

REPUBLIC OF PERU

**THE PREPARATORY SURVEY
FOR
WATER SUPPLY AND SANITATION
IMPROVEMENT PROJECT
IN
RURAL AMAZON AREA**

FINAL REPORT

**VOLUME ENG-II
OPERATION MANUAL**

FEBRUARY 2011

JAPAN INTERNATIONAL COOPERATION AGENCY

**NIPPON KOEI CO., LTD.
NIPPON KOEI LATIN-AMERICA and CARIBBEAN CO., LTD**

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VOLUME ENG-II

OPERATION MANUAL

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ABBREVIATIONS AND ACRONYMS

| | |
|----------|-----------------------------------------------------------------|
| A&S | Water and Sanitation or W&S |
| ADCC | Auto declared capital confrontation |
| AOM | Administration, Operation and Maintenance |
| BID | Inter- American Development Bank or IDB |
| BIRF | International Bank for Reconstruction and Development or IBRD |
| CO | Operating Consultant, or OC |
| CTS | Compensation for Services |
| DGPM | General Management of Multiannual Schedule of the Public Sector |
| DGTP | General Directorate of Public Treasury |
| DNCP | National Directorate of Public Accounting |
| DNEP | National Directorate of Public Debt |
| DNPP | National Directorate of Public Budget |
| DNTP | National Directorate of Public Treasury |
| DNS | National Direction for Sanitation |
| EDA | Acute Diarrhea Diseases |
| ENDES | Continuous National Demographic Family Health Survey |
| FONCODES | Social Compensations and Development Fund |
| FPPE | Petty Cash Funds |
| GCT | Gravity system with treatment |
| GST | Gravity system without treatment |
| HC | Home connection. |
| HF | Table or home filters |
| ICB | International Competitive Bidding |
| INEI | National Institute of Statistics and Information |
| IS | Individual system |
| JASS | Administrative Board of Sanitation Services or JASS |
| LG | Local Government |
| JICA | Japan International Cooperation Agency |
| MEF | Ministry of Economy and Finances |
| MO | Operational Manual or OM |
| MP | Manual pump |
| MS | Multifamily system |
| MVCS | Ministry of Housing, Construction and Sanitation |
| NAC | National Accountant Office |
| NIC | International Accounting Standards |
| NRC | Letters of Expenditure Receipt |
| ODA | Official Development Assistance |
| OGPP | General Office of Budget and Planning |
| OM | Operational Manual |
| OSCE | Supervising Agency of State Contracts |
| PAA | Procurement Annual Plan or PAP |
| PAAC | Annual Procurement and Contracting Plan |
| PAPT | Water for All Program or WfAP |
| PARSSA | Support Program to the Restructure of the Sanitation Sector |

| | |
|----------|-----------------------------------------------------------|
| PCT | Pump system with treatment |
| POA | Annual Operative Plan |
| PP | Public pump |
| PQ | Prequalification |
| PRONASAR | National Program of Water and Sanitation for Rural Areas |
| PST | Pump system without treatment |
| QCBS | Quality and Cost Based Selection |
| RG | Regional Government |
| RMU | Regional Management Unit. |
| RS | Roof system or rainwater collection |
| SAV | Housing Administration System |
| SEDAPAL | Drinking Water and Sewer Services of Lima |
| SC | Supervising Consultant (SC) |
| SIAF | Integrated Financial Administration System |
| SNIP | Public National Investment System |
| SOE | Expenditure Statement |
| SP | Public Sector |
| SUNAT | National Superintendent's Office of Tax Administration |
| ToR | Terms of Reference |
| TSE | Technical, Social and Environmental |
| PMU | Managing Unit of the Program |
| UOSR | Rural Sanitation Operational Unit |
| UPPI | Planning, Budget and Information Technology Unit |
| VAT | Value Added Tax / Sales Tax |
| VMCS | Vice Ministry of Construction and Sanitation Organization |

CHAPTER I: PURPOSE AND CONTENT OF THE MANUAL, THE PROGRAM, THE INVESTMENTS BY COMPONENT, OPERATIVE PLAN AND LOGICAL FRAMEWORK OF THE PROGRAM

1.1 INTRODUCTION

The Operations Manual has been prepared to assure the achievement of the objectives established for the Water Supply and Sanitation Improvement Program for the Rural Amazon Area and the Loan Agreement between the Vice Ministry of Construction and Sanitation (VMCS: *Viceministerio de Construcción y Saneamiento*) and the Japan International Cooperation Agency- JICA. For this purpose, the present Manual complies with the policies, strategies and objectives of the Ministry of Housing, Construction and Sanitation (MVCS: *Ministerio de Vivienda, Construcción y Saneamiento*); defines the terms; and establishes the mechanisms, procedures and policies that must be followed in the different phases of the project implementation. This Manual constitutes the guideline and regulatory document of the managing and executing entities, agencies, and other bodies involved in the Program, allowing homogeneous actions for optimal program implementation and efficient use of resources.

The Operations Manual defines a conceptual and technical framework for the Water Supply and Sanitation Improvement Project for the Rural Amazon Area, as well as the levels of responsibility of the entities and agencies involved in its implementation.

1.2 PURPOSE AND CONTENT OF THE OPERATIONAL MANUAL

The general purpose of this Manual is to provide the workers of the Project Management Unit – PMU (UGP- *Unidad de Gestión del Programa*), the Ministry of Housing, Construction and Sanitation (MVCS) and the workers of other entities, the guidelines and standards to be followed for the efficient organization, management and implementation of the Program.

The content of the Manual is organized in 5 chapters. Chapter I contain all the information related to the backgrounds, objectives, principles, policies, strategies and the approach of the Program, as well as the components, the Logical Framework and the investment cost. Chapter II presents a general execution scheme for the Program, where the Institutional Framework is detailed for central and local areas. Chapter III describes the model of implementation, which includes the entities involved in the Program (VMCS, DNS, UGP, Operating Consultant, Supervising Consultant, Local Governments, Communities and JASS); the length of the project; types of subprojects and the components of the program.

Chapter IV describes the administrative, financial and procurement aspects, the financial information system, the tools for planning and scheduling activities, the financial-administrative processes and procedures, and the internal control and auditing mechanisms. Finally, Chapter V describes the managing, monitoring and evaluation system of the Program; supervision and auditing of the Program by the Sector and the financial entity, in this case, the Japan International Cooperation Agency- JICA.

1.3 THE WATER SUPPLY AND SANITATION IMPROVEMENT PROJECT FOR THE RURAL AMAZON AREA

1.3.1 Background

According to the National Population and Housing Census of 2007 Peru has 27.41 million inhabitants, distributed in 3 natural regions: Coast Region (54.6%), Andean Region (32.0%) and Amazon Region (13.4%).

There are 6.6 million inhabitants in rural area of Peru (24.1% of the total population), 4.85 million of them do not have direct access to drinking water and 2.8 million lack of an adequate sanitation system.

The total water supply coverage in rural areas is of 25.8%. Of this total, 13.3% have access to public supply inside their houses, 8.9% have access to public supply outside their houses but inside their property and 3.6% obtain water from public water taps.

The coverage of basic sanitation in rural areas is of 57.4%; of this 2.5% have household sewer connections.

The population of the Program's area (Loreto, Amazonas, Madre de Dios, San Martin, Ucayali), is of 910.4 thousand inhabitants, of which 25.5% have water supply (23.5% with home connections and 2.5% through public water taps. As for sewage services, 7.2% have access to public sewerage and 66.8% use latrine. Table 1.1.

Table 1.1
Water and Sanitation Service Coverage

| Region | Water Coverage | | Sanitation | |
|--------------|----------------------|-------------|----------------|--------------------|
| | Household connection | Public taps | Public network | Blind pit /Latrine |
| Low Forest | 19.3% | 3.1% | 3.3% | 64.9% |
| High Forest | 30.7% | 1.7% | 7.9% | 74.4% |
| Front Forest | 24.1% | 1.6% | 19.1% | 64.1% |
| Total | 23.0% | 2.5% | 7.2% | 66.8% |

Source: Preparatory Study for the Water Supply and Sanitation Improvement Project For the Rural Amazon Area

The total population of the 5 regions included in the Program represents 9.3% of the nationwide total population, while the regions' GDP represents only 5.3% of the national GDP. Poverty is more severe in Amazon regions where the levels of poverty are below the national average except for Madre de Dios who manages to exceed this average according to the National Institute of Statistics and Information (INEI: *Instituto Nacional de Estadística e Informática*) statistics.

As for the socioeconomic level of the rural population, 60% live in poverty¹ and 24% in extreme poverty. The poorest quintile has an average income of U\$234 per capita/year and the richest quintile has an average income of U\$993 per capita/year (U\$82/month). This shows that the largest number of families living in extreme poverty is located in the rural area, mainly in the Highlands or Andean Region (58.5% of the total poor families). 7.8% of the poor families live in the rural Coast and 15.8 in the rural Amazon area.

The lack of access to water and sanitation services affect directly and indirectly 3 health indicators: (i) Infant Mortality², (ii) incidence of diarrhea in children under 5, and (iii) Chronic malnutrition in children under 5. According to the Continuous National Demographic Family Health Survey –ENDES Continua (ENDES Continua- *Encuesta Continua Nacional Demográfica de Salud*) from years 2004 to 2006 conducted by INEI, the health indicators are as follows:

Infant Mortality Rate: for the total rural area of the country the average mortality rate is 36 per 1000 individuals (urban is 21), and the Child Mortality Rate is of 50 child deaths for 1000 live births (urban is 26). As for natural regions, in the Amazon Region de Child Mortality Rate is of 38 child deaths per 1000 live births, higher than the rates for the Andean Region and the Coast, and higher than the national average (36). The conditions that influence the indicators are the deficient socioeconomic and environmental conditions of the rural area. See Table 1.2.

Incidence of diarrhea in children under 5 year of age: in rural areas, the incidence of diarrhea in children under 5 years of age is 15.9%, and in urban areas it is 13.8%. These indicators are associated in minor or higher proportion to other indicators, as the economic power and the source of water supply. If we related it to the economic power the incidence is 18.7% of the children from woman belonging to the inferior quintile of wealth, while in children from the superior quintile of wealth it is 11.4%. Comparing sources of drinking water supply, the incidence is 18.3% in populations using superficial water sources and 13.2% in populations using pipe water.

According to ENDES Continua 2004-2006, as part of their analysis of acute diarrhea prevalence, this is also related to the disposal of the feces of children under 5; the results are shown in table 1.3. The figures show that, under the non-monitored feces disposal category, in rural areas, 35% of mothers dump them in the yard or field, 12.7% do nothing and 7.7% sweep them with water. If we relate this to other characteristics, the level of education, the sewer service and also the economic power are important indicators.

Chronic malnutrition in children under 5 years of age: the levels of chronic malnutrition in children close to turn 5 years old (for example 48-49 months), constitute an indicator of the accumulative effects of growth delay. Table 1.2.

¹ The poverty level is based on monthly per capita expenditure. The poverty line for 2007 was of S/229.4 and for "extreme poverty" of S/121.2.

² INEI ENDES Continua 2004- 2006

Table 1.2
Health Indicators

| Characteristics | Mortality Rate (per 1000 life birth) | | Children under 5 (%) | |
|------------------------------------|-----------------------------------------|-----------|-----------------------|-----------------------------|
| | Infantile | Childhood | Incidence Diarrhea | Chronic Malnutrition (2) |
| National Average | 27 | 37 | 14,7 | 29,5 |
| Urban Area | 21 | 26 | 13,8 | 13,8 |
| Rural Area | 36 | 50 | 15,9 | 46,3 |
| According to Natural Region | | | | |
| Jungle | 38 | 56 | 22,7 | 32,2 |
| Highland | 33 | 46 | 13,9 | 43,2 |
| Cost (1) | 22 | 29 | 12,6 | 20,1 |
| Quintile | | | | |
| Inferior Quintile | 45 | 59 | 18,7 | 54,3 |
| Second Quintile | 32 | 48 | 15,1 | 41,7 |
| Intermediate Quintile | 23 | 30 | 14,7 | 20,4 |
| Forth Quintile | 20 | 23 | 12,1 | 7,8 |
| Superior Quintile | 5 | 8 | 11,4 | 4,8 |
| Source of Drinking Water | | | | |
| Pipes | | | 13,2 | |
| Covered well | | | 14,1 | |
| From surface | | | 18,3 | |
| Other/ No specific information | | | 15,5 | |

Source: ENDES Continua 2004- 2006

(1) Does not include Lima Metropolitan area

(2) ENDES 2005

Table 1.3
Disposal of feces of children under 5 years of age
Percentage: distribution of mother with children under 5 according to
the kind of discard used for the feces of the youngest son

| Characteristics | Monitored feces (%) | | Non monitored feces (%) | | | Other answers (%) |
|-----------------------|-----------------------------------|-------------------------------|---------------------------|------------------|----------------------|-------------------|
| | Always uses the toilet or latrine | Throw away in toilet/ latrine | Dump in the yard or field | Sweep with water | Does not do anything | |
| Housing Location | | | | | | |
| Urban | 30.4 | 27.5 | 3.0 | 4.9 | 0.8 | 33.3 |
| Rural | 15.2 | 13.2 | 35.4 | 7.7 | 12.7 | 15.8 |
| Natural Region | | | | | | |
| Jungle | 22.6 | 24.9 | 22.8 | 7.1 | 5.9 | 16.7 |
| Highland | 21.1 | 19.0 | 26.3 | 7.2 | 10.6 | 15.8 |
| Cost (1) | 24.1 | 26.1 | 12.3 | 7.2 | 3.3 | 26.9 |
| Educational Level | | | | | | |
| Without Education | 14.8 | 15.4 | 36.2 | 6.8 | 16.4 | 10.4 |
| Primary | 17.1 | 17.7 | 30.7 | 7.0 | 11.3 | 16.3 |
| High School | 26.2 | 25.1 | 10.1 | 6.6 | 2.8 | 29.2 |
| Higher Degree | 33.2 | 22.3 | 1.9 | 3.2 | 0.3 | 39.2 |
| Sewer System | | | | | | |
| Does not have | 1.9 | 1.7 | 47.5 | 7.1 | 20.0 | 21.8 |
| Latrine | 24.0 | 28.2 | 20.3 | 6.9 | 4.7 | 16.0 |
| Toilet | 34.4 | 26.7 | 0.3 | 4.9 | 0.1 | 33.6 |
| Other | 12.5 | 15.1 | 19.5 | 8.8 | 4.3 | 39.8 |
| Wealth Quintile | | | | | | |
| Inferior Quintile | 8.6 | 10.0 | 44.8 | 6.9 | 16.0 | 13.7 |
| Second Quintile | 18.2 | 19.8 | 27.1 | 7.3 | 9.3 | 18.2 |
| Intermediate Quintile | 27.7 | 32.2 | 5.2 | 7.7 | 1.5 | 25.7 |
| Forth Quintile | 31.1 | 28.3 | 0.2 | 4.8 | 0.2 | 35.3 |
| Superior Quintile | 39.6 | 15.5 | 0.0 | 2.0 | 0.0 | 42.9 |
| Total 2004-2006 | 24.1 | 21.6 | 16.4 | 6.0 | 5.7 | 25.8 |

Source: ENDES Continua 2004- 2006

(1) Does not include Lima Metropolitan area

The figures show that chronic malnutrition has a highest prevalence in children of rural areas, where 46.3% of the children fewer than 5 years of age have growth delay; in comparison to the ration for the urban area which is of 13.8%. This indicator is critically related to the socioeconomic characteristics (wealth quintile). The incidence of chronic malnutrition in children is of 54.3% for the poorest quintile and 41.7% of for the second poorest quintile.

Between 1960's and 1980's, through the National Water Supply Plan for the Rural Area, Peru started its first efforts to fight the lack of water and sanitation services in the rural area, the plan implemented approximately 2500 small water supply systems by 1990.

During 1990's, the country implemented great efforts to increase the coverage of water and sanitation services. Around 400 million dollars were invested by different, public and private institutions to supply the demand of water and sanitation services in rural areas, mainly in localities with less than 2000 inhabitants. The Social Compensations and Development Fund- FONCODES (FONCODES- *Fondos de Compensación y Desarrollo*

Social) has been the innermost financial body of this investments in these services (during the 90's it financed approximately 80% of the works).

The relatively recent projects and programs of the sector are SANBASUR and PROPILAS financed by SDC: SANBASUR for Cusco Region, PROPILAS implemented by CARE Peru for Cajamarca Region; and nationwide PRONASAR financed by BIRF. Each of these projects have been contributing to improve and increase the basic water and sanitation services for rural areas, not only in infrastructure but also providing training to the communities and district municipalities so to make an efficient use of the water and sanitation services in their communities. PRONASAR benefited around 1.3 million people in rural areas and small cities with populations under 30 thousand inhabitants.

Among on-going projects in rural areas is "Improved Access to Water and Sanitation Services in Small Municipalities", funded by the IDB. The total project cost is around US\$ 3 million and it is executed by a non-governmental organization called "*Agua limpia*". From the outset, the program serves the regions of Ancash and Ayacucho; and later on, two additional regions.

Several projects and programs targeting rural areas are currently in the planning stage. The biggest program among them, in terms of the number of target communities and beneficiaries, is a Spanish-funded program called *Programa de Mejoramiento y Ampliación de Servicios de Agua Potable y Saneamiento en el Perú con la Cooperación Española*. This program will be financed through the Spanish Cooperation Fund for Water Supply and Sanitation,. The administration of this program is entrusted to the IDB.

Nonetheless the substantial interventions made, there is still a lot to cover: almost 3.3 million inhabitants require water supply services and 6.2 million require sanitation services.

It's estimated that 60%³ of the existing systems lack of a Sanitation Services Administrative Board – JASS (JASS: *Juntas Administradoras de Servicios de Saneamiento*) which is in charge of managing, operating and maintaining the infrastructure built. Therefore, the quality of the service is inadequate, in terms of water quantity, continuity and quality.

The latest Peruvian governments have put special emphasis to the increase of the coverage of water and sanitation services - aiming to poverty reduction – which is considered an essential objective in the national politics. With the "Water for All" Program - PAPT (PAPT- *Programa Agua Para Todos*), the government seeks to increase the investments in the water and sanitation sector.

On the other hand, experience has evidenced that the construction of infrastructure as the only component in the project implementation, neglecting crucial cultural and socioeconomic aspects, such as: community participation in planning, implementation, management, operation and maintenance of the facilities, and hygiene education has resulted in low sustainability of the services and , consequently the investments have not been profitable and no major impact of the water and sanitation services have been observed in health indicators.

In July 2002, the government created the Ministry of Housing, Construction and Sanitation- MVCS in whose organizational structure is the Vice Ministry of Construction and Sanitation- VMVCS, which includes the National Sanitation Department and the Support Program for the Restructuring of the Sanitation Sector- PARSSA (Executing Unit N° 4), as line organizations.

³ Water and Sanitation System Databases from the Health Ministry

Supreme Decree N° 016-2005-VIVIENDA from August 6th 2005 has modified the Regulations of the General Law of Sanitation Services, which defines the legal framework that regulates the rendering of sanitation services rural areas and small cities.

Supreme Decree N° 006-2007-VIVIENDA from February 23rd 2007 created the Water for All Program- PAPT (PAPT- *Programa Agua para Todos*) under the VMCS of the MVCS as the unit responsible for the coordination of the actions corresponding to the Programs and Projects related to the sanitation sector, financed through public resources and other corresponding means, located in rural and urban areas nationwide.

The general objective of the PAPT is to contribute to increase the population's access to sustainable sanitation services, through coordination of the actions for formulation, execution, and financing of public investment in sanitation programs and projects. Among PAPT's specific objectives are the implementation of programs and projects for the expansion, rehabilitation and improvement of the water and sanitation systems nationwide, contribution to the sustainability of the water and sanitation services, and strengthening of the capacities of executing entities for the formulation and implementation of their projects.

The cooperating entities, including Japan, have supported the sector; this investment have been directed mostly to urban areas and/or rural areas of the highlands, while the Amazon Area has not received much continuous investment or support.

In this context the MVCS considered requesting the Japanese Government, through JICA, the financing of an Investment Program to improve the water supply and sanitation in the five Amazon regions.

Currently, the Water Supply and Sanitation Improvement Program for the Rural Amazon Area is in the final phase of Evaluation and Formulation of its Feasibility Study.

1.3.2 Objectives of the Program

General Objective

“The General Objective of the Program is to improve health and life quality of the rural populations of the 5 regions of the Amazon: Amazonas, San Martin, Loreto, Madre de Dios y Ucayali”, through the improvement of the water supply and sanitation conditions.

The Program will contribute the reduction of diseases caused by polluted water, and related to intestinal infectious diseases and the incidence of parasitoids, particularly in children under 5 years of age of the rural population of the Amazon.

Specific Objectives

- ✓ To build, improve and/or rehabilitate water and sanitation facilities;
- ✓ To raise the population awareness regarding the value of water and sanitation services in the communities to be served, through participative processes to be implemented during the project;
- ✓ To strengthen the capacity of community organizations, such as Sanitation Services Administrative Boards (JASS: Junta Administrativa de Servicios de Saneamiento) of the localities, for administration, operation and maintenance
- ✓ To provide hygiene education to the beneficiaries;
- ✓ To strengthen the capacity of the district municipalities for them to: (i) monitor and supervise the water supply and sanitation services and (ii) provide technical assistance and support to the community organizations such as JASSs.
- ✓ To strengthen PAPT for execution, control and evaluation of the Program, supplying the Managing Units with the necessary machinery and materials to be used by the PMU during the Program;
- ✓ To provide technical assistance to the PAPT in the evaluation of the perfils and the project files (detailed design studies).

1.3.3 Basic Principles of the Program

The basic principles to the Water Supply and Sanitation Improvement Project are the following:

- ✓ Program will prioritize the poorest areas of the Rural Amazon Area.
- ✓ Active participation of the district municipalities throughout the project cycle, making fell as co-executer of the project.
- ✓ Active participation of the community during the project, to assure the sustainability of the service and generate a sense of ownership.
- ✓ The Program offers pre-established technical options and service levels for water and sanitation so the community may be informed about the most convenient and sustainable option.
- ✓ Integral intervention through a single project involving the technical, social and environmental aspects to be implemented by one entity in the same implementation schedule.
- ✓ The family fee must cover operation, maintenance and equipment replacement costs.

1.3.4 Policy, principles and focus of the Program

a. Financial policy

The financial policy of the Program establishes the co-financing by Regional Governments within the Program's Area, as a condition for the water and sanitation projects in rural localities of the rural Amazon area. The Regional Government's contribution will supplement the co-financing by local municipalities.

The local governments will directly co-finance the projects in its jurisdiction through the creation of the Municipal Technical Unit, which shall be formed once the projects are declared viable. For the completion of the technical, social and environmental (ETSA) detailed designs, local municipalities should have the Municipal Technical Unit already organized.

According to the Feasibility Study, co-financing by the community has not been planned, except for commitments made during the promotion of the program, with contributions of unskilled labor.

b. Integral Intervention Principle

The Program will give equal importance to the infrastructure execution works (design and facility construction) and to the Component of strengthening and/or creation of capacities for organization, planning, promotion, development and administration of the sanitation services; as well as hygiene education in each one of the localities and municipalities.

The activities for both components shall be implemented in an integral and simultaneous manner. The implementation shall respond to the physical, economic, social and cultural characteristics of each one of the Program's localities.

c. Supply-driven approach with information

The services to be implemented in the communities through the Program, should be the result of a discussion and analysis process with the community, regarding the type of service which will be offered to the beneficiaries and the type of service they are willing to pay for.

This focus is based on:

- ✓ The existence of an adequate information flow to the community and municipality, as well as the procedures to facilitate collective decision making regarding the technical option and the level of service offered.
- ✓ The population must know that the water has an economic value for which they must pay a family fee that covers costs of management, operation, maintenance and replacement of machinery for the implemented services.
- ✓ The community is responsible for the sustainability of the services, within a legal framework of infrastructure transferring to the municipality.

d. Gender Equity Approach

This principle is a condition for the sustainable development of the poor and extremely poor rural communities, and consists of recognizing the existence of distinctive potentialities, needs and interests of the people according to their gender, generation and ethnic group. In water and sanitation, this approach means the following:

- ✓ The technical options and services levels will respond to the needs of both women and men, favoring the life conditions of both genders.
- ✓ The decisions and agreements will include the opinion and interest of both men and women.
- ✓ Both men and women will have the same opportunities to access the training programs for AOM and sanitation and hygiene education.

- ✓ Both men and women will also have the same access to participate in the JASS.
- ✓ Main and women will be trained to administrate, operate and maintain the water and sanitary services.
- ✓ Provide opportunities for the women to participate in the execution of the works.

e. Inter-cultural Approach

The interaction, exchange and communication between cultures through which one recognizes and accepts the other's culture, means, in the first place, knowing and understanding the culture of different communities regarding water and sanitation; secondly, valuing, respecting and strengthening the positives aspects of these cultures; and thirdly, promoting new acknowledgements and practices which assures a better management, development and impact of the services in people's lives; and finally, promoting reciprocate learning spaces between the agents of the project and the population, as a framework of a respectful relationship.

f. Focus on Environment Sustainability

Human beings experience the environment which we live as a group of physical, chemical, biological, social, cultural and economic conditions which differ according to geographical place, infrastructure, season, time and activity carried out.

Natural resources are used by human beings through different activities, for this we must take into account that when we use them we always will produce an environmental impact whose effects must be controlled and mitigated.

1.3.5 Program Components

The program has 3 components:

Component 1: Conglomerate 1: Water and Sanitation Projects for Rural Localities of the Low Forest Area. Includes all the water and sanitation projects for rural localities of between 200 and 2000 inhabitants of the low forest area within the Program's Area, whose main characteristic is its altitude: less than 400 m.a.s.l. The implementation goal includes 902 rural communities.

Component 2: Conglomerate 2 Water and Sanitation Projects for Rural Localities of the High Forest and Front Forest areas. This component includes water and sanitation projects for rural localities between 200 and 2000 inhabitants of the High Forest and Front Forest

Area within the Program's Area, both geographical regions are located at an altitude between 401 and m.a.s.l. The implementation goal includes 598 rural communities.

Both components include: i) Construction, rehabilitation or expansion of water and sanitation systems; ii) Soft-component: Strengthening of organization, planning and management skills in sanitation services, Training on sanitary education (municipality, JASS and community); and iii) Consulting services.

Components 1 and 2 (Conglomerates 1 and 2): Water and Sanitation Projects for Rural Localities of the Low Forest, High Forest and Front Forest areas: Includes the development of diagnosis and baseline studies, pre investment studies (*perfiles*), detailed designs and the construction of new systems, or rehabilitation and expansion of existent systems, as well as the supervision works; applying a participative methodology which includes the opinion of beneficiaries and local municipalities.

In addition, strengthening activities are proposed for strengthening the capacities (organization, planning, promotion, development and monitoring of services) of the beneficiaries, members of the JASS and district municipalities, in order to achieve sustainable development of the water and sanitation sub-projects.

Health and sanitary education activities are also included for each of the communities, in order to promote healthy hygiene practices in families to prevent diseases, and the appropriate use of the services, as well as resource preservation and environmental care.

Beneficiaries, JASS and municipalities should participate in training programs as part of their responsibilities in the implementing of the program in their community.

Component 3: Program Administration. This component involves the management, monitoring and evaluation activities of the Program throughout all the stages of the projects and the execution phases directed by the PMU- PAPT and the RMU. This component includes the following:

- ✓ Supervision and control of the implementation of water supply and sanitation projects of conglomerates 1 and 2.
- ✓ Implementation of the PMU in the Water for All Programs – PAPT.
- ✓ Designation of the necessary experts, machinery and materials and coordination of the annual budgets.
- ✓ Development of the Baseline of the Program, before its implementation.

- ✓ Intermediate and ex post assessment of the Program implementation.
- ✓ Coordination of the appropriate audits (physical, financial and of procurement)

Component 4: Strengthening of the Government Function. Activities included in this component are: strengthening of the sector's regulatory framework, human resources development, research and technological development, social-cultural-anthropological support studies in rural communities of the Rural Amazon Area, as well as management of SIAS.

1.3.6 Total Cost of the Program by Component

The total cost of the Water and Sanitation Program for the Rural Amazon Area, including all components and items described in the preceding sections, amounts to 1,337,8 thousand Nuevos Soles (43,210 million Japanese Yen = USD 471,214 thousand).

The cost of the Program by implementation phase is distributed as follows: 11% the first phase (162 localities), amounts to S /. 156.180 thousand (USD 55.012 thousand); 48% of the second phase (713 localities), amounts to S /. 620.9 thousand (USD 224.1 thousand) and the third phase (625 localities), amounts to S/. 560.682 thousand (USD 197.492 thousand).

The Implementation of the Program is foreseen to be carried out in three (3) overlapping phases, each one with an average period of four (4) years, executed in a total of ten (10) years during the period of year 2010-2020.

The first phase will be implemented as a Pilot Program, and will include 162 prioritized localities (89 localities of Conglomerate C-1 and 73 localities of Conglomerate C-2); in the second phase, 713 projects will be implemented (363 localities of Conglomerate C-1 and 350 localities of Conglomerate C-2); in the third phase, 625 projects will be carried out (450 localities of Conglomerate C-1 and 175 localities of Conglomerate C-2)

In the same way, the composition of the total Program investment is grouped at the sub-component level as follows:

- | | |
|-------------------------------------------------------|-----------|
| 1) Water and Sanitation Infrastructure | : 60.90%. |
| 2) S Initial Diagnosis - Soft-component | : 09.07%. |
| 3) <i>Perfil</i> and Detailed Design Development | : 11.52%. |
| 4) Supervision of Works - Contractors | : 04.49%. |
| 5) Supervision of Works – Nuclear Executors | : 03.47%. |
| 6) Supervision of <i>Perfils</i> and Detailed Designs | : 3.61%. |

- | | |
|---------------------------------------------|----------|
| 7) Program Administration | : 7.66%. |
| 8) Strengthening of the Government Function | : 0.28% |

Note: The percentage structure (%) don't include VAT (19%)

Table 1.4, shows a summary of the Program's costs by component and financial source:

Table 1.4
Financial Scheme of the Drinking Water and Sanitation Program for the Rural Amazon Area (2010- 2020)

| Item | Description | Total Cost of the Program (Thousands of S/.) | Total Cost the Program JPY (Thousands of JPY) | Total Cost of the Program (Thousands of US\$) | Fase 1 (Miles de US\$) | | | | | Fase 2 (Miles de US\$) | | | | | Fase 3 (Miles de US\$) | | | | |
|------|----------------------------------------------------|----------------------------------------------|-----------------------------------------------|-----------------------------------------------|------------------------|------------|---------------------|----------------------|---------------------|------------------------|------------|---------------------|----------------------|---------------------|------------------------|------------|---------------------|----------------------|---------------------|
| | | | | | Total Cost Phase 1 | Total Loan | | Peruvian Counterpart | | Total Cost Phase 2 | Total Loan | | Peruvian Counterpart | | Total Cost Phase 3 | Total Loan | | Peruvian Counterpart | |
| | | | | | | JICA | Peruvian Government | MVCS | Regional Government | | JICA | Peruvian Government | MVCS | Regional Government | | JICA | Peruvian Government | MVCS | Regional Government |
| 1) | Component 1- Conglomerate C-1 | 661,220 | 21,357,421 | 232,905 | 24,533 | 19,801 | 4,732 | 1,946 | 2,786 | 93,194 | 80,479 | 12,715 | 636 | 12,079 | 115,179 | 99,417 | 15,762 | 788 | 14,974 |
| 1.1 | Drinking Water Infrastructure | 283,051 | 9,142,559 | 99,701 | 10,338 | 7,376 | 2,962 | 1,218 | 1,743 | 39,900 | 31,920 | 7,980 | 399 | 7,581 | 49,463 | 39,570 | 9,893 | 495 | 9,398 |
| 1.2 | Sanitation Infrastructure | 167,947 | 5,424,698 | 59,157 | 6,134 | 4,364 | 1,770 | 728 | 1,042 | 23,675 | 18,940 | 4,735 | 237 | 4,498 | 29,349 | 23,479 | 5,870 | 293 | 5,576 |
| 1.3 | Social Intervention (implementation phase) | 58,500 | 1,889,550 | 20,606 | 2,033 | 2,033 | 0 | | | 8,301 | 8,301 | 0 | | | 10,271 | 10,271 | 0 | | |
| 1.4 | Diagnosis and baseline studies | 2,808 | 90,698 | 989 | 95 | 95 | | | | 399 | 399 | 0 | | | 495 | 495 | 0 | | |
| 1.5 | W&S Profiles and Works Technical | 77,483 | 2,502,712 | 27,292 | 2,933 | 2,933 | 0 | | | 11,032 | 11,032 | 0 | | | 13,327 | 13,327 | 0 | | |
| 1.6 | Supervisión de Obras (A&S - Contratistas de Obras) | 30,399 | 981,879 | 10,708 | 1,212 | 1,212 | 0 | | | 4,275 | 4,275 | 0 | | | 5,221 | 5,221 | 0 | | |
| 1.7 | Supervisión de Obras (A&S Núcleos Ejecutores) | 16,667 | 538,333 | 5,871 | 587 | 587 | 0 | | | 2,361 | 2,361 | 0 | | | 2,922 | 2,922 | 0 | | |
| 1.8 | Profile and Works Technical Supervision (W&S) | 24,365 | 786,992 | 8,582 | 1,201 | 1,201 | 0 | | | 3,250 | 3,250 | 0 | | | 4,131 | 4,131 | 0 | | |
| 2) | Component 2- Conglomerate C-2 | 373,721 | 12,071,172 | 131,637 | 17,130 | 14,100 | 3,030 | 1,246 | 1,783 | 76,477 | 66,909 | 9,568 | 478 | 9,089 | 38,031 | 33,247 | 4,784 | 239 | 4,545 |
| 2.1 | Drinking Water Infrastructure | 136,018 | 4,393,368 | 47,910 | 6,138 | 4,379 | 1,759 | 723 | 1,035 | 27,848 | 22,279 | 5,570 | 278 | 5,291 | 13,924 | 11,139 | 2,785 | 139 | 2,646 |
| 2.2 | Sanitation Infrastructure | 97,643 | 3,153,883 | 34,394 | 4,406 | 3,135 | 1,271 | 523 | 748 | 19,992 | 15,993 | 3,998 | 200 | 3,798 | 9,996 | 7,997 | 1,999 | 100 | 1,899 |
| 2.3 | Social Intervention (implementation phase) | 38,748 | 1,251,560 | 13,649 | 1,657 | 1,657 | 0 | | | 7,968 | 7,968 | 0 | | | 4,024 | 4,024 | 0 | | |
| 2.4 | Diagnosis and baseline studies | 1,854 | 59,884 | 652 | 82 | 82 | 0 | | | 380 | 380 | | | | 190 | 190 | 0 | | |
| 2.5 | W&S Profiles and Works Technical | 52,002 | 1,679,651 | 18,317 | 2,422 | 2,422 | 0 | | | 10,762 | 10,762 | 0 | | | 5,133 | 5,133 | 0 | | |
| 2.6 | Supervisión de Obras (A&S - Contratistas de Obras) | 20,128 | 650,132 | 7,090 | 970 | 970 | 0 | | | 4,110 | 4,110 | 0 | | | 2,010 | 2,010 | 0 | | |
| 2.7 | Supervisión de Obras (A&S Núcleos Ejecutores) | 11,074 | 357,693 | 3,901 | 470 | 470 | 0 | | | 2,283 | 2,283 | 0 | | | 1,148 | 1,148 | 0 | | |
| 2.8 | Profile and Works Technical Supervision (W&S) | 16,254 | 525,001 | 5,725 | 985 | 985 | 0 | | | 3,133 | 3,133 | 0 | | | 1,607 | 1,607 | 0 | | |
| 3) | Componente 3 | 86,125 | 2,781,825 | 30,336 | 3,467 | 0 | 3,467 | 1,734 | 1,734 | 14,119 | 0 | 14,119 | 6,636 | 7,483 | 12,750 | 0 | 12,750 | 5,992 | 6,757 |
| 3.1 | Program Administration | 86,125 | 2,781,825 | 30,336 | 3,467 | 0 | 3,467 | 1,734 | 1,734 | 14,119 | 0 | 14,119 | 6,636 | 7,483 | 12,750 | 0 | 12,750 | 5,992 | 6,757 |
| 4) | Componente 4 | 3,120 | 100,776 | 1,099 | 1,099 | 1,099 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Strengthening of the Government function | 3,120 | 100,776 | 1,099 | 1,099 | 1,099 | 0 | | | 0 | 0 | 0 | | | 0 | 0 | 0 | | |
| 5) | VAT (19%) | 213,595 | 6,899,127 | 75,236 | 8,783 | 0 | 8,783 | 7,586 | 1,197 | 34,920 | 0 | 34,920 | 29,476 | 5,444 | 31,532 | 0 | 31,532 | 26,540 | 4,993 |
| | Total General | 1,337,781 | 43,210,321 | 471,214 | 55,012 | 35,000 | 20,012 | 12,512 | 7,500 | 218,710 | 147,387 | 71,322 | 37,226 | 34,096 | 197,492 | 132,664 | 64,828 | 33,559 | 31,269 |
| | % of Financed | | | | 100.00% | 64% | 36% | 63% | 37% | 100.0% | 67% | 33% | 52% | 48% | 100.0% | 67% | 33% | 52% | 48% |

Note: The percentage structure (%) don't include IGV

The summary of the costs distribution (including taxes) for the first phase, by regions, including Component 3 (Project Management) and Component 4 (Strengthening of the Government Function) establishes:

| | |
|----------------|-----------------------------------------------|
| 1) Amazonas | : S/. 29,787 thousands (USD 10,492 thousands) |
| 2) Loreto | : S/. 61,097 thousands (USD 21,520 thousands) |
| 3) San Martín | : S/. 49,871 thousands (USD 17,566 thousands) |
| 4) Component 3 | : S/. 11,713 thousands (USD 4,126 thousands) |
| 5) Component 4 | : S/. 3,713 thousands (USD 1,308 thousands) |

The financial structure of the Program for the first phase of execution is:

| | |
|-------------------------|----------------------------|
| 1) JICA | : 64% (USD 35,0 millions) |
| 2) MVCS | : 23 % (USD 12,5 millions) |
| 3) Regional Governments | : 13% (USD 7,5 millions) |

The regional governments' counterpart funds are:

| | |
|--------------------------------------|-----------------------|
| 1) Regional Government of Amazonas | : USD 1,556 thousands |
| 2) Regional Government of Loreto | : USD 2,941 thousands |
| 3) Regional Government of San Martin | : USD 3,003 thousands |

1.3.7 Annual Operations Plan of the Program

The PMU shall present an Annual Operations Plan to the financial entity and to the PAPT, by mid- November of every year during the implementation period of the Program. This Plan is to be revised and approved by such organizations and should specify: (i) the annual progress and achievements and the activities to be financed by JICA during the following year; (ii) the financial requirements and the necessary resources; and (iii) the procurement plan.

1.3.8 Logical Framework of the Program

The following show the Logical Framework of the Program developed in the Feasibility Study, which is subject to be readjusted by DNS, the Sector's OPI and the DGPM- MEF.

Logical Framework Matrix for Water and Sanitation Program for the Rural Amazon

| OBJECTIVES | AIMS | INDICATORS | MEANS OF VERIFICATION | ASSUMPTIONS |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|
| AIM: To contribute with the improvement of health and life quality of the rural population. | | | | |
| COMPONENTS 1 & 2 | | | | |
| PURPOSE: To diminish the incidence of intestinal infectious diseases of the rural population in the administrative regions of Loreto, Madre de Dios, San Martin, Amazonas and Ucayali. | ♦ A 50% reduction in the incidence of intestinal infectious diseases (ADD's) in the population of the rural Amazon area, from the current 23.9% to 11.7% in the year 2020. | ♦ Intestinal infectious diseases incidence rate mainly in the children population under 5 years of age. | ♦ Results reports of the base line. ♦ Results reports of the Program's impact evaluation. ♦ Annual reports of the Ministry of Health centers. | ♦ Compromises fulfillment by the main actors: the Municipality and the population. |
| RESULTS: 1. Rural population within the area of intervention, with access to sustainable water and sanitation services in suitable conditions: quality, quantity and continuity. | ♦ To increase in 85% the coverage of the water supply services for human consumption, in the intervened localities by 2020. ♦ 1500 localities with water service for human consumption by 2020. (with 12 hours per day as a minimum continuous supply and with disinfection) Localities attended in phases: -1st implementation phase: 162 localities with W&S services by 2013. -2nd implementation phase: 713 localities with W&S services by 2017 -3rd implementation phase: 625 localities with W&S services by 2020. | ♦ % of coverage of water service for human consumption within the intervention area. ♦ N° of localities with continuous water service for human consumption no less than 12 hours ♦ N° of systems that applied disinfection to the water supply service for human consumption. | ♦ Final Report of the Works Liquidation. ♦ Results report of the Ex Post evaluation. ♦ Reports of the Ministry of Health Water Quality Surveillance Program | ♦ Population's active participation in the project's implementation. ♦ Administrative and financing processes. |

| OBJECTIVES | AIMS | INDICATORS | MEANS OF VERIFICATION | ASSUMPTIONS |
|-----------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2. The population in the intervention area, with access to a system of excreta disposal in suitable conditions. | <ul style="list-style-type: none"> ◆ To increase by 80% the sanitation coverage (latrines) in the intervened localities by 2020. ◆ 70% of families of the total of the localities have suitable practices of sanitary excreta disposal, by 2020. | <ul style="list-style-type: none"> ◆ % of sanitation coverage (latrines) in the intervened localities ◆ % of families that properly use the latrines | <ul style="list-style-type: none"> ◆ Final Report of the Liquidation of the Works ◆ Results report of the Ex Post Evaluation. ◆ Results reports of the Program's Impact Evaluation | <ul style="list-style-type: none"> ◆ Population's participation in the Project's implementation. |
| 3. Improve the hygiene habits of the population in the rural localities with intervention | <ul style="list-style-type: none"> ◆ By 2020, 100% of families have knowledge of the critical times for hand washing: <ul style="list-style-type: none"> ■ Before eating ■ After going to the bathroom ■ After changing diapers or cleaning the baby's feces ■ Before feeding the baby ■ Before cooking ◆ By 2020, 50% of families practice proper hand washing: <ul style="list-style-type: none"> ■ With water ■ With soap or ashes ◆ By 2020, 70% of families properly use and maintain their latrines: <ul style="list-style-type: none"> ■ Without fecal remains ■ Without urinary remains ■ Without foul odors ■ Without waste or remains of the material used to wipe themselves | <ul style="list-style-type: none"> ◆ % of families that have knowledge of the five critical times for hand washing ◆ % of families that wash their hands correctly ◆ % of families that adequately maintain their latrines | <ul style="list-style-type: none"> ◆ Follow-up reports for the soft-component ◆ Results of ex post evaluation ◆ Report of Impact Evaluation Results | <ul style="list-style-type: none"> ◆ Families recognize and understand the need to modify their behavior patterns with relation to health and hygiene ◆ Use of suitable capacity building and communication strategies to achieve the behavior improvement. ◆ Participation of qualified trainers. |

| OBJECTIVES | AIMS | INDICATORS | MEANS OF VERIFICATION | ASSUMPTIONS |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4. The community organizations (JASS) in the intervention area have the abilities of administrating, operating and maintaining (AOM) the water and sanitation services. | <ul style="list-style-type: none"> ◆ 100% of the Community Organizations that have AOM knowledge for the water services. ◆ No less than 10 people of each intervened locality are trained in AOM of the water services. ◆ 80% of the families of each locality pay their fees for the water service. | <ul style="list-style-type: none"> ◆ N° of Community Organizations that perform adequate AOM for water services ◆ N° of people trained in water services AOM at each intervened locality ◆ N° of the families of each locality that pay their fees for the water service on time | <ul style="list-style-type: none"> ◆ Final Report of the JASS capacity building. ◆ Results report of the Ex Post evaluation ◆ Reports of the supervision to the JASS, carried out by the Municipality's water services responsible. ◆ Results reports of the Program's impact Evaluation | <ul style="list-style-type: none"> ◆ Population's commitment to assume the services management responsibility. ◆ Fulfillment of the Municipality's Commitment ◆ Participation of the JASSs members and the population in the capacity building workshops. |
| 5. The local governments have the capacities to give basic technical assistance and support the community organizations in the localities within their scope of jurisdiction. | <ul style="list-style-type: none"> ◆ 90% of the municipalities successfully carry out their functions of supervision and technical assistance to the community organizations ◆ 100% of the commercial information is adequately registered and current (N° of Community Organizations, N° of users of W&S services, hours of water service, N° of supervision visits made, etc.) | <ul style="list-style-type: none"> ◆ N° of Community Organizations registered with the Municipality ◆ % of W&S service coverage at the district level in the scope of intervention ◆ N° of hours of water service ◆ N° of supervision visits made ◆ % progress in Financial Plan ◆ % progress in actions of technical assistance | <ul style="list-style-type: none"> ◆ Supervision reports to the community organizations, from those responsible for the water services in each municipality ◆ The Municipal plan incorporates water and sanitation activities ◆ N° of Community Organizations with a registry of supervision visits and/or technical assistance to the municipality ◆ Results of the ex-post evaluation | <ul style="list-style-type: none"> ◆ Fulfillment of the municipalities' commitment with respect to their participation in the implementation of W&S services |

| OBJECTIVES | AIMS | INDICATORS | MEANS OF VERIFICATION | ASSUMPTIONS |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>ACTIVITIES:</p> <p>I. Development of Initial Diagnosis and Baseline</p> <p>II. Development of <i>Perfils</i> and detailed design files</p> <p>1. Development of pre-investment studies</p> <p>2. Development of detailed designs</p> <p>III. Evaluation of <i>Perfils</i> and detailed design files</p> <p>1. Evaluation of pre-investment studies</p> <p>2. Evaluation of detailed designs.</p> <p>IV. Water storage and sanitation, Conglomerates 1 and 2</p> <p>1. Rehabilitation, improvement, and expansion of existing water systems</p> <p>2. Construction of new water systems</p> <p>3. Installation of household latrines</p> <p>V. Soft-component implementation</p> | <p>I. Initial Diagnosis and Baseline for US \$ 1.9 million.</p> <p>II. Pre-investment studies (<i>Perfils</i>) and detailed designs for US \$ 54.3million.</p> <p>◆ 1,500 <i>perfils</i></p> <p>◆ 1,500 detailed designs developed</p> <p>III. Evaluation and approval of pre-investment studies and detailed designs for US \$17.0 million.</p> <p>◆ 1,500 <i>perfils</i> declared viable</p> <p>◆ 1,500 detailed designs approved by Ministerial Decision</p> <p>IV. W&S infrastructure for US \$ 286.9 million</p> <p>◆ N° of water supply systems rehabilitated and-or improved in the year 2020</p> <p>◆ N° of new water systems in the year 2020</p> <p>◆ N° of families with latrines installed</p> <p>V. Soft-component implementation for</p> | <p>◆ N° of initial diagnosis of localities and situation of the W&S services.</p> <p>◆ N° of studies at the <i>perfil</i> level of the W&S projects in the Program</p> <p>◆ N° of detailed designs for the W&S projects in the Program</p> <p>◆ N° of <i>perfils</i> declared viable</p> <p>◆ N° of detailed designs approved with Ministerial Decision</p> <p>◆ N° of operative water storage systems rehabilitated, improved, or expanded</p> <p>◆ N° of new operative water systems</p> <p>◆ N° of latrines constructed and operative</p> <p>◆ N° of families with knowledge of</p> | <p>◆ Reports from the PMU, the PAPT, and the OC on the development of the <i>perfils</i></p> <p>◆ Reports from the PMU, the PAPT, and the OC on the development of detailed designs</p> <p>◆ Registry of <i>perfils</i> declared viable in the MEF Project Bank</p> <p>◆ Registry of Ministerial Decision approval of the detailed designs</p> <p>◆ Final liquidation report of works of rehabilitation, improvement, and/or expansion of water systems</p> <p>◆ Final liquidation report of new water works</p> <p>◆ Final liquidation report of sanitation works</p> <p>◆ Final report of capacity-building</p> | <p>◆ Sectoral, Regional, and Local Policy for W&S intervention in rural Amazon areas</p> <p>◆ Opportune fulfillment of established co-financing obligations by communities and municipalities</p> <p>◆ Fulfillment of agreement to assume responsibility for supervising and watching over water services</p> <p>◆ Participation by the population in the capacity-building workshops for hygiene education</p> <p>◆ Participation by members of the Community Organizations and the</p> |

| OBJECTIVES | AIMS | INDICATORS | MEANS OF VERIFICATION | ASSUMPTIONS |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>1. Development of capacity-building and hygiene education Program</p> <p>2. Development of AOM capacity-building for water services for the Community Organizations</p> <p>3. Development of capacity-building Program for municipalities to provide support and basic technical assistance to the Community Organizations in localities with intervention.</p> <p>VI. Supervision of works</p> | <p>US \$ 40.7 million</p> <ul style="list-style-type: none"> ◆ 1,500 Community Organizations with AOM capacities for water services ◆ 15,000 people with AOM capacities for water and sanitation services ◆ 400 district municipality employees with capacities to provide support and basic technical assistance to the Community Organizations <p>VI. Supervision of the works US \$ 32.8 million.</p> | <p>hygiene education and practices of cleaning and hygiene</p> <ul style="list-style-type: none"> ◆ N° of people with knowledge of AOM of water services ◆ N° of employees with knowledge to carry out their functions of supervision, financing, and technical support for the Community Organizations <p>◆ Item III and IV</p> | <p>in hygiene education</p> <ul style="list-style-type: none"> ◆ Final report of capacity-building in AOM in the Community Organizations ◆ Final report of capacity-building and strengthening of the municipalities ◆ Ex post evaluation of Program ◆ Evaluation of Program Impact | <p>population in the capacity-building workshops</p> <ul style="list-style-type: none"> ◆ Fulfillment of commitments to assume responsibility for supervising and watching over the water services |

| COMPONENT 3 (Activities of Program Administration) | | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| OBJECTIVES | AIMS | INDICATORS | VERIFICATION MEANS | ASSUMPTIONS |
| <p>I. Administration and Program Management</p> <p>1. Executing Unit of Program implemented</p> <p>2. Contracting of OC, SC, and Executing Contractors for implementation in Conglomerates 1 and 2</p> <p>3. Development of Annual Operative Plan for the Management of annual budgets for the functioning of the Program</p> <p>4. Follow-up and evaluation of Program implementation</p> | <ul style="list-style-type: none"> ◆ Program PMU and Regional PMU are functioning as of 2011-2020 for US\$ 36.5 million. ◆ Individual Consultants for the Diagnostic and Baseline ◆ Operating Consultants contracted ◆ Supervising Consultants contracted by year ◆ Consulting Firm for Works Supervision ◆ Individual Consulting for intervention social ◆ Consulting Firm Specialized in Soft-Component Intervention ◆ Individual Consultants for Works Supervision ◆ Executing Contractors contracted by year ◆ Forming of Nuclear Executors ◆ Annual Operative Plan for Program approved ◆ 06 reports of follow-up and evaluation of the Program per year ◆ 162 works concluded and operative in the year 2013 ◆ 713 works concluded and operative in the year 2015 ◆ 625 works concluded and operative in the year 2020. | <ul style="list-style-type: none"> ◆ N° of Consultant Contracts per year ◆ N° of contracts for Executing Contracts per yet ◆ N° of contracts with Executing Contractors per year ◆ N° of follow-up and evaluation reports per year ◆ N° of works concluded and operative by the year 2013 ◆ N° of works concluded and operative by the year 2015 ◆ N° of works concluded and operative by the year 2020 | <ul style="list-style-type: none"> ◆ Resolution of the Creation of Program's PMU ◆ Contracts or assignments of PAPT of the Program's PMU specialists ◆ Contracts signed by Consultants ◆ Contracts signed by the Contractors of Works ◆ Document proving the formation of the Nuclear Executors ◆ Reports from the PMU for follow-up and evaluation of the Program ◆ Resolutions for Liquidation of Works by the year 2013 ◆ Resolutions for Liquidation of Works by the year 2015 ◆ Resolutions for Liquidation of Works by the year 2020 | <ul style="list-style-type: none"> ◆ Commitments from the sector institutions to participate according to the sectorial guidelines ◆ Sectorial and Regional Policy for the intervention in W&S in the rural Amazon area |

| COMPONENT 3 (Activities of Program Administration) | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| OBJECTIVES | AIMS | INDICATORS | VERIFICATION MEANS | ASSUMPTIONS |
| COMPONENT 4 (Strengthening of the Government Function) | | | | |
| OBJECTIVES | AIMS | INDICATORS | VERIFICATION MEANS | ASSUMPTIONS |
| RESULTS: I. Strengthening of Government Function 1. Program Executing Unit and Regional Units strengthened. 2. Contracting of Consultants or Consultant Firms to develop and implement activities | ♦ Strengthening of Government function from 2011-2013 (PMU/RMU) for US \$ 1.6 million. ♦ Consultants contracted for Continuous Improvement of the Program. ♦ Consultants and institutions contracted for the development of human resources. ♦ Institution or consultants contracted for research and technological development. ♦ Consultants contracted for the Water and Sanitation Information System ("SIAS"). ♦ Consultants contracted for social, cultural, and anthropological support. | ♦ No. of contracts from consultants or institutions for the development activities or paths of intervention. ♦ No. of people capacitated for the PMU/RMU in the Program. | ♦ PAPT (Program of Water for All) Contracts or assignments for the PAPT of specialists in the program PMU/RMU. ♦ Signed contracts for the consultants or institutions for the development of activities or paths of intervention. ♦ Results of the pilot project that include a non-conventional sanitation solution. ♦ Report of the Results of capacitating of Personnel of the PMU/RMU for the Program. ♦ Report of results of Water and Sanitation Information System ("SIAS"). ♦ Report of social, cultural, and anthropological support. ♦ PMU Report of Program follow-up and evaluation. | ♦ Commitments by the sector institutions to participate according to sectorial guidelines. ♦ Sectorial and Regional Policy for the intervention in W&S in rural Amazon areas. |

CHAPTER II: INSTITUTIONAL FRAMEWORK

2.1 GENERAL SCOPE

This chapter describes the organization of each one of the entities participating in the implementation of the Program; describes the organization of the Ministry of Housing, Construction and Sanitation, specially the Vice Ministry of Construction and Sanitation Organization (VMCS).

The loan contract between JICA and the Peruvian Government is the main reference document for the Program and it works as a framework for the development of this Operations Manual. In case of any disagreement or doubt regarding the procedure, the first document to be consulted shall be the Loan Agreement and, in second place, the present Manual.

The Program shall be implemented by the “Water for All Program” (PAPT- *Programa Agua Para Todos*) which is currently under a restructuration process pursuant to Ministerial Resolution N° 087-2009-VIVIENDA, which approves the PAPT Operations Manual. This document has been used as the basis for the preparation of the institutional arrangements mentioned in the chapter hereby.

As established in the organization of the Ministry of Housing, Construction and Sanitation, the Water for All Program (PAPT) is an Executing Agency and therefore, it has authority, capacity and it is sufficiently organized to implement the Program. Regarding the aspects of administrative and financial support, the PAPT has an Administration Unit, and it will also be assisted by the General Office of Budgeting and Planning (OGPP), the National Sanitation Department (DNS) and other Ministry entities that will assist and support the Program so it may fulfill its objectives.

In this chapter, the duties of the Program Management Unit are detailed as well as those of the corresponding professional that integrates it.

2.2 GENERAL OUTLINE FOR PROGRAM IMPLEMENTATION

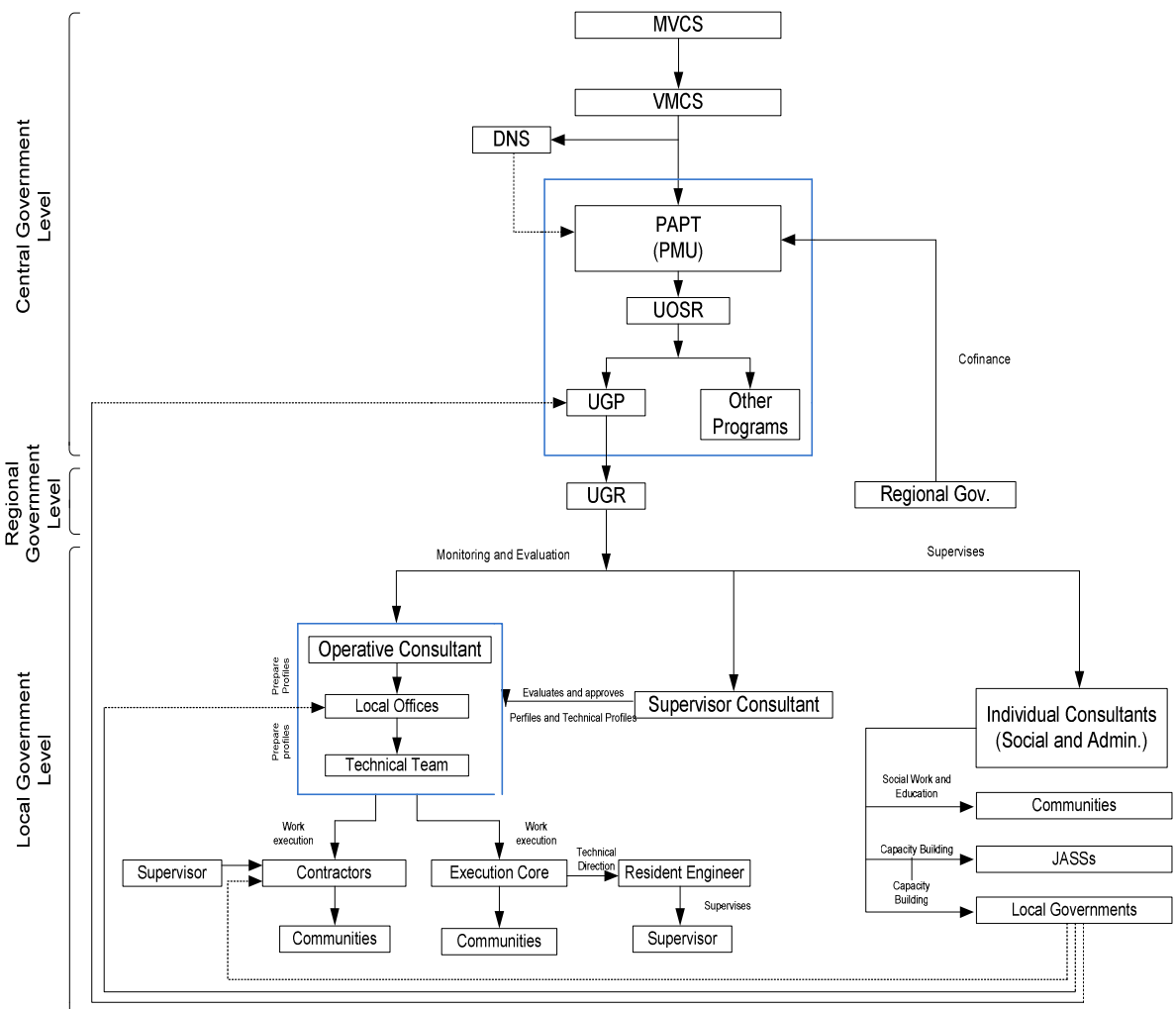
This section describes the functions and organic structure of the Ministry of Housing, Construction and Sanitation and the Vice Ministry of Construction and Sanitation (VMCS), as well as the one of the Program Management Unit; likewise, it presents the general

institutional outline for the Program implementation, details the PMU's internal organization describing its objectives, faculties and responsibilities.

