

INTEGRATED SAFEGUARDS DATA SHEET ADDITIONAL FINANCING

Report No.: ISDSA13206

Date ISDS Prepared/Updated: 29-Apr-2015

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I. BASIC INFORMATION

1. Basic Project Data

Country:	Uzbekistan	Project ID:	P152801
		Parent Project ID:	P112719
Project Name:	Additional Financing for Bukhara and Samarkand Sewerage Project (P152801)		
Parent Project Name:	Uzbekistan Bukhara and Samarkand Sewerage Project (P112719)		
Task Team Leader(s):	Sana Kh.H. Agha Al Nimer		
Estimated Appraisal Date:	09-Mar-2015	Estimated Board Date:	18-Jun-2015
Managing Unit:	GWADR	Lending Instrument:	Investment Project Financing
Sector(s):	Sanitation (100%)		
Theme(s):	City-wide Infrastructure and Service Delivery (80%), Municipal governance and institution building (20%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	105.00	Total Bank Financing:	105.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			0.00
IDA Credit from CRW			105.00
Total			105.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

A. Original Project Development Objectives – Parent

The project development objectives (PDO) are to mitigate the environmental impact from wastewater pollution and improve the efficiency and sustainability of wastewater management in Bukhara and Samarkand. This will be achieved through (a) rehabilitating select sections of the sewerage system that are deteriorated; (b) limited expansion of the sewerage system into currently unconnected central historical areas, (c) installing more energy-efficient equipment such as wastewater pumps and aeration systems at the wastewater treatment plants and pumping stations; and (d) improving the capacity of the water utilities (vodokanals) in the areas of management, communications and public outreach.

B. Proposed Project Development Objectives – Additional Financing (AF)

The proposed PDOs are to reduce wastewater pollution and improve the performance of utilities responsible for wastewater management in Bukhara and Samarkand.

3. Project Description

Component A: Physical Investments. This component will finance the provision of goods, works, and consultants' services in Bukhara and Samarkand for (a) rehabilitation/construction and upgrade of WWTPs, including effluent quality-monitoring laboratories and reuse facilities; (b) replacement and construction of new wastewater collection systems (about 110 km in both cities); and (c) rehabilitation and construction of sewage PSs. This component will incorporate the lessons learned during implementation of the original project.

Component B: Institutional Strengthening and Capacity Building. This component will support a range of institutional strengthening activities to be implemented at the vodokanal and national levels. It will also strengthen the capacity and performance of the Bukhara vodokanal (BVK) and the Samarkand vodokanal (SVK) to operate, plan, and manage their systems and social accountability mechanisms. It will support strategy development for improved service delivery and regulations at the national level. Specific activities targeting these issues have been incorporated under this component. It will also include preparation of feasibility studies, preliminary designs, and bidding documents for future investments.

Component C: Project Management. This component will finance the PCU in Uzkomunkhizmat in Tashkent and two PIUs in each of the BVK and SVK. Support will include training, staffing, and M&E, as well as the annual project financial and technical audits of the utilities.

4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

The project investments are located in the cities of Bukhara and Samarkand, two historical cities in the Republic of Uzbekistan and two of the oldest towns in Central Asia. Rehabilitation of sewerage networks and partial extension of existing ones will take place in several parts of the cities, including their historical centers. The city of Samarkand is located on the left bank part of Zaravshan River - international waterway that arises in Tajikistan and river connects from Bukhara to Amu Darya river through an irrigation channel. The city of Bukhara is located in Zaravshan valley in the lower part of Zaravshan river basin on the right bank.

