KYRGYZ REPUBLIC

Village Investment Project

GUIDELINES

for

Environmental Review
of
Micro-projects

10 July 2003
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1. Purpose and Content

The purpose of these Guidelines is to provide AIDA Community Officers and technical consultants with a set of procedures and technical guidance that will assist them to:

(i) determine the potential environmental impacts of micro-projects to be financed under the AIDA;

(ii) identify mitigation measures to be built into micro-projects to minimize these impacts; and,

(iii) define monitoring requirements to ensure that agreed mitigation measures are carried out and are effective in minimizing environmental impacts.

2. National Regulations

National laws and regulations do not clearly distinguish between Environmental Assessment and Environmental Impact Assessment as used by the World Bank in OP 4.01. In the Kyrgyz Republic the term “Environmental Impact Assessment” is used even for relatively simple analysis of potential environmental consequences of relatively benign activities with relatively small or trivial potential impacts. By local convention, the term EIA is used when the terms “environmental assessment” or “environmental review” as used by the World Bank would be more accurate and appropriate.

In national usage, EIA is a process of analyzing the potential environmental impact of an intended activity and forecasting consequences for the environment and human health. “Ecological Expertise” or EE refers to the process of review and evaluation of documentation and physical interventions that is carried out subsequent to ETA and the implementation of prescribed mitigation measures.

As used in the Kyrgyz Republic, EIA is a procedure of consideration of environmental requirements. This procedure is implemented during project preparation (at the project design stage). In contrast, “Ecological Expertise” or EE is used to reflect “ascertainment of compliance” of already completed construction with environmental requirements and “determination of admissibility” with regard to decisions following completion of construction to permit operations.

Projects having minor environmental impacts undergo review (expertise) at the level of territorial environmental protection divisions (raion or oblast), and those having potentially major environmental impacts undergo review at the national level of the Ministry of Ecology and Emergency Situations.

Kyrgyz law requires that EIA (including environmental assessment and environmental review) is carried out by the project initiator in conformance with current standards.

Lists of the types of activities that require and do not require EIA are given in Annex A. Requirements for activities and installations not included on these lists are determined on a case-by-case basis by the Ministry of Ecology and Emergency Situations (MEES).
The principle regulatory instruments that outline the requirements and processes for Environmental Impact Assessment and Review (EE) are, respectively:

- **Instructions on the Implementation of Environmental Impact Assessment (EIA) of Intended Activity in the Kyrgyz Republic** approved by the Decree of the Minister of Environmental Protection as of July 27, 1997, coordinated with the Ministry of Health and Ministry of Architecture and Construction, and registered with the Ministry of Justice as of October 15, 1997; and,

- **Instructions on the Implementation of State Ecological Expertise of Pre-project, Project and Other Materials and Documents in the Kyrgyz Republic** (approved by the Minister of Environmental Protection, and registered by the Ministry of Justice of the Kyrgyz Republic as of October, 15, 1997).

To avoid unnecessary overburdening of the local environmental authorities with review and evaluation of small scale projects, the AIDA has adopted a policy of transparent documentation of project designs and active engagement with local environmental authorities at an early stage in the micro-project cycle. The AIDA has developed a set of standardized procedures for rigorous screening and scoping of prospective micro-projects early in the micro-project cycle. Details of AIDA procedures are given in these Guidelines and the attached annexes.

3. **World Bank Safeguard Policies**

The principal documents that guide and describe the World Bank’s EA policies are its Operational Policy (OP) and Bank Procedure (BP) 4.01 on Environmental Assessment. EA is one of ten ‘‘Safeguard Policies’’ that projects must comply with to remain eligible for Bank financing. These key policies are intended to ensure that potentially adverse environmental and social consequences of Bank financed projects are identified, minimized and mitigated. The ten safeguard policies define Bank requirements in project lending with regard to:

- Environmental Assessment (OP/BP 4.01),
- Natural Habitats (OP/BP 4.04),
- Pest Management (OP 4.09),
- Cultural Property (OP4.11),
- Involuntary Resettlement (OP/BP 4.12),
- Indigenous Peoples (OD/4.20);
- Forests (OP/BP 4.36),
- Safety of Dams (OP/BP 4.37),
- Projects on International Waterways (BP 7.50) and,
- Projects in Disputed Areas (OP/BP 7.60).

The first eight of these fall into the environmental category and are addressed in the course of the EA review process. Excerpts of the pertinent sections of World Bank Safeguard Policies and Procedures related to environmental assessment and web links to the appropriate reference documents (World Bank OP/BP’s) are provided in **Annex G** of these Guidelines.
4. Probable Micro-project Activities

It is not possible to anticipate all of the activities for which project financing may be requested. Micro-projects will include the renovation, rehabilitation and expansion of existing community infrastructure, extension of critical services to improve economic returns realized by rural communities, and a number of small and medium enterprise development projects to increase the income and economic well-being of rural residents.

5. Vulnerability and Risks

The direct and residual impacts of individual micro-projects to be financed under the AIDA are expected to be small and easily mitigated through project design and the monitored adherence to good environmental practice during construction and operations. Cumulative impacts will be avoided or minimized by taking into account the potential environmental effects of micro-projects in the preparation of ail okmotu level investment strategies, maintaining records on the number and types of micro-projects financed, and monitoring of projects that are completed or under implementation.

6. Environmental Screening Categories

The proposed micro-projects are classified into one of three categories based on the type, location, sensitivity and scale of the micro-project and the magnitude of potential environmental impacts. The three categories are: Category A - High Potential; Category B - Intermediate Potential, and; Category C - Low Potential. Generally, projects classified as Category A will rarely be financed under the AIDA. A list of potential micro-projects classified by category and a list of projects that are ineligible for World Bank financing is provided in Annex A.

7. Environmental Screening and Review Process

A brief overview of the process is given in Annex H.

Screening. The first stage of the environmental review and assessment process is the screening of micro-project proposals and concepts for potential impacts and the determination of the level of environmental assessment that will be required. Annex B Part 1 provides an Environmental Screening Checklist to be completed by project proponents with assistance from AIDA staff or contractors. This will be reviewed by the LIC who, in consultation with the AIDA Community Officer, will make a preliminary assignment of the environmental risk category and complete Part 2 of the Checklist.

