inception report within one month, (ii) a report on the action plan and business process within 3 months, (iii) quarterly reports on the implementation of the protocol and policy, and (iv) a final report within 24 months.

2.5 Rural Road Specialist (national 24 person-months)

16. The consultant should have a bachelor degree on civil engineering or equivalent. He/she should have at least 20 years of relevant experience in Sri Lanka's road sector covering highway engineering, pavement engineering, road design and construction, and rural road design and construction. He/she should be knowledgeable about internationally-accepted standards for rural road design and construction. Preference will be for the candidate with experience of working on similar project financed by international development agencies.

17. The consultant will (i) assess the advantages and disadvantages of the current specifications and standards for the application in the context of iRoad investment program, (ii) assess the effectiveness of alternative design and construction approaches, (iii) advise RDA and PIU on the adequacy of design prepared by SAPE team and/or contractors, (iv) assess the appropriateness of performance indicators of rural road maintenance, (v) updating technical specifications for rural road construction and maintenance, (vi) develop and update a database of unit costs for rural road construction and maintenance BOQ items, and (vii) design and provide trainings to RDA and provincial and local road agencies through the skill transfer program.

18. The consultant will submit (i) an inception report within one month, (ii) monthly reports, and (iii) a final report within 24 months.

2.6 Procurement Specialist (national 18 person-months)

19. The consultant should preferably have a bachelor degree on engineering or equivalent. He/she should have at least 10 years of relevant experience in procurement of civil works, goods, and consulting services. At least 5 years of the experience should be with the public sector. He/she should be knowledgeable about ADB's procurement and consultant selection procedures, or similar procedures. Preference will be for the candidate with experience of working on similar project financed by international development agencies.

20. The consultant will (i) assist the RDA and PIU in finalizing the procurement documents as per requirements of RDA and ADB under the iRoad investment program, (ii) advise RDA and PIU and procurement-related matters, and (iii) design and provide trainings to RDA and provincial and local road agencies through the skill transfer program.

21. The consultant will submit (i) monthly reports, and (ii) procurement document as requested by the PIU.

2.7 Information Management Specialist (national 36 person-months)

22. The consultant should preferably have a bachelor degree on information technology or equivalent. He/she should have at least 5 years of relevant experience in information management, and preferably in road asset management, and project management.

23. The consultant will (i) review the file system in PIU and RDA and the reporting requirements of PIU to RDA and ADB, (ii) assist PIU in managing an information center to be established for iRoad investment program, (iii) assist PIU in updating and disclosing relevant information to the public through internet and mobile applications, (iv) recommend measures to improve the efficiency of information management, both on hardware and software, and (v) design and provide trainings to RDA and provincial and local road agencies through the skill transfer program.

24. The consultant will submit (i) monthly reports, and (ii) special reports as requested by the PIU.

SUMMARY OF DESIGN STANDARD AND TECHNICAL APPROACH

General

1. The road network (except for expressways) in Sri Lanka has been classified into five functional classes as defined in the Table 1. The functional classification of the road network is an essential requirement for the determination of the design speed and associated standard requirements of the road alignment cross sectional dimensions and Right Of Way (ROW) etc.

Functional Classification	Description	Jurisdiction is vested with
A –Class Roads	These are main arteries or long distance routes for moving traffic between different part of the country, normally the major cities and towns	Road Development Authority
B -Class	These roads form the next level of hierarchy and distribute traffic between residential areas, industrial areas and feed the A –Class Roads	Road Development Authority
C -Class	These are the main collectors/distributors within any zone of area that feed the above A –Class Roads and B –Class roads.	Respective provincial road agencies
D –Class And E –Class	These are local roads that provide access to settlement and villages	 D – Respective provincial road agencies And E¹ –Class with respective Pradeshiya Sabha (PS)

Table 1- Functional Classification of the road network in Sri Lanka.

