Ukrainian Social Investment Fund
COMMUNITY SOCIAL SUPPORT PROJECT

Environmental and Social Management Plan

Table of contents

LIST OF ACRONYMS........................................................................................................................................1

EXECUTIVE SUMMARY .................................................................................................................................2

1. DESCRIPTION OF PROJECT ACTIVITIES WHICH REQUIRE ENVIRONMENTAL AND SOCIAL ASSESSMENT .........................................................................................................................3

2. UKRAINIAN AND THE WORLD BANK ENVIRONMENTAL AND SOCIAL ASSESSMENT POLICIES, RULES AND PROCEDURES ...............................................................................................5
   2.1. UKRAINIAN LEGISLATION REGULATING ENVIRONMENTAL ASSESSMENT ..............................................5
   2.2. WORLD BANK SAFEGUARDS POLICIES ..................................................................................................6
   2.3. COMPARATIVE REVIEW OF THE WORLD BANK SAFEGUARD POLICIES AND UKRAINIAN ENVIRONMENTAL NORMS ............................................................................................7

3. POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS OF CSS PROJECT ACTIVITIES ..........7
   3.1. POTENTIAL IMPACTS DURING SMALL-SCALE CONSTRUCTION AND RECONSTRUCTION WORKS ..........8
   3.2. POTENTIAL SOCIAL ISSUES ................................................................................................................8
   3.3. SCREENING/IDENTIFICATION OF POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS .....................9

4. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN IN THE FORM OF CHECKLIST (ESMP-CL) FOR MICRO-PROJECTS ...........................................................................................................9
   4.1. ESMP-CL OVERVIEW ...........................................................................................................................9
   4.2. ESMP-CL PREPARATION AND IMPLEMENTATION .................................................................................10
   4.3. INSTITUTIONAL ARRANGEMENTS ........................................................................................................11

5. DISCLOSURE AND CONSULTATIONS ........................................................................................................11
   ANNEX 1. GENERAL OVERVIEW OF UKRAINIAN ENVIRONMENTAL LEGISLATION ....................................12
   ANNEX 2. LIST OF LEGISLATIVE ACTS RELEVANT FOR ENVIRONMENTAL ASSESSMENT IN UKRAINE ........15
   ANNEX 3. LIST OF TYPES OF ACTIVITIES AND OBJECTS OF HIGH ENVIRONMENTAL HAZARD ..................17
   ANNEX 4. SCREENING ENVIRONMENTAL AND SOCIAL ISSUES OF POTENTIAL MICRO-PROJECT ........20
   ANNEX 5. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 1: DESCRIPTION OF MICRO-PROJECT ........22
   ANNEX 6. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 2: MITIGATION PLAN ....................................24
   ANNEX 7. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 3: MONITORING PLAN .................................26
   ANNEX 8. MINUTES OF PUBLIC CONSULTATION MEETING ON DRAFT ESMP ...........................................28
   ANNEX 9. REFERENCE LIST OF THEMES TO BE COVERED DURING CAPACITY BUILDING TRAININGS ..........29

List of Acronyms

CMU    Cabinet of Ministers of Ukraine
CSSP   Community Social Support Project
EA     Environmental Assessment
EIA    Environmental Impact Assessment
ESIA   Environmental and Social Impact Assessment
ESMP   Environmental and Social Management Plan (project level)
ESMP-CL Environmental and Social Management Plan-Checklist (sub-project level)
MENR   Ministry of Ecology and Natural Resources
MRDC   Ministry of Regional Development and Construction
OM     Operational Manual
OP     Operational Policy
OSA    Oblast State Administration
EXECUTIVE SUMMARY

1. **Project objective.** The proposed Community Social Support (CSS) project is designed to improve access to and quality of basic public infrastructure and social care services in selected communities. Development priorities would be elicited directly from beneficiary communities. This objective will be achieved through: (i) investments in demand-driven infrastructure and basic services including inter-community infrastructure (ii) investments in the provision of social care services to vulnerable population groups in their communities; (iii) improvements in local governments’ capacity to manage community development needs through participatory methods, (iv) improvements in central government capacity to coordinate and oversee social care service delivery. A consistent use of citizen engagement mechanisms in local governments’ practices would be a cross-cutting approach in project activities.

2. **Description of project activities relevant for ESMP.** The project would invest in demand-driven subprojects (micro-projects) in eligible communities from about 60 vulnerable rayons selected across the country based on their infrastructure- and poverty-related vulnerability characteristics, as well as fiscal challenges emerging from the on-going decentralization. It would finance three categories of micro-projects: (i) community-prioritized small-scale infrastructure micro-projects; (ii) inter-community micro-projects for infrastructure/services that benefit several communities; and (iii) micro-projects in social care services for vulnerable groups.

The specific type of infrastructure would be decided by communities. Investments would be made in rehabilitation or construction of key publicly owned infrastructure that could include *inter alia:* potable water systems, irrigation infrastructure, sewerage and drainage systems, secondary roads, kindergartens, community centers, parks etc. Depending on the priority needs identified by selected communities, other small-scale investments may be financed (social, economic, environmental). For sustainability concerns the project would not invest in health facilities and would have eligibility criteria for selection of secondary schools based on: (i) school capacity utilization in rural areas; and (ii) number of students enrolled.

The abovementioned project activities will be implemented through the Ukrainian Social Investment Fund (USIF), which will operate also through its regional offices.

4. **Project category.** The World Bank has established its social and environmental safeguard policies in order to prevent and mitigate potential adverse impacts associated with the Bank's lending operations to people and their environment. These policies are triggered if a project is likely to have potential adverse environmental risks and impacts on the natural environment (air, water and land); human health and safety; social wellbeing; physical cultural resources.

In accordance with the Bank’s safeguard policies and procedures, including OP/BP/GP 4.01 *Environmental Assessment*, the project is assigned category B. According to this category, subprojects described above require environmental and social assessment procedure which should be in compliance with Ukrainian legislation and World Bank safeguard policies. The Borrower is responsible for carrying on environmental and social assessment and providing information to the public through public consultation.
5. **Potential environmental and social impacts.** Micro-projects to be supported under the project (construction and reconstruction activities) might cause some environmental impacts that can be summarized as follows:

- soil and air pollution; acoustic, aesthetics impacts, construction waste etc. Overall, in most cases these impacts will be site-specific and temporary, and can be easily mitigated through good project design and implementation practices;

Implementation of micro-projects will have positive social impacts, however, negative social impact may also occur:

- Dust, noise and traffic related to construction works;
- Change of previous purpose of buildings; additional traffic and permanent movement of people due to changed function of the facility;
- Loss of access to some social services during construction/reconstruction period.

6. **Environmental screening.** Each micro-project proposed for support under CSS project will be subject to environmental screening, conducted by project proponent in accordance with the provisions of the project ESMP and OM. Micro-projects activities fall under World Bank Category "low-B", which requires preparation of Environmental and Social Management Plan in the form of checklist (ESMP-CL).

7. **Environmental and Social Management Plan (ESMP).** In order to address safeguard issues, an Environmental and Social Management Plan for the project has been developed. In accordance with this Plan, for all micro projects site-specific ESMP-CLs will be developed and implemented. These ESMP-CLs will specify potential adverse environmental and social impacts and mitigation measures. Within ESMP-CLs, the Environmental Monitoring Plans will be prepared for each micro-project, where monitoring indicators, timing, methods, and institutional responsibilities will be specified.