Based on the Environmental Screening Checklist, the recommendations of the LIC and the AIDA Community Officer and, if necessary, a field site visit, the AIDA regional Technical Consultant in consultation with the MEES State Environmental Inspector (raion level), will determine the extent of environmental assessment that will be required, and recommend good practices to be followed in project design and implementation to mitigate environmental impacts.
Consultation. For Category A or B micro-projects, the LIC will organize a hearing for consultation and comment by project-affected groups and local non-governmental organizations during the environmental assessment process and take their views into account before taking a decision on financing a proposed project. The project proponent provides relevant materials (process descriptions, maps, permits, building plans, etc.) to participants in the consultation in a timely manner and in a form and language that are understandable to the group being consulted. The AIDA Community Officer describes and records consultations held on the Environmental Screening Checklist and completes Part 3 with assistance from the regional Technical Consultant, if needed (Annex B Part 3).

Public Disclosure. For Category A or B projects for which an environmental assessment is prepared, the draft assessment report is made available at a public place accessible to project-affected groups. This would usually be the raion or oblast level office of MEES. After taking into account comments received, the draft Environmental Assessment is finalized. The AIDA will retain a copy of the report for its records and possible review by World Bank supervision missions.

8. Environmental Assessment

In Annex A, a list of potential micro-projects is provided, classified by “risk” category, and ineligible project types are identified. Annex D provides a description of potential environmental impacts and mitigation measures for representative micro-projects.

For micro-projects classified as Category B an environmental review will be carried out if needed. For most projects a simple Environmental Management Plan (Annex E) will be adequate to guide mitigation and monitoring. For micro-projects that may require a more extensive analysis, the scope and contents of an environmental assessment are also described in Annex E.

An environmental assessment is conducted to identify, predict and evaluate potential impacts and to plan for mitigation measures to be incorporated in project design to minimize negative impacts and estimate their costs. The purpose is to anticipate potential consequences and to improve the environmental aspects of projects by minimizing, mitigating or compensating for negative effects through improvements in project design (the preferred approach) or through mitigation measures incorporated into the project.

The project proponent is responsible for preparing the environmental assessment. The AIDA may provide technical support for EA design, preparation of terms of reference and financing for EA preparation.

9. Steps in the Environmental Review Process

This section outlines the sequence of steps to be carried out for environmental review of micro-projects and the responsibilities of the various participants and state authorities. For most AIDA financed micro-projects such as those involving simple renovations or upgrading of existing infrastructure, only the first three steps in the process will be required.
Step 1: The micro-project proponent prepares an initial project concept for consideration by the LIC. If the project receives preliminary endorsement by the LIC, the proponent completes Part 1 of the Environmental Screening Checklist (see Annex B) with assistance from the Community Officer. At this time the proponent initiates discussions with the local environmental authorities (MEES raion level state environmental inspector) to arrange for environmental review. The micro-project proponent is responsible for obtaining any permits and approvals that may be required by local authorities.

Step 2: Based on the information provided by the micro-project proponent, the AIDA Community Officer in consultation with the LIC, determines the potential eligibility of the project for AIDA financing. The LIC in consultation with the AIDA Project Officer completes Part 2 of the Environmental Screening Checklist (Annex B) and assigns a preliminary Environmental Review Category.

Step 3. The AIDA Community Officer with a representative of the LIC and the micro-project proponent, carries out a field site visit and completes the Field Site Visit Checklist (Annex C). The Environmental Screening and Field Site Visit Checklists are submitted to MEES (raion level) who, after consultation with other relevant authorities, issues a preliminary environmental statement listing potential environmental concerns and recommended mitigation measures and decides whether an environmental assessment is required. The AIDA Community Officer and, as needed, the Technical Consultant provide advice on environmental mitigation measures to be incorporated into project design as given in Annex D of these Guidelines.

For Category A projects, the AIDA Technical Consultant prepares terms of reference for preparation of an environmental assessment (Annex E). For Category B projects the AIDA Technical Consultant prepares terms of reference for an environmental review and, if needed, an environmental management plan (Annex E). The LIC (on behalf of the micro-project proponent, and in consultation with the AIDA Community Officer), contracts preparation of the assessment, review or management plan, as required.

For Category C projects no further environmental analysis is required. The AIDA Community Officer completes Part 3 of the Environmental Screening Checklist and a copy is retained by the AIDA as part of the micro-project records.

Step 4: For Category A projects and Category B projects for which an Environmental Management Plan is required, the LIC organizes a public consultation with the proponent, community representatives and effected groups. Formal minutes record the participants, issues raised and steps planned to address them. If an environmental assessment is needed, the terms of reference are discussed. If an environmental assessment is carried out, a second round of public consultation is held to discuss findings of the assessment and recommendations for mitigation and formal minutes are recorded.

Step 5: The MEES Environmental Inspector (oblast level) reviews the environmental assessment and management plan (if required) and issues a final environmental statement. The AIDA reviews the assessment report, the environmental management plan (if any) and the documentation of necessary permits and clearances and completes the
Final Environmental Assessment Checklist (Annex F). These documents are then included in the package that goes to the LIC for a decision on final approval of project financing.

Step 6: The micro-project proponent incorporates the recommendations provided in the environmental assessment as well as those received during the review and clearance process by MEES and other local authorities into the micro-project design and implementation plan.

Step 7: During construction the LIC and the local (raion) MEES state environmental inspector monitor implementation of agreed design and mitigation measures. Problems are brought to the attention of the AIDA Community Officer and, if necessary, the Technical Consultant makes a site visit to assist in resolving them.

Step 8: When construction is complete, MEES approves an Environmental Passport (Environmental Management Plan) for those micro-projects that require it including discharge permits for solid and liquid discharge and aerosol emissions (if needed). MEES and other state authorities, as appropriate, monitor emissions and discharge during operations.

Step 9: The status of compliance of the micro-project with agreed environmental mitigation measures as reflected in the Environmental Management Plan (Environmental Passport) is reported by AIDA Community Officers in their regular (quarterly) reporting on project implementation. In the case of non-compliance, the AIDA Community Officer with technical support from the Technical Consultant investigates the nature and reason(s) for noncompliance. The AIDA informs the LIC about what is needed to bring a micro-project into compliance. The LIC decides whether actions such as suspending further disbursements should be taken and informs the AIDA of any such decisions.

Step 10: The AIDA makes available information on monitoring of environmental management plans and mitigation measures in its periodic reporting on micro-project implementation to the World Bank and during periodic Bank supervision missions.
10. **Reporting**

The AIDA annually will provide to the World Bank a summary of the micro-projects financed and their environmental impacts in order to assess and prevent any cumulative effects of similar investments. The AIDA will make available to World Bank project supervision missions all environmental assessments and environmental management plans prepared for micro-projects financed.