The dependence relation between VMCS, DNS, PAPT, UOSR, PMU and other entities of the Program are showed in **Diagram 2.1**. In the following items the entities involved in each level are defined, as well as their functions, responsibilities, faculties and entity structure.

Diagram 2.1

GENERAL SCHEME FOR PROGRAM EXECUTION



National Level:

a. Ministry of Housing, Construction and Sanitation (MVCS)

The Ministry of Housing, Construction, and Sanitation plans, formulates, conducts, coordinates and evaluates the policies and strategies in matters of housing, urbanism,

construction and basic sanitation, in harmony with the general Government policy and the country's development plans.

Functions:

- ✓ Design, regulate and implement national policies regarding housing, urban planning, construction and sanitation. Likewise, practice shared jurisdiction with regional and local governments with regard to urban planning, urban development and sanitation, in accordance with the related laws.
- ✓ Formulate, lead, coordinate, execute, supervise and evaluate the policy for the promotion of the sectors involved.
- ✓ Formulate national sectorial development plans.
- ✓ Control and supervise the fulfillment of the regulatory framework related to its jurisdiction.
- ✓ Provide and acknowledge rights through authorizations, permits, licenses and concessions.
- ✓ Guide, within its competence, the performance of the Decentralized Public Entities, Sectorial and Multi-sectorial Committees and Special Projects.
- ✓ The Ministry shall be able to carry out executive functions in any place of the country, by means of decentralized departments, on the subjects expressly reserved by the Organization and Functions Regulation.
- ✓ Implement housing, construction and sanitation policies and regulations in the urban and rural area.
- ✓ Plan the expansion and development of the subsectors within its competence.
- ✓ Promote, guide, disseminate and regulate scientific and technological training and research within its scope.
- ✓ Develop the actions required to promote active participation and cooperation of the private sector in the activities of the sector.
- ✓ Lead the Superior Board of Biddings and Public Works.
- ✓ Others assigned by law.

Organic Structure

The basic organic structure of the Ministry is the following:

- (i) Top Management, composed by the Ministerial Chamber, Housing and Urban Planning Vice ministerial Chamber, Construction and Sanitation Vice ministerial Chamber and General Secretariat.
- (ii) Control Entity (General Department of Internal Audit).

- (iii) Sectorial Programs composed by:
 - a. Support Program to the Housing Sector- PASH (*Programa de Apoyo al Sector Habitacional*).
 - b. Integral Program of Neighborhood and Towns Improvement (*Programa Integral de Mejoramiento de Barrios y Pueblos*).
 - c. Program of Territorial Management- PGT (*Programa de Gestión Territorial*).
 - d. Water for All Program- PAPT (*Programa Agua Para Todos*).
- (iv) Sectorial Entities, consisting of:
 - a. National Training Service for the Construction Industry- SENCICO (*Servicio Nacional de Capacitación para la Industria de Construcción*).
 - b. Mi Vivienda Fund.
 - c. INVERSAN Fund.
 - d. National Goods Superintendence-SBN (*Superintendencia de Bienes Nacionales*).
 - e. Bank of Materials – BANMAT
 - f. Organism for the formalization of Informal Property – COFOPRI.
 - g. SEDAPAL

b. Vice ministry of Construction and Sanitation (VMCS)

The Vice Ministry's role is to propose, implement and supervise the application of the sector's policies in coordination with the Minister, and to direct the activities of the organizations of the Ministry, of the sectorial and multi-sectorial committees, and the projects within. It is also a competence of the Vice Ministry to formulate and adopt general policies in matters of infrastructure and sanitation, in accordance with the directives established by the Minister.

Functions related to sanitation:

- ✓ Formulate, coordinate, implement, supervise and evaluate the sub sector's policies on the subject of infrastructure construction and sanitation;
- ✓ Design policies and regulations referred to infrastructure construction and sanitation within its area of competence;
- ✓ Coordinate, guide and supervise the fulfillment of policies on the subject of infrastructure construction and sanitation, performed by the respective entities of the sector under its area of competence;
- ✓ Promote and develop environmentally balanced infrastructure construction and sanitation programs, projects and studies, that benefits the population; jointly with local governments;

- ✓ Encourage private initiatives and investments for the development of supply of urban and rural infrastructure construction and sanitation services;
- ✓ Present the Annual Investment Plans of the Sector's Entities, Programs and projects within its area of competence, regarding Infrastructure Construction and Sanitation; to the Minister for its approval;
- ✓ Carry out the actions foreseen bylaw for the rendering of national or international technical cooperation for the development of Infrastructure Construction and Sanitation projects within its scope,
- ✓ Settle technical and financial requirements needed for the development of projects within its scope;
- ✓ Provide specialized technical assistance for the development of investment projects in economic and social infrastructure of Regional Governments, when required by them.
- ✓ Others assigned or required by the Minister.

Organic Structure

The Vice ministry consists of the following Entities:

- (i) Construction and Sanitation Vice-Ministerial Chamber under the Vice Minister
- (ii) Managerial Hierarchy:
 - a. National Construction Department
 - b. National Sanitation Department;
- (iii) Coordination and Specialized Advisory Entity.
 - a. Environmental Department.
- (iv) Programs of the Sector:
 - a. Water for All Program– PAPT.

The Vice Ministry of Construction and Sanitation, by means of the Water for All Program (PAPT) will be the authority in charge of overseeing the implementation of the Water Supply and Sanitation Improvement Program for the Rural Amazon region based on the regulatory and feasibility documents of the Program, such as the Loan Agreement and Feasibility Study respectively.

According to the MVCS' regulations, The Program Management Unit (PMU), is directly under the Executive Management of the Water for All Program; nevertheless the National Sanitation Department (DNS), Line organization of the VMCS is the one in charge of dictating the policy guideline for the Program, formulating strategic sectorial plans; as well

as of formulating and approving the regulations regarding water and sanitation services in rural areas, small towns and urban areas.

As described hereby, the Implementation of Program Components 1, 2 and 3 will be carried out by the PAPT through the PMU. **Diagram 2.2** shows the PMU's Organizational Outline within the Ministry.

c. National Sanitation Department (DNS)

It is a line organization in charge of proposing the policies, plans, programs and regulations regarding basic sanitation services. This department is under the responsibility of a National Director, who has the following functions:

- ✓ Design, formulate and propose policies for the development and sustainability of sanitation services;
- ✓ Formulate and evaluate the Sanitation Services Strategic Plan and the Operational Plan, to finally propose them to the Construction and Sanitation Vice minister;
- ✓ Issue regulations regarding sanitation services;
- ✓ Propose the institutional framework for the development and sustainability of sanitation services at the national level, considering environmental preservation;
- ✓ Promote technical assistance, training, scientific and technical research and sanitary education;
- ✓ Encourage private investment in the rendering of sanitation services, specially, assuring a proper supply for the most poorest sectors;
- ✓ Promote the development of sanitation and other service rendering enterprises, encouraging an efficient management and economical-financial feasibility;
- ✓ Encourage the participation of community organizations and small management units in the implementation, operation, maintenance, organization and modernization of sanitation services, in the rural area and in small towns;
- ✓ Prioritize public investment projects of sanitation and resource allocation for such projects, promoting the use of proper technologies;
- ✓ Develop an information system regarding sanitation services and the conditions of their rendering, nationally, in coordination with public and private institutions and organisms related to their rendering;
- ✓ Coordinate with the other entities of the sector, as well as with the local governments and public and private entities, the implementation of the national sanitation policy, as well as of the required actions for the best development of its responsibilities;
- ✓ Other functions assigned by the Construction and Sanitation Vice minister.

Functions of the National Sanitation Department regarding the Water Supply and Sanitation Improvement Program for the Rural Amazon Area:

In accordance with the Ministerial Resolution No. 103-2009-VIVIENDA the DNS was reorganized, by creating three departments under it, one of them is the Plan and Programs Department which is in charge of proposing the prioritized lists of the projects and investments programs formulated to the National Sanitation Department. Based on this concept, the DNS, being the governing entity, will be in charge of supervising the project eligibility and prioritization methodology which must comply with the Ministerial Resolution N°693-2008-VIVIENDA that approves the Eligibility and Prioritization Criteria for Resources Allocation in the Sanitation Sector.

d. Water for All Program (PAPT)

Pursuant to Ministerial Resolution N° 087-2009-VIVIENDA, PAPT is a Program of the Housing, Construction and Sanitation Ministry appointed to the Construction and Sanitation Vice ministry, which carries out the investment actions for the implementation of sanitation policies, nationally.

The PAPT general objective is to contribute to the access of the population to sustainable and quality sanitation services, by means of coordinating the actions for formulating, implementing and/or financing the public investment programs and projects of sanitation.

The PAPT specific objectives are:

- a) Implement programs and projects for the expansion, rehabilitation and improvement of sanitation and water supply systems, nationally.
- b) Contribute to the sustainability of sanitation and water supply services through the programs and projects implemented by it.
- c) Develop coordinating, monitoring and evaluation actions of the programs and investment projects under its domain.
- d) Strengthen the potential of implementing entities concerning to the formulation and implementation of its projects.

The PAPT consists of the following units:

- (i) Directive Entity:
Executive Directorate
- (ii) Assessment Entities:
 - a. Legal Affairs Unit

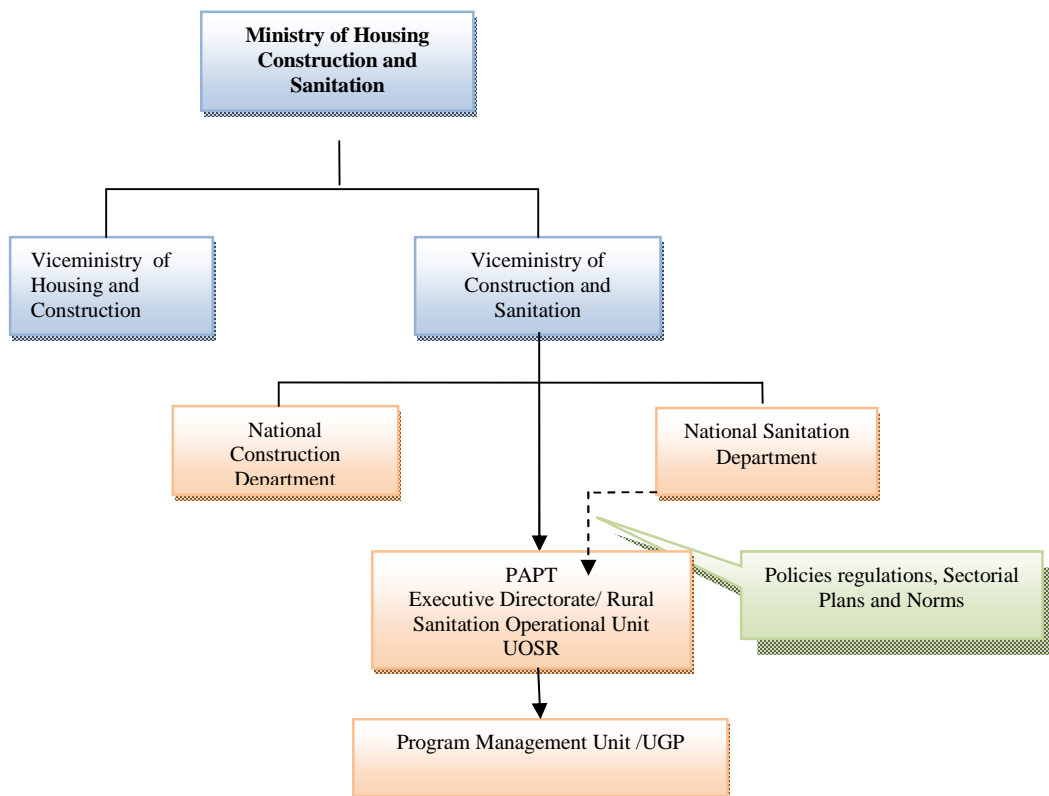
- b. Planning, Budget and IT Unit.
- (iii) Support Entity:
 - Management Unit
- (iv) Line Organizations:
 - a. Urban Sanitation Operational Unit
 - b. Investment Shock Unit
 - c. Rural Sanitation Operational Unit

Specific functions of the PAPT regarding the Water Supply and Sanitation Improvement Program for the Rural Amazon Area:

The concept and strategy underlying the regulation that approves the PAPT Operations Manual, is the creation of two units of project implementation to strengthen and institutionalize sectorial strategies presented in the National Sanitation Plan.

The Program Management Unit (PMU) is depending under of the Rural Sanitation Operational Unit.

Diagram 2.2
RELATION SHIP BETWEEN THE PROGRAM MANAGEMENT UNIT AND THE LINE ORGANIZATIONS OF THE VICEMINISTRY OF CONSTRUCTION AND SANITATION



e. Organizational Structure of the Program

Program Management Unit (PMU) will be in charge of the execution and implementation of the Water Supply and Sanitation Improvement Program for the Rural Amazon Area.

The nature, objective, organization and functions of the Program Management Unit entities are detailed hereinafter:

e.1 Program Management Unit (PMU)

The PMU is directly under of the UOSR the pAPT. The PMU will lead the implementation of the Potable Water Supply and Sanitation Improvement Program for the Rural Amazon Area, and it will be under the responsibility of a General Coordinator, who will act as a representative with all the prerogatives and support of the sector, to take the responsibility for the issuing of all documents, actions and coordinations with JICA, MEF and other institutions involved in the Program; he will also have the sufficient authority to make decisions related to the Program implementation.

For the financing of Water Supply and Sanitation Improvement Program for the Rural Amazon Area the resources of the Financial Cooperation by Japan International Cooperation Agency – JICA are expected to be agreed with the Peruvian Government. This resources would be used mainly for the construction of new systems, or the rehabilitation and/or improvement of the existing water supply and sanitation services in the 1500 localities included in the Program, and will include all the necessary actions for the implementation of Program's components 1 and 2; namely, the pre-cycle phase, preinvestment studies, detailed designs and the works' implementation. Likewise, the strengthening actions for the community and municipality organizations will be carried out in a comprehensive and parallel way, as well as the information actions, the training in management, operation, and maintenance and the activities of education in health and hygiene.

Nature

The Program Management Unit is the entity responsible for the management, implementation, administration, operation, evaluation, and monitoring of the Program. A Coordinator that will be assigned by the VMCS, as the representative before JICA will be in charge of this Unit.

General Functions:

- ✓ Manage the direct execution of all the Program's components

- ✓ Fulfill and enforce the fulfillment of principles, strategies and procedures established in the present Manual
- ✓ Report the progress of the Program development to JICA, MEF, VMCS and DNS
- ✓ Evaluate and monitor the implementation Program's components

Specific Functions:

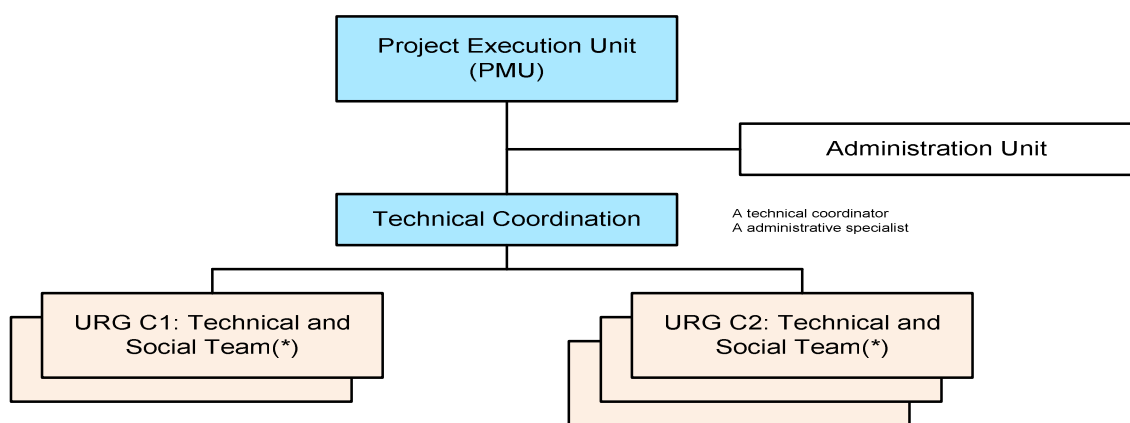
- ✓ Plan, organize, lead, control, implement, carry out and evaluate the Program activities.
- ✓ Lead and manage, with support from the Management Unit of PAPT, the human, financial and material resources allocated to the Project, using annual plans, budgets and periodic reports required by JICA and the respective institutions within the central government.
- ✓ Formulate regulatory documents in regard to the Program.
- ✓ Develop the Program Annual Operational Plan, with the support of the Planning, Budget and Computing Units of PAPT.
- ✓ Lead the processes of goods and services procurement, and consultancy and works contracting.
- ✓ Declare the projects' viability, based on pre investment studies at the *perfil* level.
- ✓ Approve the technical files before the announcement for the execution of works.
- ✓ Sign the agreements required for the Program implementation.
- ✓ Conduct the financial monitoring of the Program's finances, with the advising of the Planning, Budget and IT Unit of the PAPT.
- ✓ Supervise, monitor and evaluate the physical and financial implementation of the Program in all its components.
- ✓ Prepare the Expenses Statements Reports and other required by JICA, MEF and VMCS in order to justify the Program implementation expenses.
- ✓ Review and approve the development of works and consultancy services, as well as all the receipts, to ensure that they belong to an eligible expense category.
- ✓ Approve and present the information regarding the budget implementation and Financial Statements of the Program required by JICA.
- ✓ Manage the contracting of annual external audits, through the General Comptroller of the Republic and the PMU itself. These audits shall include both, the financial management and the implementation of works and procurement.

Organizational Structure

The Program Management Unit (PMU) is under the leadership of a General Coordinator and consists of the following areas:

- (i) General Coordination, personnel in General Coordination includes: the General Coordinator, a management assistant, an evaluation and monitoring specialist and a sector-institutional strengthening specialist.
- (ii) Technical Coordination, Consisting of a Technical Coordinator, a Management Assistant, including decentralized Regional Management Units.
- (iii) Regional Management Unit, Must have in charge a professionals in engineering and social issues, who will responsible for the regional and local management of the project, as well as from the monitoring activities to verify the accomplishment of services provided by the Operative Consultant, Supervisor Consultant and Individual Consultants; and supervision of the participation of Regional Governments, Local Municipalities, Execution Cores, JASS and the community.

Diagram 2.3
PMU ORGANIZATION



(*) Technical and social team for monitoring contracts

General Coordination

The General Coordination shall be responsible for the administrative aspects of the Program and shall have the obligation to plan, direct, and supervise the execution of all Program components.

The General Coordinator shall be appointed by the Minister of Housing, Construction and Sanitation and this decision shall be approved by JICA. who will act as a representative with all the prerogatives and support of the sector, to take the responsibility for the issuing of all documents, actions and coordinations with JICA, MEF and other institutions

involved in the Program; he will also have the sufficient authority to make decisions related to the Program implementation.

The General Coordination consists of a General Coordinator, a Management Assistant, a procurement specialist, an evaluation and monitoring specialist and a sector-strengthening specialist.

Functions:

- ✓ Have control and general responsibility of the Program implementation;
- ✓ Assure an efficient management of the Project Management Unit; coordinate with the Ministry of Economy and Finances (MEF), JICA and the other institutions related with the Program's implementation.
- ✓ Coordinate with the Ministry of Economics and Finance (MEF), JICA and other institutions involved with Project execution.
- ✓ Solve the issues for the execution of the Program as the final decision making.
- ✓ Coordinate with the rest of the PAPT and MVCS entities.
- ✓ Fulfill the conditions and commitments of the Loan Agreement.
- ✓ Represent the Program officially with the public and private entities, as well as with the financial agencies and bilateral organisms.
- ✓ Delegate and to attend to the opportunities involving the diffusion of the Program.
- ✓ Grant the viability of the pre investment studies and approve the detailed designs of the projects.

Technical Coordination

The Technical Coordination is the area in charge of the implementation, supervision and monitoring of the Components 1 and 2 of the Program, through the Regional Execution Units.

It shall be responsible for planning the processes of selection, contracting and management of the contracts of the Operating Consultant, the Supervising Consultant, Individual Consultants and the Contractor of Works.

The technical area shall be under the responsibility of a Technical Coordinator, who will take the responsibility for the representation and functions of the General Coordinator in case the latter is absent; the technical coordination consists of: a Management Assistant and the Regional Execution Units composed by Engineering Specialists and Social Specialists.

The Technical Coordination will be in charge of a Technical Coordinator, who will assume the functions and representation of the General Coordinator, in his absence. Technical Coordination is composed also by: an Administrative Assistant and the Regional Execution Units composed by Social and Engineering Specialists.

Technical Coordinator:

Functions:

- ✓ Review, evaluate and approve the studies, consultancy reports, approval of services, and approval of the procurement of material, equipment and all the required supplies for the Program implementation of the Components 1 and 2..
- ✓ Coordinate, evaluate and monitor the implementation of Components 1 and 2.
- ✓ Monitor the implementation of the projects carried out by the Operating Consultants, Supervising Consultants and individual Consultants
- ✓ Prepare technical documents (engineering, social and management) for the selection of Short Lists, Proposal Orders for the contracting of the Operating Consultants Supervising Consultants, Contractors and other consultancies.
- ✓ Approve pre-investments studies (*Perfil*) and detailed designs Files, for the issuing of the Viability Declaration by the General Coordination.
- ✓ Propose the professional staff that will be part of the Special Evaluation Committees which will be responsible for the selection of the Operating Consultant, Supervising Consultant and Contractors, with the advice of the Procurement Specialist. These committees will be in charge of: preparation of Short Lists creation, technical, financial and combined evaluation of proposals, and contract awarding.
- ✓ Manage and monitor the contracts of the Operating Consultant, Supervising Consultant, Contractors, and individual consultants through the Regional Execution Units.
- ✓ Propose to the respective Unit the Operational Plan and Annual Budget for Components 1 and 2.
- ✓ Propose to the respective Unit the Procurement Plan of Components 1 and 2.
- ✓ Propose adjustments to the Program's Operations Manual so that the intervention strategies are improved and its application is viable.
- ✓ Issue the document of approval of the products developed Operating Consultant, Supervising Consultant and Contractors, after the corresponding technical approbation.
- ✓ Prepare implementation reports and other information required by the General Coordinator and other instances of PAPT.
- ✓ Prepare and issue the physical progress reports and information required by the Administrative Unit of the PAPT and by the General Coordinator.
- ✓ Other information required by the General Coordination Unit.

Regional Execution Unit

Regional decentralized offices from the UGP will be composed by Social and Engineer Specialists, who will be in charge of the supervision and evaluation of the implementation activities of the Components 1 and 2 of the Program. Implementation activities of the components 1 and 2 will be in charge of the Operation Consultant, Supervisor Consultant, Individual Consultants, Work Contractors and Work Supervisors.

Functions

- ✓ Coordinate, evaluate and follow-up the projects' implementation of the Components 1 and 2 at regional and local level, in charge of the Operative Consultants and Supervisor Consultants.
- ✓ Administrate and monitor the contracts of the Operative Consultant, Supervisor Consultant, Work Contractors and Individual Consultants.
- ✓ Participate with the technical staff in the preparation of the technical documentation (engineering, social and administrative stuff) for the selection of Short Lists, Proposals for the notifications for the recruitment by open competition of the Operative Consultant, Supervisor Consultant, Individual Consultants, Work Contractors and other consultants.
- ✓ Approve the prefactibility studies and technical profiles for the viability declaration of the General Coordination Unit.
- ✓ Prepare the technical documentation (engineering, social and administrative stuff) required by the Operative Consultant, Supervisor Consultant and Work Contractors to accomplish the functions established at their contracts.
- ✓ Approve the reports prepared by the Operative Consultant, Supervisor Consultant and Work Contractors, the Technical Coordination of the PMU, for the corresponding technical approval.
- ✓ Prepare the physical progress reports and required information for the Technical Coordination of the PMU and the General Coordinator.
- ✓ Other functions assigned by the Technical Coordinator.

Administrative support of the Administrative Unit of the PAPT

The Administrative Unit is responsible for the administration of the financial, material and human resources of the PAPT and the Water Supply and Sanitation Improvement Program for the Rural Amazon Area. A chief is in charge of this Unit and it depends organizationally and functionally of the Executive Board of the PAPT. By merit of the Loan Agreement between JICA and the Peruvian Government which formalizes the execution of the Program, this unit must compliment this Manual, even over national regulations, if necessary.

The Administrative Unit has the following functions in the Program:

- a. Conduct, implement and apply the regulations of the administrative systems, when as long as they do not contradict the procedures of the present Manual.
- b. Manage, supervise and control the use of human, material and economic resources of the Program.
- c. Implement the financial resources allocated to the Program.
- d. Formulate and present, in due course, the financial and economic statements at the end of every fiscal year and when requested by JICA and other co-financing bodies.
- e. Effectuate the required financial and accounting transfers of the Program's projects, upon verification of the fulfillment of the established procedures.

- f. Regulate the custody and verification of Bond Letters granted in favor of the Program.
- g. Consolidate, formulate, execute, evaluate, control and modify the Annual Procurement Plan with appropriate actions coordinated with PMU, OGPP and the Administrative Unit of the PAPT.
- h. Conduct the selection processes in accordance with the Annual Procurement Plan, except for the processes that correspond to Selection Process Specialized Teams of the Project Management Unit of the Program (PMU).
- i. Formulate the Program's Accounts Plan.
- j. Administrate and regulate the assets and stocks, keeping inventories updated.
- k. Administer bank accounts of the Program for the management of External Debt resources, financial resources of Public Treasure, donations and transfers constituting the Program's Working Capital Office.
- l. Others assigned by the Loan Agreement and the present manual.

To accomplish its functions in the Program, the Administrative Unit of the PAPT is in charge of the Accounting, Treasury, Supplying, Human Resources and Administration of Documents areas; chief of each area will depend on the Chief of the Administrative Unit.

Regional Level

Regional Governments

The Regional Governments participate in the Program establishing the projects prioritization by the respective Regional Sanitation Plans formulated under methodologies approved by the MVCS. Participate cofinancing the projects, in support of the local governments.

Projects to be financed by Regional Governments must qualify according to the procedures of project eligibility and prioritization included in the present Manual.

Local Level

a. District Municipalities

Their general function is to participate in the planning and execution process of the Program within their jurisdiction. They will be able participate by to co- financing the projects in localities under their jurisdiction.

Among its functions:

- ✓ Sign a Framework Agreement with the Vice Ministry of Construction and Sanitation.
- ✓ Organize the Local Technical Units and the JASS, including their registry, in coordination with the Operative Consultant.

- ✓ Sign a specific Agreement of co- financing of the works, with the VMCS, and the JASS.
- ✓ Allocate resources to the water and sanitation projects.
- ✓ Follow up the implementation during the project's execution.
- ✓ Supervise the actions of local executors: Operating Consultant, Supervising Consultant and Contractors.
- ✓ Sign minutes of works liquidation.
- ✓ Participate in the training process to strengthen management.
- ✓ Register the water supply and sanitation services, counting the population benefited with water and sanitation.
- ✓ Follow up the implementation of the management of the JASS u other.
- ✓ Provide technical assistance to the JASS u other and promote its legal constitution.

The municipalities must create, within is Organizational Structure, a Technical Municipal Unit upon completion of the project. This unit shall be led by someone paid by the district. The Program, through the Operating Consultant, will train the municipality and will assign an expert in municipality strengthening during the period the OC stays in the district

b. Operating Consultant (OC)

The OC is a specialized firm which will be selected and contracted by the PAPT through a tender process specifically described in the present manual. The OC will sign an agreement with the PAPT to become responsible for the implementation of Components 1 and 2 of the Program in the area assigned by the corresponding service contract.

c. Supervising Consultant (SC)

The SC is a specialized firm which will be selected and contracted by the PAPT through a tender process specifically described in the present manual. The SC will sign an agreement with the PAPT to become responsible for the evaluation of *perfils* and detailed designs to be developed elaborated for the Program in the area assigned by the corresponding service contract

d. Work Contractors

The Work Contractors are firms specialized in construction of water supply and sanitation systems which are willing to implement the works of the Program with the participation of unskilled manpower as a contribution of the community. The PAPT will contract them and supervise them through the Operating Consultant.

e. Individual Consultants

Specialists in social and capacity building themes, who will participate along the project cycle and will be in charge of the institutional strengthening activities prepared for the community on sanitation and administration, as well as those prepared for the local governments. They will be selected and hired by PAPT.

f. Execution Cores

Execution Cores are representative units conformed by one hundred people (minimum) from the communities, rural and urban human settlements; and rural patrols, self-defense committees, local administration units and organizations licensed by the Armed Forces and Policemen, among others, who live in a rural or urban poor community. Within the framework of the Project, they will be responsible, as an alternative model, for the water and sewerage project's implementation.

g. Sanitation Services Administrative Boards– JASS u other

Community organization exclusively in charge of managing the water supply services in one or more rural locality.

Their general function is to administrate, operate and maintain water supply systems providing an adequate service in terms of quality, quantity and continuity.

Among its functions:

- ✓ Participate along with the community in all phases of the Program.
- ✓ Sign the Three- Party Participation Agreement in the Program.
- ✓ Coordinate and facilitate the actions so the communities may make their contributions of unskilled workforce.
- ✓ Propose and justify the family fees in the General Assembly of Users.
- ✓ Participate actively in the process of implementation of the project in its locality.

CHAPTER III: IMPLEMENTATION OF PROGRAM COMPONENTS 1 AND 2

COMPONENT 1: WATER SUPPLY AND SANITATION IN RURAL AREAS OF THE LOW FOREST

COMPONENT 2: WATER SUPPLY AND SANITATION IN RURAL AREAS OF THE HIGH AND FRONT FOREST

3.1 INTRODUCTION

This chapter describes the implementation of Component 1: Water Supply and Sanitation in Rural Areas of Low jungle and Component 2: Water Supply and Sanitation in Rural Areas of the High Forest and Front Forest, which are the main components of the Water Supply and Sanitation Improvement Program for the Rural Amazon Area. Firstly, we describe the general criteria for implementation, which include the principles and strategies to implement the program. Secondly, we present two models of implementation: (i) through Nuclear Executors and (ii) through Work Contractors. In both models, the pre-investment studies and detailed designs will be developed through the Operating Consultant (OC) and the Supervising Consultant (SC); their roles and responsibilities are also described. The social and capacity building activities will be in charge of the Individual Consultants.

In addition, the procedures for both models in the cycle of the project cycle are described. Furthermore, we describe the project types, their technical options and service levels. After that, we present the general criteria for eligibility and prioritization of districts. Finally, we describe the Project Cycle in detail, including the pre-cycle, pre-execution, execution and post-execution phases. The responsible staff; procedures, tools and results are defined and described for each phase of the cycle; as well as the results to be obtained in each phase.

3.2 STRATEGIES AND RESPONSIBILITIES OF THE IMPLEMENTATION MODEL

The program will be implemented by the PMU of the Water Supply and Sanitation Improvement Program for the Rural Amazon Area, and will depend on the Operative Unit of Rural Sanitation from the Water for All Program. Monitoring and supervision activities at the regional level will be carried out through the Regional Management Units (RMU).

The Program will be executed with the participation of consulting firms that will act as Operating Consultants, Supervision Consultants and Individual Consultants for Social

Intervention. Individual consultants will be hired to carry out the implementation scheme established under Execution Cores, as Resident Engineer and Work Supervisor.

The following matrix summarizes the participation of each actor under the model of work execution through Nuclear Executors:

| Work Items /Project Cycle | Pre-Cycle | Pre- Investment | | Investment | | | Post- Investment |
|-----------------------------------------------------------------------|-----------|------------------------|-----------------------|---------------------------------|-----------------------|-----------------------|-----------------------|
| | | Perfil | Soft- Component | Project-Files (Detalled Design) | Execution of Works | Soft- Component | Soft- Component |
| Pre-investment Study, Detailed Design | | Operating Consultant | | Operating Consultant | | | |
| Construction Works and Capacity Strengthening <i>NNEE Modality</i> | | | Individual Consulting | | NNEE | Individual Consulting | Individual Consulting |
| Supervision | | Supervising Consultant | | Supervising Consultant | Individual Consulting | UGR ^{1/} | UGR ^{1/} |
| Program Management | RMU | RMU | | RMU | RMU | RMU | RMU |
| Program Management | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT |
| 1/ Monitoreo y Seguimiento | | | | | | | |

The work execution model of Work Contractor is presented by the following matrix:

| Work Items /Project Cycle | Pre-Cycle | Pre- Investment | | Investment | | | Post- Investment |
|-----------------------------------------------------------------------------|-----------|------------------------|-----------------------|---------------------------------|--------------------|-----------------------|-----------------------|
| | | Perfil | Soft- Component | Project-Files (Detalled Design) | Execution of Works | Soft- Component | Soft- Component |
| Pre-investment Study, Detailed Design | | Operating Consultant | | Operating Consultant | | | |
| Construction Works and Capacity Strengthening <i>Contractor Modality</i> | | | Individual Consulting | | Contractor | Individual Consulting | Individual Consulting |
| Supervision | | Supervising Consultant | | Supervising Consultant | Consulting Firm | UGR ^{1/} | UGR ^{1/} |
| Program Management | RMU | RMU | | RMU | RMU | RMU | RMU |
| Program Management | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT | UGP/PAPT |
| 1/ Monitoreo y Seguimiento | | | | | | | |

The Sanitation Services Administrative Board (JASS u other), which represents the community, the District Municipality, as a local authority, the Regional Governments as counterparts and the MVCS as the governing body, through the PMU, are co-executors of the Program and have rights and duties to be met for the successful implementation of the Program. The contracts and agreements to be signed between these actors must specify those rights and duties clearly and in detail.

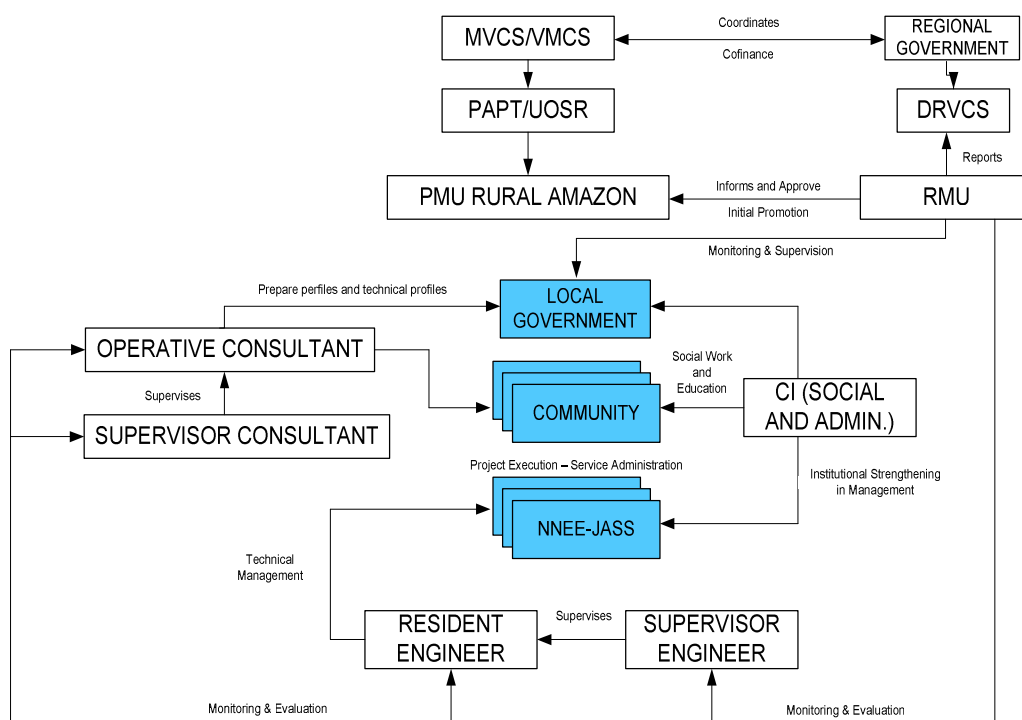
Before the execution of the work, the Operating Consultant must verify -and will be held responsible for this- that the project *perfil* is viable and that the detailed design has been approved PMU.

The social and training activities which are under, the responsibility of the Individual Consultants must fulfill the goals and commitments described in its Terms of Reference. The fulfillment of these social and training activities will be found satisfactory and approved, not by the development of the activity itself but by the impact generated in the community (measured by indicators). The social team of the PMU, in charge of contract administration, will oversee such activities. The Terms of Reference for social and training activities must include an exclusive annex where activities will be described with their corresponding control milestones.

The overall implementation strategy for the program, described in this Manual will be mandatory for all participants in the Program, however the implementation of the soft-component field strategy, techniques, instruments and tools will be done according to each Operating Consultant's proposal, to be developed based on their experience and knowledge on the subject and which were submitted and evaluated in their technical proposal, and are part of the respective contract.

The following is the outline of the actors involved in the implementation of Components 1 and 2 through the proposed implementation model:

Diagram 3.1
EXECUTION SCHEME
INVESTMENT SCHEME – EXECUTION CORE



```

graph TD
    MVCS[MVCS/VMCS] -- Coordinates --> RG[REGIONAL GOVERNMENT]
    RG -- Cofinance --> MVCS
    RG --> DRVCS[DRVCS]
    PAPT[PAPT/UOSR] --> PMU[PMU RURAL AMAZON]
    RMU[RMU] -- Informs and approves --> PMU
    RMU -- Initial promotion --> PMU
    RMU -- Reports --> DRVCS
    RMU -- Monitoring and Evaluation --> LG[LOCAL GOVERNMENT]
    LG -- Capacity Building --> CI[CI (SOCIAL AND ADMIN.)]
    CI -- Social Work and Education --> LG
    CI -- Capacity Building in Administration --> JASS[JASS]
    JASS --> LG
    JASS --> OC[OPERATIVE CONSULTANT]
    JASS --> SC[SUPERVISOR CONSULTANT]
    OC -- Prepare profiles and technical profiles --> LG
    SC -- Supervises --> OC
    OC -- Prepare reports --> SC
    SC -- Supervises --> C[CONTRACTOR]
    C -- Project Execution --> SF[SUPERVISOR FIRM]
    SF -- Monitoring and Evaluation --> C
    SF -- Monitoring and Evaluation --> JASS
    SF -- Monitoring and Evaluation --> OC
    SF -- Monitoring and Evaluation --> SC
  
```

The organizational chart for the PMU Rural Amazon project illustrates the following structure and interactions:

- MVCS/VMCS** and **REGIONAL GOVERNMENT** are at the top level, connected by a **Coordinates** relationship and a **Cofinance** relationship.
- REGIONAL GOVERNMENT** oversees **DRVCS**.
- PAPT/UOSR** oversees **PMU RURAL AMAZON**.
- RMU** (Regional Management Unit) interacts with **PMU RURAL AMAZON** through **Informs and approves** and **Initial promotion** relationships.
- RMU** reports to **DRVCS** and provides **Monitoring and Evaluation** to **LOCAL GOVERNMENT**.
- LOCAL GOVERNMENT** receives **Capacity Building** from **CI (SOCIAL AND ADMIN.)**.
- CI (SOCIAL AND ADMIN.)** provides **Social Work and Education** to **LOCAL GOVERNMENT** and **Capacity Building in Administration** to **JASS**.
- JASS** (Joint Administrative and Social Service) oversees **OPERATIVE CONSULTANT** and **SUPERVISOR CONSULTANT**.
- OPERATIVE CONSULTANT** prepares **profiles and technical profiles** for **LOCAL GOVERNMENT**.
- SUPERVISOR CONSULTANT** **Supervises** the **OPERATIVE CONSULTANT** and prepares reports.
- SUPERVISOR CONSULTANT** **Supervises** the **CONTRACTOR**.
- CONTRACTOR** is responsible for **Project Execution**.
- SUPERVISOR FIRM** oversees the **CONTRACTOR** and provides **Monitoring and Evaluation** to the **CONTRACTOR**, **JASS**, **OPERATIVE CONSULTANT**, and **SUPERVISOR CONSULTANT**.

The main functions of the actors involved in the implementation of the program are:

The Ministry of Housing, Construction, and Sanitation (MVCS) establishes the Sector's policies and strategies through the National Sanitation Departments (*DNS*)

PAPT is the Program's Execution Unit, through the Operational Unit on Rural Sanitation.

The PMU is the instance of the Rural Sanitation Operational Unit the PAPT, responsible for the implementation the Water and Sanitation Program in Rural Amazonia. This unit of the PAPT will be in charge of the conduction of the Water and Sanitation Program. The Rural Sanitation Operational Unit, which belongs to the organic structure of the PAPT, will act as the PMU of the Program. The main functions of the PMU are: (i) to execute and conduct the Program (implementation); (ii) to report to the DNS, PAPT, VMCS and JICA about the Program progress; (iii) to evaluate and monitor the execution of all the Program's components and to supervise the execution of the soft-component and the capacity-building activities.

The PMU will also be responsible for the implementation of the intervention scheme and, therefore, for assuring its viability, and should have enough autonomy to endorse the necessary agreements in representation of the MVCS and the PAPT, and the respective contracts for the Operating Consultant, Supervision Consultant, the Consulting Firm for the works supervision and the Individual Consultants for the social component, the Work Contractors, Execution Cores and Individual Consultants (Work supervision and Resident Engineers) required for the implementation of the program.

The PMU will monitor and evaluate the performance of the Operating Consultant, Supervision Consultant, and the Consulting Firm for works supervision and the performance of Contractors and Execution Cores in charge of works implementation. Even though the Technical Unit from the PMU will approve the technical profiles and the work execution and liquidation, the firms who will represent the stakeholders involved have civil and criminal responsibility if the technical profiles and works executed have faults. In such cases, the PMU must report and execute the penalties agreed in the contract.

The PMU will conduct the hired procedures for the Operating Consultant, Supervision Consultant, and the Consulting Firm hired for the works supervision, and for the Work Contractor.

The PMU will have decentralized offices in each of the regions selected by the Program to be benefited. These offices will be called Regional Management Units (RMU).

The Regional Management Unit will be responsible for the program administration at the regional level and will follow up the stakeholder's participation (Regional Governments, Local Governments, Execution Units, JASS, and Community) and involvement, required for the timely implementation of the project and contracts subscribed.

Within this framework, the RMU will supervise and monitor the program procedures and activities in the geographical areas selected, and will need qualified staff with the acceptable experience and qualifications for the Program.

✓ **Regional Governments**

The regional governments will participate in the Program by co-financing the projects, in order for the selected municipalities to fulfill their responsibilities established by the Program, in accordance with the policies of the Sanitation Sector. Likewise, the regional governments are expected to provide technical assistance to the municipalities including

AOM aspects, with the purpose of facilitating the fulfillment of their water and sanitation responsibilities.

✓ **Local Governments**

The local governments should plan, prioritize, co-finance (if affordable) and participate in the execution of the projects throughout the entire project cycle, specifically during the pre-execution, execution and post-execution stages, and should participate in the strengthening of its capacities so that it may always provide technical advice and supervise sanitation systems within its jurisdiction, assuming its role and responsibility for the services through a Council Agreements a part of their participation and co financing commitments with the Program, local municipalities must create the Local Technical Unit, and designate personnel to develop the monitoring and supervision of water and sanitation services in their geographical area.

✓ **Community**

The community participates in the project cycle through the training workshops included in the soft-component, and if possible making the commitment of co financing the works with unskilled labor.

Upon completion of the project, the community through the JASS will assume the administration, operation and maintenance of the water and sanitation services and should pay a contribution in cash that will be called "Family Fee", it will cover at least management, operation and maintenance' costs of the services.

Regarding its participation in the entire project cycle, community must: (i) be informed to promote their demand and to know and accept the technical and service level, so that there is a correlation between the proposed technology, their payment capacity and commitment for the management, operation and maintenance of the services (AOM), (ii) elect the member of the Sanitation Services Administrative Board (JASS), (iii) participate during implementation and if possible with the contribution of unskilled labor, (iv) attend training programs in health education and hygiene, during the post implementation phase, understanding that active participation of the beneficiaries is the best way to ensure the sustainability of the services.

✓ **Sanitation Services Administrative Board (JASS u other)**

Local organization which represents the community and is responsible for the management, operation and maintenance (MOM) of services in their area, for it will charge users a

family fee, or other extraordinary revenues that may result. The JASS participate during the intervention program with the population and in coordination with the local governments in the training processes for the management of sanitation and health education programs.

Contracted Actors:

The contracted actors which will participate in the pre-cycle and pre-investment phases, as well as in the implementation of the technical *perfil*, are:

✓ **Promoter**

This actor has the responsibility to promote the scope, policies and strategies of the program, working in coordination with the regional government, municipalities, health and education sectors, etc.

✓ **Operating Consultant**

Consulting firm contracted by the PMU.

The main activities to be carried out by the Operating Consultant are (i) to promote the execution of the program in each community, (ii) develop project *perfiles*, (iii) develop project Detailed Designs (which include technical and environmental aspects)

Since the responsibility for implementing the program, at the pre-investment and *perfil* phase, in a given geographical area will be entrusted (by contract) to an Operating Consultant, it is its responsibility to monitor the participation of all the Program's (municipality, JASS, Community) and to motivate such participation in a timely manner, in accordance with programming and agreements. Delays in implementation cannot be argued as non-participation of the municipality or community in specific activities of its work plan, unless justified cases.

✓ **Supervising Consultant**

The Supervising Consultant (SC) shall be a consulting firm to be selected and contracted by the PMU and responsible before such office for evaluating the *perfiles* and detailed designs made by the Operating Consultant. The Supervising Consultant shall verify the viability of technical, economic, environmental, and social aspects of the *perfiles* and project files proposed by the Operating Consultant.

✓ **Contractor (execution model through Work Contractor)**

Work Contractor will be responsible for the execution of works. Its contracting should be evaluated and proposed by the PMU, with the approval of the JICA. The technical management of the work will be conducted by contractors and they will be responsible for

carrying out the construction works. Technical supervision of works is under the responsibility of the firm selected for the supervision of works.

✓ **Supervisor (execution model through Work Contractor)**

A consulting firm contracted by the PMU, which will be in charge of the technical supervision and of the works' execution and liquidation before the facilities are delivered to the municipality and handed over to JASS for their management.

✓ **Nuclear Executor (execution model through Nuclear Executor)**

A Nuclear Executor is any institution or organism that represents and organizes community and receives funding for the execution of public investment projects (PIPs) or maintenance of infrastructure (MI). A Nuclear Executor is formed by not less than one hundred people who live in a determinate rural or urban locality in situation of poverty or extreme poverty.

For its participation, they will sign an agreement with the Ministry of Housing, Construction and Sanitation through the PAPT/Regional PMU.

The Nuclear Executor is represented by:

- 1) A president
- 2) A secretary
- 3) A treasurer
- 4) An observer

The Nuclear Executors, referred to by the *Decreto de Urgencia* N° 085-2009 will have a temporary nature and the legal capacity to conduct any necessary action, prior or during the execution of the works or the maintenance of the infrastructure.

The Nuclear Executors will be able to participate in administrative procedures and legal process (through their representatives), following the norms of the private sector.

✓ **Work Resident (execution model through Nuclear Executor)**

Individual consultant hired by the RMU in charge of the technical assistance to the Nuclear Executor and responsible for the technical quality of the work.

✓ **Supervisor (execution model through Nuclear Executor)**

Individual consultant hired by the RMU in charge of the technical supervision of the works' execution. He/she shall not oversee more than three projects of the Program.

✓ **Social Consultant**

a. Individual Consultants for Social Intervention

Activities related with social intervention in the pre-feasibility, investment and post-investment phases will be developed through individual consultants hired by the RMU. The activities to be developed include: (i) promotion and technical assistance activities for the JASS and social activities in the community during the technical profile preparation; (ii) preparation of the technical profile for the social intervention; and (iii) implementation of the social component through: implementation of the activities related to the implementation phase of the project's social aspects – institutional strengthening plans for the community, JASS and local governments, and execution of the post-implementation phase including reinforcement activities for capacity building, sanitary education and institutional strengthening for local governments.

3.3 PROJECT TYPES

a. Implementation of New Water Supply and Sanitation Projects

Construction includes of new water and sanitation systems. These projects will be implemented by the Ministry of Housing, Construction and Sanitation, through the PMU and include technical aspects (execution of works), social and environmental aspects involving the community and local governments.

b. Rehabilitation and Improvement of Existing Water and Sanitation Projects

The rehabilitation, expansion and improvement include of existing water and sanitation systems, implemented by the Ministry of Housing, Construction and Sanitation, through the PMU. The project implementation includes the technical aspects (execution of works), social and environmental aspects involving the community and local governments.

3.4 TECHNICAL OPTIONS

Technical options are those that have been tested and validated, compatible with the physical, geographical, topographical, social and economic characteristics of rural population, which enable optimal and low-cost supply of integral water and sanitation services.

Technical options have been established for water and sanitation services as indicated in Tables N° 3.1 and 3.1-A, respectively.

Conventional sewerage infrastructure will not be implemented in any case, unless system rehabilitation is needed in a locality where this type of system has been operating with an appropriate hydraulic drag. The PMU will approve a proposal by the Operating Consultant for each case to determine its inclusion or exclusion in the program.

3.5 LEVELS OF PROJECTS SERVICE

Appropriate levels of service to rural areas have been established according to the criteria of supply of available water and the required level of operation and maintenance during its useful life. Service levels considered are shown in Tables N° 3.1 and 3.1-A, respectively.

Table N° 3.1: TECHNICAL OPTIONS AND COVERAGE SERVICE LEVELS FOR WATER SUPPLY IN THE AMAZON AREA

| Location | Technology | | Source | System Components | Community dispersion (1) | Service Level | System's Main Characteristics |
|----------------------------------------------------------------------------------------------------------------------|-------------------------|------|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-----------------|------------------------------------------------------------------------------------------------------------|
| C1 Low Forest (< 400masl) | Conventional | PWOT | Underground water | Intake: Tubular well, dug well, Pumping, Reservoir, Disinfection, Distribution. | Concentrated | HC | |
| | | | | | Half disperse | HC | |
| | | PWT | Surface water | Intake: surface water through floating raft, collection boxes, pumping, Treatment: Flocculation and slow filtration or rapid filtration, Reservoir, Disinfection, Distribution. | Concentrated | HC | |
| | | | | | Half disperse | HC | |
| | Not Conventional | IS | MP | Well, Pump, Cover and Drainage, Distribution - Sanitary Unit (Optional, only OPS Flexi or similar) o storage and laundry a o storage, laundry and shower - Fetching | Half disperse | Familiar | Handicraft: Flexi OPS, mecate, bucket tube, etc. |
| | | | | | Disperse | Familiar | |
| | | | RS | Intake, storage, hand pump (optional), Treatment: home filtration, disinfection. | Half disperse | Familiar | |
| | | | | | Disperse | Familiar | |
| | | FD | Surface water | Intake: Fountain of slope, depth, filter gallery, Pressuring, Reservoir, Disinfection, Distribution. | Half disperse | Familiar | Table filter with candles, sand table filter, great filter, filter My Water, sand filter, etc. |
| | | | | | Disperse | Familiar | |
| | | MS | MP | Well, Pump, Cover and Drainage, Distribution - Health Unit (Optional, only OPS Flexi or similar) o storage and laundry a o storage, laundry and shower - - Hauling | Half disperse | Multifamily (2) | Handicraft: Flexi OPS, mecate, bucket tube, etc. |
| | | | | | Disperse | Multifamily (2) | |
| C2 High Forest (400-1000m) or Front Forest (1000-2300m) | Conventional | GWOT | Underground water | Intake: Fountain of slope, depth, filter gallery, Pumping, Reservoir, Disinfection, Distribution. | Concentrated | HC / PT(2) | Water flow by gravity from collection. Among all conventional systems, is the one which requires less O&M. |
| | | | | | Half disperse | HC / PT(2) | |
| | | | | | Disperse | PT (2) | |
| | | GWT | Surface water | Intake: surface water, transmission, treatment: Sedimentation, Filtration slow, Reservoir, Disinfection, and Distribution. | Concentrated | HC | Water flow by gravity from collection. Among all conventional systems, is the one which requires less O&M. |
| | | | | | Half disperse | HC | |
| | | PWOT | Underground water | Intake: Well tubular, dug well, Drive, Reservoir, Disinfection, Distribution. | Concentrated | HC | |
| | | | | | Half disperse | HC | |
| | | PWT | Surface water | Intake: surface water through floating raft, collection | Concentrated | HC | |

| Location | Technology | | | Source | System Components | Community dispersion (1) | Service Level | System's Main Characteristics |
|----------|------------------|----|---------------|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-----------------|------------------------------------------------------------------------------------------------|
| | | | | | boxes, Pumping, Treatment: Flocculation and slow filtration slow or rapid filtration, Reservoir, Disinfection, Distribution. | Half disperse | HC | |
| | Not Conventional | IS | MP | Underground water | Well, Pump, Cover and Drainage, Distribution - Health Unit (Optional, only OPS Flexi or similar) o storage and laundry a o storage, laundry and shower - - Fetching | Half disperse | Familiar | Handicraft: Flexi OPS, mecate, bucket tube, etc. |
| | | | | | | Disperse | Familiar | |
| | | | RS | Rainwater | Intake, storage, hand pump (optional), Treatment: home filtration, disinfection. | Half disperse | Familiar | |
| | | | | | | Disperse | Familiar | |
| | | HF | Surface water | | | Half disperse | Familiar | Table filter with candles, sand table filter, great filter, filter My Water, sand filter, etc. |
| | | | | | | Disperse | Familiar | |
| | | MS | MP | Underground water | Well, Pump, Cover and Drainage, Distribution - Health Unit (Optional, only OPS Flexi or similar) o storage and laundry a o storage, laundry and shower - - Fetching | Half disperse | Multifamily (2) | Handicraft: Flexi OPS, mecate, bucket tube, etc. |
| | | | | | | Disperse | Multifamily (2) | |

GWOT: Gravity system without treatment

GWT: Gravity system with treatment

PWOT: Pump system without treatment

PWT: Pump system with treatment

MP: Manual pump

RS: Roof system or rainwater collection

HF: Table or home filters

IS: Individual system

MS: Multifamily system

HC: Household connection.

PT: Public Tap

(1) Population dispersion considering average distances between plots

(2) A public pool or multifamily pump bring service to a recommended maximum number of 5 to 8 families, who are entitled to exclusive use and responsibility of its O&M.

Table N° 3.1-A: SEWERAGE TECHNICAL OPTIONS AND COVERAGE SERVICE LEVELS IN THE AMAZON AREA

| Location | Technology | | | | Components | Communities dispersion (1) | Service Level |
|--------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-----------------------------|----------------------------|------------------------------|--------------------------------------------------------------------------------------------------------------------------|----------------------------|---------------|
| C1 Low Jungle (< 400masl) | Flood areas | Individual solution | Latrines | Composter | Stand, toilets, urine collection chamber (optional) | Half disperse | Familiar |
| | | | | | | Disperse | Familiar |
| | | | | Continual compost | Stand, toilets, compost chamber | Half disperse | Familiar |
| | | | | | | Disperse | Familiar |
| C1 Low Jungle (< 400masl) C2 High Jungle (400-1000m) or Edge of the Jungle (1000-2300m) | Non-flood areas | Collective solutions | With hydraulic drag | Conventional Sewerage System | Networks: tubular well, dug well, Transmitter, treatment plant, final disposal. | Concentrated | HC |
| | | | | Condominium Sewerage System | Networks: tubular well, dug well, Transmitter, treatment plant, final disposal. | Concentrated | HC |
| | | Individual solution | Latrines | Air dry pit | Hole, Stand, slab (Chamber pot), ventilation tube | Half disperse | Familiar |
| | | | | | | Disperse | Familiar |
| | | | | Composter | Stand, toilets, Sludge Chamber, ladder, urine treatment. | Half disperse | Familiar |
| | | | | | | Disperse | Familiar |
| | | | | With hydraulic drag | Pit latrine with black drag: toilets, stand, Pipe: For sewerage disposal, Ventilation, hole or well. | Half disperse | Familiar |
| | | | | | Latrine with septic tank toilets, Stand, Pipe: For sewerage disposal, ventilation, septic tank, distribution box. | Disperse | Familiar |

HC: Home connection.

