

# **Social safeguards monitoring report**

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**Annual report: January – December 2022**

**Project №: 48025-003**

**ADB Loan 3527-UZB**

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**Uzbekistan: Central Asia Regional Economic  
Cooperation Corridor 2 (Pap - Namangan - Andijan)  
Railway Electrification Project**

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## ABBREVIATIONS

ADB	Asian Development Bank
AH	Affected Household
AP	Affected Person
CAREC	Central Asia Regional Economic Cooperation
DMS	Detailed Measurement Survey
EA	Executing Agency
GRM	Grievance Redress Mechanism
ha	Hectare
LARP	Land Acquisition and Resettlement Plan
PIU-E	Project Implementation Unit for Electrification
RRJ	Regional Railway Junction
SDDR	Social Due Diligence Report
SES	Socio Economic Survey
SPS	Safeguards Policy Statement
ASMR	Annual Social Monitoring Report
TL	Transmission Line
UTY	JSC O'zbekiston Temir Yo'llari
TAPP	Technical Assistance for Project Preparation

## **GLOSSARY**

<b>Affected Persons</b>	Affected persons (APs) are those who experience full or partial, permanent or temporary physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) resulting from (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. Although this definition of an affected person diverges from the use in SPS-2009, this is how it is understood and officially used in Uzbekistan, it is not different from 'displaced person' defined in the SPS-2009.
<b>Affected Household</b>	A household consists of one or more people who live in the same dwelling and also share at meals or living accommodation, and may consist of a single family. In the project, household is the unit for compensation and all the members in a household are considered as affected persons.
<b>Compensation</b>	Payment for the asset to be acquired or affected by the project at replacement cost.
<b>Cut-off-date</b>	The date after which people will not be considered eligible for compensation i.e. they are not included in the list of AHs as defined by the census. If the country expropriation law does not specify a cut-off date, normally, the cut-off date is the date of the detailed measurement survey which will be based on the detailed and final engineering design.
<b>Economic Displacement</b>	Loss of land, assets, access to assets, income sources, or means of livelihoods as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.
<b>Entitlement</b>	The range of measures comprising cost of compensation, relocation cost, income rehabilitation assistance, transfer assistance, income substitution, and relocation which are due to /business restoration which are due to AH, depending on the type and degree nature of their losses, to restore their social and economic base. All entitlements will be given to all affected households as per the entitlement matrix.
<b>Inventory Loss</b>	The inventory of assets getting affected by project.

<b>Illegal / Non-recognizable constructions</b>	HHs that have not registered their business, agriculture, residential and orchard and those who have no recognizable rights or claims to the land that they are occupying and include people using private or state land without permission, permit or grant i.e. those people without legal lease to land and/or structures occupied or used by them. ADB's SPS explicitly states that such people are entitled to compensation for their non-land assets.
<b>Hokimiyat</b>	Local government authority that interfaces between local communities and the government at the regional and national level. It has ultimate administrative and legal authority over local populations residing within its jurisdiction.
<b>Land acquisition</b>	The process whereby a person is compelled by a public agency to alienate all or part of the land s/he owns or possesses, to the ownership and possession of that agency, for public purposes, in return for fair compensation.
<b>Land Use rights</b>	According to Land Code (article 17) real persons (can have the land plot under the right of lifelong inheritable possession and land parcel use transferred as descent. This right is given to individual residential housing construction and collective gardening and vineyard (orchards), peasant farms. Juridical persons (enterprises, stores, and business) can possess land parcels according to the right to permanent possession, permanent use, temporary use, lease and property. In two above cases when person wants to sell the Property (land and building), he will sell the building & structure and subsequently land parcel will be sold as an attachment (right is being sold).
<b>Leaseholder</b>	Juridical person (farm) running agricultural production with the use of land parcels granted to him on a long-term lease. Lease term is limited up to fifty years but not less than for ten years. Leaseholder cannot sell - buy, mortgage, present, exchange the land
<b>Low Income</b>	Low-income households are classified as households where the monthly per capita income is less than US\$ 2 per capita per day).
<b>Makhalla</b>	Is a local level community-based organization recognized official by the GoU that serves as the interface between state and community and is responsible for facilitating a range of social support facilities and ensuring the internal social and cultural cohesiveness of its members. Makhalla leaders are elected by their local communities.
<b>Meaningful Consultation</b>	A process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is

undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

**Replacement Cost**

Replacement cost is the principle to be complied with in compensating for lost assets. Calculation of which should include: (i) fair market value; (ii) transaction costs; (iii) interest accrued, (iv) transitional and restoration costs; and (v) other applicable payments, if any. Where market conditions are absent or in a formative stage, APs and host populations will be consulted to obtain adequate information about recent land transactions, land value by types, land titles, land use, cropping patterns and crop production, availability of land in the project area and region, and other related information. Baseline data on housing, house types, and construction materials will also be collected. Qualified and experienced experts will undertake the valuation of acquired assets.