2. Normally, A-Class and B-Class roads are considered as national roads, C-Class and D-Class roads are classified as provincial roads. Basically all local authority (Pradeshiya Sabha) roads are E-Class Roads.

3. Under the proposed Integrated Road Investment Program, provincial and rural roads are to be improved based on detailed design provided by the employer and national roads are improved and maintained as per the Output and Performance Based Road Contract (OPRC).

Design Criteria

4. The design criteria adopted for improvements and rehabilitation of national, provincial and rural roads are as follows:

A. National Roads

5. **Design Standards and Guidelines.** The Project consists of A-Class and B-Class roads and the applicable design standards and guidelines are:

¹ Now RDA uses Class E for Expressways as well.

- (i) Cross section: (a) Road Design Manual and Bridge Design Manual—RDA's standard; (b) AASHTO—Geometric Design of Highways and Streets 5th edition (2004); (c) TRL—Overseas Road Note 6, A Guide to Geometric Design (1988), and (d) Austroads—Rural Road Design (2003).
- (ii) Bridges: RDA's Sri Lanka Bridge Design Manual of 1997, based on the British Standards Code of Practice for Bridge Design (BS5400:1990).
- (iii) Road Pavement: (a) Transport Research Laboratory's Road Note 31, 4th Edition (TRL-RN31), basis of RDA's pavement design process; (b) AASHTO Pavement Design Guide, and (c) design life for new pavements: 10-year life with provision for overlays during or at the end of that period to extend the life to 15–20 years. (
- (iv) Drainage: RDA's standards incorporating relevant standards from AASHTO and the British Standard Design Manual for Roads and Bridges.

6. <u>**Cross Section.**</u> Road cross sections vary depending on projected traffic volume, geometric condition, and terrain. Typically, the cross section consists of carriageway 4.5–6.5 meters (m), soft and hard shoulder 1.0–1.5 m each side, with drainage and berm as required. Sidewalks (typically 1.2 m wide) for bridges are considered on a case-by-case basis, depending on bridge length, location, and pedestrian and traffic volume. Use of the existing road corridor (existing road cross section and provision for utilities) is maximized to achieve the optimal combination of economy and desired road improvement without land acquisition.

7. <u>Alignment and Traffic Facilities.</u> In general, the proposed improvements follow the existing horizontal and vertical alignment. The only minor changes are applied to the horizontal alignment for very short sections to enhance road safety, to ease the radius of curves, or minimize blind spots. The road safety aspects relate mostly to localized sections of the road alignments. In densely populated areas, roads, bridges, and associated sidewalks are made accessible for all, including the disabled.

8. **<u>Road Safety.</u>** The road safety aspects are related mostly to localized sections of the alignments. Based on the road safety inspections, carried out on all roads during the field evaluation, the detailed design, wherever possible, incorporates improvements to road width and alignment, including installing precautionary speed signs to slow down for oncoming curves or low speed areas.

9. **<u>Road Side Drains.</u>** To minimize storm water flooding or ponding, roadside drains are reconstructed to direct surface flows away from road pavements and divert to streams or watercourses. Built up drains are provided for urban and sub-urban areas and for rural areas, earth drains are provided. For existing built up drains, which can be retained with minor repairs (retained or repaired), the waterways are restored by removing sediment materials and debris.

10. <u>Culverts and Bridges.</u> Improvements comprise repairing and or replacing existing culverts and bridge structures, depending on hydraulic and structural requirements. These interventions include structural renovation of substructure and superstructure elements together with installation or repair of guardrails and improvement of causeways and vented drifts. Depending on the terrain and outcome of hydrological studies, few new culverts are introduced to improve drainage. Materials and construction methods are in accordance with Technical

Specifications, Part 1 Standard Specification for Construction and Maintenance of Roads and Bridges 1989 (Sri Lanka), modified to suit project requirements.