(1) Population dispersion considering average distances between plots

3.6 PROJECT IMPLEMENTATION CRITERIA

3.6.1. Prioritization of Regional Areas

The program will intervene in five political regions located in the Rural Amazon Area, and defined at the Feasibility Study. The Amazon area includes three natural regions: low forest, high forest and front forest.

The natural conditions of the Low Forest area are different from the other ones, in terms of difficult access to a lot of communities, its topographic plain conditions, with big flooded areas in rainy seasons and poor areas –signaled in the Poverty Map¹, in particular at Loreto region. 60% of the communities of the Program are located on Low Forest area.

At Low Forest area doesn't exist enough sectorial experience in water and sanitation projects' implementation; considering this, Low Forest is a prioritized area for the beginning of the Program.

The implementation strategy of the Program in the area must consider the following aspects:

- ✓ Implementation must consider phases. The Program won't be executed in the five political regions, simultaneously.
- ✓ Implementation will be executed in one or two administrative regions and at district level.
- ✓ Project must be prioritized according to the eligibility criteria, and must consider economic, financial and technical criteria.
- ✓ Must prioritize projects with road access, that consider conventional and technical solutions, with feasible administration, operation and maintenance activities, and that recognize a strong demand from stakeholders.
- ✓ Stakeholders must accept the requirements established by the Program.

3.6.2. Eligibility Criteria

This criterion is based on the National Directorate of Sanitation criteria, according to the characteristics of the Program.

Eligibility criteria are the requirements that must accomplish the local government to be financed by the Program. These requirements are related with the accomplishment of the sustainability objective of the project.

The prioritization criteria establish the order of the districts interested to participate from the Program.

¹ Mapa de Pobreza FONCODES 2006 e : Informe Técnico "La Pobreza en el Perú en el año 2007- INEI

In the pre-execution phase, information about the program must be spread by the RMU to the local governments and communities which will participate from the Program, according to the prioritization criteria established. In this phase, communities which accomplish the requirements from the Program and show interest in participate, must announce their decision to their local governments. Local governments, after receiving the requests, must develop the pre-selection of the communities that will be included in the Program.

Eligibility criteria for the communities' selection and prioritization in the pre-cycle phase included:

a) Selection of local governments. Municipalities must:

- (i) Express their interest to participate in the Program through the Municipal Council Agreement, which must consider community coordination and participation.
- (ii) Express their commitment for the participation in the project along the years of implementation, including allocation of human, economical and physical resources to the corresponding Technical Unit. Also, must assume the administration of the water and sanitation services implemented or improved.
- (iii) Since requirements don't consider local governments' financing, municipalities that consider financial resources will be prioritized.

b) Selection of communities. For this selection process, the criteria must consider:

- (i) Districts eligible are established in Low Forest, High Forest or Front Forest, and rural communities with a range of inhabitants from 200 to 2000, and located less than 2300 meters over the sea.
- (ii) The coverage deficit of water and sanitation services.
- (iii) The level of poverty of population, considering the percentage of poor population according to the FONCODES' Poverty Map and the Technical Report from INEI.
- (iv) Communities whose water services are not integrated to urban areas.
- (v) Communities not included on other investment programs financed with international cooperation, or with investment projects to be executed on the short term and financed by local or regional governments.
- (vi) Communities which will assume administration, operation and maintenance activities through JASS or other communal organization, in accordance with all the population.
- (vii) Rural communities not eligible are those where water and sanitation services are provided through a Sanitation and Water Service Enterprise. In the case of

rehabilitation projects, the system must have less than 7 years old functioning and must not receive finance from other sources.

- (viii) Since its design, the project considered the integral provision of water and sanitation services, as well as the activities oriented to sanitary education, capacity building of the JASS and local governments.
- (ix) The commitment of accepting institutional strengthening activities to improve the operation and social administration of the water and sanitation services, and the recovery of Family Fees for the services that cover at least the administration, operation and maintenance activities.

c) Preparation of project packages: for the implementation of execution contracts, the RMU must group the communities selected considering economies of scale parameters, like common road access, if they are located at the same district or province, the existence of microbasins as a common source.

- (i) Project type: This criterion considers the impact in terms of sector policy accomplishment and health improvement according to the following scheme:

Type 1 – First priority

Water service projects:

- Rehabilitation projects
- Implementation of W&S services in communities where service coverage is zero²

Sanitation Basic Unit Projects

Type 2 – Second priority

Water service projects:

- Improvement and expansion projects²

Type 3 – Third priority

- Sanitation projects not included in the first or second type

3.7 PROJECT CYCLE DESCRIPTION

Project cycle is divided in four stages: pre-cycle, pre-execution, execution and post-execution.

3.7.1 Pre-cycle

² It must include health education and training programs to JASS and local governments.

The National Sanitation Directorate from the MVCS and the Rural Operative Unit – UGP and the RMU from the PAPT will be responsible for the implementation of this phase, in accordance with the Regional and Local Governments.

Communities will be prioritized and selected considering eligibility criteria, in accordance with the principles of the sector, established in the National Sanitation Plan; as well as with the intervention strategies in rural communities, considered by the MVCS/DNS and the cooperative organisms.

The RMU will promote the program to the Regional and Local Governments, and to the communities. Communities will express their interest to the local governments, and they must express their interest to be part of the Program to the RMU-PMU. The RMU-PMU will prepare the list of communities and districts selected for the intervention.

Once RMU report the communities selected in each regional area, the PMU will start the bidding process to select and hire the Operative Consultant, the Supervisor Consultant for the technical profile supervision, and the Consulting Firm for the works supervision provided as part of the implementation of the program. The RMU must select and hire the individual consultants for the initial diagnosis, the works supervision, the resident engineer and other specialists for the implementation of the social component and administration of the water and sanitation services of the communities considered in the intervention.

3.7.2 Pre-Investment

At this stage, the Operating Consultant verifies and manages agreements with local governments; prepare the technical profiles from the projects in the selected communities, including the baseline and the Environmental Assessment Declaration (EAD). Community and local governments are informed and participate in decision-making processes for the selection of the technical option, installation type and commitment to AOM activities.

Individual consultants must have experience in social intervention, and must give technical assistance to the community for the creation and improvement of institutional strengthening activities for the communities and local governments on services' administration.

The technical supervisor will evaluate the profiles and prepare the technical reports of the projects approved by PAPT-MVCS. The community and local government must receive information about the project profile approval.

After feasibility declaration for the PAPT, project *perfils* are sent to the Supervising Consultant in order to be registered in the Bank of Projects. Then, a Co financing Agreement is signed between the regional government, the local government and the Ministry, to carry out the deposit of co financing funds from the regional government and the creation of the Municipal Technical Unit.

3.7.3 Investment

At this stage, the Operating Consultant develops the detailed design and capacity-building program for the community and local government, in accordance to the parameters established for the project approval. The technical profile of the project must be evaluated by the Supervising Consultant and approve by the PMU-PAPT.

Individual consultants must develop the design for the institutional strengthening activities to improve organization, planning, development, community administration, and administration, operation and maintenance of the water and sanitation services at local governments and community organizations, including issues of sanitary education for the population. The Social Supervisor hired by the RMU will approve the design for the implementation of the Social Component.

Before signing the Tripartite Agreement, the PMU must plan the execution scheme to be followed, and must hire the contractor or establish the Execution Core, as applicable.

After detailed design and budget approval, the Co financing Agreement Addenda is signed between the regional government, the local government and the Ministry.

Execution Model through Contractor of Works

The contractor is responsible for work execution. The supervision will be in charge of a consulting firm called Work Supervisor hired by the PMU.

Individual consultants (social intervention) must coordinate with the community and the contractor the optimization of the community participation as established for the Project.

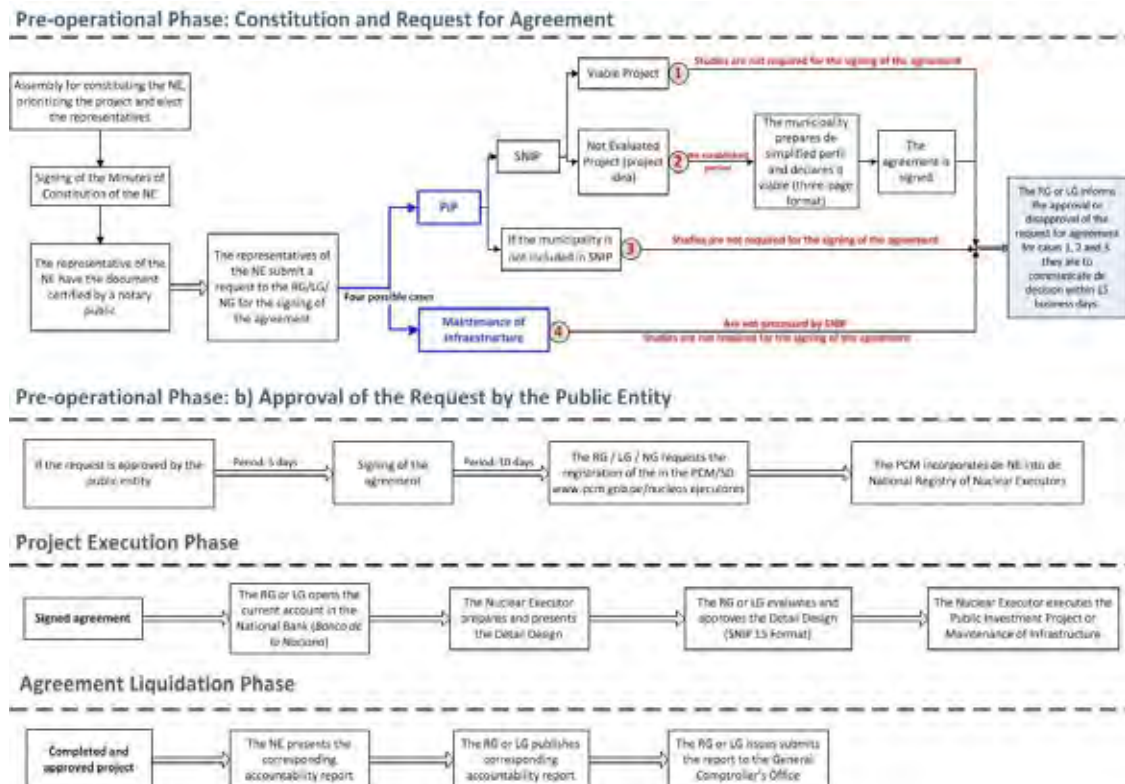
During the work implementation, capacity-building actions will be developed in the areas of Administration, Operation and Maintenance, hygiene education and institutional strengthening for local government, by the Social Consultant.

Finally, the contractor will carry out the liquidation of works, the Supervising Consultant will technically approve it, and the PMU, the local government and the community will receive the work.

Execution Model through Nuclear Executor

To form and Nuclear Executor, the following procedures will be followed (as established in the UO N° 085-2009-PCM):

Flowchart for the Nuclear Executor in accordance with the UO N° 085-2009-PCM



Source: PCM

Under this model, an individual consultant will be hired as Work Resident, and will provide technical assistance to the Nuclear Executor. He will be responsible for the quality of the work. In the same way, the PMU will hire an individual consultant to act as Work Supervisor, to be responsible for the technical supervision.

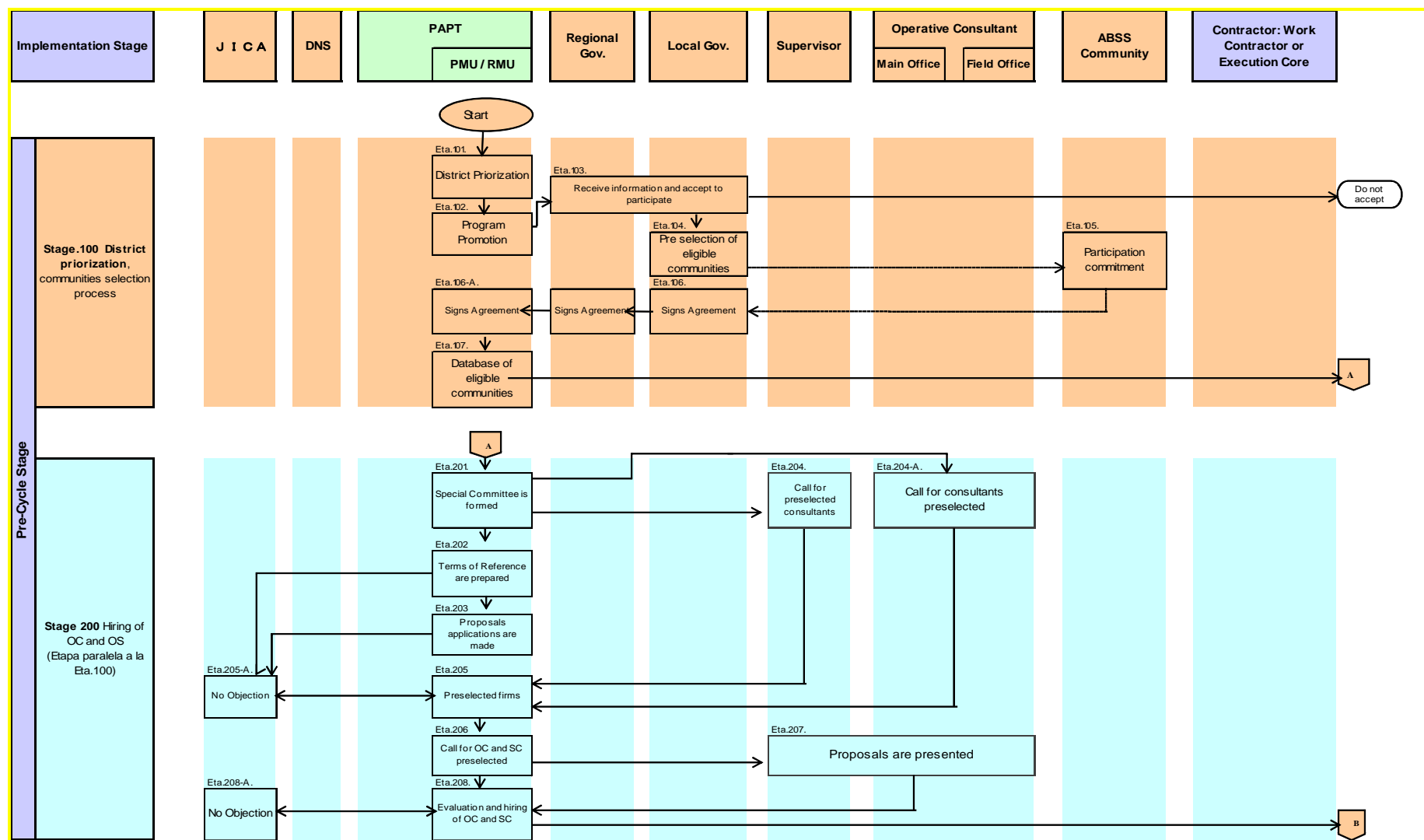
3.7.4 Post-investment

At this stage, the administration units from the local governments and individual consultants for social intervention and post-investment administration must monitor and reinforce institutional strengthening activities for the communities and social organizations. Also, they must evaluate and reinforce sanitary education actions for the population to ensure the adequate use of the services and to strengthen a “payment culture”, “water care

culture” and environmental responsibility. To supervise and monitor all the activities, the RMU must hire a Social Post-Investment Supervisor.

Finally, the PMU through the RMU liquidates the projects and the PMU approved them. Previously, PMU must prepare a “Work Liquidation Guide for the Program”.

Each stage of the implementation cycle for components 1 and 2 is described in the following section. A flowchart is presented for each stage.



PRE – CYCLE COMPONENTS 1 AND 2

Stage 100: Districts Prioritization and Communities Selection

| Stage / Responsible | Procedures | Instruments | Results |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| Stage 101: Districts prioritization Intervention areas will be selected according to its priority order of provincial and district attention. Responsible: PMU | Districts will be selected according to established of eligibility and priority criteria. | It will be considered the eligibility DNS' criteria: (i) Coverage of services, (ii) type of project, (iii) compensation distribution, and (iv) poverty level. | Selected communities. |
| Stage 102: Dissemination Program Stage 103: Information spreading and participation acceptance. Communities are informed about the scope, policies and strategies of the Program in order to generate interest in public institutions (GR, municipalities, health sector, education sector, etc.) and support to the district municipalities in the prioritization, financing and sustainability of projects Responsible: PMU, Regional and Local Governments, Health and Education Sector. | The PMU will develop regional workshops to disseminate and promote the Program, in order to adequately inform regional and local governments about the scope, policies and strategies of the program. The regional and local institutions attend workshops; are informed and agree to participate. | Dissemination material (brochures, posters, publications, audiovisual, etc.). Schedule of Regional Workshops Dissemination. | Regional public institutions are informed and agree to participate. Memory of workshops and dissemination events. |
| Stage 104: Local governments pre-selected eligible communities. Stage 105: Participation commitment. Communities express their interest to their respective local governments. Responsible: Local governments, Community/JASS. | District municipalities preselect communities according to priority and eligibility criteria given by the Sector. Rural communities, informed of benefits, eligibility criteria and commitments to be undertaken with the Program, express their interest in participating through their local governments. | Participatory schemes. | Selected communities to be included in the Program. List of communities committed with the Program. |
| Stage 106, Stage 106A: Framework Agreement Subscription. PMU, regional and local governments subscribe Framework Agreement to participate in the Program. Responsible: PMU, Regional and Local Government. | Local governments, according to Council Agreements, subscribe the Framework Agreement with the regional government and the PMU setting commitments to participate in the program. | Tripartite Framework Agreement | Tripartite Framework Agreement subscribed. |
| Stage 107: Database of eligible communities. Database of eligible communities included at Framework Agreements subscribed for Program Implementation. Responsible: PMU. | PMU establishes a database of eligible communities. | Framework and Council Agreements, communities 'expressions of interest. Tripartite Framework Agreement | Districts database. |

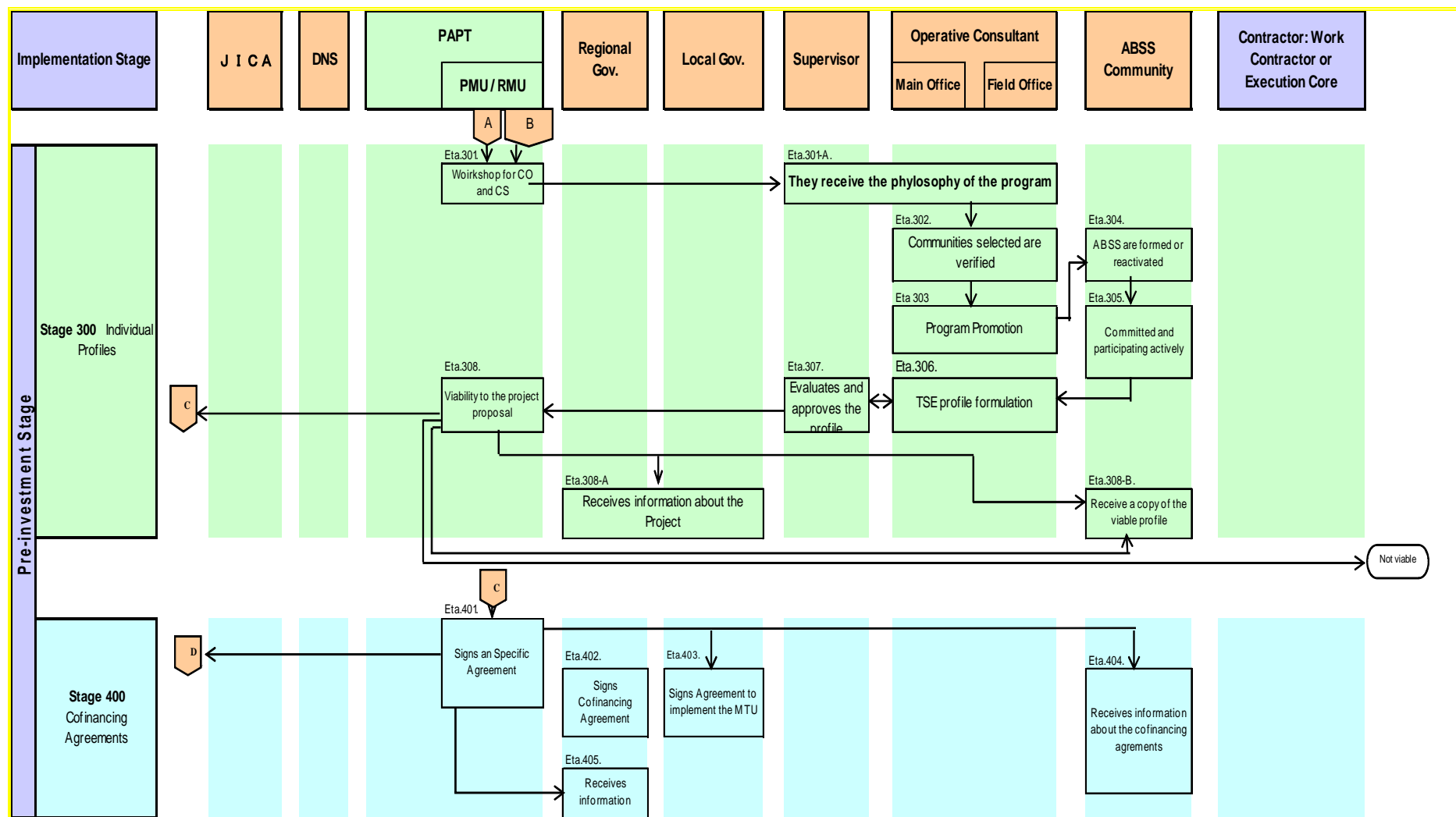
PRE – CYCLE COMPONENTS 1 AND 2

Stage 200: OC and SC Recruitment (Parallel to Stage 100): Procedure only for procurement of consulting firms whose contract amounts exceed \$ 100,000. For smaller amounts use national standards.

| Stage / Responsible | Procedures | Instruments | Results |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|
| Stage 201: Appointment of Special Committee. Special Committee is formed for the recruitment process of the OC and DS, as the OM and the rules of JICA, or national standards if necessary. Responsible: PAPT. PMU Coordinator. | PMU Coordinator suggests to Administrative Director of PAPT, the creation of the Special Committee, and the PMU designates 2 members, to develop the hiring process by the Administration Unit of PAPT. | Record of the appointment and implementation of Special Committee. | Special Committee appointed. |
| Stage 202: Preparing Terms of Reference. Responsible: PMU | PMU prepare terms of reference and propose JICA for No-objection. | <ul style="list-style-type: none"> • JICA Guidelines³. • Operational Manual. • Program Study. | Terms of Reference with No-objection from JICA. |
| Stage 203: Preparing Request for Proposals. The request for proposal will be prepared. Responsible: PMU. | Prepare the competition rules for procurement based on a shortlist. The Request for Proposal contains the following documents: (i) Invitation Letter to those selected on the shortlist (See Annex III, JICA Guidelines), (ii) information for consultants, (iii) a proposed contract format, (iv) terms of reference; (v) technical proposal format; (vi) financial proposal format; (vi) a list of countries which accomplish the requirements. | <ul style="list-style-type: none"> • JICA guidelines • National rules application • Standards for Selection and Employment of Consultants by Borrowers of JICA. • Registration database of OC and SD. | Request for Proposal. |
| Stage 204: Call for Expression of Interest (DS). Stage 204-A: Call for Expression of Interest (OC). Stage 205: Pre-selected firms Private Sector is called for the expression of interest to participate in selection processes as Operating Consultants or Design Supervisors for the Program implementation. Responsible: PMU. | PMU preselect consultants to be invited for proposals. Pre selection will be based on 3 or 5 consultants. If PMU find difficulties to select prequalified consultants, they could request for information about consultants at JICA. Notification is done through print media nationwide, the JICA business development, and communications to the embassies, among others. | <ul style="list-style-type: none"> • JICA guidelines Notifications are published and announced. | Preselected list of firms to be invited. |
| Stage 205-A: No Objection Cycles. To ensure the recruitment process of OC and SD, the PMU applies the No-Objection by JICA at different stages of the process. Responsible: PMU. JICA (Task Manager). | Documentation for the Proposal Request and the shortlist are sent to JICA for No Objection. With No Objection, the Special Committee starts the recruitment process of OC and SD. | <ul style="list-style-type: none"> • Operational Manual. • JICA Guidelines. • No Objection proposal. • No Objection Letters from JICA for Proposal Requests and shortlist. | No Objection by JICA for: terms of reference, preselected firms, and request for proposals. |

³ The Bank Guidelines are referred to the JICA official documents for borrowers: "Guidelines for hiring consultants for Japanese ODA loans" and "Guidelines for implementation of procurement processes for Japanese ODA loans".

| Stage / Responsible | Procedures | Instruments | Results |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Stage 206: Preselected firms announcement. Preselected consultant firms are invited to present their technical and financial proposals. Responsible: PMU. | The Special Committee invites preselected firms for OC and SD. Develop a shortlist according to the following criteria: <ul style="list-style-type: none"> • Preferably, the OC and SD must be constituted in the region where the call is made. • Project experience in W&S at technical and social components. • Experience in Forest rural areas. | Invitation document to preselected firms. | Firms announced. |
| Stage 207: Proposals Presentation. Invited firms present technical and financial proposals. Responsible: Selected Consulting firms. | Consulting firms present technical and financial proposals. | Terms of reference, proposal request documentation. | Technical and financial proposals. |
| Stage 208: Evaluation and Allocation for OC and SD. The Special Committee evaluates, selects and hires OC and SD. Responsible: Special Committee PMU. | Evaluation of technical and financial proposals, combined evaluation (quality and cost), and negotiation, allocation and contract signature. OC and SD signed a framework agreement with the PMU. The Framework Agreement commits the OC and SD selected to respect their financial proposal. | <ul style="list-style-type: none"> • Terms of Reference. • Guidelines for Recruitment of Consultants by Borrowers of JICA. • Operational Manual. | OC and SD recruited and hired. |
| Stage 208-A: No Objection Cycle. No Objection Application by the PMU to: <ol style="list-style-type: none"> Technical Evaluation Draft Contract of selected firms. Responsible PMU, JICA. | The technical proposal is submitted to JICA for its No Objection. Opening of financial proposal after No Objection of JICA's technical proposal. Combined evaluation is performed and sent to JICA for knowledge. Negotiation process with qualified firms. The PMU sends Draft Contract to JICA for its No Objection. | <ul style="list-style-type: none"> • Terms of Reference. • Guidelines for Recruitment of Consultants by Borrowers of JICA. • Operational Manual. | Technical proposal approved by No Objection letter. Draft Contract with Selected Firm with No Objection. |



PRE – INVESTMENT COMPONENTS 1 AND 2

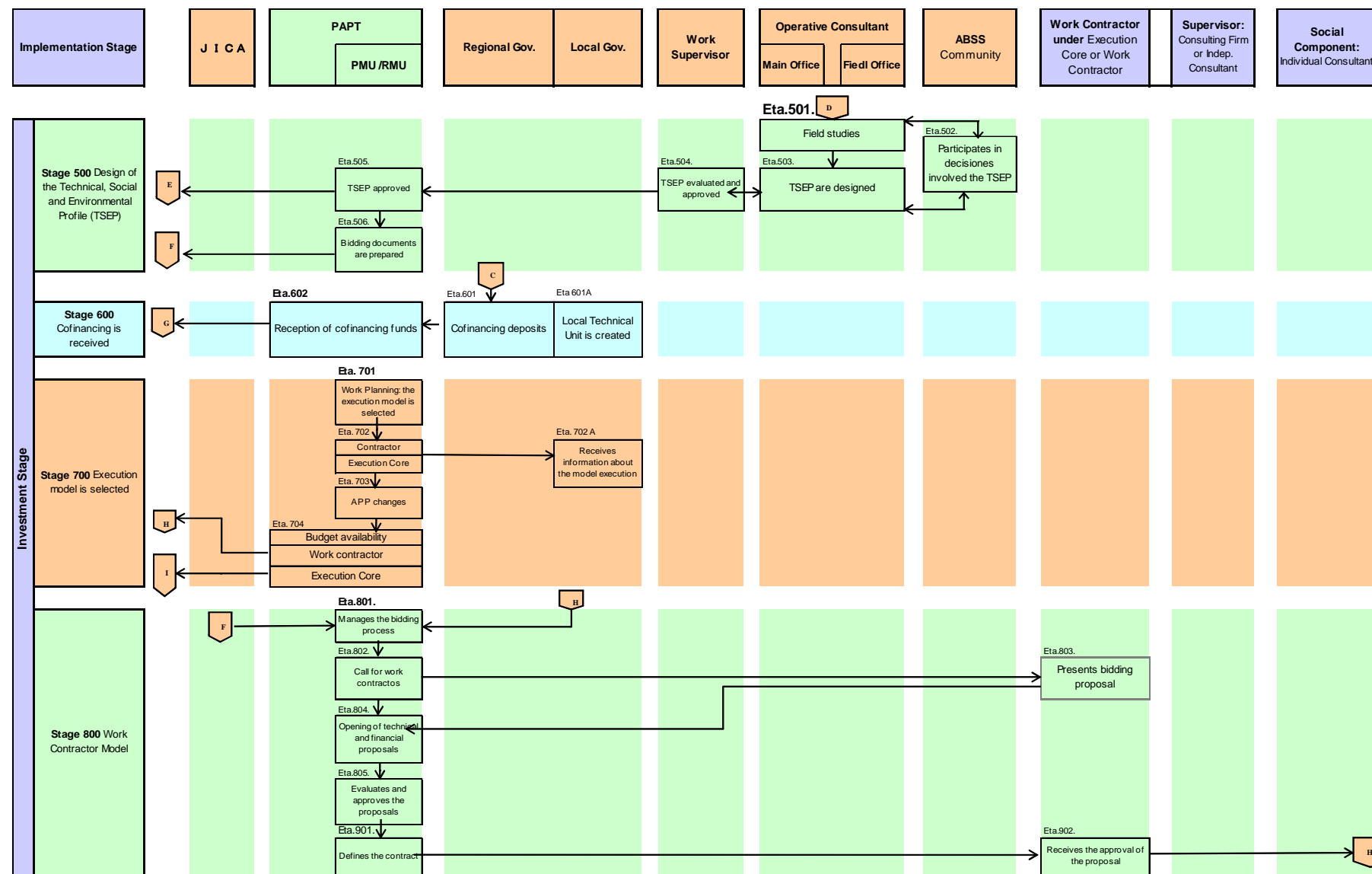
Stage 300: Individual *Perfils*

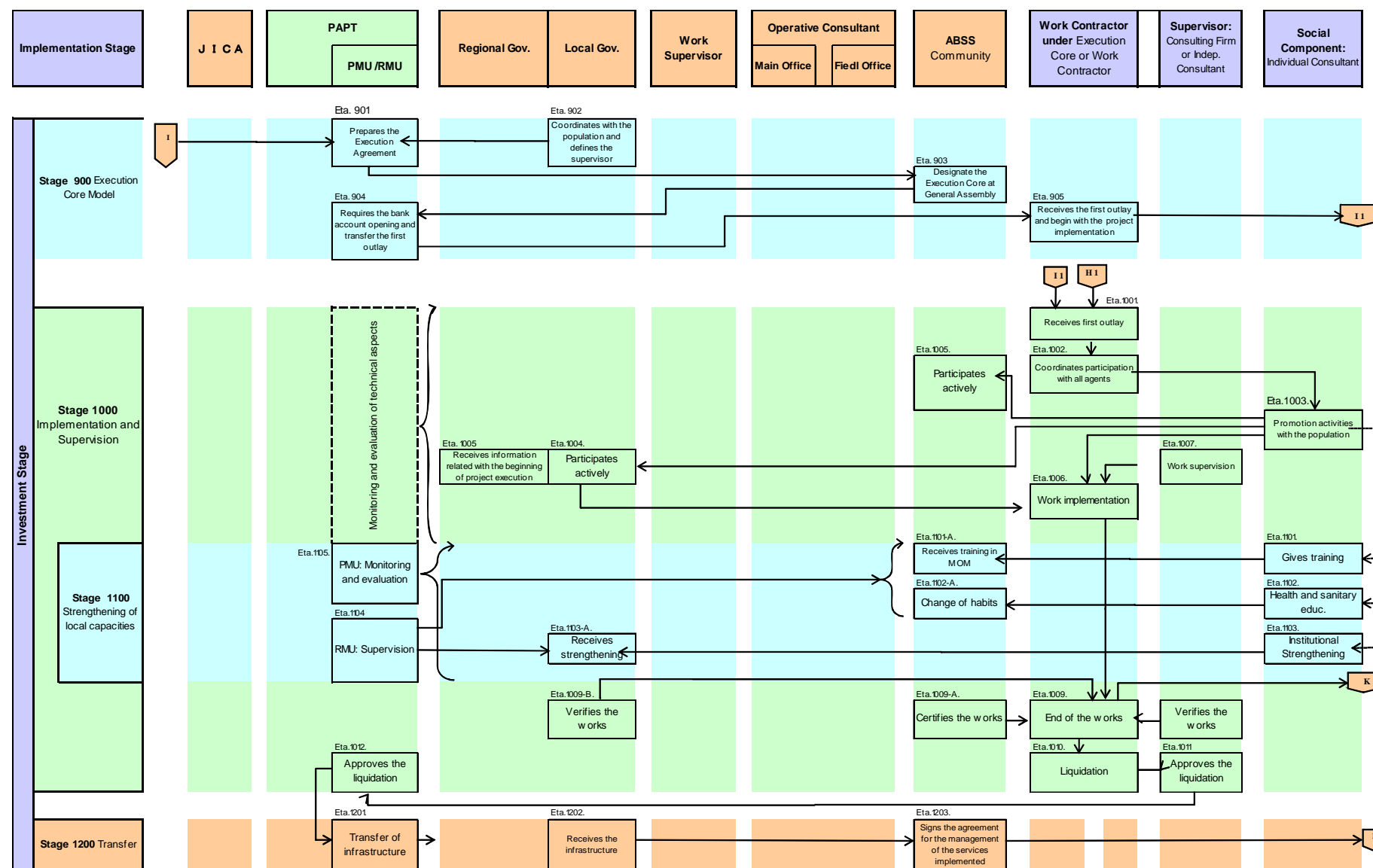
| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Stage 301: Scope of the Program to OC and SD.</u> <u>Stage 301-A: OC and SD receive the Program Philosophy.</u> The PMU organizes workshops for OC and SD to let them know in detail the program. <u>Responsible:</u> PMU. | The PMU announces workshops for OC and SD to let them know in detail the program. | <ul style="list-style-type: none"> • Graphic materials (brochures, posters, publications, etc.). • Workshop Program. | OC and SD know and are identified with the Program. Workshop Record. |
| <u>Stage 302: Test for selected communities.</u> OC verifies that selected communities fulfill the requirements of the Program. <u>Responsible:</u> OC. | OC, in coordination with local governments, on the basis of the preliminary list of eligible communities, verifies the fulfillment of eligibility criteria and interest for implementing the Program. | Preselected communities. | Preselected communities. |
| <u>Stage 303: Program Promotion and Diffusion.</u> In selected locations, Program and the conditions and benefits of safe water and sanitation are promoted and diffused <u>Responsible:</u> OC. | OC performs the following actions: <ul style="list-style-type: none"> • Coordinates with local government its participation in the Program. • In the community, through general meetings, promotes investment lines and disseminates the Program requirements. • Apply for documents of requirements' acceptance from Local Government. | <ul style="list-style-type: none"> • Framework agreement between the municipality and the PMU. • Information guide about the investment line in W&S, made by the OC. | Regional and Local Governments and Communities know about requirements, Program Strategy and Financial Policy of the Program. |
| <u>Stage 304: Appointment or reactivation of JASS.</u> CO promotes the appointment or reactivation of the Administrative Boards of Sanitation Services (JASS) in selected communities. <u>Responsible:</u> OC. | The OC reviews the situation of the community organization responsible for the Administration, Operation and Maintenance (AOM) of services. If applicable, the JASS is reactivated and, in absence, its implementation is promoted with the participation of the community. | Communal assemblies. | JASS implemented. |
| <u>Stage 305: Inhabitants of the communities participate in decisions.</u> Informed community participates in the analysis and prioritization of their needs in W&S, organizes itself and makes decisions related to the project. <u>Responsible:</u> Community, OC. | Community participation is constant in developing the project <i>perfil</i> , expressed in: <ul style="list-style-type: none"> • W&S needs prioritization. • Leaders and representatives election. • Service level definition. • Familiar fee commitment, among others. | <ul style="list-style-type: none"> • Informational events. • Surveys Table. • AOM benchmark costs by system type and level of service. | The informed population chooses to participate in the project. Community commitment in participating in the program. |
| <u>Stage 306: Preparation of Project <i>perfil</i>.</u> The <i>Perfil</i> defines the economical, technical, social, and environmental viability, as well as project sustainability. The commitment of the population with the Project is formalized. | The OC makes field visits to collect information and elaborates the <i>perfil</i> . The <i>perfil</i> is prepared in accordance with the guidelines of the National Public Investment System (SNIP) and according to criteria established for the | <ul style="list-style-type: none"> • SNIP Guidelines. • Guidelines for the formulation and assessment of <i>perfils</i>. | Project <i>perfil</i> . In this phase of the Project, the Local Government knows the <i>perfil</i> and establishes, through a community assembly: the source, the technical option and the service level. |

| Stage / Responsible | Procedures | Instruments | Results |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Responsible: OC. | Project Components 1 or 2. The project <i>perfil</i> defines the technical, social, economic and environmental viability. | | |
| Stage 307: Assessment and approval of the <i>perfil</i>. The project <i>perfil</i> is assessed and approved by the Supervising Consultant. Responsible: SC. | The SC evaluates the technical economic, social, and environmental feasibility, and sustainability; verifying accomplishment of the requirements specified by the program and its consistency with the reality of the community -which is verified in the field. The DS prepares an approval or disapproval report of the <i>perfil</i> and recommends its feasibility or viability. To find observations, the SC prepares a report referring to the OC. The DS develops SNIP No. 02 Format Registration Form to enter the Bank of Projects under evaluation. | <ul style="list-style-type: none"> • Project <i>perfil</i> • DS reports • SNIP No. 02 format • SNIP Guidelines. • Guidelines for the formulation and assessment of <i>perfiles</i>. | <p>Approval report on the feasibility or not of the Project.</p> <p>SNIP N° 02 Format Registration Form - Bank of Projects.</p> <p>List of registered projects in the Bank of MEF Projects under evaluation.</p> |
| Stage 308: Feasibility Declaration PMU Coordinator stated the feasibility or not of the <i>Perfil</i> . Responsible: PMU Coordinator. | The Coordinator of the PMU, according to the evaluation provided by the DS, stated the viability or not of the <i>Perfil</i> . | <ul style="list-style-type: none"> • Approval report of the SD <i>perfil</i>. • Community acceptance minute of the <i>Perfil</i> proposal in community assembly. • Letter to Local Government including a report establishing the viability or not of the project. | <p>Feasible project <i>perfiles</i>.</p> <p>Non feasible Project <i>perfiles</i>.</p> |
| Stage 308-A, 308-B: They receive information from the project <i>perfiles</i>. The PMU reports to the Regional Government, Local Government and the community about whether the project is viable or not. Responsible: PMU. | The PMU, after the declaration of feasibility or not, informs the Regional Government, Local Government and the community about the status of the Project <i>Perfil</i> . | <ul style="list-style-type: none"> • Project Feasibility Statement. • Communication letters from PMUs. | Local Government, Regional Government and the community are informed about the feasibility or not of the Project. |
| Stage 309: <i>Perfil</i> recorded in the MEF's Bank of Projects. Project <i>perfiles</i> , declared as viable or nonviable, are recorded on the MEF's Bank of Projects. Responsible: PMU, SC. | The DS, with the feasibility statement (Format No. 06 SNIP), records the format <i>perfil</i> No. 02 in the Bank of Project, viable or not. | Format 06 SNIP. Format 02 SNIP. | Project <i>perfil</i> recorded in the MEF's Bank of Project. |

Stage 400: Co financing agreements

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Stage 401, 402, 403: Signature of Specific Co financing Agreement</u> <u>Responsible:</u> PMU - Local Government - JASS | Specific Co financing Agreement is signed between the PMU and the Regional Government; between the PMU and the Local Government for the creation of the Local Technical Unit; and the JASS for the management, operation and maintenance of the water and sanitation services. | Specific Agreement. | Specific Agreement signed. |
| <u>Stage 404: Information received.</u> The Regional Government, Local Government and JASS are informed about the signature of the Co financing Agreement. <u>Responsible:</u> PMU. | The PMU reports to the Regional Government, Local Government and the JASS on their commitments to implement the project. | Specific Co financing Agreement. PMU Report to the Regional and Local Governments, and the JASS. | Regional Government knows about the Specific Co financing Agreement. Local Government knows about the commitment to create the Local Technical Unit. The JASS knows its commitment to assume the responsibility for the management, operation and maintenance of the W&S services. |





INVESTMENT COMPONENTS 1 AND 2

Stage 500: Technical, Social and Environmental File Design (TSE).

| Stage / Responsible | Procedures | Instruments | Results |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Stage 501: Field study Field survey information on technical, social and environmental aspects, for the formulation of the final draft. Responsible: OC. | Details of the situation in the community are obtained, in the following aspects: - Technical - Environmental and vulnerability. - Social aspects. - Coordination at the local level to obtain information and participation for the Project implementation. | | <ul style="list-style-type: none"> • Baseline in technical, economic and social aspects. • Availability of water sources, land and quarries to implement the project. • Topographical surveying. • Partnerships between local institutions. |
| Stage 502: Participate in decisions on TSE issues. Active community involvement during the design of the technical, social and environmental <i>perfil</i> (TSEP). Community also makes decisions related to the project. Responsible: Community and OC. | Community participation is permanent at this stage in terms of: <ul style="list-style-type: none"> • Awareness of the importance of their needs in W&S. • Reaffirmation of the level of service. • Reaffirmation of its commitment to pay the family fee, among others. | <ul style="list-style-type: none"> • Feasible Project <i>Perfil</i> • Information Events. • Surveys • Table of benchmark AOM costs by system type and level of service. Communal assemblies. | Population is committed and constantly informed about participating in the project. |
| Stage 503: Project design The feasible project passes the design stage of Project File, which includes technical, social and environmental aspects. Responsible: OC. | The project design includes: <ul style="list-style-type: none"> • Engineering Design • Communal Training Plan • Health Education Plan • Plan for Capacity Building for Local Government. | <ul style="list-style-type: none"> • Feasible Project <i>Perfil</i> • Design criteria from the Sector. • Technical, social and environmental baseline. • Training plan approved by the community. | Technical, social and environmental <i>perfil</i> |
| Stage 504: Evaluation and approval of the TSEP Technical, environmental and social assessment in field and office, to define its scope in relation to the feasible <i>perfil</i> . Responsible: SC. | DS assesses the TSEP, taking into account technical considerations assumed, implications, and environmental and legal requirements, seeking to ensure the sustainability of the project, and checking its relevance in field. Informs the approval to the PMU, otherwise sent observations to the OC. | <ul style="list-style-type: none"> • Feasible Project <i>Perfil</i> • TSE file. • Design criteria from the Sector. • Terms of Reference from SC. | Approval of the TSEP. |
| Stage 505: Approval of TSEP The PMU approves the file based on the approval report issued by the SC Responsible: PMU. | Project file is approved by the PMU. | <ul style="list-style-type: none"> • Feasible Project <i>Perfil</i> • TSEP. • Approval of the TSEP. | TSEP approved. |
| Stage 506: Documents preparation for Competitive Bidding. Documentation for the bidding process is prepared, after the approval of the Technical File. Responsible: PMU. | The PMU prepares the documents for the bidding process for works and budgets, if necessary. | TSEP approved. | Bidding <i>perfil</i> for Works. |

Stage 600: Receiving co financing.

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|--------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|-----------------------------|--------------------------------------------|
| Stage 601: Co financing deposit is made Responsible: Regional government. | Regional Government co-financing deposit is made in WfAP account. | WfAP' financial procedures. | Co-financing deposit in WfAP account. |
| Stage 602: Co financing reception Responsible: PMU/WfAP | PMU approves the reception of co financing funds from regional government. | WfAP' financial procedures. | Co financing from the regional government. |

Stage 700: Selection of execution model

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|
| Stage 701: Work planning, selection of a model Responsible: PMU. | The PMU assesses the characteristics of each district taking into consideration information that has risen to this stage of the project and identifies what type of execution of work will have each community. | <ul style="list-style-type: none"> • Perfil information • Promoter information | List of communities for each model of execution |
| Stage 702: Local government is informed about the execution model. Responsible: PMU. | Local government is informed about the execution model to be implemented in each community. | <ul style="list-style-type: none"> • Perfil information • Promoter information | Local government informed about the execution model. |
| Stage 703: adjustment of the APP. Responsible: PMU, JICA | The PMU presents to the PAPT the draft amendment of the Annual Procurement Plan (APP) for the respective approval, including the new recruitment processes. | <ul style="list-style-type: none"> • Operational Manual. • Guidelines from the Ministry, if necessary. | APP modified. |
| Stage 704: Budget availability Responsible: PMU | Definition of the contribution of each District Municipality. If any of them has committed with the Program, the incorporation of agreed funds must already be included into the budget of the PAPT. | <ul style="list-style-type: none"> • Guidelines from the Ministry, if necessary. | Budget available to begin implementation. |

Stage 800: Execution model by work contractor

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| Stage 801: Bidding process orientation. The PMU, through an Evaluation Committee, leads the bidding process supported by the OC. Responsible: PMU - Evaluation Committee | The offer documents will be prepared by the PMU and proposed to the Evaluation Committee for their approval. | <ul style="list-style-type: none"> • Operational Manual. • Bank guidelines | Bidding process by the PMU. |
| Stage 802: Call for work contractors. Responsible: PMU - Evaluation Committee | The PMU calls for PQ contractors for the bidding process of contracts and the development of social component. | <ul style="list-style-type: none"> • Operational Manual. • Bank guidelines | Work contractors called. |
| Stage 803: Bidding proposals presentation. Prequalified contractors submit proposals for the bidding process. | Prequalified contractors submit technical and financial proposals for implementation of works and of training and | <ul style="list-style-type: none"> • Operational Manual. • Bank guidelines | Technical and financial proposals presented by work contractors. |

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| <u>Responsible:</u> Contractor firms. | local strengthening programs. | | |
| <u>Stage 804: Opening of technical and financial proposals.</u> <u>Responsible:</u> PMU - Evaluation Committee. | Once you define the date and time, technical and financial bids will be open according the JICA guidelines. | <ul style="list-style-type: none"> • Operational Manual. • Bank guidelines | Technical and financial proposals approved. Negotiation process with the chosen contractors. |
| <u>Stage 805: Technical and financial proposals evaluation.</u> <u>Responsible:</u> PMU. | The PMU evaluates and approves: <ul style="list-style-type: none"> • Technical proposals. • Financial proposals. | <ul style="list-style-type: none"> • Operational Manual. • Bank guidelines • Technical and financial proposals presented by contractors. | Technical and financial proposals approved. |

Stage 900: Execution model by Nuclear Executor

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| <u>Stage 901: Prepares execution agreement following the model of Nuclear Executor.</u> <u>Responsible:</u> PMU <u>Stage 902: Local municipality coordinates.</u> <u>Responsible:</u> Local government and Nuclear Executor. | The local government coordinates with the RMU and the community the selection of the Nuclear Executor which could be the JASS by itself. The community decides if the JASS could assume the role of Nuclear Executor, or designates a different organization. The local government names the supervisor through Council Agreement, as member of the Nuclear Executor. The PMU prepares the Specific Agreement for the execution of works through the Nuclear Executor model. | <ul style="list-style-type: none"> • Operational Manual. • Specific Agreement Model. • Execution Guidelines through Nuclear Executor Model | Specific Agreement established. Local government associates with the representatives of the community. |
| <u>Stage 903: Specific Agreement signed for the work execution</u> <u>Responsible:</u> PMU – JASS / Community | After the requirements are satisfied and the representative body of the Nuclear Executor is formed, the PMU is informed of the list of representatives. The PMU and the Nuclear Executor sign an Execution Agreement. | <ul style="list-style-type: none"> • Operational Manual | Execution Agreement signed. |
| <u>Stage 904/905: Bank account opening application</u> <u>Responsible:</u> RMU, Nuclear Executor and PMU. | Once signed the Execution Agreement, the RMU requests the PMU – PAPT the bank account opening in a bank authorized by the National Financial System for the Nuclear Executor. The opening of the "joint bank account" on behalf of the Treasurer and the Resident of the Nuclear Executor, for the transfer of payments. | <ul style="list-style-type: none"> • Operational Manual. • Execution Guidelines through Nuclear Executor Model | The bank account is registered on the bank identified. |

Stage 1000: Implementation and supervision

| Stage / Responsible | Procedures | Instruments | Results |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|
| Stage 1001: Receiving in advance. PMU authorizes the first disbursement or advance to the work contractor or the Nuclear Executor to start the implementation of the work. Responsible: PMU. | Completed the process of allocating a contract, the first disbursement is made to the contractor for carrying out the work referred in the Technical File and the development of social component.. | <ul style="list-style-type: none"> • ToR of the contractor. • Request for Proposal. • Execution Guidelines through Nuclear Executor Model • JICA guidelines • Authorization of payment of the PMU. | Contractor has the resources to start implementation of works and social component. |
| Stage 1002: Coordinating participation of all stakeholders. OC coordinates the participation of all stakeholders to ensure the implementation of the project in the scheduled time. Responsible: Work contractor or Nuclear Executor. | Confirmed the deposit in advance to the contractor, the OC coordinates with the Contractor, Local Government and JASS, relevant and timely measures to accomplish the work on time and according to the training and local strengthening programs planning. | <ul style="list-style-type: none"> • Cofinancing agreement. • Coordination meetings. | Stakeholders committed with the implementation of the Project. |
| Stage 1003: Awareness and motivation for participation. Awareness and motivation activities are developed in the community and their organizations to ensure the project have effective community participation. Responsible: Social consultant or Social Specialist. | The responsible of the Social Component develops awareness and motivation activities to the public about the importance of the project on their health. Permanently, promotes the JASS to keep people informed to commit their participation in all aspects of the project. | <ul style="list-style-type: none"> • Cofinancing agreement. • ToR of the responsible of the Social Component. • TSEP. | Community awareness and motivation to participate. Community participates in accordance with their commitments. |
| Stage 1004: Local governments participate actively in the implementation of the Project. Responsible: Local Government, SC. | Local Government assumes its commitment to create the Local Technical Unit and participates actively during the training workshops. | <ul style="list-style-type: none"> • Project budget. • Cofinancing Agreement. | Local government participates actively and keeps its cofinancing commitments. |
| Stage 1005: Community participates actively in the implementation of the Project. Community participates actively in the implementation of the project through the training workshops and the accomplishment of the commitments assumed. Responsible: Community / SC | The Social Component responsible mobilizes the population in coordination with the Contractor or Nuclear Executor and the JASS. | <ul style="list-style-type: none"> • Project Budget. • | Population participates actively in the training workshops. |
| Stage 1006: Work implementation The Contractor shall execute the work according to the specifications of the project. (Includes purchase of materials, labor and services). Responsible: Contractor, Community. | Before the start of the execution of works, the work responsible coordinates with the JASS, the delivery and availability of the land by an act. It is necessary a notebook legalized by a notary or justice of the peace, where the Resident Engineer (Contractor) and the Supervision Engineer (OC) registrate the main effects of the implementation of the work. | <ul style="list-style-type: none"> • Technical File. • Technical notebook. | Implementation of works. |
| Stage 1007: Work supervision Work implementation is verified, evaluated and supervised. Responsible: Work supervisor. | The work supervisor monitors the proper execution of the W&S works, in accordance with the TSE File, fulfilling commitments specified in the Specific Agreement, controls the quality of materials purchased for work implementation, and authorizes the payment to | <ul style="list-style-type: none"> • FIDIC and JICA guidelines. • National Procurement Regulation (when not opposed Standards JICA) | Work implementation complete. |

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| | the contractor and others stated in the terms of reference of the work supervisor. | <ul style="list-style-type: none"> • Technical File. • Technical notebook. • ToR from Contractor | |
| Stage 1008: Monitoring and Evaluation of technical aspects. PMU monitors and evaluates the Works implementation activities. Responsible: PMU | The PMU monitors and evaluates the execution of works and approval of the documents that justify the payments to the supervisor and the contractor. | <ul style="list-style-type: none"> • Reports from the supervisor and the contractor. • Field evaluation of the implementation of works. • ToR from the supervisor. | Project implementation in supervision phase. |
| Stage 1009: Work finished Once finished the work, the contractor presents the final report of the work and closes the technical notebook. Responsible: Contractor | Complete the work according to the Engineering Project File and approved modifications, the contractor requests the pronouncement of the supervisor and the contractor in order to sign the Act of Completion of Work. | <ul style="list-style-type: none"> • Technical notebook. • Technical project <i>perfil</i>. • Act of Completion of Work. | Work finished. |
| Stage 1009-A and Stage 1209-B: Work verification The Local Government and the JASS, together with the OC, verify the quality of the work and operation of the system. Responsible: Work contractor, Local Government and JASS. | The work contractor, Local Government and JASS do a general inspection of the system. If any observation is made, it must be detailed in the technical work and must be overcome by the Contractor prior to the signature of the Act of Completion of Work. | <ul style="list-style-type: none"> • Technical Project <i>perfil</i>. • Technical notebook. | Work implementation complete. |
| Stage 1010: Work implementation completed Once the work is finished, the contractor presents the completion report of the work. Responsible: Work contractor. | The contractor presents to the supervisor a detailed completion report of the work, which contains technical and financial aspects in accordance with procedures established by the program. If the local government does not provide financial funds for the work implementation, its presence in the verification phase is only informative. | <ul style="list-style-type: none"> • Technical notebook. • Unskilled labor contributed by the community. • Technical <i>perfil</i>. • Act of completion of the work. | Completion report from the contractor. |
| Stage 1011: Approval to the completion of the work. The OC evaluates the bidding documents presented by the contractor in accordance with the requirements established by the Program. Responsible: Work contractor. | The contractor reviews the Completion Report of the Work and endorses an approval sign, and prepares a Final Completion Report to the PMU in a deadline period of time. In case of observations, the PMU must communicate to the contractor for considering these on time. | <ul style="list-style-type: none"> • Completion Report from the contractor. • Completion Report considering the suggestions made. • ToR from the supervisor. • ToR from the contractor. | Work completion approved. |
| Stage 1012: Approval to the completion of the work The PMU approves the completion of the Work, taking into account the approval document issued by the supervisor. Responsible: PMU. | Completion report is evaluated and approved by the PMU. | Completion report evaluated and approved. | Work completion approved. |

