

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

**Report No.: ISDSA16574**

**Date ISDS Prepared/Updated:** 03-Aug-2016

**Date ISDS Approved/Disclosed:** 10-Aug-2016

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	Kazakhstan	<b>Project ID:</b>	P153501
<b>Project Name:</b>	Center South Road Corridor Project (P153501)		
<b>Task Team Leader(s):</b>	Fiona J Collin		
<b>Estimated Appraisal Date:</b>	11-Jul-2016	<b>Estimated Board Date:</b>	17-Nov-2016
<b>Managing Unit:</b>	GTI10	<b>Lending Instrument:</b>	Investment Project Financing
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Financing (In USD Million)</b>			
Total Project Cost:	1766.00	Total Bank Financing:	750.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
Borrower			266.00
International Bank for Reconstruction and Development			750.00
Asian Infrastructure Investment Bank			750.00
Total			1766.00
<b>Environmental Category:</b>	A - Full Assessment		
<b>Is this a Repeater project?</b>	No		

**2. Project Development Objective(s)**

To make safe and sustainable improvements to transport and freight connectivity between Almaty and Astana, and improve access to economic opportunities.

**3. Project Description**

The project road totals 660 km, between Zarechny (where Zarechny is just South of Karaganda at the intersection with the Karaganda bypass) and Burylbaital. It will generally be constructed along the existing road alignment, but will deviate where required to accommodate topographical constraints,

and in some cases to bypass towns. The new road will improve the existing 2-lane single carriageway road to a 4-lane dual carriageway road. It will be designed for a traffic speed of 120 kilometres / hour (km/hr) and axle loads up to 13 tons. Bridges, overpasses, and pedestrian and animal passes will be included where required and informed by social impact assessment.

The Social Assessment of the project has provided a road-map to integrate gender aspects into the project. During the design and implementation stages, both genders and vulnerable groups will be actively encouraged to participate in project consultations, and the specific needs of women and children will help to inform the design of the road and ancillary features (e.g. footpaths, road crossings, road-side facilities, security features). In addition, to increase the opportunities for women to benefit from project related-employment, appropriate clauses will be included in the ToRs and bidding documents for contract. The participation of women in the construction activities will be monitored and reflected in quarterly reports.

The Implementing Agency will establish a dedicated Safeguards Unit to manage both environmental and social aspects. The Unit will be the focal point for addressing safeguards issues on CSRCP. It will interact with the Environmental and Social specialists within the team of the Supervising Engineer for each Works contracts, where the Supervising Engineers' safeguards team will be a site-based focal point to manage interactions with the community and akimats and other stakeholders relevant to the road construction activities. These arrangements will be an important part of the citizen engagement and grievance redressal mechanisms.

#### Component 1: Transport Infrastructure

The component will finance the construction of all transport infrastructure within the project boundary from Zarechny to Burylbaital (approximately 660 km). Transport infrastructure will include:- construction of a dual carriageway four-lane road, with asphalt wearing course. Apart from minor deviations to improve geometry or to bypass smaller towns, the improved road will largely follow the existing alignment. Ancillary facilities such as bus-stops and shelters, road-side market areas, pedestrian and livestock crossing facilities, interchange overpasses, bridges and drainage structures, and road furniture and line-marking for road safety will also be included. Other transport infrastructure financed under this component will include that needed for Intelligent Transport Systems and tolling, and the construction of road-side service facilities. Component 1 will also finance consulting services for engineering supervision of all construction activities. Land acquisition and road design costs will be financed through the Republican budget.