10. **Environmental and Social Management Plan disclosure and consultation.** On April 4, 2016 USIF will post information on draft Environmental and Social Management Plan on USIF's web-site (www....) for broad public access. Also this document will be disclosed in the World Bank Infoshop. USIF will organize public consultation on CSS project and draft ESMP prior to completion of project appraisal. After consultation, the draft ESMP will be reviewed to consider inputs from consulted parties. The final version of ESMP will be re-disclosed on the website of USIF and in the World Bank InfoShop.

### 1. DESCRIPTION OF PROJECT ACTIVITIES WHICH REQUIRE ENVIRONMENTAL AND SOCIAL ASSESSMENT

The proposed Community Social Support (CSS) project is designed to improve access to and quality of basic public infrastructure and social care services in selected communities. Development priorities would be elicited directly from beneficiary communities. This objective will be achieved through: (i) investments in demand-driven infrastructure and basic services including inter-community infrastructure (ii) investments in the provision of social care services to vulnerable population groups in their communities; (iii) improvements in local governments’ capacity to manage community development needs through participatory methods, (iv) improvements in central government capacity to coordinate and oversee social care service delivery. A consistent use of citizen engagement mechanisms in local governments' practices would be a cross-cutting approach in project activities.
Component 1. Development of Community Infrastructure and Services. This component would invest in demand-driven micro-projects in eligible communities from about 60 vulnerable rayons across the country selected based on their infrastructure- and poverty-related characteristics. It would finance three categories of micro-projects: (i) community-prioritized small-scale infrastructure micro-projects; (ii) inter-community micro-projects for infrastructure/services that benefit several communities; and (iii) micro-projects in social care services for vulnerable groups. The Project will not finance high-hazard micro-projects as defined by Ukrainian legislation (see Annex 3).

1. Subcomponent 1.1 Basic infrastructure and services would follow the model of previous USIF project to implement small-scale investments in community infrastructure to address priority basic needs. The specific type of infrastructure would be decided by communities. Investments would be made in rehabilitation or construction of key publicly owned infrastructure that could include inter alia: components of potable water systems, irrigation infrastructure, sewerage and drainage systems, secondary roads, kindergartens, community centers, parks etc. Depending on the priority needs identified by selected communities, other small-scale investments may be financed (social, economic, environmental). For sustainability concerns the project would not invest in health facilities and would have eligibility criteria for selection of secondary schools based on: (i) school capacity utilization in rural areas; and (ii) number of students enrolled.

The micro-project (sub-project) cycle procedures developed under the previous USIF project would be largely preserved for this sub-component. Micro-projects' identification process would be facilitated by USIF staff and/or consultants. The USIF, through its regional offices, would organize a competitive selection of micro-projects proposals prepared by communities whose size is between 1,000 and 50,000 people. The selection methodology would be based on technical quality of submitted applications evaluated against the selection criteria listed in the Operational Manual (OM).

The micro-projects would be prepared and managed by community-based organizations (Project Implementation Committees) elected by communities to be responsible for: (a) identifying their priorities using participatory methods; (b) collecting contributions to the financing of the selected micro-projects (at 10 percent community contribution rate); (c) overseeing implementation of the micro-projects and monitoring its results; and (d) maintaining these projects after completion.

Subcomponent 1.2 Inter-community development would promote national decentralization agenda by supporting inter-community socioeconomic development initiatives to demonstrate the benefits of community cooperation and amalgamation. The inter-community micro-projects would invest in publicly owned infrastructure and services that benefit several communities who should be willing and able to operate and maintain the investments jointly. Furthermore, the focus would be on productive public investments which could, for example, support improved agricultural production or commerce, better conditions for production or manufacturing or enhanced human capital development opportunities. One micro-project may include investments into several types of infrastructure. The selection methodology would be based on technical quality of submitted applications evaluated against the selection criteria to be detailed in the OM.

Local governments of participating communities (or the government of amalgamated community) would be in the lead of inter-community micro-projects preparation and implementation. They would receive technical assistance on strategic planning for local development, which would help frame their thinking about common development opportunities and potential benefits of cooperation.
Sub-component 1.3. Community-based social services would support better coverage by social care services of the poor and vulnerable population groups in their communities, new forms and initiatives in community-based social services, including through partnership with CSOs, and enhanced local governments’ capacity to deliver services and to use efficiently their local budgets for social inclusion-focused activities. These micro-projects would finance minor civil works to rehabilitate/refurbish social care facilities, goods, consultants’ services, and training. Allocations of funds to specific types of services and/or client groups would be guided by social needs assessments and service delivery plans.

Component 2. Capacity building, monitoring, and knowledge transfer. This component would finance technical assistance and other services, training, events, and goods necessary to ensure successful implementation and sustainable outcomes of community micro-projects referred in component 1 above.

Component 3. Social policy development. The component would be implemented by the Ministry of Social Policy and would finance consulting services, training, goods and other inputs as necessary to enhance Ministry's social services policy formulation capacity.

Components 2 and 3 represent "soft" investments, they do not create environmental impacts, and so are not covered by this ESMP.

2. UKRAINIAN AND THE WORLD BANK ENVIRONMENTAL AND SOCIAL ASSESSMENT POLICIES, RULES AND PROCEDURES

2.1. Ukrainian legislation regulating environmental assessment.

A general overview of Ukrainian environmental legislative and regulatory base is presented in ANNEX 1. Here we describe in detail only environmental impact assessment.

There is a special law "On Ecological Expertiza (Environmental Review)" of 1995, which specifies several types of "Ecological Expertiza", of which the State ecological expertiza is mandatory. The Law stipulates that design documentation should be reviewed and approved by the panel of environmental experts. This panel of experts could work under the authority of MENR or environmental departments of OSA (in case when OVNS has been prepared), or environmental experts could be part of a team conducting all required state expertizas (these include sanitary-epidemiological, energy efficiency, fire protection, labor safety and other as needed) of design documentation (for projects which do not require OVNS). In this case, environmental assessment materials are prepared as a section of the design documentation (see below).

Procedure of preparing full-scale environmental impact assessment (Ukrainian acronym OVNS) documentation is prescribed by the State Construction Norms DBN A.2.2-1-2003 "On Conducting Assessment of Environmental Impact".

OVNS (as stipulated by DBN A.2.2-1-2003) is mandatory only for activities of high environmental hazard (article 31 of the Law on Regulation of City Planning Activity of 2011). The list of such activities could be found in Annex E to DBN A.2.2-1-2003 (see the list in Annex 3). Since high-hazard micro-projects will not be eligible, OVNS will not be conducted for micro-projects.

The key law which regulates all types of civil engineering/construction activities, including those which do not require OVNS, is the law "On Regulation of City Planning Activity" of 12 March 2011. This law prescribes what kind of documentation should be prepared for
construction projects of different types, and how this documentation should be reviewed. Provisions of this law are specified in State Construction Norms, which also take into account requirements of other legislative acts.

Engineering survey, design and construction are regulated by the Ministry of Regional Development and Construction (MRDC). There exists a whole set of design and construction norms and standards, of these we will mention here DBN A.2.2-3-2012 "Composition and Content of the Design Documentation for Construction", which defines terminology, types of construction activities and objects etc.