11. **Management Responsibilities**

The implementation of these Guidelines, monitoring of the projects' environmental performance and fulfillment of reporting obligations are the responsibility of the AIDA Safeguards Coordinator. The front-line representative of the AIDA is the local Community Officer who handles most routine interactions with micro-project proponents and the LIC. The regional Technical Consultant provides technical advice to AIDA Community Officers, LICs and micro-project proponents on an as-needed basis as determined by the AIDA Community Officer.
Environmental Guidelines - Annex A

Screening Categories and Micro-project Eligibility

EXAMPLES OF ELIGIBLE MICRO-PROJECTS

Category B - Intermediate Potential Impact – Environmental Management Plan may be required.

Horticulture, Agriculture, Livestock, Agro-processing and Food Industries

- Agricultural Diversification and high value specialization (flowers, herbs, fruits, honey, improved seed varieties)
- Livestock Industries (herd improvement, finishing, meat and poultry processing, abattoirs)
- Fruit and vegetables processing, preserving and canning
- Manufacture of wines and other fermented beverages
- Purchase of agricultural inputs and farm machinery
- Small scale wood lots

Small Industry, Trades, Retail Commerce and Services

- Tradesman workshops (carpentry, blacksmithing, plumbing and electrical, repair)
- Establishment, refurbishing and stocking of retail shops
- Establishment of food premises and lodging facilities
- Warehouse and storage facilities

Renovation, Rehabilitation and Upgrading of Community Infrastructure

- Renovations of public buildings (schools, clinics, libraries, public recreational facilities)
- Rural roads (repair and upgrading)
- Small scale irrigation facilities (repair and rehabilitation)
- Upgrading of public utilities (e.g. electric transmission lines, water supply, sewerage and sanitation)

Category C - Low Potential Impact

- Marketing and business services
- Professional services
- Handicrafts and similar small production

Category A - High Potential Impact

Small scale mining and mineral processing
Pesticide applications (medium to large scale)
EXAMPLES OF INELIGIBLE MICRO-PROJECTS

- Micro-projects related to existing or proposed storage capacity for explosive or hazardous materials
- Manufacture or sale of hazardous substances such as those with carcinogenic, mutagenic or teratogenic properties including creosotes and chlorinated solvents
- Service and repair of appliances with chloro-fluorocarbons (CFCs)
- Formulation or packaging of pesticides and herbicides
- Mining and mineral extraction (except for small scale sand, stone and gravel)

INELIGIBLE PROJECTS UNDER WORLD BANK POLICY GUIDELINES

- Production or processing of tobacco products
- Production, distribution or sale of illegal pesticides
- Sale of natural products listed under CITES Appendix
- Any activity with significant use of radioactive materials
- Use or production of chlorofluorocarbons (CFCs)
- Production of products containing polychlorinated biphenyls (PCBs)
List of Activity Types subject to EIA according to Kyrgyz Regulations

- Energy sector installations including: central heat and power plants, heating and power stations, hydro-electric stations
- Industrial installations to produce electricity, steam and hot water
- Pipelines for supply of gas, oil, oil products, and heat
- High-voltage electricity transfer lines
- Storage facilities for oil and oil products, gas, and solid fuels
- Ash and slag heaps
- Water reservoirs
- Petroleum, petroleum products and gas extraction and processing enterprises
- Building materials production facilities (cement, asphalt, slate, asbestos pipes, etc.).
- Agriculture and forestry including agricultural intensification projects
- Rural land ownership organization and reorganization projects
- Water resources management for agricultural purposes
- Land re-cultivation projects that involve change of land use category
- Poultry, husbandry and fishery complexes
- Land reclamation projects
- New forest plantations projects
- Forest or brush clearing and rehabilitation projects
- Lumber stockpiling projects
- Mining industry: exploration and operation works, mineral resource mining including marble, basalt, salt, sand, gravel, clay and others), coal mining, ore mining, ore processing, production of non-ferrous, rare and precious metals;
- Waste utilization and land-filling, including hazardous and toxic waste.
- Metal-processing industries including: machinery production, semi-conductor materials production
- Repair of aviation and railway transportation facilities
- Radio and TV equipment production
- Glass production
- Production of pharmaceutical and biological medicines
- Chemical production
- Food industry including: production of fats and oils, production of meat and dairy products, sugar production, tobacco production.
- Textile, leather, and pulp industries including: primary wool and hide processing, production of pressed wood boards, cardboards, leather production, paper production
Environmental Guidelines – Annex A

List of activity types not subject to EIA according to Kyrgyz Regulations

- Routine building repair.
- Building interior works.
- Small construction within a general plan that has previously undergone EIA.
- Inventory and environmental monitoring plans.
- Research and development not causing any environmental damages or dangers.
- Acquisitions not requiring activities negatively influencing the environment.
- Construction of houses and social-cultural facilities, and communications facilities that do not have harmful environmental effect (e.g. that are connected to central heating, water supply and sewage pipes).
PART 1 (to be completed by micro-project proponent with AIDA assistance as needed.)

1. Project Name:

2. Brief Description of Micro-project to include: nature of the project, project cost, physical size, site area, location, property ownership, existence of on-going operations, plans for expansion or new construction.

3. Will the project have impacts on the environmental parameters listed below during construction or operational phases? Indicate during what phase impacts will occur and whether mitigation measures are required with a check.

<table>
<thead>
<tr>
<th>Environmental Issues</th>
<th>Construction Phase</th>
<th>Operational Phase</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Terrestrial environment</td>
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<tr>
<td>Soil erosion</td>
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<tr>
<td>Soil organic loss</td>
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<tr>
<td>Water pollution</td>
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<tr>
<td>Land degradation</td>
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<tr>
<td>Biodiversity loss</td>
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<tr>
<td>Surface or ground water loss</td>
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<tr>
<td>Loss of natural habitats</td>
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<tr>
<td>Aquatic environment</td>
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<tr>
<td>Biodiversity loss</td>
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<tr>
<td>Modification of natural ecosystems</td>
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<tr>
<td>Weed invasion or introduction of non-native species</td>
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<tr>
<td>Sedimentation</td>
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<tr>
<td>Socioeconomic environment</td>
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<tr>
<td>Human health</td>
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<tr>
<td>Occupational safety</td>
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<tr>
<td>Plant pests and diseases</td>
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<tr>
<td>Animal diseases</td>
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<tr>
<td>Social conflict</td>
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</tbody>
</table>
Environmental Screening Checklist

4. For the environmental issues that were indicated above with a check, describe the mitigation measures that will be included during the construction (C) or operational (O) phase of the project or both (B)

<table>
<thead>
<tr>
<th>Environmental Issue</th>
<th>Phase (C, O or B)</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
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PART 2 (To be completed by the LIC and confirmed by the AIDA based on the findings of the environmental screening and scoping process)

5. Environmental “Risk” Category (A, B or C) _____
6. Environmental Assessment required? (yes or no) _____

7. What environmental issues are raised by the project?
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________

8. If an environmental assessment is required, what are the specific issues to be addressed?
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________

9. What is the time frame and estimated cost of conducting the environmental assessment? ____________________________________________
PART 3 (to be completed by the AIDA Community Officer with assistance of the regional Technical Consultant based on review of the mitigation proposed and the environmental assessment report (if required).