#### Component 2 - Jobs and Skills Initiatives

Activities within this component are designed to stimulate private sector development along the corridor. Outside of the urban areas of Karaganda and Balkash, the population is sparse, and jobs are likely to evolve from (a) services provided to road-users transiting the corridor through the development of Road-side Service Facilities; (b) activities and interventions that will strengthen the existing commercial activities and market chains; and (c) vocational education and entrepreneurial training that will develop the social capital of the existing resident population and improve the competency and employability of the workers who will be engaged in road building over the construction period. The sub-components will include:

##### Sub-Component 2.a - Planning for Road-Side Service Facilities.

Technical Assistance (TA) will be financed under this sub-component to develop detailed concept and marketing plans. The Road-Side service facilities will provide much needed amenities, retail outlets and emergency services, whilst simultaneously stimulating private sector participation and catalyzing job creation. Key roles of the Road-Side service facilities will be to facilitate trade and road transport; improve road safety, comfort and convenience; and provide job and business opportunities for local communities along the corridor. Under SWRP, CR and KAZ are developing a Strategy for Road-User Services, which will be used to inform the development of the Road-side Service Facilities within the CSRCP.

The TA will inventory the existing services, assess the local and transit demand for services, select locations and identify the commercial opportunities, in coordination with other stakeholders, the local community and entrepreneurs. It will develop a detailed standard concept plan, including engineering, mechanical and architectural lay-outs, electricity and water supplies, heating, and back-up generators for emergency situations. The facilities would need to be built up above potential flood plains and safe access/egress to and from both carriageways would need to be considered. The TA will identify locations, manage legal and safeguards issues, and market the facility on behalf of KAZ. The facilities will be constructed by the private sector under Design-Build arrangements under Component 1, and then handed to KAZ, who will act as a developer and lease the various spaces under arrangements established by the TA. This arrangement will generate revenue for KAZ as well as provide opportunities for the private sector to develop businesses and generate employment opportunities, along this important transport corridor. The road-side service facilities will serve multiple purposes, including facilities for fuel sales, vehicle servicing, emergency response services and lavatory / restroom facilities. The facilities will also include retail space for rent by the private sector (eg for restaurants, craft; local agricultural products, etc), and may include the road maintenance depots. The facilities may also become a passenger/coach transport hub by providing a full range of passenger services needed by private operators. The facilities would have an additional purpose of providing an emergency evacuation location in the event of extreme weather, and can serve as a truck-stop so heavy vehicle operators can avoid fatigue.

#### Sub-Component 2.b - Implement Market Access Initiatives.

While investment in the CSRCP is likely to improve market access significantly and reduce transport costs, it is also well understood that investment in the road alone is unlikely to be sufficient to deliver transformative changes in the competitiveness of the firms and farms along the corridor. And so without complementary investment to unlock other constraints facing these firms and farms, opportunities to have a major impact on job creation, earnings growth, and poverty reduction, may be missed. Thus, a complementary program, funded by the Competitive Industries and Innovation Program (CIIP) has assessed the potential and requirements for increasing the competitiveness of firms and smallholders along the corridor, and to determine the extent to which the proposed transport interventions can raise demand for labor and improve earnings for the self-employed in a sustainable way through more competitive and innovative private sector participation. The identified interventions relate to trade facilitation through improvements to customs processes and the development of logistics hubs and centers.

#### Sub-Component 2.c - Training Initiatives.

This sub-component will include development of a curriculum to provide training for entrepreneurial skills specific to enabling the development of specialist road construction and road maintenance sub-contractors and also for HIV-AIDS awareness, substance abuse, and working safely. The Curriculum

will be designed and prepared with TA financed under Component 2, but the actual training will be delivered within the Works contracts financed under Component 1. This initiative will complement the work being financed under the Bank's Skills and Jobs Project (SJP) and Youth Corps Project (YCP). The SJP aims to improve employment outcomes and skills of unemployed and unproductively self-employed and current employees in need of training. Road construction workers would benefit from technical and socio-emotional skills development programs. The higher-level skilled-workers employed by construction related firms may benefit from management, and socio-emotional skills development. The objective of the YCP is to promote young people's (18-29 years old) community engagement and life skills. The work of YCP could be promoted to young road construction workers as part of the educational and training initiatives developed under CSP.

