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**Prequalification Document for  
Procurement of Civil Works for  
EAST-WEST ROADS DEVELOPMENT PROJECT**

**Invitation for Prequalification No.:**

**ICB No.: EWRP-1855-2152-ICB (W)-001/2017**

**Road reconstruction of  
section “Balkhash-Burylbaital”**



**Lot 1:** km 1855-1905 Balkhash-Gulshat  
**Lot 2:** km 1905-1955 Gulshat-Tasaral  
**Lot 3:** km 1955-2005 Tasaral-Saryshagan  
**Lot 4:** km 2005-2069 Saryshagan-Mynaral  
**Lot 5:** km 2069-2105 Mynaral-Ulken  
**Lot 6:** km 2105-2152 Ulken-Burylbaital

**Employer: Committee for Roads  
Ministry for Investments and Development**

**Country: Republic of Kazakhstan**

**Issued on: August 21, 2017**

**Contents**  
**Prequalification Document for Procurement of Works**

<b>PART 1 – Prequalification Procedures.....</b>	<b>1</b>	
Section I. Instructions to Applicants .....	3	
Section II. Prequalification Data Sheet .....	19	
Section III. Qualification Criteria and Requirements .....	22	
Section IV. Application Forms .....	37	
Section V. Eligible Countries .....	55	
Section VI. Bank Policy - Corrupt and Fraudulent Practices .....	57	
<b>PART 2 – Works Requirements .....</b>	<b>59</b>	
Section VII. Scope of Works .....	61	

# **PART 1 – Prequalification Procedures**



# Section I. Instructions to Applicants

## Table of Contents

<b>A. General</b>	5
1. Scope of Application	5
2. Source of Funds	5
3. Corrupt and Fraudulent Practices	5
4. Eligible Applicants	6
5. Eligibility	8
<b>B. Contents of the Prequalification Document</b>	8
6. Sections of Prequalification Document	8
7. Clarification of Prequalification Document and Pre-Application Meeting	8
8. Amendment of Prequalification Document	9
<b>C. Preparation of Applications</b>	10
9. Cost of Applications	10
10. Language of Application	10
11. Documents Comprising the Application	10
12. Application Submission Form	10
13. Documents Establishing the Eligibility of the Applicant	10
14. Documents Establishing the Qualifications of the Applicant	10
15. Signing of the Application and Number of Copies	11
<b>D. Submission of Applications</b>	11
16. Sealing and Identification of Applications	11
17. Deadline for Submission of Applications	11
18. Late Applications	12
19. Opening of Applications	12
<b>E. Procedures for Evaluation of Applications</b>	12
20. Confidentiality	12
21. Clarification of Applications	12
22. Responsiveness of Applications	13
23. Domestic Bidder Price Preference	13
24. Sub-contractors	13
<b>F. Evaluation of Applications and Prequalification of Applicants</b>	13
25. Evaluation of Applications	13
26. Employer's Right to Accept or Reject Applications	16
27. Prequalification of Applicants	16
28. Notification of Prequalification	17
29. Invitation for Bids	17
30. Changes in Qualifications of Applicants	18



# Section I. Instructions to Applicants

## A. General

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| <b>1. Scope of Application</b>             | <p>1.1 In connection with the Invitation for Prequalification<sup>1</sup> indicated in Section II, Prequalification Data Sheet (PDS), the Employer, as defined in the <b>PDS</b>, issues this Prequalification Document (“Prequalification Document”) to prospective applicants (“Applicants”) interested in submitting applications (“Applications”) for prequalification to bid for the Works described in Section VII, Scope of Works. In case the Works are to be bid as individual contracts (i.e. the slice and package procedure), these are listed in the PDS. <b>The International Competitive Bidding (“ICB”)</b> number corresponding to this prequalification is also provided in the <b>PDS</b>.</p>   |
| <b>2. Source of Funds</b>                  | <p>2.1 The Borrower or Recipient (hereinafter called “Borrower”) indicated in the <b>PDS</b> has applied for or received financing (hereinafter called “funds”) from the <b>International Bank for Reconstruction and Development or the International Development Association (hereinafter called “the Bank”)</b> towards the cost of the project named in the <b>PDS</b>. The Borrower intends to apply a portion of the funds to eligible payments under the contract(s) resulting from the bidding for which this prequalification is conducted. Payment by the Bank will be made only at the request of the Borrower and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the loan (or financing) agreement. The loan (or financing) agreement prohibits a withdrawal from the loan (or credit) account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations. No party other than the Borrower shall derive any rights from the loan (or financing) agreement or have any claim to the proceeds of the loan (or credit).</p> |
| <b>3. Corrupt and Fraudulent Practices</b> | <p>3.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Section VI.</p> <p>3.2 In further pursuance of this policy, Applicants shall permit and shall cause their agents to permit the Bank to inspect all accounts, records and other documents relating to the submission of the Application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.</p>   |

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<sup>1</sup> The Invitation for Prequalification (IFP) provided information for potential bidders to decide whether to participate, including the essential items listed in the Standard Prequalification Document and also any important or specialized prequalification requirements requested to qualify for the prequalification.

#### 4. Eligible Applicants

- 4.1 Applicants shall meet the eligibility criteria as per clause 5.1. For the purpose of applying the eligibility criteria listed in this Clause 4 and 5, references to the “Applicant” include all entities involved or intended to be involved with the proposed Works (including all partners and any of their affiliates that directly or indirectly control, or are controlled by or are under common control with the firm), specialized sub-contractors, consultants, manufacturers or suppliers (as mentioned in Form ELI-1.2 Applicant’s JV Member’s Information Form), and the personnel of each, for any part of the contract including related services.
- 4.2 An Applicant may be a firm that is a private entity, a government-owned entity—subject to ITA 4.9 - or a combination of such entities in the form of a joint venture (“JV”) under an existing agreement or with the intent to enter into such an agreement supported by a letter of intent. In the case of a JV, all members shall be jointly and severally liable for the execution of the Contract in accordance with the Contract terms. The JV shall nominate an authorized representative who shall have the authority to conduct all business for and on behalf of any and all the members of the JV during the prequalification process, bidding (in the event the JV submits a bid) and during contract execution (in the event the JV is awarded the Contract). Unless specified in the **PDS**, there is no limit on the number of members in a JV.
- 4.3 A firm may apply for prequalification both individually, and as part of a joint venture, or as a sub-contractor. If prequalified, it will not be permitted to bid for the same contract both as an individual firm and as a part of the joint venture or as a sub-contractor. However, a firm may participate as a sub-contractor in more than one bid, but only in that capacity. Bids submitted in violation of this procedure will be rejected.
- 4.4 A firm and any of its affiliates (that directly or indirectly control, are controlled by or are under common control with that firm) may submit its application for prequalification either individually, as joint venture or as a sub-contractor among them for the same contract. However, if prequalified only one prequalified applicant will be allowed to bid for the same contract. All bids submitted in violation of this procedure will be rejected.
- 4.5 An Applicant may have the nationality of any country, subject to the restrictions pursuant to ITA 5.1. An Applicant shall be deemed to have the nationality of a country if the Applicant is constituted, incorporated or registered in and operates in conformity with the provisions of the laws of that country, as evidenced by its articles of incorporation (or equivalent documents of constitution or association) and its registration documents, as the case may be. This criterion also shall



apply to the determination of the nationality of proposed specialized sub-contractors or suppliers for any part of the Contract including related Services.

- 4.6 Applicants shall not have a conflict of interest. Applicants shall be considered to have a conflict of interest, if they participated as a consultant in the preparation of the design or technical specifications or have been hired or proposed to be hired by the Employer or Borrower as Engineer for contract implementation of the works that are the subject of this prequalification.
- 4.7 An Applicant that has been sanctioned by the Bank in accordance with the above ITA 3.1, including in accordance with the Bank's Guidelines on Preventing and Combating Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants ("Anti-Corruption Guidelines"), shall be ineligible to be prequalified, to bid for, awarded a Bank-financed contract or benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall have determined.
- 4.8 The list of debarred firms and individuals is available as specified in the **PDS**.
- 4.9 Government-owned enterprises or institutions in the Employer's Country may participate only if they can establish that they (i) are legally and financially autonomous (ii) operate under commercial law, and (iii) are not dependent agencies of the Employer<sup>2</sup>. To be eligible, a government-owned enterprise or institution shall establish to the Bank's satisfaction, through all relevant documents, including its Charter and other information the Bank may request, that it: (i) is a legal entity separate from the government (ii) does not currently receive substantial subsidies or budget support; (iii) operates like any commercial enterprise, and, inter alia, is not obliged to pass on its surplus to the government, can acquire rights and liabilities, borrow funds and be liable for repayment of its debts, and can be declared bankrupt; and (iv) is not bidding for a contract to be awarded by the department or agency of the government which under their applicable laws or regulations is the reporting or supervisory authority of the enterprise or has the ability to exercise influence or control over the enterprise or institution.
- 4.10 An Applicant shall not be under suspension from bidding by the Employer as the result of the execution of a Bid-Securing Declaration.
- 4.11 An Applicant shall provide such evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.

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<sup>2</sup> Other than Force Account units, as permitted under paragraph 3.9 of the Procurement Guidelines

- 5. Eligibility**
- 5.1 Firms and individuals may be ineligible if they are nationals of ineligible countries as indicated in Section V. The countries, persons or entities are ineligible if (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the supply of goods or the contracting of works or services required; or (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's country prohibits any import of goods or contracting of works or services from that country, or any payments to any country, person, or entity in that country.

### **B. Contents of the Prequalification Document**

- 6. Sections of Prequalification Document**
- 6.1 This Prequalification Document consists of parts 1 and 2 which comprise all the sections indicated below, and which should be read in conjunction with any Addendum issued in accordance with ITA 8.

#### **PART 1 Prequalification Procedures**

- Section I. Instructions to Applicants (ITA)
- Section II. Prequalification Data Sheet (PDS)
- Section III. Qualification Criteria and Requirements
- Section IV. Application Forms
- Section V. Eligible Countries
- Section VI. Bank Policy – Corrupt and Fraudulent practices

#### **PART 2 Works Requirements**

- Section VII. Scope of Works

- 6.2 Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the document, responses to requests for clarification, the minutes of the pre-Application meeting (if any), or Addenda to the Prequalification Document in accordance with ITA 8. In case of any discrepancies, documents issued directly by the Employer shall prevail.
- 6.3 The Applicant is expected to examine all instructions, forms, and terms in the Prequalification Document and to furnish with its Application all information or documentation as is required by the Prequalification Document.

- 7. Clarification of Prequalification**
- 7.1 A prospective Applicant requiring any clarification of the Prequalification Document shall contact the Employer in writing at the Employer's address indicated in the **PDS**. The Employer will respond

**Document and  
Pre-  
Application  
Meeting**

in writing to any request for clarification provided that such request is received no later than fourteen (14) days prior to the deadline for submission of the applications. The Employer shall forward a copy of its response to all prospective Applicants who have obtained the Prequalification Document directly from the Employer, including a description of the inquiry but without identifying its source. If so indicated in the **PDS**, the Employer shall also promptly publish its response at the web page identified in the **PDS**. Should the Employer deem it necessary to amend the Prequalification Document as a result of a clarification, it shall do so following the procedure under ITA 8 and in accordance with the provisions of ITA 17.2.

- 7.2 If indicated in the **PDS**, the prospective Applicant's designated representative is invited at the Applicant's cost to attend a pre-Application meeting at the place, date and time mentioned in the **PDS**. During this pre-Application meeting, prospective Applicants may request clarification of the project requirement, the criteria for qualifications or any other aspects of the Prequalification Document.
- 7.3 Minutes of the pre-Application meeting, if applicable, including the text of the questions asked by Applicants, including those during the meeting (without identifying the source) and the responses given, together with any responses prepared after the meeting will be transmitted promptly to all prospective Applicants who have obtained the Prequalification Document. Any modification to the Prequalification Document that may become necessary as a result of the pre-Application meeting shall be made by the Employer exclusively through the use of an Addendum pursuant to ITA 8. Non-attendance at the pre-Application meeting will not be a cause for disqualification of an Applicant.

**8. Amendment of  
Prequalifica-  
tion Document**

- 8.1 At any time prior to the deadline for submission of Applications, the Employer may amend the Prequalification Document by issuing an Addendum.
- 8.2 Any Addendum issued shall be part of the Prequalification Document and shall be communicated in writing to all prospective Applicants who have obtained the Prequalification Document from the Employer. The Employer shall promptly publish the Addendum at the Employer's web page identified in the **PDS**.
- 8.3 To give prospective Applicants reasonable time to take an Addendum into account in preparing their Applications, the Employer may, at its discretion, extend the deadline for the submission of Applications in accordance with ITA 17.2.

## **C. Preparation of Applications**

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|---|---|
| <b>9. Cost of Applications</b>  | 9.1 The Applicant shall bear all costs associated with the preparation and submission of its Application. The Employer will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.  |
| <b>10. Language of Application</b>                                    | 10.1 The Application as well as all correspondence and documents relating to the prequalification exchanged by the Applicant and the Employer, shall be written in the language specified in the <b>PDS</b> . Supporting documents and printed literature that are part of the Application may be in another language, provided they are accompanied by an accurate translation of the relevant passages in the language specified in the <b>PDS</b> , in which case, for purposes of interpretation of the Application, the translation shall govern.  |
| <b>11. Documents Comprising the Application</b>                       | <p>11.1 The Application shall comprise the following:</p> <ul style="list-style-type: none"> <li>(a) Application Submission Form, in accordance with ITA 12.1;</li> <li>(b) documentary evidence establishing the Applicant's eligibility, in accordance with ITA 13.1;</li> <li>(c) documentary evidence establishing the Applicant's qualifications, in accordance with ITA 14; and</li> <li>(d) any other document required as specified in the <b>PDS</b>.</li> </ul> <p>11.2 The Applicant shall furnish information on commissions and gratuities, if any, paid or to be paid to agents or any other party relating to this Application</p> |
| <b>12. Application Submission Form</b>                                | 12.1 The Applicant shall complete an Application Submission Form as provided in Section IV, Application Forms. This Form must be completed without any alteration to its format.  |
| <b>13. Documents Establishing the Eligibility of the Applicant</b>    | 13.1 To establish its eligibility in accordance with ITA 4, the Applicant shall complete the eligibility declarations in the Application Submission Form and Forms ELI (eligibility) 1.1 and 1.2, included in Section IV (Application Forms).   |
| <b>14. Documents Establishing the Qualifications of the Applicant</b> | <p>14.1 To establish its qualifications to perform the contract(s) in accordance with Section III, Qualification Criteria and Requirements, the Applicant shall provide the information requested in the corresponding Information Sheets included in Section IV, Application Forms.</p> <p>14.2 Wherever an Application Form requires an Applicant to state a monetary amount, Applicants should indicate the USD equivalent using the rate of exchange determined as follows:</p>   |

For construction turnover or financial data required for each year - Exchange rate prevailing on the last day of the respective calendar year (in which the amounts for that year is to be converted) was originally established.

Value of single contract - Exchange rate prevailing on the date of the contract.

Exchange rates shall be taken from the publicly available source identified in the **PDS**. Any error in determining the exchange rates in the Application may be corrected by the Employer.

**15. Signing of the Application and Number of Copies**

- 15.1 The Applicant shall prepare one original of the documents comprising the Application as described in ITA 11 and clearly mark it “ORIGINAL”. The original of the Application shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Applicant. In case the Applicant is a JV, the Application shall be signed by an authorized representative of the JV on behalf of the JV and so as to be legally binding on all the members as evidenced by a power of attorney signed by their legally authorized signatories.
- 15.2 The Applicant shall submit copies of the signed original Application, in the number specified in the **PDS**, and clearly mark them “COPY”. In the event of any discrepancy between the original and the copies, the original shall prevail.

### **D. Submission of Applications**

**16. Sealing and Identification of Applications**

- 16.1 The Applicant shall enclose the original and the copies of the Application in a sealed envelope that shall:
- (a) bear the name and address of the Applicant;
  - (b) be addressed to the Employer, in accordance with ITA 17.1; and
  - (c) bear the specific identification of this prequalification process indicated in the **PDS** 1.1.
- 16.2 The Employer will accept no responsibility for not processing any envelope that was not identified as required in ITA 16.1 above.

**17. Deadline for Submission of Applications**

- 17.1 Applicants may either submit their Applications by mail or by hand. Applications shall be received by the Employer at the address and no later than the deadline indicated in the **PDS**. When so specified in the **PDS**, Applicants have the option of submitting their Applications electronically, in accordance with electronic application submission procedures specified in the **PDS**.

17.2 The Employer may, at its discretion, extend the deadline for the submission of Applications by amending the Prequalification Document in accordance with ITA 8, in which case all rights and obligations of the Employer and the Applicants subject to the previous deadline shall thereafter be subject to the deadline as extended.

**18. Late Applications**

18.1 The Employer reserves the right to accept applications received after the deadline for submission of applications, unless otherwise specified in the **PDS**.

**19. Opening of Applications**

19.1 The Employer shall open all Applications at the date, time and place specified in the **PDS**. Late Applications shall be treated in accordance with ITA 18.1.

19.2 Applications submitted electronically (if permitted pursuant to ITA 17.1) shall be opened in accordance with the procedures specified in the **PDS**.

19.3 The Employer shall prepare a record of the opening of Applications to include, as a minimum, the name of the Applicants. A copy of the record shall be distributed to all Applicants.