**Severely Affected Households**

Severely affected households are those who lose more than 10% of their productive asset (income generating productive land) and or physically displaced.

**Significant impact**

200 or more people who will experience major impacts are defined as: (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating).

**Vulnerable Households**

Low-income households, female-headed households, the elderly headed household, households having physically challenged persons.

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## Executive Summary

- i. This report is the report on social safeguards monitoring and evaluation of the Central Asia Regional Economic Cooperation CAREC Corridor 2 (Pap-Namangan-Andijan) Railway Electrification Project. It covers the period of January – December 2022.

The Government of Uzbekistan (GoU) has requested assistance from the Asian Development Bank (ADB) for electrification of the Pap-Namangan-Andijan railway line. The project will electrify 145.1 kilometers (km) of non-electrified track section between Tashkent and major cities in the densely populated Ferghana Valley. This facilitates the establishment of direct and efficient movement of both freight and passenger trains and thus contributes to the economic and social development of the Fergana Valley.

The project will link to the following impacts: (i) stimulating economic growth in the Fergana Valley and (ii) increasing regional trade along CAREC Corridor 2. The project will result in higher levels of passenger and freight traffic along the Pap-Namangan-Andijan railway line.

The project is expected to produce two results: First of all: Modernization of the railway infrastructure on the Pap-Namangan-Andijan line. This includes electrification of 145.1 km of single-track mainline railroad with 27.5 kV AC power supply (including a 3.5 km line from block-post 136.1 to Uchkurgan), construction of 2 traction substations and control stations, modernization of the locomotive depot in Andijan to enable it to service electric locomotives, purchase of maintenance equipment and machinery, modernization of signaling and communication facilities, and construction of external power supply facilities to transmit power from main energy system to traction substations. Separately from the project and with funding from the government and O'zbekiston Temir Yollari JSC (UTY), work has been done to reroute six kilometers of track to bypass a section of the line that currently crosses into the Kyrgyz Republic: this section is considered a related facility to the project and will also be electrified later in the project. Second, the capacity of the UTY will be strengthened, especially with regard to rail safety issues.

- ii. Status of project implementation:

The project includes the following components:

- 1) Electrification of main track (145.1 km) between RM {railway milestone} 5.2 East of Pap station and Andijan 1 station, including 3.5 km line from block post 136.1 to Uchkurgan - *voltage of transmission lines will be 27.5 kV*
- 2) Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads
- 3) Construction of a 52 km External Power Line (EPL) to power supply two new substations:
  - 110 kV EPL for Khakkulabad substation (40 km)
  - 220 kV EPL for Namangan/Raustan substation (12 km)

The following components are considered as related facilities:



- 4) Construction of a new route (6.7 km) - Subsequently, this section will also be electrified with 27.5 kV
- 5) Construction of the Uychi block post (new crossing at km 137), which includes: (i) construction of the Uychi block post building, (ii) a road for the crossing (780m) and (iii) construction of the excavation (120m)

iii. **Process of the Project:**

**Table 1 Subprojects' statuses**

<b>No</b>	<b>Subprojects</b>	<b>Subproject status</b>	<b>Status of LAR</b>
<b>1</b>	Electrification of main track (145.1 km) between RM 5.2 East of Pap station and Andijan 1 station, including 3.5 km line from block post 136.1 to Uchkurgan - voltage of transmission lines will be 27.5 kV	<b>LARP 1</b> Construction work completed	<b>LARP 1</b> Approved and published on the ADB website on May 19, 2020.
<b>2</b>	Construction of a 52 km External Power Line (EPL) to power supply two new substations: <ul style="list-style-type: none"> <li>• 220 kV EPL for Namangan/Raustan substation (12 km)</li> <li>• 110 kV EPL for Khakkulabad substation (40 km)</li> </ul>	<b>LARP 2.1</b> <u>External power supply line to/from Raustan (220 kV TL, 12 km).</u> <b>LARP 2.2</b> <u>External power line to/from Khakkulabad (110 kV TL, 40 km)</u>	<b>LARP 2.1</b> The LARP realization completed.  <b>LARP 2.2</b> The LARP was approved by ADB on October 15, 2020.
<b>3</b>	Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads  - In addition, land not provided for by the LARP was used - TSS Khakkulabad	<b>LARP 3</b> Construction work completed  Construction work completed	<b>LARP 3</b> The LARP completion report was published in November 2018.  LARP Addendum was approved by ADB on September 15, 2020 Completion Report was prepared in February 2021.
<b>Related facilities</b>			
<b>4</b>	Construction of a new track (6.7 km) - Subsequently this section will also be electrified with 27.5 kV	The SDDR was published in February 2017 (6.7km bypass).	Completion Report prepared in February-March 2021.
<b>5</b>	Construction of the Uychi block post (new crossing at km 137), which includes: (i) construction of the Uychi	The SDDR Addendum was approved on September 24, 2020.	SDDR Addendum has been approved and

	block post building, (ii) a road for the crossing (780m) and (iii) construction of the excavation (120m)	Construction of the «Разъезд-137» block post has been completed.	published on the ADB website.
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Construction work has been completed on all five subprojects.