### Component 3 - Road Safety and Sustainability

Activities within this component are designed to improve road safety both along the corridor and at a national level. It also seeks to position KAZ with sustainable sources of revenue, which it can use to operate and maintain the republican road network. The sub-components will include:

#### Sub-Component 3.a - Road Safety

3.a (i) - Design stage road safety audits will be prepared. Where improvements are identified, these can be incorporated into the Works, during construction phase. Design stage audits will be specific to CSRCP.

3.a (ii) - Assessments using the iRAP approach, including preparation of Safer Roads Investment Plans and risk mapping extended to key road arteries, and will be used as a basis for prioritizing subsequent road safety improvements .

3.a (iii) - Develop and implement a geo-referenced road accident database within an Accident Management System. This may be additionally linked to the iRAP star ratings.

#### Sub-Component 3.b - Sustainable Assets

3.b (i) Preparation of a business plan for KAZ for revenue generation based on strategic plans to expand the network of tolled roads in the next five years and development of road side service facilities. Develop Business and Action Plans to ensure that KAZ can continually improve its capacity and processes for managing the tolling revenue and other income streams into the future.

3.b (ii) This sub-component will finance the preparation of a concept design and the technical information needed for procurement of a complete and fully integrated e-tolling and/or e-vignette system for the CSRCP. However, installation and construction activities will be financed under the Component 1, using a design build approach.

3.b (iii) The capacity of KAZ to manage its business and operations will be reviewed and supported, and institutional mechanisms developed to ensure that the client can continually improve its capacity and processes for business management into the future. Institutional development gaps identified during Bank's due-diligence assessment of KAZ can be addressed under this sub-component.

3.b (iv) This sub-component will finance TA to build on previous ITS studies to develop an options analysis and prepare concept designs and the technical information needed for procurement of a complete and fully integrated ITS. However, the actual installation of the ITS infrastructure will be financed under Component 1.

#### Sub-Component 3.c - Transparency and Governance

3.c (i) National system to plan and monitor road works construction. The aim of this TA is to develop and implement a pilot e-portal system that will be used for planning and monitoring of road construction activities. The system will fully integrate into existing KZ e-Government and inventory models, and maintain, as a minimum, (i) contract details; (ii) key monitoring and evaluation statistics; (iii) financial and payment information. The system will provide real-time project information and monitoring, expenditure data, and performance and evaluation reports.

3.c (ii) Develop and expand the e-portal system to include standard norms and technical documentation. The e-portal system will be further developed to provide differential access to electronic versions of all national normative and technical documents, such as standard drawings and specifications related to road construction, and other technical information that is relevant in the fields of architecture, urban planning and construction.

3.c (iii) Development of cost estimating and pricing guidelines. The aim is to develop a set of guidelines for estimating and pricing the cost of construction, reflecting best international practice and contemporary road technologies. This data will be kept updated and used for planning and monitoring, and will be integrated with the e-portal system. The results will be used to monitor tender estimates and for forward works planning.

#### Component 4 - Project Management and Impact Assessment

Under this component counterpart financing only will be used to (a) to support project management functions including inter-agency coordination, engineering and technical inputs and supervision of safeguards and fiduciary aspects; (b) collect base-line indicators for subsequent use in results and impact evaluation; and (c) undertake completion review assessments, including lessons-learned studies and impact assessments.

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

#### **5. Environmental and Social Safeguards Specialists**

Alexei Slenzak (GEN03)

Svetlana K. Sharipova (GSU03)

<b>6. Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/BP 4.01	Yes	This is a Category A project. The environmental Category A is justified by scale of the project and potential impacts. The main negative impacts during construction is the operation of borrow areas, generation of waste (construction materials, spent consumables, household waste and wastewater from camps), excessive land use, topsoil destruction and erosion. There is also a potential impact on groundwater and surface water from excessive turbidity and siltation, and accidental spills involving fuels and lubricants. During operation of the environmental aspects would include road storm drainage management, soils, ground and surface water pollution, noise, dust, and air pollution.