DBN A.2.2-3-2012 "Composition and Content of the Design Documentation for Construction" (namely Annexes B, D, E) requires mandatory section on "environmental impacts, measures for their minimization, mitigation and compensation" in all types of design documentation (feasibility study, detailed design etc.) When design documentation is reviewed by the State Civil Engineering Expertyz (Derzhbudspertyz), this section is also analyzed and approved (or rejected with comments) by the experts.

In abovementioned State Construction Norms DBN A.2.2-3-2012 there are also requirements to justify decision on the necessity to construct (reconstruct) particular object, as well as provision "to ensure accessibility for handicapped persons".

2.2. World Bank Safeguards Policies

The World Bank has established its social and environmental safeguard policies in order to prevent and mitigate potential adverse impacts associated with the Bank's lending operations to people and their environment. Taking into account the nature of the proposed sub-projects, of ten Operational Policies eight (OP-BP 4.04 - Natural Habitats; 4.09 - Pest Management; 4.10 - Indigenous People, 7.50 - International Waterways, 4.37 - Safety of Dams 4.12 - Involuntary Resettlement; OP-BP 4.36 - Forests and 7.60 Disputed Areas OP-BP) are not triggered. OP 4.01: Environmental Assessment - is triggered for all sub-projects and 1 policy (OP-BP 4.11 - Physical Cultural Resources) might be triggered for some micro projects (this will be clarified during preparation of the location of micro projects and screening). These two policies are described below, OP 4.01 in more detail and another one in a general way.

**OP/BP 4.01: Environmental Assessment**

This policy is triggered if a project is likely to have potential (adverse) environmental risks and impacts in its area of influence, which is the case with our micro projects. OP 4.01 covers impacts on the natural environment (air, water and land); human health and safety; physical cultural resources; transboundary and global environment concerns.

When OP 4.01 is triggered, the Bank classifies the project as category A, B, C, or FI according to the nature and magnitude of potential environmental impacts (A being the highest). Activities of CSS project do not fall into category A, they fall into category B, namely in sub-category Low-B, for which a more simple requirements to EA are applied.

Depending on the project and the nature of impacts, a range of instruments can be used for EA and environmental management (EM): Environmental and Social Impact Assessment (ESIA); environmental audit; Environmental and Social Management Framework; Environmental and Social Management Plan (ESMP), Environmental and Social Management Plan in the form of checklist (ESMP-CL).

The Borrower is responsible for preparing and carrying out an EA/EM instrument required by the project. In case of CSS project, ESMP will be prepared for the project as a whole and its provisions will be covered in the project's Operational Manual. In accordance with the
requirements of ESMP and OM, for each micro-project an ESMP-CL shall be prepared on later stages of project implementation (see section 4 below).

For Environmental Category B projects, the Borrower consults project-affected groups and local non-governmental organizations (NGOs) about the project's environmental and social aspects. The Borrower initiates such consultations as early as possible. As a first step, the Borrower makes the draft ESMP available in country in the local language at borrower’s web site and public places accessible to project-affected groups and local NGOs. Public consultations on draft ESMP shall take place prior to project appraisal, and revised ESMP is disclosed in local language on the web site of project implementing organization and in the World Bank InfoShop prior to project appraisal.

**OP 4.11 – Physical Cultural Resources**

It is not known yet whether any micro-project will affect physical cultural resources (e.g. if a building which will be reconstructed is listed as cultural resource, or if it might be expected that project activities can have impact on such resources). In case physical cultural resources are affected, an Action Plan for Physical Cultural Resources will be prepared in accordance with the procedure specified in the OM.

**2.3. Comparative review of the World Bank Safeguard Policies and Ukrainian Environmental Norms**

The analysis of Ukrainian and the World Bank requirements on the Project's Environmental Assessment and Environmental Management Plan indicates that they are largely similar.

**Environmental Assessment**

The World Bank's EA policy and procedure is generally compatible with the EA system and practice established in Ukraine, both terminologically and methodologically.

A key common requirement, articulated in both systems, relates to the mandatory character of the environmental and social impact assessment as an integral part of project preparation, design and development for any project activity that involves a new construction and/or rehabilitation/reconstruction of an existing facility. In case of the CSS project, for each micro-project (i) a section on environmental protection will be prepared in micro-project design documentation and (ii) ESMP-CL (which will include mitigation measures and monitoring) will be prepared and disclosed prior to micro-project implementation.

If requirements of World Bank environmental and social safeguard policies are more stringent than the requirements of Ukrainian regulations, the World Bank requirements should be applied during preparation and implementation of ESMP-CLs.

**Management of Cultural Heritage**

There is close similarity in requirements and approaches adopted by the World Bank and Ukraine with regard to the management of cultural heritage. A key common requirement, set out in the Bank's policy and Ukrainian legislation, is to ensure preservation of cultural assets and historical heritage.

**3. POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS OF CSS PROJECT ACTIVITIES**

A great variety of small-scale projects will be implemented in the framework of CSS project. Their potential environmental and social impacts could be summarized as follows:
3.1. Potential impacts during small-scale construction and reconstruction works.  
These impacts will be short-term and local, mitigation measures will be used during micro-projects implementation:

- **Landscapes degradation and damage to land.** There could be some damage to land due to construction works (machinery movement, digging trenches and pits, stockpiling etc.) The damaged area will have to be fully recultivated.

- **Pollution of land and ground water by oil products.** This impact should be avoided by proper organization of works, and if there are incidental spills, proper recultivation will be done.

- **Impacts on biodiversity.** With small-scale micro projects implemented mostly in urban/settlement landscapes, there is no reason to expect impacts on biodiversity. Micro-projects with potential of affecting protected or sensitive (like water-protection zones) areas will not be eligible as they fall under p.30 of the List of high hazard activities (Annex 3).

- **Noise, vibration, air pollution by exhaust gases etc.** will be controlled by proper organization of works, fencing out construction sites, observing working hours and other measures.

- **Construction waste.** Construction waste and hazardous waste (like asbestos-containing materials) will be disposed off at proper landfills by licensed companies.

- **Occupational health risks and risks to the public.** These risks will be minimized by the proper organization of works, use of protective equipment (hard hats, boots, prefabricated scaffolding etc.), fencing off construction sites and other measures as needed.

- **Cultural heritage, archeological sites.** Provisions for chance finds are part of ESMP-CL. Some building which will be rehabilitated in the framework of micro projects implementation might have historic and/or cultural value. In this case, in accordance with OM an Action Plan for Physical Cultural Resources will be prepared, which will follow both Ukrainian and WB safeguard requirements.

3.2. Potential Social Issues

Implementation of micro projects will have various social implications. In general, successful implementation of the CSS project will have social benefits to the people, but there could be some negative impacts, real or perceived.

**Potential Social Benefits**

- Better access to primary public service facilities;
- Higher level of satisfaction with the provided services due to better ventilation, sanitary and heating conditions in buildings;
- Higher level of services provided with modern equipment, better working conditions for personnel;
- Better conditions for doing business due to improvements to infrastructure;
- Better opportunities for employment due to e.g. provision of daycare facilities for children.

**Potential Negative Social Impacts**

- Dust, noise and traffic related to construction works;
- Change of intended purpose of buildings (e.g. former kindergarten being reconstructed into social service facility) may meet opposition from some groups of local people;
- During reconstruction period some social services might be unavailable;
- If a social service facility or other frequently visited object is located in an apartment block/neighborhood dwellers may protest against additional traffic and permanent movement of people;
People may question the necessity of just this investment (there could be, in their opinion, more pressing issues; this may lead to social mobilization and tension.