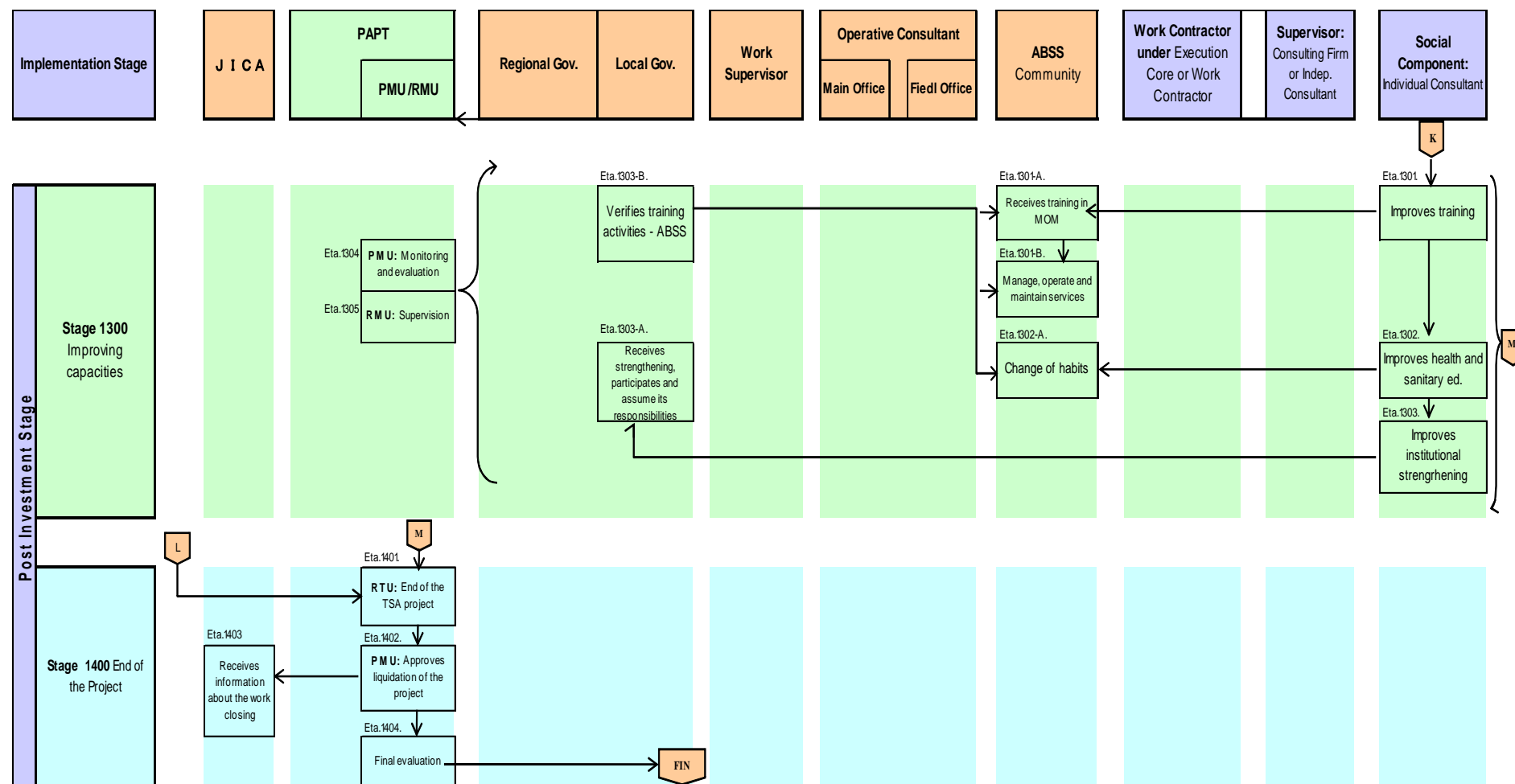
Stage 1100: Training, health education and institutional strengthening of local capacities

| Stage / Responsible | Procedures | Instruments | Results |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Stage 1101: Training Programs Execution in AOM</p> <p>Stage 1101-A: Training Reception in AOM. The responsible for the Social Component runs the training Plan in AOM. JASS and the Community, receive the training program, adapt the Project and have the skills needed to manage it.</p> <p>Responsible: Responsible for the Social Component, JASS/Community</p> | <p>The work consultant strengthens the population's and JASS's capacities development in the JASS-municipality interaction, to ensure an adequate AOM of the services.</p> <p>The community is receptive to the training process and they participate in an organized way.</p> | <ul style="list-style-type: none"> • Training Plan of the TSA Record. • Educational Materials. • Training Events. | <p>Users and JASS are trained to manage deployed services.</p> |
| <p>Stage 1102: Health and hygiene education. Stage 1102-A: Changing habits</p> <p>The responsible for the Social Component runs the Health Education Programs in the community.</p> <p>The target population is trained in health education to promote change to healthier habits.</p> <p>Responsible: Responsible for the Social Component, Community.</p> | <p>The responsible for the Social Component with the community participation develops health education, assessment and appropriate use of services and care for the environment programs, as raised in the TSEP Record, encouraging people to acquire and practice healthier hygiene habits and customs.</p> | <ul style="list-style-type: none"> • Health education plan of the TSEP Record. • Educational Materials. • Training Events. | <p>The population is trained in health education aimed at promoting healthy hygiene habits.</p> |
| <p>Stage 1103: Strengthening local government capacities.</p> <p>Stage 1103-A: Strengthening Reception. The responsible for the Social Component runs the Municipal Strengthening Programs.</p> <p>The Local Government receives training for the strengthening of their capacities.</p> <p>Responsible: Responsible for the Social Component/Local Government.</p> | <p>The work consultant seeks to strengthen and build local government capacity to adequately perform its oversight and technical assistance to JASS, which the law assigns to them.</p> <p>Strengthening is performed by in-service training, for the services management to the personnel designated by the municipality participates in all phases of project implementation, so that is involved in projects within their municipal area.</p> | <ul style="list-style-type: none"> • Capacities Strengthening Plan for Local Government. • Educational Materials. • Training Events. | <p>Local Government strengthened in relation to its competence to the services of A&S.</p> <p>Local government officials are aware of their responsibilities when dealing with the services of AS.</p> <p>Local Government prepared to transfer A&S's works.</p> |
| <p>Stage 1104: Supervision and monitoring of social and strengthening issues. The OC does the monitoring and the tracking of the training, the health education and the capacity building development in the local government during the investment stage.</p> <p>Responsible: PMU</p> | <p>The PMU will supervise and monitor the following steps:</p> <ul style="list-style-type: none"> (i) Awareness and motivation for participation, (ii) Effectiveness of training and promoting health and hygiene and (iii) Strengthening the capacities of Local Government. <p>Compliance with all documents supporting payments to the OC in this area.</p> | <ul style="list-style-type: none"> • Training Plan. • Health Education Plan. • Capacities Strengthening Plan. • OC's ToR. | <p>Monitoring reports of the social aspects of the Project.</p> <p>Achievements in respect of beneficiaries of training and capacity plans proposed in the Project.</p> |

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><u>Stage 1105: Supervision and monitoring of social and strengthening issues.</u> The PMU does the monitoring and the tracking of the training, the health education and the capacity building development in the local government during the investment stage.</p> <p><u>Responsible:</u> PMU</p> | <p>The PMU will supervise and monitor the following steps:</p> <p>(iv) Awareness and motivation for participation, (v) Effectiveness of training and promoting health and hygiene and (vi) Strengthening the capacities of Local Government.</p> <p>Approval of all documents supporting payments to the OC in this area.</p> | <ul style="list-style-type: none"> • Training Plan. • Health Education Plan. • Capacities Strengthening Plan. • OC's ToR. • Contractor's ToR. | <p>Monitoring reports of the social aspects of the Project.</p> <p>Achievements in respect of beneficiaries of training and capacity plans proposed in the Project.</p> |

Stage 1200: Works transfer

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| <p><u>Stage 1201: Infrastructure transfer</u> <u>Stage 1202: Infrastructure reception</u> Once the work is finished and awarded, with the approval of the PMU, the infrastructure will be transfer to the Local Government.</p> <p><u>Responsible:</u> PMU, Local government</p> | <p>The PMU is responsible for the financial and physical transfer of the work. The Local Government receives the project, the AOM manuals, redesigning plans, and financial and technical documentation about the completion of the work.</p> | <ul style="list-style-type: none"> • Work completion. • Transfer act. | <p>Infrastructure is transferred by the PMU and received by the Local Government.</p> |
| <p><u>Stage 1203: Signature of agreement for services management.</u> Local Government transfer through an agreement with the JASS, the delegation of provision of services.</p> <p><u>Responsible:</u> JASS, Local government.</p> | <p>The Local Government, after the transfer of the work, establishes an agreement delegating the provision of services to the JASS.</p> <p>The JASS assumes the responsibility for taking charge of the AOM.</p> | <ul style="list-style-type: none"> • Delegation Agreement for Provision of services. • AOM manuals. • Redesigning plans. | <p>JASS in charge of the provision of services.</p> |



POST - INVESTMENT COMPONENTS 1 AND 2

Stage 1300: Institutional strengthening

| <u>Stage / Responsible</u> | <u>Procedures</u> | <u>Instruments</u> | <u>Results</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><u>Stage 1301: Reinforces training in AOM services</u> <u>Stage 1301-A: JASS receives training in AOM services.</u> <u>Stage 1301-B: JASS administrate, operate and maintain services.</u></p> <p>The responsible for the Social Component reinforces the AOM training to the JASS/Community to strengthen the management of deployed services.</p> <p>The JASS receive training and apply the concepts learned, strengthen its capabilities and its organization.</p> <p><u>Responsible:</u> Responsible for the Social Component, JASS/Community.</p> | <p>The responsible for the Social Component enhances the development of capabilities and the interaction JASS-municipality to ensure the application of the knowledge given to the community in the previous phase, with appropriate AOM services.</p> <p>The JASS/community organize and actively participate in the Programs for Knowledge Enhancement about AOM of W&S services implemented and strengthen its capabilities, performing activities oriented to service management.</p> | <ul style="list-style-type: none"> • TSE Project. • Final report of the PMU about the results of the investment stage. • Training events. • Training materials. | <p>The JASS reinforces and consolidates its knowledge.</p> |
| <p><u>Stage 1302: Strengthen health and hygiene education</u> <u>Stage 1302-A: Changing habits.</u></p> <p>The responsible for the Social Component reinforces and continues with the health and hygiene promotion to the target population, in order to consolidate the change of habits. The population actively participates in health education measures implemented by the responsible for the Social Component.</p> <p><u>Responsible:</u> Responsible for the Social Component, Community.</p> | <p>The responsible for the Social Component enhances health practices, environmental education and hygiene to ensure that the community maintain and apply the knowledge given in the previous phase about the use of water and sanitation services, improving hygiene practices in the population.</p> <p>The population will be organized to participate in the training process running by the responsible for the Social Component.</p> | <ul style="list-style-type: none"> • TSE Project. • Training Events. • Training materials. | <p>Improved hygiene practices.</p> <p>Appropriate use of services.</p> |
| <p><u>Stage 1303: Strengthening Capacity Building of Local Governments</u> <u>Stage 1303-A: Municipality participates and assumes a role</u> <u>Stage 1303-B: Verification of the training progress of JASS and population</u></p> <p>Training reinforcement for Local Government to gradually fulfill its role of supervision, oversight and technical advice to the JASS.</p> <p>The Local Government verifies the achievement in knowledge and skills in the community as a result of the training process in health education.</p> <p><u>Responsible:</u> The responsible for the Social Component, Local Government.</p> | <p>The responsible for the Social Component reinforces the training process to local governments, making them to assume their role gradually.</p> <p>The local government is involved in assuming its role as training supervisor, oversight and technical advisor of the JASS of the jurisdiction.</p> <p>The responsible for the Social Component coordinates with the major the activities of the implementation phase of the project and institutionalize it in the municipality, incorporating a legal instrument.</p> <p>Local Government arranges with local institutions of the Ministries of Health and Education to join efforts in the areas of health education and change in hygiene habits in the population.</p> | <p>Training plans, materials and events.</p> | <p>Local Government institutionalizes and incorporates their role as part of their functions, through a legal instrument.</p> <p>Local Government oversees, supervises and provides technical assistance to JASS.</p> <p>Local government consolidates its functions related to providing water and sanitation services.</p> <p>Local Government coordinates and assumes leadership in the participation of ministries of Health and Education in health education activities.</p> |

| Stage / Responsible | Procedures | Instruments | Results |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | Local Government, in coordination with responsible for the Social Component, verifies the attainment of knowledge and skills provided as results of the training and health education programs implemented. | | |
| Stage 1304: Monitoring, control and supervision of the institutional strengthening process. In the post-implementation phase, the activities of the responsible for the Social Component are monitored and supervised. Responsible: PMU. | The PMU will supervise and monitor the training reinforcement, hygiene and health promotion, and the actions of municipal development. Make unannounced visits to the community in order to assess and monitor the project, leaving the recommendations and observations that may be applicable. Gives the compliance of payments to the responsible for the Social Component. | <ul style="list-style-type: none"> • Training plan. • Health education plan. • Capacity Building plan. • ToR from the OC. | Monitoring reports about the social aspects of the project. Achievements from the beneficiaries in training and capacity strengthening as proposed in the Draft. |

Stage 1400: Project completion

| Stage / Responsible | Procedures | Instruments | Results |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| Stage 1401: TSE Project completion. Project completion in its technical, social and environmental aspects. Responsible: PMU | The PMU makes the final statement of the project, recounting the activities included during the project implementation in its technical, social and environmental aspects, considering a cost detailed report. The completion of the project is endorsed and approved by the PMU. | <ul style="list-style-type: none"> • TSE Project. • OC' Contract. • Cofinancing Agreement. • Work completion. • Project Completion Report. | Project completion. |
| Stage 1402: Approval of the Project completion process. Approval of the project completion in its technical, social and environmental aspects. Responsible: PMU | Project completion is evaluated and approved by the general coordinator of the PMU. | Project Completion Report. | Project completion approved. |
| Stage 1402-A: JICA receives information about the Project completion. Stage 1402-B: Local government receives information about the Project completion. JICA and the Regional Government are informed about the completed projects approved. Responsible: PMU, JICA y Regional Government. | The PMU will issue a report of the projects completed and submit it to JICA and the Regional Government for their knowledge. | Project completion approved. | JICA and the Regional Government are informed about the projects completed. |
| Stage 1403: Final evaluation Stakeholders' involvement is assessed at the end of the project implementation. Responsible: PMU | The PMU will make an assessment of community involvement, and perception of the responsible for the Social Component, the Contractor and Local Government and the results obtained during implementation of the Project. | <ul style="list-style-type: none"> • Surveys. • Evaluation meetings. | Project Final Evaluation Report. |

CHAPTER IV: ADMINISTRATIVE, FINANCIAL AND PROCUREMENT ASPECTS

4.1 INTRODUCTION

This chapter introduces the general framework for the preparation, organization, management and control from the physical, administrative, financial and accounting aspects of the Program. In order to do this, some administrative and financial issues are defined, such as: funding sources, expenditures, accounts, funds, reports and systems, which constitute the basic information for the administrative and financial management of the Project financed by the JICA, treasury funds and the contributions of municipalities and beneficiary communities.

In the following are described in the sections below: funding sources from the Program, the administrative organization of the state, and the administrative organization of the water and sanitation sector, and the information systems required for systematizing the financial information. On the other hand, instruments for the planning and programming of activities are discussed, such as the Annual Operating Plan, the Procurement Annual Plan and the Program Budget. Also, a description is provided of the procedures for procurement, financial administration, internal controls and auditing mechanisms.

4.2 GENERAL ASPECTS

4.2.1 Funding Sources of the Program

The financing sources correspond to the JICA loan and the Peruvian Government Funds through the Ministry of Housing, Construction, and Sanitation and the contributions from the district municipalities and/or communities (See Table N° 4.2-1).

Table N° 4.2-1
FUNDING SOURCES FOR THE W&S PROGRAM IN THE RURAL AMAZON AREA

| Item | Institutions | Funding Sources | Amount (Thousand US\$) | Structure (%) |
|--------------|---------------------------------------|----------------------------------------|---------------------------|------------------|
| 1.0 | JICA (*) | JICA | 315,0851 | 67.0% |
| 2.0 | National Government (2.1 + 2.2) | | 156,163 | 33.0% |
| 2.1 | - MVCS | Ordinary Resources | 83,298 | 53.0% |
| 2.2 | - District Municipalities/Communities | Donations and Transfers (Financial) | 72,865 | 47.0% |
| Total | | | 471,214 | 100% |

(*) Official Operations from External Loans

a. Financial Loan Agreement N° ... - PE with JICA

The external credit from the JICA amounts to US\$ 332.253 thousand, which represents 67.0% of the total cost of the Program (US\$ 471.214 thousand), this will be assigned to the categories of eligible expenditure for Program execution, destined to finance the suppliers, contractors or consultants included in the Loan Agreement.

The PMU shall develop the Annual Program Budget in coordination with the Planning, Budget and Informatics Unit of the Water for All Program and the MVCS. The annual budget for the program will be included into the budget of the OGPP⁴-MVCS in coordination with the National Directorate of Public Debt (DNPP⁵) and the National Directorate of Public Budget (DNPP⁶) from the Ministry of Economy and Finance (MEF). Table N° 4.2-2 presents a summary of the allocation by loan expenditure categories.

Table N° 4.2-2
ALLOCATION BY LOAN EXPENDITURE CATEGORIES (Thousand US\$)

| Item | Description | Total Costs of the Program | Total Cost of the Phase 1 | JICA | | Peruvian Government Phase 1 | | | |
|------|---------------------------------------------------|----------------------------|---------------------------|---------------|--------|-----------------------------|--------|--------|---------------|
| | | | | Thousand US\$ | % | Thousand US\$ | % | MVCS | Regional Gov. |
| 1 | Infraestructura de A&S | 241,161 | 27,015 | 19,254 | 71.3% | 7,762 | 28.7% | 3,192 | 4,569 |
| | 1.1 Water Infrastructure | 147,611 | 16,476 | 11,755 | | 4,721 | | 1,941 | 2,778 |
| | 1.2 Sanitation Infrastructure | 93,551 | 10,540 | 7,499 | | 3,041 | | 1,251 | 1,790 |
| 2 | Soft-component Intervention | 34,255 | 3,690 | 3,690 | 100.0% | 0 | 0.0% | 0 | 0 |
| 3 | Call for Procurement | 47,250 | 5,532 | 5,532 | 100.0% | 0 | 0.0% | 0 | 0 |
| | 3.1. Initial diagnosis and baseline studies | 1,641 | 177 | 177 | | 0 | | | |
| | 3.2. W&S Profiles and Works Technical | 45,609 | 5,355 | 5,355 | | 0 | | 0 | 0 |
| 4 | Supervisión | 41,877 | 5,425 | 5,425 | 100.0% | 0 | 0.0% | 0 | 0 |
| | 4.1 Works Supervision (W&S) | 27,570 | 3,239 | 3,239 | | 0 | | 0 | 0 |
| | 4.2 Profile and Works Technical Supervision (W&S) | 14,307 | 2,186 | 2,186 | | 0 | | 0 | 0 |
| 5 | Program Administration | 30,336 | 3,467 | 0 | 0.0% | 3,467 | 100.0% | 1,734 | 1,734 |
| 6 | Strengthening of the Government Function | 1,099 | 1,099 | 1,099 | 100.0% | | | | |
| 7 | VAT (19%) | 75,236 | 8,783 | 0 | 0.0% | 8,783 | 100.0% | 7,586 | 1,197 |
| | Total | 471,214 | 55,012 | 35,000 | 63.6% | 20,012 | 36.4% | 12,512 | 7,500 |

Source: Elaborated with information from the Feasibility Study

⁴ Oficina General de Planeamiento y Presupuesto, or General Office of Planning and Budget

⁵ Dirección Nacional de Endeudamiento Público

⁶ Dirección Nacional de Presupuesto Público

| Item | Description | Total Costs of the Program | Total Cost of the Phase 2 | JICA | | Peruvian Government Phase 2 | | | |
|------|---------------------------------------------------|----------------------------|---------------------------|----------------|--------------|-----------------------------|--------------|---------------|---------------|
| | | | | Thousand US\$ | % | Thousand US\$ | % | MVCS | Regional Gov. |
| 1 | Infraestructura de A&S | 241,161 | 111,415 | 89,132 | 80.0% | 22,283 | 20.0% | 1,114 | 21,168 |
| | 1.1 Water Infrastructure | 147,611 | 67,748 | 54,199 | | 13,550 | | 677 | 12,872 |
| | 1.2 Sanitation Infrastructure | 93,551 | 43,667 | 34,933 | | 8,733 | | 437 | 8,296 |
| 2 | Soft-component Intervention | 34,255 | 16,269 | 16,269 | 100.0% | 0 | 0.0% | 0 | 0 |
| 3 | Call for Procurement | 47,250 | 22,574 | 22,574 | 100.0% | 0 | 0.0% | 0 | 0 |
| | 3.1. Initial diagnosis and baseline studies | 1,641 | 780 | 780 | | 0 | | | |
| | 3.2. W&S Profiles and Works Technical | 45,609 | 21,794 | 21,794 | | 0 | | 0 | 0 |
| 4 | Supervisión | 41,877 | 19,413 | 19,412 | 100.0% | 100.0% | 0.0% | 0 | 0 |
| | 4.1 Works Supervision (W&S) | 27,570 | 13,029 | 13,029 | | 0 | | 0 | 0 |
| | 4.2 Profile and Works Technical Supervision (W&S) | 14,307 | 6,383 | 6,383 | | 0 | | 0 | 0 |
| 5 | Program Administration | 30,336 | 14,119 | 0 | 0.0% | 14,119 | 100.0% | 6,636 | 7,483 |
| 6 | Strengthening of the Government Function | 1,099 | 0 | 0 | 100.0% | | | | |
| 7 | VAT (19%) | 75,236 | 34,920 | 0 | 0.0% | 34,920 | 100.0% | 29,476 | 5,444 |
| | Total | 471,214 | 218,710 | 147,387 | 67.4% | 71,322 | 32.6% | 37,226 | 34,096 |

Source: Elaborated with information from the Feasibility Study

| Item | Description | Total Costs of the Program | Total Cost of the Phase 3 | JICA | | Peruvian Government Phase 3 | | | |
|------|---------------------------------------------------|----------------------------|---------------------------|----------------|--------------|-----------------------------|--------------|---------------|---------------|
| | | | | Thousand US\$ | % | Thousand US\$ | % | MVCS | Regional Gov. |
| 1 | Infraestructura de A&S | 241,161 | 102,731 | 82,185 | 80.0% | 20,546 | 20.0% | 1,027 | 19,519 |
| | 1.1 Water Infrastructure | 147,611 | 63,387 | 50,709 | | 12,678 | | 634 | 12,044 |
| | 1.2 Sanitation Infrastructure | 93,551 | 39,345 | 31,476 | | 7,869 | | 393 | 7,475 |
| 2 | Soft-component Intervention | 34,255 | 14,295 | 14,295 | 100.0% | 0 | 0.0% | 0 | 0 |
| 3 | Call for Procurement | 47,250 | 19,144 | 19,144 | 100.0% | 0 | 0.0% | 0 | 0 |
| | 3.1. Initial diagnosis and baseline studies | 1,641 | 685 | 685 | | 0 | | | |
| | 3.2. W&S Profiles and Works Technical | 45,609 | 18,460 | 18,460 | | 0 | | 0 | 0 |
| 4 | Supervisión | 41,877 | 17,039 | 17,039 | 100.0% | 0 | 0.0% | 0 | 0 |
| | 4.1 Works Supervision (W&S) | 27,570 | 11,301 | 11,301 | | 0 | | 0 | 0 |
| | 4.2 Profile and Works Technical Supervision (W&S) | 14,307 | 5,738 | 5,738 | | 0 | | 0 | 0 |
| 5 | Program Administration | 30,336 | 12,750 | 0 | 0.0% | 12,750 | 100.0% | 5,992 | 6,757 |
| 6 | Strengthening of the Government Function | 1,099 | 0 | 0 | 100.0% | 0 | | 0 | |
| 7 | VAT (19%) | 75,236 | 31,532 | 0 | 0.0% | 31,532 | 100.0% | 26,540 | 4,993 |
| | Total | 471,214 | 197,492 | 132,664 | 67.2% | 64,828 | 32.8% | 33,560 | 31,269 |

Source: Elaborated with information from the Feasibility Study

b. National Government Counterpart Funds: Ordinary Resources

The National Government counterpart funds came from ordinary resources amounting to US\$ 156.163 thousand, which represent 33.0% of the total cost of the Program. Payment of funds will be executed according to the annual, quarterly and monthly programming to be requested through the OGPP-MVCS and the National Directorate of Public Budget (DNPP) from the MEF.

c. Financial Contribution from Regional Governments

The contribution of regional municipalities amounts to US\$ 72.865 thousand, which represents 15.0% of the total cost of the Program. This contribution will be assigned to fund projects from the beneficiary communities; these projects will be requested by the MVCS before project

implementation and determined by each municipality during the process of district prioritization.

4.2.2 Administrative Organization of the Peruvian Government

The Peruvian Government considers the execution of public resources from the Public Treasury and international cooperation agreements (grants and external borrowing operations), through Executing Units in each of the respective ministries according to the specifications or budget allocated⁷ to each of them.

In this context, the Ministry of Economy and Finance (MEF) channels the financial resources based on the annual budget, the quarterly programming, and timing of monthly commitments, depending on the application of resources of each Executing Unit⁸.

The execution of expenses of public resources and administrative and accounting processes of the Peruvian Government, by any source of funding, is established by the following legal framework: (i) Framework Law on Financial Administration of the Public Sector, (ii) General Law from the National Budget System (iii) Annual Public Budget Law, (iv) Directives on Budget and Treasury from the Ministry of Economy and Finance, (v) Resolutions and instructions of the National Public Accounts and the National Comptroller's Office (control regulations), and (vi) Standards from the Procurement and Contracts Supervisor Agency of State Contracts (OSCE: *Organismo Supervisor de las Contrataciones del Estado*).

According to the item 68.1 of the Article 68 of the General Law of the National Public Budget (Law 28411), institutions which use public funds from credit transactions will be subject the conditions for the execution of expenses and the tendering and bidding processes which are established in the respective Loan Agreements.

Each Executing Unit has a Management Authority, which may be exclusive or for a number of PMUs. In the case of Executing Units which depend on political line bodies, these will have a Line Authority and an Administrative Authority, which will be delegated by Ministerial Statement or Resolution, according to the sector to which they belong. The Management Authority is responsible for carrying out the administrative actions necessary for expenditure execution and procurement processes of goods and services, and for complying with the existing rules established for this purpose. Also, each Executing Unit will have an authority for each administrative system: Procurement, Personnel, Accounting and Treasury who, by delegation, may commit with third parties in the case of Supply, comply with accounting standards for the second and sign the payment documents for the third, under the direction of the Governing

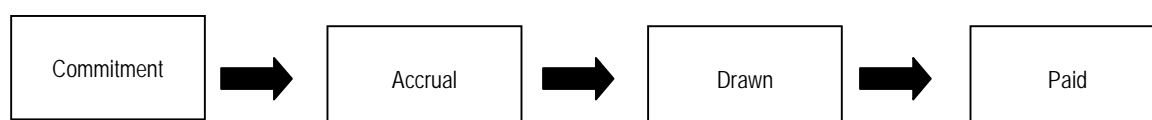
⁷ The budget of each Executing Unit is prepared on the basis of the resource demands of each one, incorporated in the budget formulation process of each financial year and approved by Congress through the Annual Budget Law.

⁸ The Executing Unit of the Vice Ministry of Construction and Sanitation - Water for All Program is No. 004.

Authority.

The budget system also has a responsible for each Executing Unit, and functionally depends on the General Offices of Planning and Budget of each sector.

The budget will be executed by the PMU of the Program with support from the Administrative Unit from the Water for All Program, assigned as Executing Unit No. 004, which is in charge of conducting the execution of transactions to manage its funds, according to the rules and procedures of the National Treasury System; in this sense, they are directly responsible for the revenues and expenditures that they manage. The expenditure programming and execution is carried out through the Integrated Public Sector Financial Administration System (SIAF - SP⁹), which includes commitment, accrual, drawn and paid units.



| | |
|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Commitment | It is the partial or total control in the budgetary allocations approved by the document that corresponds to each transaction (purchase order or service contract, return of per diem, payment settlements, among others). The registration is done by the Logistic Team. |
| Accrual | The recognition of a payment obligation due to a previously committed expenditure, ensuring the availability of funds; supported by the original bill, valorizations, documented accountability, proof of expenditures justified and signed by authorized persons, receipt of fees, sworn statement in the absence of any document referred previously by the amount established in the Annual Budget Law. Registration is performed by the Accounting Team. |
| Drawn | The process of issuing the receipt of payment, the issuing of checks or transfer letters charged against the relevant bank account to pay the total or a part of an accrued expense fully executed and recorded. The transfer or check is issued by the Treasury Team and signed by the treasury team leader and the person responsible for the management unit. |
| Paid | This process involves cashing the check issued and/or the transfer letters, supported by the corresponding charge against the bank account. |

4.3 FINANCIAL INFORMATION SYSTEM

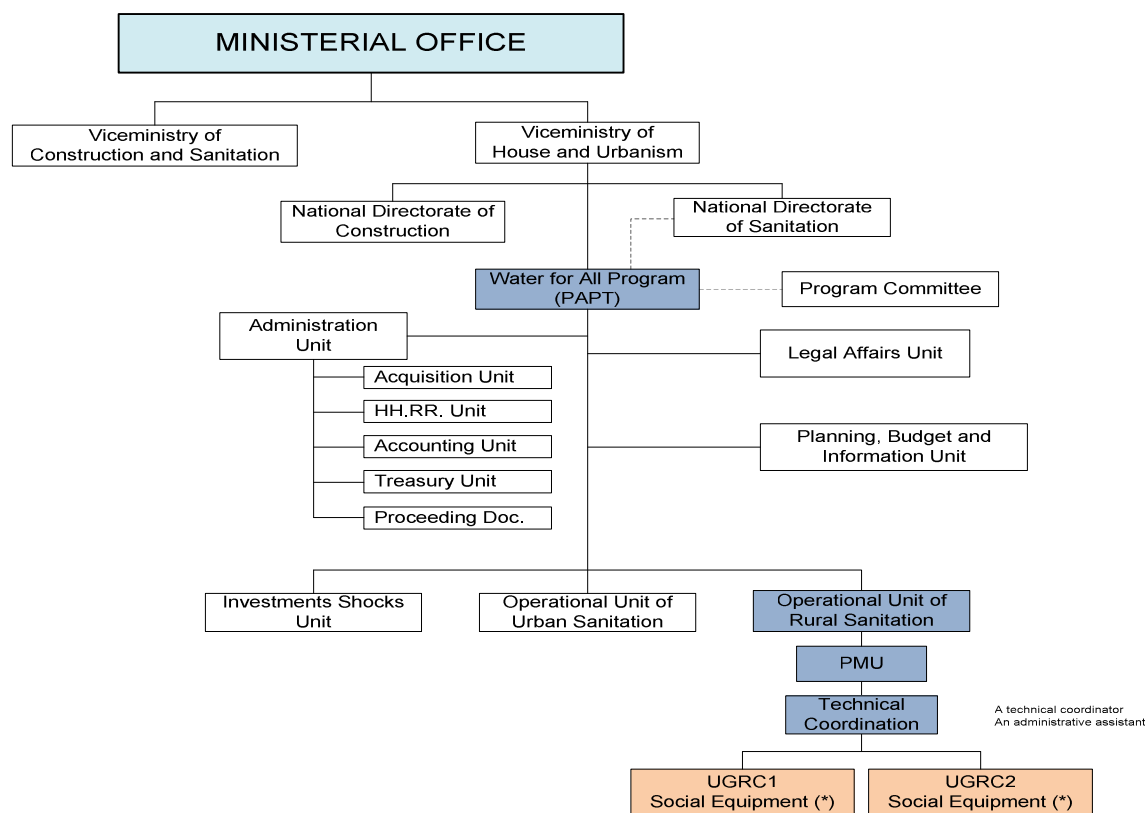
4.3.1 Administrative Organization of the MVCS

The PMU shall act as the Program Operational Unit of the Rural Sanitation “Water for All” Program (PAPT: *Programa Agua Para Todos*), and it corresponds to the Executing Unit N° 004 to provide administrative support through the Administration Unit and Supply Teams,

⁹ Sistema Integrado de Administración Financiera – Sector Público

Accounting and Treasury Teams, and the Planning and Budget Unit, which coordinate with the OGPP-MVCS.

ORGANIZATION OF PMU



(*) Social and Technical Equipment to monitor the consulting firms, contractors and individual consultants

4.3.2 Housing Administration System (SAV: *Sistema de Administración de Vivienda*)

The SAV is a tool for the registration of financial transactions, and it is compatible with the Integrated Financial Management System (SIAF) to obtain budget execution reports and financial statements for the Program (balance sheet, profit and loss, cash flow, budgetary evaluations and other reports); it is networked with the various administrative areas.

The system has the following modules:

| | |
|------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| Annual Operative Plan | Records the Program by activity, funding source and unit costs related to the budget, the PAAC ¹⁰ and the accounting report. |
| Budget | Records the Program budget in accordance with the sector budget and the rules established by the DNPP and JICA. |
| Accounting | Executes the accounting reports from the financial operations accrued and from the financial statements. |
| Treasury | Issues the receipts of payment and the checks or transfer letters with the necessary documentation, keeping accounting books (cash and bank) updated. |
| Accountability | Delivers accountability reports and financial monitoring reports required by JICA. |

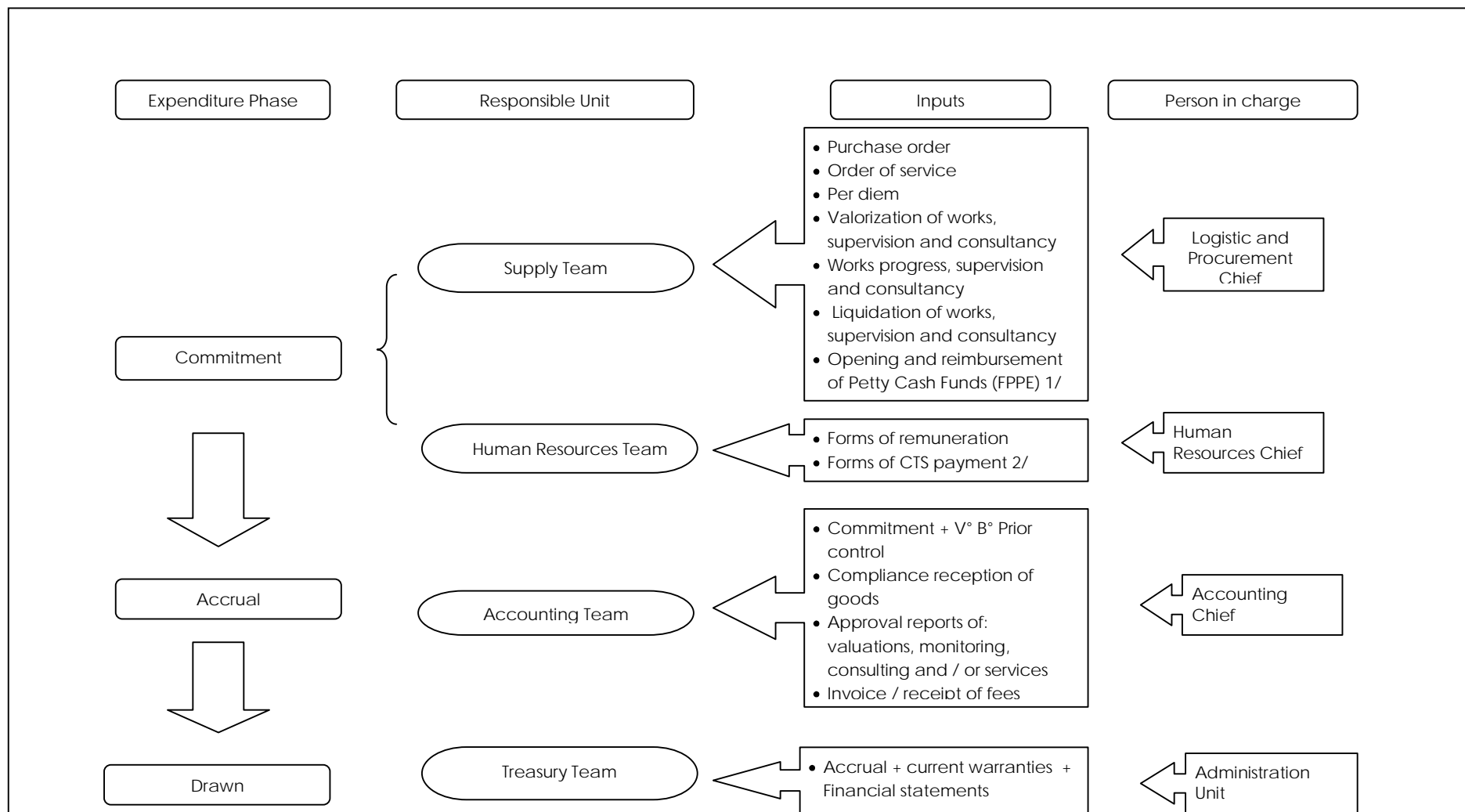
SAV also has a module that will deliver accountability and financial monitoring reports required by JICA.



Figure N° 4.3-1 presents the procedures of the Administrative-Financial Management Unit from the Water for All Program.

¹⁰ Plan Anual de Adquisiciones y Contrataciones, or Annual Procurement and Contracting Plan

Figure N° 4.3-1
PROCEDURES OF THE ADMINISTRATIVE-FINANCIAL MANAGEMENT UNIT FROM THE “WATER FOR ALL” PROGRAM



1/ Fondo Para Pagos en Efectivo (FPPE), or Petty Cash Funds; 2/ Compensación por Tiempo de Servicios, or Compensation for Services

4.4 INSTRUMENTS FOR PLANNING AND PROGRAMMING ACTIVITIES

4.4.1 Annual Operative Plan

The Annual Operative Plan (POA: *Plan Operativo Anual*) is the planning, administrative and management tool that establishes the objectives, goals, activities, responsible parties and deadlines for implementation of activities and financial resources within the annual budgetary exercise. Also, these targets should be established in accordance with the Annual Strategic Plan.

The PMU of the Program will prepare the POA in coordination with the Unit of Planning and Budget of the PAPT and the OGPP-MVCS. The POA will be evaluated on a quarterly and annual basis in order to quantify the results of compliance with the management goals and objectives of the program.

The POA should contain the results to be obtained in each activity to be implemented during the year, with a brief description, the expected result and an implementation schedule of activities and products, with the probable dates of start and end.

It will be submitted to JICA for review and approval on November 30 of each year.

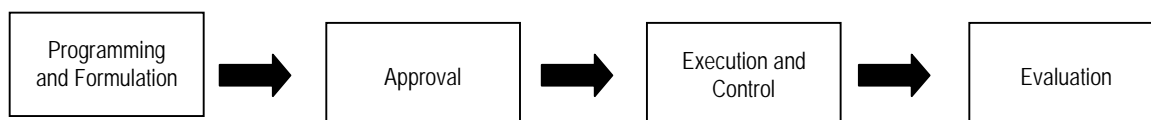
4.4.2 Annual Budget

The annual budget is a short-term management tool that determines, directs and allocates resources to fulfill the goals and objectives prioritized in the POA, which will be reflected in achieving measurable goals, subject to measurement. The annual budget also allows for quarterly and monthly financial programming and scheduling of commitments, which determine the maximum authorized expenditure amount in a month.

The budget formulation process starts in the second quarter of each year and is approved in December; it is prepared on the basis of the POA and the PAAC.

The physical and financial programming contained in the POA must be expressed in the budget and must also facilitate the operational costs associated with the implementation of activities and goals. Simultaneously, considering that the program is implemented by public funds, and that there exists the possibility of budgetary constraints in the period, the implementation of the goals should be consistent with these limitations.

The annual budget will be undertaken by the PMU of the program in coordination with the PAPT Planning and Budget Unit and the OGPP-MVCS, and includes 4 stages: programming and design, approval, implementation and monitoring, and budget evaluation.



| | |
|--------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Programming and design | Budget requirements are defined in order to finance the goals and objectives that will be implemented in the following year of activities, and which will be scheduled annually, quarterly, and monthly by funding source. |
| Approval | The Congress approves the Budget Law submitted by the Executive containing the required budgetary allocations for each statement, with or without modifications to the legal and financial proposal, and then every statement made the institutional approval of its budget. Once approved the budget allocations for the next year, a monthly financial programming is conducted prior to start of the budget year, which is the basis of the subsequent quarterly schedules. |
| Implementation and monitoring | The budget execution is organized by activities and funding sources according to the monthly scheduled commitments, considering the financial constraints defined by the MEF and established in the POA. |
| Evaluation | The budget evaluation is conducted biannually and includes physical and financial issues, which must be consistent with the reports of physical and financial progress. |

4.4.3 Annual Procurement Plan

The Procurement Plan becomes a tool for planning activities, determining the acquisition of goods and services, and contracting works for the implementation of the program during the fiscal year. Depending on its goals, it identifies priorities and the respective programming, based on principles of public law that determine the procurement process¹¹ (the principles of free competition and audience, impartiality, morality, efficiency, among others).

Formulation of this plan allows for programming of the necessary actions to be executed, in specific periods, in order to achieve the outcomes established in the POA.

¹¹ Article 4 from the Procurement Law.

The Annual Procurement Plan (PAAC) includes a description of the activities identified with a code, the method of selection and recruitment of providers, and the estimated dates of each stage. (See Table N° 4.4-1).

The PAAC considers the possibility of using JICA¹² rules and the national guidelines applied for bidding processes, in addition to the guidelines or criteria established in this manual for the procurement of goods and services and the contracting of works contained in the Loan Agreement; also, the regulations of the OSCE are considered.

Recruitment processes provided in the Procurement Plan which require any change according to the amendments registered in the POA shall be incorporated in the Procurement Plan approved by the appropriate authorities before the beginning of the recruitment process.

¹² JICA Standards are referred to the JICA official documents for borrowers: "Guidelines for the use of consultants for Japanese ODA loans" and "Guidelines for procurement for Japanese ODA loans"

Table N° 4.4-1
ANNUAL PROCUREMENT PLAN

Loan Agreement :

Category:

Financing:

JICA

| Code | Activities | Estimated Contract Value (US\$) | Procurement Process | Preselection | No Objection by JICA | Notification | Publication / initial sale of documents / invitations | Offer Opening | Offer evaluation and preallocation | No Objection by JICA | Contract Celebration | Start date of delivery | Observations and comments |
|------|---------------------|---------------------------------|---------------------|--------------|----------------------|--------------|-------------------------------------------------------|---------------|------------------------------------|----------------------|----------------------|------------------------|---------------------------|
| 1 | Goods | | | | | | | | | | | | |
| 2 | Works | | | | | | | | | | | | |
| 3 | Consulting Services | | | | | | | | | | | | |

4.5 FINANCIAL AND ADMINISTRATIVE PROCEDURES

4.5.1 Preparation of the Annual Operating Plan and Procurement Plan

The procedures for preparation of the POA are described in the General Law of the National Budget - Law No. 28411. They consider the budget targets to be achieved for each fiscal year and constitute the administrative instruments, which contain the processes to be developed in the short term, specifying the necessary tasks to meet budget targets established for this period and the opportunity for their implementation at the level of each organizational unit:

a. Evaluation of current activities

The evaluation of the activities established in the POA will be submitted by the Technical Coordinator to the General Coordinator in order to be forwarded to the UPPI¹³, and it will include the following:

- The physical and financial programming and its evaluation.
- Change in the amount executed in comparison with the amount scheduled, which should be sustained by the underlying causes their corrective measures in the short term.
- The running time of the physical and financial execution at the end of the fiscal year.
- The complementary measures to obtain the projected levels of performance and physical goals rescheduled, if any, for the following year.

b. Annual Activity Programming

- (i) The General Coordinator will ask the Technical Coordinator to present the financial resource requirements for the following year.
- (ii) To prepare the financial requirements, the following must be taken into account:
 - The guidelines outlined by the General Coordinator.
 - The assessment, planning, and rescheduling if any, of the activities and goals of the current period.
 - The Multi-annual programming of the activities contained in the Annual Operational Plan.
 - The management capacity of the PMU.
 - The financial requirements and acquisition dates of contracts subscribed.
 - The average costs of projected goals.

¹³ *Unidad de Planeamiento, Presupuesto, e Informática*, or Planning, Budget and Information Technology Unit

- (iii) The request for funding will be forwarded to the General Coordinator, including the following: objectives, activities, physical targets, total costs and disbursements to be made.
- (iv) The UPPI will be responsible for consolidating the financial requirements submitted by component, funding sources and expenditure categories, and for reporting to the General Coordinator on the results of general programming.
- (v) The UPPI will adjust the financial requirements to the submitted OGPP formats for the process of Programming and Budgetary Formulation.
- (vi) The Program Coordinator will forward the demand for resources to the PAPT Management Unit, to be consolidated in the OGPP. Secondly, the process of programming and designing of the national budget will be carried out, resulting in the budgetary allocation for the following year.
- (vii) With the budgetary allocation for the following year provided by the MEF, and the updated report of the Evaluation and Planning of the existing POA, the UPPI will prioritize the approach of the physical and financial targets for the coming year.
- (viii) The person responsible for the Technical Coordination will send the following information to the General Coordinator, in accordance with the components within his/her realm of responsibility:
 - General and specific goals
 - Strategies
 - Activities planning
 - Annual and quarterly financial and physical goals
 - Other information considered necessary
- (ix) The UPPI shall consolidate the information received and develop the POA for the following year, with the General Coordinator being responsible for forwarding it.
- (x) The Procurement Team will prepare the Annual Procurement Plan (PAAC) according to the POA.
- (xi) The Program Coordinator will send the POA and the Procurement Plan to JICA .
- (xii) Any change in physical or financial targets will be processed as a modification of the POA and Procurement Plan.

4.5.2 Modification of the Annual Operating Plan

The amendments to the POA are generated by changes in the physical targets approved for a financial year by higher costs in the execution of works and / or incorporation of new physical goals, which entail a readjustment of financial goals.

The changes will be reflected in the POA budget changes and the annual procurement plan, if the new goals involve developing new contracting and procurement processes.

The necessary amendments to the POA are intended to identify the resources needed to finance the readjustment of goals. These resources can be generated by:

- Cost savings contracts or acquisitions with lesser value than expected in accordance with the reference value of the procurement process.
- Partial or total removal of physical targets that in turn identify free available resources.
- The projection of the implementation of physical and financial targets contained in the POA and the annual budget indicates that the resources may not be totally executed.
- Increasing the budget as a consequence of the inclusion of other sheet balances.

The General Coordinator will apply to UPPI for greater resources, providing supporting information to explain the changes in the POA. If approved, the UPPI will change the budget and coordinate with the Procurement Team for changes to the Annual Procurement Plan.

4.5.3 Budget Process

Includes the following stages:

a. Programming the following year's budget

The UPPI develops the budget programming process according to the budget rules and time limits established by the DNPP and as stated in the points i) to vii) of the Section b) of "Elaboration of the POA."

b. Formulation of the next year's budget

In the budget formulation phase, the functional structure of PAPT program is determined, which should reflect the institutional objectives, having been designed from the budget categories considered in the respective budget classifications. Goals are determined in based on the scale of priorities, and chain expenses and the respective financial sources are allocated.

c. Approval

Opening institutional budgets are approved on or before December 31 of each fiscal year and are sent through the Ministry of Economy and Finances by an official report containing the itemized revenues and expenditures budget at the level of the PMU, indicating the budgetary channels and sources of financing.

d. Implementation and control

This stage includes 5 Sub-processes:

d.1 Quarterly Programming

This is the instrument through which the monthly programming is updated and incorporated into the SIAF - SP before the start of the fiscal year, and it constitutes the resource demand for each quarter of the year.

d.2 Quarterly Distribution Allocation

Once the quarterly allocation has been reported and approved by the DNPP-MEF, the UPPI shall identify the deviations from the demand for resources included in the quarterly Schedule; if significant differences are found, adjustments to the financial programming will be made, proceeding to enter the adjusted budget allocation targets and funding sources in the SIAF.

d.3 Schedule of Commitments and Implementation

Commitment Schedule

The commitment schedule is the authorization for the execution of budget allocations, in terms of which a maximum pay amount is established, subject to the effective collection of the revenues that constitute the funding.

Procurement Requirements and / or Acquisition

- i) The procurement requirements and / or acquisitions will be coordinated with the General Coordinator through the UPPI and must meet the following conditions:
 - The requirement will be directly related to a goal contained in the POA
 - The requirement will be registered in the Annual Procurement Plan of JICA and / or MVCS
 - Terms of reference and the reference value of procurement or contracting must be specified.
- ii) After receiving an application, the UPPI will proceed to define the programmatic and functional chains of expenditure corresponding to the National Budget and to encode them according to the POA structure.

- iii) The General Coordinator of the Program shall forward the request to the Administration Unit for the development of contracting and procurement processes.

Commitment Execution

- i) The procedures established to execute the commitments of the obligations contracted will be channeled through the General Coordinator through the UPPI, considering:
- The name of the Study, Work, Consulting or name of contract.
 - The contract number, if applicable.
 - The number of report or valorization, as appropriate.
 - The amount of the commitment.
- ii) The UPPI will verify that the order of commitment has the budget framework and timetable of commitments, and shall specify the programmatic and functional chains of expenditure from the National Budget and encode them according to the POA structure.
- iii) The General Coordinator of the Program will forward the request for commitment to the Administration Unit for the implementation of the budget allocation.

d.4 Budget Amendments

Amendments arise from changes in the physical targets contained in the POA, which lead to financial adjustments or changes in costs of execution goals. The types of budget modifications are the following:

- Cancellations and qualifications within the PMU of the Program which do not affect the annual budget allocated to the Project.
- Cancellations and external qualifications to the PMU of the Program which modify the annual budget allocated to the Program, increasing or decreasing it.
- Supplemental loans which incorporate unforeseen resources or increased revenue collection in addition to Programmed collection, increasing the budget allocated to the program.

Cancellations and qualifications from the budget allocations assigned to the Program goals will be implemented only to meet new expenditure requirements that would obtain financing resources generated by:

- Cost savings through contracts or acquisitions by an amount less than the expected in the reference value of the procurement processes.
- Partial or total removal of physical targets, identifying the free available resources.

- The projected implementation of physical and financial goals included in the POA and the annual budget indicate that they cannot be fully carried out.

The external resource authorizations from the Program will only proceed in the case of new spending requirements for which no funding is identified against the existing budget allocations assigned to the goals of the program.

Cancellations and authorizations inside and outside the program will be requested by the General Coordinator for their evaluation by the UPPI, which will evaluate and approve the request based on the supporting documentation to be sent to the OGPP.

Additional Loans

Additional loans will only proceed:

- In the case of new spending requirements for which no funding is identified against the existing budget allocations assigned to the goals of the program.
- If the request for resources to enable the requirement against another project has been denied.
- In the case of co-financing contributions from the municipalities for the execution of works.
- When the recruitment of more income is identified as a precondition to process the additional loan.

The Program Coordinator will issue a request for an additional loan with the supporting documentation to the UPPI, who will evaluate the request by issuing the report and referring it to the OGPP for its approval. After that, the UPPI shall develop the budget amendment according to the rules established by the OGPP and shall send it to the Program Coordinator.

d.5 Control of budget execution

The budgetary control is given in two areas:

- For the development and implementation of the POA, the financial management standards from JICA and the Loan Contract will be taken into account.
- On the implementation of the national budget, the national budgetary rules will be taken into account.

The procedures for budgetary control in each field are:

About the development and implementation of the POA

The UPPI, after verifying that the POA will be reflected in the Procurement Plan, will perform the appropriate actions to ensure that the program has the financial resources in a timely manner. The UPPI will verify the existence of annual financial planning and programming in order to assess the financial and physical progress.

With regard to the development of the POA and its amendments, the UPPI will verify the efficiency of the financial administration of the resources assigned to the developed activities.

In the process of implementation of the POA, the UPPI must indicate the functional chains, coding by components and categories of expenditures established in all budget documents. The Supply Team will verify that the documents involving commitments and payments contain such information.

About the budgetary process

In the process of programming and budget formulation, the UPPI must verify that the allocation of national budget resources permits the implementation of activities and targets set in the demand for resources, and jointly with the Treasury Team will verify that the execution of monthly revenues will be realized according to the approved schedule.

In the process of expenditure execution, the General Coordinator with the UPPI will verify that the monthly commitments will be related to the commitments schedule approved and the budget available.

e. Budget Evaluation

The Planning, Budget and Information Technology Unit (UPPI) is responsible for conducting the budget evaluation in accordance with budgetary rules.

f. Special Budgetary Procedures

f.1 Enclosure of Co-financing funds

The addition of co-financing funds to the budget by the local governments is carried out through the Technical Coordinator, who forwards the request to the Program Coordinator; the Program Coordinator will then refer it to the UPPI, including information relating to the works and their corresponding amounts, itemized by materials and services components, as well as its monthly programming, also including the specific co-financing agreement and the Agreement signed by the City Council authorizing the transfer of financial resources to MVCS.

The UPPI, after analyzing the requirement approving the Supplemental Credit Loan with the supporting documentation, will prepare the budget amendment informing the Program Coordinator about the feasibility to execute the procurement process, acquisition or administrative action to be financed with these resources.

Also, the Work Supervisor will send a monthly report to RMU regarding the use of unskilled labor provided by the communities.

f.2 Additional Budget Financing

Additional budgets for works are generated for the works performed by contractors and will be referred by the Program Coordinator to the UPPI for approval, including the following information: justification of the extension of the loan, the additional budget detail, the total cost and the itemized budget by specific expenditure components and funding sources, programming and proposal of goals which would enable the necessary resources for their financing.

It should also include the following:

- Request for approval of additional budget by the Contractor.
- Legal and technical report approved by the Site Supervisor.
- Legal feasibility report issued by the Legal Affairs Unit, with the draft Resolution approving the Supplemental Budget.
- Notification of favorable opinion from the Local Government regarding the expansion of its co-financing or contribution agreement, or approval of the Financial Transfer in the amount of the increase in co-financing by the Council Agreement which established the approval.

f.3 Approval Process of Technical Files and Works Settlement

The person responsible for the contract will send the request for approval of the Technical Files and Works Settlement to the General Coordinator, who will issue the approval report to the Legal Affairs Unit for respective resolution. The approval report shall contain the following documents:

| Technical File | Work Settlement |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none">- Technical Approval Report from the supervisor.- A report from the person responsible for the contract, approving the report from the Technical Coordinator to the General Coordinator. | <ul style="list-style-type: none">- Approval report of the work settlement issued by the OC or supervisor.- Report from the person responsible for the contract approving the report with the endorsement of the Works Specialist.- Memorandum issued by the Technical Coordinator submitting the documentation to the General Coordinator. |

4.5.4 Procurement Issues

a. Competitions and tender processes

The person responsible for carrying out tendering and auction processes under the rules of JICA will be the Specialized Team for Selection Processes from the PMU of the PAPT. For the procurement process under Directive No. 00-10-HOUSING-VMCS-TCAP-1.0 PAPT, the Administration Unit of

the PAPT will be responsible for logistics, financial accounting and the process of executing the contract.

Guidelines for the Application of Procurement Processes in the Program

| Expenditure Categories | Procurement Guidelines to be applied |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a) Consultant Services Individual: i) < US\$ 50,000 ii) = > US\$ 50,000 Firms: iii) < US\$ 100,000 iv) = > US\$ 100,000 | D.L. 1017 Procurement National Law Directive N° 00-10-HOUSING-VMCS-PAPT-1.0 Chapter 2: Guidelines for Procurement under Japanese ODA ^{1/} Loans - March 2009. D.L. 1017 Procurement National Law Directive N° 00-10-HOUSING-VMCS-PAPT-1.0 Chapter 2: Guidelines for Procurement under Japanese ODA ^{1/} Loans - March 2009. |
| b) Civil Works implemented under Nuclear Executor Model i) <= US\$ 100,000 | Guidelines for Project Execution under Nuclear Executor Model. |
| c) Civil Works implemented under Work Contractor Model ii) <= US\$ 250,000 by contract iii) > US\$ 250,000 by contract | D.L. 1017 Procurement National Law Directive N° 00-10-HOUSING-VMCS-PAPT-1.0 Chapter 2: Guidelines for Procurement under Japanese ODA ^{1/} Loans - March 2009. |
| d) Goods i) < US\$ 30,000 ii) > US\$ 30,000 | D.L. 1017 Procurement National Law Directive N° 00-10-HOUSING-VMCS-PAPT-1.0 Chapter 2: Guidelines for Procurement under Japanese ODA ^{1/} Loans - March 2009. |

^{1/}ODA: Official Development Assistance

Procedures for Procurement according to JICA Guidelines

For the procurement of goods, works and consultancy contracts of small value (equal to or less than U.S. \$ 100,000.00) a Standing Evaluation Committee in the PAPT Management Unit shall be appointed, who will be responsible for administrative support for managing components 1, 2 and 3 (small contracts with consulting firms and individual consultants and limited procurement of goods and services).

For the procurement of major goods, works and consultancies hired, a Special Committee at the PMU will be designated to drive the processes, advised by the Specialized Team for Selection Processes.

Procurement Plan

Before any call is made and / or any invitation is sent to participate in a recruitment and / or procurement process, the Procurement Plan of the Program will be sent to the appropriate bodies of MVCS and JICA for review and approval. The procurement of works, goods and consulting services shall be governed by the Plan and the "Guidelines for Procurement for Japanese ODA Loans" from March 2009.

b. Procurement for goods and works

b.1 General

Competitions and tenders for the procurement of goods, services and works must be executed according to Chapter 2: Guidelines for Japanese ODA Loan Acquisitions from March 2009.

The Loan Agreement between the Peruvian Government and JICA shall stipulate the implementation of these guidelines for projects within Water Supply and Sanitation for the Rural Amazon Area to be financed by ODA loans extended by JICA.

b.2 International Competitive Bidding (ICB)

JICA believes that, in most cases, International Competitive Bidding (ICB) is the best method of satisfying the requirements with respect to the procurement of goods and works contracts (including related services other than consulting services) for the projects of the Program, and they shall be governed in accordance with the rules considered in Chapter 2: Guidelines in the Procurement for Japanese ODA Loans.

b.3 Other Procurement Procedures

When the amount involved in the acquisition is so small that it is clear that foreign firms are not interested or that the benefits of International Competitive Bidding (ICB) would be exceeded by the administrative burden involved.

b.3.1 Limited International Bidding (LIB)

This is essentially an international tender by direct invitation without commercial announcements. It shall be apply for procurement of works whose estimated cost is between US\$ 250,000 and US\$ 5,000,000.

b.3.2 International Shopping

The procurement of goods and execution of works whose cost is less than US\$ 250,000 per contract may be purchased under this procurement method based on the comparison of price quotations obtained from several (usually at least three) local and/or foreign suppliers to ensure competitive prices.

b.4 Review of the hiring and/or acquisition decisions by JICA

Preview by JICA

For execution of works contracts in accordance with those referred to in section 1.01 of Chapter 2: Guidelines for Procurement of Japanese ODA Loans.

For the first two contracts, in accordance with the procedures specified in paragraphs B.2 and B.3.1, they must be subject to review by JICA at the following times: (i) before the public announcement and/or notification of pre-qualification, the borrower must deliver the pre-qualification documents to JICA; (ii) Once pre-qualified firms are selected, the borrower must deliver to JICA a list of these firms and a report of the selection process, along with the reasons that justify the selection process, providing all relevant documents; (iii) Before inviting tenders, the borrower should deliver to JICA the notifications and instructions to bidders, the bidding format, the proposed preliminary contract, the specifications, drawings and other documents related to the offer; (iv) When the bidding procedure establishes a single stage with two envelopes, the borrower, before opening the financial proposals, should deliver to JICA the analysis of the technical proposals; (v) Prior to sending a notification award to the bidder that has been selected, the Program will deliver to JICA the offers and proposals for the award.

