

**REGIONAL TRAINING EVENT-STRENGTHENING PUBLIC SECTOR CAPACITY  
TO MOBILIZE DEPOLLUTION INVESTMENTS  
AND  
PRIVATE SECTOR PARTICIPATION**

Sustainable Water Integrated Management (SWIM) - Support Mechanism

**Koussai Quteishat  
Mohammad Najjar  
Luxembourg  
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**REQUIRED REPORTS, RECORDS, NOTICES AND APPROVALS ON A PPP PROJECT**

# LIST OF REQUIRED REPORTS, RECORDS, NOTICES AND APPROVALS

***Governments or Owners*** are actually paying for the assets over the life time of the project. Thus they shall monitor and make sure that they are going to inherit a project which is sustainable and worth what was paid for.

***Lenders*** also shall be concerned about the money paid and how the Project Company is using them.

***Sponsors***, whether contractors or just investors, want to have a say in every step in order to secure the success of the project so they would get their investment back with the return expected.

Because all of the above, several reports and notices are required with approval by different parties

***Key project agreements shall specify what reports, notices and approvals are needed according to special articles and sometimes specific appendices***

# ENTITIES AND STAGES FOR REPORTING

- Entities:
  - EPC Contractor
  - O&M Contractor
  - Project Company
  - Owner
- Stages
  - Construction
  - Operation and Maintenance

Report	By whom	To whom	Frequency
Progress during construction	EPC Contractor	Project Company and Owner	End of each month
Report on results of test or inspection	EPC Contractor	Project Company and Owner	After each activity
Operation and Maintenance Reports	O&M Contractor	Project Company and Owner	End of each month
Report on condition of the Project Assets	O&M Contractor	Project Company and Owner	Quarterly or semiannually
Investment Report	Project Company	Owner and Lenders	Quarterly
Report on invoices payable by the Owner	Project Company	Owner and Lenders	Monthly
Records and Specifications	EPC Contractor	Project Company and Owner	Monthly
Financial Reports	Project Company	Owner and Lenders	Semiannually

Report	By whom	To whom	Frequency
As-built drawings	EPC Contractor	Project Company and Owner	After Completion
Work Programme	EPC Contractor	Project Company and Owner	Before start of construction
Preventive maintenance programme	O&M Company	Project Company and Owner	At the beginning of each year
Records of maintenance	O&M Company	Project Company and Owner	When completed
Results of tests and inspections	O&M Company	Project Company and Owner	Monthly
Emergency plan	O&M Company	Project Company, Owner and Lenders	At the beginning of each year

Report	By whom	To whom	Frequency
Quality assurance	EPC and O&M Contractors	Project Company, Lenders and Owner	Before start of & during construction, and during operation
Copies of Insurance Coverage	Project Company	Owner and Lenders	Before construction & during operations at the beginning of each year
Replacement or changes to performance guarantee	Project Company	Owner	Immediately after replacement or change
Equity Investment	Project Company	Owner and Lenders	As agreed
Operating Budget	O&M Company	Project Company, Owner and Lenders	At the beginning of each fiscal year
Operation and Maintenance Manuals	EPC Contractor endorsed by the O&M Contractor	Project Company and Owner	Immediately after commissioning

Approvals	By whom	To whom	Frequency
Construction documents	EPC Contractor and Project Company	Owner	When considered ready for use
Approval for materials and equipment	EPC Contractor and Project Company	Owner	Before procurement
Approvals for any changes during construction and O&M	Project Company	Owner and copy to Lenders	Before any material change takes place or upon termination
Approvals for modifications during construction	EPC Contractor and Project Company	Owner and copy to Lenders	Before any action
Approval for change in maintenance	O&M Company & Project Company	Owner	Before any action

Approvals	By whom	To whom	Frequency
Approval for replacement of key personnel	EPC & O&M Companies and Project Company	Owner	Before any change
Approval of any settlement of insurance claim	Project Company	Owner and lenders	If owner is insured or co-insured
Approval of press material	Project Company	Owner	Before issuing any material or information related to the project
Approval for less frequent maintenance or change to measuring equipment	O&M Contractor and Project Company	Owner	Before any measure could be taken

Notifications	By whom	To whom	Frequency
Notification of test inspection	EPC Contractor and Pr. Company	Owner	When considered ready for testing
Notification of delay	EPC Contractor and Pr. Company or Owner	Owner or the Project Company copy to lenders	After being aware of within two weeks
Notification of archaeological or pollution	O&M Contractor and Pr. Company	Owner copy to lenders	Immediately after being aware of the event
Notification of Emergency	Project Company	Owner and copy to Lenders	Within few hours of occurrence
Notification of completion	EPC Contractor and Project Company	Owner and copy to Lenders	Immediately after completing the works
Notice of breach or Confidentiality	Project Company or Owner	Owner or Project Company	Immediately upon discovery of breach
Notification of claim	Project Company or Owner	Owner or Project Company with copy to lenders	After reasonable time of being aware of the event

Notifications	By whom	To whom	Frequency
Notification of an Event of Force Majeure	EPC Contractor or O&M Contractor and Project Company	Owner and copy to lenders	Within agreed upon duration after the occurrence
Notification of change of Statutory Requirements	Project Company or Owner	Owner or the Project Company	When it occurs
Notice of referral to arbitration or dispute settlement	Project Company or Owner	Owner or the Project Company copy to lenders	When decided by any party
Notification of its intent to terminate	Project Company or Owner	Owner or the Project Company and copy to lenders	Within few hours of occurrence

# Final Remarks

1. Key project agreements shall specify what reports, notices and approvals are needed according to special articles and sometimes specific appendices
2. Always go to risks and risk mitigations and see what is needed there to protect the parties carrying the risk and the party protected by the mitigation measures to determine what reporting is additionally needed

**THANK YOU**