3.3. Screening/Identification of Potential Environmental and Social Impacts

At the stage of micro-project identification a screening/identification of potential issues will be carried out for each of them. Project proponent shall first check for eligibility of the project by answering two questions:

(i) Does the project require OVNS under Ukrainian regulations (see list in Annex 3 above)? - If YES, the microproject IS NOT ELIGIBLE. If NO, project proponent shall fill-in the table of Annex 4.

(ii) Will there be a need for land acquisition? Will any displacement (physical or economic) be caused by micro-project? - If YES, the microproject IS NOT ELIGIBLE. If NO, project proponent shall fill-in the table of Annex 4.

Screening shall eliminate non-eligible projects and allow identification of issues and subsequent actions for eligible projects. E.g., any activities that may cause permanent or temporary physical or economic displacement will be excluded from the project. Therefore the World Bank Involuntary Resettlement Policy OP4.12 is not triggered.

Results of the screening shall be reviewed by the staff of the project implementing organization (USIF). If the project is eligible, the project proponent can begin further preparation works for micro-project: preparation of project design documentation and preparation of ESMP-CL for micro-project (which will include mitigation measures and monitoring). Mitigation measures will be based on the screening results and the content of the section "Environmental impacts, measures for their minimization, mitigation and compensation" of the design documentation, as well as other requirements (see section 4.2 below).

4. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN IN THE FORM OF CHECKLIST (ESMP-CL) FOR MICRO-PROJECTS

4.1. ESMP-CL Overview

The purpose of ESMP-CL is to assist the USIF staff and USIF regional branches in determining potential environmental impacts of micro projects, in preparing environmental and social management plans that will summarize necessary mitigation measures to minimize or prevent them, and to provide USIF with guidance on environmental and social monitoring and reporting. Detailed requirements to ESMP-CL will be specified in respective section of the Project Operational Manual. These requirements will incorporate all provisions of the project ESMP.

As it was already mentioned, CSS micro-projects will be small-scale civil engineering, rehabilitation and other small-scale works on a number of sites. These micro-projects fall under World Bank "low B" category. For such micro-projects, environmental and social impacts will be known and limited, and area of impact clearly defined and limited, so an Environmental and Social Management Plan will be prepared in the form of ESMP-CL (see detailed description in section 4.2 below). Implementing agencies and project proponents will have to prepare and use ESMP-CL for each micro-project.
The USIF Executive Office will be responsible for day-to-day management and supervising of micro-projects preparation and implementation under components 1 and 2. Its staff will handle procurement, financial management and other matters to ensure project compliance with the OM and the World Bank safeguards, monitoring and evaluation, and reporting requirements. The Executive Office will be supported by regional offices acting as its representation on the ground.

USIF regional offices would facilitate the review and approval of micro-project proposals (including ESMP-CL). Regional offices would be responsible for daily interaction with project proponents, communities, and local authorities and other stakeholders, micro-projects management and monitoring of micro-projects portfolio. Regional offices would include permanent and temporary staff contracted by USIF to carry out appraisal, contracting, supervision and monitoring. For specific technical inputs, like supporting preparation of ESMP-CL, monitoring compliance with workers' safety, environmental protection and other requirements, USIF would engage additional technical consultants as needed.

USIF staff (central office and regional offices) shall receive an introductory training on application of environmental management and social safeguards. The list of themes to be covered during this training could be found in Annex 9. Training(s) for broader audience (USIF staff, project proponents, local authorities and representatives of public) shall be organized shortly after launching the project (within 4-6 months) at appropriate locations.

Ukrainian authorities (State Ecological Inspectorate, State Sanitary-Epidemiological Service, State Mines Inspectorate and Industrial Safety Service (Держгірпромнагляд), State Emergency Service of Ukraine) monitor compliance with existing norms and rules in accordance with their regulations and schedules, so their activities are not covered in the Monitoring Plan.

4.2. ESMP-CL preparation and implementation

ESMP-CLs will provide guidance on potential impacts and mitigation measures to be undertaken for activities through the design to implementation phase. ESMP-CLs shall also provide a monitoring plan format that includes monitoring indicators, timing, methods, and institutional responsibilities.

For every micro-project, micro-project proponent shall prepare ESMP-CL, which will consist of 3 parts (templates for these parts of ESMP-CL could be found in Annexes 5-7; these ESMP-CL will be a streamlined practical instrument, which is standardized, easy to prepare, implement and monitor, specifically tailored to small scale construction/rehabilitation projects):

- **Part 1**: Description of micro-project (for use by screener/approver) (Annex 5)
- **Part 2**: Mitigation Plan (Environmental and social issues and associated mitigation measures; becomes part of construction contract) (Annex 6)
- **Part 3**: Monitoring Plan (to verify effectiveness of mitigation measures; for use by construction site supervisor and USIF staff) (Annex 7).

Part 1 (description of proposed micro-project) shall describe institutional arrangements and list of contact persons, describe site location, land/building ownership and other features of micro-project. Information about disclosure and public consultations shall be provided in this part (see Annex 5)

Sample ESMP-CL Mitigation Plan (good practices checklist) is attached in Annex 6. For each micro-project, concrete Mitigation Plan shall be prepared by the project proponent (in consultation with USIF staff as needed), with issues and mitigation measures relevant for this
particular micro-project. Measures envisaged by the micro-project Mitigation Plan should be part of the construction contract and should be implemented by the contractor.

Monitoring Plan (Annex 7) is an integral part of ESMP-CL. Monitoring plan shall be used by all parties: management and technical staff of contractor, project proponent and USIF. Responsible personnel in each of these parties should be appointed as needed.

As it was already mentioned, capacity building training will be organized for USIF staff, project proponents and possibly some contractors.

4.3. Institutional Arrangements

The following measures will be integral part of CSS project implementation:

a) Provisions of the project ESMP will be included in the project OM;
b) USIF will appoint staff to supervise implementation of ESMP and ESMP-CL;
c) Training on ESMP-CL matters for USIF regional offices and technical personnel will be organized (see Annex 9);
d) Requirements of ESMP and OM shall be fully observed during preparation of ESMP-CLs for micro projects;
e) Prevention measures and other provisions of ESMP-CLs will be part of tender documentation; bidders will be obliged to include these provisions in their proposals;
f) contractors and/or project proponents will be obliged to implement provisions of ESMP-CLs;
g) USIF will monitor ESMP-CL implementation; in case of violation of ESMP-CL provisions USIF will undertake adequate measures up to stopping micro-project.

5. DISCLOSURE AND CONSULTATIONS

Draft Environmental and Social Management Plan (ESMP) will be disclosed by USIF before appraisal: draft ESMP will be posted at USIF and World Bank web-sites, and public consultations will be organized by USIF. After consultations, ESMP will be reviewed to consider inputs from consulted parties, and the final version of the ESMP will be disclosed on the USIF website and in the World Bank InfoShop. The minutes of the consultations with the list of considered issues will be attached to the final ESMP as an Annex 8.