Final revision

With respect to each contract not covered by prior review, the procedures specified in Section 1.05, Chapter 2: Guidelines for Procurement of Japanese ODA Loan (The JICA revision) must be applied.

c. Selection and Hiring of Consultants

c.1 General

Consultancy services will be ruled according to Chapter 1: Guidelines for Japanese ODA Loan Acquisitions from March 2009.

The implementation of these guidelines for projects within Water Supply and Sanitation in the Rural Amazon Area to be financed by ODA loans extended by JICA will be stipulated in the Loan Agreement between the Peruvian Government and JICA.

c.2 Selection based on quality and cost (QCBS: Quality Cost Based Selection)

Except from the cases considered in Part C.3 of this Item, Consulting Services will be acquired as provided in Chapter 1: Guidelines for Hiring Consultants for Japanese ODA loans.

The selection based on quality and cost (QCBS) is a method that takes into account the quality of the proposal and the cost of services; it is the method commonly recommended. This method will be used by the program to hire consulting firms and will be governed in accordance to the rules provided in Chapter 1: Guidelines for Hiring Consultants for Japanese ODA Loan, from May 2009.

c.3 Other procedures for Hiring Consultants

c.3.1 Individual Consultants¹⁴

Individual consultants are normally employed for services for which (i) No personal equipment is required, (b) Additional external professional support is not needed, and (iii) Experience and qualifications of the individuals are primary requirements. If, given the high number of individual consultants, coordination, administration or collective responsibility become difficult, it would be best to hire a consulting firm.

The selection of individual consultants is made while taking into account their qualifications for the job. It is not required to post an announcement; however, in some cases, the program can consider the advantage of publishing an announcement on their own. Consultants do not need to submit proposals and can be selected on the basis of comparison of qualifications of those who express interest in the job. Those considered in the comparison of qualifications must meet the minimum relevant qualifications, and those selected for recruitment by the Program should be the best qualified and should be fully able to perform the work. The ability of the consultants will be judged

¹⁴ The Procurement Guidelines for Japanese ODA loans do not establish any procedures for recruiting individual consultants. Since this is a category that might arise during Program implementation, the procedures have been considered from the Guidelines: Selection and Employment of Consultants by World Bank Borrowers (5.1 to 5.3 of Section 5).

on the basis of academic background, experience, and if applicable, their knowledge of local conditions, such as language, culture, administrative system and government organization.

c.4 Review by the Bank of the Selection of Consultants

Preview by the JICA

In general, decisions regarding the hiring of consultants subject to review and concurrence of JICA are: (i) before inviting consultants to submit their proposals to JICA, the borrower will give a pre-selection list of consultants and the request for proposals (see notes 1, section 3.05); (ii) before opening the financial proposals, the program will submit to JICA the analysis of the technical proposals; (iii) before starting contract negotiations with the consultant who obtained the highest score, the borrower shall deliver to JICA the results of its evaluation of proposals.

Final revision

JICA can review the borrower's selection procedures, documents and decisions. The program will deliver to JICA, for its reference, any document and information related to the reasonable request of JICA. The loan agreement will specify the extent to which the procedures of review with respect to consulting services financed by Japanese ODA loans will be applied.

d. Special Conditions

d.1 Tenders for works, goods and non-consulting services

In addition and without limitation or qualification, the established rules will be subsequently applied to all processes works, goods and non-consulting services.

- To emphasize free competition among bidders, JICA has not agreed with the idea of revealing the estimated price for the contract before the offering. Although JICA does not encourage the disclosure of the benchmark price, if the program believes that disclosure is necessary before the offering, JICA will not oppose the decision of the Program.
- Contracts will be based exclusively on price, and whenever appropriate, they shall take into account other factors that can be quantified objectively. The procedure for such quantification will be described in the invitation to tender documents.

d.2 Consulting services

In addition and without limitations or restrictions, the rules provided will subsequently apply to all contracts for consultants.

- Foreign consultants will not be required to register locally as a condition of participation in selection processes.
- The reference value may be included for publication in the request for proposal documents.
- A minimum number of proposals would be required, prior to the award of contracts for consultancy services.
- Foreign consultants will not be required to legalize their proposals (or any documentation relating to such proposal) by a Peruvian consulate, the Ministry of Foreign Affairs or such other authority as a precondition for participation in the selection process.

4.5.5 Logistic

The Supply Unit of the PAPT will carry out the commitment of the obligations assumed in the SIAF-SP in coordination with the UPPI, based on purchase orders, service orders, demand for travel, contracts, valuations of works, decision for the opening of Petty Cash Funds, a thorough renewal requirement for cash payments and other documents that record the preventive involvement of an amount authorized by the Schedule of Commitments.

The generation of commitments by the PMU should be implemented considering the activities in the Annual Operating Plan, Budget and the Schedules of Commitments approved as a frame of reference.

Prior commitment to the completion of contracted expenditure obligations means that you cannot pay obligations that are not promised. The commitment must be made by funding source and according to the percentage of funding established for each expense category of the loan.

4.5.6 Accounting

In accordance with the statements in the General Law of National Accounting - Law No. 28708 and other complementary legislation, the PAPT Accounting Team is responsible for formulating and presenting financial statements in accordance with the directives issued by the Governing Body of the National Accounting System, which provides accounting principles generally accepted in the country, applicable to the Government Accounting Standards and International Public Sector Accounting NIC – SP¹⁵. The accounting records must be established in the Integrated Financial Management System (SIAF) and the Housing Administration System (SAV), which will issue reports by funding sources, components, sub-categories and categories from the Program, which will be useful for developing the reports requested by the JICA.

a. Financial Statements Presentation

¹⁵ *Normas Internacionales de Contabilidad – Public Sector*, International Public Sector Accounting Standards

The financial statements which will be presented to the JICA are:

- (i) Statement of Source and Uses of Funds,
- (ii) Accumulated Investment Statement,
- (iii) Disbursement Request Statement,
- (iv) Statement of the Special Account, and
- (v) Compliance with contractual terms.

The national Financial Statements are:

- (i) Balance Sheet
- (ii) Management Statement
- (iii) Changes in Shareholders' Equity Statement
- (iv) Cash Flow and Notes to the Financial Statements.

The Balance Sheet is based on information from purchases of goods and services and cash disbursements. The information from revenues is recorded through input notes and purchase orders, output notes, exit orders or vouchers, and treasury (inflow of funds through revenue receipts and expenditure of funds through payment vouchers). The budget balance is based on information from the PMU.

Daily Account Books, Ledgers, auxiliary bank books (for each account), and purchase records under the funding to be submitted to JICA must be prepared and maintained in order to submit them to SUNAT. (COA Report).

b. About the accounting record

The Accounting Team will record all transactions of the PMU in the accounts in compliance with relevant accounting standards and accounting procedures issued by the governing body, using charts of accounts, budget classifications of revenues and expenditures, and the accounting systems applicable.

Regarding the implementation cycle of spending, the Accounting Team is responsible for the formalization of accruals, which comes after having verified one of the following conditions:

- (i) The satisfactory receipt of goods.
- (ii) The satisfactory delivery of services.
- (iii) The compliance with contract terms

Some of the following documents, among others, must be presented as documentary support of the expenditure phase accrued:

- (i) Invoice, bill of sale or other proof of payment authorized by SUNAT.
- (ii) Purchase Order or Service Order with the relevant proof of payment of SUNAT.

- (iii) Work valorization
- (iv) Single Payment Form of Remuneration
- (v) List of utility bills.

c. Inputs for the Preparation of Financial Statements

As supplementary information for the preparation of financial statements, the Supply Team will deliver the reports indicated below during the first five working days of the following month:

- (i) Storage income and outflow reports.
- (ii) Movements of fixed assets.
- (iii) The report of depreciation and adjustments made through the SAV software.

Similarly, the Treasury team will deliver the following documents monthly:

- (i) Bank books.
- (ii) Bank conciliations for each bank account of the program.
- (iii) Earnings reports.
- (iv) Reports of the Treasury reversals due to lower T-6 expenditures
- (v) Deposit slips, money orders and deliveries of checks.
- (vi) Financial Reports rendered, sent and paid out by JICA in order to be verified with the state of the special account and the sources and uses of funds.

4.5.7 Treasury

According to the General Law of the National Treasury - Law No. 28693 and the Treasury Policy approved by Resolution N° 002-2007-EF/77.15, the Treasury Team is responsible for centralized management of public funds through bank accounts authorized by the National Directorate of Treasury – DNTP (*Dirección Nacional del Tesoro Público*), making possible its optimal implementation and sustaining all income and expenditure operations.

They are responsible for formalizing the stage of expenditure drawn by issuing the proof of payment and the respective check, electronic transfer order or letter against the corresponding bank account, in order to partially or completely extinguish the obligations of the entity, considering for this purpose the funding sources and the determination of eligible expenses set out in the Loan Agreement and within the program's budget.

a. Opening and management of Bank Accounts

The administration of funds is carried out through bank accounts authorized by the DNTP at the National Bank, regardless of the funding source and independent of its aim; for this purpose, it shall appoint, through Ministerial Resolution, the Chief of the Management Unit and the Leader of the

Treasury Team as responsible for the management of treasury and bank accounts, considering in addition two alternate responsible parties.

The signature of the checks is joint, and checks may be signed by one member and alternate, and the responsible party indicated for holders of bank accounts is in solidarity with the substitutes with regard to money or signing checks, the issuance of transfer orders or electronic letters.

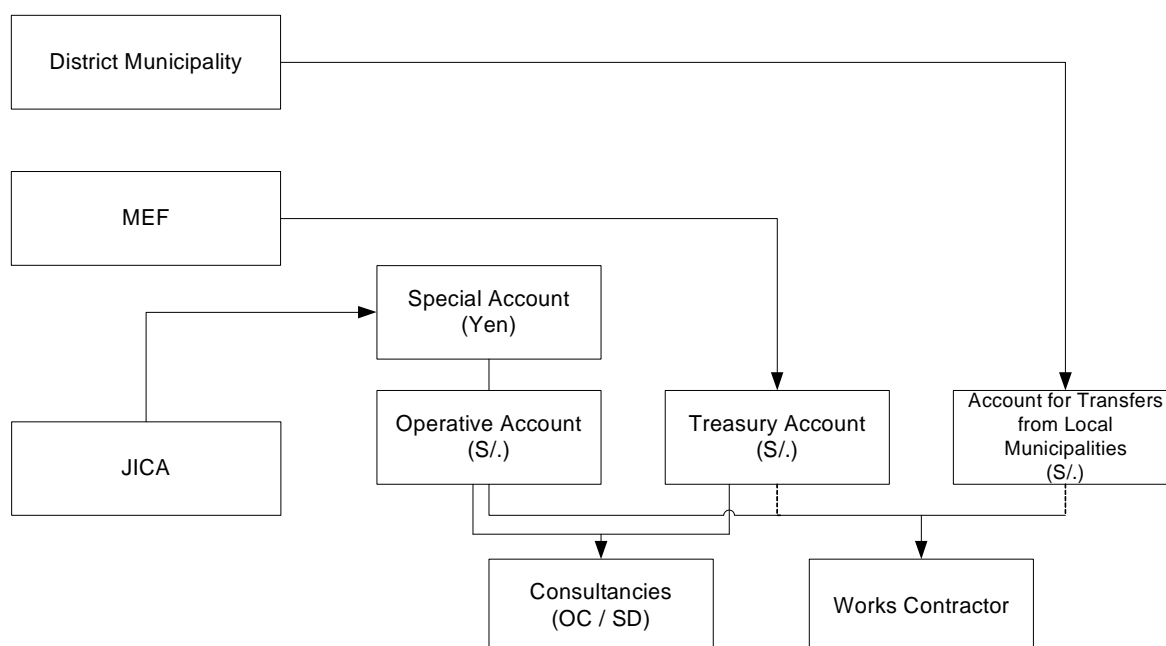
Bank accounts designed for the administration of the loan contract are as follows:

- As a host, a Special Account in the currency of the loan contract open under terms and conditions accepted by the JICA, including appropriate protection against reservations, seizure and attachment.
- A checking account in domestic currency to deposit the resources of the special account to finance the portion of external financing for those eligible project costs paid in local currency.
- A sub-account to deposit the regular resources provided from the MEF to pay the local counterpart.
- A checking account to receive the donations and transfers from Local Governments for co-financing of works.
- A checking account to receive the donations and transfers from Regional Governments for co-financing of works (in the case that local governments apply for co-financing of regional governments).

Security Letter: The National Bank must issue a security letter to ensure that the amounts deposited in the Special Account will not be used to offset financial obligations or be frozen or seized to pay amounts owed from the borrower to the National Bank.

Flow of Funds: The resources used for expenditure execution are from the loan provided by JICA, a Special Account in Yen, which will monetize the payment amount necessary to the Operating Account in Soles; and as national counterpart fund, the resources from the Public Treasury, and the co-financing funds received from the Municipalities. See Figure N° 4.5.7-1.

Figure N° 4.5.7-1



b. Information processed by the Treasury Team

The Treasury Team is in charge of the following documents and information:

- Preparation of payment vouchers, which shall detail the budget chains, expenditure categories, the supplier's name, the concept of payment, the check number, the electronic transfer or letter order.
- The issuance of checks is non-negotiable and is carried out according to the conditions outlined in the Treasury Policy.
- Withholding of 6% from the Sales Tax (VAT) on invoices greater than S/. 700.00.
- Deduction of 12% from the Sales Tax (VAT) in payments to consulting firms.
- Monthly preparation of bank books for every checking account in the project.
- Conciliations of each of the checking accounts.
- Letters of Expenditure Receipt-NRD (*Notas de Recepción de Desembolsos*), as established by the General Directorate of Public Debt for reporting the receipt of the Loan funds. This letter is created within 8 days of reception of disbursements.
- Preparation of quarterly reports to reconcile with the General Directorate of Public Debt for the funds received.
- Monetization orders from Yen to soles for the payment of obligations in local currency.
- Preparation of certificates of expenses by category and Summary Sheets.
- Development of Requests for Withdrawal.
- Preparation of Withdrawal Applications.

- Preparation of T-6 formats for refunds for lower expenditures from the national counterpart funds, according to the format given at the SIAF.
- Preparation of income receipts for the money received from penalties, refunds for lower expenses, base sales, etc.
- Receiving, monitoring and control of financial resources from the Regional and Local Governments.
- Control and custody of security cards.
- Control and custody of checkbooks.

b) Disbursements and Use of Resources

The conclusion of external debt operations as the one signed with JICA is regulated by the General Law of National Debt - Law No. 28563 which states inter alia those issues relating to the programming, coordination, disbursements, payments and recording of transactions in debt processes.

Procedures for Requesting Funds from the Special Account

The PMU - PAPT will disburse loan funds from the Special Account to the Account for the Program Operation (S /.) when payment obligations are submitted.

i) Precedent conditions to first disbursement

The pre-conditions to be met are:

- The loan must be declared effective upon signature of the Loan Agreement.
- JICA must receive the signature register, which empowers persons authorized to sign applications for withdrawal of funds.
- The Special Account and the current account should be opened at the National Bank, and JICA should be notified with the security letter of the Special Account.

ii) Disbursement mechanism to the Special Account

The disbursement mechanism to be used in implementing the program will be based on individual transactions (based on traditional disbursement certificates of expenditure, direct payments and reimbursements).

After signing the loan agreement, JICA will issue a Disbursement Letter to the borrower, which outlines the disbursement procedures, and also gives instructions on the following:

- Authorization of signatories who will sign the withdrawal applications.
- Conditions for the disbursement.
- Specific requirements for the operation of the Special Account.

- Deadline for submission of applications for withdrawal of funds.
- Requirements for audit.

Disbursement method under Execution Schedule

The Borrower shall keep separate records of withdrawals made on the basis of statements of expenditure. In the disbursement letter sent by JICA to the Borrower, the disbursement procedures to be use are explained. The specific formats of expenditure statements are attached to the disbursement letter.

Disbursements may be requested, as stipulated in the Loan Contract by choosing the following options:

- The "authorized allocation" to the advance of the special account.
- The minimum amount of the payment request to upload directly to the loan account or the Special Account.
- Requests for replacement of funds from the Special Account shall be submitted monthly as specified in the letter of disbursement. All applications for replacement to the Special Account shall include reconciled bank statements and other appropriate documents, according to the categories defined in the Loan Agreement.
- If JICA determines, at some point, that payments made from the Special Account were used for non-eligible expenditure categories as specified in the Agreement, the borrower will be notified immediately to deposit in the Special Account an amount equal to that used or a specified portion that was deemed as non-eligible.

Documents for the disbursement request

A request for funds for the Special Account shall be accompanied by the following documents: Certificate / Statement of Expenditures, Summary of categories, bank statements and settlement of Special Account.

iii) Responsibility for consolidation of requests for withdrawal of funds

The PAPT Treasury Team will be responsible for consolidating applications for withdrawal, after making payments for works, consulting services, and suppliers, substantiated with supporting documents such as invoices, fees, contracts and improvement works.

Complementary to the rules governing operations of foreign debt, the PAPT has issued directives that govern the payment valuations process under loan agreements signed with JICA.

Payment vouchers (bills and receipts from fees) will come in the name of the Executing Unit No. 004 - Water for All Program.

Withdrawal applications submitted to JICA must have the signature of the Coordinator of the PMU and the Head of the Administration Unit.

4.6 INTERNAL MONITORING AND ACCOUNT RECONCILIATION PROCESS

The program will have regular and mandatory processes to check the consistency of the movement of money between different areas and institutions involved in a string of spending, and to confirm the appropriate allocation of responsibilities.

4.6.1 Internal Monitoring

Steps along the control process:

Setting Performance Standards

The project implements the following policies of the Peruvian Government, which are aimed at achieving adequate control of Human Resources, processes, documentation, etc.

- i) Treasury guidelines (MEF)
- ii) Accountant guidelines (Accountant and General Comptroller of the Republic)
- iii) Logistic guidelines (Supervisor Agency of the State Contracts - OSCE¹⁶) y Procurement guidelines from JICA.

All of these are attempts to provide a legal framework favoring the effectiveness and efficiency in the implementation of expenditure, for which it will be necessary to perform the following steps:

- i) Control of documents
- ii) Monitoring of deadlines, responsible areas or persons, stages, firms, means of support, and so on.
- iii) Concurrent Control: verification at the time of issuing checks.
- iv) At each stage of the process (logistics, accounting and treasury)

Likewise, the Integrated Financial Management System (SIAF) is a tool of control in the Peruvian Government, as it records all stages of expenditure implementation before the approval of the Ministry of Economy and Finances.

¹⁶ *Organismo Supervisor de las Contrataciones del Estado*

Measuring performance

The program through the Housing Administration System (SAV) and the Monitoring and Evaluation System will perform information management processes.

4.6.2 Reconciliation of Accounts as a measure of control

The Treasury Team is responsible for preparing the monthly report of the reconciliation of the Cash and Bank Book, contrasted with the bank statement and the information included in the SIAF system for the special account, operating account, Regular Resources Account and Transfer of Municipalities and / or regional governments. The reconciliation of payments received from the JICA Loan and the settlements of the special account and the loan account shall be carried out every six months with the National Directorate of Public Debt.

4.7 AUDIT MECHANISMS

Appointment of audit firms

The audit program shall be implemented by a company with qualified and independent auditors for conducting subsequent external monitoring work, selected and contracted in accordance with Law No. 27785 "Organic Law of National Control System and the Comptroller General of the Republic" and the Resolution of the Comptroller No. 162-93-CG. The auditors assess the activities and operations of the program, announce their opinion on the reasonableness of the financial statements, and assess the management, recruitment and use of resources.

Audit implementation

Project accounts, including contracts, modifications and amendments, as well as deposits and withdrawals from the Special Account will be audited annually by the auditing firm within the terms and conditions set forth under the acceptance of JICA.

Audit reports

The annual audits will be submitted to JICA within six months before the end of the borrower's fiscal year. Copies of these reports will be forwarded to the holder of the budget statement and the PMU.

The audit reports should include: financial statements, sources and uses, use of funds, expenditure statements, compliance with contractual terms, the Special Account, the procedures and internal controls of the project, and physical progress contrasted with the financial developments and progress of the Procurement Plan.

The reports audited according to the rules of Peru must include: the short report; the long report, which includes comments, observations and recommendations of the internal control system and relevant information that affects or could affect the accuracy of financial statements; and the budget report that accounts for budgetary procedures and practices followed by the project. These reports will be sent to the Comptroller of the Republic and the financial institution (JICA).

CHAPTER V: MONITORING AND EVALUATION OF THE PROGRAM

5.1 INTRODUCTION

This chapter presents the tools that will ensure the efficient implementation of planned activities and achievement of the objectives, goals and budget for program development. For this reason, we will describe the management, monitoring and evaluation system, the progress reports and annual reviews, and the Program Impact Assessment.

Monitoring and evaluation of the Program implementation is conducted through a specialist from the Program Management Unit, based on the Annual Operating Plan, and having as reference the objectives and targets set out in the Logical Framework of the Program.

Monitoring and evaluation will take place each year for the physical and financial progress, as well as for the Annual Procurement Plan, and it includes:

- Continuous monitoring of the development of activities and products defined within each contract (Operational Consultant, Supervising Consultant, and Contractor, among others), to ensure compliance with contracts awarded to firms and / or individual consultants required for implementation of the program components.
- Reports will be prepared quarterly, semiannually and annually about the implementation progress of projects by stage, on the basis of the Operational Plan and Procurement Plan Scheduled annually (physical, financial and procurement targets).

5.2 MANAGEMENT, MONITORING AND EVALUATION SYSTEM OF THE PROGRAM

Monitoring and evaluation of the program management is based on the definition of indicators of inputs, processes, outputs, outcomes and impacts. Through these, the monitoring of the execution of processes of call shall be able to take place, as well as the supervision and evaluation of the completion of the goals established by the Program, and the evaluation of short, medium, and long term results for the benefitting population.

The monitoring and evaluation system should have a schedule of activities and outcome and impact indicators, as well as institutional strengthening indicators; the specific objectives are:

- Identify control milestones and management indicators of the procedures of the Program.
- Create a "control panel" with indicators that measure the management of internal processes and goals of each component of the program.
- Create mechanisms for automation of alarms for early detection of delays.

- Define the flow and database, as well as the management, baseline and impact indicators of the program.
- Support the preparation of monitoring reports (quarterly), budget evaluation reports (semiannually), evaluation reports about the progress in the Institutional Operational Plan (quarterly), and monitoring and evaluation reports (monthly and quarterly).
- Generate management information for each of the components of the program according to the project cycle.
- Arrange staff and institutional training for the personnel and institutions involved in the project and in the monitoring and evaluation of program management.
- Determine the effectiveness and administration of the Program.
- Synthesize and disseminate results and lessons learned related to the efforts made to strengthen the capacity of those involved in the program.

5.3 MONITORING REPORTS OF THE PROGRAM

The PMU of the Program, through the financial and physical monitoring reports of the procurement plan, will report quarterly progress reports about the overall program, detailing the scope and restrictions to progress of development of activities by component.

a. Quarterly reports

The quarterly reports are designed to track the implementation of projects under components 1 and 2 of the program. The reports should provide information required, starting with the initial assessment and progress in program implementation, and they must be linked with information on financial, physical and procurement progress. The reports must contain:

Financial reports

Must include at least the status of cash receipts by sources and uses of funds by major expenditure categories; the opening cash balances and cash balances at the end of the Program; the annexes must include the support documentation which compares actual expenditures with those expected, for the fourth quarter and the cumulative financial costs to the date of the report.

Reports on physical progress

These contain a description and progress and / or outcomes indicators of the major activities of each component of the Program, linking financial information with physical progress and highlighting the aspects that must be addressed.

Reports on procurement progress

Reports must include information on procurement of goods, services and selection of consultants, in accordance with agreed procurement methods. The reports should compare the performance of the procurement process with the plan agreed on at negotiations or subsequently updated. In addition to the progress of procurement, the reports should contain information on all authorized modifications of the contract.

b. Responsibility for preparing reports

The responsibilities for the preparation of reports fall within the following areas:

Program Management Unit (PMU)

The Program Management Unit, through the General Coordinator, has the responsibility to establish and maintain adequate arrangements for financial management, procurement and monitoring of the physical progress of each component of the program, to finally consolidate and reconcile all the necessary information in order to prepare the corresponding reports.

General Coordinator of the PMU

The General Coordinator of the PMU is responsible for ensuring the preparation of comprehensive quarterly reports and ensuring their timely delivery to the Executive Directorate of the PAPT and the financial institution.

Technical Area

Prepare reports on the physical progress of projects according to planned targets by quarter in the Operational Plan, detailing the scope and limitations for the development of the activities of each component.

Administration Office of PAPT

Reports of Sources and Uses of Program Funds (financial reporting) should be prepared by Accounting specialists from the Administration Office of the PAPT on the basis of the information reported by the SAV, and documentation necessary to: (i) verify financial transactions, (ii) facilitate the timely preparation of financial statements and reports, (iii) allow the identification of involvement of funding sources, and (iv) allow the identification of goods and services purchased and contracted, and their use.

5.4 ANNUAL REVISIONS

By December 31 of each year, or the date specified in the Loan Agreement, the PMU of the Program should prepare the annual report so JICA can carry out the joint evaluation of Program implementation.

5.5 EVALUATION SYSTEM AND IMPACT ASSESSMENT OF THE PROGRAM

The system is based on information from the baseline and ex-post evaluation. The main impact indicators of the program are:

| Objectives | Indicators |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Improve access, quality and sustainability of water and sanitation services in rural communities of the Amazon area located in the regions of Amazonas, Loreto, Ucayali, San Martin and Madre de Dios. | <ul style="list-style-type: none">• Rate of incidence of infectious diseases, mainly intestinal, in children under 5 years.• N° of new water systems.• N° of water systems rehabilitated, improved and / or expanded.• N° of villages with a continuity of no less than 12 hours of water service.• N° of systems that apply disinfection in water service.• N° of sanitation modules built.• % of families that make proper use of sanitation modules.• N° of families trained in health education and hygiene practices. |
| Develop capacity in local governments and operators of the Water and Sanitation Services. | <ul style="list-style-type: none">• N° of staff trained in supervision, oversight and technical support for operators in W&S systems.• N° of operators trained in operation and maintenance of W&S systems. |

5.6 PROGRAM SUPERVISION

JICA will oversee the program through field missions, whose frequency will be determined by the POA requirements.

APPENDICIES

APPENDIX 1: TERMS OF REFERENCE

APPENDIX 2: GUIDELINES FOR EXECUTION OF WATER AND SANITATION PROJECTS IN THE RURAL AMAZON PROGRAM, THROUGH NUCLEAR EXECUTORS

APPENDIX 1: TERMS OF REFERENCE

| | | |
|-----------|------------------------------------------------------------------------------------|-----------------|
| 1. | GENERAL COORDINATOR | ANX-1-1 |
| 2. | ASSISTANT MANAGER OF THE PROGRAM MANAGEMENT UNIT | ANX-1-3 |
| 3. | THE PERSON RESPONSIBLE FOR CAPACITY-BUILDING OF THE SECTOR OF THE PMU | ANX-1-5 |
| 4. | TECHNICAL COORDINATOR OF THE PMU | ANX-1-7 |
| 5. | MONITORING AND EVALUATION SPECIALIST OF THE PMU | ANX-1-9 |
| 6. | CONTRACT ADMINISTRATOR OF THE PMU | ANX-1-11 |
| 7. | SOFT-COMPONENT SPECIALIST FOR RURAL AREAS | ANX-1-13 |
| 8. | PROCUREMENT SPECIALIST OF THE PMU | ANX-1-15 |

PROGRAM MANAGEMENT UNIT TEAM OF THE WATER SUPPLY AND SANITATION IMPROVEMENT PROJECT IN THE RURAL AMAZON AREA

TERMS OF REFERENCE

1. GENERAL COORDINATOR

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (*Dirección Nacional de Saneamiento*, or DNS) from the MVCS (*Ministerio de Vivienda, Construcción, y Saneamiento*, or Ministry of Housing, Construction, and Sanitation) to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (*Sistema Nacional de Inversión Pública*, or SNIP), and was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (*Dirección General de Programación Multianual*, or DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the General Coordinator of the Program's PMU.

The financing for this professional is included in Component 3 of the Program.

In this context, we formulate the Terms of Reference for the recruitment of the **General Coordinator of the PMU** of the Program.

OBJECTIVE:

To hire a professional responsible for the general coordination of the Program's PMU, who will be in charge of the planning, implementation, monitoring, and evaluation of the program.

ACTIVITIES TO BE DONE:

- Plan, organize, manage, control, deploy, implement and evaluate program activities.
- Ensure the efficient management of the entire Program Management Unit.
- Ensure the strict execution of the agreements made by the Peruvian Government under the JICA Loan Agreement.
- Authorize the administrative, financial and budget activities to be implemented through the Management General Office of PAPT (*Programa Agua Para Todos*, or Water for All Program) and the Office of Planning and Budget (*Oficina General de Planeamiento y Presupuesto*, or OGPP), with respect to Program implementation.

- Sign contracts whose delegation is expressly defined by the Executive Director of PAPT.
- Supervise, monitor and evaluate the physical and financial implementation as well as the carrying out of acquisitions in the Program.
- Act as the sole interlocutor with the JICA, MEF and other institutions related to the program.
- Represent the program officially in the coordination activities with public and private entities, as well as funding agencies.
- Approve the technical files, consulting studies and reports that the PMU calls.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Maintain constant coordination and information with the Executive Director of PAPT.
- Generate and maintain close coordination with the Technical Coordinator in order to ensure a constant flow of information as well as implementation of the project activities.
- Validate permanently the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

REPORTS:

The General Coordinator will prepare an annual report that reflects the accomplishment of the activities established in the Annual Operative Plan, which will be forwarded to the Vice-Minister of Construction and Sanitation, the Executive Director of the Water for All Program, and to JICA, for their information.

Additionally, reports of activities should be submitted monthly.

EFFECTIVE PERIOD:

Coordinator services will last until the end of the program, 31 December, 2020. Contracts will be renewed annually and only after the approval of the services by the Executive Director of the Water for All Program.

PROFILE:

- Professional qualification in Engineering or Business Administration.
- Completed MBA studies or Masters in areas related to project management.
- Professional experience of at least 10 years, preferably in the Water and Sanitation Sector.
- Professional experience in implementing water and sanitation projects in rural areas.
- Experience in managing projects with international cooperation.
- Has previously held management positions in public and / or private organizations.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be S/_____, with partial payments of S/ _____ per month.

COORDINATION AND SUPERVISION

The General Coordinator will depend hierarchically on the Executive Director of the PAPT and functionally on the Vice-minister of Construction and Sanitation.

EVALUATION

Management by the General Coordinator will be evaluated by the Executive Director of PAPT in compliance with Annual Operative Plan during the implementation of the Program.

TERMS OF REFERENCE

2. ASSISTANT MANAGER OF THE PROGRAM MANAGEMENT UNIT

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Assistant Manager of the PMU** of the Program.

OBJECTIVE:

To hire a professional as Assistant Manager of the PMU of the Program.

ACTIVITIES TO BE DONE:

- Receive, review, enter, store and maintain documentation of the PMU.
- Organize and maintain the agenda, telephone calls, travel, meetings and other activities of the General Coordinator.
- Participate in defining the needs of office supplies and furniture for the PMU.
- Monitor outstanding documentation of response by the General Coordinator of the PMU according to the stipulated deadlines.
- Prepare documentation for the General Coordinator and support the development of general documentation of the PMU.
- Attend to external officials and visits from the PMU.
- Coordinate and / or inform staff of the Ministry and the general public about the project and / or procurement processes carried out or in process.
- Make written communications, by telephone or personal, and in English when necessary.
- Coordinate with relevant administrative bodies about the logistical support for carrying out all activities of the PMU.
- Other activities assigned by the General Coordinator.

WORK METHOD:

In the context of the present terms of reference, the work method will intend to ensure the proper implementation of activities within the following lines of permanent action:

- Generate and maintain close coordination with the Technical Coordinator and other specialists in this area in order to ensure a constant flow of information in the project to facilitate the development of water and sanitation activities within the beneficiary areas.
- Validate permanently the results of the work developed.
- Register valid experiences to be systematized and used in implementing similar programs.

REPORTS:

The Assistant Manager will prepare an annual report, which reflects the accomplishment of the activities established in the Annual Operative Plan.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, 31 December, 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Graduate in secretarial Management Assistance, Business Assistance or Administrative Assistance.
- Minimum of 05 years experience in public or private sector.
- Work experience with teams of no fewer than 15 people.
- Knowledge of office software, Windows Vista, Office XP (Word, Excel, PowerPoint), Internet, intranet and office monitoring systems.
- Very good command of Spanish and English.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be S/., with partial payments of S/. per month.

COORDINATION AND SUPERVISION

The Assistant Manager will work under the supervision of the General Coordinator from the PMU, who will approve his or her work.

TERMS OF REFERENCE

3. THE PERSON RESPONSIBLE FOR CAPACITY-BUILDING OF THE SECTOR OF THE PMU

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Person Responsible for Capacity-Building of the Sector of the Program Management Unit** in activities related to the Program.

OBJECTIVE:

To hire a professional responsible for the execution, supervision and monitoring of the Institutional Strengthening of the Sector in activities related to the Program, whose execution is in charge of the Viceminister of Construction and Sanitation through the National Sanitation Directorate (DNS).

ACTIVITIES TO BE DONE:

- Assist the General Coordinator in the development of consultancies or activities designed to strengthen the executing capacity of PAPT in rural areas.
- Prepare the Terms of Reference and Requests for Proposals for invitations to contract consultants.
- Monitor the development of activities aimed at strengthening the executing capacity of PAPT, coordinating with the National Directorate of Sanitation and the Executive Directorate of the Water for All Program.
- Prepare reports and information required by the General Coordinator of the PMU program.
- Any other functions assigned by the General Coordinator.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Generate and maintain a constant coordination with the National Director of Sanitation, the Executive Director of PAPT Program and the General Coordinator of the PMU to ensure a permanent flow of information and of execution of actions within the project.
- Permanently validate the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

- Ensure the update and accomplishment of National Policy of Sanitation in the Program and feedback the sector through the program experience.

REPORTS:

The Assistant Manager will prepare an annual report, which reflects the accomplishment of the activities established in the Annual Operative Plan.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, 31 December 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Professional qualification in Engineering or Business Administration.
- Completed postgraduate studies or Masters in areas related to institutional development.
- Professional experience of at least 8 years in the Water and Sanitation Sector.
- Professional experience in the development of sectorial development strategies, financial policy or water and sanitation services management.
- Experience in managing projects with international cooperation.
- Has a lead multi-disciplinary project team.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be S/_____, with partial payments of S/ _____ per month.

COORDINATION AND SUPERVISION

The professional will work under the supervision of the General Coordinator from the PMU, who will approve his or her work.

TERMS OF REFERENCE

4. TECHNICAL COORDINATOR OF THE PMU

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Technical Coordinator of the PMU** of the Program.

OBJECTIVE:

To hire a professional responsible for Technical Coordination, the area in charge of the operative management, execution, supervision and monitoring of Components 1 and 2.

ACTIVITIES TO BE DONE:

- Coordinate, evaluate, supervise and monitor the implementation of Components 1 and 2 of the program.
- Oversee the implementation of the projects implemented by FONCODES, until the implementation phase (59 projects).
- Responsible for the advance of Components 1 and 2 in their care, according to the Annual Operative Plan (POA: *Plan Operativo Anual*) and coordination with the OC so that resources are available as needed for the implementation of the program.
- Manage the development of Short Lists, Terms of Reference, and Requests for Proposals for the calls of Operating Consultant, Supervising Consultant, Works Contractor, Social and Technical Operators and Supervisors.
- Propose the special evaluation committee responsible for carrying out the selection processes of Operating Consultant, Supervising Consultant, Works Contractor, Social and Technical Operators and Supervisors.
- Oversee the contract administration of Operating Consultant, Supervising Consultant, Works Contractor, Social and Technical Operators and Supervisors; to be carried out by area staff.
- Participate in developing the Annual Operative Plan and Procurement Plan.
- Prepare and submit the reports and the information required by the General Coordinator.
- Any other functions assigned by the General Coordinator.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Generate and maintain a constant coordination with the General Coordinator, the OC, as well as his team to ensure a permanent flow of information in the project that facilitates development of Program activities in Components 1 and 2.
- Permanently validate the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

PRODUCTS-REPORTS:

The Technical Coordinator will prepare an annual report that reflects the accomplishment of the activities established in the Annual Operative Plan related with the implementation of Components 1 and 2.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, December 31, 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Professional qualification in Sanitation or Civil Engineering.
- With completed master studies in areas related to project management.
- Professional experience of at least 8 years in the Water and Sanitation Sector.
- Professional experience in the development of water and sanitation projects in rural area.
- Experience in managing projects with international cooperation.
- Have held management positions in public and / or private organizations.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be of S/_____, with partial payments of S/ _____ per month.

COORDINATION AND SUPERVISION

The Technical Coordinator will work under the supervision of the General Coordinator from the PMU, who will approve his/her work.

TERMS OF REFERENCE

5. MONITORING AND EVALUATION SPECIALIST OF THE PMU

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Monitoring and Evaluation Specialist** of the PMU of the Program.

OBJECTIVE:

To hire a professional responsible for the monitoring and evaluation of the activities to be developed by the program team (Operating Consultant, Supervising Consultant, Works Contractor, Social and Technical Operators and Supervisors) as established in their contracts.

ACTIVITIES TO BE DONE:

- Make field visits to follow up and monitor the work of the operators and Program Managers.
- Collect field data to feed the system of monitoring and evaluation of the PMU.
- Prepare reports and recommendations of the field visits under a multidisciplinary approach.
- Evaluate the actions of the operators and the Program agents in coordination with the Contract Administrator.
- Verify that the program strategy, expressed in the Operational Manual will be completely honored.
- Prepare and submit the reports and information required by the Contract Administrator and Technical Coordinator.
- Any other functions assigned by the Technical Coordinator.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Generate and maintain a constant coordination with the Technical Coordinator and the other specialists to ensure a permanent flow of information in the project that facilitates development of Program activities in Components 1 and 2.
- Permanently validate the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

PRODUCTS-REPORTS:

The professional will prepare an annual report, which reflects the accomplishment of the activities established in the Annual Operative Plan.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, December 31, 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Professional qualification in Sanitation or Civil Engineering.
- With completed postgraduate or master studies in areas related to the activities to be performed.
- Professional experience of at least 5 years, of which at least 3 are related to the Water and Sanitation Sector, with preference in the rural sector.
- General knowledge in management, operation and maintenance of water and sanitation services in rural areas.
- Experience in working with multidisciplinary project teams.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be of S/_____, with partial payments of S/ _____ per month.

COORDINATION AND SUPERVISION:

The professional will work under the supervision of the Technical Coordinator from the PMU, who will approve his/her work.

TERMS OF REFERENCE

6. CONTRACT ADMINISTRATOR OF THE PMU

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), and was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Contract Administrator** of the PMU of the Program.

OBJECTIVE:

To hire a professional responsible for the contract administration of the OC, SC and Work contractor, and who gives additional advising in technical engineering aspects related to the implementation of the Program.

ACTIVITIES TO BE DONE:

- Manage a group of contracts for the OC, SC and works contractor to be assigned by the Technical Coordinator, and monitor, supervise and coordinate with local authorities where the projects are executed in order to meet the goals in the contracts themselves.
- Integrate the special evaluation committee to select and award the contracts of the OC, SC and works contractors.
- Develop the Terms of Reference related to the technical aspects of engineering required to implement the program.
- Evaluate the actions of the OC, SC and Works Contractors in order to validate the intervention if it is developed successfully.
- Provide compliance, prior to the Technical Coordinator's approval, for the payment of the OC, SC and Works Contractors in accordance with the agreements specified in their contracts.
- Prepare and submit reports and information required by the Technical Coordinator.
- Any other functions assigned by the Technical Coordinator.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Generate and maintain a constant coordination with the Technical Coordinator and the other specialists to ensure a permanent flow of information in the project that facilitates development of Program activities in Components 1 and 2.
- Permanently validate the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

PRODUCTS-REPORTS:

The professional will prepare an annual report, which reflects the accomplishment of the activities established in the Annual Operative Plan.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, December 31, 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Professional qualification in Sanitation or Civil Engineering.
- With completed postgraduate or master studies in areas related to Project Management.
- Professional experience of at least 5 years, of which at least 3 are related to the Water and Sanitation Sector, with preference in the rural sector.
- General knowledge in management, operation and maintenance of water and sanitation services in rural areas.
- Experience in working with multidisciplinary project teams.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be of S/_____, with partial payments of S/_____ per month.

COORDINATION AND SUPERVISION:

The professional will work under the supervision of the Technical Coordinator from the PMU, who will approve his/her work.

TERMS OF REFERENCE

7. SOFT-COMPONENT SPECIALIST FOR RURAL AREAS

BACKGROUND

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Soft-Component Specialist for Rural Areas** of the PMU of the Program.

OBJECTIVE:

To hire a professional responsible for the soft-component intervention for the Program in rural areas through the participation of program agents (OC, SC, Work contractors and others).

ACTIVITIES TO BE DONE:

- Design and develop instruments, to be applied through the Program Agents, which carry out the activities of institutional strengthening of municipalities in the beneficiary areas of the Component 1.
- Define messages, information and training needs for each one of the different actors of Components 1 and 2 of the Program.
- In the area of soft-component participation, define tools to: identify beliefs, customs and assumptions of the population, rights, social responsibility and citizenship, as well as the meaning of sustainability in the understanding of the population, municipal governments and Boards for Sanitation Services Administration (JASS: *Junta Administradora de Servicios de Saneamiento*).
- Develop instruments and tools to evaluate the actions in the soft-component area of the Program Agents in Components 1 and 2 in order to validate and systematize intervention.
- Develop Terms of Reference relating to the soft-component aspects of consultancies of Components 1 and 2, required to implement the program.
- Prepare, upon request, technical and soft-component material in order to establish proposals for standardization of techniques, procedures, and others that simplify processes linked to the intervention in Components 1 and 2 of the Program.
- Carry out workshops, meetings and other events to enable the exchange of experiences among the Program Agents in Components 1 and 2 of the Program.
- Prepare and submit reports and information required by the Technical Coordinator.
- Any other functions assigned by the Technical Coordinator.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Generate and maintain a constant coordination with the Technical Coordinator and the other specialists to ensure a permanent flow of information in the project that facilitates development of Program activities in Components 1 and 2.
- Permanently validate the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

PRODUCTS-REPORTS:

The professional will prepare an annual report, which reflects the accomplishment of the activities established in the Annual Operative Plan.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, December 31, 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Professional qualification in Sociology, Anthropology, Social Work or others.
- With completed postgraduate or master studies in areas related to Social Project Management.
- Professional experience of at least 5 years, related to the Water and Sanitation Sector, with preference in the rural sector.
- Experience in implementing projects that incorporate social aspects as a key component for achieving the objectives.
- Experience in working with multidisciplinary project teams.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be of S/_____, with partial payments of S/ _____ per month.

COORDINATION AND SUPERVISION:

The professional will work under the supervision of the Technical Coordinator from the PMU, who will approve his/her work.

TERMS OF REFERENCE

8. PROCUREMENT SPECIALIST OF THE PMU

BACKGROUND:

From an exploratory study in rural Amazon villages, the Japan Bank for International Cooperation (JBIC) expressed its interest in supporting the Peruvian Amazon area and coordinating with the National Sanitation Directorate (DNS) from the MVCS to identify and develop the Program. The pre-Investment study at the first level (*Perfil*), required by the National Public Investment System (SNIP), was conducted from June to September 2008. The profile was assessed and approved by OPI-VIVIENDA and after that, with Official Letter N° 295-2009/VIVIENDA-OGPP from July 1, asked the General Directorate for Multi-Year Programming (DGPM), from the Ministry of Economy and Finance (MEF), to authorize the development of the Pre-investment study at the feasibility level.

With Official Letter N° 2099-2009-EF/68.01, dated 04.09.2009, and Technical Report No. 118-2009-EF/68.01, the DGPM authorized the DNS to proceed with the preparation of the Feasibility Study.

In this context and within the proposed organizational structure for the program, it will be necessary to find professionals with knowledge and experience in implementing such programs.

Furthermore, the agreements between the Peruvian Government and JICA establish that the Operational Manual is the document that provides the rules and procedures for implementing the Program, for which the structure of the PMU program has foreseen the need to have a professional responsible for overall program coordination.

Funding for this Professional Program of the PMU is provided in Block 3 of the program.

In this context, we formulate the Terms of Reference for the recruitment of the **Procurement Specialist** of the PMU of the Program.

OBJECTIVE:

To hire a professional responsible for the procurement processes of works, services and consulting services as established in the Operational Plan and Procurement Plan.

ACTIVITIES TO BE DONE:

- Prepare the Procurement Plan of the Program as directed by the Technical Coordinator of PMU; this plan must correspond with the Annual Operative Plan.
- Schedule the procurement processes in accordance with the Procurement Plan and the applicable rules under the Loan Agreement.
- Implement a Contract Management System that allows for preparation, monitoring and compliance of all contracts arising from the activities of the PMU.
- Advise the Procurement Committees in the preparation of tender documents, price bidding, and requests for proposal for selection of consultants, procurement of goods and works.
- Coordination and advising in the evaluation of tenders and preparing bid evaluation reports to be approved by the Standing Committee.
- Coordination and supervision of contracts for works, goods and services until delivery of final products.
- Organization and management of the recruitment file of the program.
- Perform other related activities in procurement and contracting upon request of the Program Coordination.
- Advise Program Agents (OC, SC, contractors and other actors in the program) regarding the preparation of the processes, as necessary to the program.
- Give advice on the preparation of the technical - economic assessments, according to the formats set out in the JICA Guidelines.

WORK METHOD:

In the context of the present terms of reference, the work method is intended to ensure proper implementation of activities within the following lines of permanent action:

- Generate and maintain a constant coordination with the Procurement Area from the PAPT Program, the General Coordinator and the Operative Coordinator from the PMU.
- Permanently validate the results obtained by the entire staff of the Project Management Unit.
- Register valid experiences to be systematized and used in implementing similar programs.

PRODUCTS-REPORTS:

The professional will provide information about its activities to the Technical Coordinator in order to prepare the quarterly reports of the Procurement Plan.

Additionally, monthly reports of activities should be submitted.

EFFECTIVE PERIOD:

Services will last until the end of the program, December 31, 2020. Contracts will be renewed annually and only after the approval of the services by the General Coordinator of the PMU.

PROFILE:

- Professional qualification in Engineering, Administration, Accountability or Economics.
- Professional experience of 5 years in the public sector, in the logistic area, under the National Rules.
- At least 3 years working in Procurement with rules from JICA, BIRF or BID.
- Leadership, ability to work as a team and under pressure, ability to coordinate inter-disciplinary groups of professionals.

CONSULTING COSTS AND PAYMENT:

The annual cost of the contract will be of S/_____, with partial payments of S/ _____ per month.

COORDINATION AND SUPERVISION:

The professional will work under the supervision of the Technical Coordinator from the PMU, who will approve his/her work.

APPENDIX 2

APPENDIX 2:

GUIDELINES FOR EXECUTION OF WATER AND SANITATION PROJECTS IN THE RURAL AMAZON PROGRAM, THROUGH NUCLEAR EXECUTORS

The following guidelines are designed for all actors who participate in execution of projects in the Water and Sanitation Program for the Rural Amazon Area through the Nuclear Execution model.

The objective of this document is to define the criteria and guidelines to ensure the proper administration of resources, to enable the proper execution of works, and to facilitate the performance of the Representative Body of the Nuclear Executor, On-Site Project Manager and Site Supervisor, Local Municipality, Regional Management Unit (RMU) / Program Management Unit (PMU) and from the PAPT.

Any further information may be requested from the PMU.

APPENDIX 2:

GUIDELINES FOR EXECUTION OF WATER AND SANITATION PROJECTS IN THE RURAL AMAZON PROGRAM, THROUGH NUCLEAR EXECUTORS

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FORMATS

GUIDELINES FOR EXECUTION OF WATER AND SANITATION PROJECTS THROUGH THE RURAL AMAZON PROGRAM, WITH NUCLEAR EXECUTORS

1. MAIN ASPECTS

Public entities are authorized by Emergency Decree No. 085-2009, according to their competence, to implement public investment projects and infrastructure maintenance projects under the Nuclear Execution model, under the Economic Stimulus Plan to release the effects of external shocks.

As part of this Emergency Decree, the Ministry of Housing, Construction and Sanitation, through Ministerial Resolution No. 022-2010-HOUSING on February 3, 2010, adopted the Directive No. 002-2010-HOUSING, "Procedures to attend to applications of Nuclear Executors in the Ministry of Housing, Construction and Sanitation", in order to consider a new management tool to guide the attention of Nuclear Executors' requests, which will be applied by the offices and programs of the Sector, as well as representatives of the Nuclear Executors and other agents who participate in the project implementation.

2. GUIDELINE OBJECTIVES

- ✓ Establish procedures for the execution of works, through Nuclear Executors of the Water Supply and Sanitation Program in the Rural Amazon Area.
- ✓ Regulate the work to be undertaken by the Representative Board of the Executing Core, On-Site Project Manager, and Site Supervisor, during the implementation process and completion of the water and sanitation works through Executive Core Model, the Program.

3. LEGAL FRAMEWORK

Directive N° 002-2010-HOUSING the present guideline are based on the legal framework detailed below:

- ✓ Law N° 27444, General Law of the Administrative Procedures.
- ✓ Emergency Decree N° 085-2009, which authorizes public entities to execute public investment projects and maintenance of infrastructure the Nuclear Execution model.
- ✓ Ministry Resolution N° 391-2009-PCM, modified by Ministry Resolution N° 523-2009-PCM, which approves the agreement format for the public investment Project or infrastructure maintenance Project under Nuclear Execution model.
- ✓ Decentralization Secretariat Resolution No. 040-2009-PCM/SD, modified by Nuclear Executors and approve its Rules.
- ✓ Directorial Resolution N° 002-2007-EF/77.15, modified by Directorial Resolution N° 037-2007-EF-7.15, which approves the Treasury Directive N° 001-2007-EF/77.15.
- ✓ Directive N° 002-2010-HOUSING, "Procedures for attending to Executing Core Requests at the Ministry of Housing, Construction and Sanitation".

4. SCOPE

This guide will be implemented and enforced by the Nuclear Executors involved in the implementation of water and sanitation projects under the Rural Amazon Program, according to the Emergency Decree N° 085-2009, as well as the bodies and programs of the Ministry of Housing, Construction and Sanitation.

The Regional Management Unit will recommend the execution model through Nuclear Executors, subject to market analysis of construction firms at the regional intervention area of the Program.

5. ACTIVITIES PRELIMINARY TO RECOGNITION OF NUCLEAR EXECUTORS

5.1 Promotion and diffusion phase

The municipal authorities of the areas identified for implementation of works by Nuclear Executors, with the support of the Promoter hired by the Regional Management Unit of the Program, should make the call to the general population, with the aim of promoting and spreading the benefits of Nuclear Executors and participating in the execution of the water and sanitation works included in the program.

5.2 Awareness workshop

The municipal authorities, in coordination with the soft-component specialist of the Regional Management Unit of the Program, will execute awareness workshops with the participation of the population in order to know the objectives, advantages, and benefits of organizing themselves in Nuclear Executors for the execution of the water and sanitation projects. The dissemination and promotion will consist of:

- ✓ Provide lectures to the target population;
- ✓ Disseminate procedure guidelines;
- ✓ Disseminate project benefits among the target population;
- ✓ Spread activities that promote Project sustainability;
- ✓ Identify and disseminate information regarding responsibilities of the Nuclear Executor;
- ✓ Promote the population's participation and commitment in project implementation;
- ✓ Promote citizen surveillance of Project implementation;
- ✓ Promote practices that help prevent environmental deterioration or pollution in the community.

5.3 Requirements to be elected President, Secretary or Treasurer of the Nuclear Executor.

To be elected as a representative of the Nuclear Executor, one must:

- ✓ Be a resident of the locality (in which the Nuclear Executor is set up) for at least two consecutive years or alternatively for the same period over the past four years until now.
- ✓ Not have any relative of first or second degree kinship serving as other directors of the Nuclear Executor or with the Overseer of the public entity.
- ✓ Not have any criminal record.

5.4 General Assembly for the Constitution of Nuclear Executor

The Nuclear Executors shall be agreed upon in a General Assembly meeting of the Community, where their representatives will be elected democratically:

- ✓ The number of people involved should not be less than one hundred (100) residents.
- ✓ Participants in the General Assembly propose their candidates for the positions established by law, which shall meet all the requirements established in Item 5.3.
- ✓ The positions for the representatives of the Nuclear Executor are: President, Secretary and Treasurer and are elected with at least the vote of half of the number of people plus one who make up the Nuclear Executor.
- ✓ The Overseer is appointed by the Public Entity, by Council Agreement, Mayor's Resolution, Regional Agreement or Authoritative Resolution, as applicable. This document will be forwarded to the Nuclear Executor, with the communication of the merits of the request to conclude the Agreement.
- ✓ The Act of Constitution of the General Assembly of the Nuclear Executor will be signed in original (1) and in as many copies as necessary. The representatives of the Nuclear Executor will be identified.

6. SIGNING OF THE AGREEMENT

After the detailed design of the project is approved, the Regional Management Unit of the Program, in coordination with the Local Municipality, will call the members of the Representative Board of the Nuclear Executor and the On-Site Project Manager to hear a talk regarding Technical, Administrative, Legal and Accounting Guidance. This will be carried out by the technical staff of the Program's Regional Management Unit and will be stated in the Record (Form N° 02). Then the Execution Agreement for Works will be signed and Technical File will be obtained.

The Execution Agreement shall be prepared by the Administrative and Financial Management Area of the PMU, based on a format approved by the General Office of Legal Counsel – OGAI (*Oficina General de Asesoría Jurídica*), having attached the respective proof of available budget issued by the General Office of Planning and Budget – OGPP (*Oficina General de Planificación y Presupuesto*). Once developed, it will be forwarded to the PMU for its subscription and registration.

In a period not exceeding ten (10) calendar days from the signature of the Execution Agreement with the Nuclear Executor, the PMU will ask the Head of Nuclear Executor at the Ministry for its registration in the Secretariat of the Decentralization of the Presidency of the Council of Ministers – PCM (*Presidencia de Consejo de Ministros*), and for the Nuclear Executor's registry in the National Registry.

7. REGARDING THE AGENTS WHO PARTICIPATE IN THE EXECUTION OF WORKS WITH THE NUCLEAR EXECUTORS

7.1. Representative Board from the Nuclear Executor

It consists of (4) people: President, Treasurer, Secretary, and the Overseer, who represents the Public Entity (Local Government, Regional or National Public Entity) that finances the project, as established by the Act of the Constitutional Assembly of the Nuclear Executor. In cases of change of any of these, the guidelines provided in Item 8.3.1 will be followed.

The Nuclear Executor will delegate to its Representative Board the responsibilities of execution, completion and settlement of the work; as well as of ensuring the future sustainability and operation of the project through the final transfer of work to the District Municipality.

His term starts and is effective from the date of the Act of Assembly in which they were elected.

His duties are established in the Execution Agreement and are complemented by the provisions considered in these Guidelines and in the Guidelines for Liquidation of Agreements financed by the Program, developed by the technical staff of the PMU.

7.2 On-Site Project Manager

A natural person, qualified and registered by the Regional Management Unit of the Program, and selected to perform the technical management of the Project according to the technical file approved. This professional also advises members of the Representative Board of the Nuclear Executor in the performance of their duties. He/She is responsible for the quality of the work, and together with the Representative Board of the Nuclear Executor, for the proper use of project funds, according to the terms of the Agreement.

The functions of On-Site Project Manager are stipulated in the Execution Agreement and in the Terms of Reference of the Contract signed with the Nuclear Executor, as established in these Guidelines and in the Guidelines for Liquidation of Agreements financed by the Program; it shall have the following functions:

- ✓ Develop technical capacity-building activities.
- ✓ Implement and verify the Environmental Management Plan of the Project, according to the approved budget and the Environmental Impact Evaluation Guidelines of the Program.

Design, together with the Representative Board of the Nuclear Executor, the Financial Statement Report of the Project and present it in the period established and accordingly to the Guidelines for Liquidation of Agreements financed by the Program.

7.3 Site Supervisor

A natural person, qualified and registered by the Regional Management Unit of the Program, who is selected for conducting the inspection and monitoring of the technical, administrative and environmental works and for verifying the compliance with the responsibilities of the various professionals and others involved in the implementation.

The Site Supervisor must ensure the compliance of the activities established in the following Guidelines and, among others, the following functions:

- ✓ Receive and review all documentation submitted by the Representative Board of the Nuclear Executor and / or On-Site Project Manager, issuing opinion on the matter and arranging its presentation to the Regional Management Unit of the Program no later than seven (7) calendar days from receipt. (Form N° 01).
- ✓ Take immediate action if he detects that any member of the Representative Board of the Nuclear Executor or Resident Engineer shows a lack of capacity, refuses to fulfill their obligations, or commits any other act against the terms of the Execution Agreement or interferes with the timely and efficient execution of works. It is recommended that the Site Supervisor maintain constant coordination with the Overseer of the Nuclear Executor.
- ✓ Ask for the call and / or participate in the General Assemblies of the community, when necessary (mainly in cases of presumed irregularities in the implementation, application for change of professionals or members of the Representative Board of the Nuclear Executor, draft amendment, or work stoppage, among others).

The participation of the Site Supervisor in the Assemblies of the community should be strictly limited to providing information, guidance and responses to the decisions made by the population.