**Table 1 Subprojects' LARP Activities Schedule**

<b>Project LARP Activities</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>
Appointment of Project Management Consultant					
Consultation and GRM					
Internal Monitoring by EA					
<b>1. Electrification of main track (145.1 km) between RM 5.2 East of Pap station and Andijan 1 station, including 3.5 km line from block post 136.1 to Uchkurgan - voltage of transmission lines will be 27.5 kV</b>					
Community Consultation					
Issuance of notification on cut-off-date after detailed design					
Disclosure of LARP					
Handover land to contractors					
Schedule for Civil Work					
<b>2. Construction of a 52 km External Power Line (EPL) to power supply two new substations:</b>					
<ul style="list-style-type: none"> <li>• 110 kV EPL for Khakkulabad substation (40 km)</li> <li>• 220 kV EPL for Namangan/Raustan substation (12 km)</li> </ul>					
<b>External power supply line to/from Raustan (220 kV TL, 12 km)</b>					
Community Consultation					
Issuance of notification on cut-off-date after detailed design					
Disclosure of LARP					
Handover land to contractors					
Schedule for Civil Work					
<b>External power line to/from Khakkulabad (110 kV TL, 40 km)</b>					
Community Consultation					
Issuance of notification on cut-off-date after detailed design					
Disclosure of LARP					
Handover land to contractors					
Schedule for Civil Work					
<b>3. Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads</b>					
Community Consultation					
Issuance of notification on cut-off-date after detailed design					
Disclosure of LARP					
Handover land to contractors					
Schedule for Civil Work					

Project LARP Activities	2018	2019	2020	2021	2022
<b>TSS Khakkulabad</b>					
Community Consultation					
LARP updating based on DD					
Disclosure of LARP					
Handover land to contractors					
Schedule for Civil Work					
<b>1. Construction of a new route (6.7 km) with 27.5 kV</b>					
Community Consultation					
Disclosure of the Social Due Diligence Report (SDDR)					
Handover land to contractors					
Schedule for Civil Work					
<b>2. Construction of the Uychi block post (new crossing at km 137), which includes: (i) construction of the Uychi block post building, (ii) a road for the crossing (780m) and (iii) construction of the excavation (120m)</b>					
SDDR Addendum					
Disclosure of the SDDR Addendum					
Handover land to contractors					
Schedule for Civil Work					

#### iv. Gender and Poverty Assessments:

During the gender and poverty-sensitive baseline survey in the project area, it was determined that 14 affected households with 107 affected persons were covered as parameters (see Table 3.1). This number includes 56 (52.34%) men and 51 (47.66%) women (see Table 3.2). The profile of household heads shows that there are 4 female-headed households and 10 male-headed households. The average size of the household is 8 people. The usual average household size in Uzbekistan is about 5 persons. The size of surveyed households is approximately higher than the average household size in rural areas of Uzbekistan.

**Table 3.1:** Gender profile of affected persons

Gender	Amount	% from total amount
Men	10	71,43
Women	4	28,57
<b>Total</b>	<b>14</b>	<b>100%</b>

**Table 3.2:** Gender profile of heads and members of affected households

Affected households						Member of affected households					
Men-headed	%	Women-headed	%	Total Affected households	%	Men	%	Women	%	Total Affected persons	%
10	71,43	4	28,57	14	100%	56	52,34	51	47,66	107	100%

#### v. Redress grievances:

At the project level, a grievance mechanism was organized by assimilating the local grievance mechanism to enable project-affected persons to challenge any decision, method or activity with which they disagree, arising from compensation for land loss or other assets. APs were fully informed of their rights and grievance procedures verbally or in written form, during consultations, studies and compensation payments period. The project's grievance mechanism should not prevent the disadvantaged person from accessing legal or administrative remedies. Unsatisfied persons may seek judicial redress at any time and independently of the grievance process provided for in the project. The UTY will ensure that complaints and grievances on any issue related to land alienation, compensation and resettlement are handled in a timely and satisfactory manner. A three-tiered grievance mechanism has been proposed: (i) 1st level (any of the railway stations of the Pap Namangan-Andijan road section and/or local hokimiyat), (ii) 2nd level (UTY secretariat in Tashkent), (iii) 3rd level (Economic Court). The UTY and its PIUs will record and monitor complaints received, also for review by ADB during its regular supervision missions.

During the reporting period, there was no outstanding complaints.