### **E. Procedures for Evaluation of Applications**

**20. Confidentiality**

20.1 Information relating to the Applications, their evaluation and result shall not be disclosed to Applicants or any other persons not officially concerned with the prequalification process until the notification of prequalification results is made to all Applicants in accordance with ITA 28.

20.2 From the deadline for submission of Applications to the time of notification of the results of the prequalification in accordance with ITA 28, any Applicant that wishes to contact the Employer on any matter related to the prequalification process (except as specified in 20.1 above), may do so only in writing.

**21. Clarification of Applications**

21.1 To assist in the evaluation of Applications, the Employer may, at its discretion, ask an Applicant for a clarification (including missing documents) of its Application, to be submitted within a stated reasonable period of time. Any request for clarification from the Employer and all clarifications from the Applicant shall be in writing.

21.2 If an Applicant does not provide clarifications and/or documents requested by the date and time set in the Employer's request for clarification, its Application shall be evaluated based on the information and documents available at the time of evaluation of the Application.

**22. Responsive-  
ness of  
Applications**

22.1 The Employer may reject any Application which is not responsive to the requirements of the Prequalification Document. In case the information furnished by the Applicant is incomplete or otherwise requires clarification as per ITA 21.1, and the Applicant fails to provide satisfactory clarification and/or missing information, it may result in disqualification of the Applicant.

**23. Domestic  
Bidder Price  
Preference**

23.1 Unless otherwise specified in the **PDS**, a margin of preference for domestic bidders<sup>3</sup> shall not apply in the bidding process resulting from this prequalification.

**24. Sub-contractors**

24.1 Unless otherwise stated in the **PDS**, the Employer does not intend to execute any specific elements of the Works by sub-contractors selected in advance by the Employer.

24.2 The Employer may decide to permit subcontracting for certain specialized works as indicated in Section III 4.2, Experience. The Employer may do so at its own initiative or at the request of the Applicants during the prequalification process (if justified). When subcontracting is permitted by the Employer, the specialized sub-contractors experience shall be considered for evaluation. Section III describes the qualification criteria for sub-contractors.

24.3 Applicants may propose subcontracting to the percentage of the total value of the contract or the volume of works mentioned in the **PDS** and as further described in ITA 25.2.

## **F. Evaluation of Applications and Prequalification of Applicants**

**25. Evaluation of  
Applications**

25.1 The Employer shall use the factors, methods, criteria, and requirements defined in Section III, Qualification Criteria and Requirements, to evaluate the qualifications of the Applicants, and no other methods, criteria, or requirements shall be used. The Employer reserves the right to waive minor deviations from the qualification criteria if they do not materially affect the technical capability and financial resources of an Applicant to perform the contract.

25.2 Applicants planning to subcontract more than 10% of total volume of work shall specify, in the Application Submission Form, the activity (ies) or parts of the works to be subcontracted along with complete

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<sup>3</sup> An individual firm is considered a domestic bidder for purposes of the margin of preference if it is registered in the country of the Employer, has more than 50 percent ownership by nationals of the country of the Employer, and if it does not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign contractors. JVs are considered as domestic bidders and eligible for domestic preference only if the individual member firms are registered in the country of the Employer, have more than 50 percent ownership by nationals of the country of the Employer, and the JV shall be registered in the country of the Borrower. The JV shall not subcontract more than 10 percent of the contract price, excluding provisional sums, to foreign firms. JVs between foreign and national firms will not be eligible for domestic preference.

details of the sub-contractors and their qualification and experience. The sub-contractors proposed shall be fully qualified for their work proposed, and meet the specified criteria in Section III, failing which such sub-contractors will not be permitted to participate. The qualification and experience of sub-contractors proposed by the Applicant under ITA 24.3 will not be considered for evaluation of the Applicant. The Applicant on its own (without taking into account the qualification and experience of the sub-contractor) should meet the prequalification criteria.

- 25.3 In case of multiple contracts, Applicants should indicate in their Applications the individual contract or combination of contracts in which they are interested. The Employer shall prequalify each Applicant for the maximum combination of contracts for which the Applicant has thereby indicated its interest and for which the Applicant meets the appropriate aggregate requirements. The Qualification Criteria and Requirements are mentioned in Section III. However, with respect to the specific experience under item 4.2 (a) of Section III, the Employer will select any one or more of the options as identified below:

N is the minimum number of contracts

V is the minimum value of a single contract

**(a) Prequalification for one Contract:**

Option 1: (i) N contracts, each of minimum value V;

Or

Option 2: (i) N contracts, each of minimum value V, Or

(ii) Less than or equal to N contracts, each of minimum value V, but with total value of all contracts equal or more than  $N \times V$ ;

**(b) Prequalification for multiple Contracts**

Option 1: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the applicant has applied for as follows, and  $N_1, N_2, N_3$ , etc. shall be different contracts:

Lot 1:  $N_1$  contracts, each of minimum value  $V_1$ ;

Lot 2:  $N_2$  contracts, each of minimum value  $V_2$ ;

Lot 3:  $N_3$  contracts, each of minimum value  $V_3$ ;



----etc.

Or

Option 2: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the applicant has applied for as follows, and N1,N2,N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3;

----etc, Or

(ii) Lot 1: N1 contracts, each of minimum value V1;  
or number of contracts less than or equal to N1,  
each of minimum value V1, but with total value of  
all contracts equal or more than  $N1 \times V1$

Lot 2: N2 contracts, each of minimum value V2;  
or number of contracts less than or equal to N2,  
each of minimum value V2, but with total value of  
all contracts equal or more than  $N2 \times V2$

Lot 3: N3 contracts, each of minimum value V3;  
or number of contracts less than or equal to N3,  
each of minimum value V3, but with total value of  
all contracts equal or more than  $N3 \times V3$

----etc.

Or

Option 3: (i) Minimum requirements for combined contract(s) shall be the aggregate requirements for each contract for which the applicant has applied for as follows, and N1,N2,N3, etc. shall be different contracts:

Lot 1: N1 contracts, each of minimum value V1;

Lot 2: N2 contracts, each of minimum value V2;

Lot 3: N3 contracts, each of minimum value V3;

----etc, Or

(ii) Lot 1: N1 contracts, each of minimum value V1;

or number of contracts less than or equal to N1, each of minimum value V1, but with total value of all contracts equal or more than  $N1 \times V1$

Lot 2: N2 contracts, each of minimum value V2; or number of contracts less than or equal to N2, each of minimum value V2, but with total value of all contracts equal or more than  $N2 \times V2$

Lot 3: N3 contracts, each of minimum value V3; or number of contracts less than or equal to N3, each of minimum value V3, but with total value of all contracts equal or more than  $N3 \times V3$

---etc, Or

- (iii) Subject to compliance as per (ii) above with respect to minimum value of single contract for each lot, total number of contracts is equal or less than  $N1 + N2 + N3$  ---but the total value of all such contracts is equal or more than  $N1 \times V1 + N2 \times V2 + N3 \times V3$  ---.

- 25.4 Only the qualifications of the Applicant shall be considered. In particular, the qualifications of a parent or other affiliated company that is not party to the Applicant under a JV in accordance with ITA 4.2 (or participating as a sub-contractor as per ITA 25.2) shall not be considered.

**26. Employer's Right to Accept or Reject Applications**

- 26.1 The Employer reserves the right to accept or reject any Application, and to annul the prequalification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.

**27. Prequalification of Applicants**

- 27.1 All Applicants who's Applications substantially meet or exceed the specified qualification requirements will be prequalified by the Employer.

- 27.2 An Applicant may be "conditionally prequalified," that is, qualified subject to the Applicant submitting or correcting certain specified nonmaterial documents or deficiencies to the satisfaction of the Employer.

- 27.3 Applicants that are conditionally prequalified will be so informed along with the statement of the condition(s) which must be met to the satisfaction of the Employer before or at the time of submitting their bids.

- 28. Notification of Prequalification**
- 28.1 The Employer shall notify all Applicants in writing of the names of those Applicants who have been prequalified or conditionally prequalified. In addition, those Applicants who have been disqualified will be informed separately.
- 28.2 Applicants that have not been prequalified may write to the Employer to request, in writing, the grounds on which they were disqualified.
- 29. Invitation for Bids**
- 29.1 Promptly after the notification of the results of the prequalification, the Employer shall invite bids from all the Applicants that have been prequalified or conditionally prequalified.
- 29.2 Bidders may be required to provide a Bid Security or a Bid-Securing Declaration acceptable to the Employer in the form and an amount to be specified in the Bidding Documents.
- 29.3 The successful Bidder shall be required to provide a Performance Security as specified in the Bidding Documents.
- 29.4 If applicable, the successful Bidder shall be required to provide a separate **Environmental, Social, Health and Safety (ESHS)** Performance Security.
- 29.5 Bidders shall be required to provide the **Code of Conduct** which will apply to their employees and sub-contractors to ensure compliance with the Environmental, Social, Health and Safety (ESHS) requirements.
- 29.6 Bidder shall be required to submit **management strategies and implementation plans to ensure compliance with key Environmental, Social, Health and Safety (ESHS)** requirement.

**30. Changes in  
Qualifications  
of Applicants**

- 30.1 Any change in the structure or formation of an Applicant after being prequalified in accordance with ITA 27 and invited to bid (including, in the case of a JV, any change in the structure or formation of any member thereto) shall be subject to the written approval of the Employer prior to the deadline for submission of bids. Such approval shall be denied if (i) a prequalified applicant proposes to associate with a disqualified applicant or in case of a disqualified joint venture, any of its members; (ii) as a consequence of the change, the Applicant no longer substantially meets the qualification criteria set forth in Section III, Qualification Criteria and Requirements; or (iii) in the opinion of the Employer, the change may result in a substantial reduction in competition. Any such change should be submitted to the Employer not later than fourteen (14) days after the date of the Invitation for Bids.

## Section II. Prequalification Data Sheet

### A. General

<b>ITA 1.1</b>	<p>The identification of the Invitation for Prequalification is: EWRP-1855-2152-ICB (W)-001/2017</p> <p>Employer: The Committee for Roads, the Ministry for Investments and Development</p> <p>Mr. Amir Karimbayev, Head of Project Preparation division 32/1 Kabanbai Batyr Ave., Transport Tower Building, 6th floor, Office# 612 010000, Astana city, Republic of Kazakhstan Tel: +7 7172 75-46-40 E-mail: k.utepbergenov@mid.gov.kz, <a href="mailto:a.karimbaev@mid.gov.kz">a.karimbaev@mid.gov.kz</a></p> <p>The list of contracts:</p> <ol style="list-style-type: none"> <li>1. Lot 1: km 1855-1905 Balkhash-Gulshat</li> <li>2. Lot 2: km 1905-1955 Gulshat-Tasaral</li> <li>3. Lot 3: km 1955-2005 Tasaral-Saryshagan</li> <li>4. Lot 4: km 2005-2069 Saryshagan-Mynaral</li> <li>5. Lot 5: km 2069-2105 Mynaral-Ulken</li> <li>6. Lot 6: km 2105-2152 Ulken-Burylbaital</li> </ol>
<b>ITA 2.1</b>	<p>The name of the Borrower is: REPUBLIC OF KAZAKHSTAN</p> <p>The Name of the Project: East-West Roads Development Project (Balkhash-Burylbaital Section)</p>
<b>ITA 4.2</b>	Maximum number of members in the JV shall be: <b>limited to three partners</b>
<b>ITA 4.8</b>	The electronic address of firms and individuals debarred by the Bank is: <a href="http://www.worldbank.org/debarr">http://www.worldbank.org/debarr</a> .

### B. Contents of the Prequalification Document

<b>ITA 7.1</b>	<p>For <b>clarification purposes</b>, the Employer's address is:</p> <p>The Committee for Roads, the Ministry for Investments and Development Attention: Mr. Amir Karimbaev, Head of Project Preparation division 32/1 Kabanbay Batyr Ave., Transport Tower Building, 6th floor, Office# 612 010000, Astana city, Republic of Kazakhstan Tel: +7 7172 75-46-40 E-mail: k.utepbergenov@mid.gov.kz, <a href="mailto:a.karimbaev@mid.gov.kz">a.karimbaev@mid.gov.kz</a></p>
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<b>ITA 7.1 &amp; 8.2</b>	Web page: <a href="http://www.mid.gov.kz">www.mid.gov.kz</a>
<b>ITA 7.2</b>	Pre-Application Meeting will be held: <b>Not applicable.</b>
<b>C. Preparation of Applications</b>	
<b>ITA 10.1</b>	<p>This Prequalification document has been issued in the <b>English language</b>. All Correspondence exchange shall be in English Language. <b>The Application as well as all correspondence shall be submitted in English.</b></p> <p>The applicants are encouraged to submit additional copies in Russian. In case of discrepancy, English version will prevail. However, non-submission of Russian translation will not affect the evaluation of the application in any way. Language for translation of supporting documents and printed literature is English.</p>
<b>ITA 11.1 (d)</b>	The Applicant shall submit with its Application, the following additional documents: <i>None</i>
<b>ITA 14.2</b>	The source for determining exchange rates is The National Bank of Kazakhstan <a href="http://www.nationalbank.kz/">http://www.nationalbank.kz/</a>
<b>ITA 15.2</b>	<p>In addition to the original the applicants are encouraged to submit one additional copy <b>in English and one in Russian.</b></p> <p><b>In case of discrepancy, English version will prevail.</b></p> <p><b>However, non-submission of Russian translation will not affect the evaluation of the application in any way.</b></p>
<b>D. Submission of Applications</b>	
<b>ITA 17.1</b>	<p><b>The deadline for Application submission is:</b></p> <p>Date: October 2<sup>nd</sup>, 2017</p> <p>Time: 4.00 p.m. Astana time</p> <p>Applicants shall not have the option of submitting their Applications electronically.</p> <p>For <b>application submission purposes only</b>, the Employer's address is:</p> <p>Attention: Mr. Amir Karimbayev, Head of Project Preparation Division 32/1 Kabanbai Batyr Ave., Transport Tower Building, 6th floor, Office# 612 010000, Astana city, Republic of Kazakhstan Email address: <a href="mailto:k.utepbergenov@mid.gov.kz">k.utepbergenov@mid.gov.kz</a></p>
<b>ITA 18.1</b>	<b>Late Applications will be returned unopened to the Applicants</b>

<b>ITA 19.1</b>	The opening of the Applications shall be: on October 2 <sup>nd</sup> , 2017 at 4:15 pm  Astana, 32/1 Kabanbai Batyr Ave., Transport Tower Building, 1st floor, conference hall
<b>ITA 19.2</b>	If electronic submission of Applications shall be permitted, electronic Application opening procedures are: N/A
<b>E. Procedures for Evaluation of Applications</b>	
<b>ITA 23.1</b>	A margin of preference shall not apply for eligible domestic bidders.
<b>ITA 24.1</b>	At this time the Employer does not intend to execute certain specific parts of the Works by sub-contractors selected in advance.
<b>ITA 24.3</b>	<p>Maximum percentage of subcontracting permitted is 50% of the total Contract Amount..</p> <p>Applicants planning to subcontract more than 10% of total Contract Amount shall specify, in the Application Submission Form, the activity (ies) or parts of the works to be subcontracted along with complete details of the sub-contractors and their qualification and experience. The qualification and experience of the sub-contractors must meet the minimum criteria for the relevant works to be sub-contracted failing which such sub-contractors will not be permitted to participate.</p> <p>Sub-contractors' qualification and experience will not be considered for evaluation of the Applicant. The Applicant on its own (without taking into account the qualification and experience of the sub-contractor) should meet the prequalification criteria.</p>
<b>ITA 25.3 (b)</b>	The Works will be tendered under a slice and package (multiple contracts) procedure, the minimum number of contracts and values required for purposes of evaluating qualification for multiple contracts shall be as stated under 25.3 (b) --option-3

## Section III. Qualification Criteria and Requirements

This Section contains all the methods, criteria, and requirements that the Employer shall use to evaluate Applications. The information to be provided in relation to each requirement and the definitions of the corresponding terms are included in the respective Application Forms.

Contents	
1. Eligibility .....	23
2. Historical Contract Non-Performance .....	24
3. Financial Situation .....	26
4. Experience.....	30



Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
1. Eligibility							
1.1	Nationality	Nationality in accordance with ITA 4.5	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI – 1.1 and 1.2, with attachments
1.2	Conflict of Interest	No conflicts of interest in accordance with ITA 4.6	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Form
1.3	Bank Eligibility	Not having been declared ineligible by the Bank, as described in ITA 4.7 and 5.1	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Form
1.4	Government Owned Entity of the Borrower country	Meet conditions of ITA 4.9	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI – 1.1 and 1.2, with attachments
1.5	United Nations resolution or Borrower’s country law	Not having been excluded as a result of prohibition in the Borrower’s country laws or official regulations against commercial relations with the Applicant’s country, or by an act of compliance with UN Security Council resolution, both in accordance with ITA 5.1 and Section V.	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Forms ELI – 1.1 and 1.2, with attachments

Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
2. Historical Contract Non-Performance							
2.1	History of Non-Performing Contracts	Non-performance of a contract <sup>4</sup> did not occur as a result of contractor's default since 1 <sup>st</sup> January 2014.	Must meet requirement <sup>5</sup>	Must meet requirements	Must meet requirement <sup>5</sup>	N/A	Form CON-2
2.2	Suspension Based on Execution of Bid Securing Declaration by the Employer	Not under suspension based on execution of a Bid Securing Declaration pursuant to ITA 4.10	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Application Submission Form
2.3	Pending Litigation	Applicant's financial position and prospective long term profitability still sound according to criteria established in 3.1 below and assuming that all pending litigation will be resolved against the Applicant	Must meet requirement	N/A	Must meet requirement	N/A	Form CON – 2
2.4	Litigation History	No consistent history of court/arbitral award decisions against the Applicant <sup>6</sup> since 1 <sup>st</sup> January 2014	Must meet requirement	Must meet requirement	Must meet requirement	N/A	Form CON – 2

<sup>4</sup> Non performance, as decided by the Employer, shall include all contracts where (a) non performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the applicant have been exhausted.