		<p>In order to address the vulnerability to climate change, the Client has adopted some climate resilient road design standards, with specific measures for road pavement construction to better withstand extreme seasonal temperature differentials. In addition, snow and wind barriers and an elevated road formation are approaches being used to ensure the road performs better during snow and floods. These features will help the road survive during extreme weather conditions such as intensive snow, flood, and wind, as well as large winter/summer temperature gradient. Moreover, modern road-side service facilities will provide emergency services and evacuation points for road-users caught in extreme events. The project will finance Technical Assistance to design, plan and implement e-tolling strategies that will lead to green and sustainable growth for road transport. E-tolling tariffs will be designed so that heavy vehicles, and those with high green-house gas (GHG) emissions pay more, a policy approach aimed at promoting a switch to cleaner vehicles.</p> <p>The Borrower has prepared the ESIA for the entire CSRCP corridor, and an EMP for sections of the road at km 1620-1713.</p>
Natural Habitats OP/BP 4.04	No	<p>The policy is not triggered. The alignment runs along the road, which existed for a long time and the impact on flora and fauna will be insignificant. No regular or seasonal strong movement of animals is observed in this area. A small section of the road in Moyynkum District of Zhambyl Oblast runs through the area with regulated regime of economic activity located at the Northern boundary of Zhusandalinskaya State Conservation Area. There is no indication of concentrations of rare or endangered species of this conservation area in the proximity of the project area of impact.</p>
Forests OP/BP 4.36	No	<p>The project does not involve forestry operations. Policy OP 4.36 for Forests is not triggered.</p>
Pest Management OP 4.09	No	<p>The policy is not triggered. No pesticides will be used for control of roadside vegetation.</p>

Physical Cultural Resources OP/BP 4.11	Yes	Physical cultural resources have been found in the construction area: in accordance with Kazakhstan legislation - PCR located within the protected zone 200 meters from the road and might directly be affected by the project. Action Plan for Physical Cultural Resources (APPCR) has been prepared by the Client for road sections at km 1620-1713. In case more physical cultural resources are identified in the project area, the APPCR for specific project sections will be developed by the Client.
Indigenous Peoples OP/BP 4.10	No	
Involuntary Resettlement OP/BP 4.12	Yes	The policy is triggered due to anticipated land acquisition and resettlement activities primarily related to construction works associated with expansion to four lanes from the existing two. Additional impacts are expected to allow land allocation for parking of the road-building equipment, bypasses, borrows pits, construction camps, and road-building materials and warehousing sites. The designs for sixteen of the proposed eighteen lots are incomplete at this stage. The client prepared a Resettlement Policy Framework (RPF) covering the entire project. There are two lots (Lot 7 and 8) which have completed detailed design. Resettlement Action Plan was prepared prior to appraisal. The RAP identified 8 land plots of primarily pasture land which will only be impacted during construction works. Of these 8 plots, 2 are state-owned and 6 are private. No physical resettlement is anticipated on these two lot sections. When designs are finalized for other lots and the land acquisition is necessary, the RAPs for these lots must also be prepared by the client and approved by the Bank. The client shall not commence works on any of the road sections without RAP(s) approved by the Bank and fully implemented by the Borrower.
Safety of Dams OP/BP 4.37	No	
Projects on International Waterways OP/BP 7.50	No	Given that there are no impacts on the international waterways associated with the project there are no grounds to trigger OP7.50.
Projects in Disputed Areas OP/BP 7.60	No	The project is not located in or near disputed areas.

## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

**1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:**

The design of the road has taken into account measures for the minimization of environmental impacts. The routing does not affect sensitive areas and habitats and protected areas, follows existing alignment. The design will include measures to protect the adjacent population from noise (routing, barriers), increase traffic safety by speed controls, pedestrian crossings and underpasses. The design will also take into account requirements articulated from farmers along the alignment for safe crossings for animals and farm traffic through sufficiently dimensioned underpasses. Similar underpasses will facilitate wildlife crossings. The design will also include results from hydrological studies, installing sufficient culverts to avoid damming of permanent or seasonal watercourses and the creation of swamps or waterlogged areas, and the dimensioning of bridges will take the seasonality of discharges, as well as the proneness to flash floods into account.