#### vi. Public Awareness and Consultations:

Affected persons were consulted during the early stages of Project preparation, i.e. during the feasibility study, especially during the preparation and implementation of the draft LARP. Almost all affected persons attended the public consultations. Face-to-face consultations were also held with affected households during the census. Project information containing details of the project implementation plan, compensation, assistance, eligibility for compensation payments, grievance mechanism, implementation schedule, etc., was disseminated to affected persons in local languages. It was ensured that affected persons and other stakeholders were informed, consulted, and allowed to participate in the preparation and implementation of the project.

**vii. Conclusion and recommendations:**

EA - JSC "O'zbekiston Temir Yo'llari" monitors and measures the progress of the implementation of the LARP. The purpose of monitoring is to assess the progress of the implementation of the LARP in terms of its process, objectives, problems, mitigation measures, corrective actions, etc., so that the implementation of the project goes smoothly.

## 1 Introduction

1. This report is the report on social safeguards monitoring and evaluation of the Central Asia Regional Economic Cooperation CAREC Corridor 2 (Pap-Namangan-Andijan) Railway Electrification Project. It covers the period of July to December 2022. The report covers, in particular, the progress and current status of LARP.

2. **Purpose of this report:** The report is prepared to ensure that the project is implemented according to the ADB's Safeguard Policy Statement 2009, specifically to ensure that LARP is implemented in compliance with the ADB requirements. The scope of this monitoring report is assessment of progress on implementation of LARP, including compensation payment, grievance redress procedure, evaluation of income restoration program of affected households, indigenous people and vulnerable people (if any).

3. **Project implementation status:** ADB safeguard policy also requires that project implementation will subject to the LARP related conditions. The most important condition is (i) civil works is allowed only after all compensations are fully paid and (ii) commencement of civil works is conditional to the satisfactory implementation of the final LARP and the LARP completion report.

4. Based on the Cabinet of Ministers Resolution #146 (25.05.2011), any land acquisition and demolition of the structures only can be carried out after the value of compensation has agreed by the land leaseholder and owner of structures. The national law and regulations on land acquisition require also that civil works can be commenced only after compensation for land acquisition is fully paid.

5. For all 5 subprojects:

- Electrification of main track (145.1 km) between RM 5.2 East of Pap station and Andijan 1 station, including 3.5 km line from block post 136.1 to Uchkurgan - voltage of transmission lines will be 27.5 kV

- Construction of a 52 km External Power Line (EPL) to supply power to the two new substations:

- 110 kV EPL for Khakkulabad substation (40 km)
- 220 kV EPL for Namangan/Raustan substation (12 km)

- Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads. In addition, land not provided for by the LARP was used - TSS Khakkulabad

- Construction of a new track (6.7 km) - electrified with 27.5 kV

- Construction of the Uychi block post (new crossing at km 137), which includes: (i) construction of the Uychi block post building, (ii) a road for the crossing (780m) and (iii) construction of the excavation (120m); compensation payments have been completed. The LARPs have been approved and disclosed by ADB.

6. At the time of the report, all construction work is complete.

7. The subprojects' progress statuses are presented in Table 1 above.

## 1.1 Brief methodology

8. This section presents information on general and special methods which were used to prepare the social monitoring report, including progress of LARPs. In order to accurately assess the impacts of land acquisition, the following activities have been undertaken:

9. **Definition of affected lands:** A detailed design, overlaid on Google maps, was obtained from the cadastral office to determine the number of land plots and their delineation, including quantification within the defined location. The list of affected assets / plots was determined based on the decision and act issued by the hokimiyat, cadastral office and UTY. Data was verified directly at the sites during measurements and censuses.

10. **Inventory of Losses / Detailed Measurement Survey (DMS):** Data regarding the affected structures are based on an appraisal report that was prepared by an independent appraisal company hired by UTY, these data were verified through direct inventory monitoring (detailed measurement survey) at the sites of the project.

11. **Census and socio-economic survey:** A household census and socio-economic survey were conducted to determine the exact number of affected households and their members, including some basic social characteristics such as gender and nationality, as well as the existing socio-economic conditions of the affected persons.

12. **Identification of vulnerable affected households:** Data on vulnerable households was checked with the hokimiyats and verified through the census.

13. **Consultations** with all project stakeholders, including APs, governmental agencies and other affected parties;

During the reporting period, Public Consultations (PC) and Focus Group Discussions (FGD) were conducted at various levels of project preparation.

Public consultations were organized for affected households of the railroad section crossing the territory of Namangan city and were held in front of the city hokimiyat building. Consultations were held with representatives of Uzbekistan Temir Yullari (UTY) Joint Stock Company, local cadastral office and representatives of Namangan city hokimiyat (1st deputy of Hakim for capital construction), NGO (Women Committee), makhalla chairmen, business representatives, educational and medical institutions, all project participants and local residents (including respected aksakals and vulnerable groups).

14. **Estimation of compensation** is carried out according to the Entitlement Matrix. The Compensation Rights Matrix is a general document, and all probable losses that are mentioned in the matrix may not apply at this time, however, in order to account for any future unintended impacts during the detailed design phase, this information has been included.