<sup>5</sup> This requirement also applies to contracts executed by the Applicant as JV member.

<sup>6</sup> The Applicant shall provide accurate information on the related Application Form about any litigation or arbitration resulting from contracts completed or ongoing under its execution over the last five years. A consistent history of awards against the Applicant or any member of a joint venture may result in failure of the application.

No.	Eligibility and Qualification Criteria			Compliance Requirements			Documentation
	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
2.5	<b>Declaration: Environmental, Social, Health, and Safety (ESHS) past performance</b>	Declare any civil work contracts that have been suspended or terminated and/or performance security called by an employer for reasons related to the non-compliance of any environmental, or social, or health or safety requirements or safeguard in the past five years <sup>7</sup> .	Must make the declaration. Where there are Specialized Sub-contractor/s, the Specialized Sub-contractor/s must also make the declaration	N/A	Each must make the declaration. Where there are Specialized Sub-contractor/s, the Specialized Sub-contractor/s must also make the declaration.	N/A	Form CON-3 ESHS Performance Declaration

<sup>7</sup> The Employer may use this information to seek further information or clarifications during the bidding stage and the associated due diligence.

Eligibility and Qualification Criteria								Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements				
				All Parties Combined	Each Member	One Member					
3. Financial Situation and Performance											
3.1	Financial Performance	(i) The Applicant shall demonstrate that it has access to, or has available, liquid assets, unencumbered real assets, lines of credit, and other financial means (independent of any contractual advance payment) sufficient to meet the construction cash flow requirements estimated for the subject contract(s) net of the Applicants other commitments, shall be as follows:  1.For lot 1, km 1855-1905 Balkhash-Gulshat: minimum US\$ 7 (seven) million equivalent  2.For lot 2, km 1905-1955 Gulshat-Tasaral: minimum US\$ 9 (nine) million equivalent  3.For lot 3, km 1955-2005 Tasaral-Saryshagan: minimum US\$ 13 (thirteen) million equivalent  4. For lot 4, km 2005-2069 Saryshagan-Mynaral:	Must meet requirement	Must meet requirement	N/A	N/A	Form FIN – 3.1 with attachments				
			Must meet requirement	Must meet requirement	N/A	N/A					
			Must meet requirement	Must meet requirement	N/A	N/A					
			Must meet requirement	Must meet requirement	N/A	N/A					
			Must meet requirement	Must meet requirement	N/A	N/A					

Eligibility and Qualification Criteria							
Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		<p>minimum US\$ 8 (eight) million equivalent</p> <p>5. For lot 5, km 2069-2105 Mynaral-Ulken: minimum US\$ 5 (five) million equivalent</p> <p>6. For lot 6, km 2105-2152 Ulken-Burylbaital: minimum US\$ 9 (nine) million equivalent</p> <p>(ii) The Applicant shall also demonstrate, to the satisfaction of the Employer, that it has adequate sources of finance to meet the cash flow requirements on works currently in progress and for future contract commitments.</p> <p>(iii) The audited balance sheets or, if not required by the laws of the Applicant's country, other financial statements acceptable to the Employer, for the last three years (2014 to 2016) shall be submitted and must demonstrate the current soundness of the Applicant's financial position and indicate its prospective long-term profitability.</p> <p><b>The minimum</b></p>	<p>Must meet requirement</p> <p>Must meet requirement</p> <p>Must meet requirement</p> <p>Must meet requirement</p>	<p>Must meet requirement</p> <p>Must meet requirement</p> <p>Must meet requirement</p> <p>N/A</p>	<p>N/A</p> <p>N/A</p> <p>N/A</p> <p>Must meet requirement</p>	<p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p>	

Eligibility and Qualification Criteria							
Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		<p>requirements as per (ii) and(iii) shall be:</p> <p>a) average ratio of current assets and current liabilities must be more than 1;</p> <p>b) ratio of total assets and total liabilities in the dynamics must not be decreasing</p>	<p>Must meet requirement</p> <p>Must meet requirement</p>	<p>N/A</p> <p>N/A</p>	<p>Must meet requirement</p> <p>Must meet requirement</p>	<p>N/A</p> <p>N/A</p>	
3.2	<b>Average Annual Construction Turnover</b>	Minimum average annual construction turnover of as given below, calculated as total certified payments received for contracts in progress and/or completed within the last five years (2012, 2013, 2014, 2015 and 2016), divided by five years shall be:					
		1. For lot 1, km 1855-1905 Balkhash-Gulshat: minimum US\$ 42 (forty two) million equivalent	Must meet requirement	Must meet requirement	Must meet 25% (twenty five) of the requirement	Must meet 40% (forty) of the requirement	Form FIN – 3.2

Eligibility and Qualification Criteria							
Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		2. For lot 2, km 1905-1955 Gulshat-Tasaral: minimum US\$ 53 (fifty three) million equivalent	Must meet requirement	Must meet requirement	Must meet 25% (twenty five) of the requirement	Must meet 40% (forty) of the requirement	Form FIN – 3.2
		3. For lot 3, km 1955-2005 Tasaral-Saryshagan: minimum US\$ 77 (seventy seven) million equivalent	Must meet requirement	Must meet requirement	Must meet 25% (twenty five) of the requirement	Must meet 40% (forty) of the requirement	Form FIN – 3.2
		4. For lot 4, km 2005-2069 Saryshagan-Mynaral: minimum US\$ 50 (fifty) million equivalent	Must meet requirement	Must meet requirement	Must meet 25% (twenty five) of the requirement	Must meet 40% (forty) of the requirement	Form FIN – 3.2
		5. For lot 5, km 2069-2105 Mynaral-Ulken: minimum US\$31 (thirty one) million equivalent	Must meet requirement	Must meet requirement	Must meet 25% (twenty five) of the requirement	Must meet 40% (forty) of the requirement	Form FIN – 3.2
		For lot 6, km 2105-2152 Ulken-Burylbaital: minimum US\$ 56 (fifty six) million equivalent	Must meet requirement	Must meet requirement	Must meet 25% (twenty five) of the requirement	Must meet 40% (forty) of the requirement	Form FIN – 3.2

Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
4. Experience							
4.1	General Construction Experience	Experience under construction contracts in the role of prime contractor, JV member, sub-contractor or management contractor for at least last 5 (five) years since January 1, 2012.	Must meet requirement	N/A	Must meet requirement	Must meet requirement	Form EXP – 4.1
4.2 (a)	Specific Construction & Contract Management Experience	A minimum number of similar <sup>8</sup> contracts specified below that have been satisfactorily and substantially <sup>9</sup> completed as a prime contractor, joint venture member <sup>10</sup> , management contractor or sub-contractor <sup>10</sup> between 1st January 2012 and application submission deadline:					

<sup>8</sup> The similarity shall be based on the **physical size, complexity, methods/technology and/or other characteristics** described in Section VI, Scope of Works. Summation of number of small value contracts (less than the value specified under requirement) to meet the overall requirement will not be accepted.

<sup>9</sup> Substantial completion shall be based on **80%** or more works completed under the contract.

<sup>10</sup> For contracts under which the Applicant participated as a joint venture member or sub-contractor, only the **Applicant's share**, by value, shall be considered to meet this requirement.

<sup>11</sup> In the case of JV, the value of contracts completed by its members shall not be aggregated to determine whether the requirement of the minimum value of a single contract has been met. Instead, each contract performed by each member shall satisfy the minimum value of a single contract as required for single entity. In determining whether the JV meets the requirement of total number of contracts, only the number of contracts completed by all members each of value equal or more than the minimum value required shall be aggregated.



Eligibility and Qualification Criteria		Compliance Requirements					Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		1. For lot 1, km 1855-1905 Balkhash-Gulshat: At least 1 (one) contract with a value of at least <b>US\$ 50 (fifty ) million.</b>	Must meet requirement	Must meet requirement <sup>11</sup>	N/A	Must meet requirement for one contract	Form EXP 4.2(a)
		2. For lot 2, km 1905-1955 Gulshat-Tasaral:  At least 1 (one) contract with a value of at least <b>US\$ 55 (fifty five) million.</b>	Must meet requirement	Must meet requirement <sup>11</sup>	N/A	Must meet requirement for one contract	Form EXP 4.2(a)
		3. For lot 3, km 1955-2005 Tasaral-Saryshagan: At least 1 (one) contract with a value of at least <b>US\$ 70 (seventy) million.</b>	Must meet requirement	Must meet requirement <sup>11</sup>	N/A	Must meet requirement for one contract	Form EXP 4.2(a)
		4. For lot 4, km 2005-2069 Saryshagan-Mynaral: At least 1 (one) contract with a value of at least <b>US\$ 60 (sixty ) million.</b>	Must meet requirement	Must meet requirement <sup>11</sup>	N/A	Must meet requirement for one contract	Form EXP 4.2(a)
		5. For lot 5, km 2069-2105 Mynaral-Ulken: At least 1 (one) contract with a value of at least <b>US\$ 30 (thirty )million.</b>	Must meet requirement	Must meet requirement <sup>11</sup>	N/A	Must meet requirement for one contract	Form EXP 4.2(a)
		6. For lot 6, km 2105-2152 Ulken-Burylbaital: At least 1 (one) contract with a value of at least <b>US\$ 50 (fifty)</b>	Must meet requirement	Must meet requirement <sup>11</sup>	N/A	Must meet requirement for one contract	Form EXP 4.2(a)

Eligibility and Qualification Criteria			Compliance Requirements			Documentation	
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		<b>million.</b>					
4.2 (b)		For the above and any other contracts completed and under implementation as prime contractor, joint venture member, management contractor or sub-contractor <sup>10</sup> , a minimum construction experience in the following key activities successfully completed <sup>12</sup> : <i>Activities indicating volume, number or rate of production as applicable is given below<sup>13</sup></i> <i>The rate of production given below should have been achieved for any one year during last 5 years (since 2012 -2016)</i>					
		1. <b>For lot 1, km 1855-1905 Balkhash – Burylbaital:</b> The following key activities: i) construction of highway pavement of Asphalt concrete of <b>94,000 m3/year</b>	Must meet requirements	Must meet requirement <sup>11</sup>	N/A	N/A	Form EXP – 4.2 (b)

<sup>12</sup> Volume, number or rate of production of any key activity can be demonstrated in one or more contracts combined if executed during same time period. The rate of production shall be the annual production rate for the key construction activity (or activities). For the rate of production, either the average during the entire period or in any one or more years during the period should be specified.

<sup>13</sup> The minimum experience requirement for multiple contracts will be the sum of the minimum requirements for respective individual contracts.

Eligibility and Qualification Criteria							
Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		(for any one year during last 5 years) (2012-2016)  ii) Earth Works of <b>1 400,000 m3/year</b> (for any one year during last 5 years) (2012-2016)					
		2. For lot 2, km 1905-1955 Balkhash – Burylbaital: The following key activities: i) construction of highway pavement of Asphalt concrete <b>123 000 m3/year</b> (for any one year during last 5 years) (2012-2016) ii) Earth Works of <b>1 300 000 m3/year</b> (for any one year during last 5 years) (2012-2016) iii) Bridge – length <b>12 m</b> , double lane (for any one year during last 5 years) (2012-2016)	Must meet requirements	Must meet requirements	N/A	N/A	Form EXP – 4.2 (b)

Eligibility and Qualification Criteria							
Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		<b>3. For lot 3, km 1955-2005</b> Balkhash – Burylbaital: The following key activities: i) construction of highway pavement of Asphalt concrete of <b>125 000 m3/year</b> (for any one year during last 5 years) (2012-2016) ii) Earth Works of <b>1 500 000 m3/year</b> (for any one year during last 5 years) (2012-2016). iii) Bridge – length <b>195 m</b> , double lane (for any one year during last 5 years) (2012-2016)	Must meet requirements	Must meet requirements	N/A	N/A	Form EXP – 4.2 (b)
		<b>4. For lot 4, km 2005-2069</b> Balkhash – Burylbaital: The following key activities: i) construction of highway pavement of Asphalt concrete of <b>65 000 m3/year</b> (for any one year during last 5 years) (2012-2016) ii) Earth Works of <b>1 300 000 m3/year</b> (for any one year during last 5 years) (2012-2016). iii) Bridge – length <b>54 m</b> , double lane (for any one year during last 5 years) (2012-2016)	Must meet requirements	Must meet requirements	N/A	N/A	Form EXP – 4.2 (b)


Eligibility and Qualification Criteria							
Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	
		5. For lot 5, <b>km 2069-2105</b> Balkhash – Burylbaital: The following key activities: i) construction of highway pavement of Asphalt concrete of <b>70 000 m3/year</b> (for any one year during last 5 years) (2012-2016) ii) Earth Works of <b>1 100 000 m3/year</b> (for any one year during last 5 years) (2012-2016). iii) Bridge – length <b>14 m</b> , double lane (for any one year during last 5 years) (2012-2016)	Must meet requirements	Must meet requirements	N/A	N/A	Form EXP – 4.2 (b)
		<b>6. For lot 6, km 2105 - 2152</b> Balkhash – Burylbaital: The following key activities: i) construction of highway pavement of Asphalt concrete of <b>101 000 m3/year</b> (for any one year during last 5 years) (2012-2016) ii) Earth Works of <b>1 900 000 m3/year</b> (for any one year during last 5 years) (2012-2016) iii) Bridge – length <b>130 m</b> , double lane (for any one year during last 5 years) (2012-2016)	Must meet requirements	Must meet requirements	N/A	N/A	Form EXP – 4.2 (b)

Eligibility and Qualification Criteria				Compliance Requirements			Documentation
No.	Subject	Requirement	Single Entity	Joint Venture (existing or intended)			Submission Requirements
				All Parties Combined	Each Member	One Member	

# Section IV. Application Forms

## Table of Forms

Application Submission Form .....	38
Applicant Information Form .....	40
Applicant's Party Information Form .....	41
Historical Contract Non-Performance, Pending Litigation and Litigation History .....	40
ESHS Performance Declaration.....	44
Historical Contract Non-Performance .....	42
Financial Situation & Performance.....	46
Average Annual Construction Turnover.....	48
General Construction Experience .....	49
Construction Experience in Key Activities.....	52



Application Submission Form

Date: [insert day, month, and year]  
ICB No. and title: [insert ICB number and title]

To: [insert full name of Employer]

We, the undersigned, apply to be prequalified for the referenced ICB and declare that:

- (a) We have examined and have no reservations to the Prequalification Document, including Addendum(s) No(s)., issued in accordance with Instructions to Applicants (ITA) 8: [insert the number and issuing date of each addendum].
- (b) We have no conflict of interest in accordance with ITA 4.6;
- (c) We meet the eligibility requirements as stated ITA 4.1, we have not been suspended by the Employer based on execution of a Bid Securing Declaration in accordance with ITA 4.10;
- (d) We, in accordance with ITA 24.2, plan to subcontract the following key activities and/or parts of the works:

[Insert any of the key activities identified in Section III- 4.2(a) or (b) which the Employer has permitted under the Prequalification document and which the Applicant intends to subcontract along with complete details of the sub-contractors, their qualification and experience]

- (e) We declare that the following commissions, gratuities, or fees have been paid or are to be paid with respect to the prequalification process, the corresponding bidding process or execution of the Contract:

<u>Name of Recipient</u>	<u>Address</u>	<u>Reason</u>	<u>Amount</u>
[insert full name for each occurrence]	[insert street/ number/city/country]	[indicate reason]	[specify amount currency, value, exchange rate and US\$ equivalent]

[If no payments are made or promised, add the following statement: “No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Application”]



- (f) We understand that you may cancel the prequalification process at any time and that you are neither bound to accept any Application that you may receive nor to invite the prequalified Applicants to bid for the contract subject of this prequalification process, without incurring any liability to the Applicants, in accordance with ITA 26.1.
- (g) All information, statements and description contained in the Application are in all respect true, correct and complete to the best of our knowledge and belief.

Signed *[insert signature(s) of an authorized representative(s) of the Applicant]*

Name *[insert full name of person signing the Application]*

In the capacity of *[insert capacity of person signing the Application]*

Duly authorized to sign the Application for and on behalf of:

Applicant's Name *[insert full name of Applicant or the name of the JV]*

Address *[insert street number/town or city/country address]*

Dated on *[insert day number]* day of *[insert month]*, *[insert year]*

[For an a joint venture, either all members shall sign or only the authorized representative, in which case the power of attorney to sign on behalf of all members shall be attached]

**Form ELI -1.1**  
**Applicant Information Form**

Date: *[insert day, month, year]*  
ICB No. and title: *[insert ICB number and title]*  
Page *[insert page number]* of *[insert total number]* pages

Applicant's name <i>[insert full name]</i>
In case of Joint Venture (JV), name of each member: <i>[insert full name of each member in JV]</i>
Applicant's actual or intended country of registration: <i>[indicate country of Constitution]</i>
Applicant's actual or intended year of incorporation: <i>[indicate year of Constitution]</i>
Applicant's legal address [in country of registration]: <i>[insert street/ number/ town or city/ country]</i>
Applicant's authorized representative information Name: <i>[insert full name]</i> Address: <i>[insert street/ number/ town or city/ country]</i> Telephone/Fax numbers: <i>[insert telephone/fax numbers, including country and city codes]</i> E-mail address: <i>[indicate e-mail address]</i>
1. Attached are copies of original documents of <input type="checkbox"/> Articles of Incorporation (or equivalent documents of constitution or association), and/or documents of registration of the legal entity named above, in accordance with ITA 4.5. <input type="checkbox"/> In case of JV, letter of intent to form JV or JV agreement, in accordance with ITA 4.2. <input type="checkbox"/> In case of Government-owned enterprise or institution, in accordance with ITA 4.9 documents establishing: <ul style="list-style-type: none"><li>• Legal and financial autonomy</li><li>• Operation under commercial law</li><li>• Establishing that the Applicant is not dependent agency of the Employer</li></ul>
2. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership.