Most environmental impacts during the construction period will be mitigated by good housekeeping measures. There will be standard procedures for the control and mitigation of emissions, such as dust, noise, exhaust fumes and liquid discharges from camps and the road platform. Surface watercourses will be protected by settling ponds and filters (e.g. straw bales). Wastewater from construction camps will be treated on site in settlement and aeration basins, where biological waste will be processed, before discharge into surface streams or rivers. Septic sludge from toilets will either be composted on site or trucked to existing water treatment plants along the alignment. Groundwater is not expected to be impacted by the project, as no deep excavations or major cuts are expected. Water for the construction activities as well as the camps will be extracted in relatively small quantities from existing wells or the public supply system. Generally water availability is unconstrained in the project area.

The impact on flora and fauna will be insignificant since the alignment runs along the road and areas of economic activity, which existed for a long time. The reconstructed road will not become a barrier to wildlife because no regular or seasonal strong movement of animals is observed in this area. A small section of the road in Moyynkum District of Zhambyl Oblast runs through the area with regulated regime of economic activity located at the Northern boundary of Zhusandalinskaya State Conservation Area. There is no indication of concentrations of rare or endangered species of this conservation area in the proximity of the project area of impact.

Noise and exhaust emissions will be minimized by the requirement for Contractors to use modern equipment and machinery complying with modern emission standards, and to maintain the equipment in good working order throughout the project. This will be prescribed in the equipment specifications in the tender documents. Nuisance to the public will moreover be minimized by limiting work hours and not allowing nighttime works. Where works are carried out in close vicinity to residential areas additional measures, such as noise barriers or the installation of insulating windows will be implemented in accordance with good practice and in consultation with the community.

Borrow pits will be operated by the Contractors only at locations that have been pre-identified previous to project implementation and for which both operational and environmental permits have been obtained. No borrow pit will be operated without a site specific EMP that will contain a plan for its closure, remediation and re-cultivation that will be approved by the local environmental authorities (as required under Kazakh regulations) as well as the supervising engineer (who will ensure that international good practice is followed).

All environmental management measures to be carried out by the Contractors during the



construction period will be integrated in the tender documents and become part of the works contracts. This will also include the Action Plan for PCR for section at km 1620-1713 and similar Action Plans for historic and cultural sites along the alignment and a manual on chance find procedures to be followed in case of unanticipated discovery of potential PCR. The Contractors will be required to have permanent staff on site with the specific responsibility of environmental and social management (including a grievance specialist), reporting to the supervision engineers and local authorities. The grievance management and implementation will follow the GRM procedures as defined by the RPF/RAP and will be applied to both safeguards and all other project related grievances.

The social management measures, in addition RAP implementation, require particular attention to provision of cattle crossing, ensuring accessibility to settlements and improvements of the road signage. The design contractor, through their social management specialist will provide regular monitoring and work to ensure feasible adjustment needed during construction works in consultations with local beneficiaries.

**2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:**

While we expect that in future the improved access will have broader economic/social development implications particularly of new roads or significantly improved roads, these future developments are not considered to be associated with this project in the sense of needing to apply our SG policies to them. This is because there are no specific developments that we can expect to occur as a result of the project (as would be the case, e.g., for a road providing direct access to an area which could be developed, for example, for a ski resort).

Component 2 a will finance preparation of detailed standard concept plans for Roadside Service Facilities. Facility types include facilities for fuel sales, vehicle servicing, emergency response services and lavatory / restroom facilities, retail space for restaurants, craft; local agricultural products, road maintenance depots, etc. The facilities may also become a passenger/coach transport hub by providing a full range of passenger services needed by private operators. The facilities would have an additional purpose of providing an emergency evacuation location in the event of extreme weather, and can serve as a truck-stop so heavy vehicle operators can avoid fatigue. The concept plans will take into account potential environmental profile of the facilities and will provide guidance on mitigation measures to avoid or minimize negative environmental impacts.