On later stage, ESMP-CLs will be prepared by micro-project proponents according to OM. Information on micro projects will be published and/or posted on respective information resources together with draft ESMP-CL, prepared by local project proponent and public consultations organized. Issues raised at public consultations will be considered by the project proponent and USIF before the decision on micro-project implementation. In case significant amendments to the proposed micro-projects will have to be made, a revised ESMP-CL shall be disclosed and public consultations organized.
ANNEXES

ANNEX 1. General Overview of Ukrainian Environmental Legislation

1. Key legislative acts

Ukrainian legislative and regulatory base which governs environmental issues is quite comprehensive and sophisticated. It consists (in order of hierarchy) of: international conventions, treaties, protocols and agreements ratified by the Parliament (Verkhovna Rada); laws; resolutions (Postanova) and decrees (Rozporiadzhenia) of the Cabinet of Ministers of Ukraine (CMU); orders (Nakaz) of the Ministers. Various norms, rules, standards and guidances, often jointly referred to as regulations (normatyvno-pravovi akty) are approved by resolutions of the CMU and orders of the Ministers.

Of major importance are also by-laws (Polozhennia) of numerous government bodies (Ministries, State Agencies, State Inspectorates, State Services and other central government organs) which define authority of the respective government organ and it's branches on regional (oblast and rayon) level. This section of legislation underwent very significant changes after the administrative reform of 2010, when the whole system of central government organs was changed.

The environmental aspects are also regulated by relevant legal provisions contained in other parts of the country's law (civil law, water code, land code, administrative legislation, criminal law, etc.). More specifically, these provisions specify the grounds and details of punitive actions/penalties of disciplinary, administrative, material and/or criminal nature, imposed on an environmental offender and related to the harm done by the offence, environmental risk, and severity of adverse impact produced.

Below is a list of key laws, which are relevant for CSS project components that are under consideration:

- **On Environmental Protection (1992).** The Law contains a general provision on the protection of the environment, ensuring the safety of human health and the environment.
- **On the Principles of Town Planning (1992)** "Про основи містобудування" - this Law defines various legal, economic, social and organizational provisions for urban building activities with the aim "to ensure provision of environmental protection, rational nature resource use and conservation of cultural heritage".
- **On sanitary and epidemiological well being of population (1994).** Comprehensive Law, accompanied by numerous regulatory acts, e.g. "State sanitary norms and rules for maintenance of territories of settlements", rules for urban planning etc. The State Sanitary Epidemiological Service within the Ministry of Health operates on the basis of this law.
- **On Ecological Expertzya (1995)** - specifies general provisions for environmental assessment, including the main one - State Ecological Expertzya.
- **On local self-government (1997).** This Law defines responsibilities of local self-government, including elected (councils) and executive (administrations) organs.
- **On wastes (1998).** A law that covers the sphere of responsibility of MENR, MRDC, several other ministries and local authorities. It underwent serious amendments, especially when Ukraine joined the Basel Convention.
- **On provision of urban amenities (2005)** (Про благоустрій населених пунктів). The Law establishes authority of various levels of government (CMU, MRDC, state administrations of all levels, organs of local self-government).
On Regulation of City Planning Activity (2011) (Про регулювання містобудівної діяльності) - the Law amended numerous regulations defining requirements for the civil engineering sector. The aim of this Law is "to establish legal and organizational principles of city planning activities which should be aimed at achieving sustainable development of territories taking into account state, public and private interests".

Of course there are many media-specific and other environment-related laws (Land Code, Water Code, Laws like "On Air Protection", "On Protected Territories", "On Ecological Network" etc.), but they are not so relevant to the CSS project activities. Annex "Б" to DBN A.2.2-3-2012 lists those laws which should be taken into account during environmental assessment (see this list in Annex 2 to this document).

Due to the fact that expected environmental impacts of the proposed CSS project are very limited, project implemented will rarely have to consult most of legislative acts described above.

2. Ukrainian Environmental Enforcement Institutional System

Technical and some business aspects in the area of civil engineering are regulated mainly by the Ministry of Regional Development and Construction (MRDC), while the compliance control and enforcement of environmental legislation are exercised by other executive authorities (Ministry of Ecology and Natural Resources (MENR), State Ecological Inspectorate, State Geological Service, State Water Resources Agency, State Sanitary Epidemiological Service (SSES) etc.)

Recently the institutional system underwent significant changes: since 18.05.2013, responsibility for executing government environmental policy in oblasts was passed from MENR to oblast State administrations. Regional branches of MENR were liquidated and respective departments in administrations created (the Law of 16.10.2012).

Responsibility for enforcement of environmental legislation stays with the State Ecological Inspectorate, a central government organ under the MENR. State Inspectorate and its oblast branches have the authority to conduct inspections, to issue mandatory warrants, to impose fines etc. Regional branches of Inspectorate have inspectors in rayons.

Within the boundaries of the cities, the city administrations control the state of environment (waste removal, street cleaning, green zones etc.) through their departments of "urban amenities and nature protection" (Департамент міського благоустрою та збереження природного середовища) - names of the departments could differ from city to city, but their functions are very similar).

Within the system of MOH, the State Sanitary-Epidemiological Service (reorganized in 2011) is responsible for enforcement of sanitary-epidemiological legislation. SSES oblast branches have rayon departments (one department serving one or several rayons), and in each oblast there exist Oblast Laboratory Centers of SES with their branches in rayons.

Occupational health and labor protection issues are supervised by SSES, State Mines Inspectorate and Industrial Safety Service (Держгірпромнагляд), State Emergency Service (fire protection).

3. Access to Information and Public Participation

In Ukraine, access to environmental information was ensured when the Parliament ratified the Aarhus "Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters" in 1999. Several regulatory acts were developed by
the MENR which specify provisions of this Convention. However, detailed requirements to organization of public consultations on environmental matters exist only for two activities: objects of radiation hazard (Resolution of CMU of 1998 with amendments of 2006) and development of master plans of cities and territories (Resolution of CMU of 2011). These are not applicable in our case.

General guidance on how the public consultations must be organized in cases of full-scale EIA are listed in Section 1 of the State Construction Norms DBN A.2.2-1-2003. These are also not applicable in our case, because full-scale OVNSs for micro-projects will not be prepared.

In 2011, a law "On Access to Public Information" was adopted by the Parliament. This law covers much broader area, and it specifies also issues of environmental information (article 13, p.2). According to this article, not only organs of government, but also economic subjects must provide information (if they posses it) on the state of environment; quality of food and consumer goods; disasters, hazardous natural events and other events which can pose threat to the health and well-being of citizens. Disclosure of information on CSS project activities goes in line with this provision.

As a rule, public consultations (hearings) could be convened by organ of local self-government either upon its own initiative or upon request from community members. Such consultations could be held on any level: village (sil'skyi shid), town, city, and their decisions are considered as recommendations. In some cases procedures for such consultations have been approved by organs of self-government.
ANNEX 2. List of legislative acts relevant for environmental assessment in Ukraine

Додаток Б
(довідковий) до ДБН А.2.2-1-2003

ЗАКОНИ ТА КОДЕКСИ УКРАЇНИ, МІЖНАРОДНІ КОНВЕНЦІЇ ТА УГОДИ, ЯКІ РАТИФІКОВАНІ УКРАЇНОЮ, ЩОДО ОХОРОНИ НАВКОЛИШНЬОГО СЕРЕДОВИЩА ПРИРОДНЕ СЕРЕДОВИЩЕ

Закони України
Про охорону навколишнього середовища
Про охорону атмосферного повітря
Про охорону земель
Про природно-запобіжний фонд України
Про рослинний світ
Про тваринний світ
Про екологічну експертизу
Про захист рослин
Про зону надзвичайної екологічної ситуації
Про Загальнодержавну програму формування національної екологічної мережі України на 2000-2015 роки