15. The methodology applied for LARP implementation includes reviewing and analysis of records and documents, meetings, consultations.

16. Indicators for monitoring are the followings:

- Monitoring of preparation, updating and implementation of Land acquisition and resettlement plan;
- Progress on compensation payment;
- Grievances by type and resolution status;



- Public consultation (if required);
- Status of vulnerable and Indigenous APs after project intervention (if there is any);
- Status of income restoration program;
- APs satisfaction and perception regarding compensation amount;
- Compliance status of social and resettlement issues with ADB SPS.

## 2 Compliance to safeguards provisions in agreements under the project

### 2.1 Compliance to Project Administration Manual

17. The Project Administration Manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The PAM is mandatory and serves as the main document describing implementation details. The statuses of implementing the safeguard requirements set out in PAM are provided in Table 3 below.

*Table 2 Compliance to PAM*

Details	Compliance Status	Remarks
<b>Section VII - Guarantees</b>		
<b>B. Land Acquisition and Resettlement</b>		
<p>EA will ensure that land acquisition will be carried out in accordance with ADB's SPS (2009), and applicable laws and regulations in Uzbekistan that have been referred to in the LARP. EA will ensure that LARP will be implemented, and monitored to ensure that no affected people will suffer by unattended impacts associated with land acquisition.</p> <p>For implementing this LARP, EA will ensure that:</p>	Being performed	<p>The PMU Social and Resettlement Specialist and Consultant prepared following reports:</p> <ol style="list-style-type: none"> <li>1. Implementation of the LARP 1 for the subproject- Electrification of main track (145.1 km) between RM 5.2 East of Pap station and Andijan 1 station, including 3.5 km line from block post 136.1 to Uchkurgan - voltage of transmission lines will be 27.5 kV. This subproject was approved by ADB in May 2019. Compensation payments completed, compensation completion report approved and published</li> <li>2. LARP 2 for subproject - Construction of a 52 km External Power Line (EPL) to power supply two new substations: <ul style="list-style-type: none"> <li>• 110 kV EPL for Khakkulabad substation (40 km)</li> </ul> </li> </ol>

		<ul style="list-style-type: none"> <li>• 220 kV EPL for Namangan/Raustan substation (12 km) LARP approved and published in 2020.</li> </ul> <p>3. LARP 3 for subproject- Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads .</p> <p>LARP approved and published in November 2018.</p> <p>- In addition, land not provided for by the LARP was used - TSS Khakkulabad.</p> <p>LARP 3 (addendum) for TSS Khakkulabad – approved in 2020, Completion Report was prepared in February 2021.</p> <p>4. SDDR for subproject Construction of a new track (6.7 km) - Subsequently this section will also be electrified with 27.5 kV Completion Report prepared in March 2021.</p> <p>5. The SDDR Addendum was approved and published on September 24, 2020.</p>
(i) the PMU will recruit a social safeguards (resettlement) specialist as part of the PMU team to implement LARP and address complaint related with compensation, if any.	Being performed	PMU recruits a social safeguards (resettlement) and gender specialist
(ii) - the LARP will be updated after the detail design is available. The social safeguards (resettlement) specialist will appropriate consultations with	Being performed	Throughout the project period, meetings were held with AP.  The purpose was to provide consultation on the preparation of documents, to receive compensation for temporary land acquisition with the persons who fell

<p>affected people. The report should at least indicate any change on land acquisition from the detail design, change on affected people, and change on budget for LARP implementation. However, the standards set in the entitlement matrix in approved LAPR project shall not be lowered that provided clear guidance on entitlements for compensation.</p>		<p>under the implementation of the project. There were group meetings and individual consultations.</p>
<p>(iii) the updated LARP has to be submitted to ADB for concurrence prior to implementation, and has to be submitted as early as possible after detailed design is available</p>	<p>Being performed</p>	<p>All subprojects have been compensated, and implementation reports have been submitted to ADB and published.</p>
<p>(iv) the updated LARP will be disclosed through ADB's website and EA will be responsible to disclose relevant information from the updated LARP to the affected people.</p>	<p>Being performed</p>	<p>The updated LARP and LARP implementation reports have been disclosed on ADB and EA websites. (links are presented in Table below)</p>
<p>(v) if the detailed design will not cause any change on land acquisition, the PMU has to provide ADB with written statement that updated LARP is not required, and the existing LARP report will be implemented.</p>	<p>Being performed</p>	<p>The detailed design of the project is developed in stages.</p> <p>In this way, the initial design of the LARP is divided into sub-design LARP and gradually updated according to the results of the detailed design.</p>
<p>(vi) the awarding of civil works contract will be done only after affected farmers receive full payment of compensation, and report</p>	<p>Being performed</p>	<p>Complied with</p>

on full payment of compensation needs to be submitted to ADB. The advance payment to the contractor can only after the report on full payment is received by ADB.		
(vii) report on monitoring the implementation of LARP including any grievance will be submitted to ADB on semi-annual basis until the payment of compensation to affected parties is fully paid.	Being performed	Complied with
(viii) EA using the social safeguards (resettlement) specialist of PMU will observe any unanticipated impacts due to land acquisition, and take necessary measures in accordance to the provision describe in the LARP.	Being performed	Complied with