Component 3a will finance various road safety measures which will generally have positive social impact in the project area.

**3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.**

The project will finance widening of the existing and functional road and only "without a project" alternative was discussed for the corridor broadly. At the same time alternative routes are being discussed for bypasses, bridges, interchanges etc. by design companies involved in preparation of the design. The criteria for consideration of alternative alignments for bypasses, bridges, interchanges, etc. include presence or proximity of nature protected areas, physical cultural resources, environmentally sensitive elements of environment (e.g. rivers, lakes, wetlands), residential areas, sensitive receptors (i.e. schools, hospitals, daycare facilities, elderly housing and convalescent facilities), various types of property and/or residential housing which may be subject to resettlement. Alternative options for bypasses and engineering structures will be presented in

the design documentation.

**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.**

The EIA process in Kazakhstan is described in the Environmental code (2007) and a set of detailed implementation instructions. It foresees 4 stages, which correlate with the respective design activities and range from (i) a desk study for pre-feasibility level, (ii) a preliminary EIA and (iii) a detailed ("full") EIA for the detailed design stage and (iv) an EMP as separate section of the design documentation. In this respect the EIA process is both logical and deemed compatible with international good practice.

The CR and KAZ has built capacity on safeguards through implementing projects financed by the World Bank and other international development institutions such as ADB and EBRD. In particular, environmental and social safeguards has become an integral part of the requirements stipulated in the tender documentation for the civil works contractors. Each contractor employs environmental specialists responsible for environmental control, monitoring and reporting. There are two people in KAZ Department for Roads Network Development and Investment Projects responsible for the implementation of the environmental safeguards. KAZ has also benefitted from the safeguards trainings provided by the ADB and the World Bank during last two years. Significant progress is observed in relation to the public participation and consultation regarding the road construction works during the project preparation as well as the project implementation and completion. Safeguards related documents are publically disclosed by KAZ on the existing projects website with the opportunity for the public feedback and discussion.

The borrower prepared ESIA report. The ESIA was reviewed by the Bank team, a gap analysis carried out and issues to be rectified and improved identified. The team, the PMC (project management consultant) from the ongoing SWRP (South West Roads Project) and a qualified Consultant assisted the Borrower to address the identified gaps and upgrade the ESIA's to a quality acceptable to the Bank before project appraisal. Physical cultural resources have been found in the construction area: in accordance with Kazakhstan legislation - PCR located within the protected zone 200 meters from the road and might directly be affected by the project. Action Plan for Physical Cultural Resources (APPCR) has been prepared by the Client for road sections at km 1620-1713. In case more physical cultural resources are identified in the project area, the APPCR for specific project sections will be developed by the Client.

The need for diligent and consistent supervision of safeguards is well recognized by KAZ. KAZ will rely on environmental and social specialists, who will be integrated into one of the departments of the central office of KAZ, or be hired by KAZ either individually or as part of external entity contracted for project implementation. It is important that the function of supervision of safeguards (both environmental and social aspects) is maintained by KAZ through its Safeguards Unit irrespective of arrangements on other aspects of project implementation, such as procurement, FM, etc.

Representatives of oblast departments of KAZ, Akimats and other oblast authorities will be organized in an Oblast Working Group to facilitate implementation of the project broadly at oblast level. Regarding safeguards - this working group will interact with Safeguards Unit of KAZ, contractors and supervision engineers on specific problem issues of incompliance with safeguards requirements when engagement and support from local authorities is required.

Supervising Engineer teams shall have full-time involvement by local social and environmental staff, for the entire construction period of each Lot. Inputs shall cover both social and environmental aspects, or if separate specialists are needed, then the total aggregated engagement across both social and environmental aspects shall be 12 person-months per year per Works Lot, although the relative inputs by each of the environmental and social specialists may vary dependent on the needs of the site and the stage of construction. Qualification requirements will include relevant technical education (environment, civil engineering, social science), and experience of on-site safeguards supervision of road or other projects, involving civil works. Given that interaction with local communities is essential, the environmental and social specialists forming part of the Supervising Engineer team, should be fluent in Kazakh and Russian.