- ✓ Perform appropriate follow-up to ensure that the On-Site Project Manager, together with the Representative Board of the Nuclear Executor, prepares and submits the Financial Report of the Work Implementation within deadlines and in accordance with the provisions of the Guidelines for Settlement of Agreements.

7.4 Incompatibility of duties

The activities of On-Site Project Manager and the Site Supervisor are simultaneously incompatible.

The **Site Supervisor** may not perform their duties on those projects in which he/she has participated as a project designer or project evaluator.

8. PROCEDURES DURING PROJECT EXECUTION

8.1 Antecedents

8.1.1 Bank account management

The Administrative – Financial area is responsible for the opening bank accounts at the *Banco de la Nación* (Bank of the Nation), and the Accounting area of the Program is responsible for the commitment, accrument and drawing for the verifications and negotiations of the case.

The respective Agreement having been signed, the Regional Management Unit of the Program requests to open a bank account in local currency in a bank authorized by the National Financial System, which will be declared as: Nuclear Executor, followed by the name of the viable project. That account will be considered as a "Joint Account", so that any withdrawal will require the presence and signatures of account holders: the Treasurer of the Representative Board of the Nuclear Executor and the On-Site Project Manager.

After the Agreement is signed, the Regional Management Unit of the Program (RMU) will issue a letter authorizing the Treasurer and Contractor to proceed with the firm's registration and the use of resources. Likewise, the Nuclear Executor shall sign the authorization letter to ask and receive bank accounts reports, payable to the Site Supervisor (Form N° 04).

PMU, through RMU, has the capacity to immobilize bank saving accounts in cases of possible irregularities and/or non-fulfillment of the conditions established in the Execution Agreement and the following Guidelines.

8.1.2 Prohibitions

- ✓ Open subsidiary accounts, in addition to the authorized ones.
- ✓ Open bank accounts with different a denomination than that established in the Agreement, unless a personal account.
- ✓ Delegate the management or administration of the account(s) or financing money in favor of any third party. Similarly, the On-Site Project Manager is unable to accept such delegation.
- ✓ Purchase capital goods not considered in budget funding.

Engaging in any of these prohibitions will bring about administrative actions without prejudice to initiate appropriate legal processes.

8.1.3 Interests, penalties, and surplus resources

Interests, penalties, and surplus resources could be invested in the works to cover budget gaps, additional and / or non-substantial modifications prior authorization of the Site Supervisor, through the work logbook. The penalties associated with the Site Supervisor will be used before approval of the Monitoring Program of the RMU.

8.1.4 About programming and expenditure authorization

- ✓ Members of the Representative Board of the Nuclear Executor, under the guidance of the On-Site Project Manager, will develop and sign the respective expenditure authorizations (Form N° 05) to ensure that bank withdrawals are made in a timely manner and obey the specific, immediate and pre-approved expenditure categories.
- ✓ Site Supervisor, President and Overseer of the Representative Board from the Nuclear Executor must take control of the expenditures which will be running after issuance of the authorization of expenditures, in strict adherence to the amounts detailed in the Work's Budget.
- ✓ The Site Supervisor will observe a spending authorization when some of the payments or withdrawals authorized by the Representative Board members of the Nuclear Executor are not justified and demand re-authorization.
- ✓ Any authorization of expenditures must be made by the On-Site Manager and have the V° B° of the President, Overseer and Supervisor, prior to the withdrawal of money and execution of expenditure.

8.2 Beginning and Execution

8.2.1 About the land delivery and beginning of execution

The On-Site Manager and Site Supervisor will stay in the locality where the work will be implemented in order to coordinate the delivery of land and proceed with the implementation, with the possibility of facing the following situations:

- a) If there is compliance between the technical file and the land, the Land Delivery Act will be signed (Form N° 09).
- b) If the work that results from the Agreement is partially executed; the On-Site Project Manager will certify that the funding does not include the items carried out or will otherwise proceed to calculate the deduction, taking responsibility together with the members of the Representative Board of the Nuclear Executor to refund the amount which is not considered for the implementation, as set out in Item 8.2.7 © of the following Guidelines; then, if the Site Supervisor gives his/her approval, he/she may authorize the signature of the Land Delivery Act.
- c) If the work that results from the Agreement were totally executed, or if it were implemented with funding sources different from those stated in the Agreement signed, the resolution of such a situation shall be arranged.

The Regional Management Unit shall authorize the beginning of the process of resolution of the Execution Agreement and shall notify the Representative Board of the Nuclear Executor and the On-Site Project Manager for the refund of funds by check payable to the PMU or PAPT from the Ministry of Housing, Construction and Sanitation. The resources disbursed will be taken into account, and will need a prior coordination with the Regional Unit of the Program. The return of the funds must be completed within a period not exceeding ten (10) business days of notification.

In case of non-fulfillment, the Regional Unit of the Program will begin the administrative and / or legal actions to recover unused funds.

- d) If any of the works does not satisfy that which was approved in the Technical File and requires technical changes, the actions to be taken will follow the conditions established in these Guidelines regarding the amendments to the Technical File (numeral 8.3.3.). After this, and prior to the approval of the amendment by the Regional Unit of the Program, the signature of the Land Delivery Act may be authorized, and acknowledgement of this signature may be communicated to the corresponding Municipality.

8.2.2 Execution Period and Work Progress Timeline

- a) The On-Site Project Manager must comply with the Valued Work Progress Timeline (Form N° 03) and will be responsible of the undue delay or cessation of the same. In these cases the schedule must be updated in order to allow for compliance with the deadline initially established in the agreement. The Work Supervisor shall verify and enforce this Schedule.
- b) If the actual work progress is less than 75% of the progress timeline, the Resident and members of the Representative Board of the Nuclear Executor will be notified.
- c) If an unreasonable delay produces physical progress valued at less than 75% of the progress scheduled, the Resident should reschedule, within 7 days of the month following the recovery, the activities in order to accelerate the implementation of work (accelerated schedule) and ensure the completion of the work on time. It is mandatory that this schedule be submitted to the Site Supervisor in his/her next visit.
- d) If unreasonable delay continues, it will be considered non-fulfillment of duties on the part of the On-Site Supervisor and the Representative Board of the Nuclear Executor, and the administrative measures outlined in the Execution Agreement and the professionals' contracts shall be applied.

8.2.3 Community Cofinancing

If in the Execution Agreement, the Nuclear Executor agrees to cooperate in implementing the work by providing communal contribution, this may be considered for the following areas: land, equipment, infrastructure, facilities, tools, construction materials, other materials, labor, transportation or transfer, etc., whose fees are fixed in the budget of the project.

Community contribution must be made during execution of works.

Any additional contribution should be quantified and reported monthly in the "Valuation of Communal Contribution" form (Form N° 15).

In case of co-financing from other institutions, it should be effective preferably before the start of works.

The Nuclear Executor's contribution of free labor, through communal work, must be quantified by the On-Site Project Manager and must be registered in the project logbook. This contribution should be classified in Accounting as communal contribution.

9. ABOUT THE UNSKILLED LABOR PAYMENT

Unskilled labor must belong to the community.

Skilled labor could come from another location as an exception, granted that the community is as close as possible and that labor is only used in number and expertise that does not exist in the beneficiary community of the Project.

The On-Site Project Manager will verify that members of the Representative Board of the Nuclear Executor give a labor payment according to the wages specified in the Technical File Budget that is attached as an annex to the Execution Agreement, checking that the payment is made for each "day actually worked" in a timely manner.

Control and payment must be in compliance with the formats of the Worksheets and Wages List (Form N° 06, 07 and 08).

The On-Site Project Manager and the Overseer should monitor monthly payments to the foreman, which should be carry out in proportion to the progress of work, valued in the month, if and only if the foreman has met his participation rate.

10. ABOUT THE ACQUISITION OF MATERIALS, TOOLS AND RENTAL OF EQUIPMENT

- a) The On-Site Project Manager must advise and caution that the members of Representative Board of the Nuclear Executor purchase tools and materials according to the Schedule of Expenditures presented and with the characteristics of quality and guarantee established by the technical specifications approved.

- b) Members of the Representative Board of the Nuclear Executor, under their responsibility, must purchase the same material, according to the following rules:

Directly, (preferably considering the general estimates made) if the total input in the budget is equal to or less than soles (S/.....)

With three (03) specific estimates at least, if the total input in the budget is greater than thousand soles (S/.....).

To determine the acquisition model, the number and total cost of the equipment needed for the project until its completion will be considered.

- c) With respect to the acquisition and / or rental of tools and equipment, considered specifically in the Technical File, an annex of the Execution Agreement, it is the responsibility of the members of the Representative Board of the Nuclear Executor to acquire materials according to the following models:

Directly (preferably in general estimates made) if the total amount is equal to or less thansoles (S /)

By at least (03) specific contributions if the total amount is greater thansoles (S /).

- d) The payment for the purchase of materials or tools shall be made against delivery of the goods, receiving the respective voucher. It is forbidden to make advance or on account payments.

On account payments will be accepted only in special cases. Previously, the necessary guarantees must be obtained for the timely delivery of goods or fulfillment of the service (cashier check payable to Nuclear Executor). These cases must be reported to the project supervisor and must wait for written authorization.

- e) The control of materials is carried out through the tables "Daily Storage Movements - Entry and Exit" and "Summary of the Stock Movement - Entry and Exit" (Forms N° 10 and 11).
- f) The control of hours of machine rental and / or equipment must be recorded in the work logbook.

11. ABOUT THE REGISTRY AND CUSTODY OF SUPPORTING DOCUMENTS

- a) The On-Site Project Manager and the Overseer shall inspect and request that the Treasurer keep payment vouchers, bills of sale, and receipts for professional fees, among other documents for authorized expenses as soon as the payments are made for acquisition of the goods or fulfillment of services.
- b) The On-Site Project Manager must verify that all proof of payment received meets the proof of payment requirements approved by the National Superintendent's Office of Tax Administration – SUNAT (*Superintendencia Nacional de Administración Tributaria*), and that the type of business corresponds with the service provided. Also, supporting expenditure documents must meet the Guidelines for Liquidation of Agreements financed by the Program.
- c) The On-Site Project Manager and the Overseer must verify that the Nuclear Executor Treasurer accomplishes its responsibility of registering the documents justifying expenditure in the cost manifest.
- d) The On-Site Project Manager, the President and the Treasurer of the Nuclear Executor will endorse the supportive documents of expenditure, which will be in the custody of the treasurer (in the possible absence of the treasurer, the documents shall remain in the custody of the Secretary) and will be available for the Site Supervisor, the accredited representatives of the supervising entities or control entities and the Regional Management Unit, as often as required.
- e) The On-Site Project Manager will demand, in all cases, that the Secretary of the Representative Board of the Nuclear Executor retains custody of a copy of the Execution Agreement, the Nuclear Executor Contracts with the different professionals, the technical file, the summary table of movement of stock (entry - exit), copies of applications for transfer of funds, copies of the reports issued, and the submissions received from the Regional Management Unit of the Program or from the Site Supervisor.

12. ABOUT THE ACCOUNTABILITY – PRELIQUIDATION

- a) The Site Supervisor must review the supporting documentation of expenditure in accordance with the Guidelines for Liquidation of Agreements financed by the Program.
- b) The Representative Board of the Nuclear Executor and the On-Site Project Manager, through monthly meetings, must give account to the beneficiary population about the expenditures, publish the manifesto in public and easily accessible places, and sign the Monthly Accountability Act. They must follow the procedures established for this purpose, and the Site Supervisor will control the fulfillment of these activities.
- c) Partial Accountability: The supporting documentation of each monthly report will be considered as a partial accountability process, which needs supporting documentation of monthly expenditures that must be submitted in original form.
- d) Pre-assessment: When the On-Site Project Manager's contract has been terminated or a change of the President and / or Treasurer of the Nuclear Executor has been executed, the pre-liquidation must happen. The procedure for the pre-liquidation of the agreement must be detailed in the Guidelines for Liquidation of Agreements financed by the Program.

13. ABOUT THE VALUATION OF WORKS

- a) The On-Site Project Manager will be in charge of presenting the valuation of works, in accordance with the meters and unit prices established in the Technical File budget. It should be executed in relation to the last day of each month. Also, it must contain information of the valuation made in previous months, as well as the accumulated totals and balances (Form N° 12).
- b) The valuation of financial statements will include a summary of the financial statement (Form N° 13), the manifesto of expenditures (Form No. 14), the valuation of communal contribution (Form N° 15) and the relation of available goods (Form N° 16)

14. SECOND TRANSFER REQUEST

If the financing of the Program is conducted with more than one transfer of funds, the second transfer must be requested by the Regional Management Unit of the Program for the balance of the total amount of the investment stage, and the following documents must be submitted to the Administrative Unit of the PMU:

- Application for transfer of funds, by total balance, presented by the Representative Board of the Nuclear Executor and the On-Site Project Manager.
- Authorization for the second transfer of funds to the Nuclear Executor duly signed and stamped by the Supervisor and Coordinator of the Regional Management Unit of the Program.
- Copy of the Approval Act of the Project and, if the amount of the final study is different from the amount approved at the profile level, a copy of the addenda for the Execution Agreement.

- Simple copy of the supporting documentation of the expenditure associated with the formulation and evaluation of the final study, signed by the Treasurer of the Nuclear Executor, the On-Site Project Manager and with the V”B” of the Supervisor from the Regional Management Unit of the Program.
- Copy of the latest statement of the Nuclear Executor’s bank account.

15. **ABOUT THE WORK LOGBOOK**

- a) The Work logbook is a document where the major incidents in the work are registered, such as progress of work, consultations, responses from the On-Site Project Manager and the Site Supervisor, and generally all matters related to personnel, equipment and materials, time, modifications, etc.
- b) The On-Site Project Manager will verify the purchase and legalization of the work logbook by a Public Notary, a Magistrate or Local Authorities, as applicable, before the start of the work. It must have the proper pages, with an original and three (3) detachable copies to be distributed as follows:
 - The liquidation profile (original)
 - A copy for the Site Supervisor.
 - A copy for the On-Site Project Manager.
 - A copy for the Nuclear Executor.
- c) The On-Site Project Manager and the Site Supervisor will be in charge of:
 - Opening (the) work logbooks (s) required from the beginning to the completion of the work.
 - Registering, during the implementation process, the major work incidents, such as beginning, consultations, suspension, resumption, requests for changes, etc.
 - Closing (terminating) by explicit annotation, the work logbook at its end. The On-Site Project Manager will request the endorsement by the end of the work and the Site Supervisor will approve it at the end of the same.
- d) The On-Site Project Manager and the Site Supervisor shall use and fill out the logbook. The work logbook must be permanently on site throughout the implementation of the project.

Similarly, its custody and stay at the workplace will be the responsibility of the On-Site Project Manager and the members of the Representative Board of the Nuclear Executor.

16. AMENDMENTS TO THE FINANCING AGREEMENT

Amendments are all the changes made to the financing agreement terms already signed, and could be the following:

16.1 Changes to the representation of Nuclear Executors and/or On-Site Project Managers

a) The selection and engagement of members of the Representative Board of the Nuclear Executor and the On-Site Project Manager will remain until the end of the Execution Agreement. It can only be changed when one of the following situations occur:

- Irrevocable and written resignation.
- Change of address of members of the Representative Board of the Nuclear Executor to a place outside the scope of the Agreement.
- In case of disease that prevents the performance of their duties.
- In case of death, accredited with the respective death certificate.
- In case of poor performance of functions supported by the Site Supervisor's report.
- In case of condemned judgment.
- In case of engagement in incompatible functions.
- In these cases, as appropriate, the relevant contract must be terminated.

To change any of the members of the Representative Board of the Nuclear Executor, the population is required to select its new members by Assembly, so attendance at this meeting shall be at least equal to half of the total population that elected them. In the case of Overseer, in Tripartite Agreements, the municipality must make the change of its representative through Council Agreement and / or Council Resolution.

- b) In case of change of the Treasurer of the Nuclear Executor and / or of the On-Site Project Manager, the Site Supervisor must inform the Regional Management Unit of the Program in order to freeze the bank account.
- c) Once the change(s) is (are) made, they must be formalized through the signature of the respective addendum. If the cause(s) that prompted the change of the members of the Representative Board of the Nuclear Executor or the On-Site Project Manager are justified, the administrative actions set forth in the rules in case of non-fulfillment of contract must be implemented.

16.2 Period extension

Time extensions will be granted for justified causes that have altered the extent of the activities that govern the work implementation. The following are grounds for an extension:

- a) Delays for shortage of materials and / or supplies or other chance events or acts of God such as rain or mudslides, recorded by the Site Supervisor.
- b) Delays in the delivery of partial transfers of funds, if and only if these have been timely and properly requested and approved by the Site Supervisor.
- c) Work changes, extension, additional works, hidden vices, reformulation, or other previously recognized by the Regional Management Unit of the Program.
- d) A time extension due to delays of over seven (07) days must be requested through the work logbook and a written report presented to the Zonal Team, and it must include supporting documents to justify the causes of delays. Within twenty (20) days, maximum, that the problem has ceased, the On-Site Project Manager and Representative Board of the Nuclear Executor must present the rescheduled Work Valued Calendar of Progress to the Site Supervisor.
- e) The extension must be approved successively by the Site Supervisor (through the Document Assessment Sheet), the Supervisor, and Coordinator of the Regional Management Unit of the Program, after which, the parties must sign the respective Addenda.

The addendum must indicate the number of days for extension granted and the new date of work completion.

By the nature of the projects to be funded, the grant of the extension will not recognize higher operating expenses.

16.3 Changes to the Technical File

16.3.1 Non substantial changes to the Technical File

Non substantial changes to the Technical File are: changing the other solution alternative established by the viable pre-investment study, changing the location within the area of influence of the project, increasing or replacing project components, increasing physical goals of the project, and increasing estimates.

Depending on the extent of the changes, the following cases can occur:

- a) Where, due to non-substantial changes, the investment amount increases to 10% of the value established in the viable pre-investment study: In this case it is necessary to verify the feasibility of the project, provided that it remains socially profitable (verify social returns), so you can start or continue execution of the project as appropriate. The Programming and Investment Office (OPI: *Oficina de Programación e Inversiones*) must register the changes according to the guidelines established by the National Investment System.

- b) Where, due to non-substantial changes, the investment amount increases from 10% to 30% on the value established in the viable pre-investment study, or if the project loses a necessary condition for sustainability or goals are deleted, even though the investment amount does not vary: In these cases the feasibility of the project must be verified by the Programming and Investment Office that declared the feasibility, based on the recommendations of the report verifying feasibility. The empowered authority will make the relevant decision regarding whether or not to continue the project, following the procedure prescribed in the guidelines of the National Investment System. Otherwise, the Agreement will end according to what is stated in paragraph 8.3.3.2.
- c) When the amount of the investment increases by more than 30% over the value established in the pre-investment study: In this case, the empowered authority will decide whether or not the project will continue, for which it must follow the procedure outlined in paragraph 8.3.3.2.

Any change in a project must be executed after the approval by the Site Supervisor and the appropriate authorities according to the type of modification and increase in the amount of investment; the request for modification, including the opinion of the Site Supervisor, must be revised by the Consultant Evaluation from the RMU, who must issue a report. Then the RMU's Supervisor must prepare the addenda for signing.

The modified file must include the following documents:

- Application from the Nuclear Executor and the On-Site Project Manager.
- Report from the On-Site Project Manager, together with the modified technical file and the comparative budget between that which was initially approved and the proposed amendment.
- Report and opinion of the Operative Consultant.
- Report and opinion from the Project Consultant.
- Report from the Site Supervisor indicating source and respective recommendations.
- Copy of the Agreement and the technical file initially approved; likewise, the Addenda generated.

After adopting the amendment raised, the Representative Board of the Nuclear Executor and the On-Site Project Manager will submit to the Site Supervisor in or within 03 days, the following documents:

- Work schedule of advances (form N° 03)
- Cost programming
- Copy of the Commitment Act that establishes the unskilled labor contribution (form N° 17)

Note: The Site Supervisor may, via the work logbook, authorize those insignificant minor changes that do not harm the quality of technical specifications. Such modifications will not require addenda.

16.3.2 Substantial Modifications to the Technical File

The following are substantial changes to the design: changing the alternative solution for another solution not considered under the viable pre-investment study, changing the scope area of the project, and changing the project objectives. In all these cases, the empowered authority will decide whether or not the project will continue.

In the case that the project continues, the Programming and Investment Office will record changes according to the guidelines of the National Investment System.

If the decision is made not to continue with the implementation of the project, the Regional Management Unit of the Program will proceed with the resolution of the Agreement and report the closure of the project, sending it to the PMU for its revision and referral to the Programming and Investment Office of the sector.

The Regional Management Unit of the Program, with the authorization for the start of the process of resolution of the Project Implementation Agreement, will notify the Nuclear Executor and the On-Site Project Manager for the refund of funds, which must be made by check or deposit ballot, within a period not exceeding ten (10) working days of notification. The Regional Management Unit of the Program will assess the professionals involved in the formulation and evaluation of the Project in order to implement the appropriate actions.

The Programming and Investment Office must report to the Internal Audit Body in order to analyze the causes underlying changes to the possible shortcomings of pre-investment studies that were declared as viable.

16.4 Modifications of the Financing Agreement

16.4.1 Budget Extension

In case of budgetary extension, this could be facilitated by a contribution funded by municipal or community contributions, contributions from third parties, interest on savings accounts, and penalties for non-fulfillment in the presentation of file reports.

However, there is an important budget gap in relation to the costs approved in the Technical File (taking into account, but not limited to, the implementation of the polynomial formula established in the Technical File); or if the above contributions would not be fulfilled in order to ensure the project's completion, a supplementary budget will be needed and may be requested of the Regional Management Unit of the Program, which will evaluate the budget availability and demand the compliance of the guidelines which govern transfers. In the case of a budget expansion requirement by a price increase (justified by applying the polynomial formula), limits to the maximum amounts will not be applied.

In all cases, if a budget increase is required, the Regional Management Unit of the Program must evaluate the participation of professionals involved in the formulation, evaluation and approval of the project, and if responsibilities are found, the administrative actions must be implemented before the legal ones should take place.

The official budget must be formalized with the Addenda.

16.4.2 Deductive Budgets

This includes the amount that does not need to be used in order to meet the goals envisioned.

Once it is determined that physical items or budget items exist which are not necessary for the proper execution of the Project, the On-Site Project Manager must submit to the Site Supervisor the deductive budget of items that will not be implemented so that the Representative Board of the Nuclear Executor must return the corresponding amount if it has been transferred, or inform the Regional Management Unit of the Program about the lowering of the cost to be deducted from future transfers.

The Site Supervisor must verify the amount to be deducted, and if it is approved, it must be sent to the Regional Management Unit of the Program, so that after its review, the deductive budget must be approved and the Nuclear Executor must be informed about the amount to be returned, by bank check appointed to the PMU or The Water for All Program of the Ministry of Housing, Construction and Sanitation, taking into consideration the disbursed resources, for which there must be a prior coordination with the Department of Treasury of the PMU. The return of funds must be made within a period not exceeding seven (7) calendar days of completion of the communication. The On-Site Project Manager shall verify its compliance, under his/her responsibility.

The final budget must be formalized with the respective addenda.

17. END OF WORK AND AGREEMENT

17.1 About the work ending

Upon work completion and according with the technical file and the modifications approved, the On-Site Project Manager will record this fact in the work logbook, with the corresponding date, and will request the statement of demands from the Site Supervisor. If there are comments from the Site Supervisor, they must be fully solved in the period indicated by the Monitoring Period, and may not exceed fifteen (15) calendar days. After the Site Supervisor certifies its compliance with the work performed, the following actions must be taken:

- ✓ Signing of the Project Completion Act (as Form N° 18), with participation of the Municipality, the Regional Management Unit of the Program, members of the Representative Board of the Nuclear Executor, the On-Site Project Manager and the Site Supervisor.
- ✓ Call, together with members of the Representative Board of the Nuclear Executor, a beneficiary general assembly to present the Final Accountability Report and sign the Final Accountability Act (Form N° 19).
- ✓ The Accountability Act is the final document that would include the knowledge and approval of the investment made in the work.

- a) The On-Site Project Manager should develop Descriptive Valued Minutes and the Factory Declaration Minutes in case of buildings, the final valuation, and the physical inventory valued when appropriate, as well as the work redesign plan, and all documents necessary to transfer the ownership of the work. In the case of buildings, the Work Specifications shall contain, among others, the total land area, area occupied and free, boundaries and perimeter measurements and adjacent buildings, as well as the construction material used and factory distribution, registration data if any, liquidation value of the work and use of the same.
- b) The final valuation of the work will reflect the work actually executed (including alterations, extensions and deductions), previously formalized by the Addenda to the Agreement.

17.2 Temporarily delivery of work

Once the work is finished, it should become operational as soon as possible. Operation and maintenance of the Project will be carried out preferably by the Recipient Institution (public or private entity of the town) by the Commitment Act of Operation and Maintenance of Work (in Form N° 20).

17.3 About the liquidation of financial agreement

Upon completion of the works, the Representative Board of the Nuclear Executor and the On-Site Project Manager must submit to the Site Supervisor documents complementary to pre-liquidations, referred to in paragraph 8.2.7 © of this Guide, in order to conclude with the final liquidation of the Execution Agreement.

- a) The Settlement Agreement is based on:
 - The physical work performed as reflected in the final valuation report and sustained documentation.
 - The final accountability report.
- b) The documents to be submitted in the Settlement Agreement and the deadlines outlined in the Guidelines for Liquidation of Agreements financed by the Program.

The On-Site Project Manager and Supervisor are responsible, according to their functions, for submitting and monitoring the submission of required documentation for the settlement of the agreement according to the Guidelines for Liquidation of Agreements financed by the Program and, if necessary, solving the observations notified by the PMU in the period specified in those rules.

17.4 About the work transfer

The members of the Representative Board of the Nuclear Executor, the On-Site Project Manager and Supervisor, within the scope of their jurisdiction, have the commitment to collaborate in activities designed to achieve the transfer of the work, as provided in Law 27171 and its Regulations. In this regard, the staff will provide support in the transfer process carried out by the PMU, undertaking the necessary coordination actions for signing of the Property Transfer Act and Accounting Transfer Act.

17.5 About the beginning of work

The presentation of the Settlement of the Execution Agreement is indispensable for the Inauguration of work.

18. MONTHLY REPORTS PRESENTATION

18.1 On-Site Project Manager

The On-Site Project Manager will prepare a monthly report on the development of the Implementation Agreement until the last day of the month.

The monthly reports contain the partial accountability reports and the technical reports, and should cover the following aspects:

- Summary of significant occurrences in the execution of the work and its administration by the members of the Representative Board of the Nuclear Executor.
- Valuation of Work Advances (Form N° 12) with the corresponding support documentation (flat layout, meters actually executed, quality control, etc.).
- Valued Progress Schedules (Form N° 13).
- Manifesto of Expenditures (Form N° 14) with the supportive documentation in original form.
- Valuation of Communal Contribution (Form N° 15)
- List of Goods (Form N° 16)
- Copy of the work logbook of the corresponding month.
- Photographs showing the progress of the work in the presence of the On-Site Project Manager.
- Format for Monitoring the Implementation of Environmental Management Plan, in accordance with the guidelines established.
- Monthly Accountability Act to the target population.

Also, the Monthly Report at the end of the work must include:

- Settlement Act (Form N° 18).
- Photographs showing that the work is completed and operational.
- Rethinking plans or sketches, if necessary.

The calculation of the financial progress of the Agreement on the date of the report, expressed as a percentage, will be made by the following relationship:

$$\% \text{ Financial Progress} = \frac{\text{Total expenditure executed}}{\text{Total expenditure budgeted}} \times 100$$

The calculation of expenditure reported by the Agreement on the date of report, expressed as a percentage, considers the following relationship:

$$\% \text{ Reported Expenditure} = \frac{\text{Total expenditure executed}}{\text{Amount received on date}} \times 100$$

The calculation of the physical progress of the Work until the date of the report, expressed as a percentage, considers the following relationship:

$$\% \text{ Physical Progress} = \frac{\text{Total valued cost}}{\text{Total direct cost budgeted}} \times 100$$

The On-Site Project Manager's monthly report should be budgeted to the Site Supervisor within the first five (05) calendar days of the month following its implementation. His late submission will cause penalties as stated in his/her contract and terms of reference. After reviewing the monthly report and approving it, the Site Supervisor must authorize the corresponding monthly payment, signing the "Authorization for Expenditure" (Form N° 05). If the Site Supervisor made a remark, the On-Site Project Manager must solve it before the preparation of the report corresponding to the following month. Otherwise, the Site Supervisor will not authorize the following payments, without prejudice of the corresponding administrative actions.

18.2 Site Supervisor

The presence of the Site Supervisor in the work is necessary to ensure compliance with the obligations under the Execution Agreement and the technical file approved, so he/she must be present at key events of the implementation process.

During his/her stay on site, he/she must verify compliance with the obligations under the Execution Agreement, and check the appropriate implementation process in strict adherence to the approved plans and specifications, which will allow for timely implementation of corrective actions for possible deviations detected.

The Site Supervisor will submit a monthly report of the development agreement from the beginning to the completion of the work. These reports must be submitted to the Regional Management Unit of the Program on the tenth (10th) day of the next month to the beginning and / or execution of works (at the latest). The late submission will include a fine payment, as established in the Contract. The monthly monitoring report shall contain the following documents:

- a) General Information of the Convention, only in the First Report (Form N° 21)
- b) Monthly Monitoring Report (Form N° 22).
- c) Format for the implementation of the Environmental Management Plan, in accordance with the guidelines.
- d) The necessary photographs for supporting the physical progress of the work and the requested payment. They must also show the presence of the Site Supervisor, indicating the date and a brief comment (at least two per fortnight.)
- e) Copies of all registrations in the work logbook, considered throughout the monitored period (since the last visit to the date).
- f) In case of works, 100% of physical progress must be reported, and the Work Completion Act (Form N° 18) must be attached.
- g) On-Site Project Manager Report.

He shall also present a summary status of all the agreements of which he is in charge (Form N° 23), so that the PMU can record the information in the Sectorial Information System.

NOTE: In addition, he must submit a summary report containing the documentation referred to subparagraphs b) and d), together with the information referred in section a) of the first report and the section f) of the last report. This Summary Report will be submitted to the PMU.

For the presentation of reports, the Supervisor of the Regional Management Unit and the Work Liquidator will hold, jointly, a working meeting with the Site Supervisor to underpin the content of reports, reporting if there are deviations in the process of project implementation and if corrective measures will be adopted, as well as any other significant occurrence during the period reported.

If it is necessary, the Supervisor of the Regional Management Unit of the Program and the Work Liquidator will make relevant observations on the technical and accounting aspects, respectively. The On-Site Project Manager and/or Site Supervisor shall inform about the solutions considered for the observations in the next monthly report, and these must be verified by those who proposed the observations.

19. PAYMENTS TO THE TECHNICAL UNIT

19.1 On-Site Project Manager

- a) The payment of the expenditures made by the On-Site Project Manager will be made by the Regional Management Unit, after authorization by the members of the Representative Board of the Nuclear Executor (Form N° 05) and the Site Supervisor, in accordance with the respective contract and after the presentation of the Professionals Fees Receipt.
- b) To authorize the payment, the members of the Representative Board of the Nuclear Executor must verify that the work meets an effective performance and presence on site throughout the construction process. Also, they should monitor his/her timely participation and assistance and in accordance with the time that must be devoted to fulfill his/her work obligations, as it is defined in its Terms of Reference. In case of unexcused absences, the discount must be set.
- c) The On-Site Project Manager will assume the payment of taxes followed by his/her services, considering that he/she is the only responsible for payment to the corresponding entity.

19.2 Site Supervisor

- a) The payments for the supervision expenditures will be made in accordance with the Terms of Reference of the contracts, after the approval of the Regional Management Unit of the Program (Format N° 24) and the presentation of the professional settlement.
- b) Payments must be monthly in proportion to 85% of physical progress reported; the 15% of total remaining costs of supervision will be paid against the conformity of the documentation for the settlement of the agreement by the Regional Management Unit.
- c) To authorize the payment of the Site Supervisor, his/her stay on site must be verified and must fulfill with the indications of his/her participation rate, which represents the minimum number of days you spend each month to work. This fraction is expressed with respect to twenty four (24) working days per month. When the sum of coefficients of participation that have been allocated reaches unity (1.00), it means that his/her operational capacity has been reached, and he/she could not be able to be in charge of another work.

20. ABOUT NON-FULFILMENTS

In the event that members of the Representative Board of the Nuclear Executor, the On-Site Project Manager or Supervisor, do not fulfill with their responsibilities or violate any terms or conditions established in the Execution Agreement and Annexes, Contract and Addenda, Directives, Guidelines and other internal rules adopted by the PMU, the institution may take the administrative actions previously established, notwithstanding the beginning of the legal actions considered as appropriate.

21. ABOUT EXCEPTIONS AND UNFORESEEN SITUATIONS

The unforeseen situations or events and/or exceptions to what has been ruled out in these Guidelines will be solved by the PMU, with the appropriate technical support of the Technical Team and following the request of the Regional Management Unit of the Program where the uncertainty is generated.

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

(Spanish Version Attached)

FORMATOS

- Formato 01: Documentos Hoja de Evaluación
- Formato 02: Acta de Participación en Charla de Orientación
- Formato 03: Cronograma de Avance de Obra Valorizado
- Formato04: Autorización para Consultar Movimientos Bancarios y Obtener Reportes
- Formato 05: Autorización de Gastos
- Formato 06: Hoja de Trabajo
- Formato 07: Hoja de Jornales
- Formato 08: Hoja de Jornales del Aporte Comunal Cuantificado
- Formato 09: Acta de Entrega de Terreno
- Formato 10: Cuadro de Movimiento Diario de Almacén-Ingreso-Egreso
- Formato 11: Cuadro Resumen del Movimiento Diario de Almacén-Ingreso-Egreso
- Formato 12: Valorización de Avance de Obra
- Formato 13: Resumen del Estado Financiero
- Formato 14: Manifiesto de Gastos
- Formato 15: Valorización de Aporte Comunal
- Formato 16: Relación de Material en cancha
- Formato 17: Acta de Compromiso de Aporte de Mano de Obra no Calificada
- Formato 18: Acta de Terminación de Obra
- Formato 19: Acta de Rendición de Cuentas Final
- Formato 20: Acta de Compromiso de Operación y Mantenimiento de la Obra
- Formato 21: Datos Generales del Convenio
- Formato 22: Informe Mensual de Supervisión
- Formato 23: Resumen de Informen Mensuales de Supervisión
- Formato 24: Hoja de Autorización de Pago de los Informes de Supervisión de Obra.

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 01
HOJA DE EVALUACION DE DOCUMENTO

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|-------------|------------------------|
| Convenio N° | Nombre del supervisor: |
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|--------------------------------------------------------------------------------------------------------------|--|-------------------------------------------------------------------------|--|
| A REFERENCIA | | | |
| A.1 DEL PROYECTO | | | |
| Nombre: | | | |
| Localidad: | | | |
| | | | |
| A.2 DEL ASUNTO | | | |
| Valorización | | Informe: Inicial/Mensual/Final | |
| Manifiesto de Gastos | | Solicitud de Ampliación de plazos | |
| Estado Financiero | | Liquidación | |
| | | Otros | |
| B EVALUACION DE DOCUMENTOS | | | |
| B.1 Aspectos formales: | | (Documentación completa, debidamente sustentada, presentación oportuna) | |
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| B.2 Aspectos conceptuales: | | (Apreciación y manifestación de la procedencia de la misma) | |
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| B.3 Pronunciamientos: | | | |
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| B.4 Recomendaciones: | | | |
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| B.5 Anexos: (Documentos elaborados y presentados por el Supervisor para sustentar su pronunciamiento) | | | |
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| Fecha: | | Firma y Sello del Supervisor de Proyectos | |

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 02

ACTA DE PARTICIPACION EN CHARLA DE ORIENTACION

En la ciudad de, siendo las horas del día
..... de, reunidos en la Oficina de la Unidad de Gestión Regional del
Programa los miembros del Órgano representativo del Núcleo Ejecutor de
la comunidad
“.....”

Don (ña) Presidente
Don (ña) Tesorero
Don (ña) Secretario
Don (ña) Veedor
El Residente de Obra:

Con la finalidad de participar en la Charla de Orientación Técnico – Administrativa – Legal y
Contable, a cargo del Supervisor de la Unidad de Gestión Regional del Programa
....., del Encargado de Liquidaciones y Transferencias de Obras del
Programa..... y del representante del Estudio
Jurídico.....
.....

En consecuencia, antes de suscribir el convenio de Financiamiento con la Unidad de Gestión del
Programa del Programa Agua Para Todos, declaramos haber tomado conocimiento sobre la forma
como se va a desarrollar el Proyecto
“.....” así como
sobre el cumplimiento de las obligaciones y responsabilidades que se deriven a la firma del
Convenio de Ejecución de Obra.

En señal de conformidad suscribimos la presente Acta, siendo las.....horas del
día.....de.....del 20....

.....
Presidente N.E.

.....
Tesorero N.E.

Nombre.....
DNI.....

Nombre.....
DNI.....

.....
Secretario N.E.

.....
Fiscal N.E.

Nombre.....
DNI.....

Nombre.....
DNI.....

.....
Residente N.E.

Nombre.....
DNI.....

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 03

CRONOGRAMA DE AVANCE DE OBRA VALORIZADO

CONVENIO
FECHA

MONTO TOTAL PRESUPUESTADO

| N° | PARTIDAS | | PERIODO | | | | | | | | | | | | | | | |
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| | | E | | | | | | | | | | | | | | | | |
| AVANCE MENSUAL (%) | | PROGRAMADO | | | | | | | | | | | | | | | | |
| | | EJECUCION | | | | | | | | | | | | | | | | |
| AVANCE ACUMULADO (%) | | PROGRAMADO | | | | | | | | | | | | | | | | |
| | | EJECUCION | | | | | | | | | | | | | | | | |

| TRANSPARENCIAS N° | FECHA TRAMITE | FECHA RECEPCION | MONTO | FECHA INICIO DE OBRA | |
|----------------------|------------------|--------------------|-------|----------------------|--|
| | | | | PLAZO DE EJECUCION | |
| | | | | FECHA DE TERMINO | |
| | | | | | |

| FECHA | N° DIAS | PLAZO VIGENCIA | FIN DE OBRA | OBSERVACIONES |
|-------|---------|----------------|-------------|---------------|
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RESIDENTE DE OBRA

SUPERVISOR DE OBRA

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 04

**AUTORIZACION PARA CONSULTAR MOVIMIENTOS
BANCARIOS Y OBTENER REPORTES**

Sr.

Administrador del Banco
Ciudad.-

Por la presente se autoriza al Sr..... con DNI
....., Supervisor de Obra del Convenio N°
“.....” financiado por el
Programa Agua Para Todos del Ministerio de Vivienda Construcción y Saneamiento, a consultar los
movimientos bancarios y obtener reportes de la cuenta a nombre del Núcleo Ejecutor
“.....” Con el siguiente número:
.....

Agradecimiento la atención a la presente, quedamos de Ud.

.....
PRESIDENTE N.E.

Nombre.....
DNI.....

.....
TESORERO N.E.

Nombre.....
DNI.....

.....
Residente N.E.

Nombre.....
DNI.....

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 5 AUTORIZACION DE GASTOS

N° _____
 CONVENIO N° _____
 MONTO FINANCIADO _____
 RECIBOS A LA FECHA _____
 MONTO ACUMULADO DE _____
 AUTORIZACIONES ANTERIORES _____
 SALDO DISPONIBLE _____

FECHA: _____

| GASTOS DE COSTOS DIRECTOS | | | | | | | |
|----------------------------------|-------------------|---------|----------|-------------|-------------------------------------------|--|----|
| | | DETALLE | | | | | |
| | INSUMO O SERVICIO | UND | CANTIDAD | PRECIO UNIT | IMPORTE | | S/ |
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| 11 | | | | | | | |
| 12 | | | | | | | |
| MONTO TOTAL DE ESTA AUTORIZACION | | | | | | | |
| Son..... Nuevos Soles | | | | | SALDO ACTUAL DESPUES DE ESTA AUTORIZACION | | |
| Nuevos Soles | | | | | | | |
| (en letras) | | | | | | | |

GASTOS DEL RESIDENTE
 La autorización de Gastos del residente solo se realizará una (01) vez al mes, posterior a la entrega del informe mensual respectivo y servirá como constancia de permanencia en obra. Para el caso de Persona Jurídica, el Pago del Residente se establecerá según se estipula en los contratos correspondientes

COEFICIENTE DE PARTICIPACION

DIAS POR ASISTIR EN EL MES

DIAS ASISTIDOS (*)
 FACTOR DE ASISTENCIA
 (*)Verificación en Cuaderno de Obra

| CONCEPTO | PRESUPEUSTO TOTAL | ACUMULADO AUTORIZADO ANTERIOR | PAGO QUE SE AUTORIZA | | | | | | |
|----------------------|-------------------|-------------------------------|----------------------|----------|-------------------------|------------------|--|---------------------------|------------------|
| | A | | AVANCE MES B | FACTOR C | MONTO BRUTO D=AxB/100xC | MORA E=Dx5/100xm | | Fdo. LIQUID. F=(D-E)x0.15 | MONTO NETO D-E-F |
| HONORARIOS RESIDENTE | | | | | | | | | |
| MOVILIDAD Y VIATICOS | | | | | | | | | |
| UTILES DE OFICINA | | | | | | | | | |
| TOTAL | | | | | | | | | |

_____ V° B° PRESIDENTE DEL N.E.

_____ RESIDENTE DE OBRA

_____ V° B° SUPERVISOR DE OBRA

_____ V° B° VEEDOR DEL N.E.

_____ RESIDENTE DE OBRA

_____ V° B° SUPERVISOR DE OBRA

El Tesorero es responsable de presentar los Comprobantes de Pago en el PLAZO DE 5 DIAS hábiles, contados desde la fecha de la presente autorización; y será responsable del monto autorizado para Mano de Obra, que Susterará con Hoja de Jornales firmadas
 Los montos indicados en la Autorización de Gastos, deberán ser compatibles con las cotizaciones previamente realizadas.

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 06
HOJA DE TRABAJO
.- UNIDAD DE GESTION DEL PROGRAMA

CONVENIO N° : _____

PERIODO DEL AL

| N° de Orden | Nombre y Apellidos | | | | Categoria | Documento de identidad | DÍAS TRABAJADOS | | | | | | | | | | | | | | | | TOTAL |
|-------------|--------------------|--|--|--|-----------|------------------------|-----------------|---|---|---|---|---|---|---|---|---|---|---|---|---|-----------------|--|-------|
| | | | | | | | L | M | M | J | V | S | D | L | M | M | J | V | S | D | Días Trabajados | | |
| 1 | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | | | | | | |
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| 13 | | | | | | | | | | | | | | | | | | | | | | | |
| 14 | | | | | | | | | | | | | | | | | | | | | | | |
| 15 | | | | | | | | | | | | | | | | | | | | | | | |

Los que abajo suscribimos: certificamos que los días consignados en la presente Hoja de Trabajo han sido cancelados por concepto de mano de obra.

Residente de Obra
DNI:

Maestro de Obra
DNI:

Tesorero N.E.
DNI:

Presidente N.E
DNI:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 07
HOJA DE JORNALES
UNIDAD DE GESTION DEL PROGRAMA

CONVENIO N° :
PROYECTO

Semana N°
PERIODO DEL

| N° de Orden | Nombre y Apellidos | Categoria | GENERO | | Documento de identidad | Dias | Trabajad. | JORNAL | (S/.) | TOTAL A PAGAR (S/.) | FIRMA |
|-------------|--------------------|-----------|--------|-------|------------------------|------|-----------|--------|-------|---------------------|-------|
| | | | Fem. | Masc. | | | | | | | |
| 1 | | | | | | | | | | | |
| 2 | | | | | | | | | | | |
| 3 | | | | | | | | | | | |
| 4 | | | | | | | | | | | |
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| 14 | | | | | | | | | | | |
| 15 | | | | | | | | | | | |

Los que abajo suscribimos; certificamos que los días consignados en la presente Hoja de Trabajo han sido cancelados por concepto de mano de obra.

Residente de Obra

DNI:

V° B° Presidente N.E

DNI:

V° B° Tesorero N.E.

DNI:

V° B° Supervisor de Obra

DNI:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 08 HOJA DE JORNALES DEL APOORTE COMUNAL CUANTIFICADO

CONVENIO N° : _____

UNIDAD DE GESTION DEL PROGRAMA

Semana N°

PERIODO DEL

_____ AL _____

PROYECTO

| N° de Orden | Nombre y Apellidos | Categoria | GENERO | | Documento de identidad | Días Trabajad. | JORNAL (S/.) | Total del Aporte Valorizado | FIRMA |
|-------------|--------------------|-----------|--------|-------|------------------------|----------------|--------------|-----------------------------|-------|
| | | | Fem. | Masc. | | | | | |
| 1 | | | | | | | | | |
| 2 | | | | | | | | | |
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| 15 | | | | | | | | | |

Los que abajo suscribimos; certificamos que los días consignados en la presente Hoja de Trabajo han sido cancelados por concepto de mano de obra.

Residente de Obra
DNI:

V° B° Presidente N.E.
DNI:

V° B° Tesorero N.E.
DNI:

V° B° Supervisor de Obra
DNI:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 09

ACTA DE ENTREGHA DEL TERRENO (*)

En la (el) Comunidad / Anexo / Caserío de..... del distrito de..... de la Provincia de..... del departamento de, siendo lashoras del día, del mes de, de reunida la población conformante del Núcleo Ejecutor en el terreno donde se ejecutará el Proyecto....., contando con la asistencia de los abajo firmantes.

Se procedió a la Entrega del terreno al Núcleo Ejecutor, por parte

(*) Si la Entrega la efectúa la entidad receptora y esta es propietaria del terreno, copia autenticada de la presente Acta se anexará al Expediente de Transferencia. En caso de no serlo, el documento público o privado de fecha cierta en la que conste la donación.

El área donde se ubica el terreno es compatible con los alcances del Proyecto y que corresponde a los datos señalados en los planos de ubicación en el plano general, y que se encuentran disponibles y Libres de reclamo por parte de terceros.

En señal de conformidad con los términos de la presente Acta, procedemos a suscribirla:

Representantes del Organismo que entrega el terreno

.....
Nombre:
Cargo:
DNI:

.....
Nombre:
Cargo:
DNI:

Representantes del Núcleo Ejecutor que reciben en terreno

.....
Presidente
DNI:

.....
Tesorero
DNI:

.....
Secretario
DNI:

.....
Veedor
DNI:

.....
Residente de Obra
DNI:

.....
Supervisor de Obra
DNI:

Autoridades asistentes a la entrega del terreno

.....
Nombre:
Cargo:
DNI:

.....
Nombre:
Cargo:
DNI:

Siguen firmas de Pobladores de la Comunidad

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 10
CUADRO DE MOVIMIENTO DIARIO DE ALMACEN - ENTRADAS - SALIDAS

CONVENIO N° _____

UNIDAD DE GESTION DEL PROGRAMA

| | |
|----------|--|
| PROYECTO | |
|----------|--|

FECHA DE PRESENTACION/...../.....

[illegible]

DNI: Presidente N. E.

Vº Bº Tesorero N.E.
DNI:

V° B° Veedor N.E.
DNI:

Vº Bº Residente de Obra

DNI:

NOTA.: Uso interno de la Unidad de Gestión del Programa, se presentará cada vez que sea solicitado por el Supervisor de Obra.

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 11

CUADRO DE MOVIMIENTO DE ALMACEN - ENTRADAS - SALIDAS

CONVENIO N° : _____ UNIDAD DE GESTION DEL PROGRAMA

FECHA DE PRESENTACION

| | |
|----------|--|
| PROYECTO | |
|----------|--|

PERIODO DE CONTROL: DEL...../...../..... AL/...../.....

[illegible]

PRESIDENTE N. E.

TESORERO N.E.

V° B° Veedor N.E.

Vº Bº RESIDENTE DE OBRA

NOTA.: El presente cuadro se llenará hasta agotar el movimiento de un material, antes de pasar a otro.

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 12
VALORIZACION DE AVANCE DE OBRA N°
CORRESPONDIENTE AL MES DE

FECHA DE PRESENTACION

CONVENIO N° _____

DE.....

DE.....

[illegible]

Residente de Obra
Nombre:
DNI:

Presidente N.E

Nombre:

DNI:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 13 RESUMEN DEL ESTADO FINANCIERO

CONVENIO N° PROYECTO CORRESPONDIENTE AL MES DE

FECHA DE PRESENTACION

Monto Financiado S/.

Monto Ampliacion Presupuestal S/.

Monto Total Financiado S/.

Transferencias

| | Fecha | C/Pago N° | Importe |
|----|----------------------|----------------------|----------------------|
| 1° | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 2° | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 3° | <input type="text"/> | <input type="text"/> | <input type="text"/> |

Total Desembolsado S/

| ITEM | RUBRO | VALOR FINANCIADO (S/.) | GASTOS EFECTUADOS docum. Probatorios | (según (S/.) | EJECUCION % | OBSERVACIONES |
|------|-----------------------------------------|---------------------------|-----------------------------------------|-----------------|----------------|---------------|
| 1.0 | COSTO DIRECTO | | | | | |
| 1.1 | Mano de Obra Calificada | | | | | |
| 1.2 | Mano de Obra no Calificada | | | | | |
| 1.3 | Materiales | | | | | |
| 1.4 | Equipos | | | | | |
| 1.5 | Herramientas | | | | | |
| 1.6 | Flete | | | | | |
| 1.7 | Equipamiento | | | | | |
| 1.8 | Control de Calidad de Obra | | | | | |
| 1.9 | Diseño de Mezclas de concreto | | | | | |
| 1.10 | Otros | | | | | |
| 2.0 | GASTOS GENERALES | | | | | |
| 3.0 | GASTOS DEL NÚCLEO EJECUTOR | | | | | |
| 4.0 | GASTOS DEL RESIDENTE DE OBRA | | | | | |
| 5.0 | GASTOS DEL ESTUDIO DEFINITIVO | | | | | |
| 6.0 | APORTES DE LA COMUNIDAD | | | | | |
| 7.0 | COFINANCIAMIENTO DE OTRAS INSTITUCIONES | | | | | |
| 8.0 | INTERESES, MANTENIMIENTO DE LA CUENTA | | | | | |
| | SUB TOTAL INVERSION | | | | | |
| 9.0 | GASTOS DE CAPACITACION | | | | | |
| 10.0 | GASTOS DE SUPERVISION | | | | | |
| 11.0 | GASTOS DE LIQUIDACION | | | | | |
| | TOTAL INVERSION | | | | | |

Los que abajo suscribimos , certificamos que hemos verificado, en los documentos presentados por el Núcleo Ejecutor y el Residente de Obra, que los motivos consignados e el presente informe, han sido cancelados durante el proceso de ejecución de la Obra, con arreglo a los términos

| | | | |
|-------------------|---------------|-----------------|--------------------------|
| RESIDENTE DE OBRA | TESORERO N.E. | PRESIDENTE N.E. | V° B° SUPERVISOR DE OBRA |
| NOMBRE | NOMBRE | NOMBRE | NOMBRE |
| DNI | DNI | DNI | DNI |

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 14
MANIFIESTO DE GASTOS

CONVENIO N°

Correspondiente al mes de

Fecha de presentacion

RUBRO (de Estado Financiero) (*)

| N° de Orden (**) | RUBRO | | | DETALLE | | IMPORTE S/. | OBSERVACIONES |
|------------------|-------|-------------|----|-----------------------|----------|-------------|---------------|
| | Fecha | Clase (***) | N° | Razón Social o Nombre | Concepto | | |
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
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| 18 | | | | | | | |
| 19 | | | | | | | |
| 20 | | | | | | | |
| TOTAL | | | | | | | |

(*) Llevar el Manifiesto de Gasto por cada RUBRO (1 al 12) del Estado Financiero.
(**) Anotar en orden cronológico la totalidad de documentos que acrediten los gastos efectuados.
(***) Clase. Factura, Comprobante, Recibo, Contrato, Declaración Jurada, etc.
Por el presente, los abajo firmantes declaramos bajo juramento que los aquí detallados, están previstos en el presupuesto aprobado y han sido utilizados, en su integridad, en la ejecución del presente proyecto.
Las copias de las facturas, comprobantes, recibos, etc., que acrediten los gastos efectuados, deberán permanecer en poder del TESORERO del Núcleo Ejecuto

RESIDENTE DE OBRA

NOMBRE

DNI

TESORERO N.E.

NOMBRE

DNI

V°B° PRESIDENTE N.E.

NOMBRE

DNI

V° B° SUPERVISOR DE OBRA

NOMBRE

DNI

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 15 VALORIZACION DE APOORTE COMUNAL N°

PROYECTO _____ UGR _____ CONVENIO _____

CONVENIO N° : _____ FECHA DE PRESENTACION _____

MONTO DE FINANCIAMIENTO: _____
FECHA DE INICIO DE OBRA: _____
PLAZO DE EJECUCION: _____

NIVEL DE POBREZA
POBRE EXTREMO _____ POBRE REGULAR _____
MUY POBRE _____

FECHA DE PRESENTACION:/...../.....

| CONCEPTO | PRESUPUESTO | | | | AVANCE | | | | | | | | | % |
|--------------------------------|-------------|----------|--------------------|---------|----------|------------|-----|----------|------------|-----|-----------|------------|-----|---|
| | Unid. | Cantidad | Valor Estimado S/. | Parcial | ANTERIOR | | | ACTUAL | | | ACUMULADO | | | |
| | | | | | Cantidad | Valorizado | S/. | Cantidad | Valorizado | S/. | Cantidad | Valorizado | S/. | |
| 1.0 ACTIVO FIJO | | | | | | | | | | | | | | |
| 1.1 Terreno | | | | | | | | | | | | | | |
| 1.2 Semoviente | | | | | | | | | | | | | | |
| 1.3 Equipo | | | | | | | | | | | | | | |
| 1.4 Infraestructura | | | | | | | | | | | | | | |
| 1.5 Instalaciones | | | | | | | | | | | | | | |
| 1.6 Herramientas | | | | | | | | | | | | | | |
| 1.7 Otros | | | | | | | | | | | | | | |
| 2.0 CAPITAL DE TRABAJO | | | | | | | | | | | | | | |
| 2.2 Materiales de Construcción | | | | | | | | | | | | | | |
| 2.3 mano de Obra | | | | | | | | | | | | | | |
| a.- Calificada | | | | | | | | | | | | | | |
| b.- No Calificada | | | | | | | | | | | | | | |
| 2.4 Tracción animal | | | | | | | | | | | | | | |
| 2.5 Otros (Fletes, etc) | | | | | | | | | | | | | | |
| COSTO DIRECTO TOTAL | | | | | | | | | | | | | | |

RAZONES DE APOORTE COMUNAL
Por desfase presupuestal _____ Por estar considerado en el presupuesto _____ Por ampliación de metas _____ Otros _____ Explicar _____

CONTROL DE REQUIMIENTO MINIMO DE APOORTE COMUNAL
Aporte Minimo de M. de O. No calificada exigido por convenio (S/.) _____% Monto _____
Aporte acumulado de M. de O. No calificado (S/.) _____% Monto _____

SITUACION DEL PROYECTO
AVANCE FISICO _____%
AVANCE FINANCIERO _____%

Los que abajo, certificamos que los montos consignados en el presente informe, ahnsido aportados durante el proceso de ejecucion del proyecto.

RESIDENTE DE OBRA
Nombre: _____
DNI: _____

V°B° SUPERVISOR DE OBRA
Nombre: _____
DNI: _____

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 16 RELACIÓN DE MATERIALES EN ALMACÉN O EN OBRA

CONVENIO: _____ FECHA: _____
 PROYECTO: _____

Mediante el presente documento, los suscritos declaran bque los siguientes materiales se encuentran en Almacén o en Obra, y serán utilizados en la ejecución de la misma.

| N° de Orden | Material | Unidad | Cantidad | Costo de compra (S/.) |
|-------------|----------|--------|----------|-----------------------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
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| 15 | | | | |
| TOTAL | | | | |

Asimismo, contamos con material sobre que se detalla:

| N° de Orden | Material | Unidad | Cantidad | Costo de compra (S/.) |
|-------------|----------|--------|----------|-----------------------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
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| 6 | | | | |

JUSTIFICACION DEL DESTINO Y DETERMINACION DEL USO DEL MATERIAL SOBRANTE:

 TESORERO N.E.
 Nombre:
 DNI:

 PRESIDENTE N.E.
 Nombre:
 DNI:

 VEEDOR N.E.
 Nombre:
 DNI:

 RESIDENTE DE OBRA
 Nombre:
 DNI:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 17

**ACTA DE COMPROMISO DE APOORTE DE
MANO DE OBRA NO CALIFICADA**

En la Comunidad / Anexo / Caserío.....del Distrito
de....., Provincia de....., Departamento, región
de....., siendo lashoras del díade
..... de se reunieron en Asamblea general los pobladores del lugar con la finalidad
de ASUMIR EL COMPROMISO siguiente:

1. APORTAR MANO DE OBRA NO CALIFICADA para la ejecución de la Obra:
..... Convenio N°..... - - Programa de
Agua y Saneamiento para la Amazonía Rural, considerando como mínimo la que se indica en el
Convenio en las siguientes partidas del presupuesto:

| PARTIDAS | METRADOS | N° JORNADLES | VALORIZADO |
|----------|----------|--------------|------------|
| 1 | | | |
| 2 | | | |
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| 6 | | | |
| 7 | | | |

2. OTROS APORTES

| CONCEPTO (Ver Guía de Ejecución 3.2.3) | METRADOS | N° JORNADLES | VALORIZADO |
|-------------------------------------------|----------|--------------|------------|
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |

Los aportes indicados en la presente acta no serán remunerados, toda vez que la Obra a ejecutarse redundará
en beneficio de la Comunidad.