5. Environmental and Social Safeguards Specialists

Mark C. Woodward (GSURR)

Rebecca Emilie Anne Lacroix (GSURR)

Ruxandra Maria Floroiu (GENDR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	<p>The project has been classified as environmental category “B” primarily due to the rehabilitation nature of the proposed sanitation works and limited scale of works, which will take place within the footprint of existing sewage networks in Bukhara and Samarkand. Extension of existing sewerage networks will be minor, not such as to change the nature of the existing scheme. Minor temporary environmental impacts typical for rehabilitation works of the existing sewerage systems are expected during the proposed investments.</p> <p>Environmental impacts associated with reconstruction and minor extension of existing sewerage networks as well as with rehabilitation and upgrade of existing wastewater treatment plant pumping stations and related equipment in these cities will be minor, short-term and easily identified and addressed through adequate mitigation measures using good construction management practices. The physical rehabilitation of existing infrastructure will not involve significant structural modifications or alter operation. For the proposed AF investments, and to meet project appraisal conditions, the PIUs have prepared EIAs (based on existing EIA documents developed in 2009 for the original project) with site specific EMPs/EMP Checklists. Two draft revised EIAs (one for each city) have been disclosed, and it was subject to public consultations in local language on April, 14-15 2015 and in English in Infoshop on April 28, 2015.</p> <p>The AF will also finance preparation of feasibility studies, preliminary designs and bidding documents for future investments that will have impact of category “B” level. The Terms of References (TORs) for these various technical studies, including the feasibility studies of investments, will incorporate environmental and social impact assessments and considerations to ensure that safeguard issues and measures are mainstreamed into these studies.</p>
Natural Habitats OP/BP 4.04	No	<p>There are no known protected areas in the project area. The physical interventions will not lead to conversion or degradation of critical or other natural habitats. The EIAs assessment note that there are no known endangered or critical fauna or flora in the project areas.</p>
Forests OP/BP 4.36	No	<p>The project will not finance activities that will affect forest, forest health and forest-dependent communities.</p>

Pest Management OP 4.09	No	The project activities are not expected to use pesticides, nor lead to increased usage of pesticides.
Physical Cultural Resources OP/BP 4.11	Yes	There are historical monuments and cultural sites located within the project area. The revised EIAs have identified Physical Cultural Resources (PCR) in the project areas and assess potential impact. New network expansion will be selected in such way as to minimize any impact on the surrounding landscape and existing protected sites. Specific mitigation measures for possible impacts to PCRs have been included in the general EMPs and will be implemented in line with national laws and this WB policy provisions. Chance find procedures will be include in the site specific EMPs and in contracts for works.
Indigenous Peoples OP/ BP 4.10	No	NA
Involuntary Resettlement OP/BP 4.12	Yes	OP 4.12 was triggered in the original project. The investments are expected to take place on publicly owned land but minor impacts associated with the loss of land/ assets or loss of access to land/assets cannot be ruled out at the moment. The exact locations willnot be known until after the project is under implementation because the final designs are not yet in place. A reconnaissance of potential sites where the new construction is likely to occur indicate possible temporary impacts upon small enterprises (for example, kiosks along the pipeline right of way) or permanent impacts on small structures that have been informally built (or crops/fruit trees that have been planted) within the right of way or on public land. Thus the project could lead to some loss of income for potentially affected parties. The existing RPF prepared in 2009 was revised to reflect the investments part of AF. The revised draft RPF was publicly disclosed and consulted upon on April 14. It was disclosed in Infoshop as draft on April 28, 2015. Disclosure of final version is expected in May, pending Bank clearance.
Safety of Dams OP/BP 4.37	No	The Project will not finance any activities related to the construction of dams nor affect operations of existing dams or affiliated reservoirs.
Projects on International Waterways OP/BP 7.50	Yes	This project qualifies for exception to notification of the riparian countries under para 7(a). A memo requesting such exception has been prepared by team and cleared by RVP on February 11, 2015. The proposed investments are mainly for rehabilitating the existing wastewater schemes, and includes minor extensions that will not change the nature of the existing schemes and which are not expected

		to change the quality or quantity of water in the nearby Zerafshan and Amu Darja Rivers. The project will also finance rehabilitation and upgrading of the existing wastewater treatment plants (without expanding these plants). These plants discharge their treated waters in channels that finally after several km reach the Zerafshan river (that flows further into the Amu Darja River at about 100Km from Bukhara and about 200 km from Samarkand respectively).
Projects in Disputed Areas OP/BP 7.60	No	The project is not located in disputed areas.