**Form ELI -1.2**  
**Applicant's JV Information Form**

*[The following form is additional to Form ELI – 1.1., and shall be completed to provide information relating to each JV member (in case the Applicant is a JV) as well as any Specialized Sub-contractor proposed to be used by the Applicant for any part of the Contract resulting from this prequalification]*

Date: *[insert day, month, year]*  
ICB No. and title: *[insert ICB number and title]*  
Page *[insert page number]* of *[insert total number]* pages

Applicant name: <i>[insert full name]</i>
Applicant's JV Member's name: <i>[insert full name of Applicant's Party]</i>
Applicant's JV Member's country of registration: <i>[indicate country of registration]</i>
Applicant JV Member's year of constitution: <i>[indicate year of constitution]</i>
Applicant JV Member's legal address in country of constitution: <i>[insert street/ number/ town or city/ country]</i>
Applicant JV Member's authorized representative information Name: <i>[insert full name]</i> Address: <i>[insert street/ number/ town or city/ country]</i> Telephone/Fax numbers: <i>[insert telephone/fax numbers, including country and city codes]</i> E-mail address: <i>[indicate e-mail address]</i>
1. Attached are copies of original documents of <input type="checkbox"/> Articles of Incorporation (or equivalent documents of constitution or association), and/or registration documents of the legal entity named above, in accordance with ITA 4.5. <input type="checkbox"/> In case of a Government-owned enterprise or institution, documents establishing legal and financial autonomy, operation in accordance with commercial law, and absence of dependent status, in accordance with ITA 4.9. 2. Included are the organizational chart, a list of Board of Directors, and the beneficial ownership.

Form CON – 2

Historical Contract Non-Performance, Pending Litigation  
and Litigation History

[The following table shall be filled in for the Applicant and for each member of a Joint Venture]

Applicant’s Name: [insert full name]  
Date: [insert day, month, year]  
Joint Venture Member’s Name:[insert full name]  
ICB No. and title: [insert ICB number and title]  
Page [insert page number] of [insert total number] pages

Non-Performed Contracts in accordance with Section III, Qualification Criteria and Requirements			
<div><input type="checkbox"/> Contract non-performance did not occur since 1<sup>st</sup> January [insert year] specified in Section III, Qualification Criteria and Requirements, Sub-Factor 2.1.</div> <div><input type="checkbox"/> Contract(s) not performed since 1<sup>st</sup> January [insert year] specified in Section III, Qualification Criteria and Requirements, requirement 2.1</div>			
Year	Non-performed portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
[insert year]	[insert amount and percentage]	<div>Contract Identification: [indicate complete contract name/ number, and any other identification]</div> <div>Name of Employer: [insert full name]</div> <div>Address of Employer: [insert street/city/country]</div> <div>Reason(s) for non performance: [indicate main reason(s)]</div>	[insert amount]
Pending Litigation, in accordance with Section III, Qualification Criteria and Requirements			
<div><input type="checkbox"/> No pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.2.</div> <div><input type="checkbox"/> Pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.2 as indicated below.</div>			

Year of dispute	Amount in dispute (currency)	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)
<i>[insert year]</i>	<i>[insert amount]</i>	Contract Identification: [indicate complete contract name, number, and any other identification] Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Party who initiated the dispute: <i>[indicate “Employer” or “Contractor”]</i>  Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount]</i>
<div><input type="checkbox"/> No pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.2.</div> <div><input type="checkbox"/> Pending litigation in accordance with Section III, Qualification Criteria and Requirements, Sub-Factor 2.2 as indicated below.</div>			
Year of award	Outcome as percentage of Net Worth	Contract Identification	Total Contract Amount (currency), USD Equivalent (exchange rate)
<i>[insert year]</i>	<i>[insert percentage]</i>	Contract Identification: [indicate complete contract name, number, and any other identification] Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Matter in dispute: <i>[indicate main issues in dispute]</i> Party who initiated the dispute: <i>[indicate “Employer” or “Contractor”]</i> Status of dispute: <i>[Indicate if it is being treated by the Adjudicator, under Arbitration or being dealt with by the Judiciary]</i>	<i>[insert amount]</i>

Form CON – 3

ESHS Performance Declaration

[The following table shall be filled in for the Applicant, each member of a Joint Venture and each Specialized Subcontractor]

Applicant’s Name: [insert full name]  
Date: [insert day, month, year]  
Joint Venture Member’s or Specialized Subcontractor’s Name: [insert full name]  
ICB No. and title: [insert ICB number and title]  
Page [insert page number] of [insert total number] pages

Environmental, Social, Health, and Safety Performance Declaration			
in accordance with Section III, Qualification Criteria, and Requirements			
<div><input type="checkbox"/> <b>No suspension or termination of contract:</b> An employer has not suspended or terminated a contract and/or called the performance security for a contract for reasons related to Environmental, Social, Health, or Safety (ESHS) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5.</div> <div><input type="checkbox"/> <b>Declaration of suspension or termination of contract:</b> The following contract(s) has/have been suspended or terminated and/or Performance Security called by an employer(s) for reasons related to Environmental, Social, Health, or Safety (ESHS) performance since the date specified in Section III, Qualification Criteria, and Requirements, Sub-Factor 2.5. Details are described below:</div>			
Year	Suspended or terminated portion of contract	Contract Identification	Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
[insert year]	[insert amount and percentage]	Contract Identification: [indicate complete contract name/ number, and any other identification]  Name of Employer: [insert full name]  Address of Employer: [insert street/city/country]  Reason(s) for suspension or termination: [indicate main reason(s)]	[insert amount]
[insert year]	[insert amount and percentage]	Contract Identification: [indicate complete contract name/ number, and any other identification]  Name of Employer: [insert full name]	[insert amount]

		Address of Employer: <i>[insert street/city/country]</i> Reason(s) for suspension or termination: <i>[indicate main reason(s)]</i>	
...	...	<i>[list all applicable contracts]</i>	...
Performance Security called by an employer(s) for reasons related to ESHS performance			
Year	Contract Identification		Total Contract Amount (current value, currency, exchange rate and US\$ equivalent)
<i>[insert year]</i>	Contract Identification: <i>[indicate complete contract name/ number, and any other identification]</i> Name of Employer: <i>[insert full name]</i> Address of Employer: <i>[insert street/city/country]</i> Reason(s) for calling of performance security: <i>[indicate main reason(s)]</i>		<i>[insert amount]</i>

**Form FIN – 3.1**  
**Financial Situation and Performance**

*[The following table shall be filled in for the Applicant and for each member of a Joint Venture]*

Applicant’s Name: *[insert full name]*  
ICB No. and title: *[insert ICB number and title]*  
Page *[insert page number]* of *[insert total number]* pages

**1. Financial data**

Type of Financial information in (currency)	Historic information for previous <i>[insert number]</i> years, <i>[insert in words]</i> (amount in currency, currency, exchange rate*, USD equivalent)				
	2012	2013	2014	2015	2016
Statement of Financial Position (Information from Balance Sheet)					
Total Assets (TA)					
Total Liabilities (TL)					
Total Equity/Net Worth (NW)					
Current Assets (CA)					
Current Liabilities (CL)					
Working Capital (WC)					
Information from Income Statement					
Total Revenue (TR)					
Profits Before Taxes (PBT)					
Cash Flow Information					
Cash Flow from Operating Activities					

\* Refer ITA 14 for the exchange rate

**2. Sources of Finance**



*[The following table shall be filled in for the Applicant and all parties combined in case of a Joint Venture]*

Specify sources of finance to meet the cash flow requirements on works currently in progress and for future contract commitments.

No.	Source of finance	Amount (US\$ equivalent)
1		
2		
3		

3. Financial documents

The Applicant and its parties shall provide copies of financial statements for *[number]* years pursuant Section III, Qualifications Criteria and Requirements, Sub-factor 3.1. The financial statements shall:

- (a) reflect the financial situation of the Applicant or in case of JV member , and not an affiliated entity (such as parent company or group member).

(b) be independently audited or certified in accordance with local legislation.

(c) be complete, including all notes to the financial statements.

(d) correspond to accounting periods already completed and audited.
- ☐ Attached are copies of financial statements<sup>14</sup> for the *[number]* years required above; and complying with the requirements

<sup>14</sup> If the most recent set of financial statements is for a period earlier than 12 months from the date of application, the reason for this should be justified.

**Form FIN - 3.2**  
**Average Annual Construction Turnover**

*[The following table shall be filled in for the Applicant and for each member of a Joint Venture]*

Applicant's Name: *[insert full name]*  
Date: *[insert day, month, year]*  
Joint Venture Member's Name: *[insert full name]*  
ICB No. and title: *[insert ICB number and title]*  
Page *[insert page number]* of *[insert total number]* pages

Annual turnover data (construction only)			
Year	Amount Currency	Exchange rate*	USD equivalent
<i>[indicate calendar year]</i>	<i>[insert amount and indicate currency]</i>		
		Average Annual Construction Turnover **	

\* Refer ITA 14 for date and source of exchange rate.

\*\* Total USD equivalent for all years divided by the total number of years. See Section III, Qualification Criteria and Requirements, Clause 3.2.

**Form EXP - 4.1**  
**General Construction Experience**

*[The following table shall be filled in for the Applicant and in the case of a JV Applicant, each Member]*

Applicant's Name: *[insert full name]*  
Date: *[insert day, month, year]*  
Joint Venture Member's Name: *[insert full name]*  
ICB No. and title: *[insert ICB number and title]*  
Page *[insert page number]* of *[insert total number]* pages

*[Identify contracts that demonstrate continuous construction work over the past [number] years pursuant to Section III, Qualification Criteria and Requirements, Sub-Factor 4.1. List contracts chronologically, according to their commencement (starting) dates.]*

Starting Year	Ending Year	Contract Identification	Role of Applicant
<i>[indicate year]</i>	<i>[indicate year]</i>	Contract name: <i>[insert full name]</i> Brief Description of the Works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i>
		Contract name: <i>[insert full name]</i> Brief Description of the Works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i>
		Contract name: <i>[insert full name]</i> Brief Description of the Works performed by the Applicant: <i>[describe works performed briefly]</i> Amount of contract: <i>[insert amount in currency, mention currency used, exchange rate and US\$ equivalent*]</i> Name of Employer: <i>[indicate full name]</i> Address: <i>[indicate street/number/town or city/country]</i>	<i>[insert "Prime Contractor" or "JV Member" or "Sub-contractor" or "Management Contractor"]</i>

\* Refer ITA 14 for date and source of exchange rate.

## Form EXP - 4.2(a)

### Specific Construction and Contract Management Experience

*[The following table shall be filled in for contracts performed by the Applicant, each member of a Joint Venture, and Specialized Sub-contractors]*

Applicant's Name: *[insert full name]*

Date: *[insert day, month, year]*

Joint Venture Member's Name: *[insert full name]*

ICB No. and title: *[insert ICB number and title]*

Page *[insert page number]* of *[insert total number]* pages

<b>Similar Contract No.</b> <i>[insert number] of [insert number of similar contracts required]</i>	<b>Information</b>			
Contract Identification	<i>[insert contract name and number, if applicable]</i>			
Award date	<i>[insert day, month, year, i.e., 15 June, 2015]</i>			
Completion date	<i>[insert day, month, year, i.e., 03 October, 2017]</i>			
Role in Contract <i>[check the appropriate box]</i>	Prime Contractor <input type="checkbox"/>	Member in JV <input type="checkbox"/>	Management Contractor <input type="checkbox"/>	Sub-contractor <input type="checkbox"/>
Total Contract Amount	<i>[insert total contract amount in local currency]</i>		US\$ <i>[insert Exchange rate and total contract amount in US\$ equivalent]*</i>	
If member in a JV or sub-contractor, specify participation in total Contract amount	<i>[insert a percentage amount]</i>	<i>[insert total contract amount in local currency]</i>	<i>[insert exchange rate and total contract amount in US\$ equivalent]*</i>	
Employer's Name:	<i>[insert full name]</i>			
Address:	<i>[indicate street / number / town or city / country]</i>			
Telephone/fax number	<i>[insert telephone/fax numbers, including country and city area codes]</i>			
E-mail:	<i>[insert e-mail address, if available]</i>			

\* Refer ITA 14 for date and source of exchange rate.

**Form EXP - 4.2(a) (cont.)**  
**Specific Construction and Contract Management**  
**Experience (cont.)**

<b>Similar Contract No.</b> <i>[insert number] of [insert number of similar contracts required]</i>	<b>Information</b>
Description of the similarity in accordance with Sub-Factor 4.2(a) of Section III:	
1. Amount	<i>[insert amount in local currency, exchange rate, US\$ in words and in Figures]</i>
2. Physical size of required works items	<i>[insert physical size of items]</i>
3. Complexity	<i>[insert description of complexity]</i>
4. Methods/Technology	<i>[insert specific aspects of the methods/technology involved in the contract]</i>
5. Construction rate for key activities	<i>[insert rates and items]</i>
6. Other Characteristics	<i>[insert other characteristics as described in Section VII, Scope of Works]</i>

**Form EXP - 4.2(b)**  
**Construction Experience in Key Activities**

Applicant's Name: *[insert full name]*  
Date: *[insert day, month, year]*  
Applicant's JV Member's Name: *[insert full name]*  
Sub-contractor's Name<sup>15</sup> (as per ITA 24.2 and 24.3): *[insert full name]*  
ICB No. and title: *[insert ICB number and title]*

Page *[insert page number]* of *[insert total number]* pages

All Sub-contractors for key activities must complete the information in this form as per ITA 24.2 and 24.3 and Section III, Qualification Criteria and Requirements, Clause 4.2.

1. Key Activity No. One: *[insert brief description of the Activity, emphasizing its specificity]*

Total Quantity of Activity under the contract: \_\_\_\_\_

	<b>Information</b>			
Contract Identification	<i>[insert contract name and number, if applicable]</i>			
Award date	<i>[insert day, month, year, i.e., 15 June, 2015]</i>			
Completion date	<i>[insert day, month, year, i.e., 03 October, 2017]</i>			
Role in Contract <i>[check the appropriate box]</i>	Prime Contractor <input type="checkbox"/>	Member in JV <input type="checkbox"/>	Management Contractor <input type="checkbox"/>	Sub-contractor <input type="checkbox"/>
Total Contract Amount	<i>[insert total contract amount in contract currency(ies)]</i>		US\$ <i>[insert exchange rate and total contract amount in US\$ equivalent]</i>	
Quantity (Volume, number or rate of production, as applicable) performed under the contract per year or part of the year <i>[Insert extent of participation indicating actual quantity of key activity successfully completed in the role performed]</i>	Total quantity in the contract (i)	Percentage participation (ii)		Actual Quantity Performed (i) x (ii)
Year 1				
Year 2				
Year 3				
Year 4				

<sup>15</sup> If applicable

Employer's Name:	<i>[insert full name]</i>
Address:	<i>[indicate street / number / town or city / country]</i>
Telephone/fax number	<i>[insert telephone/fax numbers, including country and city area codes]</i>
E-mail:	<i>[insert e-mail address, if available]</i>

2. Activity No. Two
3. ....

	<b>Information</b>
Description of the key activities in accordance with Sub-Factor 4.2(b) of Section III:	
	<i>[insert response to inquiry indicated in left column]</i>





## Section V. Eligible Countries

### **Eligibility for the Provision of Goods, Works and Services in Bank-Financed Procurement**

In reference to ITA 5.1, for the information of the Applicants, at the present time firms and individuals, supply of goods, or contracting of works or services, from the following countries are excluded from this prequalification process:

Under ITA 5.1 (a)      None

Under ITA 5.1 (b)      None\*

\*For updated list verify [http://www.un.org/Docs/sc/unsc\\_news.shtml](http://www.un.org/Docs/sc/unsc_news.shtml) and <http://www.un.org/Docs/sc/index.html> and click on Resolutions tab.



## Section VI. Bank Policy - Corrupt and Fraudulent Practices

Guidelines for Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011

### “Fraud and Corruption

1.16 It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), bidders, suppliers, contractors and their agents (whether declared or not), sub-contractors, sub-consultants, service providers or suppliers, and any personnel thereof, observe the highest standard of ethics during the procurement and execution of Bank-financed contracts.<sup>16</sup> In pursuance of this policy, the Bank:

- (a) defines, for the purposes of this provision, the terms set forth below as follows:
  - (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;<sup>17</sup>
  - (ii) “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation;<sup>18</sup>
  - (iii) “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;<sup>19</sup>
  - (iv) “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;<sup>20</sup>
  - (v) “obstructive practice” is
    - (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in

<sup>16</sup> In this context, any action to influence the procurement process or contract execution for undue advantage is improper.

<sup>17</sup> For the purpose of this sub-paragraph, “*another party*” refers to a public official acting in relation to the procurement process or contract execution. In this context, “*public official*” includes World Bank staff and employees of other organizations taking or reviewing procurement decisions.