El Cumplimiento del Aporte deberá realizarse lo antes posible y como máximo antes de solicitud de la 2da
Transferencia de Fondos y será requisito para este.

Siendo las..... horas del días., el Secretario da lectura a los acuerdos del Acta y luego de aprobarla se da
por concluida y levantada la presente Asamblea, firmando los presentes.

.....
Presidente
Nombre:
DNI:

.....
Tesorero
Nombre:
DNI:

.....
Secretario
Nombre:
DNI:

.....
Veedor
Nombre:
DNI:

.....
Residente de Obra
Nombre:
DNI:

.....
Supervisor de Obra
Nombre:
DNI:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 18 (1/2)

ACTA DE TERMINACION DE OBRA

Por medio de la presenta Acta, lo que al final suscribimos, declaramos bajo juramento que en la fecha que se ah culminado la obra....., realizado por el Núcleo Ejecutor:, con recursos financiado por el Programa Agua Para Todos del Ministerio de Vivienda, Construcción y Saneamiento – PAPT – según Convenio N° FONCODES.

Siendo las.....horas, del día....., del mes de....., de....., los presentes:

Presidente, Sr. (a)..... DNI.....
Tesorero, Sr. (a)..... DNI.....
Secretario, Sr. (a)..... DNI.....
Veedor, Sr. (a)..... DNI.....
Residente de Obra, Sr. (a)..... DNI.....
Supervisor de Obra, Sr. (a)..... DNI.....
Y el Sr. (a)..... DNI.....
(Nombre de la Autoridad Edil)

Reunidos en:.....
(Lugar de obra)

Con la finalidad de verificar la culminación de los trabajos materia del presente Convenio. Luego de haber verificado los planos, especificaciones técnicas y memoria descriptiva aprobado por el Programa Agua Para Todos del MVCS, hacemos constancia que se ha cumplido con su ejecución de acuerdo a los documentos de EXPEDIENTES TECNICOS, en fe de los cual suscribimos, la presente Acta de Terminación.

| | | |
|---------------------|-------------------|---------------------|
| | | |
| Presidente del N.E. | Tesorero del N.E. | Secretario del N.E. |
| Nombre: | Nombre: | Nombre: |
| DNI: | DNI: | DNI: |

| | | |
|-----------------|-------------------|-----------------|
| | | |
| Veedor del N.E. | Residente de Obra | Autoridad Local |
| Nombre: | Nombre: | Nombre: |
| DNI: | DNI: | DNI: |

| | |
|--------------------|---------------------------|
| | |
| Supervisor de Obra | V°B° Coordinador Regional |
| Nombre: | Nombre: |
| DNI: | DNI: |

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 18 (2/2)

**ACTA DE COMPROMISO DE APOORTE DE
MANO DE OBRA NO CALIFICADA**

Los que a continuación suscriben, manifiestan su conformidad con los acuerdos de la Asamblea,
referentes al compromiso del Aporte Comunal realizado el día.....

| NOMBRE | DNI | FIRMA |
|--------|-----|-------|
| 1 | | |
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(*) Se recomienda que la Asamblea la conforme por lo menos el 50% de la Población Adulta que solicitó.

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 19
ACTA DE RENDICION DE CUENTAS FINAL

En la (el) Comunidad / Anexo / Caserío de..... del distrito de..... de la Provincia de..... del departamento de, siendo lashoras del día, del mes de, dereunida la población conformante del Núcleo Ejecutor en asamblea general, contando con la asistencia de los abajo Firmantes.

Se procedió a la rendición de Cuentas Final por parte del Núcleo Ejecutor a la comunidad.

Asimismo, dejando constar que se ha cumplido con la ejecución de la obra, de acurdo a los documentos del expediente técnico.

Representantes del Núcleo Ejecutor que realizan la rendición de Cuentas Final

.....
Presidente
DNI:

.....
Tesorero
DNI:

.....
Secretario
DNI:

.....
Veedor
DNI:

Otros

.....
Residente de Obra
DNI:

.....
Supervisor de Obra
DNI:

Autoridades asistentes

.....
Nombre:
Cargo:
DNI:

.....
Nombre:
Cargo:
DNI:

Siguen firmas de Pobladores de la Comunidad

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 20

ACTA DE COMPROMISO DE OPERACIÓN Y MANTENIMIENTO DE LA OBRA

Siendo las....., hora del día....., del mes..... y año se reúnen: el Presidente del Núcleo Ejecutor, Sr (a):identificado con D.N.I. N° , el Residente de Obra Sr (a) identificado con D.N.I. N° y el Supervisor de Obra / Coordinador de la UGR del Programa Sr (a) Identificado con D.N.I. N°..... y el (los) representante (s) de..... (Entidad), Sr (a)..... Identificado con D.N.I. N°en la localidad de , Distrito de , Provincia de , departamento de , Región de , con la finalidad de proceder a la entrega y recepción para la administración y mantenimiento de la Obra:....., acto que se efectúa en los términos siguientes:

PRIMERO: La Obra/Proyecto, objeto de entrega y recepción, fue realizada por el Núcleo Ejecutor con Financiamiento del Programa de A&S para la Amazonía Rural, según Convenio N°.....- Programa Agua Para Todos, de fecha.....

SEGUNDO: La Obra/Proyecto se ha terminado de acuerdo a los planos y especificaciones técnicas consideradas en su expediente, conforme se acredita en el acta de Terminación Suscrita el día del mes de del y la correspondiente Memoria Descriptiva y Planos de Obra que se adjunta a la Presenta Acta.

TERCERO: En la fecha, el Núcleo Ejecutor, representada por su Presidente, Sr (a):..... con D.N.I. N° , entrega la citada Obra/proyecto al Sr (a).....,con D.N.I. N° , representante de (Entidad) quien recibe y asume a partir de la fecha el compromiso de su Administración y Mantenimiento, en tanto el Programa Agua Para Todos apruebe la liquidación de la obra, y proceda a la transferencia definitiva de la propiedad de la misma de acuerdo a su marco legal vigente.

CUARTO: (Entidad), se compromete a realizar y colaborar en las acciones que permitan el saneamiento físico legal de la obra, de conformidad con lo establecido en la Ley N° 27171, Su Reglamento y demás normas modificatorias y concordantes.

En señal de conformidad a los términos de la presente Acta de Compromiso de Operación y Mantenimiento de Obra, suscriben los presentes:

.....
Presidente

.....
Residente de Obra

.....
Representante de la
Entidad Receptora

.....
Supervisor De Obra/UGR

.....
V°B° Coordinador de la UGR del Programa

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 21 DATOS GENERALES DEL CONVENIO

| | | | |
|------------------------------------------|--|-------------------------------------------------------------------------|--|
| Convenio N° _____ Expediente N° _____ | | N° de Contrato _____ Mes al que corresponde el informe inicial _____ | |
|------------------------------------------|--|-------------------------------------------------------------------------|--|

| | | | | | | | |
|-------------------------------------------------|--|-----------------|--|-------------------------------------------|--|--------------|--|
| A.1 DEL PROYECTO FINANCIADO | | DATOS GENERALES | | PLAZO DE CONVENIO | | ____ Meses | |
| Nombre _____ | | | | | | | |
| Ubic. _____ | | | | | | | |
| Localidad | | Distrito | | Provincia | | Departamento | |
| | | | | | | Región | |
| A.2 DEL SUPERVISOR DE OBRAS | | | | | | | |
| Género: | | Masculino | | Femenino | | | |
| Nombre: | | ____ | | Especialidad | | ____ | |
| Dirección: | | ____ | | Teléfono | | ____ | |
| A.3 DEL NÚCLEO EJECUTOR | | | | | | | |
| Nombre: _____ | | | | | | | |
| Género | | | | | | | |
| PRESIDENTE: | | Masculino | | Femenino | | | |
| TESORERO: | | Masculino | | Femenino | | | |
| SECRETARIO: | | Masculino | | Femenino | | | |
| VEEDOR: | | Masculino | | Femenino | | | |
| A.4 DEL RESIDENTE DE OBRA | | | | | | | |
| Género: | | Masculino | | Femenino | | | |
| Nombre: | | ____ | | Especialidad | | ____ | |
| Dirección: | | ____ | | Teléfono | | ____ | |
| A.5 DEL PROYECTISTA | | | | | | | |
| Género: | | Masculino | | Femenino | | | |
| Nombre: | | ____ | | Especialidad | | ____ | |
| Dirección: | | ____ | | Teléfono | | ____ | |
| A.6 DEL EVALUADOR | | | | | | | |
| Género: | | Masculino | | Femenino | | | |
| Nombre: | | ____ | | Especialidad | | ____ | |
| Dirección: | | ____ | | Teléfono | | ____ | |
| B DE LA SUPERVISIÓN REALIZADA | | | | | | | |
| B.1 DOCUMENTACIÓN RESEVIDA | | | | | | | |
| Cronograma de Avances de Obra Valorizado | | ____ | | Otros | | ____ | |
| Cuaderno de Obra | | ____ | | | | ____ | |
| B.2 DEL CRONOGRAMA VALORIZADO DE AVANCE DE OBRA | | | | | | | |
| Fecha de recepción de la 1ra transferencia | | ____ | | Fecha de inicio de los trabajos | | ____ | |
| Fecha de apertura de cuenta | | ____ | | Fecha de vencimiento de plazo de convenio | | ____ | |
| Fecha de entrega de terreno | | ____ | | | | | |

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 22
INFORME MENSUAL DE SUPERVISION

Convenio N°: Nombre del Supervisor:
N° Informe:
Expediente N°: Mes al que corresponde el Informe:
Informe Final:

C. DEL ESTADO SITUACIONAL DEL PROYECTO FINANCIADO

(Se requiere Información Cualitativa y cuantitativa del proyecto)

C.1 DEL ASPECTO TÉCNICO

El Supervisor del proyecto debe informar en relación al periodo reportado, lo siguiente:

AVANCE FISICO PROGRAMADO ACUMULADO %
AVANCE FISICO EJECUTADO ACUMULADO %

- Breve descripción de la obra ejecutada
- Modificación al proyecto aprobados por el PAPT
- Avance Físico del mes
- Comentarios u observaciones obre la valorización elaborada por el residente
- Cumplimiento del Cronograma de Avance de Obra y la fecha prevista de terminación
(Indicar si el proyecto esta adelantado, normal o atraso, en caso de atraso y/o paralización de obra, señale las razones y las medidas adoptadas para superar esta situación)
- Problemas técnicos resueltos y/o pendientes de solución.
(Problemas, causas, efectos y recomendaciones o acciones tomadas, y notificaciones cursadas)
- Pronunciamiento sobre la oportuna adopción de medidas correctivas por parte del Residente.

C.2 DEL ASPECTO ECONÓMICO

El supervisor del proyecto debe informar en relación al periodo reportado lo siguiente:

- Avance financiero del mes: Avance Financiero Acumulado.....%
- Comentarios u observaciones sobre los Manifiestos de gastos y el estado Financiero de la Obra, elaborado por el Residente de Obra y el Nucleó Ejecutor, bloqueo de la cuenta.
- Formato de valoración de Aporte Comunal
- Problemas resuelto y/o pendientes de solución
(Problemas, causas, efectos y recomendaciones o acciones tomadas, y notificaciones cursadas)
- Pronunciamiento sobre la oportuna adopción de medidas correctivas por parte del Residente y del Nucleó Ejecutor

C.3 DEL ASPECTO ADMINISTRATIVO

El Supervisor de Obra debe informar en relación al periodo reportado lo siguiente:

- Análisis del desempeño del Nucleó Ejecutor (De ser el caso, indicar los cambios del Órgano Representativo del Núcleo ejecutivo)
- Análisis del desempeño del Residente (Pronunciamiento del cumplimiento de sus funciones, cumplimiento del coeficiente de participación para lo cual además deberá verificar las anotaciones en el cuaderno de obra. Pronunciamiento sobre su capacidad profesional en la dirección de obra. De ser el caso indicar el cambio de Residente de Obra)
- Gestiones ante la Unidad de Gestión Regional del Programa (Solicitudes o Aprobación de cambio de N.E. Residente, Otros)
- Gestiones ante la Entidad receptora (Hacer referencias a la coordinaciones realizadas por el N.E. con el representante de la entidad receptora a fin de efectuar la transferencia respectiva y de ser el caso a la subsanación de las observaciones encontradas en la pre liquidación)
- Problemas resueltos y/o pendientes de solución (Problemas, causas, efectos y recomendaciones o acciones tomadas, y notificaciones cursadas)

C.5 DEL ASPECTO AMBIENTAL

El Supervisor de Obra debe informar en relación al periodo reportado lo siguiente:

- Cumplimientos de las Medidas de Control Ambiental

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

- Identificación de los impactos ambientales que se presentan durante la ejecución del proyecto
- Problemas resueltos y/o pendientes de solución
(Problemas, causas, efectos y recomendaciones la acciones tomadas, y notificaciones cursadas)

C.6 PRONUNCIAMIENTO

- El Supervisor de Obra emitirá opinión respecto al estado de la Obra considerando todos los aspectos mencionados anteriormente
- Indicara además las medidas correctivas tomadas

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 23
RESUMEN DE INFORMES MENSUALES DE SUPERVISIÓN
ACUMULADO AL MES DE DE

MINICIPALIDAD DE: _____

NOMBRE DEL SUPERVISOR DE OBRA: _____

ESPECIALIDAD: _____

FECHA DE ENTREGA: _____

| N° de Convenio | Tipo de Obra | Plazo de Obra | Fecha de Primer Desemb. | INFORME N° (MES) | | | | | | | | | | | | | | Fecha Vc. Plazo | Observaciones | |
|-----------------|---------------|---------------|----------------------------------|----------------------------------------------------------------------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----------------------------|---------------|--|
| | COEF. | | Fecha de 1° visita de Evaluación | Quincenas FECHA DE VISITAS Av. Fisico (%) Av. Financ. (%) Gasto Reportado (\$/.) | | | | | | | | | | | | | | Término Real | | |
| N° de Contarito | Gasto Superv. | | Fecha Inicio de Obra | 1 | | 2 | | 3 | | 4 | | 5 | | 6 | | 7 | | Fecha de Present. Liquidsc. | | |
| | | | | 1Q | 2Q | 3Q | 4Q | 5Q | 6Q | 7Q | 8Q | 9Q | 10Q | 11Q | 12Q | 13Q | 14Q | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | S/. | | | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | S/. | | | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | S/. | | | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | S/. | | | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | | | | | % | % | % | % | % | % | % | % | % | % | % | % | % | | | |
| | S/. | | | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | S/. | | | |
| Total Coef. | | | | | | | | | | | | | | | | | | | | |

SUPERVISOR DE OBRA

SUPERVISOR DE LA UNIDAD DE GESTION REGIONAL
REVISADO

INGRESO EN BASE DE DATOS
FECHA:

GUIDELINES FOR IMPLEMENTATION OF WATER AND SANITATION PROGRAM IN RURAL
AMAZONIA, WITH CORE EXECUTERS

FORMATO N° 24
HOJA DE EVALUACIÓN

AUTORIZACIÓN DE PAGO DE LOS INFORMES DE SUPERVISIÓN DE OBRA

DEL SUPERVISOR DE OBRA

UNIDAD DE GESTION REGIONAL DEL PROGRAMA:

Adjunto al presente el informe correspondiente al Convenio indicado, para que luego de efectuada la revisión y aprobación correspondiente por la Unidad de Gestión Regional del Programa, se autorice el pago respectivo.

NOMBRE DEL CONVENIO:..... CONVENIO N°:.....

N° INFORME..... MENSUAL..... FINAL.....

MES AL QUE CORRESPONDE:.....

FECHA DE PRESENTACIÓN:.....

DÍAS DE ATRAZO:.....

NOMBRE DEL SUPERVISOR:.....

.....
FIRMA

DE LA SUPERVISIÓN DE LA UGR

EVALUACIÓN DEL CONTENIDO

FECHA DE REVISIÓN:

El Supervisor Zonal certifica que el Supervisor de Obra ha presentado conforme el Informe completo de Supervisión.

De la reunión de sustentación del informe realizada, se concluye que en el Convenio de Financiamiento, debe adoptarse las siguientes medidas correctivas:

Medidas correctivas

.....
.....
.....
.....
.....
.....
.....
.....

Visto y evaluación el informe del Supervisor de Obra, se tramita el pago según hoja de liquidación correspondiente.

Fecha de Trámite:

.....
Supervisor de la Unidad de Gestión Regional
(Sello con nombre y firma)

Comments from the DNS and PAPT

OfICIO No. 1355-2010-VIVIENDA/VMCS-DNS

The operating manual should be reviewed once the viability of the Program is declared by the DGPM/MEF. Also, the requirements shall be incorporated which may rise from the loan agreement between JICA and the Government of Peru for the financing to the first phase of the program that consists of the three phases. The Manual, thereafter, shall be approved by the MVCS before starting the program execution.

Comentarios de los DNS y PAPT

OfICIO No. 1355-2010-VIVIENDA/VMCS-DNS

El manual de operación deberán ser revisadas una vez declarado viable el Programa por la DGPM/MEF. También se incorporará los requerimientos del Contrato de Préstamo entre el JICA y el Gobierno de Perú para el financiamiento parcial del Programa. El Manual será aprobado por el MVCS antes de iniciar la ejecución del Programa.



PERU

Ministerio
de Vivienda, Construcción
y Saneamiento

Viceministerio
de Construcción y Saneamiento

Dirección
Nacional de Saneamiento

"Decenio de las Personas con Discapacidad en el Perú"
"Año de la Consolidación Económica y Social del Perú"

Lima, 06 DIC. 2010

OFICIO N° 1355-2010-VIVIENDA/VMCS-DNS

Señor

SHINYA TAKAHASHI

Jefe de Equipo Consultor

Programa de Agua Potable y Saneamiento para la Amazonía Rural

NIPPON KOEI

Lima.-

ASUNTO : Observaciones al Manual de Operaciones del programa de Agua Potable y Saneamiento para la Amazonía Rural

REFERENCIA : Carta PA-13/09/10-065

Me dirijo a usted, con relación al documento de la referencia a), mediante el cual remitió el Informe Final modificado del Manual de Operaciones del Programa de Agua Potable y Saneamiento para la Amazonía Rural.

Sobre el particular, adjuntamos al presente los comentarios y observaciones efectuadas tanto por la Dirección Nacional de Saneamiento (DNS) y el Programa Agua Para Todos (PAPT). De acuerdo a lo planteado por la Unidad Operativa de Saneamiento Rural del PAPT sería conveniente realizar una reunión conjunta de trabajo entre la Consultora a cargo de la elaboración del Manual de Operaciones y los actores internos del PAPT y la DNS, a fin de formular una versión consensuada del Manual.

Sin otro particular, aprovecho la oportunidad para expresarle las muestras de mi estima y consideración personal.

Atentamente,

Ing. JOSÉ LUIS BECERRA SILVA
Director Nacional de Saneamiento
Viceministerio de Construcción y Saneamiento

Cc. PAPT
UOSR
Javier Hernandez

07 DIC. 2010

17:10

1

**Preparatory Study
for the Water Supply and Sanitation Improvement Project
in Amazon Area, Republic of Peru
Japan International Cooperation Agency (JICA)**

The Study Team:
OFFICE in LIMA (C/O NK-LAC)
Edificio Centro Empresarial San Isidro Torre A,
Av. República de Panamá 3535 - Oficina 401, San Isidro - Lima 27 - Perú
Tel: +51 (1) 222-4444; Fax: +51 (1) 422-3153

2010 SEP 15

MINISTERIO DE VIVIENDA,
CONSTRUCCION Y SANEAMIENTO
SECRETARIA GENERAL
UNIDAD DE TRAMITE DOCUMENTARIO

029813

Señor Ing.
José Luis Becerra Silva
Director Nacional de Saneamiento
Ministerio de Vivienda, Construcción y Saneamiento

San Isidro, 13 de Setiembre de 2010

2 43

Nº de Referencia: PA-13/09/10-065

Act. OS Potable


Asunto: Entrega del Informe Final del Manual de Operaciones del Programa de Agua y Saneamiento para la Amazonia Rural

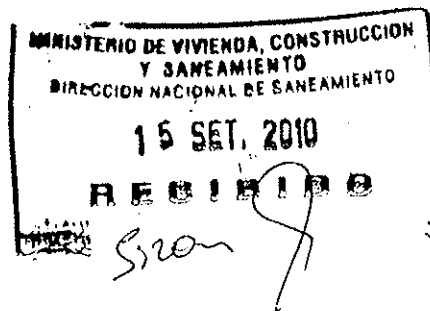
Estimado Ing. Becerra:

Es grato de dirigirme a usted para a fin de entregarle tres (3) ejemplares en español y dos (2) ejemplares en ingles del Informe Final Modificado del Manual de Operaciones Programa de Agua Potable y Saneamiento para la Amazonia Rural, incorporando los cambios efectuados en el Estudio de Factibilidad entregado a su despacho en el mes de julio pasado

Sin otro particular, lo saluda,

Muy atentamente


Shinya TAKAHASHI
Consultor en Jefe del Equipo de
Estudio de JICA para el Estudio
Preparatorio del Programa de
Agua Potable y Saneamiento para
la Amazonia Rural.



OBSERVACIONES A MANUAL DE OPERACIONES DE PROGRAMA DE AGUA Y SANEAMIENTO AMAZONÍA RURAL

1. Concordar con las funciones y las interrelaciones entre las distintas Unidades Orgánicas de PAPT, y con la DNS, y con las exigencias de JICA, en lo relacionado al Programa Amazonía Rural. Para ello, se recomienda que la Consultora coordine directamente reuniones específicas con las Unidades Orgánicas de PAPT: Unidad de Administración, Unidad de Planificación, Presupuesto e Informática; Unidad de Saneamiento Rural; Unidad de Asuntos Legales.
2. Luego de la misión JICA en el mes de agosto de 2010, el Estudio de Factibilidad del Programa Amazonía Rural tuvo modificaciones y tuvo que ser revisado nuevamente por OPI para su envío posterior para viabilidad del MEF. Se debe concordar en lo que corresponda si la(s) modificación (es) al Estudio de Factibilidad hayan podido afectar la versión del MOP materia de revisión.
3. Falta describir la organización del PAPT para la ejecución desconcentrada del Programa.
4. Revisar concordar los actores externos previstos en el Programa.
5. El Programa incluye Contratistas y Núcleos ejecutores para las obras. Concordar en los capítulos que falta este actor.
6. Revisar la estrategia y/o esquemas de financiamiento en sus diferentes niveles: local, regional y/o nacional. Lo planteado en el MOP no concuerda con el Programa.
7. Respecto al Programa, aclarar el rol de la UGP y el rol de la Unidad Operativa de Saneamiento Rural.
8. Aclarar el tema de la autonomía de la UGP. ¿respecto a qué actores? ¿cómo se va dar en la práctica esa autonomía, dentro de la Unidad de Saneamiento Rural? ¿cómo será esa autonomía respecto a las otras Unidades Orgánicas de PAPT?
9. Precisar que el Especialista social que contratará la UGP será para la supervisión social en los casos que existan las firmas consultoras sociales.

El Programa contribuirá a la reducción de las enfermedades transmitidas por el agua, relacionadas a enfermedades intestinales infecciosas e incidencia de parasitosis, en particular de niños menores de 5 años de edad de la población rural de la Amazonía.

Objetivos Específicos

- ✓ Construir, mejorar y/o rehabilitar las instalaciones de agua y saneamiento
- ✓ Generar en las poblaciones de las localidades a ser atendidas, la conciencia del valor de los servicios de agua potable y de saneamiento, a través de procesos participatorios a ser implementados en el ciclo del proyecto;
- ✓ Fortalecer a las JASS de las localidades a ser atendidas estableciendo programas de capacitación en administración, operación y mantenimiento (AOM);
- ✓ Proveer educación sanitaria a los usuarios.
- ✓ Fortalecer la capacidad técnica de las municipalidades distritales para que puedan (i) monitorear y supervisar los servicios de abastecimiento de agua y saneamiento dentro de sus jurisdicciones, y (ii) proveer asistencia técnica y apoyo a las JASS cuando éstas lo necesiten.
- ✓ Proveer servicios de consultoría para la implementación del Programa con asistencia en la elaboración de los estudios de pre-inversión, proporcionando contratistas, supervisando los trabajos de construcción, implementando la capacitación, etc.
- ✓ Fortalecer al PAPT para la ejecución, control y evaluación del Programa, dotando a las Unidades de Gestión con el equipo y materiales necesarios para ser usados por las UGP durante el periodo del Programa.
- ✓ Proveer de asistencia técnica al PAPT in la evaluación del Perfil y la revisión de los expedientes técnicos (diseños detallados)

1.3.3 Principios básicos del Programa

Los principios básicos que regirán el Programa de Agua Potable y Saneamiento para la Amazonía Rural son los siguientes:

- ✓ El Programa prioriza las zonas de mayor pobreza en los ámbitos rurales de la Amazonía.
- ✓ La participación activa de las municipalidades distritales a lo largo de todo el ciclo del proyecto como co-ejecutores del proyecto.
- ✓ La participación activa de la comunidad en todo el ciclo del proyecto para lograr sostenibilidad y empoderamiento.
- ✓ El Programa ofrece propuesta de opciones técnicas y niveles de servicio preestablecido para agua y saneamiento para que la comunidad esté informada y comprenda sobre la opción más conveniente y sostenible.

Comentario [STQ1]: La priorización es en la secuencia de implementación para definir la Primeras Etapas, en el dimensionamiento del Programa se incluyen todas las localidades rurales de la Amazonía

Comentario [STQ2]: Es previsto de esta manera, si en el Programa con la Cooperación Española

Comentario [STQ3]: Debe describirse en alguna parte dichas opciones

- ✓ La intervención integral a través de un solo proyecto, que comprenda los aspectos técnicos, sociales y ambientales bajo un ejecutor único y un mismo cronograma de ejecución.
- ✓ Las cuotas familiares deben cubrir los costos de operación, mantenimiento y reposición de equipos.

Comentario [CSP4]: Para Amazonia rural el consultor que elabore los estudios solo verá la parte técnica de los proyectos.

Comentario [STQ5]: Debe sealarse lo que dice la norma del sector en forma textual.

1.3.4 Política, principios y enfoque del Programa

a. Política Financiera

La política financiera del Programa establece como condición de financiamiento de los proyectos de agua y saneamiento en localidades rurales de la Amazonia Rural, el cofinanciamiento por parte de Gobiernos Regionales del ámbito de intervención. Este aporte del Gobierno Regional, será como apoyo al co-financiamiento por parte de las municipalidades locales.

Comentario [STQ6]: Tal vez no debiera indicarse que es una política financiera del Programa, porque más obedeció a un criterio del MEF.

Comentario [STQ7]: No es exacto que las municipalidades vayan a cofinanciar.

El cofinanciamiento directo de los gobiernos locales será a través de la creación de la Unidad Técnica Municipal de su ámbito jurisdiccional, los mismos que deberán estar conformados una vez que los proyectos sean declarados viables. Para la culminación de los Expedientes Técnicos, Sociales y Ambientales (ETSA), los municipios locales ya deberán contar con la Unidad Técnica Municipal.

Comentario [CSP8]: Es decir que en los convenios con dichos gobiernos locales hagan modificaciones en el ROF y CAP coloquen personal en dichas actividades.

De acuerdo al Estudio de Factibilidad no está previsto el cofinanciamiento de la comunidad, salvo compromisos asumidos durante la promoción del Programa, con el aporte en mano de obra no calificada.

b. Principio de Intervención Integral

El Programa otorga igual importancia a los componentes: técnico, ambiental y social. Las actividades de los componentes técnicos de ingeniería (construcción de infraestructura) y técnico social (promoción, capacitación en administración, operación y mantenimiento, fortalecimiento municipal y educación sanitaria) se desarrollan de manera integrada, simultánea y complementaria. La intervención de manera simultánea de los servicios de agua y saneamiento, debe responder a las características físicas, económicas, sociales y culturales de la comunidad teniendo en cuenta la protección del medio ambiente.

c. Enfoque de Demanda con Información

Los servicios a implementarse en las comunidades a través del Programa, deben ser el resultado de un proceso de análisis y discusión con la comunidad respecto al tipo de servicio que será ofrecido a los beneficiarios y por el cual están dispuestos a pagar, como resultado de un proceso de consulta y toma de decisión de los potenciales usuarios de la comunidad.

Este enfoque se sustenta en:

f. Enfoque Sustentabilidad Medio Ambiental

Los seres humanos experimentamos el medio ambiente en que vivimos como un conjunto de condiciones físicas, químicas, biológicas, sociales, culturales y económicas que difieren según el lugar geográfico, la infraestructura, la estación, el tiempo y la actividad realizada.

Los recursos naturales son usados por el hombre a través de diferentes actividades, por ello debemos tener en cuenta que al usarlos se producirá siempre un impacto en el medio ambiente, cuyos efectos deben ser controlados y mitigados.

1.3.5 Componentes del Programa

El Programa estará conformado por tres (3) componentes:

Componente 1: Conglomerado 1: Proyectos de agua y saneamiento para Poblaciones Rurales de Selva Baja. Corresponde a los proyectos de agua potable y saneamiento para poblaciones rurales entre 200 y 2,000 habitantes en la zona denominada de selva baja del ámbito de intervención del Programa cuya característica principal es su ubicación a una altura menor de 400 metros sobre el nivel del mar. La meta de intervención es de 902 localidades rurales.

Componente 2: Conglomerado 2: Proyectos de agua y saneamiento para Poblaciones Rurales de Selva Alta y Ceja Selva. Corresponde a los proyectos de agua potable y saneamiento para poblaciones rurales entre 200 y 2,000 habitantes en las zonas denominadas selva alta y ceja de selva del ámbito de intervención del Programa cuya característica principal es su ubicación entre los 401 a 2,300 metros sobre el nivel del mar. La meta de intervención es de 598 localidades rurales.

Ambos componentes comprenden: i) Construcción o rehabilitación o ampliación de sistemas de agua potable y saneamiento; ii) Intervención Social: fortalecimiento de la capacidad de organización, planificación y gestión de los servicios de saneamiento; y Capacitación en educación sanitaria (Municipalidades, JASS y Comunidad); iii) Servicios de Consultoría.

Los Componentes 1 y 2 (Conglomerado 1 y 2): Proyectos de agua y saneamiento para Poblaciones Rurales de Selva Baja, Selva Alta y Ceja de Selva: Comprende desde el diagnóstico y línea de base, elaboración de los estudios de pre inversión (Perfiles), elaboración de los Expedientes Técnicos de los proyectos, y la construcción de sistemas nuevos o rehabilitación o ampliación de sistemas existentes y supervisión de obras, con un enfoque participativo, de manera tal que incluya a las partes involucradas, como los beneficiarios y municipalidades distritales.

Comentario [STQ9]: Precisar cual será la participación de las municipalidades

Complementariamente se propone el fortalecimiento de capacidades (organización, planificación, promoción, desarrollo y supervisión de los servicios) dirigido a los beneficiarios, los miembros de las JASS y los municipios distritales; de manera que se logre un desarrollo sostenible de los sub proyectos de abastecimiento de agua y saneamiento.

También se incluyen actividades de educación sanitaria e higiene en cada una de las localidades, orientadas a promover prácticas saludables de higiene en las familias; para la prevención de las enfermedades; y la valoración y uso adecuado de los servicios; así como la preservación del recurso y del cuidado del medio ambiente.

Los beneficiarios, las JASS y las municipalidades deberán participar en los programas de capacitación, como parte de sus responsabilidades en la implementación del Programa en la localidad.

Componente 3: Administración del Programa; Comprende gestión, monitoreo y evaluación del Programa en todas las etapas de los proyectos y las fases de ejecución a cargo de la UGP – PAPT y la UGR. Este Componente incluye lo siguiente:

- ✓ Supervisar y controlar la implementación de los proyectos de agua potable y saneamiento de los conglomerados 1 y 2.
- ✓ Comprende la implementación de la Unidad de Gestión del Programa en el Programa Agua Para Todos (PAPT).
- ✓ Asignar los especialistas necesarios, adquisición de equipos y materiales y gestionar los presupuestos anuales.
- ✓ Desarrollar la Línea de Base del Programa, antes del inicio de la implementación del mismo.
- ✓ La evaluación intermedia y ex post de la implementación del Programa.
- ✓ Gestionar las auditorías pertinentes (físicas, financieras y de adquisiciones).

Componente 4: Fortalecimiento de la Función de Gobierno; Comprende: Fortalecimiento del marco normativo del sector y desarrollo de recursos humanos, investigación y desarrollo tecnológico, estudios de soporte social- cultural- antropológico en la comunidades de amazonia rural y gestión del SIAS.

1.3.6 Inversión del Programa por Componente

El costo total del Programa de Agua Potable y Saneamiento para la Amazonía Rural, que incluye todos los componentes y actividades para su implementación, asciende a S/. 1,439,925 miles (JPY 46,798 millones = USD 479,975 miles).

El Costo del Programa según fase de intervención se distribuye de la siguiente manera: la primera fase, asciende a S/. 158,8 millones (USD 52,9 millones); el costo de la segunda fase asciende a S/.

Comentario [STQ10]: Habría que precisar cuáles serían estas capacitaciones para la municipalidades y si están presupuestadas

Comentario [STQ11]: Sugerimos que Javier Hernández amplie los alcances de este componente

Comentario [STQ12]: Debe compatibilizarse con la última versión del estudio de factibilidad

Cuadro 1.4
Esquema de Financiamiento del Programa de Agua Potable para la Amazonia Rural
(2010 -2020)

| Item | Descripción | Costo Total del Programa (Miles de Soles) | Fase 1 (Miles de USD) | | | | Fase 2 (Miles de USD) | | | | Fase 3 (Miles de USD) | | | |
|---------------------|-----------------------------------------------|-------------------------------------------|-----------------------|--------|---------------------|----------|-----------------------|---------|---------------------|----------|-----------------------|---------|---------------------|----------|
| | | | Costo Total | | Financiamiento G.P. | | Costo Total | | Financiamiento G.P. | | Costo Total | | Financiamiento G.P. | |
| | | | JICA | GP | MVCS | Regional | JICA | GP | MVCS | Regional | JICA | GP | MVCS | Regional |
| 1) | Componente 1: Conglomerado C-1 | 715,694 | 23,378 | 19,635 | 3,944 | 2,761 | 55,948 | 10,484 | 540 | 10,267 | 111,000 | 183,402 | 13,348 | 670 |
| 1.1 | Infraestructura de Agua Potable | 297,438 | 9,343 | 7,368 | 2,475 | 743 | 30,889 | 6,783 | 339 | 6,444 | 49,463 | 41,054 | 8,409 | 420 |
| 1.2 | Infraestructura de Saneamiento | 176,483 | 5,805 | 4,336 | 1,469 | 441 | 19,650 | 4,025 | 201 | 3,223 | 28,349 | 24,360 | 4,989 | 246 |
| 1.3 | Intervención Social (etapa de implementación) | 72,673 | 2,404 | 2,404 | 0 | 0 | 9,745 | 9,745 | 0 | 0 | 12,075 | 12,075 | 0 | 0 |
| 1.4 | Diagnostico Inicial y de Línea de Base | 2,714 | 89 | 89 | 0 | 0 | 364 | 364 | 0 | 0 | 451 | 451 | 0 | 0 |
| 1.5 | Perfiles (A&S) | 31,361 | 1,037 | 1,037 | 0 | 0 | 4,203 | 4,203 | 0 | 0 | 5,214 | 5,214 | 0 | 0 |
| 1.6 | Expendiente Técnico de Obras y Social (A&S) | 56,979 | 1,880 | 1,880 | 0 | 0 | 7,640 | 7,640 | 0 | 0 | 9,474 | 9,474 | 0 | 0 |
| 1.7 | Supervisión de Obras (A&S) | 61,517 | 2,031 | 2,031 | 0 | 0 | 8,246 | 8,246 | 0 | 0 | 10,228 | 10,228 | 0 | 0 |
| 1.8 | Supervisión de Perfiles (A&S) | 7,792 | 256 | 256 | 0 | 0 | 1,032 | 1,032 | 0 | 0 | 1,279 | 1,279 | 0 | 0 |
| 1.9 | Supervisión de Daños (A&S) / Expendiente S | 8,827 | 294 | 294 | 0 | 0 | 1,182 | 1,182 | 0 | 0 | 1,466 | 1,466 | 0 | 0 |
| 2) | Componente 2: Conglomerado C-2 | 403,514 | 16,334 | 14,016 | 2,518 | 753 | 79,997 | 70,966 | 8,133 | 467 | 7,728 | 35,574 | 35,568 | 4,864 |
| 2.1 | Infraestructura de Agua Potable | 142,742 | 5,868 | 4,345 | 1,464 | 439 | 27,648 | 23,114 | 4,724 | 237 | 4,697 | 13,824 | 11,587 | 2,267 |
| 2.2 | Infraestructura de Saneamiento | 102,471 | 4,170 | 3,115 | 1,055 | 316 | 19,892 | 16,593 | 3,399 | 176 | 3,223 | 9,866 | 8,296 | 1,599 |
| 2.3 | Intervención Social (etapa de implementación) | 48,289 | 1,973 | 1,973 | 0 | 0 | 9,403 | 9,403 | 0 | 0 | 4,721 | 4,721 | 0 | 0 |
| 2.4 | Diagnostico Inicial y de Línea de Base | 1,800 | 73 | 73 | 0 | 0 | 351 | 351 | 0 | 0 | 176 | 176 | 0 | 0 |
| 2.5 | Perfiles (A&S) | 20,781 | 650 | 650 | 0 | 0 | 4,053 | 4,053 | 0 | 0 | 2,028 | 2,028 | 0 | 0 |
| 2.6 | Expendiente Técnico de Obras y Social (A&S) | 37,776 | 1,542 | 1,542 | 0 | 0 | 7,366 | 7,366 | 0 | 0 | 3,584 | 3,584 | 0 | 0 |
| 2.7 | Supervisión de Obras (A&S) | 40,784 | 1,665 | 1,665 | 0 | 0 | 7,951 | 7,951 | 0 | 0 | 3,978 | 3,978 | 0 | 0 |
| 2.8 | Supervisión de Perfiles (A&S) | 5,107 | 210 | 210 | 0 | 0 | 995 | 995 | 0 | 0 | 468 | 468 | 0 | 0 |
| 2.9 | Supervisión de Daños (A&S) / Expendiente S | 5,854 | 242 | 242 | 0 | 0 | 1,140 | 1,140 | 0 | 0 | 570 | 570 | 0 | 0 |
| 3) | Componente 3 | 84,663 | 3,029 | 0 | 3,029 | 1,423 | 13,219 | 0 | 13,219 | 6,213 | 7,006 | 11,873 | 0 | 11,873 |
| 3.1 | Administración del Programa | 84,663 | 3,029 | 0 | 3,029 | 1,423 | 13,219 | 0 | 13,219 | 6,213 | 7,006 | 11,873 | 0 | 11,873 |
| 4) | Componente 4 | 4,850 | 1,350 | 1,350 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Fortalecimiento de la Función de Gobierno | 4,850 | 1,350 | 1,350 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5) | IGV (19%) | 222,904 | 8453 | 0 | 8,453 | 7,289 | 35,778 | 8 | 35,778 | 31,628 | 4,750 | 32,064 | 0 | 32,064 |
| Total General | | 1,438,925 | 479,975 | 52,844 | 35,001 | 17,945 | 224,080 | 156,145 | 67,838 | 34,188 | 28,749 | 202,850 | 141,199 | 61,641 |
| % de Financiamiento | | | 100.00% | 64% | 34% | 39% | 100.0% | 70% | 30% | 58% | 44% | 79% | 30% | 44% |

Fuente: Estudio de Factibilidad- 2010

MATRIZ DE MARCO LOGICO
PROGRAMA DE AGUA POTABLE Y SANEAMIENTO PARA LA AMAZONIA RURAL

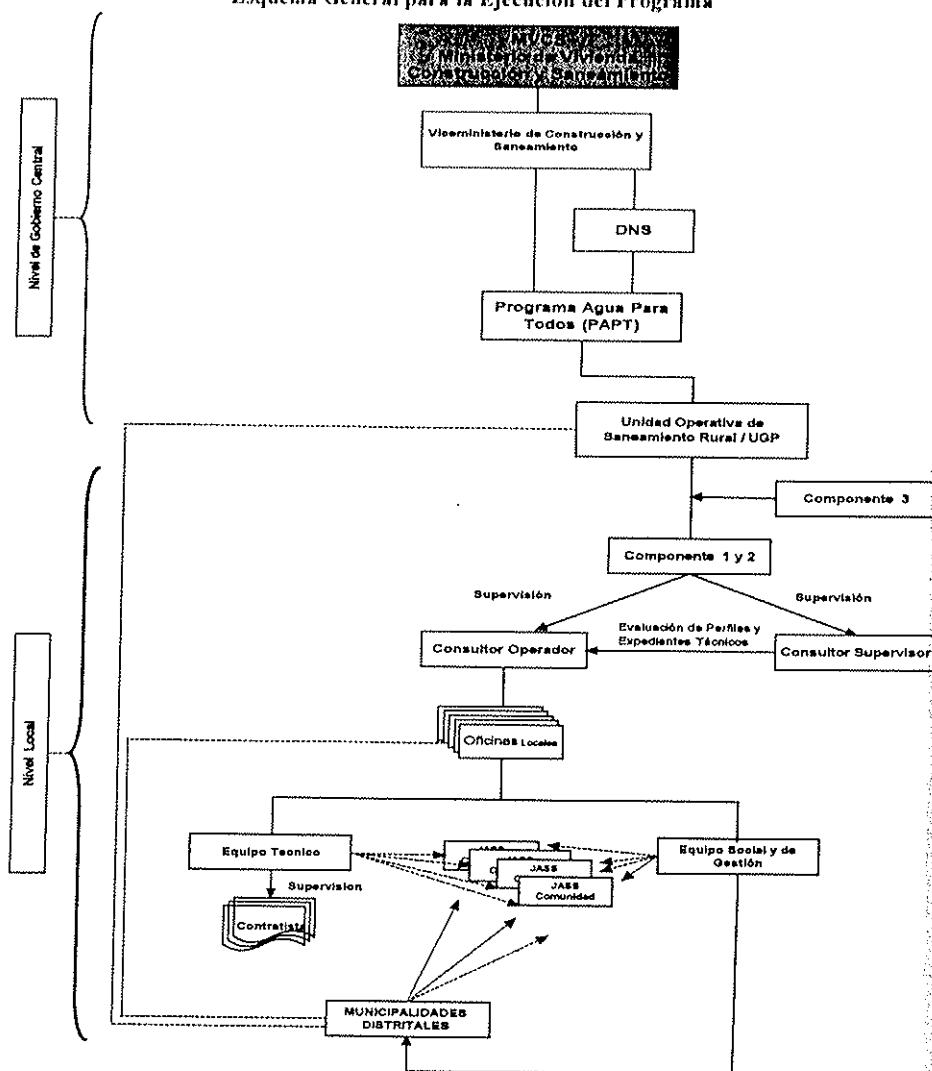
COMPONENTES 1 y 2

| OBJETIVOS | META | INDICADORES | MEDIOS DE VERIFICACIÓN | SUPUESTOS |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| FIN: Contribuir a mejorar la salud y la calidad de vida de la población rural. | | | | |
| COMPONENTES 1 y 2 | | | | |
| PROPOSITO: Contribuir a disminuir la prevalencia de enfermedades infecciosas intestinales (EDAs) de la población rural en las regiones de Loreto, Madre de Dios, San Martín, Amazonas y Ucayali. | ♦ Reducir en un 50% la prevalencia de enfermedades infecciosas intestinales (EDAs) en la población infantil del área rural amazónica (niños menores a 5 años), del 23.4% actual al 11.7% en el año 2020. | ♦ Tasa de prevalencia de enfermedades infecciosas intestinales (EDAs), en la población infantil (menores a 5 años). | ♦ Informe de resultados de la línea de base. ♦ Informe de resultados de la evaluación de impacto del Programa. ♦ Reportes anuales de los establecimientos de salud del Ministerio de Salud. | ♦ Cumplimiento de compromisos de los principales actores: Municipalidad y la población. |
| RESULTADOS: 1. Población rural del ámbito de intervención, con acceso a servicios de agua y saneamiento sostenibles en condiciones adecuadas: cantidad y continuidad. | ♦ Incrementar a 85% la cobertura de servicios de abastecimiento de agua para consumo humano, en las localidades de intervención al año 2020. ♦ 1500 localidades con servicio de agua para consumo humano al año 2020 (12 horas diarias como mínimo de abastecimiento continuo y con desinfección), atendidas por fases: -1era fase: 162 localidades con servicios de A&S al 2013. -2da fase: 902 localidades con servicios de A&S al 2017 y -3era fase: 598 localidades con servicios de A&S al 2020. | ♦ % de cobertura de agua para consumo humano en el ámbito de intervención. ♦ N° de localidades con una continuidad no menor de 12 horas de servicio de agua para consumo humano. ♦ N° de sistemas que aplican desinfección al servicio de abastecimiento de agua para consumo humano. | ♦ Informe Final de Liquidación de Obra por ámbito de intervención. ♦ Informe de resultado de la evaluación Ex Post. ♦ Reportes del Programa de Vigilancia de Calidad del Agua del Ministerio de Salud. | ♦ Participación activa de la población en la implementación de los proyectos. ♦ Procesos administrativos y financieros. |

Comentario [STO13]: Revisar Matriz de Marco Lógico del Programa

Las relaciones de dependencia entre el VMCS, DNS, PAPT, UGP y demás actores del Programa se presentan en el **Diagrama 2.1**. En los siguientes acápites se define las instancias involucradas en cada nivel, así como sus funciones responsabilidades, facultades y estructura orgánica.

Diagrama 2.1
Esquema General para la Ejecución del Programa



Comentario [STQ14]: Consultor Operador?
Consultor Supervisor?
Debe reelaborarse en función de las definiciones últimas, diferenciando las dos modalidades previstas
-Empresa consultora
-Núcleo ejecutor
-La forma como está prevista la intervención social (especialistas sociales) debe estar incorporada

- ✓ Otorgar y reconocer derechos a través de autorizaciones, permisos, licencias y concesiones.
- ✓ Orientar en su ámbito de competencia el funcionamiento de los Organismos Públicos Descentralizados, Comisiones Sectoriales, Multisectoriales y Proyectos Especiales.
- ✓ El Ministerio podrá cumplir funciones ejecutivas en cualquier lugar del país, mediante oficinas descentralizadas, respecto a las actividades que se reserve expresamente por el Reglamento de Organización y Funciones.
- ✓ Ejecutar las políticas y las normas sobre vivienda y construcción; y agua y saneamiento en el ámbito urbano y rural.
- ✓ Planificar la expansión y desarrollo de los subsectores de su competencia.
- ✓ Fomentar, orientar, divulgar y normar la capacitación e investigación científica y tecnológica en el ámbito de su competencia.
- ✓ Desarrollar acciones necesarias para fomentar la participación y colaboración activa del sector privado en las actividades del sector.
- ✓ Dirigir el Consejo Superior de Licitaciones y Obras Públicas.
- ✓ Las demás que le asignen las leyes.

Estructura orgánica

La estructura orgánica básica del ministerio es la siguiente:

- (i) Alta Dirección, integrada por el Despacho Ministerial, Despacho Viceministerial de Vivienda y Urbanismo, Despacho Viceministerial de Construcción y Saneamiento, y Secretaría General.
- (ii) Órgano de Control (Oficina General de Auditoría Interna).
- (iii) Programas del Sector integrado por:
 - a. Programa de Apoyo al Sector Habitacional – PASH.
 - b. Programa Integral de Mejoramiento de Barrios y Pueblos.
 - c. Programa de Gestión Territorial – PGT.
 - d. Programa Agua Para Todos – PAPT.
- (iv) Entidades del Sector, conformado por:
 - a. El Servicio Nacional de Capacitación para la Industria de Construcción – SENCICO.
 - b. El Fondo Mi Vivienda.
 - c. El Fondo INVERSA.
 - d. La Superintendencia de Bienes Nacionales - SBN.

Comentario [STQ15]: Preferible eliminarlo pues no está activado y no hay intención de hacerlo.

- ✓ Formular y evaluar el Plan Estratégico de los servicios de saneamiento y el Plan Operativo de la Dirección, y proponerlos al Viceministro de Construcción y Saneamiento;
- ✓ Emitir normas referidas a los servicios de saneamiento;
- ✓ Proponer el marco institucional para el desarrollo y sostenibilidad de los servicios de saneamiento a nivel nacional, tomando en cuenta la preservación del medio ambiente;
- ✓ Promover la asistencia técnica, la capacitación la investigación científica y tecnológica y la educación sanitaria;
- ✓ Fomentar la participación de la inversión privada en la prestación de los servicios de saneamiento, cautelando en especial la provisión adecuada de los mismos a los sectores de escasos recursos;
- ✓ Promover el desarrollo de las empresas de saneamiento y de otros prestadores, fomentando la gestión eficiente y su viabilidad económica – financiera;
- ✓ Estimular la participación de las organizaciones comunales y de pequeñas unidades de gestión en la inversión, operación, mantenimiento, ordenamiento y modernización de los servicios de saneamiento, en el ámbito rural y de pequeñas localidades;
- ✓ Priorizar los proyectos de inversión pública y la asignación de recursos para los servicios de saneamiento, promoviendo el uso de tecnologías apropiadas;
- ✓ Desarrollar un sistema de información de los servicios de saneamiento y las condiciones en que éstas se prestan en el ámbito nacional, en coordinación con los organismos e instituciones públicas y privadas relacionadas con su prestación;
- ✓ Coordinar con los demás órganos de Vivienda y Entidades del Sector, así como con los gobiernos locales y entidades públicas y privadas para asegurar la ejecución de la política nacional en materia de saneamiento, así como las acciones necesarias para el mejor desarrollo de los temas bajo su ámbito;
- ✓ Las demás funciones que asigne o encargue el Viceministro de Construcción y Saneamiento.

Funciones de la Dirección Nacional de Saneamiento frente al Programa de Agua Potable y Saneamiento para la Amazonía Rural:

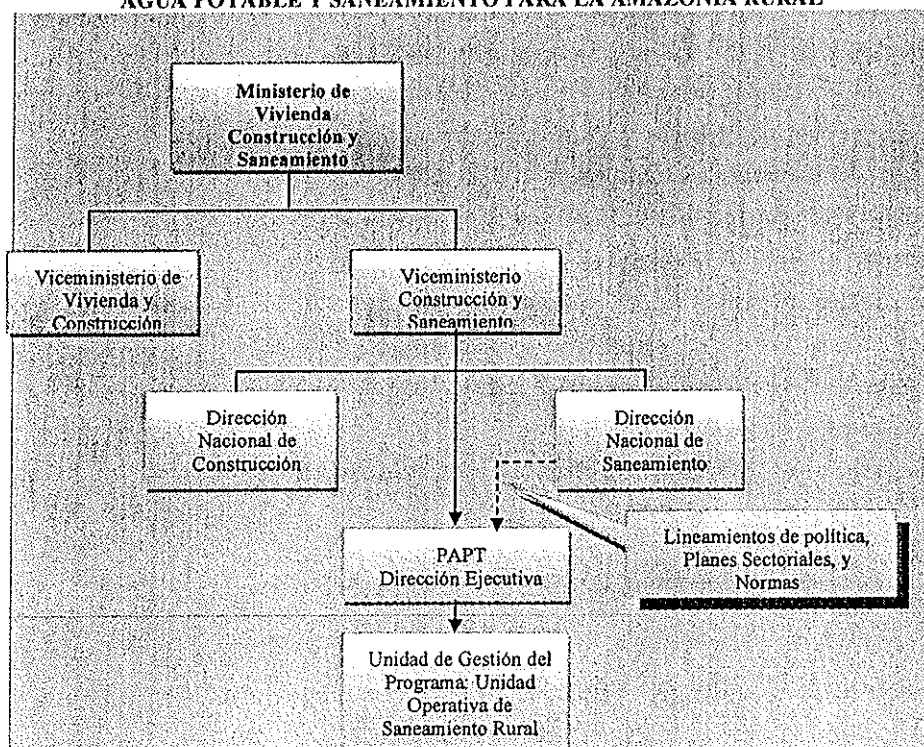
De acuerdo a la Resolución Ministerial N°103-2009-VIVIENDA se reorganiza la DNS, creándose tres direcciones bajo su mando, una de ellas es la Dirección de Planes y Programas a quien se le encarga proponer las listas priorizadas de los proyectos y de los programas de inversión formulados a la Dirección Nacional de Saneamiento. Bajo este concepto, la DNS por ser el órgano rector supervisaría la metodología de elegibilidad y priorización de proyectos la cual se debe ajustar a lo previsto en la Resolución Ministerial

Comentario [CSP16]: El programa ya ha sido aprobado con las localidades seleccionadas, sin embargo en la UE como resultado de los estudios que realice podría modificar.

Funciones específicas del PAPT frente al Programa de Agua Potable y Saneamiento para la Amazonía Rural:

El concepto y estrategia que subyacen en la norma que aprueba el Manual de Operaciones del PAPT, es la de crear dos unidades de ejecución de proyectos que consoliden e institucionalicen las estrategias sectoriales expresadas en el Plan Nacional de Saneamiento. Dado que uno de los objetivos del Programa es el fortalecimiento del PAPT, es conveniente para cumplir dicho objetivo que la Unidad de Gestión del Programa (UGP) haga las veces de la Unidad Operativa de Saneamiento Rural. Por lo tanto, en el presente Manual, la UGP hará las veces de Unidad de Saneamiento Rural. Con esta medida se buscará consolidar la estrategia de intervención y fortalecerá la institucionalidad del Sector, que es también objetivo del Programa.

Diagrama 2.2
RELACIÓN CON LOS ÓRGANOS DE LÍNEA DEL MINISTERIO DEL PROGRAMA DE AGUA POTABLE Y SANEAMIENTO PARA LA AMAZONIA RURAL



Comentario [CSP17]: La dependencia de la Unidad de Gestión es con la unidad operativa de saneamiento rural

e. Estructura orgánica del Programa

La conducción y ejecución del Programa de Agua Potable y Saneamiento para la Amazonia Rural, estará a cargo de una Unidad de Gestión del Programa (UGP) quien tendrá la responsabilidad de ejecutar el Programa.

A continuación se detallan la naturaleza, finalidad, organización y funciones de la Unidad de Gestión del Programa; como ésta se relaciona con los demás órganos del PAPT.

e.1 Unidad de Gestión del Programa (UGP)

La UGP tiene dependencia directa con el Director Ejecutivo del PAPT. La UGP conducirá el Programa de Agua Potable y Saneamiento para la Amazonia Rural, y estará bajo la responsabilidad de un Coordinador General, quien actuará como interlocutor con todas las prerrogativas y respaldo sectorial, para asumir la responsabilidad por la emisión de toda la documentación, acciones y coordinaciones con el JICA, MEF, y otras instituciones involucradas con el Programa; así como la suficiente autonomía para la toma de decisiones en relación a la ejecución del Programa.

El financiamiento para la ejecución del Programa de Agua y Saneamiento de la Amazonia Rural, está previsto con los recursos de Cooperación Financiera y Recursos de Japan International Cooperation Agency – JICA por concertar por el Gobierno Peruano. Estos Recursos se utilizarán principalmente para la construcción de sistemas nuevos, o la rehabilitación y/o mejoramiento de los servicios de agua potable y saneamiento existentes en las 1500 localidades del Programa, incluyendo todas las acciones necesarias para la implementación de los Componentes 1 y 2 del Programa, vale decir, la fase previa al ciclo de proyecto, los estudios de preinversión, los estudios definitivos y ejecución de las obras. Así también, de manera integral y de forma paralela se realizarán las acciones de fortalecimiento a las organizaciones de la comunidad y de la municipalidad y las acciones de información, capacitación en administración, operación, mantenimiento y educación en salud e higiene.

Naturaleza

La Unidad de Gestión del Programa, es el órgano responsable de la gestión, ejecución, administración, operatividad, evaluación y monitoreo del Programa. Estará a cargo de un Coordinador que será designado por el VMCS como representante ante el JICA.

Comentario [CSP18]: Este comentario no va ya que va ser financiado por JICA y recursos propios

Funciones generales:

- ✓ Gestionar la ejecución directa de todos los componentes del Programa;
- ✓ Cumplir y hacer cumplir los principios, estrategias y procedimientos establecidos en el presente Manual.
- ✓ Reportar al JICA, MEF, VMCS y DNS sobre los avances del Programa.
- ✓ Evaluar y monitorear la ejecución de todos los componentes del Programa.