10. Was a field site visit carried out? (Y or N) ____.  
   If yes, attach completed Field Site Visit Checklist.

11. Was an Environmental Assessment needed? (Y or N) __.  
   If yes, was it done? __.  
   Have requirements for public consultation been met and fully documented? (Y or N) __

12. Was an Environmental Management Plan prepared? (Y or N) __

13. Are the mitigation measures to be included in project implementation adequate and appropriate? (Y or N) __

14. Will the project comply with existing pollution control standards for emissions and wastes? (Y or N) __.  
   If No, will an exemption be sought? __

15. Is an Environmental Monitoring Plan necessary? (Y or N) __.  
   If so, has it been prepared? (Y or N) __.  
   Approved by the AIDA and MEES? __

16. What follow-up actions are required by the proponent, the LIC or the AIDA?  

17. For Category A or B micro-projects, were public consultations held concerning potential environmental impacts of the proposed micro-project? (Y or N) __.  
   Were minutes recorded? (Y or N) __

<table>
<thead>
<tr>
<th>Dates of Consultations</th>
<th>Participants</th>
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</thead>
<tbody>
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</tbody>
</table>

Signatures:

AIDA Community Officer: Date:

AIDA Technical Consultant: Date:
### Field Site Visit Checklist

**Project Name:**

**Date/time of Visit:**

**Oblast/Raion/Ayl Okmotu/Village:**

**Visitors:**

#### Location

- Obtain a site map or make a sketch
- Locate site on local map or indicate area (e.g. for grazing)

#### Current activity and site history

- Who is the site contact (name, position, contact information)?
- What is the area of the site to be used for project activities?
- What are current uses of the site?
- What were previous uses of the site (give dates if possible)?

#### Environmental Situation

- Are there sensitive sites nearby (nature reserves, cultural sites, historical landmarks)?
- Is anything known about the geology/hydrology of the site? Are there water courses on the site?
- What is the terrain or slope?
- Is the site on a flood plain or water protection area?
- Does the site experience flooding, waterlogging or landslides? Are there signs of erosion?
- What are the neighboring buildings (e.g. schools, dwellings, industries) and land uses? Estimate distances.
- Will the proposed site effect transportation or public utilities?

#### Licenses, Permits and Clearances

- Does the site require licenses or permits to operate the type of activity proposed?
  
  Have these been obtained? Are these available for inspection?
- What environmental or other authorities (e.g. health, forestry) have jurisdiction over the site?

#### Water Quality Issues

- Does the proposed activity use water for any purposes (give details and estimate quantity). What is the source?
- Will the proposed activity produce any effluent? (estimate quantity and identify discharge point)
- Is there a drainage system on site for surface waters or sewage?
- Is there a plan available of existing drainage or septic systems?
- How is waste water managed (dry wells, septic tanks)?
Soils

- What is the ground surface (agricultural land, pasture, etc.)?
- Will the project damage soils during construction or operations?
- Will the project effect the landscape significantly (draining wetlands, changing stream courses)?

Biological environment

- Describe vegetation cover on the site.
- Is there information about rare or threatened flora and fauna at or near the site?
  If yes, would the project have an impact or increase risk to the species?
- Obtain a list of vertebrate fauna and common plants of the site (if available).
- Note potential negative impacts on biota if project proceeds.

Visual Inspection Procedures

- Try to get a site map or make a sketch to mark details.
- Take photos if permitted.
- Walk over as much of the site as possible including boundaries to note adjacent activities.
- Note any odors, smoke or dust emissions, standing water, etc.

Remarks:

Signatures and Dates

AIDA Community Officer: Date:

AIDA Technical Consultant: Date:
Environmental Impacts and Mitigation Measures for Representative Micro-projects

The following tables provide "good practice" guidance on the types of environmental impacts and the mitigation measures that can be employed to avoid or eliminate negative impacts for several "typical" micro-project types that may be financed under the AIDA. These include the following project types, construction or renovation of: primary health care and education facilities; water supply, small-scale irrigation, domestic wastewater and sewage renovation and construction; solid waste management; and small scale processing industries.

Environmental Protection and Mitigation Checklist: Water Supply Projects

<table>
<thead>
<tr>
<th>Environmental and Social Elements</th>
<th>Impacts</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Physical Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Soils</td>
<td>Degradation of soil cover, erosion</td>
<td>Protect soil during construction, revegetation or physical stabilization of slopes</td>
</tr>
<tr>
<td>Water Resources</td>
<td>Contamination of water resources, overuse of aquifers, inadequate waste water disposal or treatment, creation of stagnant pools</td>
<td>Protection from livestock, minimum distance for existing structures and agricultural areas; siting of infrastructure and link to sanitation projects</td>
</tr>
<tr>
<td>Acoustic Environment</td>
<td>Noise disturbance from pumping stations</td>
<td>Site selection</td>
</tr>
<tr>
<td>Biological Environment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Natural Habitats</td>
<td>Disturbance of natural habitats</td>
<td>Site baseline studies</td>
</tr>
<tr>
<td>Fauna and Flora</td>
<td>Loss or degradation of vegetation, impact on aquatic systems, disruption of wildlife</td>
<td>Siting studies, quantitative water flow studies, protection or restoration of vegetation</td>
</tr>
<tr>
<td><strong>Social Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aesthetics and Landscape</td>
<td>Marred landscape, debris</td>
<td>Minimize construction impact and include site cleanup</td>
</tr>
<tr>
<td>Human Health</td>
<td>Waterborne diseases</td>
<td>Correct design, water analysis, ongoing monitoring and treatment</td>
</tr>
<tr>
<td>Human Communities</td>
<td>Involuntary resettlement</td>
<td>Site selection</td>
</tr>
<tr>
<td></td>
<td>Loss of buildings or property</td>
<td>Compensation as per OD 4.20</td>
</tr>
</tbody>
</table>
## Environmental Guidelines - Annex D