<sup>18</sup> For the purpose of this sub-paragraph, “*party*” refers to a public official; the terms “benefit” and “obligation” relate to the procurement process or contract execution; and the “act or omission” is intended to influence the procurement process or contract execution.

<sup>19</sup> For the purpose of this sub-paragraph, “*parties*” refers to participants in the procurement process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish bid prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

<sup>20</sup> For the purpose of this sub-paragraph, “*party*” refers to a participant in the procurement process or contract execution.

order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or

- (bb) acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under paragraph 1.16(e) below.
- (b) will reject a proposal for award if it determines that the bidder recommended for award, or any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
- (d) will sanction a firm or individual, at any time, in accordance with the prevailing Bank's sanctions procedures,<sup>21</sup> including by publicly declaring such firm or individual ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract; and (ii) to be a nominated<sup>22</sup>
- (e) will require that a clause be included in bidding documents and in contracts financed by a Bank loan, requiring bidders, suppliers and contractors, and their sub-contractors, agents, personnel, consultants, service providers, or suppliers, to permit the Bank to inspect all accounts, records, and other documents relating to the submission of bids and contract performance, and to have them audited by auditors appointed by the Bank;"

<sup>21</sup> A firm or individual may be declared ineligible to be awarded a Bank financed contract upon: (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including, inter alia, cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceeding. See footnote 14 and paragraph 8 of Appendix 1 of these Guidelines.

<sup>22</sup> A nominated sub-contractor, consultant, manufacturer or supplier, or service provider (different names are used depending on the particular bidding document) is one which has either been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

## **PART 2 – Works Requirements**



## **Section VII. Scope of Works**

### **Contents**

1. Description of the Works .....	62
2. Construction Period .....	73
3. Site and Other Data .....	75
4. Environmental, Social, Health and Safety (ESHS) Requirements .....	71

## 1. Description of the Works

Construction of highways connecting the center and the south is the one of the priorities mentioned in President's Address to Kazakhstan nation - "Nurly Zhol (Bright Road) is a way to the future".

The Government of the Republic of Kazakhstan decided to implement the "Center-South" Project jointly with the World Bank. "Balkhash-Burylbaital" Road Section is the part of the corridor "Center-South". This project will be implemented at the expense of saved funds within the "Almaty-Khorgos" Project.

The Center-South Corridor is the part of existing road "Astana-Karaganda-Balkhash-Almaty", "the Border of Russian Federation (to Yekaterinburg) – Almaty" Roads and it is the international transport corridor of Kazakhstan. The highway allows transit transportations between the Central Asian Republics and Russia, and also connection of Kazakhstan's capital – Astana city with South of the country.

The objective of the Center-South Corridor Reconstruction is cooperation in goods and passengers transit between Kazakhstan and Russia, development of regional trade, improvement of traffic conditions for the local people and enterprise/business, and increase of transport exploitation rates of the roads of republican importance, included in the Corridor.

Balkhash – Burylbaital Sections are the part of corridor "Center - South" with the length of 304.33 km. It is planned to start construction works for the section "Balkhash-Burylbaital" in 2018. Description of works for 6 Contractors of this road section is given below.



# 1. Contract: EWRP-1855-1905-ICB (W/1)-001/2017

## Lot 1: Km 1855-1905 Balkhash – Gulshat

### Reconstruction (construction) of «Highway Balkhash - Burylbaital, km 1855-1905»

This highway relates to the Corridor “Center - South” I b category. In administrative plan the highway is located on the lands of Karagandy Oblast.

### Geometrical parameters for the highway of I “b” category – 50.0 km

- Calculated speed – 120 km/h
- Number of lanes – 4
- Width of lane – 3.75 m;
- Width of shoulders – 3.75 m;
- Width of reinforced shoulder – 0.75 m;
- Width of traffic line – 3.0 m;
- Width of safe margin near traffic line – 1.0 m;
- Width of pavement – 18.0 m;
- Width of subgrade – 25.5 m.

#### Pavement

1. Asphalt concrete pavement, SMA, bitumen BND 70/100 H-5
2. Coarse grained asphalt concrete, bitumen BND 70/100, H-10
3. Coarse grained asphalt concrete, bitumen BND 70/100 H-12 cm
4. Gravel sand mix black macadam H-12 cm,
5. Geotextile
6. Additional base of mixture with soil and mineral, H=20 cm
7. Soil for subgrade

#### Cattle underpass

No.	Location, km+	Length, m	Dimension	Type of structure	Supposed type of works
1	317+74.6	9.7	(Г-11.5)+ (Г-15.25)+ 2x0.75	Cattle underpass	New construction
<b>TOTAL FOR LOT 1</b>		<b>1</b>			

### Supposed quantities for main components of road section:

#### a) Pavement and earthworks:

1. Asphalt concrete pavement **332 870 m<sup>3</sup>**
2. Earthworks **5 026 897 m<sup>3</sup>**

## b) Artificial structures:

- Culverts – 14 units
- Overpass – 1 unit

**Anticipated construction period – 34 months****2. Contract: EWRP-1905-1955-ICB (W/2)-001/2017****Lot 2 : Km 1905-1955 Gulshat-Tasaral****Reconstruction (construction) of «Highway Balkhash - Burylbaital, km 1905-1955»**

This highway relates to the Corridor “Center - South” I b category. In administrative plan the highway is located on the lands of Karagandy Oblast and Aktogaiskiy rayon.

**Geometric parameters of highway for category I «b» – 50 km**

- Calculated speed –120 km/h
- Number of lanes – 4
- Width of lane – 3.75 m;
- Width of shoulders – 3.75 m;
- Width of reinforced shoulder – 0.75 m;
- Width of traffic line – 3.0 m;
- Width of safe margin near traffic line – 1.0 m;
- Width of pavement – 18.5 m;
- Width of subgrade– 25.5 m.

**Pavement**

1. Asphalt concrete pavement SMA-20, H-5cm
2. Coarse grained asphalt concrete mixture, bitumen BND 70/100, H-10 cm
3. Coarse grained asphalt concrete mixture, BND 100/130, H-12 cm
4. Macadam H-8 cm,
5. Subgrade reinforced with cement and Roadzyme H-20 cm
6. Subgrade

**Bridges, overpasses**

No.	Location, km+	Length, m	Dimension	Type of structure	Supposed type of works
1	PK 41+50	9.0	2(Г-12.7)+ 2x0.75	Overpass for cattle and machinery	New construction
2	PK 285+20	9.0	2(Г-11.5)+ 2x0,75	Overpass for cattle and machinery	New construction
<b>TOTAL FOR LOT 2</b>		<b>18</b>		<b>2</b>	

**Supposed quantities for main components of road section:**

## a) Pavement and earthworks:

1. Asphalt concrete pavement, **371 000 m<sup>3</sup>**
2. Earthworks **3 951 000m<sup>3</sup>**

## b) Artificial structures:

1. Culverts – 25 units
2. Overpasses – 2 units

**Anticipated construction period – 29 months****3. Contract: EWRP-1955-2005-ICB (W/3)-001/2017****Lot 3: km 1955-2005 Tasaral-Saryshagan****Reconstruction (construction) of «Highway Balkhash - Burylbaital, km 1955-2005»**

This highway relates to the Corridor “Center - South” I b category. In administrative plan the highway is located on the lands of Karagandy Oblast and Aktogaiskiy and Shetskiy rayons.

**Geometrical parameters of highway I «b» category – 55.0 km**

- Calculated speed – 120 km/h
- Number of lanes – 4
- Width of lane – 3.75 m;
- Width of shoulders – 3.75 m;
- Width of reinforced shoulder – 0.75 m;
- Width of traffic line – 3.0 m;
- Width of safe margin near traffic line – 1.0 m;
- Width of pavement – 18.5 m;
- Width of subgrade – 25.5 m.

**Pavement**

1. Asphalt concrete pavement SMA-20, H-5cm
2. Coarse grained asphalt concrete mixture, bitumen BND 70/100, H-10 cm
3. Coarse grained asphalt concrete mixture, BND 100/130, H-12 cm
4. Macadam H-8 cm,
5. Subgrade reinforced with cement and Roadzyme H-20 cm
6. Subgrade

**Bridges, overpasses**

No.	Location, km+	Length, m	Dimension	Type of structure	Supposed type of works
1	PK 365+80	15.81	2x(Г-11.5)+2x0.75	Overpass for cattle and machinery	New construction
2	PK 404+20	15.81	2x(Г-11.5)+2x0.75	Overpass for cattle and machinery	New construction
3	PK 359+34	44.76	2x(Г-11.5)+2x0.75	Overpass over the railway	New construction
4	PK 409+84.86	34.23	2x(Г-11.5)+2x0.75	Overpass over the railway	New construction
5	PK 474+82	55.7	Г-16.75+1x1.5	Overpass over the road	Reconstruction of existing. Dimension change
6	PK 474+82	55.0	Г-15.25+1	Overpass over the road	New construction
7	PK 477+37.34	36.1	Г-11.5+1x0.75	Overpass across railway	Reconstruction of existing. Dimension change
8	PK 477+37.34	37.0	Г-11.5+1x0.75	Overpass across railway	New construction
<b>Interchange</b>					
1	PK 474+83.6	-	-	Interchange of incomplete "Clever Leaf"	Reconstruction of existing interchange
<b>TOTAL FOR LOT 3</b>		<b>294.41</b>			

**Supposed quantities for main components of road section:****a) Pavement and earthworks:**

1. Asphalt concrete pavement **379 000 m<sup>3</sup>**
2. Earthworks **4 580 000 m<sup>3</sup>**

**b) Artificial structures:**

1. Interchanges – 1 unit
2. Culverts – 29 units
3. Underpasses – 4 units
4. Overpasses -

**The construction of RMD is considered under this lot.**

### **Road Maintenance Depot in the village Saryshagan**

On the section there are the main following structures:

- |  |   |
|--|---|
| - Machinery Repair Shop with administrative building | - External Package Transformer Substation |
| - Heating point (reconstruction)                     | - Dead-end Inspection Ramp                |
| - Workshop for repairing road furniture elements     | - Fuel Station                            |
| - Warm Parking                                       | - 16a. Operator room                      |
| - Material and Technical Storage                     | - 16b. Pump Island on Fuel Dispenser 1    |
| - Sand Storage                                       | - 16c. Reservoir for storing oil products |
| - Boiler room (reconstruction)                       | - Rain water inlet                        |
| - Coal Storage                                       | - Manhole for controlling valves          |
| - Ash Storage  | - Fuel-oil catcher V=5,0m <sup>3</sup>    |
| - Loading and Unloading Rack                         | - Mud box                                 |
| - Smoke stack  | - Accumulator V=2,0m <sup>3</sup>         |
| - Sanitary unit, two-place                           | - Device for mixing salty water mud       |
| - Arbor  |   |

#### Main features

Square of area - 2.3477 ha

Area of building - 3536.98 m<sup>2</sup>

Area of perimeter works – 12 007.00 m<sup>2</sup>

Planting area - 6 610.00 m<sup>2</sup>

Pavement area - 1 323.02 m<sup>2</sup>

**Anticipated construction period – 36 months**

## **4. Contract: EWRP-2005-2069-ICB (W/4)-001/2017**

### **Lot 4 : km 2005-2069 Saryshagan-Mynaral**

#### **Reconstruction (construction) of «Highway Balkhash - Burylbaital, km 2005-2069»**

This highway relates to the Corridor “Center - South” I b category. In administrative plan the highway is located on the lands of Moynkumskiy rayon of Zhambyl oblast.

#### **Geometrical parameters for the highway of I “b” category – 64 km**

- Calculated speed –120 km/h
- Number of lanes – 4
- Width of lane – 3.75 m;
- Width of shoulders – 3.75 m;
- Width of reinforced shoulder – 0.75

- Width of traffic line – 3.0 m;
- Width of safe margin near traffic line – 1.0 m;
- Width of pavement – 18.5 m;
- Width of subgrade – 25.5 m.

### **Pavement**

1. Stone Mastic asphalt- SMA –20, H-5cm,
2. Coarse grained asphalt concrete mix, bitumen BND70/100, H-10
3. High porous asphalt concrete mix, bitumen BND 100/130, H- 12 cm,
4. Crushed stone sand mix, C4, H-18 cm,
5. Gravel sand mix GSM H-25 cm,
5. Subgrade

### **Bridges, overpasses**

No.	Location, km+	Length, m	Dimension	Type of structure	Supposed type of works
1	2030+165	69.04	2(Γ-11.5)+2x0.75	Overpass across railway	New construction
2	2065+165	33.91	2(Γ-11.5)+2x0.75	Bridge across dry land	New construction
<b>TOTAL FOR LOT 4</b>		<b>102.95</b>			

### **Supposed quantities for main components of road section:**

#### **a) Pavement and earthworks:**

1. Asphalt concrete pavement, **349 000 m<sup>3</sup>**
2. Earthworks **5 032 000 m<sup>3</sup>**

#### **b) Artificial structures:**

1. Bridges and overpasses - 2 units
2. Culverts – 47 units

### **Road Maintenance Depot on the lands of “Betpakdala” in Moynkum rayon in Zhambyl oblast**

On the section there are the main following structures:

- One-floor 3-room accommodation with the build-in office premise
- Garage for 4 nos. of road machinery
- Salt Storage, capacity 500m<sup>3</sup>
- Sand Storage, capacity 1000m<sup>3</sup>

- Block-modular boiler room based on solid fuel, 50 kVt.
- Coal Storage
- Canopy/shed for welding works
- Storage for goods and material valuables
- Area for temporary storing of slag
- Manhole with filtrating cartridge
- Reservoir for storm water collector
- Compact Station for sewage cleaning 2m3/day
- Filtrating trench
- Fire reservoirs
- Package Transformer Substation 10/0,4 100 kWa
- Area for solid domestic wastes

#### Main features

Square of area - 0.5290 ha  
Area of building - 1 933.55 m<sup>2</sup>  
Area of perimeter works – 2 550.40 m<sup>2</sup>  
Planting area - 436.45 m<sup>2</sup>  
Pavement area - 369.60 m<sup>2</sup>

**Anticipated construction period – 37 months**

### **5. Contract: EWRP-2069-2105-ICB (W/5)-001/2017**

#### **Lot 5: km 2069-2105 Mynaral-Ulken**

##### **Reconstruction (construction) of «Highway Balkhash - Burylbaital, km 2069-2105»**

This highway relates to the Corridor “Center - South” I b category. In administrative plan the highway is located on the lands of Moynkumskiy rayon of Zhambyl oblast.

#### **Geometrical parameters for the highway of I “b” category – 36.0 км**

- Calculated speed –120 km/h
- Number of lanes – 4;
- Width of lane – 3.75 m;
- Width of shoulders – 3.75 m;
- Width of reinforced shoulder – 0.75 m;
- Width of traffic line – 3.0 m;
- Width of safe margin near traffic line – 1.0 m;
- Width of pavement – 18.5 m;
- Width of subgrade – 25.5 m.

#### **Pavement**

1. Stone Mastic asphalt- SMA – H-5cm,
2. Coarse grained asphalt concrete mix, bitumen BND70/100, H-10
3. High porous asphalt concrete mix, bitumen BND 100/130, H- 12 cm,
4. Crushed stone sand mix, C4, H-18 cm,
5. Gravel sand mix GSM H-25 cm,
6. Subgrade

### **Bridges, overpasses**

No.	Location, km+	Length, m	Dimension	Type of structure	Supposed type of works
1	2090+650	36.81	2(Γ-11.5)+2x0.75	Overpass across railway	New construction
<b>TOTAL FOR LOT 5</b>		36.81			

### **Supposed quantities for main components of road section:**

#### a) Pavement and earthworks:

1. Asphalt concrete pavement, **197 000m<sup>3</sup>**
2. Earthworks **3 225 000 m<sup>3</sup>**

#### b) Artificial structures:

1. Culverts – 21 units
2. Bridges and overpasses – 2 units

### **Anticipated construction period – 27 months**

## **6. Contract: EWRP-2015-2152-ICB (W/6)-001/2017**

### **Lot 6: km 2105-2152 Ulken-Burylbaital**

#### **Reconstruction (construction) of «Highway Balkhash - Burylbaital, km 2105-2152»**

This highway relates to the Corridor “Center - South” I b category. In administrative plan the highway is located on the lands of Zhambyl rayon of Almaty region and Moynkumskiy rayon of Zhambyl oblast.

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### **Geometrical parameters for the highway of I “b” category – 47.0 км**

- Calculated speed –120 km/h
- Number of lanes – 4
- Width of lane – 3.75 m;



- Width of shoulders – 3.75 m;
- Width of reinforced shoulder – 0.75 m;
- Width of traffic line – 3.0 m;
- Width of safe margin near traffic line – 1.0 m;
- Width of pavement – 18.5 m;
- Width of subgrade – 25.5 m.