11. <u>Earth Retaining Structures.</u> When the road is in embankment and any widening of road involves the land acquisition, retaining walls are introduced to get required additional road widths. Gabions, random rubble masonry and reinforced concrete retaining walls are used and Materials and construction methods are in accordance with Technical Specifications, Part 1 Standard Specification for Construction and Maintenance of Roads and Bridges 1989 (Sri Lanka), modified to suit project requirements.

12. <u>**Road Pavement.**</u> Road pavements are constructed in accordance with Technical Specifications, Part 1 Standard Specification for Construction and Maintenance of Roads and Bridges 1989 (Sri Lanka). Road pavement consists of granular soil sub base, aggregate base course and Asphalt concrete wearing course.

B. Provincial and Pradeshiya Sabha (Local Authority) Roads

13. **Design Standards and Guidelines.** Provincial and Pradeshiya Sabha (Local Authority) Roads are main collectors/distributors within any zone of area that feed the "A" and "B" Class roads.. The applicable design standards and guidelines are:

- (i) Cross section and geometric standards: (a) Road Design Manual and Bridge Design Manual—RDA's standard; (b) AASHTO—Geometric Design of Highways and Streets 5th edition (2004); (c) TRL—Overseas Road Note 6, A Guide to Geometric Design (1988), and (d) Austroads—Rural Road Design (2003). Final determination of the geometric standards utilized has been based on the estimated AADT for the design life of the structure as given in the ADT groupings <400; up to 1,000; 1000-5000; >5,000
- (ii) Bridges: RDA's Sri Lanka Bridge Design Manual of 1997, based on the British Standards Code of Practice for Bridge Design (BS5400:1990)
- (iii) Pavement: (a) Transport Research Laboratory's Road Note 31, 4th Edition (TRL-RN31), basis of RDA's pavement design process; (For RPPF RN31 has been used for the design of new pavements and for widening). (b) AASHTO Pavement Design Guide,(For RPPF AASHTO has been used for determining overlay requirements utilizing structural numbers) and (c) design life for new pavements: 10-year life with provision for overlays during or at the end of that period to extend the life to 15–20 years.
- (iv) Drainage: RDA's standards incorporating relevant standards from AASHTO and the British Standard Design Manual for Roads and Bridges.

14. <u>**Cross Section.**</u> Road cross sections will vary depending on projected traffic volume, geometric condition, and terrain. In general, the cross section consists of a carriageway width 2.5–5.0 meters (m), shoulder 0.50–1.5 m each side, with drainage and berm as required. Sidewalks for bridges (typically 1.2 m wide) are considered on a case-by-case basis, depending on bridge length, location, and pedestrian and traffic volume. Use of the existing road corridor (existing road cross section and provision for utilities) is maximized to achieve the optimal combination of economy and desired road improvement without land acquisition.

15. <u>Alignment and Traffic Facilities.</u> In general, the proposed improvements follow the existing horizontal and vertical alignment. The only minor changes are applied to the horizontal alignment for very short sections to enhance road safety, to ease the radius of curves, or minimize blind spots. The designs are based on physical measurement of road cross-sections at observed changes in road cross-section and/or changes in road right of way width; identification and measurement of minor cut or fill areas (length and depth); checking and measurement of drainage structures and assessment of improvements; identification of drainage outlets; identification of locations for new structures; assessment of requirement for scour protection and erosion control; Inspection of bridges and assessment of improvement requirements. During implementation, topographic surveys at sites where bridges are to be widened, replaced or a new structure is required; full pavement design based on traffic volumes; axle loading; DCP testing; test pit identification of existing pavement structure; in-situ soils and environmental affects.

16. **<u>Road Safety.</u>** The road safety aspects are related mostly to localized sections of the alignments. Based on the road safety inspections, carried out on all roads during the field evaluation, the detailed design, wherever possible, incorporates improvements to road width and alignment, removal of "black spots", improvement of visibility at intersections, review of sight distances (both vertical and horizontal), warning signs for areas subject to flooding in high rainfall periods, installation of precautionary speed signs to slow traffic down approaching curves or low speed zones. A full road safety audit has been carried out on the proposed project roads, addressing each road section-by-section and recommendations for road furniture and marking have been incorporated in the design.