Funciones específicas:

- ✓ Planificar, organizar, dirigir, controlar, implementar, ejecutar y evaluar las actividades del Programa.
- ✓ Dirigir y administrar con apoyo de la Unidad de Administración del PAPT, los recursos humanos, financieros y materiales asignados al proyecto, haciendo uso de los planes anuales, presupuestos e informes periódicos solicitados por el JICA y las instancias correspondientes en el gobierno central.
- ✓ Formular documentos normativos relacionados con el Programa.
- ✓ Elaborar el Plan Operativo Anual del Programa, para la aprobación del JICA.
- ✓ Conducir los procesos de contratación de consultorías, bienes, servicios y contratación de obras.
- ✓ Declarar la viabilidad de los proyectos, sobre la base de los estudios de pre inversión a nivel de perfiles.
- ✓ Aprobar los expedientes técnicos antes de la convocatoria para su ejecución.
- ✓ Suscribir los convenios necesarios para la ejecución del Programa.
- ✓ Llevar el control financiero, con el asesoramiento de la Unidad de Planeamiento, Presupuesto e Informática del PAPT, de los recursos del Programa por toda fuente.
- ✓ Supervisar, monitorear y evaluar la ejecución física y financiera del Programa en todos sus componentes.
- ✓ Preparar los Estados de Gastos y demás reportes financieros que el JICA, MEF, VMCS requieran para justificar los gastos de ejecución del Programa.
- ✓ Aprobar y gestionar, con el asesoramiento de la Unidad de Planeamiento, Presupuesto e Informática del PAPT, las solicitudes de retiro de fondos del préstamo y presentar su justificación de acuerdo con lo dispuesto por las normas del JICA.
- ✓ Revisar y aprobar los avances de obra y consultoría y todos los comprobantes de pago, para asegurarse que pertenecen a una categoría de gasto elegible.
- ✓ Aprobar y presentar la información de ejecución presupuestaria y de los Estados Financieros del Programa requeridos por el JICA.

La Unidad de Administración tiene las siguientes funciones para con el Programa:

- a. Conducir, implementar y aplicar el cumplimiento de la normatividad de los sistemas administrativos, siempre que no contravengan los procedimientos del presente Manual.
- b. Administrar, supervisar y controlar el manejo de los recursos humanos, materiales y económicos del Programa.
- c. Ejecutar presupuestalmente los recursos financieros asignados al Programa.
- d. Formular y presentar oportunamente los estados Financieros y de situación económica, al término de cada ejercicio fiscal y cuando lo requieran el JICA y demás organismos cofinanciadores.
- e. Realizar las transferencias financieras y contables de los proyectos del Programa, que se requiera previa verificación del cumplimiento del procedimiento establecido.
- f. Regular la custodia y verificación de las Cartas-Fianzas otorgadas a favor del Programa.
- g. Realizar las acciones propias para consolidar, formular, ejecutar, evaluar, controlar y modificar el Plan anual de Adquisiciones, en coordinación con la UGP, la OGPP y la Unidad de Administración del PAPT.
- h. Conducir los procesos de selección en concordancia con el Plan Anual de Contrataciones aprobado, con excepción de aquellos procesos que correspondan a los Equipos Especializados en Procesos de Selección de la Unidad de Gestión del Programa (UGP).
- i. Formular el Plan de Cuentas del Programa.
- j. Administrar y cautelar los bienes patrimoniales y existencias, manteniendo actualizado los inventarios y Margesí de Bienes del Programa.
- k. Administrar las subcuentas y cuentas bancarias del Programa para el manejo de los recursos de endeudamiento externo, recursos financieros de Tesoro Público, donaciones y transferencias, constituyéndose como oficina giradora del Programa.
- l. Las demás, que en el ámbito de su competencia, le sean asignadas por el Convenio de Préstamo y el presente Manual.

La Unidad de Administración del PAPT para cumplir sus funciones con el Programa, tiene a su cargo los equipos de Contabilidad, Tesorería, Abastecimiento, Recursos Humanos y de Administración Documentaria, cada uno de los cuales está a cargo de un Jefe de Equipo que depende del Jefe de la Unidad de Administración.

Comentario [STQ19]: Y LA ORGANIZACIÓN DESCENTRALIZADA DEL PAPT PARA IMPLEMENTAR EL PROGRAMA???

A Nivel Local:

a. Gobiernos Regionales

Los Gobiernos Regionales participan en el Programa contribuyendo con los proyectos priorizados por sus respectivos Planes Regionales de Saneamiento formulados bajo la metodología aprobada por el MVCS. Si estos proyectos cuentan con financiamiento de los Gobiernos Regionales serán calificados de acuerdo a los procedimientos de elegibilidad y priorización de proyectos e incluidos en el presente Manual.

Comentario [STQ20]: Los ámbitos de intervención a nivel de distritos están identificados en el estudio de factibilidad, sin embargo cabría que los gobiernos regionales puedan plantear alguna modificación, que debería basarse en criterios técnicos que el manual deba precisar; cabe indicar que la misma autorización de conglomerado fijará pautas respecto a la elegibilidad de los proyectos.

b. Municipalidades distritales

Tienen como función general, participar en el proceso de planificación y ejecución del Programa en el ámbito de su municipalidad. Podrán participar cofinanciando los proyectos de las localidades bajo su ámbito. En la medida que contribuya con mayores fondos se considerará mejor calificado en uno de los criterios de calificación para ser priorizado el distrito y acceder al Programa.

Comentario [STQ21]: Revisar integralmente este numeral.

Entre otras funciones:

- ✓ Firmar un Convenio Marco con el Viceministro de Construcción y Saneamiento
- ✓ Organizar con el Consultor Operativo la formación de las JASS, registrándolos en un padrón distrital.
- ✓ Firmar un Convenio específico de cofinanciamiento de la obra, entre el VMCS, Municipio y la JASS
- ✓ Asignar recursos para los proyectos de agua y saneamiento.
- ✓ Realizar el seguimiento del proyecto durante su ejecución.
- ✓ Fiscalizar el accionar de los ejecutores locales: Consultor Operativo, Consultor Supervisor y Contratistas de Obras.
- ✓ Firmar las Actas de Liquidación de Obra.
- ✓ Participar en el proceso de capacitación para fortalecimiento de la gestión
- ✓ Registrar los sistemas de agua potable y saneamiento, contabilizando la población servida en agua y saneamiento.
- ✓ Supervisar la Gestión de las JASS.
- ✓ Brindar asistencia técnica a las JASS y promover su constitución legal.
- ✓ Promover las asociaciones de JASS.

Comentario [STQ22]: Revisar este planteamiento, en la medida que no está prevista contribución de fondos de la municipalidad.

Comentario [STQ23]: Sería en todo caso con el Especialista Social.

Comentario [STQ24]: Este es el esquema del PRONASAR no del Programa de la Amazonia.

Comentario [CSP25]: Como no se la va a pedir cofinanciamiento, se va a solicitar que implemente la unidad de agua y saneamiento ROE y CAP.

Comentario [STQ26]: Revisar no corresponde a actores previstos, además no se diferencia las modalidades de empresa y de núcleo ejecutor.

Las municipalidades, dentro de su Estructura Orgánica deberán crear, al finalizar los proyectos, una Unidad de Asistencia Técnica al interior de ellas, a cargo de una persona pagada por el municipio. Mientras ocurra eso, el Programa, a través del Consultor

Operativo, dará capacitación a las municipalidades y asignará un especialista de Fortalecimiento Municipal durante su permanencia del operador en el distrito.

c. Consultor Operativo (CO)

El Consultor Operativo es una firma especializada la cual será seleccionada y contratada por la UGP mediante procedimientos licitatorios específicos descritos en el presente Manual. El CO suscribirá contrato con el PAPT para hacerse responsable de la ejecución de los Componentes 1 y 2 del Programa en el ámbito asignado por el correspondiente contrato de servicios.

Comentario [CSP27]: Va a quedar este término? O será simplemente consultor.

Comentario [CSP28]: El responsable de la ejecución del Programa es la UGP, para lo cual contratará consultores para la elaboración de estudios y suscribirá contratos con empresas contratistas para la ejecución de obras o núcleos ejecutores.

d. Consultor Supervisor (CS)

El Consultor Supervisor es una firma especializada la cual será seleccionada y contratada por la UGP mediante procedimientos licitatorios específicos descritos en el presente Manual. El CS suscribirá contrato con el PAPT para hacerse responsable de la evaluación de los Perfiles y de los Expedientes Técnicos a ser elaborados para el Programa en el ámbito asignado por el correspondiente contrato de servicios.

e. Contratista de Obras

Son firmas especializadas en la construcción de sistemas de agua potable y saneamiento, que a su vez estén dispuestas a ejecutar las obras del Programa con la participación de la mano de obra no calificada como aporte de la comunidad. La UGP los contrata y son supervisados por el Consultor Operativo.

Comentario [STQ29]: No estaba previsto así.

f. Juntas Administradoras de Servicios de Saneamiento (JASS)

Organización comunitaria que se encarga de manera exclusiva, de la gestión de los servicios de agua para consumo humano en uno o más centros poblados rurales.

Comentario [CSP30]: De acuerdo al reglamento son organizaciones comunales.

Tiene como función general, administrar, operar y mantener los sistemas de abastecimiento de agua para consumo humano, brindando los servicios en forma adecuada en términos de calidad, cantidad y continuidad.

Entre otras funciones tiene:

- ✓ Participa conjuntamente con toda la comunidad en todas las fases del Programa.
- ✓ Suscribe el Convenio Tripartito de participación en el Programa.
- ✓ Coordina y facilita las acciones para que la comunidad haga su aporte de mano de obra no calificada.
- ✓ Proponer y justificar las cuotas familiares ante la Asamblea General de Usuarios.
- ✓ Participar en forma activa en el proceso de ejecución del proyecto de su localidad.

Comentario [CSP31]: Faltan Núcleos Ejecutores, los cuales una vez terminada la obra sería la encargada de la operación y mantenimiento del sistema.

CAPITULO III: IMPLEMENTACION DE LOS COMPONENTES 1 y 2 DEL PROGRAMA

COMPONENTE 1: ABASTECIMIENTO DE AGUA Y SANEAMIENTO EN ZONAS RURALES DE SELVA BAJA

COMPONENTE 2: ABASTECIMIENTO DE AGUA Y SANEAMIENTO EN ZONAS RURALES DE SELVA ALTA Y CEJA DE SELVA

3.1 INTRODUCCION

Este capítulo tiene como objetivo describir la forma de ejecución del componente 1: Abastecimiento de Agua y Saneamiento en Zonas Rurales de Selva Baja y el Componente 2: Abastecimiento de Agua y Saneamiento en Zonas Rurales de Selva Alta y Ceja de Selva, que son los componentes de mayor importancia del Programa de Agua Potable y Saneamiento para la Amazonia Rural. Inicialmente describe los criterios generales de intervención que incluye los principios y estrategias de ejecución del Programa. Seguidamente, se presenta los dos modelos de intervención: (i) Modalidad mediante Núcleos Ejecutores y (ii) Modalidad a través de Contratistas de Obras. En ambas modalidades desarrollarán los estudios de pre inversión y el expediente técnico, a través del Consultor Operativo (CO) y el Consultor Supervisor (CS), describiendo sus roles y responsabilidades. Así mismo, se describe los procedimientos para ambas modalidades en las cuatro fases ó ciclo de proyecto. Se continúa con la descripción de los tipos de proyecto, sus opciones técnicas y los niveles de servicio; luego se presenta los conceptos generales sobre elegibilidad y priorización de distritos. Finalmente se describe con mayor detalle el Ciclo del Proyecto que va desde las fases de PrReciclo, Pre ejecución, Ejecución hasta la Post ejecución. Con respecto a cada etapa del ciclo, se define y se describe al responsable, el procedimiento, los instrumentos y los resultados; la metodología permite ver los resultados que se obtiene en cada una de las etapas.

3.2 ESTRATEGIAS DEL MODELO DE INTERVENCION Y RESPONSABILIDADES

El Programa será coordinado por la Unidad de Gestión del Programa de Agua Potable y Saneamiento para la Amazonía Rural, ~~del~~ Programa Agua Para Todos. La ejecución a nivel regional se realizará a través de las Unidades de Gestión Regional (UGR).

El Programa se ejecutará con la participación de firmas consultoras que tomarán la forma de Consultor Operativo y Consultor Supervisor, Supervisor de Obra y Consultor Social. También intervendrán consultores individuales quienes dependiendo de la modalidad de ejecución seleccionada realizarán las funciones de Promotor, Ingeniero Residente, Supervisor de Obra y Especialista Social.

Comentario [CSP32]: De la Unidad Operativa de Saneamiento Rural

Comentario [CSP33]: El consultor social participa desde la preinversión, inversión y postinversión

MANUAL DE OPERACIONES
PROGRAMA DE AGUA POTABLE Y SANEAMIENTO PARA LA AMAZONÍA RURAL

La siguiente matriz resume el modelo de participación de cada actor bajo la modalidad de ejecución de obras vía Núcleo Ejecutor:

Comentario [STQ34]: Incluir a los Especialistas Sociales

MODALIDAD DE EJECUCIÓN DE OBRAS A TRAVÉS DE NÚCLEO EJECUTOR

| | PRE CICLO | PREINVERSIÓN | INVERSIÓN | | | POSTINVERSIÓN |
|--------------------------------------------------------------------|---------------|---------------------------|---------------------------|---------------------------|------------------------------------------|------------------------------------------|
| | | Perfil | Expediente de Proyecto | Ejecución de Obra | Componente Social | Componente Social |
| Priorización de Distritos selección de localidades | Promotor (CI) | | | | | |
| Estudios de Pre Inversión y Expediente Técnico TSA | | Consultor Operativo (FC) | Consultor Operativo (FC) | | | |
| Ejecución de obras y Fortalecimiento de Capacidades Modalidad NNEE | | | | INTE. Ing. Residente (CI) | Consultor Social (FC) ó Esp. Social (CI) | Consultor Social (FC) ó Esp. Social (CI) |
| Supervisión | | Consultor Supervisor (FC) | Consultor Supervisor (FC) | Supervisor de Obra (CI) | | |
| Responsable de la Gestión del Programa Nivel Regional | UGR | UGR | UGR | UGR | UGR | UGR |
| Responsable de la Gestión del Programa | PAPT/UGP | PAPT/UGP | PAPT/UGP | PAPT/UGP | PAPT/UGP | PAPT/UGP |

Fuente: Equipo de Estudio JICA

CI = Consultor Individual

FC = Firma Consultora

La modalidad de ejecución de obras mediante Contratista de Obra se presenta en la siguiente matriz:

Comentario [STQ35]: Incluir a los especialistas sociales

MODALIDAD DE EJECUCIÓN DE OBRAS A TRAVÉS DE CONTRATISTA DE OBRAS

| | PRE CICLO | PREINVERSIÓN | INVERSIÓN | | | POSTINVERSIÓN |
|---------------------------------------------------------------------------|---------------|---------------------------|---------------------------|-------------------------|------------------------------------------|------------------------------------------|
| | | Perfil | Expediente de Proyecto | Ejecución de Obra | Componente Social | Componente Social |
| Priorización de Distritos selección de localidades | Promotor (CI) | | | | | |
| Estudios de Pre Inversión y Expediente Técnico TSA | | Consultor Operativo (FC) | Consultor Operativo (FC) | | | |
| Ejecución de obras y Fortalecimiento de Capacidades Modalidad Contratista | | | | Contratista de Obra | Consultor Social (FC) ó Esp. Social (CI) | Consultor Social (FC) ó Esp. Social (CI) |
| Supervisión | | Consultor Supervisor (FC) | Consultor Supervisor (FC) | Supervisor de Obra (FC) | | |
| Responsable de la Gestión del Programa Regional | UGR | UGR | UGR | UGR | UGR | UGR |
| Responsable de la Gestión del Programa | PAPT/UGP | PAPT/UGP | PAPT/UGP | PAPT/UGP | PAPT/UGP | PAPT/UGP |

Fuente: Equipo de Estudio JICA

CI = Consultor Individual

FC = Firma Consultora

La Junta Administradora de los Servicios de Saneamiento (JASS) como instancia representativa de la comunidad, la Municipalidad Distrital como autoridad local y el MVCS como órgano rector, a través de la UGP son co-ejecutores del Programa y como tal tienen derechos y deberes que cumplir para la buena ejecución del Programa. Los convenios y acuerdos que se firmen entre dichos actores deberán mencionar clara y detalladamente dichos deberes y derechos.

Antes de la ejecución de la obra el Consultor Operativo debe asegurarse -y será responsable de ello- que el proyecto cuente con el correspondiente perfil viable y expediente técnico aprobado por la UGP.

Las actividades de tipo social y de capacitación que sean de responsabilidad del Consultor Operativo, Consultor Social ó Consultores Individuales deben cumplir las metas y compromisos que se describen en sus correspondientes Términos de Referencia. El cumplimiento de estas actividades de tipo social y de capacitación se dará por conformes, no por el desarrollo de la actividad misma sino por el impacto que dicha actividad haya experimentado en la comunidad (medidos a través de indicadores). El equipo Social de la UGR a cargo de la administración del contrato será quien supervise dichas actividades. Los Términos de Referencia de las actividades de tipo social ó capacitación deberán tener un anexo exclusivo donde se determine las labores a realizar con sus correspondientes hitos de control.

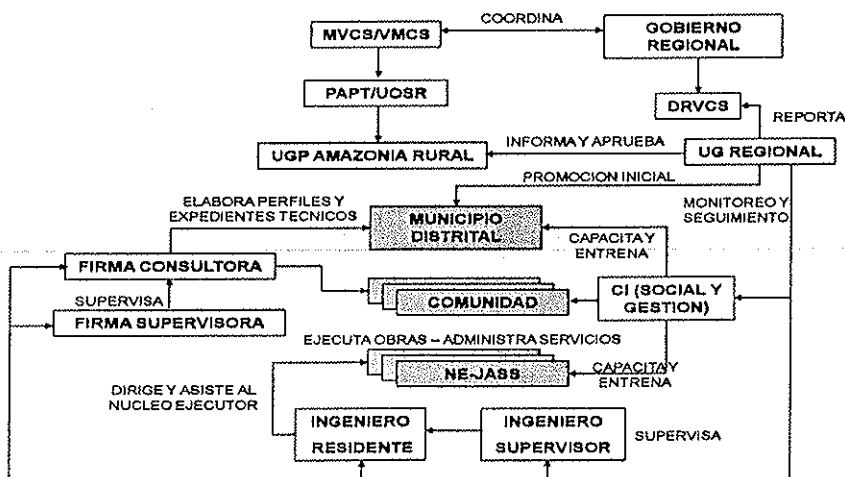
La estrategia general de implementación del Programa que se describe en el presente Manual será de obligatorio cumplimiento para todos los actores del Programa, sin embargo, la aplicación de la estrategia en campo, las técnicas, instrumentos y herramientas de intervención social se harán de acuerdo a la propuesta que cada consultor en base a su experiencia y conocimiento sobre el tema y que en su momento fueron presentadas y evaluadas en su oferta técnica, las mismas que forman parte del respectivo contrato.

Comentario [CSP36]: La UGP debe proporcionar lineamientos (guías, Manuales, etc) para la Intervención Social.

A continuación se presenta el esquema de los actores que participan en la implementación de los proyectos de los Componentes 1 y 2 a través del modelo de intervención propuesto:

Diagrama 3.1

ESQUEMA DE INTERVENCIÓN NÚCLEO EJECUTOR





✓ **Dirección Nacional de Saneamiento (DNS)**

✓ Programa Agua Para Todos (PAPT)

✓ UGP Programa de Agua Potable y Saneamiento para la Amazonía Rural

Con formato: Resaltar

Comentario [CSP37]: No está supeditada a la Unidad de Saneamiento Rural?

suscribir contrato con las diferentes firmas consultoras y consultores individuales necesarios para la implementación del programa.

La UGP tendrá oficinas desconcentradas en cada uno de las regiones beneficiadas con el Programa. Estas oficinas serán las Unidades de Gestión Regional (UGR).

La UGP se hace cargo de la coordinación, seguimiento, monitoreo y evaluación de la implementación del Programa, la UGR será quien sea la contraparte del Programa en la región y dará conformidad al trabajo de las diferentes firmas consultoras, consultores individuales, y a los Contratistas de Obras ó Núcleos Ejecutores, según sea el caso. Aun cuando el Equipo Técnico de la UGP es quien aprueba y da conformidad final a los perfiles y los expedientes técnicos, ejecución y liquidación de obras; las firmas que representan al Consultor Operativo, Consultor Supervisor y el Contratista tienen responsabilidad civil y penal, si así corresponde, cuando los documentos técnicos que sustentan las inversiones (perfiles, expedientes técnicos y obras) tuvieran vicios ocultos, en cuyo caso la UGP debe hacer las denuncias correspondientes y ejecutar las penalidades que el contrato contempla.

En este marco la UGP desarrolla el seguimiento y monitoreo de los procesos y actividades del Programa en los ámbitos seleccionados por el Programa, para lo cual, contará con personal idóneo en cantidad necesaria y con la experiencia y calificaciones aceptables para el Programa.

✓ **Gobiernos Locales**

Los Gobiernos Locales debe planificar, dar prioridad y participar en la ejecución de los proyectos de agua y saneamiento rural, a lo largo del todo el Ciclo del Proyecto específicamente en las etapas de pre-ejecución, ejecución y post-ejecución; y participar en el fortalecimiento de sus capacidades para que permanentemente brinden asesoramiento técnico y supervisen los sistemas en el ámbito de su jurisdicción, asumiendo su rol y responsabilidad frente a los servicios de agua y saneamiento del ámbito de su jurisdicción, a través de un Acuerdo de Concejo.

Los Municipios como parte de su participación y cofinanciamiento en el Programa deben crear la Unidad Técnica Municipal, y asignar personal para que cumplan su rol de vigilancia y supervisión de los servicios de A&S en su ámbito geográfico.

✓ **Comunidad**

La comunidad participa durante el ciclo del proyecto, participando a los talleres de capacitación del componente social, y de ser posible asumiendo el compromiso del cofinanciamiento de la obra mediante el aporte de la mano de obra no calificada.

Comentario [CSP38]: Falta Supervisores de obra y supervisores individuales para el caso de NNEB

Comentario [CSP39]: El Cofinanciamiento de la municipalidad es para la asistencia técnica y subsidio para la operación y mantenimiento en los casos que se requiera?

Comentario [CSP40]: Debe entenderse que el cofinanciamiento es para la conformación de la unidad y no para la obra; ya que en la minuta no está considerado cofinanciamiento para la obra por parte de la municipalidad.

Una vez concluida el proyecto la comunidad a través de la JASS, asume la Administración, Operación y Mantenimiento de los servicios de A&S y deberán dar un aporte en efectivo que se le denominará “Cuota Familiar”, la misma que cubrirá por lo menos los costos de administración, operación y mantenimiento de los servicios.

En relación a su participación en todo el ciclo del proyecto: (i) se informa para promover su demanda y para tener conocimiento y obtener su aceptación de la opción técnica y nivel de servicio, de manera que exista una correlación entre la tecnología propuesta, su capacidad y compromiso de pago para la administración, operación y mantenimiento de los servicios (AOM), (ii) elección de su Junta Administradora de los servicios de A&S (JASS), (iii) participación durante la ejecución y de ser posible con el aporte de la mano de obra no calificada, (iv) asistencia a la capacitación en educación sanitaria e higiene; hasta la fase de post ejecución, en el entendido que la participación activa de la población es la mejor forma de asegurar la sostenibilidad de los servicios.

✓ **Junta Administradora de Servicios de Saneamiento (JASS)**

Organización local que representa a la comunidad y es la encargada de la administración, operación y mantenimiento (AOM) de los servicios en su localidad, para ello cobrará a los usuarios una Cuota Familiar u otros ingresos extraordinarios que puedan generarse. La JASS participa durante la intervención del Programa conjuntamente con la población y en coordinación con los Municipios Distritales en los procesos de capacitación para la gestión de los servicios de saneamiento y en educación sanitaria.

✓ **Gobiernos Regionales**

Los gobiernos regionales participan en el Programa aportando el cofinanciamiento de los proyectos, a fin que dichas municipalidades seleccionadas cumplan sus responsabilidades establecidas por el Programa, según políticas del Sector Saneamiento. De igual forma, se espera que los gobiernos regionales brinden asistencia técnica a las municipalidades incluso en aspectos de administración, operación y mantenimiento de los servicios de agua y saneamiento, a fin de facilitar el cumplimiento de sus competencias.

Actores Contratados:

Los Actores Contratados que participarán en la fase de Pre Ciclo, Pre Inversión y la Actividad de Elaboración del Expediente Técnico, son los siguientes:

✓ **Promotor**

Dar a conocer los alcances, políticas y estrategias del programa, trabaja en coordinación con el Gobierno Regional, las municipalidades, los sectores de Salud y Educación, etc.

Comentario [STQ41]: Estos comentarios son declarativos el programa no tienen mecanismos para que esto se cumpla

✓ **Consultor Operativo (CO)**

Será una firma consultora contratada por la UGP.

Las principales actividades a desarrollar por el CO son: (i) promoción de la ejecución del Programa en cada localidad, (ii) elaboración de los Perfiles de Proyecto, (iii) Elaboración del Expediente de Proyecto (incluye el expediente técnico y el plan de capacitación);

Dado que la responsabilidad de la ejecución del Programa, en la Pre inversión y Expediente Técnico en un ámbito geográfico determinado, será encargada (mediante un contrato) a un Consultor Operativo, éste será responsable del seguimiento de la participación de todos los actores del Programa (Municipalidad, JASS, Comunidad) y responsable de su motivación para que participen de manera oportuna de acuerdo a la programación y a los convenios suscritos. No podrá aducir retrasos en la ejecución del Programa o la no participación de la municipalidad o la comunidad en determinada actividad de su plan de trabajo, salvo casos debidamente justificables.

✓ **Consultor Supervisor**

El **Consultor Supervisor** será una firma consultora contratada por la UGP para que se encargue de evaluar y dar conformidad a los perfiles y expedientes técnicos que formulará el Consultor Operativo. Debe verificar en campo la viabilidad técnica, económica, ambiental y social de los perfiles y expedientes técnicos propuestos por el CO.

✓ **Contratista de Obras (modalidad ejecución de obra vía Contratista de Obra)**

Es el responsable de la ejecución de la obras. Será convocado, evaluado y propuesto para su contratación, por el equipo técnico de la UGP, previa no objeción del JICA. La dirección técnica de la obra estará a cargo del Contratista de Obras y será responsable de la ejecución de la obra. La supervisión técnica de las obras estará bajo la responsabilidad de la firma Supervisora de Obras.

✓ **Supervisor de Obra (modalidad ejecución de obra vía Contratista de Obra)**

Será una firma consultora contratada por la UGP.

La actividad a desarrollar es la supervisión técnica de la ejecución y liquidación de la obra para la entrega y recepción de la infraestructura a la municipalidad y el encargo de su administración por la JASS.

✓ **Núcleo Ejecutor⁶ (modalidad ejecución de obra vía Núcleo Ejecutor)**

Se denomina Núcleo Ejecutor a toda institución u organismo que representa a una comunidad organizada y que recibe financiamiento para la ejecución de proyectos de

Comentario [STQ42] Debe diferenciarse de los roles del Especialista Social, que incorporarse en el Manual

⁶ Definición de acuerdo al Decreto de Urgencia N°085-2009-PCM

inversión pública (PIP) o mantenimiento de infraestructura (MI). El Núcleo Ejecutor está conformado por no menos de cien personas que habitan en una determinada localidad rural o urbana y que se encuentra en situación de pobreza extrema.

Para su participación firmaran convenio con el Ministerio de Vivienda Construcción y Saneamiento a través del PAPT/UGP-Regional.

El Núcleo Ejecutor está representado por:

1. El (la) presidente (a)
2. El (la) secretario (a)
3. El (la) tesorero (a)
4. El la veedor (a)

Los Núcleos Ejecutores a que se refiere el Decreto de Urgencia N°085-2009-PCM, serán de carácter temporal y tendrán capacidad jurídica para realizar toda acción necesaria previa y durante la ejecución de la obra o mantenimiento de la infraestructura.

Los Núcleos Ejecutores podrán intervenir en procedimientos administrativos y procesos judiciales (a través de sus representantes), rigiéndose por las normas del ámbito privado.

✓ **Residente de Obra (modalidad ejecución de obra vía Núcleo Ejecutor)**

Consultor individual contratado por la UGR que se encargará de la asistencia técnica al Núcleo Ejecutor y será responsable de la calidad técnica de la obra.

✓ **Supervisor de Obra (modalidad ejecución de obra vía Núcleo Ejecutor)**

Consultor individual contratado por la UGR y se encargará de la supervisión técnica de la ejecución de las obras. No podrá tener más de tres obras simultáneas en el programa.

✓ **Consultor Social**

Firma consultora contratada por la UGP, quien desarrollará las actividades sociales y de capacitación de las fases de Inversión y Post Inversión. Se utilizará a una firma consultora cuando las características de una zona geográfica permitan que se pueda intervenir un grupo de localidades con beneficios económicos para el proyecto.

Las actividades a desarrollar serán las siguientes: (i) implementación de las actividades sociales: planes de capacitación y educación sanitaria a la comunidad, JASS y municipios; y (ii) Post ejecución: reforzamiento de las acciones de capacitación, educación sanitaria y fortalecimiento de capacidades a las municipalidades durante la ejecución.

Comentario [STQ43]: Son consultores individuales en todos los casos

3.7 DESCRIPCION DEL CICLO DE PROYECTOS

El ciclo de los proyectos del Programa, está dividido en cuatro etapas: pre-ciclo, pre-ejecución, ejecución y post-ejecución.

3.7.1 Pre-ciclo

En esta etapa la responsabilidad recae en el Ministerio de Vivienda, Construcción y Saneamiento, la Dirección Nacional de Saneamiento, la UGP del PAPT los Gobiernos Regionales y los Gobiernos Locales.

Durante esta etapa, se priorizan y seleccionan las regiones de intervención, se hace la difusión del Programa, las comunidades expresan su demanda a sus Gobiernos Locales. Los gobiernos locales comunican su interés de participar en el Programa y expresan por escrito sus necesidades de atención, determinándose de acuerdo a los criterios de priorización descritos en el presente Manual los distritos de intervención del Programa. Por otro lado, se da inicio al proceso de convocatoria, selección y contratación de Firmas para Consultor Operativo y Consultor Supervisor.

3.7.2 Pre- Inversión

En esta etapa del ciclo de los proyectos, el Consultor Operativo verifica y gestiona los acuerdos con las autoridades locales, desarrolla la promoción del Programa y elabora los perfiles de proyecto, bajo la supervisión del Consultor Supervisor. La comunidad y el municipio participan activamente y están previamente informados para la toma de decisiones. Así mismo, el Consultor Operativo asesora a las Juntas Administradoras para su conformación y/o reactivación.

Comentario [CSP45]: Esto no lo hace el especialista social?

La aprobación técnica de los perfiles lo hará el Consultor Supervisor y la declaración de viabilidad la otorgará la UGP a través de la Unidad Ejecutora Programa Agua Para Todos del Ministerio de Vivienda, Construcción y Saneamiento (MVCS). El perfil de proyecto aprobado deberá ser de conocimiento de la comunidad y el municipio.

Luego de la declaración de viabilidad por parte del MVCS, los perfiles son remitidos al Consultor Supervisor para que los ingrese en el Banco de Proyectos. Posteriormente, se procederá a realizar la firma del Convenio de Cofinanciamiento (Convenio Tripartito entre la Gobierno Regional, Gobierno Local y MVCS), para efectuar los depósitos del cofinanciamiento, de parte del Gobierno Regional y la creación de la Unidad de Gestión por parte del Gobierno Local.

Comentario [CSP46]: En el convenio de financiamiento va a participar el gobierno local? Asimismo va a ser necesario hacer un convenio por cada proyecto entre el MVCS y GR o uno general?

3.6 CRITERIOS ESTABLECIDOS PARA LA IMPLEMENTACION DEL PROGRAMA

3.6.1 Criterios de Elegibilidad

Estos criterios tienen como base los establecidos por la Dirección Nacional de Saneamiento, los cuales han sido adecuados a las características del Programa.

Conceptos Generales

Los criterios de elegibilidad, son los requisitos que debe cumplir la municipalidad para que pueda ser sujeta de financiamiento por parte del Programa. Estos requisitos están relacionados fundamentalmente al cumplimiento del objetivo de sostenibilidad del proyecto a ser ejecutado.

Los criterios de priorización permiten establecer el orden de prelación de los distritos que previamente han mostrado interés en participar en el Programa.

Asignación de Financiamiento a Nivel regional

La distribución a nivel regional de los recursos financieros disponibles del Programa se establecerá teniendo en cuenta los siguientes criterios:

- Porcentaje de población rural regional, respecto al total nacional rural.
- Nivel de pobreza de la población de la región, considerando el porcentaje de la población pobre.
- Déficit de cobertura de servicios de agua y saneamiento a nivel regional.
- Disponibilidad de recursos de canon a nivel regional⁷ (minero, hidro energético, gasífero, forestal, etc.). Se ponderará con factores entre 1 y 0.1. Las regiones que no cuentan con canon o éste no sea significativo el factor será 1 y las que tengan los mayores montos de canon, el factor será de 0.1. A las demás regiones que disponen de canon se les asignará valores intermedios en proporción del monto de canon.

Para cada región se obtendrá el producto resultante de multiplicar los porcentajes señalados en los numerales a), b) y c) con el factor indicado en d). Los recursos presupuestales asignados a cada región serán asignados en proporción directa a dichos productos.

Criterios de Elegibilidad

- ✓ Son elegibles los Distritos que se encuentren en las zonas denominadas: Selva Baja, Ceja de Selva y Selva Alta, cuyas localidades estén dentro de las denominadas rurales

⁷ Se considera el monto de canon per cápita (total canon regional/total población regional)

Comentario [STQ44]: Cuando se de la viabilidad del programa, se transfiere a la Unidad Ejecutora la responsabilidad de elaborar y decidir los proyectos a ejecutarse, dentro de los parámetros establecidos en el estudio de factibilidad.

Es conveniente que la UE tenga autonomía para utilizar eficientemente y ágilmente la autorización delegada por el SNIP para ejecutar el Programa.

La DNS termina su intervención con la viabilidad del programa y la aprobación del endeudamiento externo.

En resumen ya no son aplicables para el Programa los criterios de elegibilidad y priorización de recursos que asigna el sector, cuando hay que distribuirlos por demanda en el marco de un concurso de financiamiento de proyectos a nivel nacional.

3.7.3 Inversión

En esta etapa, el Consultor Operativo desarrolla el expediente técnico y el plan de capacitación para la comunidad y gobiernos locales, el Consultor Supervisor, será quien evalúa y otorga su aprobación.

Comentario [CSP47]: Esto no lo hace el especialista social?

El Consultor Operativo prepara los pliegos licitatorios para la selección del Contratista de Obra y apoya a la UGP en el proceso de selección y adjudicación del contrato que suscribe la UGP.

Antes de la firma del Convenio Tripartito, la UGP deberá haber planificado sobre que modalidad de ejecución de obra que se optará, por lo que cuando se está previo a la firma del Convenio ya se deberá contar con el Contratista o ya se debió haber formado el Núcleo Ejecutor, según sea el caso.

Luego de la aprobación del Expediente de Proyecto y con el presupuesto aprobado definitivo de obra, se procede a la firma de la Addenda del Convenio de Cofinanciamiento (Addenda de Convenio Tripartito entre el Gobierno Regional, Gobierno Local y MVCS).

Modalidad de Ejecución de Obra vía Contratista de Obra

El Contratista de Obra es el responsable de la ejecución de la obra. La supervisión de la obra estará a cargo de una firma consultora denominada Supervisor de Obra contratada por la UGP y la promoción para que la comunidad esté dispuesta a participar en la obra estará a cargo de una firma consultora denominada Consultor Social. Durante la obra y en forma simultánea se ejecutan las acciones de capacitación a la comunidad en Administración Operación y Mantenimiento, educación sanitaria y fortalecimiento de capacidades a la municipalidad distrital, que estarán a cargo del Consultor Social.

Comentario [CSP48]: Son consultores individuales.

Finalmente, el Contratista de Obra realiza la liquidación de las obras, el Supervisor de Obra otorgará la aprobación técnica de la misma, y la UGP, el municipio distrital y la comunidad realizan la recepción física de la obra.

Modalidad de Ejecución de Obra vía Núcleo Ejecutor

Para la constitución del Núcleo Ejecutor se deberá seguir los procedimientos establecidos por el D.U. N°085-2009-PCM que detallamos a continuación:

[illegible]

Si la solicitud es declarada procedente por la entidad pública

Plazo: 5 días

Suspensión del Comercio

Plazo: 10 días

El GR, GL o GH inscribe el registro del Núcleo Ejecutor en la PCAN80 (www.pcan.gub.uy/nucleos/declaratoria)

PCAN inscribe al Núcleo Ejecutor en el Registro Nacional de Nucleos Ejecutores

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graph LR
    A[Convenio Suscrito] --> B["BGR o GL abre la cuenta corriente en el Banco de la Nación"]
    B --> C["Núcleo Ejecutor elabora y presenta el Expediente Técnico"]
    C --> D["BGR o GL evalúa y aprueba el Expediente Técnico (Formulario SAMP Nº 15)"]
    D --> E["Núcleo Ejecutor ejecuta el Proyecto de Inversión Pública o Mantenimiento de Infraestructura"]
  
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graph LR
    A[Proyecto terminado y aprobado] --> B[Nóculo Ejecutor Indica cuenta (30 días calendario posterior a conclusión)]
    B --> C[El GR, OL o GN publica el Informe de rendición de cuentas]
    C --> D[El GR o GL envía el Informe a la Contraloría General de la República]
  
```

Bajo esta modalidad de ejecución de obra se deberá contratar como consultor individual al Residente de Obra que se encargará de la asistencia técnica al Núcleo Ejecutor y es responsable de la calidad técnica de la obra. De la misma forma la UGP contratará como consultor individual al Supervisor de Obra quien se encargará de la supervisión técnica de la ejecución de la obra.

En esta etapa se realiza el reforzamiento de la capacitación a Municipios en lo que respecta a su rol de asistencia técnica y supervisión de los servicios de saneamiento en su jurisdicción, a las Juntas Administradoras en temas de administración, operación y mantenimiento de los servicios de saneamiento y a la comunidad en el fortalecimiento de capacidades y la modificación de prácticas y hábitos en agua, higiene y saneamiento.

Finalmente, la UGP vía su UGR realiza la liquidación de los proyectos y la UGP otorga la aprobación técnica de la misma. Previamente la UGP con su equipo técnico deberá preparar una "Guía de Liquidación de los proyectos del Programa".

Ver Flujograma del Ciclo de Proyecto en las páginas siguientes:

Pág. 14 y 15: El texto de 1.3.5 Componentes del Programa (Pág. 14) dice "El Programa estará conformado por tres (03 Componentes), el detalle considera 04 Componentes así como el Cuadro 1.4 (Pág. 15). Definir son 03 o 04 Componentes.

Pág. 19: se presenta el Marco Lógico del Programa; no se observa la Matriz de Resultados con una Línea de Base definida que permita cuantificar y verificar a futuro que efectivamente se cumplió con la meta del Programa: Ej. Incrementar a 85% la cobertura de servicios de abastecimiento de agua para consumo humano, en las localidades de intervención al año 2020. No se conoce la cobertura de partida. "Verificar si las Normas JICA lo exigen", en todo caso la normatividad local.

Pág. 26 Capítulo II Marco Institucional 2.1 Generalidades 3er. Párrafo: Eliminar "quien se encuentra en proceso de reestructuración". Incluir dos líneas mas abajo "modificado por Resolución Ministerial N° 134-2010-VIVIENDA que modifica el Manual de Operaciones del PAPT"

Pág. 26 Capítulo II Marco Institucional 2.1 Generalidades 4to. Párrafo: Incluir "Unidad de Planeamiento Presupuesto e Informática y Unidad de Asuntos Legales".

Pág.27 y Pág.28 Modificar Diagrama 2.1 y 2.1A. La UGP depende de la Unidad Operativa de Saneamiento Rural.

Pág. 27 En el Diagrama 2.1 Esquema General para la Ejecución del Programa podría considerarse las relaciones de dependencia con los Gobiernos Regionales.

Pág.29 Estructura Orgánica (i) Agregar "Gabinete de Asesores"

Pág. 31 3er. Párrafo. Agregar : a través de la Unidad Operativa de Saneamiento Rural más que señalar una dependencia directa con la Dirección Ejecutiva del PAPT; acorde con su Manual de Operaciones y su modificatoria..

Pág. 31 Dice: De acuerdo como se describe en el presente Manual, la Ejecución de los Componentes 1, 2 y 3 del Programa serán ejecutados por el PAPT a través de la UGP. Consecuentemente, el PAPT no ejecutaría el Componente 4. se requiere aclarar este párrafo.

Pág. 32 Último párrafo, reemplazar "se reorganiza la DNS" por "Aprueba una nueva organización de la DNS"

Pág. 33 Sub Título d. Programa Agua Para Todos (PAPT): Se debe incluir también "el Decreto Supremo N° 006-2007-VIVIENDA que crea el PAPT". Asimismo agregar: "Resolución Ministerial N° 134-2010-VIVIENDA que modifica su Manual de Operaciones".

Las Unidades del PAPT que se mencionan líneas abajo deben estar referidas a la estructura aprobada con la N° 134-2010-VIVIENDA que modifica la aprobada Resolución Ministerial N° 087-2009-VIVIENDA Algunas funciones han sido ajustadas que deben tenerse en la elaboración del Manual.

En este sentido la Unidad Shock de Inversiones, constituye un Equipo de Trabajo adscrito a la Unidad Operativa de Saneamiento Urbano.

Pág.34 Revisar el párrafo propuesto en el sentido que la UGP es dependiente orgánica y funcionalmente de la Unidad Operativa de Saneamiento Rural. La UGP no "hace las veces" de la UOSR. Modificar diagrama 2.2 en los términos señalados.

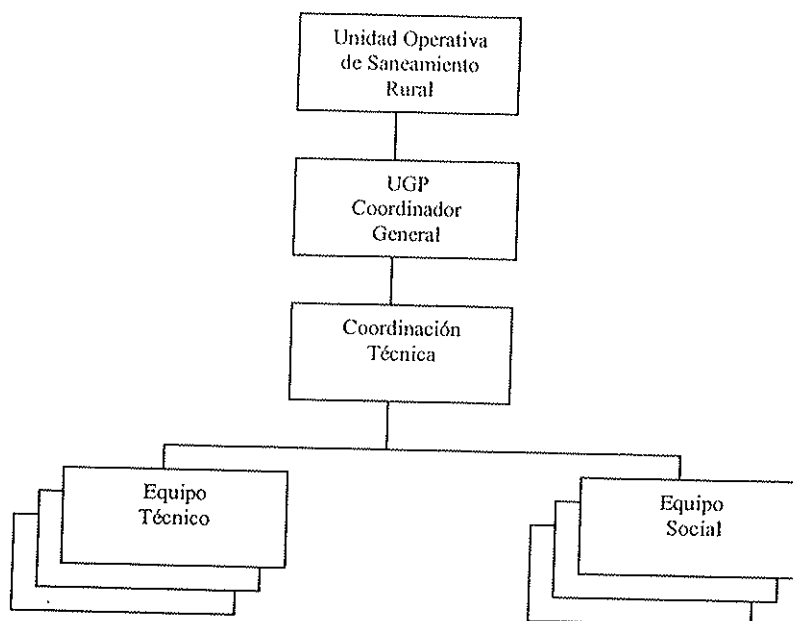
Pág.35 Consecuentemente reemplazar en e.1 lo siguiente: "La UGP depende de la Unidad Operativa de Saneamiento Rural.

Pág. 35 En la última línea agregar "Coordinador General".

Pág. 35: Se menciona que la UGP tiene dependencia directa con el Director Ejecutivo del PAPT. Al respecto ello no es aplicable para el caso de PROCOES (se reporta la UOSR) por lo que se sugiere revisar y darle consistencia con la política actual. Revisar Organigrama. Existe una UOSR con funciones y Jefe designado. Ver diagrama 2.2

Pág. 35: Se menciona que la Unidad de Gestión estará a cargo de un Coordinador que será designado por el VMCS; sin embargo en la Pág. 37 se indica que el Coordinador General será designado por el Ministro de Vivienda, Construcción y Saneamiento.

Pág. 37 En la Organización de la UGP se sugiere la siguiente propuesta de Organigrama



Los tipos de cargos se sugieren definirse en coordinación con la Consultora y los responsables de la UOSR, UA, UPPI y UAL del PAPT.

Luego de definidos los cargos se asignaran las funciones. Posteriormente se establecerá el perfil del cargo y/o requisitos para los TdR. Vincular los procesos correspondientes.

Pág. 39: Se menciona que el Coordinador Técnico da la conformidad o aprobación de los estudios a nivel de pre inversión (perfiles) y de expedientes técnicos para la declaración de viabilidad de la Coordinación General". Al respecto por una parte los expedientes técnicos no están comprendidos en la declaración de viabilidad.

Por otra parte se tiene entendido que la UGP no declara la viabilidad de los Proyectos, esto hacen las OPI's de los Gobiernos Regionales respectivos.

La UGP no aprueba los Expedientes Técnicos antes de la Convocatoria para su ejecución. De acuerdo al SNIP estos son aprobados por el Órgano Resolutivo (Resolución Ministerial) o por quien este delegue, vienen aprobándose con Resolución Directoral el Director Ejecutivo del PAPT.

Pág. 40. función h) señala que la Unidad de Administración tiene como función "Conducir los procesos de selección en concordancia con el Plan Anual de Contrataciones aprobado, con excepción de aquellos procesos que correspondan a los Equipos Especializados en Procesos de Selección de la Unidad de Gestión del Programa (UGP). Se recomienda darle consistencia con lo establecido en la RM 134-2010/VIVIENDA del 06.08.2010.

Pág. 41 Dice:

Las Municipalidades, dentro de su Estructura Orgánica deberán crear, al finalizar los proyectos, una Unidad de Asistencia Técnica al interior de ellas, a cargo de una persona pagada por el Municipio.

Por otra parte en la Pág. 12 dice:

Las Municipalidades, dentro de su Estructura Orgánica deberán crear una Unidad de Asistencia Técnica al interior de ellas, **una vez que los proyectos hayan sido declarados viables** y estará a cargo de una persona pagada por el municipio. Se requiere que ambos párrafos sean compatibles.

Pág. 42: se define al Consultor Operativo (CO) para hacerse responsable de la ejecución de los Componentes 1 y 2 del Programa; sin embargo el Contratista de Obras se define como firmas para la ejecución de las obras del Programa el cual es supervisado por el Consultor Operativo. En la medida que los Componentes 1 y 2 comprenden obras se recomienda precisar bien el alcance de las tareas del Consultor Operativo.

Pág. 85: Se menciona que el Presupuesto Anual del Programa se formula en coordinación con la Unidad de Planeamiento y Presupuesto del PAPT, cuando el término correcto es la Unidad de Planeamiento, Presupuesto e Informática (UPPI).

Pág. 85: En ésta misma página se menciona que el presupuesto anual del programa se incorpora al presupuesto del MVCS por la OGPP, en realidad se incorpora en el presupuesto institucional de la Unidad Ejecutora 004: "Programa Agua Para Todos".

Pág. 85: Se menciona que el presupuesto se incorpora en coordinación con la Dirección Nacional de Presupuesto Publico (DNPP), cuando debe ser: con la Dirección General de Presupuesto Publico (DGPP).

Pág. 87: Dice que el MEF canaliza los recursos financieros sobre la base del Presupuesto Anual, la Programación Trimestral (Debe decir: la Previsión Presupuestaria Trimestral Mensualizada PPTM), y el Calendario de Compromisos Mensual (Debe decir: el Calendario de Compromisos Institucional CCI).

Pág. 87:

Dice:

La ejecución del gasto de recursos públicos y los procesos administrativos y contables del Estado Peruano, por toda fuente de financiamiento, se enmarca en la siguiente base legal: (i) Ley Marco de la Administración Financiera del Sector Público, (ii) Ley General del Sistema Nacional de Presupuesto (iii) Ley de Presupuesto Público Anual, (iv) Directivas de Presupuesto y Tesorería del Ministerio de Economía y Finanzas, (v) Resoluciones e Instructivos de la Contaduría Pública de la Nación y de la Contraloría General de la República (normas de control), (vi) Normas de Adquisiciones y Contrataciones del Organismo Supervisor de las Contrataciones del Estado (OSCE).

Líneas a continuación se menciona la prevalencia de los Convenios cuando se trata de fondos provenientes de créditos externos (y de contribuciones no reembolsables) y supletoriamente, a las disposiciones contenidas en la Ley General y las Leyes de Presupuesto del Sector Público.

Se sugiere revisar el orden de los párrafos habida cuenta que los aportes de los Gobiernos Regionales constituyen la contraparte del Programa y se sujetan a lo establecido en el Convenio de Préstamo.

Pág. 90: el organigrama de la UGP del Programa debe ser actualizada; Shock de inversiones constituye un equipo que forma parte de la Unidad operativa de Saneamiento Urbano

Pág. 91: Se menciona que el Sistema cuenta con los siguientes módulos entre otros: Presupuesto: Registra el presupuesto del programa compatibilizado con el presupuesto del sector y de acuerdo a las normas de la (DNPP), cuando debe ser: Dirección General de Presupuesto Publico (DGPP).

Pág. 93: "...del Plan Estratégico Anual" termino que no existe debe ser corregido; contrastar con el Estudio y las normas del JICA si se refiere a Plan de Ejecución del Programa como en el caso de PROCOES.

Pág. 93: En el punto 4.4.2 Presupuesto Anual se menciona la programación financiera trimestral, cuando debe ser la Previsión Presupuestaria Trimestral Mensualizada PPTM, asimismo se menciona los calendario de compromisos siendo el termino correcto es el Calendario de Compromisos Institucional CCI.

Pág. 93: En este mismo punto se habla de un PAAC, debe ser: el PAC "Plan Anual de Contrataciones".

Pág. 93: Se menciona que el presupuesto anual estará a cargo de la UGP del programa en coordinación con la Unidad de Planeamiento y Presupuesto (Debe decir: UPPI) del PAPT, y comprende 4 etapas; en realidad las **FASES** del Proceso Presupuestario son cinco: i) Programación, ii) Formulación, iii) Aprobación, iv) Ejecución, y v) Evaluación.

Págs. 94

El programa esta enmarcado dentro del Presupuesto por resultados, requiere de evaluaciones trimestrales del MEF, verificar la frecuencia en el marco de la norma de JICA.

Págs. 94 y 95: En el punto 4.4.3 se menciona el Plan de Adquisiciones, debe decir: El Plan Anual de Contrataciones, asimismo se menciona el PAAC, de ser el PAC.

Pág. 97: En el punto 4.5.1 Se menciona que los procedimientos para la elaboración del POA están descritos en la Ley General del Sistema Nacional de Presupuesto – Ley N° 28411; en realidad lo que se menciona en el inciso 71.3 del Artículo 71° de dicha Ley es el Plan Operativo Institucional (POI).

Pág. 98: En el punto vi) se menciona que el Coordinador del programa remitirá la demanda de recursos a la Unidad de Administración del PAPT, para que sea consolidada en la OGPP; en realidad debe decir: el Coordinador del programa remitirá la demanda de recursos a la Unidad de Planeamiento, Presupuesto e Informática (UPPI) para su consolidación como Unidad Ejecutora previa conformidad de las instancias internas correspondientes y presentarla como demanda a la OGPP.

Pág. 98: En el mismo punto vi) se habla de un presupuesto **nacional**, debe ser presupuesto institucional.

Pág. 98: En el punto x) se dice que el Equipo de Adquisiciones elaborará el Plan Anual de Adquisiciones en función del POA, debe decir: el Equipo de Abastecimiento elaborará el Plan Anual de Contrataciones en función del POA.

Pág. 99: Se menciona la Dirección Nacional de Presupuesto Publico (DNPP), cuando debe ser: Dirección General de Presupuesto Publico (DGPP).

Pág. 100: En esta página se menciona lo siguiente:

DICE:

d.1 Programación Trimestral

La programación Trimestral constituye el instrumento mediante el cual se actualiza la Programación mensual incorporada en el SIAF-SP antes de iniciarse el año fiscal y constituye la demanda de recursos para cada trimestre.

DEBE DECIR:

d.1 Previsión Presupuestaria Trimestral Mensualizada (PPTM)

La Previsión Presupuestaria Trimestral Mensualizada (PPTM) es un instrumento para la ejecución del gasto público de corto plazo en los pliegos presupuestarios, que determina las cuotas trimestrales mensualizadas que actúan como techo o nivel máximo a gastar por las entidades del Gobierno Nacional y los gobiernos regionales, en el marco de la disciplina fiscal y el Marco Macroeconómico Multianual.

Pág. 100: El punto d.2 Distribución de la Asignación Trimestral, es un termino que actualmente ya no se utiliza, por lo tanto este párrafo debe eliminarse.

Pág. 100: En esta página se menciona lo siguiente:

DICE:

d.3 Calendario de Compromisos y su Ejecución

EL SUBTITULO: Calendario de Compromisos (Debe eliminarse)

El calendario de compromisos constituye la autorización para la ejecución de los créditos presupuestarios, en función del cual se establece el monto máximo a pagar con sujeción a la percepción efectiva de los ingresos que constituyen su financiamiento.

DEBE DECIR:

d.3 Calendario de Compromisos Institucional (CCI)

El Calendario de Compromisos Institucional (CCI) es un acto de administración que contiene la programación mensual de la ejecución de las obligaciones previamente comprometidas y devengadas, con sujeción a la percepción de los ingresos que constituyen su financiamiento. Los calendarios de compromisos institucionales son modificados durante el año fiscal, de acuerdo a la disponibilidad de los recursos públicos.

Pág. 101: En el punto i) del Subtítulo Requerimiento de Contratación y/o Adquisición se menciona que esto serán canalizados por el Coordinador General del Programa a través de la UPPI, debe decir: serán canalizados por el Coordinador General del Programa a través de la Unidad Operativa de Saneamiento Rural (UOSR) a la Unidad de Administración y deben cumplir con las siguientes condiciones:

Pág. 101: En el punto ii) debe suprimirse el termino nacional.

Pág. 101: En el punto i) del Subtítulo Ejecución de compromisos se menciona que los tramites para efectuar compromisos de las obligaciones contraídas, serán canalizadas por el Coordinador General del Programa a la UPPI, debe decir: serán canalizadas por el Coordinador General del Programa a través de la Unidad Operativa de Saneamiento Rural (UOSR) a la Unidad de Administración, para lo cual el documento debe señalar:

Pág. 101: En el punto ii) debe suprimirse el termino nacional, y agregar lo siguiente:

La UPPI verificará que el requerimiento de compromiso cuente con el marco presupuestal y el **Calendario de Compromisos Institucional** correspondiente, y procederá a especificar las cadenas funcionales programáticas y del gasto correspondiente al Presupuesto Institucional del PAPT, y la codificación de acuerdo a la estructura del POA; asimismo emitirá el respectivo Certificado de Crédito Presupuestario.

Pág. 102: En el subtítulo de Créditos Suplementarios debe suprimirse la palabra solo, con la finalidad de liberar la restricción de acceder a créditos suplementarios cuando se presenten y no estén contenidos en ninguno de los puntos descritos.

Pág. 103: En el primer párrafo donde se manifiesta que luego de la aprobación del Crédito Suplementario la UPPI procederá a elaborar la nota de modificación presupuestal de acuerdo a las indicaciones de la OGPP. DEBE DECIR: luego de la aprobación del Crédito Suplementario la UPPI procederá a elaborar la nota de modificación presupuestal con la finalidad de proceder a u incorporación en el presupuesto institucional del PAPT, de acuerdo a las indicaciones de la OGPP.

Pág. 103: En el subtítulo Respecto a la elaboración y ejecución del POA debe suprimirse el termino planificación financiera anual y su programación, y reemplazar por el párrafo: La UPPI verificará la ejecución física y financiera y su programación a fin de evaluar el avance financiero y físico.

Pág. 103: En el subtítulo Respecto al proceso presupuestario debe suprimirse los términos nacional y Actividades.

Pág. 104: En el párrafo donde se dice que la UPPI verificara que los compromisos del mes guarden relación con los calendarios de compromisos aprobados...debe decir: con los Calendarios de Compromisos Institucionales aprobados.

Pág. 104:

Dice:

f.2 Financiamiento de presupuestos adicionales

Los presupuestos adicionales de obra se generan para las obras ejecutadas por los contratistas los cuales serán remitidos por el Coordinador del Programa a la UPPI para su aprobación adjuntando la siguiente información: Justificación de la ampliación, el detalle del presupuesto adicional, su costo, desagregación por componentes o específicas de gasto y fuentes de financiamiento, Programación y propuesta de metas de las cuales se habilitarían los recursos para su financiamiento. Igualmente deberá incluir la información siguiente:

Debería decir:

Los presupuestos adicionales de obra se generan para las obras ejecutadas por los contratistas los cuales serán remitidos por el Coordinador del Programa a la Dirección Ejecutiva del PAPT, para su aprobación correspondiente, adjuntando la siguiente información: Justificación de la ampliación, el detalle del presupuesto adicional, su costo, desagregación por componentes o específicas de gasto y fuentes de financiamiento, Programación y propuesta de metas de las cuales se habilitarían los recursos para su financiamiento. Igualmente deberá incluir la información siguiente:

SUGERENCIAS Y RECOMENDACIONES

Las apreciaciones vertidas tienen una restricción en el sentido que se dan con conocimiento limitativo del proyecto y las normas del JICA u otro documento de tipo normativo ligado a la operación de préstamo.

Por otro lado el nivel de perfeccionamiento del Manual dependerá del grado de adecuación de los comentarios al MOP de PROCOES en actual proceso salvo algunas precisiones de la fuente. En este sentido se recomienda revisar la participación de la UA, UPPI, UAL, la UGP entre otros. Debe quedar explícito el nivel de participación de Área orgánica de modo tal que se refleje en los procesos correspondientes.

Se recomienda que el Manual tenga como referente un Plan de Ejecución del Programa (o como se conceptúe) reflejado en un PERT CPM u otra herramienta de programación del Programa detallado a nivel de tareas estableciendo plazos para su evaluación y seguimiento, preferentemente de forma semanal y estableciendo responsables orgánicamente para su cumplimiento. Ello permitirá determinar la ruta crítica y los elementos que pudieran ser calificados como de riesgos para el éxito del Programa.

UPPI