### Pavement

1. Fine grained asphalt concrete mix, bitumen BND 70/100 – H-5cm,
2. Coarse grained asphalt concrete mix, bitumen BND70/100, H-8 cm
3. Crushed stone sand mix, C4, H-15 cm,
4. Gravel sand mix GSM H-15 cm and H-25 cm,
5. Subgrade

### Bridges, overpasses

No.	Location, km+	Length, m	Dimension	Type of structure	Supposed type of works
1	2110+475	36.81	2(Γ-11.5)+2x0.75	Bridge over the river Ushbalyk	New construction
2	2116+700	6.66	2(Γ-11.5)+2x0.75	Bridge over the watercourse Kairakty	New construction
3	2131+345	18.76	2(Γ-11.5)+2x0.75	Bridge over river Shyganak	New construction
4	21134/361+160	54.15	2(Γ-11.5)+2x0.75	Overpass across the railway	New construction
5	2124+535	21.66	2x(Γ-15,25)+2x0,75	Overpass on the interchange in Ulken town	
5	2128+715	21.66	((Γ-11,5)+(Γ-15,25))+2x0,7	Overpass on the interchange in Shyganak station	
7	2137+540	21.66	2x(Γ-11,5)+2x0,75	Overpass on the interchange in Baital	
<b>TOTAL FOR LOT 6</b>		<b>181.36</b>			

### Supposed quantities for main components of road section:

#### a) Pavement and earthworks:

1. Asphalt concrete pavement, **285 000 m<sup>3</sup>**
2. Earthworks **5 239 000 m<sup>3</sup>**

b) Artificial structures:

1. Culverts – 34 units
2. Bridges – 3 units,
3. Overpasses – 4 units

The construction of RMF (road maintenance facility) is considered under this section. The RMF is located on km 2130 of the road; from the east side the RMF is adjacent to the road.

**Anticipated construction period – 27 months**

## **2. Construction Period**

- 1. Contract: EWRP-1855-1905-ICB (W/1)-001/2017, km 1855-1905 Balkhash-Burylbaital -  
Supposed construction period is 34 months.**
- 2. Contract: EWRP-1905-1955-ICB (W/2)-001/2017, km 1905-1955 ,Balkhash-Burylbaital -  
Supposed construction period is 29 months.**
- 3. Contract: EWRP-1955- 2005-ICB (W/3)-001/2017, km 1955-2005, Balkhash-Burylbaital -  
Supposed construction period is 29 months.**
- 4. Contract:EWRP-2005-2069-ICB (W/4)-001/2017, km 2005-2069 Balkhash-Burylbaital -  
Supposed construction period is 37 months.**
- 5. Contract: EWRP-2069-2105-ICB (W/5)-001/2017, km 2069-2105 ,Balkhash-Burylbaital -  
Supposed construction period is 27 months.**
- 6. Contract: EWRP-ICB-2105-2152- (W/6)-001/2017, km 2105-2152, Balkhash-Burylbaital -  
Supposed construction period is 27 months.**

## **Environmental, Social, Health and Safety (ESHS) Requirements**

### **CONTENT FOR AN ENVIRONMENTAL AND SOCIAL POLICY**

The Works' policy goal, as a minimum, should be stated to integrate environmental protection, occupational and community health and safety, gender, equality, child protection, vulnerable people (including those with disabilities), gender-based violence (GBV), HIV/AIDS awareness and prevention and wide stakeholder engagement in the planning processes, programs, and activities of the parties involved in the execution of the Works. The policy should set the frame for monitoring, continuously improving processes and activities and for reporting on the compliance with the policy.

As a minimum, the policy is set out to the commitments to:

1. apply good international industry practice to protect and conserve the natural environment and to minimize unavoidable impacts;
2. provide and maintain a healthy and safe work environment and safe systems of work;
3. protect the health and safety of local communities and users, with particular concern for those who are disabled, elderly, or otherwise vulnerable;
4. ensure that terms of employment and working conditions of all workers engaged in the Works meet the requirements of the ILO labour conventions to which the host country is a signatory;
5. be intolerant of, and enforce disciplinary measures for illegal activities. To be intolerant of, and enforce disciplinary measures for GBV, child sacrifice, child defilement, and sexual harassment;
6. incorporate a gender perspective and provide an enabling environment where women and men have equal opportunity to participate in, and benefit from, planning and development of the Works;
7. work co-operatively, including with end users of the Works, relevant authorities, contractors and local communities;
8. engage with and listen to affected persons and organizations and be responsive to their concerns, with special regard for vulnerable, disabled, and elderly people;
9. provide an environment that fosters the exchange of information, views, and ideas that is free of any fear of retaliation;
10. minimize the risk of HIV transmission and to mitigate the effects of HIV/AIDS associated with the execution of the Works;

### 3. Site and Other Data

#### 1. Contract: EWRP-ICB (W/1)-001/2017 (km 1855-1905) Balkhash – Burylbaital

##### Geographical location

This road section of highway “Balkhash - Burylbaital” is included into the Corridor “Center- South” and passes through the territory of Karagandy and Zhambyl Oblasts. The section is located on the lands of Karaganda oblast. The road section is going on the North-West coast of the Balkhash lake. The road to the settlement Torangalyk is adjacent. On the road there are some hilly lands, where the visibility is restricted in terms of longitudinal profile.

##### Climate

The Road climatic zone as per SNiP RK 3.03.09-2006\* is V and Climatic zone as per SNiP RK 2.04 - 01-2001 is IB. The average air temperature: year - 5,4°C; the hottest month (July) - 24,0°C; the coldest month (January) - minus 14,7°C; the coldest five days: probability 0,98 - minus 33°C; probability 0,92 - minus 32°C; days: probability 0,98 - minus 37°C, probability 0,92 - minus 35°C. Conditions for requirements of road construction materials and concrete materials are severe.

##### Physic-geographical conditions

The designed area relates to the Central Kazakh hilly area, the design area is confined to the pedimental plain on a folded base. Characteristic feature of the designed area relief is the presence of numerous small-cluster massifs. Separate hills rise on a common lowland background with a relative elevation from 10 to 45 m. Slopes of hills are mostly shallow due to the abundant accumulation of crushed gruss debris at their foot.

##### Sources for water supply

Due to the availability of large quantity of rivers and settlements, which have water supply system, water supply of the object presents no difficulty. Technical water supply will be provided by water from the nearest lake Balkhash. Drinking water and water for utility needs are recommended to take in settlements: Balkhash town. The water for technical needs is used from the well of Balkhash Mining and Metallurgical Plant, and potable water is delivered from Balkhash town.

##### Geological structure

The location of the road section within the Hercynian folded Dzungar-Balkhash system in various structural geomorphologic elements affected accordingly the geological conditions of the place.

The territory of the road is composed of the following types of soils: sands from medium size to gravel (crushed stone), sandy loam with arena, heavy loamy clay, eluvial-diluvial formations of quaternary age, capacity from 0.3 to 4.0 m. Small part is represented by eolian deposits at the beginning of the road (in front of Gulshat village).

Deposits of granitoid paleozoic formations of acidic and intermediate compositions are underlain. Paleozoic rocks can be traced on the day surface in the form of separate hills and mountains. Sand and sandy loam are the main engineering-geological element of the road section, sand is noticed in front of Gulshat village, impacted with wind erosion and transferal.

### Standards and norms applied

While designing of the reconstruction (construction)for road section standard literature has been applied, as follows:

S/N #	Code	Title
1	ST RK 1285-2004	Soils. Laboratory method for determination of maximum density
2	ST RK 1290-2004	Soils. Laboratory method for determination of physical properties
3	ST RK 1549-2006	Crushed stone sand gravel mixtures, and crushed stone for pavement and base course of roads and airdromes. Technical Specifications.
4	GOST 26633-91	Heavy and fine grained concretes. Technical Specifications.
5	ST RK 1284-2004	Crushed stone and gravel out of dense rocks for construction works. Technical Specifications
6	GOST 26193-84	Screened materials from crushed prestressed rocks for construction works. Technical Specifications.
7	MST GOST 8736-93 (edition 2010)	Sand for construction works. Technical Specifications.
8	ST RK 1217-2003	Sand for construction works. Testing Methods.
9	ST RK 1221-2003	Mineral powder for asphalt mix. Testing Methods.
10	ST RK 1373-2013	Petroleum road viscous bitumen. Technical Specifications.
11	GOST 11955-82* (95)	Petroleum road liquid bitumen. Technical Specifications.
12	GOST 11501-78(87)	Petroleum bitumen. Penetration Determination Method
13	GOST 11505-75	Petroleum bitumen. Extensibility Determination Method
14	GOST 11506-73(93)	Petroleum bitumen. Temperature Determination Method using ring and ball
15	GOST 11507-78(97)	Petroleum bitumen. Fraas Temperature Determination Method
16	GOST 11508-74	Petroleum bitumen. Method for Determination of Bitumen Adherence with Marble and Sand
17	ST RK 1274-2004	Road Bitumen Emulsion. Technical Specifications.
18	ST RK 1225-2003	Asphalt Concrete Mixtures for the road, airdrome and asphalt concrete. Technical Specifications.
19	ST RK 2373-2013	Crushed stone mastic polymeric asphalt concrete mixtures for airdromes and crushed stone mastic polymeric asphalt concrete. Technical Specifications.
20	ST RK 1276-2004	Mineral powder for asphalt concrete and organic and mineral

		mixtures
21	ST RK 1412-2010	Technical Traffic Control Devices. Manuals.
22	ST RK 1125-2002	Signboards. General Technical Specifications.
23	ST RK 1124-2003	Technical Traffic Control Devices. Road Marking. Technical Specifications.
24	GOST 25192-82/87 (CTC ЭБ 6550-88)	Concrete. Classification and General Technical Specifications.
25	GOST 10178-85	Portland Cement and Slag Portland Cement. Technical Specifications.
26	GOST 10181-2000	Concrete Mixtures. Testing Methods. General Requirements for Testing Methods.
27	MST. GOST 7473-94 (edition 2004)	Concrete Mixtures. Technical Specifications.
28	SNiP RK 3.03-09-2006*	Highways (Designing Regulations)
29	SNiP 3.06.03-85	Highways. (Production and Works Acceptance Rules)
30	SN RK 3.03-19-2006	Designing of non-rigid road pavements
31	VSN 38-90	Technical Instructions for placing pavements with uneven surfaces (M; Transport, 1990-47c)
32	VSN 8-89	and road maintenance
33	VSN 41-92	Traffic Control Management Manual in places of construction works on the roads of the Republic of Kazakhstan
34	TU 0256-001-05034205-2000	Modified road petroleum bitumen. Technical Specifications.
35	GOST 31015-2002	Asphalt concrete mixture and crushed stone mastic asphalt concrete. Technical Specifications.
36	R RK 218-78-2009	Recommendations on applying of geosynthetical materials for highways construction and repair in conditions of the Republic of Kazakhstan.

### Ecological measures

EIA and Environmental management Plan for the project have been prepared in accordance with the standard documents. Contractor should properly follow measures, provided in Environmental management Plan (EMP).

Measures, adopted by the Project, and calculations fulfilled also allow making conclusions, as follows:

- Based on the results of implementation of the Project traffic safety will be improved for the highway;
- Reconstruction (construction) of highway will improve social and living conditions in the area of passing of the route;
- Broken soil and vegetation at the objects for reconstruction (construction) will be rehabilitated during execution of technical and biological stages for reclaiming.

Impact assessment of the reconstructed highway over environment showed its ecological safety, all types of impact over environment are within permissible limit.

### **Sources for materials**

Construction materials from nearby operated enterprises for production of road-building materials will be used for construction of the road from Karaganda oblast and Balkhash town. A source of obtaining road-building materials is represented in the scheme of quarries location, as well in the sheet of source for obtaining and means for transportation of main construction materials.

### **Traffic safety and diversion roads**

During construction period traffic will be carried out along diversion road. To ensure safety for vehicles the installment of road signs is provided. In addition the indicating boards, informing about executing repair works on the road, are installed for both sides of the section.

### **Electricity and communications**

There is a power supply in all settlements throughout the territory for project implementation. Parameters for power supply system in place are 220 V, 50 Hz. To install equipment (crushing plant, asphalt concrete plant), it is required to obtain technical conditions from local power supply agencies or Contractor should install his autonomous generator for power supply. Telephone connection is also available on the territory of project implementation. There is also cell connection; zone for covering is the overall territory for project implementation. There is an access for e-mail through some local Internet-providers.

### **Medical services**

Medical services are available for the contract. There are a lot of private and governmental clinics and hospitals, rendering medical services in Balkhash town. Administration of enterprises, executing works, is responsible for management of works for labour safety, standard rules and production sanitary, as well as for carrying out measures for reduce and prevention of production injuries, professional diseases.

### **Location map**

Relevant road sections have been shown in the attached map.

## **2. Contract: EWRP-ICB (W/2)-001/2017 (km 1905-1955 Bakhash-Burylbaital)**

### **Geographical location**

Gulshat-Tasara Road section km 1905-1955 is located in Karaganda oblast and passes through Aktogai region. Territory of the region is in the south-east of Kazakh hilly area in desert and semi-desert areas. The main dividing range of Kazakh hilly area passes through the northern part, and the central part is hilly plain, gradually declining to the Balkhash Lake.

### **Climate**



The road section relates to the V road and climatic zone according to SNiP RK 3.03-09-2006 \* and to the climatic subarea IIIA as per SNiP RK 2.04.01-2010. Climatic parameters of the cold period of the year: air temperature of the coldest five-day period: Probability 0.98 - minus 33 ° C. Air temperature of the colder days: Probability 0.98 - minus 37 ° C. and Probability 0.92 - minus 35 ° C. The air temperature with probability 0.94 is minus 20 ° C. The absolute minimum air temperature is minus 49 ° C. The average daily air temperature amplitude is 9.1 ° C. The average monthly relative humidity is 78%. The volume of precipitation for November-March is 61 mm. Climatic parameters of the warm period of the year. The air temperature with probability 0.95 is 26.6 ° C. The air temperature with probability 0.98 is 29.8 ° C. The average maximum temperature of the warmest month is 28.7 ° C. The absolute maximum temperature is 41 ° C. The average monthly relative humidity in July is 46%. The volume of precipitation for April-October is 76 mm.

### **Physic-geographical conditions**

The road section to be reconstructed is located at the junction of the southern end of the Kazakh hilly area and the eastern part of the Balkhash-Alakul depression, therefore it is confined to various geomorphological forms of relief. Absolute elevations of the "Gulshat - Tasaral" road section km 1905-1955 can be traced at altitudes above sea level from 355 to 370 m. There are elevations, hills, Manpak Mountain with elevations up to 413m in the immediate vicinity of Gulshat village. The road does not cross over the constant water courses. Channels of temporary watercourses are filled with water during the spring melting of the snow.

### **Sources for water supply**

Technical water supply is planned from Balkhash Lake. Potable water supply shall be delivered from Balkhash town and Saryshagan village, located nearby the Site.

### **Geological structure**

The location of the road section within the Hercynian folded Dzungar-Balkhash system in various structural geomorphologic elements affected accordingly the geological conditions of the place. The territory of the road is composed of the following types of soils: sands from medium size to gravel (crushed stone), sandy loam with arena, heavy loamy clay, eluvial-diluvial formations of quaternary age, capacity from 0.3 to 4.0 m. Small part is represented by eolian deposits at the beginning of the road (in front of Gulshat village). Deposits of granitoid paleozoic formations of acidic and intermediate compositions are underlain. Paleozoic rocks can be traced on the day surface in the form of separate hills and mountains. Sand and sandy loam are the main engineering-geological element of the road section, sand is noticed in front of Gulshat village, impacted with wind erosion and transferal.

### **Standards and norms applied**

While designing of the reconstruction (construction) for road section standard literature has been applied, as follows:

S/N	Code	Title
1	ST RK 1285-2004	Soils. Laboratory method for determination of maximum density
2	ST RK 1290-2004	Soils. Laboratory method for determination of physical properties
3	ST RK 1549-2006	Crushed stone sand gravel mixtures, and crushed stone for pavement and base course of roads and airdromes. Technical Specifications.
4	GOST 26633-91	Heavy and fine grained concretes. Technical Specifications.
5	ST RK 1284-2004	Crushed stone and gravel out of dense rocks for construction works. Technical Specifications
6	GOST 26193-84	Screened materials from crushed prestressed rocks for construction works. Technical Specifications.
7	MST GOST 8736-93 (edition 2010)	Sand for construction works. Technical Specifications.
8	ST RK 1217-2003	Sand for construction works. Testing Methods.
9	ST RK 1221-2003	Mineral powder for asphalt mix. Testing Methods.
10	ST RK 1373-2013	Petroleum road viscous bitumen. Technical Specifications.
11	GOST 11955-82* (95)	Petroleum road liquid bitumen. Technical Specifications.
12	GOST 11501-78(87)	Petroleum bitumen. Penetration Determination Method
13	GOST 11505-75	Petroleum bitumen. Extensibility Determination Method
14	GOST 11506-73(93)	Petroleum bitumen. Temperature Determination Method using ring and ball
15	GOST 11507-78(97)	Petroleum bitumen. Fraas Temperature Determination Method
16	GOST 11508-74	Petroleum bitumen. Method for Determination of Bitumen Adherence with Marble and Sand
17	ST RK 1274-2004	Road Bitumen Emulsion. Technical Specifications.
18	ST RK 1225-2003	Asphalt Concrete Mixtures for the road, airdrome and asphalt concrete. Technical Specifications.
19	ST RK 2373-2013	Crushed stone mastic polymeric asphalt concrete mixtures for airdromes and crushed stone mastic polymeric asphalt concrete. Technical Specifications.
20	ST RK 1276-2004	Mineral powder for asphalt concrete and organic and mineral mixtures
21	ST RK 1412-2010	Technical Traffic Control Devices. Manuals.
22	ST RK 1125-2002	Signboards. General Technical Specifications.
23	ST RK 1124-2003	Technical Traffic Control Devices. Road Marking. Technical Specifications.
24	GOST 25192-82/87 (CTC ЭБ 6550-88)	Concrete. Classification and General Technical Specifications.
25	GOST 10178-85	Portland Cement and Slag Portland Cement. Technical Specifications.
26	GOST 10181-2000	Concrete Mixtures. Testing Methods. General Requirements for Testing Methods.
27	MST. GOST 7473-94 (edition 2004)	Concrete Mixtures. Technical Specifications.
28	SNiP RK 3.03-09-	Highways (Designing Regulations)

	2006*	
29	SNiP 3.06.03-85	Highways. (Production and Works Acceptance Rules)
30	SN RK 3.03-19-2006	Designing of non-rigid road pavements
31	VSN 38-90	Technical Instructions for placing pavements with uneven surfaces (M; Transport, 1990-47c)
32	VSN 8-89	and road maintenance
33	VSN 41-92	Traffic Control Management Manual in places of construction works on the roads of the Republic of Kazakhstan
34	TU 0256-001-05034205-2000	Modified road petroleum bitumen. Technical Specifications.
35	GOST 31015-2002	Asphalt concrete mixture and crushed stone mastic asphalt concrete. Technical Specifications.
36	R RK 218-78-2009	Recommendations on applying of geosynthetical materials for highways construction and repair in conditions of the Republic of Kazakhstan.