17. **Drainage.** To minimize local flooding or ponding, earth, masonry and concrete side drains are reconstructed to direct surface flows away from road pavements and linked to streams or watercourses. Watercourses will be improved to ensure adequate disbursement. For existing drainage structures (retained or repaired), the waterways are restored by removing settled materials and debris. For new structures outfalls will be checked to ensure adequate flow is attainable.

18. <u>Earth Retaining Structures.</u> When the road is in embankment and any widening of road involves the land acquisition, retaining walls are introduced to get required additional road widths. Gabions, random rubble masonry and reinforced concrete retaining walls are used and Materials and construction methods are in accordance with Technical Specifications, Part 1 Standard Specification for Construction and Maintenance of Roads and Bridges 1989 (Sri Lanka), modified to suit project requirements.

19. **<u>Road Pavement.</u>** Road pavements are constructed in accordance with Technical Specifications, Part 1 Standard Specification for Construction and Maintenance of Roads and Bridges 1989 (Sri Lanka). Road pavement consists of granular soil sub base, aggregate base course and Asphalt concrete wearing course. 20.

21. <u>Culverts/Bridges.</u> Improvements comprise repairing and or replacing existing cross drainage structures, including structural renovation of substructure and superstructure elements together with installation or repair of guardrails and improvement of causeways and vented drifts. Materials and construction methods are in accordance with Technical Specifications, Part 1 Standard Specification for Construction and Maintenance of Roads and Bridges June 2007 (Sri Lanka), modified to suit project requirements.

Output and Performance Based Road Contract

22. The national roads under the project are improved and maintained as per the Output and Performance Based Road Contract (OPRC). This form of contract mainly focuses on management and maintenance services, including physical works on national roads under the contract which are needed to maintain at the agreed service levels for 7 years period. These OPRC contracts under the project also allow for the execution of (i) rehabilitation works to be carried out in order to bring national roads under the contract up to pre-defined standards; (ii) improvement works aiming at adding new characteristics to national roads in response to new traffic, safety or other considerations; and (iii) emergency works comprising of activities needed to reinstate national roads after damage resulting from unforeseen natural phenomena with imponderable consequences. The design criteria, in para 5 is adopted for all improvements and rehabilitation of national roads.

23. Maintaining a road network under OPRC includes both routine and periodic tasks. Routine maintenance consists of many different tasks frequently necessary to maintain the function of the road. Periodic maintenance consists of predictable and more costly measures of a less frequent nature designed to avoid road degradation

24. Minimum road conditions and Service Levels are defined, based on RDA standards through output and performance measures, and these are used under the OPRC to define and measure the desired performance of the Contractor.

Pro Forma of the Executing Agency's Project Progress Report

A. Introduction and Basic Data

Provide the following:

- ADB loan number, project title, borrower, executing agency(ies), implementing agency(ies);
- total estimated project cost and financing plan;
- status of project financing including availability of counterpart funds and cofinancing;
- dates of approval, signing, and effectiveness of ADB loan;
- original and revised (if applicable) ADB loan closing date and elapsed loan period based on original and revised (if applicable) loan closing dates; and
- date of last ADB review mission.

B. Utilization of Funds (ADB Loan, Cofinancing, and Counterpart Funds)

Provide the following:

- cumulative contract awards financed by the ADB loan, cofinancing, and counterpart funds (commitment of funds to date), and comparison with time-bound projections (targets);
- cumulative disbursements from the ADB loan, cofinancing, and counterpart funds (expenditure to date), and comparison with time-bound projections (targets); and
- reestimated costs to completion, need for reallocation within ADB loan categories, and whether an overall project cost overrun is likely.