Кодекси України:
Господарський кодекс України
Земельний кодекс України
Водний кодекс України
Повітряний кодекс України
Кодекс України про надра
Лісовий кодекс України

Міжнародні конвенції та угоди:
Конвенція про охорону дикої флори та фауни і природних середовищ існування в Європі
Конвенція про біологічне різноманіття
Конвенція про водно-болотні угіддя, що мають міжнародне значення, головним чином як середовища існування водоплавних птахів
Конвенція про приєднання озер
Рамкова конвенція Організації Об’єднаних Націй про зміну клімату
Картхенський протокол про біобезпеку до Конвенції про біологічне різноманіття

СОЦІАЛЬНЕ СЕРЕДОВИЩЕ

Закони України:
Основи законодавства України про охорону здоров’я
Про забезпечення санітарного та епідемічного благополуччя населення
Про місцеве самоврядування в Україні
Про об’єднання громадян
Про власність
Про підприємництво
Про звернення громадян
Про інформацію
Про державну таємницю

Міжнародні конвенції та угоди:
Конвенція про доступ до інформації, участь громадськості в процесі прийняття рішень та доступ до правосуддя з питань, що стосуються довкілля

ТЕХНОГЕННЕ СЕРЕДОВИЩЕ

Закони України:
Про основи містобудування
Про землеустрій
Про використання земель оборони
Про меліорацію земель
Про пестициди і агрохімікати
Про відходи
Про металобрухт
Про об’єкти підвищеної небезпеки
Про пожежну безпеку
Про захист населення і територій від надзвичайних ситуацій техногенного та природного характеру
Про використання ядерної енергії та радіаційну безпеку
Про поводження з радіоактивними відходами
Про Загальнодержавну програму поводження з токсичними відходами
Про вилучення з обігу, переробку, утилізацію, знищення або подальше використання неякісної та небезпечної продукції
Про внесення змін до деяких законодавчих актів України щодо відходів

Міжнародні конвенції та угоди:
Конвенція про заборону розробки, виробництва, накопичення, застосування хімічної зброї та про її знищення
Угода про співробітництво в галузі вивчення, розвідки і використання мінерально-сировинних ресурсів
Конвенція про оцінку впливу на навколишнє середовище у транскордонному контексті
Конвенція про ядерну безпеку
Об’єднана конвенція про безпеку поводження з відпрацьованим паливом та про безпеку поводження з радіоактивними відходами
ANNEX 3. List of types of activities and objects of high environmental hazard

ЗАТВЕРДЖЕНО
постановою Кабінету Міністрів України
від 28 серпня 2013 р. № 808

ПЕРЕЛІК видів діяльності та об’єктів, що становлять підвищену екологічну небезпеку

1. У сфері теплової енергетики:
teplovі електростанції (ТЕС, ТЕЦ);
устатковання для виробництва електроенергії, пари і гарячої води тепловою потужністю 200 кВт і більше з використанням органічного палива.

2. У сфері гідроенергетики:
гідроелектростанції на річках незалежно від їх потужності (включаючи малі гідроелектростанції);
гідроакумулюючі електростанції (ГАЕС).

3. У галузі атомної енергетики і атомної промисловості:
ядерні установки;
об’єкти, призначені для поводження з радіоактивними відходами;
uranові об’єкти.

4. Виробництво у галузі чорної та кольорової металургії (з використанням кольорових металів, руди, збагаченої руди чи вторинної сировини, металургійний, хімічний чи електролітичний процеси).

5. Об’єкти машинобудування і металообробки, за винятком підприємств, на яких відсутні цехи хімічного оброблення.

6. Перероблення корисних копалин.

7. Виробництво будівельних матеріалів (цементу, асфальтобетону, скла, утеплювачів, у тому числі екструдованого пінополістиролу).

9. Хімічне виробництво (включаючи виробництво основних хімічних речовин, хімічно-біологічне, біотехнічне, фармацевтичне виробництво, виробництво засобів захисту рослин, регуляторів їх росту, мінеральних добрив, полімерних і полімервісних матеріалів, виробництво та зберігання наноматеріалів потужністю понад 10 тонн на рік, зберігання хімічних продуктів (базисні і витратні склади, сховища, бази) незалежно від методів та обсягу зберігання продукції; підприємства з вилучення, виробництва і перероблення азбесту, азбестовмісних продуктів (азбестоцементної продукції потужністю понад 20 тис. тона на рік, фрикційних матеріалів - понад 50 тонн на рік готової продукції, інших виробів - понад 200 тонн на рік).

10. Виробництво, зберігання, утилізація і знищення босприпасів усіх видів, вибухових речовин і ракетного палива та інших токсичних хімічних речовин.

11. Поводження з відходами:
небезпечними (збирання, перевезення, сортування, зберігання, оброблення, перероблення, утилізація, видалення, знищення і захоронення);
побутовими (оброблення, перероблення, утилізація, знищення і захоронення).
12. Виробництво целюлози, паперу та картона з будь-якої сировини.

13. Нове будівництво, реконструкція, реставрація, капітальний ремонт:
зализничних вокзалів, зализничних доріг і споруд;
pідземних, наземних ліній метро, метрополітену як єдиної комплексів, включаючи депо з комплексом споруд технічного обслуговування;
трамвайних колій, підвісних ліній (фунікулерів) чи подібних ліній, що використовуються для перевезення пасажирів, включаючи депо з комплексом споруд технічного обслуговування і ремонту рухомого складу;
pарків транспортних засобів (автотранспортних підприємств з комплексом споруд для технічного обслуговування та ремонту);
станцій технічного обслуговування, до складу яких входять фарбувальні камери, мийки, а також тих, на яких проводяться ремонт та випробування дизельних автомобільних двигунів і ремонт кузовів із застосуванням методів хімічного оброблення поверхні;
aеропортів і аеродромів з основною злітно-посадковою смугою завдовжки 2100 метрів та більше;
avтомобільних доріг, автомагістралей і швидкісних доріг загального користування державного та місцевого значення усіх категорій, що мають чотири смуги руху;
трамвайних колій, підвісних ліній (фунікулерів) чи подібних ліній, що використовуються для перевезення пасажирів, включаючи депо з комплексом споруд технічного обслуговування і ремонту рухомого складу;
морських та річкових портів, пристаней для завантаження і розвантаження (за винятком пристаней паромних переправ);
sпеціалізованих транспортних терміналів;
глибоководних суднових ходів, у тому числі по природних руслах річок, спеціальних каналів на суходолі та у мілководних морських акваторіях;
магістральних продуктопроводів (трубопроводів для транспортування газу, аміаку, нафти або хімічних речовин).

14. Виробництво з оброблення деревини (хімічне перероблення деревини, деревоволокнистих плит, деревообробне виробництво з використанням синтетичних смол, консервування деревини просоченням).

15. Нове будівництво, реконструкція, реставрація, капітальний ремонт:
водозаборів поверхневих та підземних вод для систем централізованого водопостачання населених пунктів, промислових підприємств;
споруд водопідготовки систем питного водопостачання;
мереж водопроводу та водовідведення діаметром понад 1000 міліметрів;
систем закачування стічних вод до ізольованих підземних водоносних горизонтів;
sистем зворотного водокористування, відведення, оброблення (підготовки) та скидання шахтних, кар’єрних, дренажних вод;
очисних споруд, систем скидання очищених стічних вод у водні об’єкти;
водосховищ.

16. Проведення робіт з розчищення і дноглиблення русла та дна річок, їх берегоукріплення, зміна і стабілізація стану русел.