### Environmental Protection and Mitigation Checklist: Primary Health Care and Education Facilities

<table>
<thead>
<tr>
<th>Environmental and Social Elements</th>
<th>Impacts</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Physical Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Soils</td>
<td>Contamination from waste materials</td>
<td>Protection of soil surfaces during construction, landscaping, provision of waste containers and adequate disposal services</td>
</tr>
<tr>
<td>Water Resources</td>
<td>Blockage of drainage works Reduced water quality due to contamination Introduction of hazardous (medical) wastes</td>
<td>Attention to drainage; proper disposal of fuels, lubricants, and other hazardous materials, install sanitation and waste disposal systems</td>
</tr>
<tr>
<td>Air Quality</td>
<td>Dust during construction Low interior air quality Odors</td>
<td>Dust control by water or other means; proper storage of chemicals and ventilation; appropriate design, siting and waste containment</td>
</tr>
<tr>
<td>Acoustic Environment</td>
<td>Noise disturbance of neighbors and natural habitats</td>
<td>Restrict construction and operation to certain hours</td>
</tr>
<tr>
<td><strong>Biological Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Natural Habitats</td>
<td>Disturbance of natural habitats</td>
<td>Minimize loss of natural vegetation during construction; site selection; various measures for site management and sensitive species</td>
</tr>
<tr>
<td>Fauna and Flora</td>
<td>Loss or degradation of vegetation Disruption or destruction of wildlife</td>
<td>Minimize removal of natural vegetation during construction; consider alternative sites; special measures for sensitive species</td>
</tr>
<tr>
<td><strong>Social Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aesthetics and Landscape</td>
<td>Debris, waste</td>
<td>Clean up construction site, solid waste disposal system</td>
</tr>
<tr>
<td>Historical and Cultural Sites</td>
<td>Degradation of sites Damage to structures</td>
<td>Consider alternative sites; special measures to protect buildings or other priority sites</td>
</tr>
<tr>
<td>Human Health</td>
<td>Construction accidents Medical wastes; sewage</td>
<td>Employ safe practices, systems designed for waste containment and disposal</td>
</tr>
<tr>
<td>Human Communities</td>
<td>Involuntary resettlement Loss of buildings, property, income or livelihood Disruption due to traffic</td>
<td>Compensation per OD 4.20; good site selection; community consultation and participation in EA</td>
</tr>
</tbody>
</table>
## Environmental Protection and Mitigation Checklist: Small Scale Irrigation Projects

<table>
<thead>
<tr>
<th>Environmental and Social Elements</th>
<th>Impacts</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Physical Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Soils</td>
<td>Increased soil erosion</td>
<td>Proper siting of infrastructure; testing of water sources; training of farmers; system design, drainage and percolation studies</td>
</tr>
<tr>
<td></td>
<td>Waterlogging from poor drainage</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Salinization or chemical toxicity</td>
<td></td>
</tr>
<tr>
<td><strong>Water Resources</strong></td>
<td>Surface water quality degradation, de-oxygenation of receiving water, pollution with agrochemicals and salts, degradation of aquatic ecosystems due to pollution and change in hydrological regime, Depletion or contamination of aquifers</td>
<td>Proper baseline studies of water sources; control of agrochemical use; downstream water quality monitoring; proper design and maintenance of infrastructure; regional water use plan</td>
</tr>
<tr>
<td><strong>Biological Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Natural Habitats</td>
<td>Disturbance of aquatic systems, algal blooms, weed growth</td>
<td>Baseline studies and alternative site evaluation; maintenance of minimal water flow at critical periods; filter or treat runoff</td>
</tr>
<tr>
<td><strong>Fauna and Flora</strong></td>
<td>Disruption or destruction of wildlife</td>
<td>Site selection, attention to water flow requirements and quality in project design</td>
</tr>
<tr>
<td><strong>Social Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aesthetics and Landscape</td>
<td>Odors and eutrophication of receiving waters</td>
<td>Treatment of runoff, monitoring of downstream water quality</td>
</tr>
<tr>
<td>Human Health</td>
<td>Risk of waterborne disease from human and animal waste contamination; effects of chemical contamination of potable water</td>
<td>Education in sanitation and health practices; avoidance of stagnant water; fencing livestock; runoff treatment and monitoring</td>
</tr>
<tr>
<td>Human Communities</td>
<td>Involuntary resettlement</td>
<td>Adequate compensation for losses; community participation in design and EA consultation; regional water allocation plan</td>
</tr>
<tr>
<td></td>
<td>Loss of property or livelihood</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conflict over water use rights</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conflicting land use demands</td>
<td></td>
</tr>
</tbody>
</table>
Environmental Protection and Mitigation Checklist: Domestic Wastewater and Sewage Projects

<table>
<thead>
<tr>
<th>Environmental and Social Elements</th>
<th>Impacts</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Physical Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Soils</td>
<td>Degradation of soil cover</td>
<td>Control for erosion and limit disturbance during construction</td>
</tr>
<tr>
<td><strong>Water Resources</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Point source pollution at discharge pipe; downstream water quality degradation; de-oxygenation of receiving waters; contamination of ground water Odors</td>
<td>Select appropriate technology for wastewater treatment (settling pond, aeration, filtration); siting studies; adequate training and maintenance; monitoring Proper design, operation and maintenance of treatment facilities; alternative siting</td>
</tr>
<tr>
<td><strong>Air Quality</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Biological Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Natural Habitats</td>
<td>Disturbance of natural habitats</td>
<td>Alternative sites; monitor outflow</td>
</tr>
<tr>
<td>Fauna and Flora</td>
<td>Disruption or destruction of wildlife</td>
<td>Alternative sites</td>
</tr>
<tr>
<td><strong>Social Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aesthetics and Landscape</td>
<td>Odors</td>
<td>Proper design and maintenance</td>
</tr>
<tr>
<td>Human Health</td>
<td>Disease transmission</td>
<td>Select appropriate technology; training for maintenance; monitoring of releases; warning mechanism in event of system failure</td>
</tr>
<tr>
<td></td>
<td>Construction accidents</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Nuisance due to improper disposal of effluents</td>
<td></td>
</tr>
<tr>
<td>Human Communities</td>
<td>May impact downstream water users</td>
<td>Adequate participation in design and consultation during EA</td>
</tr>
</tbody>
</table>
Environmental Guidelines - Annex D

Environmental Protection and Mitigation Checklist:
Solid Waste Management Projects