C. Project Purpose

Provide the following:

- status of project scope/implementation arrangements compared with those in the report and recommendation of the President (RRP), and whether major changes have occurred or will need to be made;
- an assessment of the likelihood that the immediate development objectives (project purpose) will be met in part or in full, and whether remedial measures are required based on the current project scope and implementation arrangements;
- an assessment of changes to the key assumptions and risks that affect attainment of the development objectives; and
- other project developments, including monitoring and reporting on environmental and social requirements that might adversely affect the project's viability or accomplishment of immediate objectives.

D. Implementation Progress

Provide the following:

- assessment of project implementation arrangements such as establishment, staffing, and funding of the PMO or PIU;
- information relating to other aspects of the EA's internal operations that may impact on the implementation arrangements or project progress;
- progress or achievements in implementation since the last progress report;
- assessment of the progress of each project component, such as,

- recruitment of consultants and their performance;
- procurement of goods and works (from preparation of detailed designs and bidding documents to contract awards); and
- the performance of suppliers, manufacturers, and contractors for goods and works contracts;
- assessment of progress in implementing the overall project to date in comparison with the original implementation schedule—quantifiable and monitorable target, (include simple charts such as bar or milestone to illustrate progress, a chart showing actual versus planned expenditure, S-curve graph showing the relationship between physical and financial performance, and actual progress in comparison with the original schedules and budgets, the reference framework or guidelines in calculating the project progress including examples are shown in Appendix 2); and
- an assessment of the validity of key assumptions and risks in achieving the quantifiable implementation targets.

E. Compliance with Covenants

Provide the following:

- the borrower's compliance with policy loan covenants such as sector reform initiatives and EA reforms, and the reasons for any noncompliance or delay in compliance;
- the borrower's and EA's compliance with financial loan covenants including the EA's financial management, and the provision of audited project accounts or audited agency financial statements; and
- the borrower's and EA's compliance with project-specific loan covenants associated with implementation, environment, and social dimensions.

F. Major Project Issues and Problems

Summarize the major problems and issues affecting or likely to affect implementation progress, compliance with covenants, and achievement of immediate development objectives. Recommend actions to overcome these problems and issues (e.g., changes in scope, changes in implementation arrangements, and reallocation of loan proceeds).

Useful Links to ADB References

Loan Disbursement	http://www.adb.org/documents/loan-disbursement-handbook
Handbook	
Procurement	http://www.adb.org/Documents/Guidelines/Procurement/Guidelines-
Guidelines	Procurement.pdf
Guidelines on the	http://www.adb.org/Documents/Guidelines/Consulting/Guidelines-
Use of Consultants	Consultants.pdf
Safeguard Policy	http://www.adb.org/Documents/Policies/Safeguards/Safeguard-Policy-
Statement	Statement-June2009.pdf
ADB Public	http://www.adb.org/documents/pcp-2011
Communications	
Policy	
e-Handbook on	http://www.adb.org/documents/handbooks/project-implementation/
Project	
Implementation	
ADB's project	http://www.adb.org/Documents/Slideshows/PPMS/default.asp?p=evaltool
performance	
reporting system	
Checklist for SOE	http://www.adb.org/documents/handbooks/loan_disbursement/chap-
procedures and	<u>09.pdf</u>
formats	http://www.adb.org/documents/handbooks/loan_disbursement/SOE-
	Contracts-100-Below.xls
	http://www.adb.org/documents/handbooks/loan_disbursement/SOE-
	Contracts-Over-100.xls
	http://www.adb.org/documents/handbooks/loan_disbursement/SOE-
	Operating-Costs.xls
	http://www.adb.org/documents/handbooks/loan_disbursement/SOE-
	Free-Format.xls
Financial	http://www.adb.org/Documents/Others/FM-toolkit/Methodology-Note.pdf
management toolkit	
Project completion	http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-
report format	Landscape.rar
ADB's	http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-
Anticorruption Policy	Strategies.pdf
ADB's Integrity	http://www.adb.org/integrity/unit.asp
Office website	
Accountability	http://compliance.adb.org/
Mechanism	