## 2.2 Compliance with Social Safeguard Covenants of Loan Agreement

2. The status of Compliance with social Safeguard Covenants of Loan Agreement is presented in below:

*Table 3 Compliance to social safeguard covenants*

Details	Compliance Status	Remarks
<b>Schedule 4 - Execution of Project</b>		
<b>Land Acquisition and Involuntary Resettlement</b>		
The Borrower shall cause EA and TAPP to ensure that all land and all right-of-way required for the Project are made available to the Works contractor in accordance with the schedule agreed under the related Works contract and all land acquisition and resettlement activities are implemented in compliance with (a) all applicable laws and regulations of the Borrower relating to land acquisition and involuntary	Being performed	Complied with

Details	Compliance Status	Remarks
resettlement; (b) the involuntary Resettlement Safeguards; and (c) all measures and requirements set forth in the Resettlement Plan, and any corrective or preventive actions set forth in the Safeguards Monitoring Report.		
<p>Without limiting the application of the Involuntary Resettlement Safeguards or the Resettlement Plan, the Borrower shall cause EA and TAPP to ensure that no physical or economic displacement takes place in connection with the Project until:</p> <p>(a) Compensation and other entitlements have been provided to affected people in accordance with the Resettlement Plan; and</p> <p>(b) A comprehensive income and livelihood restoration program have been established in accordance with the LARP.</p>	Being performed	Complied with
<b>Indigenous Peoples</b>		
The Borrower shall cause EA and TAPP to ensure that the Project does not have any Indigenous Peoples impact within the meaning of the SPS. In the event that the Project does have any such impact, the Borrower shall take and cause EA and TAPP to take all steps required to ensure that the Project complies with the applicable laws and regulations of the Borrower and with the SPS.	Not applicable	The project has been classified as category C for indigenous people's safeguard. There are no indigenous people's communities in the project area or in the country in general, as defined in the SPS for operational purposes. Accordingly, no indigenous peoples planning documents will be required.
<b>Human and Financial Resources to Implement Safeguard Requirements</b>		
The Borrower shall make available or cause EA to make available necessary budgetary and human resources for full realization of IEE, EMP and LARP.	Being performed	<p>There are 2 specialists currently in PMU:</p> <ul style="list-style-type: none"> <li>- Social resettlement specialist and</li> <li>- Environmental Specialist</li> </ul>
<b>Safeguards-Related Provisions in Bidding Documents and Works Contracts</b>		
The Borrower shall ensure, or cause EA to ensure, that all bidding documents and	Being performed	The Bidding Documents have clauses regarding the



Details	Compliance Status	Remarks
<p>detailed description of the event and a proposed corrective action plan; and</p> <p>(c) report any actual or potential breach of compliance with the measures and requirements set forth in the EMP or the RP promptly after becoming aware of the breach.</p>	Being performed	Being performed
<b>Prohibited List of Investments</b>		
The Borrower shall cause EA and TPS to ensure that no proceeds of the Loan are used to finance any activity included in the list of prohibited investment activities provided in Annex 5 of SPS	Being performed	Complied with
<b>Labor Standards, Health and Safety</b>		
The Borrower shall cause EA and TAPP to ensure that the core labor standards and the Borrower's applicable laws and regulations are complied with during Project implementation. The Borrower shall include and cause TAPP to include specific provisions in the bidding documents and contracts financed by ADB under the Project requiring that the contractors, among other things: (a) comply with the Borrower's applicable labor law and regulations and incorporate applicable workplace occupational safety norms; (b) do not use child labor; (c) do not discriminate workers in respect of employment and occupation; (d) do not use forced labor; (e) allow freedom of association as permitted under the Borrower's applicable laws; and (f) disseminate, or engage appropriate service providers to disseminate, information on the risks of sexually transmitted diseases.	Being performed	All these issues and requirements included to the Particular Conditions of the Construction Contracts and are the integral parts of all contracts. These requirements are also monitored regularly and include to the semiannual safeguards monitoring and environmental monitoring reports.
The Borrower shall strictly monitor and cause EA to strictly monitor compliance with the requirements set forth in paragraph 11 above and provide ADB with regular reports.	Being performed	
<b>Gender and Development</b>		
The Borrower shall cause EA and TAPP to ensure that	Being performed	In March 2023, a social safeguard, gender and

Details	Compliance Status	Remarks
<p>(a) the GAP is implemented in accordance with its terms;</p> <p>(b) the bidding documents and contracts include relevant provisions for contractors to comply with the measures set forth in the GAP;</p> <p>(c) adequate resources are allocated for implementation of the GAP;</p> <p>(d) progress on implementation of the GAP, including progress toward achieving key gender outcome and output targets, are regularly monitored and reported to ADB</p>		<p>resettlement specialist was hired.</p>

### 3 Assessments of LARP implementation progress

#### 3.1 Progress on updating of LARP, January - December 2022.

3. The main objective of this section is to determine if the established goals of LARP were achieved, and if not, what actions should be taken. The Table 1 above reflects current situation with land acquisition and related issues.