<table>
<thead>
<tr>
<th>Environmental and Social Components</th>
<th>Impacts</th>
<th>Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Physical Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Soils</td>
<td>Point source pollution and seepage from landfills; contamination from illegal dumping</td>
<td>Adequate siting studies and good design standards; consideration of alternative sites; adequate drainage</td>
</tr>
<tr>
<td>Water Resources</td>
<td>Pollution of surface or ground waters from seepage</td>
<td>Site selection; appropriate technology; monitoring</td>
</tr>
<tr>
<td>Air Quality</td>
<td>Particulates and smoke from burning, odors</td>
<td>Spread and cover wastes, minimize burning or use high temperature incineration; site studies; gas recovery or venting</td>
</tr>
<tr>
<td><strong>Biological Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Natural Habitats</td>
<td>Disturbance or loss of natural habitats</td>
<td>Site studies and alternatives</td>
</tr>
<tr>
<td>Fauna and Flora</td>
<td>Loss or degradation of vegetation Disruption or destruction of wildlife</td>
<td>Site studies and alternatives</td>
</tr>
<tr>
<td><strong>Social Environment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aesthetics and Landscape</td>
<td>Odors</td>
<td>Proper site operation and maintenance, siting design to minimize visual impact; efficient and reliable collection and transportation of wastes; recycling programs</td>
</tr>
<tr>
<td>Landscape</td>
<td>Marred landscape</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Increased debris and litter</td>
<td></td>
</tr>
<tr>
<td><strong>Human Health</strong></td>
<td>Disease transmission</td>
<td>Minimize stagnant water on site, open burning or storage</td>
</tr>
<tr>
<td></td>
<td>Hazardous chemicals in air or water</td>
<td>Separate waste streams for medical and industrial wastes; training of workers; development of operational and maintenance plans, regular monitoring</td>
</tr>
<tr>
<td></td>
<td>Safety and health hazards from medical and industrial wastes</td>
<td>Compensation as per OD 4.20</td>
</tr>
<tr>
<td><strong>Human Communities</strong></td>
<td>Involuntary resettlement</td>
<td>Alternate sites and waste delivery routes and schedules</td>
</tr>
<tr>
<td></td>
<td>Reduction in property values and use options near landfill</td>
<td>Landscaping and use of terrain feature to reduce visual impact of site</td>
</tr>
<tr>
<td></td>
<td>Acoustic and air quality impact from increased truck traffic</td>
<td></td>
</tr>
</tbody>
</table>
Content of an Environmental Assessment

An environmental assessment report for a Category A or Category B project focuses on the significant environmental issues raised by a project. The primary purpose is to identify those measures that, if incorporated into the design and implementation of a project can assure that the negative environmental effects will be minimized. The scope and level of detail required in the analysis depend on the magnitude and severity of potential impacts.

The environmental assessment report should include the following elements:

(a) **Executive Summary.** This concisely summarizes the significant findings and recommended actions.

(b) **Policy, legal and administrative framework.** This section succinctly summarizes the legal and regulatory framework that applies to environmental management in the jurisdiction where the study is done.

(c) **Project Description.** Describes the nature and scope of the project and the geographic, ecological, temporal and socioeconomic context in which the project will be carried out. The description should identify social groups that will be effected, include a map of the project site, and identify any off-site or support facilities that will be required for the project.

(d) **Baseline data.** Describe relevant physical, biological and social condition including any significant changes anticipated before the project begins. Data should be relevant to project design, location, operation or mitigation measures.

(e) **Environmental impacts.** Describe the likely or expected positive and negative impacts in quantitative terms to the extent possible. Identify mitigation measures and estimate residual impacts after mitigation. Describe the limits of available data and uncertainties related to the estimation of impacts and the results of proposed mitigation.

(f) **Analysis of Alternatives.** Systematically compare feasible alternatives to the proposed project location, design and operation including the "without project" alternative in terms of their relative impacts, costs and suitability to local conditions. For each of the alternatives quantify and compare the environmental impacts and costs relative to the proposed plan.

(g) **Environmental Management Plan.** If significant impacts requiring mitigation are identified, the EMP defines the mitigation that will be done, identifies key monitoring indicators and any needs for institutional strengthening for effective mitigation and monitoring to be carried out.
Appendices. These should include:

(i) The list of EA preparers;

(ii) References used in study preparation;

(iii) A chronological record of interagency meetings and consultations with NGOs and effected constituents;

(iv) Tables reporting relevant data discussed in the main text, and;

(v) A list of associated reports such as resettlement plans or social assessments that were prepared for the project.

Terms of reference for preparation of an environmental assessment should include this description of the study contents, and specify the composition and qualifications of the study team, the duration of the studies, the scope and nature of any primary data collection and field visits that will be required. The TORs should also include a schedule of reporting and the nature and constituencies for consultations with stakeholders that are to be carried out.

Content of an Environmental Management Plan and Monitoring Plan

An environmental Management Plan (EMP) outlines the mitigation, monitoring and institutional strengthening measures to be taken during project implementation to avoid or eliminate negative environmental impacts. For projects of intermediate environmental risk (Category B) an EMP may be an effective way of summarizing the activities needed to achieve effective mitigation of negative environmental impacts.

The format provided in this annex provides a model for development of an EMP. The model divides the project cycle into three phases: construction, operation and decommissioning. For each phase, the preparation team identifies any significant environmental impacts that are anticipated based on the analysis done in the context of conducting an environmental review or preparing an environmental assessment (if required). For each impact, mitigation measures are identified and listed. Estimates are made of the cost of mitigation actions broken down by estimates for installation (investment cost) and operation (recurrent cost). The EMP format also provides for the identification of institutional responsibilities for installation and operation of mitigation devices and methods.

To keep track of the requirements, responsibilities and costs for monitoring the implementation of environmental mitigation identified in the analysis included in an environmental review or assessment for Category B or A projects, respectively, a
monitoring plan may be useful. A format is provided in this annex. Like the EMP the project cycle is broken down into three phases (construction, operation and decommissioning). The format also includes a row for baseline information that is needed to achieve reliable and credible monitoring. The key elements of the matrix are:

- What is being monitored?
- Where is monitoring done?
- How is the parameter to be monitored to ensure meaningful comparisons?
- When or how frequently is monitoring necessary or most effective?
- Why is the parameter being monitored (what does it tell us about environmental impact)?

In addition to these questions, it is useful to identify the costs associated with monitoring (both investment and recurrent) and the institutional responsibilities.