17. Проведення будівельних робіт, що передбачають видобування піску і травію, прокладання кабелів, трубопроводів та інших комунікацій на землях водного фонду.

18. Проведення робіт з міжбасейнового перерозподілу стоку річок.

19. Зберігання, перероблення та транспортування вуглєводової сировини (газу природного, газу сланцевих товщ, газу, розчиненого у нафта, газу, вугільних родовищ, конденсату, нафти, бітуму нафтового, скрапленого газу), а також технічні рішення з газопостачання населення і промислових підприємств.

20. Нафтопереробні заводи (за винятком підприємств, які виробляють тільки мастильні матеріали із сирої нафти) та устаткування для газифікації і зруйнування вугілля або бітумінозних сланців.
21. Автозаправні станції та комплекси, а також автогазонаповнювальні компресорні станції, автомобільні газозаправні станції зрідженого газу.

22. Нове будівництво, реконструкція основних гідротехнічних споруд усіх видів.

23. У галузі тваринництва, птахівництва та рибництва: тваринницькі комплекси для вирощування свиней (5 тис. голів і більше), великої рогатої худоби (2 тис. голів і більше), хутрових тварин (3 тис. голів і більше), птиці (60 тис. кур-несучок і більше, 85 тис. бройлерів і більше); м’ясокомбінати та м’ясопереробні підприємства; виробництво у сфері (установки) з перероблення та утилізації відходів тваринного походження, у тому числі птахівництва, рибництва; операції з дублення шкіри.

24. Виробництво у сфері легкої промисловості, що передбачає фарбування та оброблення хімічними засобами.

25. Виробництво технічного вуглецю та електрографіту.


27. Електричні лінії (повітряні, кабельні) та підстанції напругою 330 кВт і більше.

28. Установки для поверхневого оброблення металів, деревини, полімерних матеріалів з використанням органічних розчинників, зокрема для оздоблення, друку, покривання, знежирення, гідроізолювання, калібрування, фарбування, очищення або насичення.

29. Вирубка дерево-чагарникової рослинності (за винятком вирубки, пов’язаної з веденням лісового господарства) на території площею більше 0,12 гектара.

30. Нове будівництво об’єктів, господарська діяльність (за винятком лісогосподарської) в охоронних зонах територій та об’єктів природно-заповідного фонду, на територіях, прилеглих до водоохоронних зон, прибережних захисних смуг водних об’єктів, зон санітарної охорони.

31. Генетично-інженерна діяльність, введення в обіг генетично модифікованих організмів та продукції, виробленої з їх використанням (у відкритій та закритій системах).

32. Інтродукція чужорідних видів фауни та флори.

33. Виробництво мікробіологічної продукції.
### ANNEX 4. Screening Environmental and Social Issues of Potential Micro-project

<table>
<thead>
<tr>
<th>Potential issues and/or impacts</th>
<th>Impacts/risks [yes - no]</th>
<th>Long term impacts [yes-no]</th>
</tr>
</thead>
<tbody>
<tr>
<td>– Minor renovation and reconstruction works: health and safety hazards for workers; generation and disposal of wastes during construction/rehabilitation, including hazardous substances (asbestos);</td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Construction and general impacts: health and safety hazards for construction workers and the public, noise, dust, soil and water pollution from fuel and oil, generation of waste materials, surface run-off, excavation of materials and disposal of surplus soil, risks to environmentally sensitive areas;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Impacts on water resources: over-exploitation of water resources, interruption of surface and underground drainage patterns, contamination of resources during construction works, damage to soil during excavation;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Roads rehabilitation impacts: noise, dust, vehicle and pedestrian safety, changes in drainage and traffic patterns;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Wastewater, drainage and sewerage construction impacts: smell, impacts on the river regime, pollution by the effluent;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Impacts on land, forests and biodiversity: compacting soil by heavy machinery; changes in drainage and water flow pattern; cutting trees and vegetation;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Social impacts: temporary or permanent changes in social services delivery; potential for public disagreement with the proposed project; temporary or permanent loss of access to the public resource previously used by community (grazing area, recreation place, playground, sport facility)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Category</td>
<td>Details</td>
<td></td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>-------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td><strong>B. New Construction</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Cutting trees and plants</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Excavation impacts, soil pollution and soil erosion</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Site specific vehicular traffic</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Increase of dust and noise during construction works</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Construction waste</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Pollution of ground and surface water by effluents</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>C. Wastewater treatment system</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Individual wastewater treatment system</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Connection to public wastewater system</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>D. Traffic and pedestrian safety</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Site specific vehicular traffic</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Pedestrian movement</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>E. Handling/management of construction and household waste</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## ANNEX 5. ESMP-CL for Small Scale Civil Works, Part 1: description of micro-project

### ESMP-CL PART 1. DESCRIPTION OF MICRO PROJECTS

#### INSTITUTIONAL ARRANGEMENTS

<table>
<thead>
<tr>
<th>Micro-project title</th>
<th>World Bank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scope of micro-project and activity</td>
<td>USIF</td>
</tr>
<tr>
<td>Institutional arrangements (names and contacts)</td>
<td>USIF Safeguards supervision</td>
</tr>
<tr>
<td></td>
<td>Local project proponent</td>
</tr>
<tr>
<td></td>
<td>Local safeguards supervision</td>
</tr>
<tr>
<td>Implementation arrangements (names and contacts)</td>
<td>Contractor</td>
</tr>
</tbody>
</table>

#### SITE DESCRIPTION

<p>| Name of site | Town/village... |
| Describe site location | Address, description of neighborhood |
| Who owns the land? | |
| Is anybody using the land formally or informally? For what purposes? | |</p>
<table>
<thead>
<tr>
<th>Who owns the building(s)?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is anybody using the building formally or informally? For what purposes?</td>
</tr>
<tr>
<td>Describe the proposed activity</td>
</tr>
<tr>
<td>Describe geographic, physical, biological, geological, hydrographic and socio-economic context</td>
</tr>
<tr>
<td>LEGISLATION</td>
</tr>
<tr>
<td>Identify regulations and permits that apply to project activity</td>
</tr>
<tr>
<td>PUBLIC CONSULTATION</td>
</tr>
<tr>
<td>Identify when and where the public consultation process took place, how it was prepared and where the minutes are available</td>
</tr>
<tr>
<td>INSTITUTIONAL CAPACITY BUILDING</td>
</tr>
<tr>
<td>Will there be any capacity building for project proponent?</td>
</tr>
</tbody>
</table>
### ANNEX 6. ESMP-CL for Small Scale Civil Works, Part 2: Mitigation Plan