### Ecological measures

EIA and Environmental management Plan for the project have been prepared in accordance with the standard documents. Contractor should properly follow measures, provided in Environmental management Plan (EMP).

Measures, adopted by the Project, and calculations fulfilled also allow making conclusions, as follows:

- Based on the results of implementation of the Project traffic safety will be improved for the highway;
- Reconstruction (construction) of highway will improve social and living conditions in the area of passing of the route;
- Broken soil and vegetation at the objects for reconstruction (construction) will be rehabilitated during execution of technical and biological stages for reclaiming.

Impact assessment of the reconstructed highway over environment showed its ecological safety, all types of impact over environment are within permissible limit.

### Sources for materials

Construction materials from nearby operated enterprises (mainly located in Karaganda oblast and Balkhash town) for production of road-building materials will be used for construction of the road. A source of obtaining road-building materials is represented in the scheme of quarries location, as well in the sheet of source for obtaining and means for transportation of main construction materials.

### Traffic safety and diversion roads

The technological sequence of the road reconstruction as follows: construction of a new road; reconstruction of the existing road.

On this basis, transit traffic shall go on the existing road during construction of the new road, and on places of construction of artificial structures and on some road reconstructing sections, traffic shall be opened on the temporary diversion roads arranged on the left and right sides at 50m distance from

the main road alignment. After reconstruction of the existing road, the transit traffic will be opened on the constructed road section.

### **Electricity and communications**

There is a power supply in all settlements throughout the territory for project implementation. Parameters for power supply system in place are 220 V, 50 Hz. To install equipment (crushing plant, asphalt concrete plant), it is required to obtain technical conditions from local power supply agencies or Contractor should install his autonomous generator for power supply. Telephone connection is also available on the territory of project implementation. There is also cell connection; zone for covering is the overall territory for project implementation. There is an access for e-mail through some local Internet-providers.

### **Medical services**

Medical services are available for the contract. There are hospitals Balkhash town and Saryshagan settlements. Administration of enterprises, executing works, is responsible for management of works for labour safety, standard rules and production sanitary, as well as for carrying out measures for reduce and prevention of production injuries, professional diseases.

### **Location map**

Relevant road sections have been shown in the attached map.

## **1. Contract: EWRP-ICB (W/3)-001/2017 (km 1955-2005) Balkhash – Burylbaital**

### **Geographical location**

Tasaral-Saryshagan Road section km 1955-2005 of the III-rd technical category is located in Karaganda region and passes through the lands of Aktogay and Shetsky regions, and also through Priozersk town. The territory of the district is in the south-east of the Kazakh hilly area in the zone of deserts and semi-deserts. The main dividing range of Kazakh hilly area passes through the northern part, and the central part is hilly plain, gradually declining to the Balkhash Lake. The entire traffic flow of the highway passes through Saryshagan village, dividing it into two parts, causing inconvenience to the local residents. There are partially functioning infrastructure facilities (gas stations, food points, etc.) on the left and right hand sides of the existing road section km 2003 + 700 - 2005 + 000.

### **Climate**

The road section relates to the V road and climatic zone according to SNiP RK 3.03-09-2006 \* and to the climatic subarea IIIA as per SNiP RK 2.04.01-2010. Climatic parameters of the cold period of the year as follows: air temperature of the coldest five-day period: Probability 0.98 - minus 33 ° C. Air temperature of the colder days: probability 0.98 - minus 37 ° C and probability 0.92 - minus 35 ° C. The air temperature with probability 0.94 is minus 20 ° C. The absolute minimum air temperature

is minus 49 ° C. The average daily air temperature amplitude is 9.1 ° C. The average monthly relative humidity is 78%. The volume of precipitation for November-March is 61 mm. Climatic parameters of the warm period of the year The air temperature with probability 0.95 is 26.6 ° C. The air temperature with probability 0.98 is 29.8 ° C. The average maximum temperature of the warmest month is 28.7 ° C. The absolute maximum temperature is 41 ° C. The average monthly relative humidity in July is 46%. The volume of precipitation for April-October is 76 mm.

**Physic-geographical conditions**

The road section to be reconstructed is located at the junction of the southern end of the Kazakh hillocky area and the eastern part of the Balkhash-Alakul depression, therefore it is confined to various geomorphological forms of relief. Absolute elevations of the "Gulshat - Tasaral" road section km 1955-2005 can be traced at altitudes above sea level from 360 to 370 m. There are elevations, hills, Manpak Mountain with elevations up to 413m in the immediate vicinity of Gulshat village. The road does not cross over the constant water courses. Channels of temporary watercourses are filled with water during the spring melting of the snow.

**Sources for water supply**

Technical water supply is planned from Balkhash Lake. Potable water supply shall be delivered from Balkhash town and Saryshagan village, located nearby the Site.

**Geological structure**

The location of the road section within the Hercynian folded Dzungar-Balkhash system in various structural geomorphologic elements affected accordingly the geological conditions of the place. The territory of the road is composed of the following types of soils: sands from medium size to gravel (crushed stone), sandy loam with arena, heavy loamy clay, eluvial-diluvial formations of quaternary age, capacity from 0.3 to 4.0 m. Small part is represented by eolian deposits at the beginning of the road (in front of Gulshat village). Deposits of granitoid paleozoic formations of acidic and intermediate compositions are underlain. Paleozoic rocks can be traced on the day surface in the form of separate hills and mountains.

**Standards and norms applied**

While designing of the reconstruction (construction)for road section standard literature has been applied, as follows:

S/N	Code	Title
1	ST RK 1285-2004	Soils. Laboratory method for determination of maximum density
2	ST RK 1290-2004	Soils. Laboratory method for determination of physical properties
3	ST RK 1549-2006	Crushed stone sand gravel mixtures, and crushed stone for pavement and base course of roads and airdromes. Technical Specifications.
4	GOST 26633-91	Heavy and fine grained concretes. Technical Specifications.
5	ST RK 1284-2004	Crushed stone and gravel out of dense rocks for construction works. Technical Specifications
6	GOST 26193-84	Screened materials from crushed prestressed rocks for construction works. Technical Specifications.

7	MST GOST 8736-93 (edition 2010)	Sand for construction works. Technical Specifications.
8	ST RK 1217-2003	Sand for construction works. Testing Methods.
9	ST RK 1221-2003	Mineral powder for asphalt mix. Testing Methods.
10	ST RK 1373-2013	Petroleum road viscous bitumen. Technical Specifications.
11	GOST 11955-82* (95)	Petroleum road liquid bitumen. Technical Specifications.
12	GOST 11501-78(87)	Petroleum bitumen. Penetration Determination Method
13	GOST 11505-75	Petroleum bitumen. Extensibility Determination Method
14	GOST 11506-73(93)	Petroleum bitumen. Temperature Determination Method using ring and ball
15	GOST 11507-78(97)	Petroleum bitumen. Fraas Temperature Determination Method
16	GOST 11508-74	Petroleum bitumen. Method for Determination of Bitumen Adherence with Marble and Sand
17	ST RK 1274-2004	Road Bitumen Emulsion. Technical Specifications.
18	ST RK 1225-2003	Asphalt Concrete Mixtures for the road, airdrome and asphalt concrete. Technical Specifications.
19	ST RK 2373-2013	Crushed stone mastic polymeric asphalt concrete mixtures for airdromes and crushed stone mastic polymeric asphalt concrete. Technical Specifications.
20	ST RK 1276-2004	Mineral powder for asphalt concrete and organic and mineral mixtures
21	ST RK 1412-2010	Technical Traffic Control Devices. Manuals.
22	ST RK 1125-2002	Signboards. General Technical Specifications.
23	ST RK 1124-2003	Technical Traffic Control Devices. Road Marking. Technical Specifications.
24	GOST 25192-82/87 (CTC ЭБ 6550-88)	Concrete. Classification and General Technical Specifications.
25	GOST 10178-85	Portland Cement and Slag Portland Cement. Technical Specifications.
26	GOST 10181-2000	Concrete Mixtures. Testing Methods. General Requirements for Testing Methods.
27	MST. GOST 7473-94 (edition 2004)	Concrete Mixtures. Technical Specifications.
28	SNiP RK 3.03-09- 2006*	Highways (Designing Regulations)
29	SNiP 3.06.03-85	Highways. (Production and Works Acceptance Rules)
30	SN RK 3.03-19-2006	Designing of non-rigid road pavements
31	VSN 38-90	Technical Instructions for placing pavements with uneven surfaces (M; Transport, 1990-47c)
32	VSN 8-89	and road maintenance
33	VSN 41-92	Traffic Control Management Manual in places of construction works on the roads of the Republic of Kazakhstan
34	TU 0256-001- 05034205-2000	Modified road petroleum bitumen. Technical Specifications.
35	GOST 31015-2002	Asphalt concrete mixture and crushed stone mastic asphalt concrete.

		Technical Specifications.
36	R RK 218-78-2009	Recommendations on applying of geosynthetical materials for highways construction and repair in conditions of the Republic of Kazakhstan.

### **Ecological measures**

Environmental Impact Assessment of the proposed design decisions is carried out for all stages of life cycle of the structure, from justification of investments and land acquisition till road operation. EIA is based on the prognosis of environmental consequences, which happen because of reconstruction (construction) and exploitation of the road. During development of the draft "Environment protection" actions have been provided regarding elimination of negative consequences from road reconstruction (construction) over environment and social-economical conditions of the society.

Measures, adopted by the Project, and calculations fulfilled also allow making conclusions, as follows:

- Based on the results of implementation of the Project traffic safety will be improved for the highway;
- Reconstruction (construction) of highway will improve social and living conditions in the area of passing of the route;
- Broken soil and vegetation at the objects for reconstruction (construction) will be rehabilitated during execution of technical and biological stages for reclaiming.

### **Sources for materials**

Construction materials from the investigated reserves and nearby operated enterprises for production of road-building materials especially in Karagandy oblast and Balkhash town will be used for construction of the road. A source of obtaining road-building materials is represented in the scheme of quarries location, as well in the sheet of source for obtaining and means for transportation of main construction materials. Borrow pits located roadside will be used for embankment filling.

### **Traffic safety and diversion roads**

Technological sequence of the road reconstruction: 1st stage - Construction of a new road; 2nd stage - Reconstruction of the existing road.

Based on construction stages, traffic during the 1st stage shall be opened through the existing road during construction of a new road, and in places of construction of artificial structures and in some road reconstructing sections, traffic shall be opened on the temporary bypass roads arranged on the left and right hand sides at 50m distance from the main road alignment. At the 2nd stage traffic will be opened on the road section constructed at the 1st stage.

### **Electricity and communications**

There is a power supply in all settlements throughout the territory for project implementation. Parameters for power supply system in place are 220 V, 50 Hz. To install equipment (crushing plant, concrete plant), it is required to obtain technical conditions from local power supply agencies or

Contractor should install his autonomous generator for power supply. Telephone connection is also available on the territory of project implementation. There is also cell connection; zone for covering is the overall territory for project implementation. There is an access for e-mail through some local Internet-providers.

### **Medical services**

Medical services are available for the contract. There is a hospital in Priozersk town and Saryshagan settlement, Balkhash. They render a complete list of medical services. Administration of enterprises, executing works, is responsible for management of works for labour safety, standard rules and production sanitary, as well as for carrying out measures for reduce and prevention of production injuries, professional diseases.

### **Location map**

Relevant road sections have been shown in the attached map.

## **2. Contract: EWRP-ICB (W/4)-001/2017 (km 2005-2069 Balkhash-Burylbaital)**

### **Geographical location**

Road section to be reconstructed is located in the south-west part of Balkhash – Alakol closed depression between Saryshagan and Mynaral villages along the “Border of Russian Federation (to Yekaterinburg) – Almaty” Roads, km 2005-2069, Saryshagan - Mynaral (of Moynkum Region of Zhambyl Oblast, Republic of Kazakhstan ) Road section, located on the altitude of 340-600 m above sea level, where the most part of depression is covered by Balkhash lake.

### **Climate**

The road and climatic zone according to SNiP RK 3.03-09-2006 \* is V The climatic subarea according to SNiP RK 2.04.01-2010 is IIIA. Average air temperature: year - 5,5°C;

The hottest month (July) is 24,0°C; The coldest month (January) is minus 14,7°C. Conditions for requirements of road construction materials are severe, and concrete materials are severe.

Normative depth of seasonal soil freezing: loam and clay - 160 cm; loam, fine and loamy sand - 195 cm; medium size, gravel sand - 209 cm; coarsely clastic soil - 236 cm.

### **Physic-geographical conditions**

The highway is located within an inclined low-mountain steeply undulating, wavy plain. In the geological and lithological structure, the road section is located on the Dzungar-Balkhash folded system, on the sedimentary-effusive complex of the Paleozoic period, where the rock and quaternary loose-clastic sediments of various genetic types participate, covering the rock formations.

### **Sources for water supply**

Technical water supply is planned from Balkhash lake. Potable water and water for domestic needs are recommended from the settlements through which the existing roads pass.



## Geological structure

Rock formations are represented by porphyrites, siliceous schists, sandstones, conglomerates and granites in the upper part considerably weathered, cracked. The degree of weathering and cracking significantly decreases with the depth. The eluvial deposits are strongly weathered, modified to the state of loam, gruss and rubble of bedrock. At the tops of the hills and slopes, the thickness of these deposits is not significant, and in some places, eluvium is practically missing. The deluvial and deluvial-proluvial deposits are represented by a loamy-sandy loam stratum with an open thickness from 0.7 to 0.9 m, and gravelly, gritty soils with a sandy-loamy aggregate. The deluvial deposits are formed along the mountain structures, bordering them in the form of a trail. The thickness of crushed and gritty soils ranges from 0.7 to 1.3 m. Fill-up grounds are spread within the embankment of the road, and there is topsoil on the rest area of the carriageway, with a capacity of 0.1-0.2 m.

## Standards and norms applied

While designing of the reconstruction (construction) for road section standard literature has been applied, as follows:

S/N	Code	Title
1	ST RK 1285-2004	Soils. Laboratory method for determination of maximum density
2	ST RK 1290-2004	Soils. Laboratory method for determination of physical properties
3	ST RK 1549-2006	Crushed stone sand gravel mixtures, and crushed stone for pavement and base course of roads and airdromes. Technical Specifications.
4	GOST 26633-91	Heavy and fine grained concretes. Technical Specifications.
5	ST RK 1284-2004	Crushed stone and gravel out of dense rocks for construction works. Technical Specifications
6	GOST 26193-84	Screened materials from crushed prestressed rocks for construction works. Technical Specifications.
7	MST GOST 8736-93 (edition 2010)	Sand for construction works. Technical Specifications.
8	ST RK 1217-2003	Sand for construction works. Testing Methods.
9	ST RK 1221-2003	Mineral powder for asphalt mix. Testing Methods.
10	ST RK 1373-2013	Petroleum road viscous bitumen. Technical Specifications.
11	GOST 11955-82* (95)	Petroleum road liquid bitumen. Technical Specifications.
12	GOST 11501-78(87)	Petroleum bitumen. Penetration Determination Method
13	GOST 11505-75	Petroleum bitumen. Extensibility Determination Method
14	GOST 11506-73(93)	Petroleum bitumen. Temperature Determination Method using ring and ball
15	GOST 11507-78(97)	Petroleum bitumen. Fraas Temperature Determination Method
16	GOST 11508-74	Petroleum bitumen. Method for Determination of Bitumen Adherence with Marble and Sand
17	ST RK 1274-2004	Road Bitumen Emulsion. Technical Specifications.
18	ST RK 1225-2003	Asphalt Concrete Mixtures for the road, airdrome and asphalt concrete. Technical Specifications.
19	ST RK 2373-2013	Crushed stone mastic polymeric asphalt concrete mixtures for

		airdromes and crushed stone mastic polymeric asphalt concrete. Technical Specifications.
20	ST RK 1276-2004	Mineral powder for asphalt concrete and organic and mineral mixtures
21	ST RK 1412-2010	Technical Traffic Control Devices. Manuals.
22	ST RK 1125-2002	Signboards. General Technical Specifications.
23	ST RK 1124-2003	Technical Traffic Control Devices. Road Marking. Technical Specifications.
24	GOST 25192-82/87 (CTC ЭБ 6550-88)	Concrete. Classification and General Technical Specifications.
25	GOST 10178-85	Portland Cement and Slag Portland Cement. Technical Specifications.
26	GOST 10181-2000	Concrete Mixtures. Testing Methods. General Requirements for Testing Methods.
27	MST. GOST 7473-94 (edition 2004)	Concrete Mixtures. Technical Specifications.
28	SNiP RK 3.03-09-2006*	Highways (Designing Regulations)
29	SNiP 3.06.03-85	Highways. (Production and Works Acceptance Rules)
30	SN RK 3.03-19-2006	Designing of non-rigid road pavements
31	VSN 38-90	Technical Instructions for placing pavements with uneven surfaces (M; Transport, 1990-47c)
32	VSN 8-89	and road maintenance
33	VSN 41-92	Traffic Control Management Manual in places of construction works on the roads of the Republic of Kazakhstan
34	TU 0256-001-05034205-2000	Modified road petroleum bitumen. Technical Specifications.
35	GOST 31015-2002	Asphalt concrete mixture and crushed stone mastic asphalt concrete. Technical Specifications.
36	R RK 218-78-2009	Recommendations on applying of geosynthetical materials for highways construction and repair in conditions of the Republic of Kazakhstan.