When a monitoring plan is developed and put in place in the context of project implementation, the AIDA will request reports from the LIC at appropriate intervals and include the findings in its periodic reporting to the World Bank and make the findings available to Bank staff in the course of supervision missions.
### Environmental Management Plan Format

<table>
<thead>
<tr>
<th>Phase</th>
<th>Environmental Impact</th>
<th>Mitigating Measure(s)</th>
<th>Cost</th>
<th>Institutional Responsibility</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction</td>
<td></td>
<td></td>
<td></td>
<td>Install</td>
<td></td>
</tr>
<tr>
<td>Operation</td>
<td></td>
<td></td>
<td>Install</td>
<td>Operate</td>
<td></td>
</tr>
<tr>
<td>Decommissioning</td>
<td></td>
<td></td>
<td></td>
<td>Install</td>
<td></td>
</tr>
</tbody>
</table>
### Environmental Monitoring Plan Format

<table>
<thead>
<tr>
<th>Phase</th>
<th>What parameter is to be monitored?</th>
<th>Where will the parameter be monitored?</th>
<th>How will the parameter be monitored?</th>
<th>When will the parameter be monitored?</th>
<th>Why is the parameter being monitored?</th>
<th>Cost</th>
<th>Institutional Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Construction</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Operation</td>
<td></td>
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<tr>
<td>Decommissioning</td>
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</tbody>
</table>
Final Environmental Assessment Checklist

Prior to final appraisal of a micro-project the AIDA Community Officer will check to see that all necessary documentation related to environmental impacts and mitigation, permits for discharge and operations and other related documentation is complete. In completing this checklist the AIDA Community Officer should review the preliminary environmental checklist and any site visit reports.

1. Is the project documentation complete?  
   If not what is missing?

2. Are land use and resource use permits required?  
   If so have they been received?

3. Are discharge permits required for solid waste?  
   If so have they been received?

4. Are discharge permits required for wastewater discharge?  
   If so have they been received?

5. Is there a sanitary inspection required?  
   Has a permit been issued?

6. If required, has the environmental assessment been received and approved by state authorities?

7. Is there potential for soil degradation or contamination?  
   If yes, have appropriate prevention or mitigation measures been planned and budgeted?

8. Is there potential for water quality degradation or contamination?  
   If yes, have appropriate prevention or mitigation measures been planned and budgeted?

9. Is there potential for air quality degradation or contamination?  
   If yes, have appropriate prevention or mitigation measures been planned and budgeted?

10. Is there a threat to the biological environment?  
    If yes, have appropriate prevention or mitigation measures been planned and budgeted?

11. Is there potential for adverse impacts on the social environment?  
    If yes, are there necessary prevention, mitigation or compensation measures planned and budgeted?

12. Was the level of public involvement in design and planning and public consultation sufficient?

13. Were public concerns raised in the consultation process adequately addressed?

14. Was an Environmental Management Plan prepared?

15. Was an Environmental Monitoring Plan prepared?
16. What is the desired level, frequency and scope of environmental monitoring during the construction phase?

17. What is the desired level, frequency and scope of environmental monitoring during the operational phase?

Signatures:

AIDA Community Officer: ___________________________ Date: __________________

AIDA Technical Consultant: __________________________ Date: __________________
World Bank Safeguard Policies

The full text of World Bank Safeguard Policies and relevant Operational Procedures are available on the internet in English and Russian. URLs are given in the table at the end of this annex. The brief notes given below are meant to provide indications to AIDA staff and technical consultants of situations where further consultation of specific requirements may be advised.

**OP 4.01 Environmental Assessment**

EA is a process whose breadth, depth, and type of analysis depend on the nature, scale, and potential environmental impact of the proposed project. EA evaluates a project's potential environmental risks and impacts in its area of influence; examines project alternatives; identifies ways of improving project selection, siting, planning, design, and implementation by preventing, minimizing, mitigating, or compensating for adverse environmental impacts and enhancing positive impacts; and includes the process of mitigating and managing adverse environmental impacts throughout project implementation. The Bank favors preventive measures over mitigatory or compensatory measures, whenever feasible.

EA takes into account the natural environment (air, water, and land); human health and safety; social aspects (involuntary resettlement, indigenous peoples, and cultural property); and transboundary and global environmental aspects. EA considers natural and social aspects in an integrated way. EA is initiated as early as possible in project processing, and is integrated closely with the economic, financial, institutional, social, and technical analyses of a proposed project.

**OP 4.04 Natural Habitats**

The Bank promotes and supports natural habitat conservation and improved land use by financing projects designed to integrate into national and regional development the conservation of natural habitats and the maintenance of ecological functions. Furthermore, the Bank promotes the rehabilitation of degraded natural habitats. The Bank does not support projects that involve the significant conversion or degradation of critical natural habitats.

**OP 4.09 Pest Management**

In assisting borrowers to manage pests that affect either agriculture or public health, the Bank supports a strategy that promotes the use of biological or environmental control methods and reduces reliance on synthetic chemical pesticides.

The Bank requires that any pesticides it finances be manufactured, packaged, labeled, handled, stored, disposed of, and applied according to standards acceptable to the Bank. The FAO's *Guidelines for Packaging and Storage of Pesticides* (Rome, 1985), *Guidelines on Good Labeling Practice for Pesticides* (Rome, 1985), and *Guidelines for the Disposal of Waste Pesticide and Pesticide Containers on the Farm* (Rome, 1985) are used as minimum standards.
OP 4.11 Cultural Property

The United Nations term "cultural property" includes sites having archeological (prehistoric), paleontological, historical, religious, and unique natural values. Cultural property, therefore, encompasses both remain left by previous human inhabitants (for example, middens, shrines, and battlegrounds) and unique natural environmental features such as canyons and waterfalls.

The Bank normally declines to finance projects that will significantly damage non-replicable cultural property, and will assist only those projects that are sited or designed so as to prevent such damage.

OP 4.36 Forests

The management, conservation, and sustainable development of forest ecosystems and their associated resources are essential for lasting poverty reduction and sustainable development. The Bank does not finance plantations that involve any conversion or degradation of critical natural habitats, including adjacent or downstream critical natural habitats. In view of the potential for plantation projects to introduce invasive species and threaten biodiversity, such projects must be designed to prevent and mitigate these potential threats to natural habitats.

The Bank may finance harvesting operations conducted by small-scale landholders, by local communities under community forest management, or by such entities under joint forest management arrangements, if these operations: (a) have achieved a standard of forest management developed with the meaningful participation of locally affected communities, consistent with the principles and criteria of responsible forest management; or (b) adhere to a time-bound phased action plan to achieve such a standard. The action plan must be developed with the meaningful participation of locally-affected communities and be acceptable to the Bank. The borrower monitors all such operations with the meaningful participation of locally-affected communities.

OP 4.37 Safety of Dams

The Bank distinguishes between small and large dams. Small dams are normally less than 15 meters in height. This category includes, for example, farm ponds, local silt retention dams, and low embankment tanks. For small dams, generic dam safety measures designed by qualified engineers are usually adequate.