#### ESMP-CL PART 2. MITIGATION PLAN

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>PARAMETER</th>
<th>GOOD PRACTICES MITIGATION MEASURES CHECKLIST</th>
</tr>
</thead>
</table>
| A. General Conditions | Notification and Worker Safety | 1. The local construction inspectorates and communities have been notified of upcoming activities  
2. The public has been notified in the media and/or at publicly accessible sites (including the site of the works)  
3. All legally required permits have been acquired for construction and/or rehabilitation  
4. All work will be carried out in a safe and disciplined manner designed to minimize impacts on neighboring residents and environment.  
5. Workers' personal protection equipment will comply with international good practice (always hardhats, as needed masks and safety-glasses, harnesses and safety boots)  
6. Appropriate signposting of the sites will inform workers of key rules and regulations to follow. |
| B. General Rehabilitation and/or Construction Activities | Air Quality | 1. During interior demolition use debris-chutes above the first floor  
2. Keep demolition debris in controlled area and spray with water mist to reduce debris dust  
3. Suppress dust during pneumatic drilling wall destruction by ongoing water spraying and/or installing dust screen enclosures at site  
4. Keep surrounding environment (side walks, roads) free of debris to minimize dust  
5. There will be no open burning of construction waste material at the site  
6. There will be no excessive idling of construction vehicles at sites |
| | Noise | 1. Construction noise will be limited to restricted times agreed to in the permit  
2. During operations the engine covers of generators, air compressors and other powered mechanical equipment should be closed, and equipment placed as far away from residential areas as possible |
| | Water Quality | The site will establish appropriate erosion and sediment control measures |
| | Waste management | 1. Waste collection and disposal pathways and sites will be identified for all major waste types expected from demolition and construction activities.  
2. Mineral construction and demolition wastes will be separated from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers.  
3. Construction waste will be collected and disposed properly by licensed collectors  
4. The records of waste disposal will be maintained as proof for proper management as designed |
| Asbestos management | 1. The asbestos prior to removal (if removal is necessary) will be treated with a wetting agent to minimize asbestos dust.  
2. Asbestos will be handled and disposed by skilled and experienced professionals.  
3. If asbestos material is being stored temporarily, the wastes should be securely enclosed inside closed containments and marked appropriately. Security measures will be taken against unauthorized removal from the site.  
4. The removed asbestos will not be reused. |
| Direct or indirect hazards to public traffic and pedestrians by construction activities | In compliance with national regulations the Contractor will ensure that the construction site is properly secured and construction related traffic regulated. This includes but is not limited to:  
- Signposting, warning signs, barriers and traffic diversions: site will be clearly visible and the public warned of all potential hazards.  
- Traffic management system and staff training. Provision of safe passages and crossings for pedestrians where construction traffic interferes.  
- Ensuring safe and continuous access to all adjacent office facilities, shops and residences during construction. |
| Cultural Heritage | If construction works take place close to a designated historic structure, or are located in a designated historic district, notification shall be made and approvals/permits be obtained from local authorities and all construction activities planned and carried out in line with local and national legislation.  
If an unknown object, which potentially could be an archeological/historic artefact, is found during excavation (chance find), works will be immediately stopped and authorized government agency notified. |
| Social Impact Mitigation | Community needs to be informed in advance of the temporary restrictions in access and alternative facilities/service providers identified to cover for that  
Community needs to be consulted on what should be the appropriate alternative/substitute for the facility/service access to which is restricted or alternative routes/paths to the existing facility  
In case there is an opposition to the project in certain part of the community detailed feedback should be provided on the reasons/grounds why the current project is given a priority  
All the information about the project shall be available from local authorities |
**ANNEX 7. ESMP-CL for Small Scale Civil Works, Part 3: Monitoring Plan**

*(The table is populated with examples; for each micro-project site-specific monitoring plan should be prepared)*

**ESMP-CL PART 3. MONITORING PLAN**

<table>
<thead>
<tr>
<th>Parameter</th>
<th>What (Is the parameter to be monitored?)</th>
<th>Where (Is the parameter to be monitored?)</th>
<th>How (Is the parameter to be monitored?)</th>
<th>When (Define the frequency or continuous?)</th>
<th>Who (Is responsible for monitoring?)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification and Worker Safety</td>
<td>All necessary permits obtained</td>
<td>Prior to beginning works</td>
<td>Check documentation</td>
<td>Once at start of project</td>
<td>PIU Supervising Engineer</td>
</tr>
<tr>
<td></td>
<td>Appropriate fencing, signposting of the sites</td>
<td>At the site and around</td>
<td>Visual inspection</td>
<td>Prior to the beginning of works; periodically when work conditions change</td>
<td>PIU Supervising Engineer</td>
</tr>
<tr>
<td></td>
<td>Workers’ protection equipment, safety of instruments, scaffolding etc.</td>
<td>At work places</td>
<td>Visual inspection</td>
<td>Every day (contractor), periodically (supervising engineer, PIU)</td>
<td>Contractor, PIU Supervising Engineer</td>
</tr>
<tr>
<td>Air quality</td>
<td>Dust from demolition suppressed by sprinkling of water</td>
<td>At the site</td>
<td>Visual inspection</td>
<td>During demolition works</td>
<td>Contractor</td>
</tr>
<tr>
<td>Noise</td>
<td>Working time of equipment, including supply vehicles (only during periods agreed in permit)</td>
<td>At the site, access roads</td>
<td>Inspection</td>
<td>Periodically</td>
<td>Supervising Engineer PIU</td>
</tr>
<tr>
<td>Water quality</td>
<td>Erosion and water protection measures in place (if necessary)</td>
<td>At the site</td>
<td>Visual inspection</td>
<td>Periodically</td>
<td>Supervising Engineer PIU</td>
</tr>
<tr>
<td>Water spills, spills of oil and lubricants</td>
<td>At the site</td>
<td>Visual inspection</td>
<td>Every week</td>
<td>Contractor, PIU Supervising Engineer</td>
<td></td>
</tr>
</tbody>
</table>
### ESMP-CL PART 3. MONITORING PLAN (cont.)

<table>
<thead>
<tr>
<th>Waste</th>
<th>Hazardous waste</th>
<th>Hazardous to public traffic and pedestrians</th>
<th>Social Impacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction waste and household waste collected separately and timely removed by licensed company</td>
<td>Proper storing and disposal of asbestos</td>
<td>Proper signposting, warning posters, barriers</td>
<td>Information about project clearly displayed at the construction site; all information available at local authorities office</td>
</tr>
<tr>
<td>At the site</td>
<td>Construction site</td>
<td>Construction site, access roads</td>
<td>Construction site, community office</td>
</tr>
<tr>
<td>Observation; documentation from licensed company</td>
<td>Observation; documentation from licensed company</td>
<td>Observation</td>
<td>Observation</td>
</tr>
<tr>
<td>Periodocally</td>
<td>Weekly during &quot;demolition&quot; phase of rehabilitation</td>
<td>Weekly</td>
<td>Periodocally</td>
</tr>
<tr>
<td>PIU Supervising Engineer</td>
<td>PIU</td>
<td>PIU Supervising Engineer</td>
<td>PIU</td>
</tr>
<tr>
<td>Timely addressing of complaints</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documentation</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 9. Reference list of themes to be covered during capacity building trainings.

1) Introductory remarks on institutional arrangements: Government, USIF, World Bank, Project Proponent, Community

2) Micro-project cycle, roles of parties

3) Environmental and social safeguards in the micro-project cycle

4) Screening:
   – Overview of Resolution # 808 (activities of high hazard), special attention should be paid to environmentally sensitive areas;
   – Defining what is "land acquisition, physical and economic displacement";
   – Defining what is "environmental and social issues"

5) Environmental Mitigation and Monitoring Plan-checklist (ESMP-CL)
   – What is ESMP-CL and why it is needed
   – Detailed overview of sub-sections of ESMP-CL - Mitigation
   – ESMP-CL - Monitoring
   – Institutional arrangements

6) Requirements and procedure of disclosure and public consultations

First training: USIF Staff from central and regional offices (senior staff, engineers, procurement?)
Second training(s): USIF regional staff, project proponents, local authorities and representatives of public