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

<p>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</p> <p>The proposed AF project is categorized as “B”, based on the fact that the project will comprise of rehabilitation of existing sewerage networks (with some limited new expansion) and wastewater treatment facilities (no construction of new facilities or changes of current rights-of-way are envisaged). The project investments will trigger the World Bank Policies OP/BP 4.01 on Environmental Assessment, the OP 4.11 on Physical Cultural Resources, the OP/BP 4.12 on Involuntary Resettlement, the OP/BP 7.50 on Projects on International Waterways and the OP 17.50 on Disclosure Policy.</p> <p>The rehabilitation related impacts are likely to be localized and efficiently prevented by applying international construction practice and planning. Such potential impacts may be related to: (i) dust, noise, vibration, temporary access restriction and temporary closure of traffic during works, (ii) improper disposal of construction related waste; (iii) temporary pollution of soil, groundwater and surface waters as a result of leaching of chemicals used sometimes as pipe coating or lining, and by accidental spillage of oil and other products used as lubricants and fuel during works; (iv) impacts and risks associated with leaks and spills chemicals or safety hazards including worker safety specially related to dismantle of asbestos containing materials or pipes; and (vi) chance finds of physical cultural resources. However, these impacts will need to be properly managed during the construction phase by the contractor and closely supervised by PIUs respective vodokanals, and designated supervisor engineer.</p> <p>The OP/BP 4.11 on Cultural Physical resources is triggered since the proposed rehabilitation sewerage networks cover the central parts of Bukhara and Samarkand cities known for their historical monuments and overall cultural assets. EIAs identified specific physical cultural assets. Provisions for chance finds are included in the EMP and will be part of the contractors bidding documents.</p> <p>The OP/BP 7.50 on Projects on International Waterways is triggered by the proposed investments. However, although the project areas are on two international waterways, the rivers Zerafshan river and Amu Darja, the proposed project investments are mainly for rehabilitating and improving the existing wastewater schemes, with minor extensions, not such as to change the nature of the existing scheme and which are not expected to change the quality or quantity of water in these</p>
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<p>rivers. Consequently, the project falls within the exemption set forth in paragraph 7 (a) of the Policy as: (i) it will not adversely affect the quality and quantity of water flows to the other riparians; and (b) it will not be adversely affected by other riparians water use. Therefore, given the rehabilitation nature of the activities under the project, it has been decided that notification to other riparian states is not required under the bank policy.</p> <p>OP 4.12 is triggered since the proposed rehabilitation may lead to minor impacts associated with the loss of land/assets or loss of access to land/assets. The investments will take place on public land but since the exact locations have not yet been finalized risks related to informal users of public land or impacts upon vendors cannot be ruled out at the moment.</p>
<p>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</p>
<p>Water and soil pollution could remain temporarily affected during operational phase of the project (once works are finalized) due to accidental water bursts (at pumping stations or along the rehabilitated water supply networks) potential natural disasters and extreme climate events (e.g. floods, earthquakes). The Climate and Disaster Risk Screening Tool developed for this AF looked into potential climate hazards and its impact to the wastewater sector countrywide. The results obtained by running the tool showed that there is a low risk to the overall project development objective. The non-physical components, transportation systems and development context of the sector are expected to pose slightly reduces impact. Some potential risks are those considered highly exposed to earthquakes.</p> <p>Overall, the proposed AF project is expected to have significant positive environmental impact due to improved coverage and efficiency of sewage services in the cities of Bukhara and Samarkand. It is also expected to contribute to decreased health risks associated with the current poor sanitation conditions in the area. Environmental impacts associated with the partial reconstruction and limited expansion of existing sewerage networks as well as the rehabilitation of the existing wastewater treatment plants, pumping stations, and related equipment (e.g., screens, aeration system, grit chambers) in these cities will be minor, short-term, and easily identified and addressed through adequate mitigation measures using good construction management practices.</p>
<p>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</p>
<p>The technical designs are reviewed by the PIU (screening) for social impacts covered under OP 4.12. If necessary, alternatives will be considered and discussed with architects to avoid or minimize any possible impacts.</p>
<p>4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.</p>
<p>The PIUs in Bukhara and Samarkand have acquired sufficient capacity for managing environmental and social safeguards under the current project. In addition, selected members of the PIU participated in a dedicated two day training organized by the Bank in Bukhara in November 2013.</p> <p>The Bukhara and Samarkand Vodokanals (BVK and SVK) in collaboration with local environmental and sanitary authorities, engineering and PIU consultants are in charge of administrating and coordinating the implementation of the project monitoring plan that have been identified in the EA analysis of mitigation measures. In addition to recommended preventive actions and mitigation measures, supported by environmental monitoring, the EMP includes</p>