OP 4.76 Tobacco

The Bank does not lend directly for, invest in, or guarantee investments or loans for tobacco production, processing, or marketing.

OP 7.50 International Waterways

This policy applies to the following types of international waterways: (a) any river, canal, lake, or similar body of water that forms a boundary between, or any river or body of surface water
that flows through, two or more states; (b) any tributary or other body of surface water that is a component of any waterway described above. This policy applies to the following types of projects: hydroelectric, irrigation, flood control, navigation, drainage, water and sewerage, industrial, and similar projects that involve the use or potential pollution of international waterways as described above. For micro-projects that fall within this domain the AIDA should consult the detailed policy and guidelines described in OP 7.50 (available on the internet – see below).

OP 7.60 Disputed Areas

Projects in disputed areas may raise a number of delicate problems affecting relations not only between the Bank and its member countries, but also between the country in which the project is carried out and one or more neighboring countries. In order not to prejudice the position of either the Bank or the countries concerned, any dispute over an area in which a proposed project is located is dealt with at the earliest possible stage.

Reference Documents for World Bank Operational Policies (OP) and Procedures (BP) Relevant to Environmental Assessment and World Bank Safeguard Policies (in English)

OP 4.01 Environmental Assessment

BP 4.01 Environmental Assessment

OP 4.04 Natural Habitats

BP 4.04 Natural Habitats

OP 4.09 Pest Management

OP 4.11 Cultural Property
Reference Documents for World Bank Operational Policies (OP) and Procedures (BP)
Relevant to Environmental Assessment and World Bank Safeguard Policies
(in Russian)

World Bank Reference Site for Operational Policies and Bank Procedures in Russian

OP 4.01 Environmental Assessment

BP 4.01 Environmental Assessment

OP 4.09 Pest Management

OP 4.36 Forestry

OP 7.50 Projects on International Waterways

BP 7.50 Projects on International Waterways

OP 7.60 Projects in Disputed Areas

BP 7.60 Projects in Disputed Areas
Kyrgyz Republic – Village Investment Project:
Overview of the AIDA Environmental Review and Management Process

<table>
<thead>
<tr>
<th>Steps</th>
<th>Lead Responsibility</th>
<th>Key Participants or Parties to be Consulted</th>
<th>Tools/Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Concept Initiation</td>
<td>Project Proponent</td>
<td>VIC, LIC and AIDA Community Officer</td>
<td>Project Categories and Eligibility (Annex A) Environmental Screening Checklist (Annex B – Part 1)</td>
</tr>
<tr>
<td>2. Sub-project Screening</td>
<td>AIAY Okmotu Investment Council (LIC)</td>
<td>LIC and AIDA Community Officer</td>
<td>Environmental Screening Checklist (Annex B – Part 2)</td>
</tr>
<tr>
<td>3. Sub-Project Scoping and Preliminary Statement Issued by MEES</td>
<td>AIDA Community Officer and LIC</td>
<td>LIC and AIDA Community Officer, MEES State Environmental Inspector (Raion Level) Other agencies as appropriate</td>
<td>Field Site Visit Checklist (Annex C) Recommendations for Mitigation (MEES) and other agencies as appropriate</td>
</tr>
<tr>
<td>4. Public Consultation</td>
<td>LIC and Micro-project Proponent</td>
<td>Project Proponent Community, affected groups</td>
<td>Formal minutes of meeting(s) should document issues raised by public and steps taken to address or accommodate them</td>
</tr>
<tr>
<td>5. Environmental Review or Assessment (if required)</td>
<td>Project Proponent Technical Consultant</td>
<td>LIC Environmental Volunteer, MEES (Oblast Level)</td>
<td>TORs to be provided by AIDA Technical Consultant (Annex E), AIDA to finance EA or EIA</td>
</tr>
<tr>
<td>6. Public Consultation (as part of EA/EIA process)</td>
<td>EA/EIA Contractor</td>
<td>LIC, AIDA Community Officer, community stakeholders and affected groups</td>
<td>Formal minutes of meeting should document issues raised and actions agreed to address public concerns</td>
</tr>
<tr>
<td>7. EA finalized and accepted. Final statement issued by MEES</td>
<td>EA/EIA Contractor MEES (Oblast)</td>
<td>MEES (Oblast) Other agencies as appropriate</td>
<td>Annex E. Environmental Management Plan and Monitoring Plans (if required).</td>
</tr>
<tr>
<td>Steps</td>
<td>Lead Responsibility</td>
<td>Key Participants or Parties to be Consulted</td>
<td>Tools/Remarks</td>
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<td>Decision 4. Is the sub-project approved for financing? (LIC and AIDA Management)</td>
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<td>9. Construction (mitigation and monitoring)</td>
<td>Proponent, Construction Contractor</td>
<td>LIC and MEES monitor agreed actions, AIDA Technical Contractor reviews findings or reports. Note: MEES can halt construction for failure to comply with agreed design and mitigation requirements.</td>
<td>Environmental Management Plan (Annex E) or Mitigation Measures outlined in Environmental Screening Checklist (Annex B - Part A) and MEES Statement (Step 7).</td>
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<td>Decision 5. Have mitigation measures been satisfactorily incorporated? If yes, MEES approves Environmental Passport (including discharge permits).</td>
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<td>10. Operations (Monitoring)</td>
<td>Proponent, for operations. LIC and MEES for monitoring.</td>
<td>Authorized state bodies as appropriate (e.g. Ministry of Health, MAWPI, Dept. of Forestry). AIDA Community Officer and Technical Consultant (backstopping and problem solving) If MEES or the LIC inform the AIDA that a sub-project is not in compliance with agreed mitigation measures or discharge levels the AIDA Community Officer will consult with MEES and the proponent to determine what steps are necessary to bring the sub-project back into compliance.</td>
<td>Mitigation measures from Environmental Checklist (Annex B - Part 1). Environmental Management Plan, and/or, Monitoring Plan if they were done. (Annex E) MEES Environmental Passport (including annual discharge permits, if any). The AIDA Community Officer should periodically follow up with MEES and other ministries as appropriate, to document monitoring and findings and include in regular reporting to AIDA Management and the World Bank</td>
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<td>Decision 6. If a subproject is found to be noncompliant with agreed mitigation measures (approved Environmental Passport) or discharge levels (permits), after reasonable attempts to resolve the problem, AIDA Management will, after notification of the proponent and consultation with MEES and the LIC, suspend further financing of the subproject and inform the appropriate enforcement agency (ies).</td>
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