### Ecological measures

Environmental Impact Assessment of the proposed design decisions is carried out for all stages of life cycle of the structure, from justification of investments and land acquisition till road operation. EIA is based on the prognosis of environmental consequences, which happen because of reconstruction (construction) and exploitation of the road. During development of the draft “Environment protection” actions have been provided regarding elimination of negative consequences from road reconstruction (construction) over environment and social-economical conditions of the society.

Measures, adopted by the Project, and calculations fulfilled also allow making conclusions, as follows:

- Based on the results of implementation of the Project traffic safety will be improved for the highway;

- Reconstruction (construction) of highway will improve social and living conditions in the area of passing of the route;

Broken soil and vegetation at the objects for reconstruction (construction) will be rehabilitated during execution of technical and biological stages for reclaiming.

### **Sources for materials**

Construction materials from the investigated reserves and nearby operated enterprises for production of road-building materials (mainly in Zhambyl region) will be used for construction of the road. The working design specifies to use the materials of enterprises located in Zhambyl oblast and other Kazakhstan manufacturers. Specific suppliers shall be determined as a result of bidding for implementation of contract works. Borrow pits located outside of the road shall be used for embankment filling. Asphalt Plant near the road shall be used for preparation of asphalt concrete mixture.

### **Traffic safety and diversion roads**

As the existing road is used only by local transport the construction of diversion road is not provided. Aiming at creation of favourable conditions for traffic safety of building machinery while construction, prevention of any injury or accident, the design provides bypass near bridges and culverts. Traffic is carried out, mainly along one half of the road, and the works will be on another. To ensure safety for vehicles the installment of road signs is provided. In addition the indicating boards, informing about executing repair works on the road, are installed for both sides of the section.

### **Electricity and communications**

There is a power supply in all settlements throughout the territory for project implementation. Parameters for power supply system in place are 220 V, 50 Hz. To install equipment (crushing plant, concrete plant), it is required to obtain technical conditions from local power supply agencies or Contractor should install his autonomous generator for power supply. Telephone connection is also available on the territory of project implementation. There is also cell connection; zone for covering is the overall territory for project implementation. There is an access for e-mail through some local Internet-providers.

### **Medical services**

Medical services are available for the contract. There are hospitals in Saryshagan settlement and Priozersk town. They render a complete list of medical services. There are points for rendering first medical aid to public in Mynaral settlements. Administration of enterprises, executing works, is responsible for management of works for labour safety, standard rules and production sanitary, as well as for carrying out measures for reduce and prevention of production injuries, professional diseases.

### **Location map**

Relevant road sections have been shown in the attached map.

### **3. Contract: EWRP-ICB (W/5)-001/2017 (km 2069-2105 Balkhash-Burylbaital)**

#### **Geographical location**

Reconstructing road section of 2nd technical category is located in the south-west part of Balkhash – Alakol closed depression between Ulken and Mynaral villages along the “Border of Russian Federation (to Yekaterinburg) – Almaty” Roads, km 2069-2105, Mynaral-Ulken (of Moynkum Region of Zhambyl Oblast, Republic of Kazakhstan) Road section, located on the altitude of 340-600 m above the sea level, where the most part of depression is covered by Balkhash lake.

#### **Climate**

The Road climatic zone as per SNiP RK 3.03.09-2006\* is V. Climatic zone as per SNiP RK 2.04 - 01-2001 is IIIA. The average air temperature: The hottest month (July) - 24,2°C; The coldest month (January) - minus 14,4°C; Conditions for requirements of road construction materials are severe, and for concrete materials are severe.

#### **Physic-geographical conditions**

The highway is located within an inclined low-mountain steeply undulating, wavy plain. Between the beginning and the end of the highway it crosses over the number of roads of local importance. In general, location of the road is a low-mountain region with sloping narrow valleys. Then there are passes with steep slopes and descents of 8-10 m width, where the passes end, the road starts with a gradient upwards to the north along the foothill plain. In the geological and lithological structure, the road section is located on the Dzungar-Balkhash fold system, on the sedimentary-effusive complex of the Paleozoic period, where rock and quaternary loose-clastic sediments of various genetic types participate, covering the rock formations.

#### **Sources for water supply**

Technical water supply is planned from Balkhash lake. Potable water and water for domestic needs are recommended from the settlements through which the existing roads pass.

#### **Geological structure**

Rock formations are represented by porphyrites, siliceous schist, sandstones, conglomerates and granites in the upper part considerably weathered, cracked. The degree of weathering and cracking significantly decreases with the depth. The revealed thickness of the semi-latitudinal rocks reaches 1.5-2.0 m. The eluvial deposits are strongly weathered, modified to the state of loam, gruss and rubble of bedrock. At the tops of the hills and slopes, the thickness of these deposits is not significant, and in some places, eluvium is practically missing. The revealed thickness of eluvial deposits reaches 0.9-1.3 m. The deluvial and deluvial-proluvial deposits are represented by a loamy-sandy loam stratum with an open thickness from 0.7 to 0.9 m, and gravelly, gritty soils with a sandy-loamy aggregate. The deluvial deposits are formed along the mountain structures, bordering them in

the form of a trail. The thickness of crushed and gritty soils ranges from 0.7 to 1.3 m. Fill-up grounds are spread within the embankment of the road, and there is topsoil on the rest area of the carriageway, with a capacity of 0.1-0.2 m.

### Standards and norms applied

While designing of the reconstruction (construction) for road section standard literature has been applied, as follows:

S/N	Code	Title
1	ST RK 1285-2004	Soils. Laboratory method for determination of maximum density
2	ST RK 1290-2004	Soils. Laboratory method for determination of physical properties
3	ST RK 1549-2006	Crushed stone sand gravel mixtures, and crushed stone for pavement and base course of roads and airdromes. Technical Specifications.
4	GOST 26633-91	Heavy and fine grained concretes. Technical Specifications.
5	ST RK 1284-2004	Crushed stone and gravel out of dense rocks for construction works. Technical Specifications
6	GOST 26193-84	Screened materials from crushed prestressed rocks for construction works. Technical Specifications.
7	MST GOST 8736-93 (edition 2010)	Sand for construction works. Technical Specifications.
8	ST RK 1217-2003	Sand for construction works. Testing Methods.
9	ST RK 1221-2003	Mineral powder for asphalt mix. Testing Methods.
10	ST RK 1373-2013	Petroleum road viscous bitumen. Technical Specifications.
11	GOST 11955-82* (95)	Petroleum road liquid bitumen. Technical Specifications.
12	GOST 11501-78(87)	Petroleum bitumen. Penetration Determination Method
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14	GOST 11506-73(93)	Petroleum bitumen. Temperature Determination Method using ring and ball
15	GOST 11507-78(97)	Petroleum bitumen. Fraas Temperature Determination Method
16	GOST 11508-74	Petroleum bitumen. Method for Determination of Bitumen Adherence with Marble and Sand
17	ST RK 1274-2004	Road Bitumen Emulsion. Technical Specifications.
18	ST RK 1225-2003	Asphalt Concrete Mixtures for the road, airdrome and asphalt concrete. Technical Specifications.
19	ST RK 2373-2013	Crushed stone mastic polymeric asphalt concrete mixtures for airdromes and crushed stone mastic polymeric asphalt concrete. Technical Specifications.
20	ST RK 1276-2004	Mineral powder for asphalt concrete and organic and mineral mixtures
21	ST RK 1412-2010	Technical Traffic Control Devices. Manuals.
22	ST RK 1125-2002	Signboards. General Technical Specifications.
23	ST RK 1124-2003	Technical Traffic Control Devices. Road Marking. Technical Specifications.
24	GOST 25192-82/87 (CTC ЭБ 6550-88)	Concrete. Classification and General Technical Specifications.

25	GOST 10178-85	Portland Cement and Slag Portland Cement. Technical Specifications.
26	GOST 10181-2000	Concrete Mixtures. Testing Methods. General Requirements for Testing Methods.
27	MST. GOST 7473-94 (edition 2004)	Concrete Mixtures. Technical Specifications.
28	SNiP RK 3.03-09-2006*	Highways (Designing Regulations)
29	SNiP 3.06.03-85	Highways. (Production and Works Acceptance Rules)
30	SN RK 3.03-19-2006	Designing of non-rigid road pavements
31	VSN 38-90	Technical Instructions for placing pavements with uneven surfaces (M; Transport, 1990-47c)
32	VSN 8-89	and road maintenance
33	VSN 41-92	Traffic Control Management Manual in places of construction works on the roads of the Republic of Kazakhstan
34	TU 0256-001-05034205-2000	Modified road petroleum bitumen. Technical Specifications.
35	GOST 31015-2002	Asphalt concrete mixture and crushed stone mastic asphalt concrete. Technical Specifications.
36	R RK 218-78-2009	Recommendations on applying of geosynthetical materials for highways construction and repair in conditions of the Republic of Kazakhstan.

### Ecological measures

Environmental Impact Assessment of the proposed design decisions is carried out in accordance with regulations of Environmental Code of the Republic of Kazakhstan and other present legal and standard-methodical documents of the RK, regulating matters of environment and environmental safety. During development of the draft “Environment protection” actions have been provided regarding elimination of negative consequences from road reconstruction (construction) over environment and social-economical conditions of the society.

Measures, adopted by the Project, and calculations fulfilled also allow making conclusions, as follows:

- Based on the results of implementation of the Project traffic safety will be improved for the highway;
- Reconstruction (construction) of highway will improve social and living conditions in the area of passing of the route;

Broken soil and vegetation at the objects for reconstruction (construction) will be rehabilitated during execution of technical and biological stages for reclaiming.

### Sources for materials

It is supposed to use the materials of enterprises located in Zhambyl oblast and other Kazakhstan manufacturers. Specific suppliers shall be determined as a result of bidding for implementation of contract works. Borrow pits located outside of the road shall be used for embankment filling. Mobile Asphalt Plant near the road shall be used for preparation of asphalt concrete mixture.

**Traffic safety and diversion roads**

Considering that first one part of the road will be constructed, and after its completion another one, construction of diversion road is not provided. Aiming at creation of favourable conditions for traffic safety of building machinery while civil and erection works, prevention of any injury or accident, the design provides bypasses for the sections of construction for artificial structures - bridges and culverts. Traffic is carried out, mainly along one half of the road, and the works will be on another. To ensure safety for vehicles the installment of relevant road signs is provided. In addition the indicating boards, informing about executing repair works on the road, are installed for both sides of the section.

**Electricity and communications**

There is a power supply in all settlements throughout the territory for project implementation. Parameters for power supply system in place are 220 V, 50 Hz. To install equipment (crushing plant, concrete plant), it is required to obtain technical conditions from local power supply agencies or Contractor should install his autonomous generator for power supply. Telephone connection is also available on the territory of project implementation. There is also cell connection; zone for covering is the overall territory for project implementation. There is an access for e-mail through some local Internet-providers.

**Medical services**

Medical services are available for the contract. There is a hospital of rayon importance in Zharkent town, located 10 km away of the end of the Contract. They render a complete list of medical services. There are points for rendering first medical aid to public in Koktal, Aidarly, Usharal villages. Administration of enterprises, executing works, is responsible for management of works for labour safety, standard rules and production sanitary, as well as for carrying out measures for reduce and prevention of production injuries, professional diseases.

**Location map**

Relevant road sections have been shown in the attached map.

**4. Contract: EW RP-ICB (W/6)-001/2017 (km 2105-2152 Balkhash-Burylbaital)****Geographical location**

The road section km 2105-2152 passes through Almaty and Zhambyl Oblasts. The existing road was reconstructed in 2005 according to the standards of the 2nd technical category road.

By the administration plan "Astana-Karaganda-Balkhash-Almaty" reconstructing road section, km 2105-2152 is located in the territory of Zhambyl region of Almaty Oblast and Moynkum region of Zhambyl Oblast.

**Climate**

Climatic zone according to SNiP RK 2.04-01-2010 is IIIB. Road-climatic zone according to SniP RK 3.03.09-2006 \* is V. Average air temperature: Year - 6.8 0 C; The hottest month (July) - 24,10 C; The oldest month (January) - minus 12.50 C. Temperature of the coldest five-day period: Probability - 0.98 – 28 0 C, Probability - 0.92 – 25 0 C. Temperature of the colder days: Probability - 0.98 – 32 0

C;

Probability - 0.92 – 28 0 C; Absolute maximum air temperature – 44 0C; The absolute minimum is minus 400C. Average annual precipitation, total - 144 mm; Including in the cold period - 65 mm. Estimated thickness of the snow cover with 5% probability of exceeding - 20 cm. Normative depth of soil freezing: Loam and clay - 138 cm; Sandy loam, sands fine and silty - 169 cm; Medium, large size and gravel Sands - 181 cm; Coarse clastic soil - 205 cm

### **Physic-geographical conditions**

The area of works is located between the rivers Chu and Ili, to the southwest from Balkhash Lake. The directly explored area of the highway is within the Chu-Ili Mountains, which are the north-western branches of the Ily- Alatau range. The feature of the relief is expressed in the low mountains, prevailing forms of relief: dome and conical ridges, ridges and hills, between which flat spaces, flat valleys, hollows, depressions and dry valleys are stretched. The central part of the road section, which runs directly along the Balkhash Lake, is complicated by overflows of Balkhash Lake (periphery), which is the part of the Alakol-Balkhash basin system.

### **Sources for water supply**

Balkhash Lake water is envisaged to use as a source of technical water supply. The place of water collection is approved with the owner of existing pump station in Garden Massive PKST “Energetic-3” (Minutes of the Board Members Meeting No.13 dated August 5, 2015).

Water pipeline in Ulken, Shyganak, and Burylbaital villages is recommended as a potable water supply.

### **Geological structure**

In the geological structure, the road section is confined mainly to the late Caledonian geological and structural floor, which is composed mainly of the Devonian rocks and partly the Silurian tops, which belong to the effusive-sedimentary formation and are represented by a powerful complex of volcanic and sedimentary material. The thickness of the Devonian deposits is approximately 8000 m and they are composed of effusive-sedimentary rocks: motley-colored sandstones, conglomerates, tuffite lavas, sandstones, gravelstones, tuff sandstones and limestone lenses. In the near-highway zone, there are outcrops to the day surface of rocky strong weakly weathered rocks. Fracture rock is different and in most cases is developed to a depth of 15 m, there are separate blocks and large-crushed material. On the top, the sandstones are covered with a thin (0.2-1.0 to 1.5 m) quaternary eluvium cover consisting of a homogeneous gravel of sandstones and gruss. There are a gravelly soil with a sandy loamy aggregate 20-25% and crushed-gruss sandy loam in some places.

### **Standards and norms applied**

While designing of the reconstruction (construction)for road section standard literature has been applied, as follows:



S/N	Code	Title
1	ST RK 1285-2004	Soils. Laboratory method for determination of maximum density
2	ST RK 1290-2004	Soils. Laboratory method for determination of physical properties
3	ST RK 1549-2006	Crushed stone sand gravel mixtures, and crushed stone for pavement and base course of roads and airdromes. Technical Specifications.
4	GOST 26633-91	Heavy and fine grained concretes. Technical Specifications.
5	ST RK 1284-2004	Crushed stone and gravel out of dense rocks for construction works. Technical Specifications
6	GOST 26193-84	Screened materials from crushed prestressed rocks for construction works. Technical Specifications.
7	MST GOST 8736-93 (edition 2010)	Sand for construction works. Technical Specifications.
8	ST RK 1217-2003	Sand for construction works. Testing Methods.
9	ST RK 1221-2003	Mineral powder for asphalt mix. Testing Methods.
10	ST RK 1373-2013	Petroleum road viscous bitumen. Technical Specifications.
11	GOST 11955-82* (95)	Petroleum road liquid bitumen. Technical Specifications.
12	GOST 11501-78(87)	Petroleum bitumen. Penetration Determination Method
13	GOST 11505-75	Petroleum bitumen. Extensibility Determination Method
14	GOST 11506-73(93)	Petroleum bitumen. Temperature Determination Method using ring and ball
15	GOST 11507-78(97)	Petroleum bitumen. Fraas Temperature Determination Method
16	GOST 11508-74	Petroleum bitumen. Method for Determination of Bitumen Adherence with Marble and Sand
17	ST RK 1274-2004	Road Bitumen Emulsion. Technical Specifications.
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Borrow pits located outside of the road shall be used for embankment filling.

Mobile Asphalt Plant near the road shall be used for preparation of asphalt concrete mixture.

### Traffic safety and diversion roads

During the road reconstruction transit traffic shall be opened on the existing road. When embankment is placed for the new road lane, at the stage of existing road reconstruction, traffic shall be opened on the half of newly reconstructed road.

The working design provides construction of temporary bypass road on places of culverts reconstruction and bridges and interchanges construction.

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