activities for training of BVK and SVK staff and engineers in proper environment and water quality/quantity monitoring to address the potential threats to the environment during project implementation, and a public awareness campaign to address public health and concerns from improper sanitation management.

The PCU will hire a consultant to develop the site-specific RAPs, as necessary. A dedicated safeguards specialist within the PIUs in BVK and SVK (two in total) are responsible for screening the project sites for social impacts as well as for implementing any RAPs. PCU will hire a consultant to carry out independent monitoring and assessment of the land acquisition process to determine if any land acquisition and provisions for compensation were carried out as planned.

The draft revised EIAs with EMP acceptable to Bank standards were subject to one public consultation and disclosure by to stakeholders involved and benefiting from the proposed project investments. Public discussions on the draft reports took place in each city during April 2015.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The key project stakeholders are the vodokanals in Bukhara and Samarkand, local municipalities (Khokimiyat), and other Government bodies. Their respective roles and responsibilities are clearly spelt out in the ESMF and RPF. Local communities and customers are direct beneficiaries and stakeholders of the Project. A wider range of the population in Bukhara and Samarkand will benefit in the longer term from improved access to sewerage services.

Consultations on the ESMF and RPF were held on April 14 in the Khokimiyat (local municipalities) in the respective cities. The key stakeholders identified in the EIAs and RPF were invited, as well as project affected people. A notification in the local newspapers was published on April 11. The minutes of the public consultations have been attached to the RPF and EIAs. The draft RPF and EIAs were disclosed in-country on April 14/15 on the website of the vodokanals and copies were made available to participants at the public consultation meeting.

In case site-specific RAPs are necessary, additional consultations will be held both during the preparation of the RAP and EMPs as well as disclosure and public consultation on the RAP and EMPs.

The GRM is outlined in the EIA and RPF and will cover all social and environmental questions, concerns and complaints related to the project. The GRM is under the overall responsibility of the PIUs, also tasked with monitoring and reporting on this as part of the quarterly reports to the Bank. The GRM utilizes well-known local mechanisms (Makhalla and Khokimiyat), though complaints can also be received by the PIUs. A brochure detailing the mechanism will be available to project affected people at the vodokanals and Khokimiyats.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	14-Apr-2015
Date of submission to InfoShop	28-Apr-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	////

"In country" Disclosure	
Uzbekistan	14-Apr-2015
<i>Comments:</i>	
Resettlement Action Plan/Framework/Policy Process	
Date of receipt by the Bank	14-Apr-2015
Date of submission to InfoShop	28-Apr-2015
"In country" Disclosure	
Uzbekistan	14-Apr-2015
<i>Comments:</i>	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment			
Does the project require a stand-alone EA (including EMP) report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.11 - Physical Cultural Resources			
Does the EA include adequate measures related to cultural property?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.12 - Involuntary Resettlement			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP 7.50 - Projects on International Waterways			
Have the other riparians been notified of the project?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input checked="" type="checkbox"/>]
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Has the RVP approved such an exception?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
The World Bank Policy on Disclosure of Information			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]

III. APPROVALS

Task Team Leader(s):	Name: Sana Kh.H. Agha Al Nimer	
<i>Approved By</i>		
Practice Manager/ Manager:	Name: Dina Umali-Deininger (PMGR)	Date: 05-May-2015