4. The original LARP was prepared during project preparatory phase by consultant in 2018 and disclosed on ADB and EA websites. The LARP project is being divided into several subproject LARPs and being updated gradually according to results of the detailed design.

5. On 1<sup>st</sup> subproject - Electrification of main track (145.1 km) between RM 5.2 East of Pap station and Andijan 1 station, including 3.5 km line from block post 136.1 to Uchkurgan - voltage of transmission lines will be 27.5 kV. LARP 1 Approved and published on the ADB website in May, 2020.

6. On 2<sup>nd</sup> subproject - Construction of a 52 km External Power Line (EPL) to supply power to the two new substations:

- 110 kV EPL for Khakkulabad substation (40 km)
- 220 kV EPL for Namangan/Raustan substation (12 km)

LARP approved by ADB in October, 2020.

7. On 3<sup>rd</sup> subproject - Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads. LARP published in 2018.

- addendum to 3<sup>rd</sup> subproject – usage of the land not provided for by the LARP – TSS Khakkulabad. LARP Addendum was approved by ADB in September 2020.

8. On 4<sup>th</sup> subproject - Construction of a new track (6.7 km) – for electrification with 27.5 kV. Prepared and published by SDDR in February 2017. Completion Report was submitted in March 2021.

9. On 5<sup>th</sup> subproject - Construction of the Uychi block post (new crossing at km 137), which includes: (i) construction of the Uychi block post building, (ii) a road for the crossing (780m) and (iii) construction of the excavation (120m).

SDDR Addendum has been approved in September 2020.

#### Impacts





			The LARP was approved by ADB on October 15, 2020.	(CR) will be completed after full compensation has been paid.	
3	<p>Construction of two new traction substations in Namangan (Raustan) and Khakkulabad, including access roads</p> <p>- In addition, land not provided for by the LARP was used - TSS Khakkulabad</p>	temporary	<p><b>LARP 3</b></p> <p>The implementation of the LARP has been completed in 2018.</p> <p>LARP Addendum was approved by ADB on September 15, 2020</p>	<p><b>LARP 3</b></p> <p>The LARP completion report was published in November 2018.</p> <p>Completion Report will be prepared in February 2021.</p>	<p>Construction of TSS Raustan is completed.</p> <p>The construction of TSS Khakkulabad is completed.</p>
4	Construction of a new track (6.7 km) - Subsequently this section will also be electrified with 27.5 kV	temporary	The SDDR was published in February 2017 (6.7km bypass).	Completion report for the 6.7 km section under preparation (expected in February-March 2021).	Construction of the new track (bypass) is completed and electrified.
5	Construction of the Uychi block post (new crossing at km 137), which includes: (i) construction of the Uychi block post building, (ii) a road for the crossing (780m) and (iii)	temporary	The SDDR Addendum was approved on September 24, 2020.	SDDR Addendum has been approved and published on the	Construction of the «Разъезд-137» block post has been completed.

	construction of the excavation (120m)			ADB website.	
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11. Crop yields and tree losses have been calculated and compensation calculated in accordance with the relevant legal requirements of the country and ADB's SPS 2009.

12. If any unforeseen social risks and impacts occur during construction, implementation or operation of the Project that have not been considered in the LARP, immediately inform ADB of the occurrence of such risks or impacts, with a detailed description of the event and a proposed corrective action plan.

13. Impacts are limited to one season.

### Consultations

14. The consultations were carried out with the farmers of affected farmlands, their accountants, Makhalla Committees, representatives of local Hokimiyats during the monitoring of the project zones in March 2023.

*Table 5 Summary of Consultations*

	Location	District	Date	Description
1	Field trip to affected lands together with PIU, EA and consultants	Namangan district	29 March 2023	Monitoring after work completion
2	Meeting with O'zbekiston Temir Yo'llari (UTY) district office	Namangan district	29 March 2023	Consultation, discussion
3	Visits to project areas	Andijan district	30 March 2023	Monitoring after work completion
4	Meeting with O'zbekiston Temir Yo'llari (UTY) district office	Andijan district	30 March 2023	Consultation, discussion
5	Field trip to affected lands together with PIU, EA and consultants	Kokand	30 March 2023	Monitoring after work completion
6	Meeting with AP	Kokand	30 March 2023	Monitoring after work completion

15. Consultations will be continued throughout the project cycle. The project information dissemination is being made through the disclosure of the resettlement planning document. Copies of the final LARPs are being disclosed on the ADB website (in English) and on the website of EA (in Russian and Uzbek languages) upon approval.