**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 stakeholders of the road are (a) the Committee for Roads, an agency of the Government of Kazakhstan, as the project proponent; (b) KazAutoZhol Joint Stock Company (KAZ), a State Owned Company with a mandate to manage and operate the Republican road network, as Borrower and Implementing Agency; (c) commercial and private road users, who will be the primary beneficiaries from improved road quality; and (d) PAPs such as the residents of communities along the road, farmers, herders and proprietors of roadside services. For this last group there will be benefits as well as some disadvantages and negative impacts caused by the project.

To ensure that all views and concerns of all stakeholders are appropriately reflected in project design and implementation, and environmental and social safeguards instruments fully capture the baseline situation, the expected impacts and the views and concerns of the PAPs, two sets of consultations were undertaken during the preparation of the Bank financed project. KazdorNII JSC and KazCEP LLP held public hearings on June 05-06, 2015 in Aksu-Ayuly, Akshatau, Saryshagan villages and on June 17-18, 2015 in Balkhash town, Gulshat, Kurminka, Kash-kanteniz, Shyganak villages. These public consultations provided the local residents and the parties involved in the project with an opportunity to review and discuss the issues of concern related to environmental and social aspects, express their demands and recommendations that should be included in the the ESIA and RAP. The preliminary public hearings were held successfully. Additional public consultations were held on November 04-05, 2015 in Aksu-Ayuly, Balkhash town, Saryshagan, Shuganak. The discussed issues were mainly about ESIA design and environmental protection activities, locations of border crossings and cattle passes, location of construction facilities (concrete constructions, construction camps, parking and etc.) and water supply sources were discussed. The final draft ESIA report was disclosed on 6 May 2016 in Kazakhstan and 4 May 2016 in the Infoshop. Public consultations were held during May 23-27, 2016 in the following villages/towns along the alignment: Kurma, Nurataldy, Akshatau, Balkhash, Saryshagan, Priozersk, Mynaral, and Shyganak.

**B. Disclosure Requirements**

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	08-Dec-2015
Date of submission to InfoShop	04-May-2016
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	04-May-2016

"In country" Disclosure	
Kazakhstan	06-May-2016
<i>Comments:</i> Public consultations with communities along the alignment were held during May 23-27 2016, in the following villages and towns: Kurma, Nurataldy, Akshatau, Balkhash, Saryshagan, Priozersk, Mynaral, and Shyganak.	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	15-Sep-2015
Date of submission to InfoShop	27-Apr-2016
"In country" Disclosure	
Kazakhstan	25-Apr-2016
<i>Comments:</i> The displayed information is for the Resettlement Policy Framework. Apart from it, the Resettlement Action Plan was received by the Bank in November 2015, submitted to InfoShop on May 19, 2016, and disclosed in country (Kazakhstan) on May 17, 2016.	
<b>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.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP/GP 4.01 - Environment Assessment</b>	
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"/> ]
<b>OP/BP 4.11 - Physical Cultural Resources</b>	
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"/> ]
<b>OP/BP 4.12 - Involuntary Resettlement</b>	
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"/> ]
Is physical displacement/relocation expected?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] TBD [ <input checked="" type="checkbox"/> ]
Provided estimated number of people to be affected	

Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] TBD [ <input type="checkbox"/> ]
6 Provided estimated number of people to be affected	
<b>The World Bank Policy on Disclosure of Information</b>	
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"/> ]
<b>All Safeguard Policies</b>	
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: Fiona J Collin	
<b>Approved By</b>		
Safeguards Advisor:	Name: Agnes I. Kiss (SA)	Date: 10-Aug-2016
Practice Manager/ Manager:	Name: Juan Gaviria (PMGR)	Date: 10-Aug-2016