*Table 6 Documents' Disclosure*

Protective measures document	Project components	ADB website link and date disclosed	EA website link and date disclosed
<b>LARP 1. (16 AHs/ 119 APs, of which 2 AHs were relocated)</b>	Electrification of the railroad track (145.1 km) between 5.2 km eastern of Pap station and Andijan 1	<a href="https://www.adb.org/sites/default/files/project-documents/48025/48025-003-rp-en_1.pdf">https://www.adb.org/sites/default/files/project-documents/48025/48025-003-rp-en_1.pdf</a> July 2019	<a href="http://railway.uz/ru/informatsionnaya_sluzhba/novosti/15735/">http://railway.uz/ru/informatsionnaya_sluzhba/novosti/15735/</a>
<b>LARP 2.1 (50 AH/ 317 AP)</b>	External power supply line to/from Raustan (220 kV TL, 12 km)	<a href="http://railway.uz/ru/informatsionnaya_sluzhba/novosti/15735/">http://railway.uz/ru/informatsionnaya_sluzhba/novosti/15735/</a>	
<b>LARP 2.2</b>	External power line to/from Khakkulabad (110 kV TL, 40 km)	<a href="https://www.adb.org/sites/default/files/project-documents/48025/48025-003-rp-en_0.pdf">https://www.adb.org/sites/default/files/project-documents/48025/48025-003-rp-en_0.pdf</a>	
<b>LARP 3 (5 AH/35 AP)</b>	Two traction substations in Raustan and Khakkulabad	<a href="https://www.adb.org/sites/default/files/project-documents/48025/48025-003-smr-en_1.pdf">https://www.adb.org/sites/default/files/project-documents/48025/48025-003-smr-en_1.pdf</a>	
<b>Additional land</b>	TSS Khakkulabad	<a href="https://www.adb.org/projects/documents/uzb-48025-003-rp-3">https://www.adb.org/projects/documents/uzb-48025-003-rp-3</a>	
<b>SDDR</b>	New track with 6,7 km length	<a href="https://www.adb.org/projects/documents/uzb-48025-003-smr-4">https://www.adb.org/projects/documents/uzb-48025-003-smr-4</a>	
<b>SDDR addendum</b>	New blog – post (разъезд) – 137 km	<a href="https://www.adb.org/projects/documents/uzb-48025-003-sddr">https://www.adb.org/projects/documents/uzb-48025-003-sddr</a>	

## 4 GRM

16. A grievance redress mechanism is established at the project level by co-opting the local grievance redress mechanism according to the law, to allow affected persons appealing any disagreeable decision, practice or activity arising from land or other assets compensation. APs were fully informed of their rights and of the procedures for addressing complaints whether verbally or in writing during consultation, survey, and time of compensation. The project level grievance mechanism does not impede an aggrieved person's access to the country's judicial or administrative remedies. The aggrieved persons can approach a court of law at any time and independent of the project level grievance redress process. EA ensures that grievances and complaints on any aspect of the land acquisition, compensation, and resettlement are addressed in a timely and satisfactory manner. EA and its PCU keep records of complaints received for its use and monitoring as well as for review by ADB during regular supervision missions.

17. During the current report preparation there was no outstanding complaints regarding land acquisition.

## 5 Conclusion

18. The following documents (reports) were prepared and implemented for the project:

- i. Electrification of the railroad track (145.1 km) between 5.2 km eastern of Pap station and Andijan 1 – The completion report was approved and published in 2020. (LARP 1);
  - CSEC (KCOЭ) report for the period January - June 2019,
  - LARP 1 Addendum reviewed in December 2020;
- ii. - External power supply line to/from Raustan (220 kV TL, 12 km) (LARP 2/1), report was approved in October 2020.
  - External power line to/from Khakkulabad (110 kV TL, 40 km);
- iii. Two traction substations in Raustan and Khakkulabad – The completion report was published in November 2018. (LARP 3);
  - LARP 3 Addendum was approved by ADB in September 2020;
- iv. New track with (6.7 km) length – (SDDR) document published in February 2017.
- v. New blog-post (разъезд) – 137 km – (SDDR addendum), document approved by ADB in September 2020.

19. All five subprojects have been compensated. LARP implementation is completed.

20. The project considered:

- a) Probable social impacts of the project regarding land acquisition, on people in terms of displacement, loss of income; and public relations, safety, and health.
- b) Appropriate measures to minimize adverse impacts were taken during the planning phase; and protective measures were taken during the implementation phase to mitigate adverse impacts,
- c) Social protection issues have been resolved in accordance with applicable national and state laws and policies, as well as the requirements of the Asian Development Bank's SPS.

**Attachment**













































